



Ministry of Agriculture

Sustainable Land Management Program

Project Implementation Manual (PIM)

of

Resilient Landscapes and Livelihoods Projects

(RLLP-I & RLLP-II)

(2019 - 2026)

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ACRONYMS

AfF	Application for Funding
ANR	Assisted Natural Regeneration
BoA	Bureau of Agriculture
CA	Conservation Agriculture
CBPWDG	Community Based Participatory Watershed Development Guidelines
CDD	Community Demand Driven
CF	Community Facilitator
EFCCC	Environment, Forest and Climate Change Commission
CPP	Community Participation in Procurement
CQS	Selection Based Consultants' Qualifications
CRGE	Climate Resilient Green Economy
CSA	Climate Smart Agriculture
CWT	Community Watershed Team
DAs	Development Agents
DA	Designated Account
DEM	Digital Elevation Model
DP	Development Partner
EDRI	Ethiopian Development and Research Institute
ELAP	Ethiopia Strengthening Land Administration Program
ELTAP	Ethiopia Strengthening Land Tenure and Administration Program
EMA/ GII	Ethiopian Mapping Agency/ Geospatial Information Institute
ENSDI	Ethiopian National Spatial Data Infrastructure
ESMF	Environmental and Social Management Framework
ESIF	Ethiopia Strategic Investment Framework
FA	Force Account
FAO	Food and Agriculture Organization of the UN
FGD	Focus Group Discussion
FHH	Female Headed Households
FM	Financial Management
FP	Focal Person
FTC	Farmers' Training Center
GAC-LAND	Global Affairs Canada- Livelihoods Agriculture and National Development
GCC	General Conditions of Contract
GCF	Green Climate Fund
GoE	Government of Ethiopia
GIS	Geographic Information System
GIZ-SURED	German International Cooperation- Sustainable Utilization of Resources for Economic Development
GM	Gender Mainstreaming
GMG	Gender Mainstreaming Guideline
GPN	General Procurement Notice
GPS	Global Positioning System
GRM	Grievance Redress Mechanism
IBC	Institute of Biodiversity Conservation
ICB	International Competitive Bid
IDA	International Development Association
IFAC	International Federation of Accountant
IFAD	International Fund for Agriculture Development
IFB	Invitation for Bid
IFR	Interim Financial Report
INBAR	International Network for Bamboo and Rattan
INSA	Information Network Security Agency

IRLAU	Institution Responsible for Land Administration and Use
ISA	International Standards on Auditing
ISLA	Information System for Land Administration
IT	Information Technology
ITB	Instructions to Bidder
JISM	Joint Implementation Support Mission
JMM	Joint Monitoring Mission
JVA	Joint Venture Agreement
KLAUC	Kebele Land Administration and Use Committee
KOA	Kebele Office of Agriculture
KMIS	Knowledge Management Information System
KWT	Kebele Watershed Team
LAUD	Land Administration and Use Directorate
LCS	Least Cost Selection
LIB	Limited International Bidding
LICB	Limited International Competitive Bidding
LIFT	Land Investments for Transformation
LLPLUP	Local Level Participatory Land Use Planning
LUP	Land Use Planning
LSWI	Land Surface Water Index
M&E	Monitoring and Evaluation
MASSREG	Mass registration
MDTF	Multi Donor Trust Fund
MFI	Micro Finance Institution
MoA	Ministry of Agriculture
MoF	Ministry of Finance
MYDP	Multi Year Development Plan
NRLAIS	National Rural Land Administration Information System
NCB	National Competitive Bidding
NDVI	Normalized Difference Vegetation Index
NGO	Non-Governmental Organizations
NSLMP-TC	National Sustainable Land Management - Technical Committee
NSLMP-SC	National Sustainable Land Management Program - Steering Committee
OM	Operation and Maintenance
OP	Operational Policy
PAD	Project Appraisal Document
PAPs	Project Affected Persons
PCU	Project Coordination unit
PDO	Project Development Objective
PFSs	Project Financial Statements
PIM	Project Implementation Manual
PITA	Particular Information to Applicants
PMR	Procurement Management Report
PRT	Planning and Reporting Tool
PS	Private Sector
QBS	Quality Based Selection
QCBS	Quality and Cost Based Selection
RAP	Resettlement Action Plan
REoI	Request for Expression of Interest
REILA	Responsible Innovative Land Administration
RFP	Request for Proposal
RLLP	Resilient Landscapes and Livelihoods Project
RPF	Resettlement Policy Framework
RSC	Regional Steering Committee
RTC	Regional Technical Committee

RWH	Rainwater Harvesting
SA	Social Assessment
SBD	Standard Bidding Document
SCC	Special Conditions of Contract
SFB	Selection under a Fixed Budget
SHG	Self Help Groups
SLLC	Second Level Landholding Certification
SLWM	Sustainable Land and Water Management
SLMP	Sustainable Land Management Program
SMS	Subject Matter Specialist
SNNPRS	Southern Nations Nationalities and Peoples Regional State
SoE	Statements of Expenditure
SPN	Special Procurement Notice
SR	Schedule of Requirement
SRV	Stores Receipt Voucher
SSID	Small Scale Irrigation Directorate
SSS	Single Source Selection
STEP	Strategic Tracking Exchange for Procurement
SWC	Soil and Water Conservation
ToR	Terms of Reference
ToT	Training of Trainer
UAVs	Unmanned Aerial Vehicles
UIFRs	Unaudited Interim Financial Report
VCS	Verified Carbon Standard
VfM	Value for Money
VLD	Voluntary Land Donation
WIC	Woreda Information Centers
WLAUO	Woreda Land Administration Use Office
WMUP	Watershed Management Use Plan
WoA	Woreda Office of Agriculture
WOCAT	World Overview of Conservation Approaches and Technologies
WSC	Woreda Steering Committee
WTC	Woreda Technical Committee
WUA	Water Users Association
ZTC	Zone Technical Committee

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1. Introduction

The Government of Ethiopia (GoE) recognizes that land degradation is a major economic growth constraining factor not only as an impediment to accelerated and sustainable socioeconomic development, but also as a serious obstacle to the wellbeing of its people. As a result, nationally, the two phases Growth and Transformation Plans (GTP I, 2010 - 2015 and GTP II, 2015 - 2020) has considered the priority investment to landscape restoration through mass mobilization of the community. At this stage Government has also developed 10 Years Perspective Plan (2021 – 2030). Supportive to the government plan, Ministry of Agriculture is implementing a nationwide Ethiopian Strategic Investment Framework (ESIF, 2010) to guide a systematic approach to combat pressure over the land resources. The Development Partners through bilateral and multilateral partnership has supporting the government’s efforts in implementing Sustainable Land Management Program (SLMP). The below Table 1 has summarized the partners and respective projects under implementation since 2008 and the finance mobilized so far.

Table 1. Profile of projects under the SLMP

No	Name of the project	Number of Major watersheds (MWs)	Project period	Total Budget (Million USD)
1	WB-SLMP-I	45	2008-2013	29.00
2	WB-SLMP-II	135*	2014-2018	145.40
3	GAC-LAND	18	2013-2016	13.80
4	KfW-SLM-I &II	23	2012-2019	27.60
5	KfW-SLM-III	10	2017-2022	32.00
6	KfW-SLM-IV	23	2019 -2023	18.00
7	EU-SLM	11	2017-2019	23.70
8	IFAD- CBINReM	26	2010-2018	27.20
9	RLLP	170**	2019-2023	132.00
10	RLLP-II	47***	2021-2026	178.00
	Total	287		626.70

* = SLMP-I 45 watersheds included during SLMP-II implementation period,

** = SLMP-I 45 and SLMP-II 90 watersheds (135 watersheds) included during RLLP including 17 New Major Watersheds. Additional Finance from Global Affairs Canada in 18 Major Watersheds.

IFAD-CBINReM (Community Based Integrated Natural Resource Management).

RLLP-II*** (GCF financed 40 woredas in seven SLMP regions and PROGREEN supported 7 woredas in Gambella and SNNPRS).

As indicated in Table 1 above, since 2008 Sustainable Land Management Program has been implementing ten projects covering so far 287 watersheds. To combat the extensive land degradation in the country coupled with overall encouraging results obtained during the two phases of ESIF implementation (2008 - 2013 and 2014 - 2019), has prompted the government and its development partners to launch a follow-on project known as Resilient Landscapes and Livelihoods Project (RLLP) which is financed by the World Bank and other development partners (mainly Norway and Canada). In addition to that, the WB through different partners (GCF and PROGREEN) needs to scale up and enhance Ethiopia’s SLMP through RLLP-II which is designed to create resilient landscapes and livelihoods for vulnerable rural populations in Ethiopia. The development partners financing agreements require the GoE to take full responsibility of preparing a Project Implementation Manual (PIM) acceptable to the partners. As a result this Project Implementation Manual is prepared to harmonize the implementation procedures at

landscape level and standardize basic information and data of the program. The RLLP-II will be implemented under the Sustainable Land Management Program in the seven regional states, namely Amhara, Benishangul Gumuz, Gambella, Oromia, Sidama, SNNP and Tigray.

The Project Implementation Manual (PIM) is designed to provide a detailed and time bound plan for implementation of the Sustainable Land Management Program (including RLLP-II). It is based on the RLLP (P163383) and RLLP-II (P174385)-Project Appraisal Documents and is intended to provide guidance to senior managers within the different departments/agencies tasked with project execution and implementation. It will also serve as a tool for the supervision and monitoring of the project by relevant federal, regional, zone and woreda level organizations to be involved in the implementation process. It will serve the same purpose for the beneficiary communities and development partners engaged in providing technical and financial support to the project. Since the PIM is not intended to be a rigid blueprint, it will be reviewed from time to time (Reference to Midterm review outputs) with the objective of maintaining its dynamism.

The primary/direct beneficiaries of the project (RLLP-I and RLLP-II) will be 899,151 rural households (approximately 4.4 million individuals), who are the most dependent on the degraded land resources, facing land tenure and water insecurity in 217 selected watersheds. There are also indirect beneficiaries, which include: (i) communities adjacent to project intervention areas adopting SLM and 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, benefited from reduced flooding, and lower sediment loads, as a result of SLM interventions.

Women will be specifically targeted to ensure that they fully participate in project benefits through a variety of mechanisms, including: (i) equal participation of women in Community Watershed Teams (CWTs), Kebele Watershed Teams (KWTs), Kebele Land Administration and Use Committees (KLAUCs), and Watershed User Associations (WUAs); (ii) provision of joint land certificates to married couples, and individual land titles for women in Female-Headed Households; (iii) promotion of women's participation in Common-Interest Groups (CIGs) for income-generating activities; and (iv) targeted support for the production and marketing of improved cook-stoves, (v) bringing health gains and time-savings that benefit women in particular.

This PIM is developed by the Ministry of Agriculture (MoA) in collaboration with different partners. It is organized into two parts. The first part contains the project's objectives and scope, the project implementation arrangements, description of the project (project components and sub components with their implementation modalities), project structure and institutional arrangements, preparation of annual work plan and budget. The second part contains arrangements for monitoring and evaluation, compliance with environmental

and social safeguards, financial, and procurement management. In addition to this manual, there are detail operational manuals prepared for each component and subcomponent, Monitoring and Evaluation (M&E) and Learning, Financial Management (FM), procurement, Land Certification (NARLAIS, SLLC), environmental and social safeguard management, gender mainstreaming and other documents prepared by the ministry in general and SLMP in particular.

1.1. RLLP/RLLP-II Objective and Scope

To contribute to the achievement of the government higher objectives and to bring the benefits of the Government's SLM Program to further rural communities affected by land degradation, the Resilient Landscapes and Livelihoods Project (RLLP and RLLP-II) will scale up the successes of the SLM Program, and complement these achievements with innovations aimed at sustaining project benefits. Therefore, the Project Development Objective (PDO) is to improve climate resilience, land productivity and carbon storage, and increase access to diversified livelihood activities in selected rural watersheds.

The project will be implemented in seven regions with increased number of the watersheds, which is 217 including the existing 135 major watersheds supported under SLMP-II and 17 RLLP woredas, 18 GAC supported woredas, and 47 additional GCF and PROGREEN financed new woredas. The objective would be achieved through the provision of capital investments, technical assistance and capacity building for small holder farmers in the watersheds and government institutions at national and sub-national levels. Five main PDO-level indicators are specified to help determine the extent of results attainment indicating the realization of measure to which the development and environment objectives are achieved. The detail is indicated under Result Framework Indicator (RFI) matrix with the following PDO-level indicators.

1. Hectare of Land area under sustainable landscape management practices which are sub classified into:
 - 1a. Hectare of Land area restored or reforested/afforested,
 - 1b. Hectare of Land area with productivity enhancing practices applied,
2. Metric tons of Net Greenhouse Gas Emissions;
3. Number of Households adopting diversified livelihood activities supported by the project
 - 3a. Female headed households adopting diversified livelihood activities supported by the project (no);
4. Percentage of Project area showing an increase in the Normalized Difference Vegetation Index (NDVI)¹ correcting for climate effects;
5. Percentage of Project area showing an increase in the Land Surface Water Index (LSWI)² correcting for climate effects.

¹The Normalized Difference Vegetation Index (NDVI) uses the visible and near-infrared bands of the electromagnetic spectrum to analyze remote sensing measurements to determine the extent to which a target contains live green vegetation.

²The Land Surface Water Index (LSWI) uses the shortwave infrared and near-infrared bands of the electromagnetic spectrum to analyze remote sensing measurements to determine the amount of water in vegetation and soil.

2. Project Implementation Arrangement

The Project will be implemented using the existing government organizational structures and facilitated by a multi-sectoral institutional arrangement comprising five levels - Federal, Regional, Zonal, Woreda (District), and Kebele (Sub-District). To enhance the accountability and quality of deliverables, to enhance the functionality of the program coordination platforms at regional and woreda level there will be formal Memorandum of Understanding (MoU) to be signed between the hierarchies (Federal level Steering Committee head with regional Steering Committee head and regional heads with the respective woreda level head).

Federal Level: At federal level, the Ministry of Agriculture (MoA) will take the overall responsibility of the project implementation. In order to oversee and coordinate the development and implementation of the National Framework for SLM, Natural Resources, Climate Change and Food Security TC has been established comprising of (a) National SLM Steering Committee (NSLMP-SC) composed of high level representation from relevant ministries and Development Partners; (b) National SLM Project Technical Committee (NSLMP-TC) comprising of senior technical staff from different relevant ministries and public and private agencies and institutions; and (c) National SLMP Coordination Unit (NSLM-PCU). MoA will, therefore, be responsible for the coordination and implementation of this project at the federal level through its SLM-PCU. MoA also have a leadership role on the rural land administration at federal level to develop a land administration policy document in association and consultation with the regional states.

National SLMP Steering Committee (NSLMP-SC): Oversight of the Project at the federal level will be provided by NSLMP-SC whose membership would reflect a range of stakeholders' interests as shown in the box below.

NSLMP-SC	Chairperson	State Minister for Natural Resource and Food Security Sector
	Secretary	NSLMP Program Coordinator
	Meeting Frequency	Twice a year (July and February)
	<u>Members</u>	
	Ministry of Agriculture Ministry of Finance Ministry of Water, Irrigation and Energy Ministry of Women and Children Affairs Rural Job Creation Commission (Any responsible body from Rural Job creation) Environment, Forest and Climate Change Commission Ethiopian Institute of Agricultural Research Federal Cooperative Agency Regional Bureau of Agriculture Regional SLMP program Coordinators Development partners of SLMP	

NSLMP-SC responsibilities include:

- Providing policy guidance, standardizing and harmonizing legal and technical matters;
- Oversight and overall supervision for project implementation;
- Reviewing and approval of the consolidated annual work plan, budget and procurement plan at national level;
- Reviewing and approving the annual implementation performance report; and
- Overseeing the execution of any corrective actions that will be taken.

National SLMP Technical Committee (NSLMP-TC): According to the Sector Working Group REDFS SWG Handbook Technical Committee are categorized into five areas among which Natural Resources, Climate Change and Food Security is the one. The NSLMP-TC comprises of senior technical staff of the earlier mentioned ministries, development partners supporting SLM projects, Civil Society Organizations (CSO) and Non-Governmental Organizations (NGOs) actively engaged in SLM activities. The NSLMP-TC will assist NSLMP-SC and the Program Coordinator on all technical aspects of the project.

The technical committee has four Task Forces (TF):

- Sustainable Land Management TF chaired by NRM Directorate,
- Climate Smart Agriculture TF chaired by CRGE Directorate,
- Agriculture water management TF chaired by Small Scale Irrigation Directorate,
- Food Security and Job Creation TF chaired by Rural Job Creation Directorate.

NSLMP-TC	Chairperson	State Minister for Natural Resource and Food Security of MoA, DPs co-chair
	Secretary	RED&FS
	Meeting Frequency	At least every quarter in a project year
	Members	Ministry of Agriculture Directorates of NRM and Food Security sector Environment, Forest and Climate Change Commission Ministry of Water, Irrigation and Energy Ministry of Women and Children Affairs RED&FS secretariat SLMP Coordination Unit Development partners Ethiopian Institute of Agricultural Research Institute of Biodiversity Conservation Cooperative Promotion Agency

NSLMP-TC responsibilities include

- Provide technical advice on the quality of implementation performance reports,
- Provide technical advice on special studies such as policy and legislative drafts, financial and audit reports,
- Assist in the documentation of best practices and M&E reports.

National SLMP Coordination Unit (NSLM-PCU): The NSLM/RLLP-PCU will be headed by the National Program Coordinator who will be responsible for the day-to-day management of the SLMP implementation. The NSLM-PCU will maintain a multi-disciplinary team stated as follows and accountable to State Minister of NRM and Food Security sector of MoA.

Key staff composition of NSLMP Coordination Unit at the Federal Level	
	National Coordinator
	Three Financial Management Specialists
	One Socio Economic and Livelihood Specialist
	One Land Administration and Use Specialist
	One Environment Safeguards Specialist
	Two Procurement and Contract Management Specialists
	Two Monitoring and Evaluation Specialists
	One Watershed Management Specialist
	One Soil Fertility Management Specialist
	One Knowledge Management and Communication Specialist
	One Climate Smart Agriculture Specialist
	One Forest Management Specialist
	One capacity building Specialist
	One Cadaster Survey and Land Information Specialist
	One Social Development (including Social Safeguard and Gender) Specialist
	One Database Manager
	One GIS Specialist

NSLM-PCU duties and responsibilities include:

- Serving as the secretariat for the *NSLMP-SC and NSLMP-TC*;
- Consolidating regional annual work plans, budgets and procurement plans;
- Facilitating and supervising implementation of work-plans and corrective actions, ;
- Facilitating and processing of procuring works, goods and services;
- Monitoring overall implementation progress of the project including management/mitigation plans and evaluating project impacts;
- Preparing progress reports, undertake different impact evaluation missions, and
- provide administrative and technical support to the steering and technical committees

Regional Level: In each of the RLLP regions there will be (a) Regional SLMP Steering Committee (RSLMP-SC), (b) Regional SLMP Technical Committee (RSLMP-TC), and (c) Regional SLMP Coordination Unit (RSLM-PCU). Regional SLMP Steering Committee: Like NSLMP-SC, regional senior technical staffs of relevant government institutions and development partners will be a member of the RSLMP-SC. Detailed list is in the box below.

RSLMP-SC	Chairperson	BoA with other Bureaus co-chair
	Secretary	RSLMP Regional Program Coordinator
	Meeting Frequency	At least quarterly
	Members Bureau of Agriculture Bureau of Land Administration (in their respective region)	

	Bureau of Finance Bureau of Water, Irrigation and Energy Bureau of Environment, Forest and Climate Change Regional Agricultural Research Institutes (RARIs) Bureau of Cooperative Promotion Bureau of Social and Children Affairs Bureau of Rural Job Creation (in regions which have the structure) Bureau of Women Affairs Development partners at regional level and Other relevant bureaus
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RSLMP-SC responsibilities include:

- Ensuring relevant government policies and the project objectives are adhered to;
- Reviewing and approving annual work plans and budget of the region;
- Monitoring and evaluating the progress of the project; and
- Providing guidance and advice to the RSLM-PCU.

Regional SLMP Technical Committee: Like at the federal level, the RSLM-PTC will be composed of members from relevant regional government institutions, Civil Society Organizations, and NGOs SLM related initiatives in the region, as indicated below.

RSLMPTC	Chairperson	BoA Deputy Head
	Secretary	RSLMP Coordinator
	Meeting Frequency	At least monthly
	<u>Members</u>	
	Bureau of Agriculture Bureau Head of Land Administration Bureau of Finance Bureau of Water, Irrigation and Electricity Bureau of Environment, Forest and Climate Change Regional Agricultural Research Institute Regional Cooperative Promotion Agency Bureau of Women and Children Affairs Development partners at regional level and Other relevant bureaus	

RSLMP-TC responsibilities include:

- Reviewing and consolidating annual work plans and budgets, procurement plans submitted by the Woredas;
- Reviewing and approving implementation progress reports (including physical, M&E, financial, audit, safeguards, etc.) originating from the Woredas;
- Leading the implementation of the SLM Program, serving as the link between the Federal, Zonal and Woreda implementation set-ups.

Regional Sustainable Land Management Program Coordination Unit (RSLM-PCU):

The RSLM-PCU will be placed in BoA. It will receive technical support from RSLMP-TC and it will be responsible to provide administrative and technical support to the RSLMP-SC. The project will cover the remuneration and other operating costs associated with the regional project coordinator, M&E specialist, financial management specialist, watershed specialist, infrastructure specialist, environmental safeguard specialist, Social development (safeguard and Gender) specialist, climate smart agriculture specialist, accountant, land administration and use specialist and procurement officer, Forest and Biodiversity specialist (for Gambella and SNNP only) and others.

Zone Level

Zonal SLMP Steering Committee (ZSLMP-SC): The ZSLMP-SC will include representatives of Zone Environmental regulatory body/Zone office of Agriculture (ZoA), Zone Land Administration and Use Office (ZLAUO), Zone Cooperative Promotions Office (ZCPO), Zone office of Finance (ZoF), Zone office of Water, Irrigation and Energy (ZoWIE), Zonal Administrations and other relevant stakeholders as needed. It will play oversight role of the project implementation at the zonal level. The ZSLMP-SC will be chaired by the Zone Administrator, with the Zonal Focal Person (ZFP) serving as the secretary. The ZSLMP-SC will be responsible for monitoring and evaluating progress of the project; and provide guidance and advice to the ZSLMP-TC and Zonal Focal Person. The zone committee will meet at least once in a month.

Zonal SLMP Technical Committee (ZSLMP-TC): The Zonal SLMP-TC will be made up of senior technical staff from ZoA, ZLAUO, ZCPA, ZoF, ZoWIE and provide technical advice to WTC on the planning, quality of studies, guidelines, documentation of best practices and M&E reports. The committee will be chaired by the Head of the ZoEP/ZoA, with the ZFP serving as its secretary and will meet at least two times in a month. The Zonal SLM Focal Person will be assigned from ZoA on a full-time basis to follow up, coordinate and report project activities at the zone level. The financial and accounting activities of the project will be supported by the zone office of Finance.

Woreda Level

At the woreda level, Woreda Steering Committee (WSC) will be set up. It will be composed of members of the Woreda Cabinet with heads of Woreda sectoral line offices as members.

WSC	Chairperson	Woreda Administrator
	Secretary	Woreda SLMP Focal Person
	Meeting Frequency	At least twice a month
	<u>Members</u> Head of Agriculture Head of Land Administration and Use Head of Finance and Economic Cooperation Head of Water, Irrigation and Energy/	

	Head of Environment, Forest and Climate Change Head of Cooperative Promotion Head of Rural Job Creation Office Head of Rural Road Construction Head of Women and Children Affairs Rural Job Creation/Micro and Small Enterprises Development Office Other relevant offices
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WSC responsibilities include:

- Ensure the project objectives are adhered to,
- Review and approve annual work plans and budget including procurement plan;
- Monitor and evaluate the progress of the project;
- Help in resolving implementation issues and challenges;
- Secure inter-departmental support in program implementation; and
- Provide guidance and advice to the SLM coordination desk/WoA.

Woreda Technical Committee (WTC): The Woreda Office of Agriculture (WoA) will be responsible for implementing the project at woreda level, with active collaboration of other woreda and zonal offices. Composition of the WTC is shown below.

WTC	Chairperson	WoA
	Secretary	Woreda Focal Coordinator
	Meeting Frequency	At least weekly
	Members	
	Soil Conservation Expert Land Use and Administration Expert Agro-forestry Expert, Agronomist (plant management, IPM), Livestock development Expert, Environment regulatory expert, Food Security Expert/rural job creation expert Gender expert, Water Harvesting /Irrigation Expert, Cooperative/Marketing and Inputs Expert, Rural Road Construction Expert, Economist/Socio-economist/Agro-economist and Other relevant experts,	

The ground planning and execution of activities under the project will be undertaken jointly by WTC, KWT, KLAUCs, Development Agents (DAs), Community Facilitators (CFs) and communities. Thus, WTCs, KWTs, KLAUCs, DAs and CFs will assist communities in:

- Developing annual work plans and budgets and submit to the region for endorsement and integration into the regions' work plans and budgets;
- Facilitating community participation in watershed planning and rehabilitation;
- Provide training and awareness creation;

- Monitoring and evaluation of the status of implementation of the project interventions;
- Dissemination of innovations in SLM;
- Approving the quality and quantity of the work in the watershed; and
- WTC would also be responsible for the facilitation of the land certification, administration and Land Use Planning (LUP) activities at the woreda and kebele levels,
- WTC would also be responsible for the facilitation of environmental and social safeguards, gender mainstreaming issues at woreda and kebele level.

Woreda office of Agriculture (WoA)/Woreda Land Administration and Use Office (WLAUO)/Woreda office of Environment, Forest and Climate Change (WoEFCC): It will have a major role and responsibility for the coordination of development activities related to SLM. The Woreda SLM focal person will be assigned from /WoA on a full time basis to follow up, coordinate and report project activities at the woreda level. Financial and accounting/procurement activities for the project will be carried out through the accountant who will be hired by the Project positioned at woreda and regional levels, with the support of Zonal and Woreda Office of Finance (WoF).

As per the proclamation, ‘Rural Land Administration and Use Proclamation No.456/2005’, the Woreda Land Administration and Use Office (WLAUO) will play a proactive role in the implementation of the land certification, land information system, and local level participatory land use planning activities.

Woreda Office of Administration (WoAd): While the responsibility of the day to day coordination of the SLM project rests on the /WoA, the support of the Woreda Administration will be very crucial. It will play key roles in respect to:

- Providing effective mechanism for integrated development planning that promotes sustainable land uses, and conservation and utilization of natural resources;
- Coordinating cross-sectoral linkages, networks, knowledge sharing and collaboration within the woreda and kebele level institutional and program management arrangement;
- Facilitating the implementation of the project’s land administration interventions;
- Promoting farmer-service providers platform and partnership;
- Maintaining the government and nongovernmental agencies partnership in the implementation of organizational and human resource capacity building and development;
- Promoting enabling environment on the ground for SLM in general.

Kebele Level

Kebele Administration: Kebele administration, the lowest unit in the government administrative structure, will serve as a vital bridge between farmers and the project, and will ensure effective farmer’s participation in the project implementation. The kebele cabinet will be responsible for facilitating and supporting the communities in planning and implementation at the community level. It will also be responsible for supervising the community works and the deployment of the DAs in support of project implementation.

The Kebele Administrator will sign agreement with CWT on-behalf of the government (project input distribution and execution of activities) in line with the agreed norms also sign on the eligibility checklist of subprojects to be financed at kebele level to execute ESMF procedural implementation. A Kebele Watershed Team (KWT) will be established as per the revised CBPWD Guidelines. KWT will include the Kebele Chairman, Kebele Rural Development Head, DAs assigned to the kebele, one male representative/leader of each community (*gott*), one female representative/leader of each community (*gott*), one respected and influential person from each community (*gott*), and a youth representative. The share of female committee members will be 50%. The Kebele Chairman will serve as the chair of the KWT with the DA as secretary; it/KWT will meet at least once a week. The KWT will ensure coordination between the kebele and communities for specific activities of common interest and benefits including SLM activities.

The Kebele Land Administration and Use Committee/KLAUC will be established based on the regional land laws. Active participation of the KLAUC in the field is irreplaceable. One of the benefits of the endorsed method of land surveying is that it is participatory and the KLAUCs work as the representatives of the community. Hence the committee will involve in boundary demarcation, in adjudication of rights of holders, particularly, in protecting the right of women and vulnerable groups. The committee will play a critical role in resolving conflicts and in facilitating the work for the field teams. Essentially parcel or kebele boundary demarcation has to be undertaken in the presence of the landholder, the neighbors, the field teams, the KLAUC and whenever necessary in the presence of elders and woreda/kebele land administration expert.

Community Level

Community Watershed Team (CWT): Being the primary beneficiaries of the project, the farming communities will be encouraged to participate fully in all aspects of the project including identification, preparation, work planning, implementation (including environmental and social management plan implementation), monitoring and reporting, operation and maintenance. Using MoA's CBPWD Guideline, the communities will elect their representatives and active members from each of the social groups to form a Community Watershed Team (CWT). The CWT will work closely with kebeles and Watershed User Association and individual beneficiaries for specific activities of common interest and benefit including SLM activities. In general, the CWT membership will include:

- Community leader (also representing the community at kebele level),
- Four male-headed households representing different social groups (including vulnerable) living in different parts of the community,
- Four female-headed households representing different social groups (including vulnerable) and living in different strata of the community (down to top),
- One youth representative,
- One religious representative,
- Others as required by the community (innovative farmers, respected people, women's group, etc.),

- Female committee members should be 50%.

The CWT will be assisted by the DA and the CF on a day-to-day basis. The CWT will be chaired by the elected beneficiary, with the CF serving as its secretary and meet at least twice in a week. KWT will support the CWT in providing guidance and problem resolution. Roles and responsibilities of RLLP implementers as well as the project implementation, coordination and oversight hierarchy - Federal to community levels is shown in Figure 1 below.

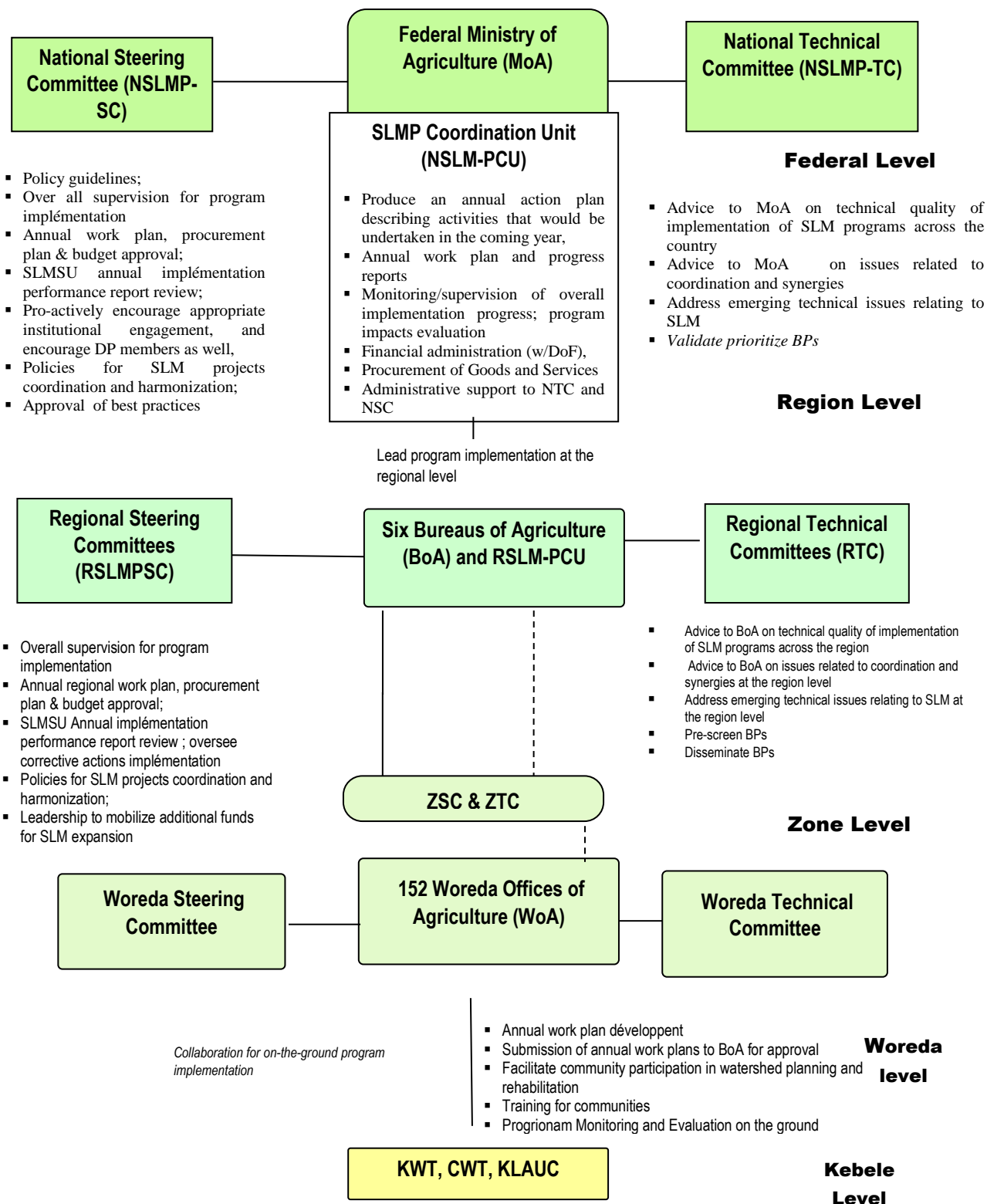


Figure 1. SLMP (RLLP/RLLP-II) implementation structure

3. Resilient Landscapes and Livelihoods Projects component implementation

A phased approach will be adopted in the form of support provided to watersheds, differentiating between those selected under SLMP-I, SLMP-II, and newly identified for RLLP and newly proposed RLLP-II. The forty-five watersheds supported under SLMP-I will receive technical assistance to graduate from project-based support to long-term maintenance of landscape productivity. To facilitate this transition, the RLLP will support the creation of Watershed User Associations (WUAs), build local government capacity to design and manage SLM interventions, strengthen incentives for household investment in SLM through land certification, and help improve returns to sustainable productive activities by forging connections to value chains. Project support for the ninety SLMP-II watersheds will allow completion of their Multi-Year Development Plans (MYDPs) for watershed restoration, prior to provision of graduation support as for SLMP-I watersheds. Seventeen RLLP watersheds and 47 RLLP-II (including PROGREEN supported) watersheds have been selected based on criteria set out in the ESIF, prioritized based on extent and severity of land degradation and designed to create resilient landscapes and livelihoods for vulnerable rural populations in Ethiopia. These new watersheds will receive technical assistance for the preparation of MYDPs, followed by investment in SLM and CSA practices. The project, i.e., RLLP-I will be implemented through four integrated components, whereas RLLP-II will be implemented through these components with the exception of component 3. Detail is presented below.

3.1. Component 1: Green Infrastructure and Resilient Livelihoods

The objectives of this component are to support the restoration of degraded landscapes in selected watersheds and to help build resilient livelihoods on this newly productive foundation. This will be achieved through three sub-components, supporting: (i) the implementation of Sustainable Land and Water Management (SLWM) practices in line with Multi-Year Development Plans (MYDPs) in 90 SLMP-II and 17 RLLP and newly identified 47 watersheds; (ii) the adoption of climate-smart agricultural practices in 200 restored micro-watersheds selected from SLMP-I, SLMP-II, RLLP intervention watersheds; and (iii) the promotion of livelihood-diversifying IGAs in all RLLP and RLLP-II watersheds, and support in 16 pilot watersheds for linkages to value chains.

This component will complete the implementation of SLWM interventions identified in the MYDPs of 90 SLMP-II and 17 RLLP watersheds, and extend these proven interventions to 47 RLLP-II additional watersheds that are vulnerable to climate variability and change, recurrent drought and floods, and land degradation. SLWM interventions on both communal and individual lands will be financed (with differentiated levels of community contribution), as well as infrastructure such as green corridors linking fragmented forests, and community access roads designed to optimize water-harvesting. Proven SLWM practices include: (i) soil and water conservation infrastructure such as terraces, water harvesting trenches, check dams, small reservoirs, and other civil works; (ii) soil fertility and moisture management; and (iii) assisted natural regeneration, enclosures plus livestock land-use rationalization, intercropping, low tillage, gully reclamation, establishment of grazing corridors, watering points and wells and sylvo-pastoral management strategies.

Building on the biophysical landscape restoration achieved through SLWM practices, this component will extend the ongoing pilot of CSA under SLMP-II to 200 further micro watersheds, providing support for activity packages that address: (i) farm water and soil moisture management; (ii) integrated soil fertility and soil health management; (iii) crop development and management; and (iv) sustainable livestock production, through feed development and integrated agro-sylvo-pastoral practices. To strengthen community resilience through livelihood diversification, this component will extend the support for IGAs provided under SLMP-II and RLLP to RLLP-II watersheds, providing support to Common Interest Groups (CIGs) for activities such as apiculture, poultry rearing, sheep and goat fattening, vegetable and fruit farming, and the production and marketing of improved cook stoves which help reduce pressure on watersheds' natural resources. The RLLP/RLLP-II will further promote CSA and livelihood diversification through stronger engagement with the private sector, providing support in sixteen pilot woredas for value chain connections in the form of: (i) business plan development; (ii) storage facilities and small equipment for grading and processing; (iii) collaboration with other value chain programs to facilitate market linkages; and (iv) development of contracts with cooperatives, cooperative unions and other private sector partners.

Sub component 1.1: Land Restoration and Watershed Management

This sub-component will focus on the implementation of land rehabilitation measures and establishment of green infrastructure required for the rehabilitation mainly of communally-owned degraded forest, pasture and woodlands, privately cultivated lands, through biophysical land and water conservation measures. One key objective of this sub-component is to create benefit to the communities in the targeted micro watersheds from increased ecological services and land productivity, mainly through productive use and management of landscapes resources. In addition to the proven practices applied during SLMP-II, this sub-component will also introduce the establishment of green corridors, which will enhance watershed restoration and ecological connectivity, as well as expand the lifespan and resilience of drainage and road infrastructure. The objective of the sub-component will be achieved through biological and physical soil and water conservation measures that ensure reduced surface run-off and soil erosion, as well as improved land productivity, resulting in enhanced crop and livestock production. The following activities will be supported:

Identification and delineation of major and micro watersheds

Openly available dataset such as high resolution DEM (30m), Google earth, or satellite imagery, GPS or topo map (1:50,000) helps to identify watershed outlet and with the collective knowledge of woreda experts, delineation of major drainage courses (consisting of rivers/streams, other drainage lines, and the like) and demarcate the micro watersheds using GIS softwares such as ArcGIS and QGIS. If digital data sets, software, GPS, topo maps, or other instruments mentioned above are not available, there should not delay the possibility to identify major watersheds instead one can use sketch maps or other administrative maps and identify communities and range of communities where watershed planning can start.

- a) Major watersheds (size can vary widely from 5,000-12,000 ha)

- b) Each of these major watersheds can be divided into micro watershed units, each having an area that could range from 500 to 1,000 ha.

List of eligible interventions or practices for the sub component

- Physical and Biological SWC structures in communal and farm land areas,
- Treatment of degraded areas (hillsides, gullies),
- Treatment of pasture and grazing lands
- Construction of moisture harvesting structures (trenches, Eye brow basin...)
- Reforestation and afforestation
- Planting materials production
- Biodiversity conservation
- Establishment of Green Corridors (targeting riverine forest, Road side trees and shrubs, public parks, church forests, etc.)
- Establishment of protected area systems, conservation zones, communal reserves, grooves, and wild life corridor.

Implementation Process and Procedure

The startup point for implementing RLLP at the Woreda level will be the establishment of Woreda Steering Committee (WSC), Woreda Technical Committee (WTC) and assigning Woreda Focal Coordinator (WFC). At Kebele level the establishment of Kebele Watershed Team (KWT), Kebele Land Administration and Use Committee (KLAUC) and Community Watershed Team (CWT) in newly added woredas and strengthening in the existing woredas will be the other activity to be performed. The CWT will be established with appropriate representation of upper, middle and lower parts of the watershed and comprises at least 50 percent of female during the planning.

The first general meeting of the watershed community in which all communities within the watershed will be invited to participate in the planning constitutes a major critical step in the process. Under the facilitation of the WFC and supports from the WTC, the general assembly of watershed community identifies major problems in the watershed along with the possibilities of addressing the problems in the framework of RLLP-I and RLLP-II. Preferential ranking and priority setting will be carried out following democratic principles and procedures including voting if consensus cannot be attained- simple majority decision. The planning processes will be demand driven and will follow a bottom-up approach to lay foundation for all of the interventions to be carried out and ensure sustainability. The watershed development plans will be developed under the ownership of the CWT with the support of the WTC and ZTC. At the onset of the planning process, biophysical and socio-economic survey and assessment of the whole watershed will be undertaken, as described in the CBPWDG (under revision by MoA).

The following eligibility criteria is used for selection of interventions in the watershed development plans (Source CBPWDG, 2020):-

- **Measures and target groups/land use:** RLLP/RLLP-II has package of interventions

and/or measures that are implemented on individual farmlands and communal lands. Interventions are often all connected and need a common understanding on which activity to start first or simultaneously that will be most advantageous to restore degraded land and benefit the community. For example, the treatment of the upper catchment together with the contiguous areas in adjacent communities could generate sufficient water table recharge to allow hand dug wells to be established at individual level for many households. Thus, the first criteria is connected land use based

- **Pool of experience and options:** Platforms at kebele level (DAs/KWT/CWT/CFs) should identify those interventions most suitable taking into considerations their respective agro-ecological conditions based on the problems and demands or priorities expressed by the community. Particularly those related to natural resource development and productivity enhancement will be prioritized carefully looking at the land use, soil, slope and vegetation features. Thus, the second criteria is suitability and scalability.
- **Role of traditional knowledge:** Different soil and water conservation practices (physical and biological) and water harvesting are important, for they contribute to the control of erosion that otherwise would be even worse than what is actually observed. RLLP will implement and/or prioritize the interventions based on farmers' perception of what does well and what does not under the existing limitations. And the limitations can be addressed through creation of awareness, training, involvement of government institutions, and the like because they are more of technical and financial.
- **Addressing women's needs:** Reduction of workloads and environmental hardships are key elements of community watershed planning. RLLP is a demand driven project and all interventions planned start from the community, where women constitute large portion of the watershed. The DA with the support of other platforms should make sure that the CWT places equal importance to activities that benefit women. Activities to be implemented will give priority to benefit women, for example women would be very much interested in treatment of upper watersheds mostly because of their effect on water-tables, thus on springs, wells or filling of ponds.

The results of the watershed assessment along with identified watershed priority actions will be presented to the general meeting of the watershed community for amendment. Presentation to the general assembly will properly describe the priority problems to be addressed, associated actions and targets, location of the actions within the watershed, duration and responsibility centers of the actors. During this process, if there is a need for land acquisition try to avoid by looking other alternatives, such as change in design or location, or otherwise if the land holder is willing to donate the land the activity will be implemented as planned. However, the voluntarily donated land should not affect the livelihood of the household. Detail implementation arrangement is found in the social safeguard section of this PIM. Upon approval of the initial (mentioned) plan, detailed planning of activities including budgeting will follow and the revised version will be presented once again to the general assembly for decision. A formal statement or minute for

all consultations, decisions made should be documented at community and kebele level.

The implementation of this subcomponent will emphasize a micro watershed approach of watershed and landscape management. This is considered strategic to extend land management and soil conservation to start from the upper landscape to move to the downstream. Since the downstream interventions (physical and biological structures) require the treatment of the upper watershed to sustain the structures and improve the livelihood of the beneficiaries, RLLP will provide the maximum attention to commence the conservation measures from the upstream. In a situation where interventions demand to be performed in downstream simultaneously, RLLP will facilitate interventions at downstream when it is judged to bring behavioral change towards conservation through helping the inhabitants to improve livelihood, or there is a belief that the equity aspect of the development is enhanced, or RLLP management believes it develops ownership feelings of the beneficiary communities, which will contribute to the strengthening of the sustainability of RLLP outcomes. Then, volunteer farmers who have legitimacy to use the intended land for conservation will be organized under Watershed Users Association with the object of scaling up voluntarism for involvement in sustainable land management practices. CWT, KWT and community will agree on the norms to be assigned to varied interventions under this subcomponent (refer to Annex for details on the norms).

The Community Facilitator (CF) will ensure that the kebele administration stamps three copies of the agreement. The recipients of the signed copies are CWT, KWT and the third is for the file. Upon work completion, the CF and members of the CWT measure the quantity and quality of work done and the former submits the result to the KWT for subsequent actions. KWT and DAs approve the work performed, authorize and forward the report to the WTC. The WTC will organize a multidisciplinary team for supervision. The team prepares field report with requisite recommendations to submit to the chair of the WTC/WoA for approval. The WFC and hired/assigned accountant collect the approved document and presents to the Woreda Finance Office to effect payment. The Woreda finance office will assign an accountant and a cashier to effect payment at a micro watershed level according to norm based payee list. The process flow and possible interventions and associated procedures are presented in figure 2 below.

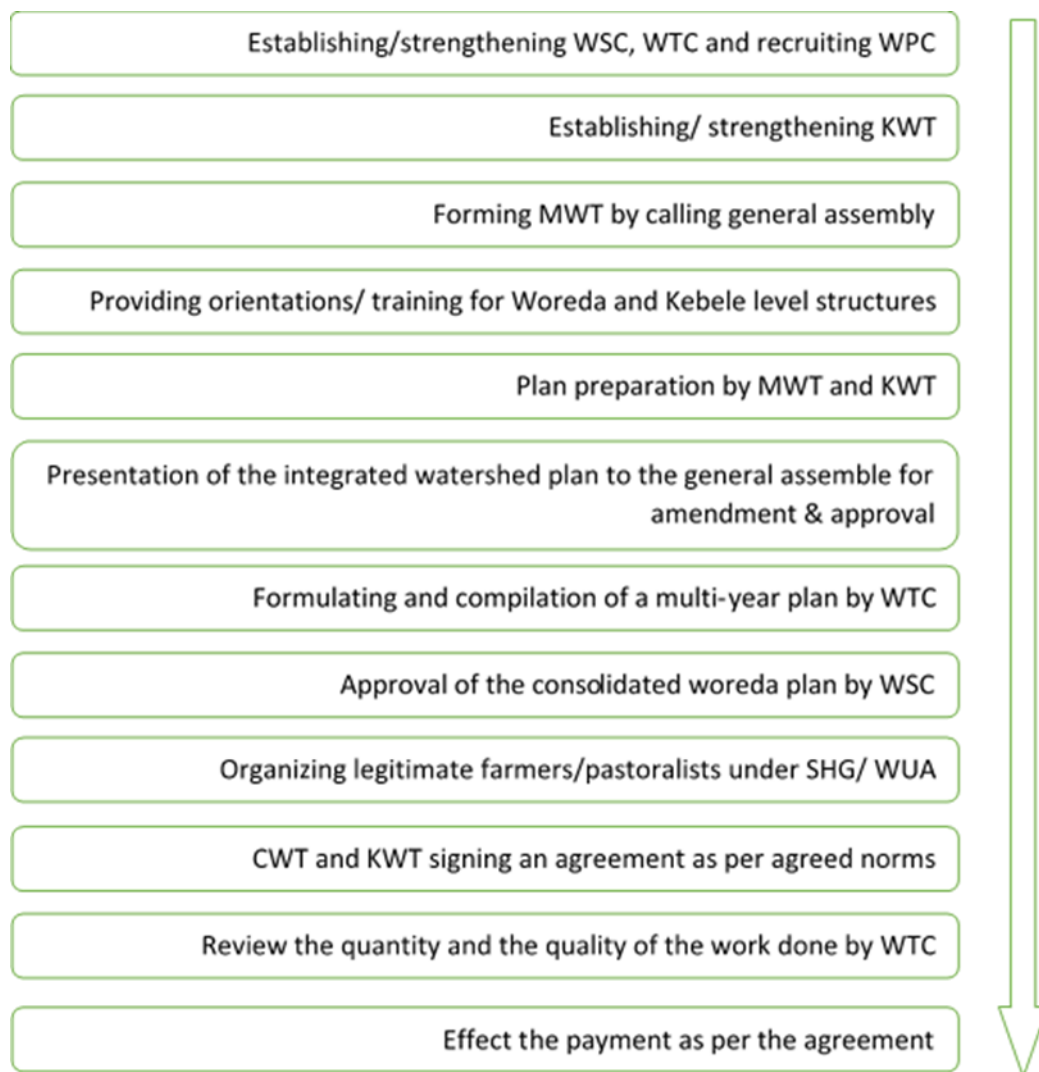


Figure 2. Process flow of RLLP

Soil and water conservation and treatment of degraded communal lands: The main objective, here, is to stabilize hill sides, rehabilitate degraded lands and gullies through specific locally appropriate physical and biological measures. Physical and biological measures will be combined and sequenced depending on the level of degradation and specific local conditions. Determining the size of the area affected and level of degradation and identifying possible options of rehabilitation from a wide range of available options is the first critical step. Effective rehabilitation and treatment requires optimal combination of measures appropriate to the prevailing specific conditions. Estimation of resource and labor requirements and scheduling of implementation shall be captured in a multi-year plan from which annual implementation plans are to be derived. The costs will be shared between RLLP-I and RLLP-II and the beneficiary communities. Up to 80 percent of the cost will be covered by the projects, while at least 20 percent will be covered by the communities in the form of labor and locally available materials.

Soil and Water Conservation on Farm Land: The implementation of physical and biological conservation practices on individual farmlands is the responsibility of the farmers/pastoralists. RLLP/RLLP-II will cover up to 30% of the total cost of laying out of

terraces (soil bunds, fanyajuu, stone bunds and trenches) and application demonstration related to these conservation measures. RLLP will also cover costs associated with experience-sharing visits and provision of planting materials (grasses/forage species) for bund stabilizing to enhance the achievements. The remaining 70% of the cost of activities will be covered by the farmers in the form of cash, labor and/or local materials as per the objective conditions prevailing in the specific watershed or micro watershed. While this constitutes the general approach, farmlands having: (1) slope greater than 15%, (2) top soils shallower than 10 cm., (3) surface soil 40% or more covered with coarse fragments, and/or (4) soils of pH lower than 5.5 will receive the same RLLP support as those in the communal lands. In addition, gullies crossing the farmlands of several households (10 or more) will be eligible for RLLP supports the same as in the communal lands. This is to mean that, in such cases, RLLP will finance up to 80% of the total cost of the planned activities.

Forage development: The project will introduce and provide a variety of plant species ranging from fodder crops to pasture and rangelands in RLLP-I and RLLP-II watersheds intended to increase their productivity and to ensure the overall calorific value of feed for grazing animals. RLLP/RLLP-II will also promote rotational grazing, stall feeding, cut-and-carry livestock feed materials from enclosed areas in an organized, socially acceptable and environmentally friendly way. Furthermore, using Agroforestry shrubs and trees that enhance the availability of fodder for livestock and bees will be established, based on local conditions and farmers' preferences. These will include the establishment of fodder banks around the homestead (e.g., *Doberaglabra*, *Ficusthonningii*), as live fences (e.g., *Chameacytisuspalmansis*), boundary plantings, and parkland systems (*Faidherbia Albida*).

Introduction of selected techniques for the sustainable utilization of wild forage tree/shrubs will also be a focus in the lowland areas. These activities will be done at individual farmer's field, and pastoralists will agree with KWT to pass over the inputs to others that the project will avail to them in kind. All the trainings and planting material will be supported by RLLP and in specific technologies the management costs could be supported by RLLP. Otherwise the management cost will be fully handled by the users. To get support from RLLP, the users should get 80% survival rate of the planted seedlings and maintain naturally regenerated seedlings up to 90%.

In-situ moisture harvesting structures: The project will support the construction of moisture harvesting structures including rain water collection from different catchment, various ground water recharging measures, trenches, improved pits, eyebrow basin, percolation ponds etc. on the need of the community and suitability of local conditions either on group or individual basis, as appropriate. During the construction of such structures, RLLP will finance up to 80% of the cost while the beneficiary contributes at least 20% of the cost in terms of cash, labor and provision of local materials.

Availability of Seedlings: Seedling availability and its efficient distribution are critically important for a successful rehabilitation of degraded areas (gullies, hillsides, agricultural fields, planting along roads and streams, etc.). To ensure consistent and adequate supply, nurseries will be established at appropriate strategic locations, and/or the existing nurseries

will be strengthened to meet the needs. Within a major watershed one central nursery should be established/ strengthen to produce sufficient amount of different tree species. Potted seedlings appropriate for each agro-ecology shall be produced. The private sector, farmers' groups and the community will be encouraged to engage in the establishment and management of tree nurseries to produce seedlings for the market. The aim is to ensure seedlings supply sustainably and to consider seedling production as a business. Landless and jobless youths will be particularly targeted and supported to engage in nursery operation as a means of livelihood.

Area Closure: This activity includes assisted natural regeneration through restrictions on free grazing; enrichment planting. Soil fertility improvement and moisture retention will be implemented in communal areas and/or privately managed degraded bush and woodlands.

Area delineation- the intended area for implementing the above-mentioned interventions in each selected watershed will be demarcated in consultation with communities using GPS/GIS Software, Satellite imagery, Google Earth and Topo map. RLLP will encourage farmers through prior informed consultations in the identification and delineation of areas subjected for area closure, prioritizing farmers' who have use right on the land where its use is established to be in the long-term interest of farmers and communities. Besides, RLLP will provide support to organize farmers in CIGs/ Area Closure User Groups, capacitate them to manage and utilize the resources there. The groups will be encouraged and technically supported to develop their own management and use plan, establish an agreement with KWT to conserve and maintain the resources, and endorse the bylaws that helps to manage and share the benefit. RLLP will also support the communities to amend the bylaws to manage rehabilitated land (including hillside restoration, beekeeping, cut and carry, fuel wood collection, fattening, etc.).

Biodiversity Conservation: Trainings will be provided to WTC and other responsible office experts at woreda level by regional PCU staff in coordination with the federal team. The WTC in turn will mobilize the soil and water conservation and other relevant experts to introduce/orient biodiversity conservation techniques at the community and individual farm levels. The themes of the trainings/ orientation will include identification of endemic and endangered local plant species, collection of seeds and planting materials as well as local varieties and accessions, multiplication of genetic materials, in-situ conservation at individual farm and local levels and nursery establishment. The Kebele and Woreda Cooperative Promotion, Rural job creation/ Small and Micro enterprise Offices will support in-situ conservation and wetland areas conservation users of the land; they will be organized under user group to enter into an agreement with KWT to conserve the resources, develop management plan for in-situ conservation, establish and endorse by laws to manage and share the benefits that will be generated from the conservation sites. The Kebele and Woreda Cooperative Promotion Office will be responsible to establish, monitor and provide technical support in business management, as well as registering qualifying group as a legal entity.

Local communities, religious and social institutions like schools, health facilities and others will be encouraged to strengthen their respective contributions to natural resources

conservation, especially drawing their attention to threatened endemic and endangered trees, shrubs and medicinal plants in RLLP-I and RLLP-II watersheds. This will include through identification of endemic and endangered local plant species, collection of seeds and planting materials as well as local varieties and accessions, multiplication of genetic materials, and establishment of nurseries. The WTC will receive trainings from IBC (in consultation with PCU) and support the establishment and/or strengthen of community level protected area systems, delineate conservation zones, identify communal reserves, grooves, and wildlife corridors through mobilizing experts.

Establishment of Green Corridors: Green Corridor (GC) connects two or more fragmented patches or landscapes. Green Infrastructure (GI) is an interconnected network of waterways, wetlands, woodlands, wildlife habitats, and other natural areas; greenways, parks and other conservation lands; working farms, ranches and forests; and wilderness and other spaces that support native species, maintain natural ecological processes, sustain air and water resources, and contribute to the health and quality of life of people. GI can be interconnected using GCs. GCs that create networks of different interventions within and between communal and individual lands shall be established. Roads and river banks in the areas to connect different interventions mentioned above and different landscapes (micro watershed) shall be targeted.

Green corridors can be constructed using trees, shrubs, grasses, and any other non-invasive plant species suitable for a particular agro-ecology. Species selection for trees and shrubs should be based on a Technical Handbook produced by Azene Bekele-Tesema (1993), and Tree seed zones of Ethiopia. All species, preferably, should be indigenous. Whenever possible, priority should be given to multipurpose trees and shrubs species. As much as possible, to increase diversity in a landscape, monoculture should be avoided. The shape of the green corridor follows the shape of the river or the road. The width of the corridors is proposed to be 0.5 Km from the river and/or road bank.

Depending on the consultation and consensus the width can be adjusted to desired size. Green corridors establishment needs suitable site for effective return in social, environmental and economical outcomes or benefits. Connectivity rules the operation therefore, intervention type should be supported by technical feasibility but determined through consultation with the stakeholders. The principles of *no-harm* to social and environment should be applied.

Establishment of protected area system, conservation zone and communal reserve: The World Conservation Union- IUCN defines a protected area as an area of land and/or sea especially dedicated to the protection and maintenance of biological diversity, and of natural and associated cultural resources, and managed through legal or other effective means. On the other hand, the Convention on Biological Diversity (1992) describes protected area as a geographically defined area, which is designated or regulated and managed to achieve specific conservation objective. Communal reserves are conservation areas for flora and fauna, allowing traditional use for the rural populations surrounding the areas. The use and marketing of the natural resources within the communal reserve is conducted by the same rural populations.

The project will support the establishment of protected area system, conservation zone and communal reserves through enrichment planting, afforestation reforestation, Participatory Natural resource (Forest) management and other silvicultural operations using area closure system that the community agree to protect the area as communal reserve or forest protection area that will be managed and to be used by the community.

Implementation modality

The sustainable management of protected area can be insured if and only if the local community owned and gets benefit out of it. Thus, local communities have to participate in all the process of decision to protect the area i.e., during demarcation of the area and identification of communal reserve areas. In participating the communities in this process, it will enable them to understand the importance of protecting the area and their responsibility in managing the protected area strengthening their sense of ownership.

Some part of the protected area within the landscape system may need to be reserved untouched for special habitat of wildlife (like breeding site), wetland or gene bank for flora and fauna. In such condition, the local community who lives in the watershed area will be organized in to groups to sign and make an agreement with concerned authority to take the responsibility of protecting the reserve while benefiting from the buffer zone of the protected area based on the management plan to be developed in consultation with them.

Bamboo Development for land degradation: One of the indigenous multipurpose plan to mitigate land degradation and enrich the biodiversity in Ethiopia is promoting bamboo development in communal areas as well as in individual farms. This was one of the effort undertaken in SLMP-II and, RLLP will continue to support land users in communal lands as well as in individually operated plots in all regions. Bamboo development will be integrated as a strategic plant in different packages of forest development, where the watersheds are considered suitable for bamboo development. The interventions experience during SLMP-II implementation will help to gain knowledge and experience to scale out and scale up in this RLLP phase including RLLP-II. Central nurseries engaged in bamboo seedling production will continue in producing quality bamboo seedlings as source site of bamboo seedling production. Landless and jobless youths will be particularly targeted and supported to engage in bamboo nursery operation, bamboo plantation development as well as small scale bamboo manufacturing as a means of livelihood.

Strengthening the efforts and outputs obtained during SLMP-II implementation will continue by enhancing native bamboo species development and establishing CIGs bamboo manufacturing of bamboo products. In consultation with EFCCC and research institutes RLLP will also consider and follow the status and performance of exotic bamboo species introduced by INBAR based on modality of certified clearance agreement document. In case of communal land occupied by bamboo, volunteer farmers/pastoralists residing at close proximity will be organized under CIG, get support in the preparation of bylaws and develop management plan to administer and share the benefit.

Community Infrastructure: Resilient Landscapes and Livelihoods Project (RLLP) is a follow-on project built on the firm foundation of the cumulative lessons learned and experiences gained from its predecessors SLMP. As a result, this project has emerged with a more advanced intervention packages that pragmatically enhance sustainability of the assets created by the program in the real sense of it as strongly linked to addressing the desire for a meaningful livelihood improvement of the target community. In this respect, special focus is given to increasingly build base flow of the streams nurtured as a result of watershed treatment for Small Holder Farming (SHF) and potable water supply development purpose and establishing access to the project activity sites and connecting the communities. Thus, cognizant of the huge demand for livelihood improvement in the selected watersheds, , and amass the multiple benefits (like ensuring household level food security, improving the living standard of the beneficiaries, ensuring food accessibility through the market mechanism that development of small holder farming possess beyond meeting this demand), RLLP has given due attention to the promotion of SHF, household ponds, community ponds, potable water supply and access road construction within the limits of its financial or budgetary constraints.

The construction of water harvesting structures (household and community ponds), potable water supply schemes (hand-dug-wells), and water lifting technologies (rope and washer, motor pumps, treadle pumps) for crop production, domestic and livestock purposes will be promoted. The project will support the construction of spring developments and hand-dug-wells for domestic and livestock water use which could be linked with cattle trough and washing basins including water quality test. The Project will also support community efforts to build simple rural roads/footpaths/community roads (road, fords, culverts, small bridges) with intent to improve the livelihoods of the rural farming families and facilitate access to different activity sites, village to village, village to market centers, village to main roads, nursery sites to main roads, movement of inputs to woreda stores, etc. and to community forests of the project destinations.. The relevant Woreda Offices such as Water, Irrigation and Energy; Road Construction; Agricultural offices, environment regulatory bodies will identify the schemes, prepare design and approves them with the support of the zonal and regional experts so that the activities are included in the Woreda plan of action of RLLP/RLLP-II where budget provision is made. Quality assurance and other regulatory activities are also the responsibility of these offices and specialists assigned by the project, i.e. RLLP. A detailed rural access roads planning, design, implementation and Operation & Maintenance guidelines will be developed by the Project. The construction of these activities will be outsourced involving local contractors or managed by own force, as explained in implementation modality for Agricultural development. The project will finance up to 70% of the cost of these activities while beneficiaries will contribute, at a minimum, 30% in the form of local materials and labor.

Feasibility and detailed design of water harvesting and potable water supply schemes and community roads should be carried out by force account of the responsible offices. Construction of water harvesting, potable water supply and community roads can be partially or fully outsourced to local service providers and contractors. Outsourcing will be preceded

by appropriate feasibility studies which should be considered during annual plan and budget preparation. Service providers and contractors will qualify to bid as per the project's procurement procedures and guidelines where the guidelines incorporated the appropriate environmental and social considerations in addressing the impacts during and after construction. Force Account (FA) method where RLLP facility or government and community personnel and equipment are used to construct the required facility is an option. FA becomes practical where construction works are of simple design, and/or where work site is located in remote areas in which case qualified construction firms are unlikely to bid at affordable and competitive prices. FA is also preferred to where the work can be carried out without disrupting the on-going operations and where risks of unavoidable work interruption are better borne compared to a contractor.

The project will finance the construction of new Small Holder Farming (SHF) based on the availability of water resources. Also it finances to rehabilitate old schemes/SSI constructed during the last two phases of SLMP to improve the overall living standards of the watershed communities, given the investment is appropriate, cost-effective environmentally friendly and socially acceptable. . For sustainable and efficient use of invested resources during SLMP-I and SLMP-II, the project will prepare a guideline and use manual for those SSI. Payments or budgets of small holder farming whose implementation and payment could not be completed within the fiscal year shall be transferred to the following fiscal year. To ensure quality and timely implementation of Small Holder Farming and civil works, the project will hire senior Agricultural engineers at regional levels with strong background in Agricultural engineering. The engineers together with the regional safeguard specialists/other relevant experts will ensure the proper implementation and addressing of the mitigation measures sited in the management plan before payment is made.

The Regional bureaus: Bureau of Water, Irrigation and Energy; Agriculture, rural road; environment, forest and climate change and others will be involved in review of documents, construction works and supervision of the structures. Furthermore, the project will develop guideline for the identification, planning, design, implementation and Operation and Maintenance (O&M) of infrastructure in collaboration with other sectoral bureaus at regional level as per the ToR drafted for this purpose. The Cooperative Promotion Office, Water Development, and Agriculture Offices will be in charge of organizing beneficiary farmers into Water Users Associations (WUA), support to draw up byelaws and facilitate registration as legal entities. Communities and farmers will be responsible for the construction and distribution to their respective command areas, maintain the structures and mediate the conflicts when occurring. The project will also provide high yielding and disease tolerant seeds and will work together with the extension directorate. Extension support on irrigation agronomy and water management shall be provided by Offices of Agriculture, Irrigation and Water at woreda and regional level as well.

Based on a thorough, rational thought of fairly sharing the project fund among its components and sub-components, considering their scale pertinent to the project objective and the impact they may ultimately produce collectively or in isolation, a maximum budget

of 5% of the total annual budget allocated to region is earmarked to small holder farming development each year. Nonetheless, as this resource is quite scarce, the small holder farming technology that worth development should be screened based on valid eligibility criteria.

Water Users Association (WUA) will be established to efficiently manage and utilize the developed small scale irrigation schemes. Empirical experiences reveal that WUA managing irrigation/ Water Harvesting (WH) play important roles including administering the schemes and the auxiliary infrastructures, ensuring equity in water access to members, resolving conflicts, addressing critical issues connected with collection of water fees, providing members with quality agricultural production inputs timely, creating marketing network, maintenance of the schemes, and helping farmers in marketing of farm products.

The Woreda Cooperative Promotion Office, Woreda Office of Agriculture, Offices of Land Administration and Use will assume a proactive role-to train farmers residing in the command areas, and others who have legitimacy to use the irrigation and WH structures to organize under WUAs and empower them with a legal entity. The Cooperative Promotion Office together with the aforesaid offices will promote the establishment of committees and capacitating the leadership of the WUAs including concerned government officers like kebele administrator, and Development Agents (DAs) on roles and responsibilities. The WTC will also coordinate the establishment, preparation of the byelaws and the legitimacy of WUA.

The project management at all levels, especially at the local level, CWT, KWT and KLAUC will ensure that WUA leaders are fairly elected and land allocation in the irrigation command areas is done as per the government policy in the respective regions. RLLP implementing bodies will monitor that the WUAs responsibly and fairly administer the exchange of land of among members in the command areas and elsewhere in the localities.

Eligibility criteria for selection of labor participants that receive cash incentives

The approach the project uses is a bottom up demand driven approach. It's all transparent that every community member will participate in the development works. With the ultimate objective of treating the degraded lands and enhance the productive capacity of the small holder farmers' the various sustainable land management practices on both on the communal and farm lands entail the involvement of the community members at various age groups. However, to make more transparent and ensuring the quality and quantity of works of the project, the following eligibility criteria (some among the many) will be used to select those labor forces that receive cash incentives:-

- Those who are not government employed and/or any private sector or NGO not employed,
- Those who do not have land and any job,
- Priority will be given to interested FHHs, male and female youths, and disabled persons,
- Those who are interested to receive any technical support from the concerned experts at all level and show interest to transfer the knowledge they got to others,

- Those whose livelihoods depends on the natural resource base of the area, and others.

For activities supported by some incentive payment for community, Community Incentive Payment Monitoring Mechanism/procedures that has combined both technical and financial requirements is annexed under 5.

Sub-component 1.2. Climate-Smart Agriculture

Interventions under this sub-component will aim at enhancing the livelihood resilience of beneficiary households through Climate-Smart Agriculture (CSA) interventions in selected micro-watersheds assisted by the project. The improved adaptation of restored watersheds to variable rainfall patterns and adverse climatic events, combined with reduced degradation-related risks (achieved through sub-component 1.1, will provide suitable conditions for beneficiaries to adopt improved, climate-smart farming practices and diversify and/or intensify their current production systems. For this, technical and financial assistance will be provided to stabilize soils and increase fertility; improve water retention, harvesting and infiltration; increase biomass (and carbon) accumulation; and promote the adoption of climate-smart tillage and production practices in farm plots and home gardens.

This sub-component will build on the achievements of sub-component 1.1, such as improved water retention and infiltration, gully and degraded hillside stabilization, and enhanced biomass production. This connection to the biophysical restoration of the landscape is important, as it will help ensure that unsustainable agricultural practices do not reverse prior restoration measures. In this way, agricultural activities become fully integrated into the watershed/landscape restoration approach, and contribute towards the goal of climate resilient watersheds. The ongoing pilot of CSA within SLMP-II and lessons from international experience indicate that CSA cannot be achieved by a single measure or practice. In order to achieve the triple wins of adaptation, mitigation and increased production, technical and financial assistance will be provided to implement context-specific packages of CSA activities.

Following is the list of eligible CSA activity packages/interventions that will be supported under this sub-component:

Farm water and soil moisture management: This will include in situ soil moisture management practices such as improved tillage, mulching/permanent soil cover and water harvesting including construction of cut-off/on drains and road water harvesting. Provision of improved farm tools/machineries for moisture conservation tillage will be considered under this activity;

Integrated soil fertility and soil health management: Various soil fertility management practices such as improved compost making including bio-slurry, vermi-compost and manure management (including bio-digesters); lime and gypsum application for acidic and alkaline soils respectively; promotion of tree-crop-livestock systems (agro-forestry practices); and crop rotation and legume intercropping will be integrated as a package and promoted based

on local conditions and farmers indigenous knowledge and commitment;

Crop development and management: Access to better performing crops (drought and disease resistant) will be supported based on local-level adaptive research and crowd-sourcing by farmers over a wide range of crop varieties (both local and improved cultivars). Integrated pest and disease management, including post-harvest management, will be practiced to minimize crop yield losses. Productive use of increased soil moisture through production and management of high value crops, such as vegetables and fruits, will also be part of this activity package. Improved farm tools and machinery such as line planters, tillage and harvesting equipment will also be tested to improve the efficiency and effectiveness of the cropping system;

Environmentally-friendly livestock production through feed development and management: High quality and quantity forage in pasture and along farm boundaries, gullies and back yards will be a priority to minimize dependence on crop residue as livestock feed, and to ensure increased use of biomass for soil fertility improvement. Efficient use of livestock feed resources through feed treatment and improvement of feeding troughs will also be implemented to reduce losses. Appropriate integration of agro-sylvo-animal husbandry practices will be introduced at homestead level based on the needs of local farmers and the suitability of local conditions. Practicing an integration of multi-purpose food and tree cropping with livestock rearing at the homestead can improve the fertility and organic matter content (including carbon) of soils, and increase crop yields and household food security.

CSA interventions will be implemented in 200 and 170 micro-watersheds of RLLP-I and RLLP-II, respectively that have already been supported with landscape restoration during SLMP I and II. The following set of criteria was used to select eligible micro-watersheds:

- i. At least 75 percent of the watershed restoration/rehabilitation plans completed;
- ii. Community agreement/bylaw on cut and carry/controlled grazing enforced ;
- iii. Forage development along gullies, farm bunds, pasture lands and homestead are partly implemented ;
- iv. Farmland covering more than 50 percent of the micro-watershed area ;
- v. Access to functional Farmer Training Centers (FTCs) ;
- vi. Adjacent to SLMP-II CSA pilot watersheds ;
- vii. Local knowledge or traditional practice of multi-cropping system ; and
- viii. Commitment of community and kebele watershed teams.

The operational unit for CSA interventions in eligible micro-watersheds will be groups of organized farmers and their corresponding contiguous farm plots. The number of groups and farm plots will be determined during the planning phase based on the budget allocated to the woreda for CSA. CSA groups will be organized by the DAs assisted by woreda experts. In each group, the number of members should ideally range between 20 and 30 farmers. These groups will constitute the equivalent of the Common Interest Groups (CIGs) promoted by AGP, which will prepare results-oriented subproject proposals, integrating packages of goods, small works, services and/or operating costs for RLLP financing. The project will

provide required inputs to the CSA interest groups to improve efficiency of the farming practice.

CSA is knowledge intensive and entails moving toward an agro-ecological approach, but these changes are necessary to increase resilience to climate change. Project practitioners will, therefore, need to extend their support to beneficiaries beyond the planning phase and provide technical assistance throughout the entire adoption cycle. For this, the workload of the local technical structure will include resources to: (i) conduct periodic visits to the plots of farmers implementing CSA practices, (ii) establish demonstration or testing plots, and (iii) organize and conduct dissemination activities such as field days and farmer exchange visits. Equally important, the regional structure should be capable of providing technical backstopping to DAs, through periodic joint field visits, on-farm refresher training, as well as assistance in planning and conducting demonstration activities. CSA technology testing and demonstration activities, as well as collaboration with research and academic institutions, will be part of CSA implementation. For this, FTCs or similar structures will be identified and utilized at the watershed level, while contributions by research and academic institutions for the identification of appropriate technologies and practices will be implemented through the establishment of a CSA Innovation Platform.

The alternative technologies and practices selected are:

- Soil moisture management including drainage and cutoff drains in micro watersheds,
- Agroforestry,
- Disease and drought resistant crops,
- Improved farm machineries/tools (handheld harvester, ripper, line planter, mechanical weed slasher,
- Compost making
- Organic/biofertilizer,
- Improved livestock feeding troughs including feed treatment materials.

The RLLP promotes Climate Smart Agriculture, including the use of mulch, cover crops and minimum tillage, which also seeks to minimize the application of agrochemicals. The combination of CSA activities and the implementation of the integrated pest management plan included in the ESMF will reduce vulnerability to pest and disease impacts. The resulting improved crop production together with the provision of high-yielding and disease tolerant seeds will support efforts to minimize the use of pesticides and agro-chemicals in the project area.

Implementation modality / Implementation Process and Procedure

CSA interventions under RLLP will be implemented primarily in micro-watersheds that have already been supported with SWC measures. CSA interventions on farm land and for livestock development must build upon the soil and water conservation measures which have previously been implemented in the micro watershed. For example, the increase in biomass production resulting from area closures on degraded hillsides or rehabilitation of gullies

provides the basis for adoption of zero-grazing on farmland and the consequent improved animal productivity practices.

Differing from SWC, which are mostly one-time measures, such as physical and biological rehabilitation of degraded areas, CSA interventions will be implemented on a seasonal or annual basis depending on the number and type of practices to be adopted. As such, a multiyear planning methods will be adopted, in which the number of annual interventions will depend on the allocated budget and the absorptive capacity of beneficiary groups and availability of local technical staff.

The following eligibility criteria is used for selection of interventions/packages/prioritized actions:

- Package of CSA related practices at major watershed/project level: based on category of interventions, i.e., climate smart crop production, climate smart livestock production, water management, agro-biodiversity, conservation and sustainable utilization and climate/weather information system,
- Package of CSA interventions at micro watershed and HH level: from the package of activities by rating each practices based on the potential of the specific practice to address the CSA criteria (productivity, adaptation and/or mitigation), suitability of socio-economic conditions, suitability for a wide range of agro-ecology based application (highland, midland, lowland), whether the practice is under implementation by farmers, existing technical standard for the implementation of the practice and operation challenge of the practice,
- Production of high quality forage development included in the list of interventions using the criteria based on the need, synergies and trade-offs of the different package of practices,
- Develop an infotech for each selected activity where interventions and technologies are described in brief form, i.e., description and purpose of implementing the technology, purpose, suitability to the local condition and technical standard of the technology.
- In addition, CA and Agroforestry also included in the list of intervention based on the findings and recommendations of a study report- Introduction of Conservation Agriculture and Agro-forestry technologies into SLMP-II in Ethiopia- conducted by African Conservation Tillage Network (ACT) financed by the World Bank.

The findings indicated that there is a good opportunity for scaling up of the CA and AF technologies in SLMP due to the existence of experiences in traditional and new technologies, availability of supportive policy and strategies in the country that enhance introduction or practicing of CSA and the existence of a number of actors from the government institutions, private sector, research and training and non-governmental organization who have been engaging in promotion of CA and AF.

In new critical watersheds, to effectively ensure that CSA interventions are fully complementary to SWC measures, the planning of CSA interventions will be integrated and aligned with the SWC watershed management plans, as described in the CSA manual. In

watersheds where the SWC investments have been completed, the planning and implementation of CSA interventions will be conducted as an individual process, but taking into full consideration the overall results of the SWC interventions, both in terms of the enabling environment created, as well as the contributions made by these interventions with regards to the three CSA pillars, including mitigation where appropriate.

The ultimate goal of CSA adoption in SLMP watersheds is to achieve a CSA landscape, where all land and all farmers have adopted practices conducive to increased climate-resilient productivity, while contributing to reduced overall GHG emissions.

The actual number of farmers in the group and the number of groups to be organized within each micro watershed, will be decided by DAs and woreda experts, based on the available budget, the number and complexity of practices to be implemented, the number of households in the village, and the capacity of DAs to provide regular technical support during the entire adoption process.

To ensure quality and timely implementation of this sub-component, RLLP will hire a Climate Smart Agriculture Specialist with strong background in Climate change related issue at federal level and the activity will be implemented as per the CSA Manual, which is going to be updated by RLLP. Similarly, Climate-Smart Agriculture Specialist with strong background in Climate change impact and adaptation will be hired for each of the six regions.

Prioritized activities for the sub-component

Conservation Agriculture (CA): It is an approach to managing agro-ecosystems for improved and sustained productivity, increased profits and food security while preserving and enhancing the resource base and the environment.

CA is characterized by three linked principles: (1) Principle of continuous minimum soil disturbance, i.e. tillage is reduced to ripping planting lines (minimum tillage) or making holes for planting with a hoe (no/ zero tillage); (2) Principle of permanent organic soil cover/Keep the soil covered as much as possible; crop residues left on the field, mulch and special cover crops protect the soil from deleterious effects of exposure to rain and sun; to provide the micro and macro organisms in the soil with a constant supply of "food"; and alter the microclimate in the soil for optimal growth and development of soil organisms, including plant roots; (3) Principle of mixing and rotating crops: planting the right mix of crops in the same field, and rotating crops from season to season. The rotation of crops is not only necessary to offer a diverse "diet" to the soil microorganisms, but also as they are capable of exploring different soil layers for nutrients at different soil depths. These practices also reduce pest build-up and damage.

This is an effective CSA strategy since it increases productivity and helps farmers adapt to climate uncertainty through reducing risk of crop failure. It also keeps soils covered with living plants for a longer period. The program will implement and promote CA technologies at cluster of farm plots/ group of farmer's land including (1) reduced tillage (minimum tillage); (2) cover crops (leguminous – pigeon peas, beans, etc.); (3) crop residue

management; (4) crop rotation; (5) mulching; (6) intercropping of food crops and legumes; (7) planting of forage/fodder trees; and 8) standardize compost preparation and utilization.

Agro Forestry (AF): Agro-forestry is a collective name for land-use systems and technologies where woody perennials (trees, shrubs, palms, bamboos, etc.) are deliberately used on the same land-management units as agricultural crops and/or animals, in some form of spatial arrangement or temporal sequence. This definition implies that:

- Agro-forestry normally involves two or more species of plants (or plants and animals), at least one of which is a woody perennial;
- An agro-forestry system always has two or more outputs;
- The cycle of an agro-forestry system is always more than one year.

Agro-forestry practices will be the responsibility of the individual farmer and the project will facilitate trainings, organize exposure visits, experience sharing programs to exchange views and practices among different stakeholders and community members; and also provide seedlings/seed and promote AF interventions including those stated in the list below:

- Planting of nitrogen fixing tree species and other fertilizer trees on farmland and farm boundaries;
- Conservation Agriculture With Trees (CAWT);
- Planting selected shade trees in coffee and spice farming;
- Woodlot around homestead and riverbanks (Biomass production);
- Common fruit trees around homestead;
- Expansion of Moringa and other leafy vegetable trees;
- Establishment of fodder bank;
- Establishment of bee-forage;
- Plantation of valuable trees/shrubs;
- Farmers-Managed Natural Regeneration (FMNR);
- Gully stabilization with bamboo on individual land; and

All the practices outlined above are considered to be widely applicable in all project major watersheds and selected micro-watersheds. During project implementation farmers will be guided to select the practices by trained DAs or other persons providing training and technical guidance to farmers in order to enable them properly apply the chosen practices on their lands.

Agro-biodiversity for enhancing crop production and food security: The recent concern over environmental quality of agricultural production has led to a renewed interest in crop–livestock systems, primarily because they provide opportunities for agro-bio diversification, nutrient cycling and greater energy efficiency. More generally system diversification is considered a viable option to manage climate related risks. While agro-biodiversity encompasses the variety and variability of animals, plants and micro-organisms that are necessary for sustaining key functions of the agro-ecosystem in support of food production

and food security (including cultural and management practices), including its structure and processes (FAO, 1999a).

Implementation steps for Agro-Biodiversity activities

- Identify suitable crops and their varieties for any given production system in watersheds using a participatory approach.
- Test the identified varieties with farmers using diversity blocks. Following the identification of suitable crops and varieties, a field is prepared with a maximum of 30 varieties for field evaluation by farmers and experts. It is advised that this activity is conducted in collaboration with the closest research centre to benefit from the skills of researchers and technicians.
- Validate varieties and enhance availability by distributing them through crowd sourcing approaches.
- Enhance social capital by establishing community seed bank.
- Popularize and share diversity within the community through diversity fairs.
- Document community based management of diversity through community biodiversity registry. It can be applied to both animals and crops as a way to maintain the information about them.
- Set up within breed genetic improvement using Community Based Animal Conservation and Breeding (CBACB) approach on selected breeds.

Forage development: Forage development is important to improve the environmental footprint of feeding animals. This is because feed is one of the limiting factors in animal production. In order to improve feeding and primary productivity it is important to make better use of existing feed and forage resources and to test new species in potentially suitable environmental conditions. This includes consideration of forages, crop residues and rangelands. Where land is not a limiting factor, forages and rangeland are the best option, however in areas where land is a limiting factor crop residues become prominent.

The main strategy for dominant livestock/forage development system is: land based system, mixed system and landless system. Among the three strategies, mixed system is the best way to integrate forage development in the landscape management system, since they serve multiple purposes, if well managed, may be among the most promising means of adapting to climate change and mitigating the contribution of crop and livestock production to GHG emission (CSA Source book p.219).

For RLLP/RLLP-II, the main strategy for forage development is integrating crop with forage/legume system in the overall landscape management system using different temporal and spatial arrangement in farm plots and grazing areas, as there is no separate land for crop and livestock.



Figure 3. List of forage types included in the CSA field manual

Agricultural water management: RLLP will finance farm water and soil moisture management activities and the maintenance and rehabilitation of old schemes to improve the overall living standards of the watershed communities, given the investment is appropriate (socially acceptable), cost-effective, and environmentally friendly.

List of water development activities to be promoted and financed by the project include:

1. Community pond: It is a pond or reservoir constructed by a community during the dry period for the purpose of storing surface runoff from a catchment area.
2. Estimating crop water requirement.

Climate/Weather Information: agriculture depends on whether/climate conditions that govern the growth and development of crops and animals, water availability to crops and animals, land use and agricultural decisions. Natural resource use and conservation is also highly influenced by climate. The Ethiopian climate is characterized by spatial and temporal variability and it is also influenced by global climate change. Adapting agriculture to both climate change and variability requires farm decisions that are based on pre-season, in-season and post-harvest climate information. This info-tech provides useful guidance in the use of climate information that guide farm level decisions under the changing climate. In general, the project will finance for the sub-component up to 45% of the cost while the beneficiary contributes 55% of the cost in CSA interventions listed above.

During RLLP, 200 micro-watersheds are targeted in IDA and MDTF. In addition, with GCF fund, 170 micro-watersheds will be included when the fund is available, which makes a total of 370 micro watersheds. The eligibility criteria set for the selection of CSA intervention in the 200 micro-watersheds (from SLMP- I and SLMP-II major watersheds) will apply to RLLP-II micro watersheds as well. Before the implementation of CSA activities, biophysical and socio economic data of the selected micro watersheds will be collected.

Table 2. Summary of CSA intervention micro watersheds distribution

Region	SLMP I watershed (A)	No. Of CSA micro watershed (SLMP-I) (B)	SLMP II model watershed (C)	No. Of CSA micro watershed (SLMP-II model watershed (D)	Total major watershed (SLMP-I and II) $E = (A+C)$	Total micro watershed for RLLP $F = (B+D)$	Total
							Regional share (%)
Amhara	10	40	1	3	11	43	21.5
B/Gumuz	4	16	1	3	5	19	9.5
Gambella	3	12	1	4	4	16	8
Oromia	14	56	1	3	15	59	29.5
SNNP	10	40	1	4	11	44	22
Tigray	4	16	1	3	6	19	9.5
Total	45	180	6	20	51	200	100

Subcomponent 1.3: Livelihood Diversification and Connection to Value Chains

This sub-component includes innovative activities that will enhance the sustainability of the resilient, improved livelihoods created as a result of the activities in sub-components 1.1 and 1.2. The generation of sustainable improved incomes for the vulnerable smallholder farmers targeted by the project will enable them to maintain the rehabilitated watersheds. Without the activities in this sub-component there is a risk that poverty will lead the beneficiaries to return to previous, unsustainable practices after the project ends, reversing the gains made through the introduction of sustainable land management and climate smart agriculture. The activities include advisory services and investment to improve access to and implementation of climate resilient livelihood diversification. These activities will help address the issue of landless/jobless youth/women and the resulting increased stress on the natural resource base and its potential to reduce climate risks. Beyond physical and biological measures, the Sustainable Land Management Projects (SLMP-I and SLMP-II) have promoted livelihood diversification and income-generating activities that improved community resilience, and provide an incentive for maintenance of restored landscapes. About 1,446 beneficiary groups supported by SLMP-II are engaged in different Income-Generating Activities. Based on a review of this experience, RLLP will expand the interventions, and strengthen them through stronger engagement with the private sector. The objectives of this sub-component are to (i) increase resilience by diversifying livelihoods, and (ii) help ensure livelihood sustainability by better connecting products with value chains.

List of eligible interventions or practices to be implemented under this sub-component

- On farm IGAs include planting of temperate and tropical fruit trees, root and tuber crop promotion, promotion of improved vegetable production, pulse crop production, tea & coffee plantation and others.
- Off farm IGAs including beekeeping, sheep and goat fattening, poultry, fishery, vermin-composting, sericulture promotion
- Non-farm IGAs including bamboo processing and cook stove production.

Eligibility criteria for selection of eligible interventions to be implemented under this sub-component

- Easily affordable by the farmers and vulnerable groups/financial feasibility,
- Accessibility from input suppliers,
- Environmental friendly,
- Doesn't require sophisticated technology,
- High productivity and market demands,
- Creates job opportunity for the rural women and youths,
- Not seriously affected by climate variability/change, and
- Can be produced on the land holding size of the small holder farmers.

This sub-component will provide technical assistance and small support to Common Interest Groups/Self Help Groups (CIGs/SHGs) to develop productive livelihood diversification activities. These semi-formal groups are established based on MoA-approved guidelines for organization, planning and financing, and are the main community-level organizational unit used under the Bank-supported AGP-2, which supports some 4,375 CIGs in 96 woredas.

Eligibility Criteria for selection of CIGs/SHGs will be that they meet the following characteristics:

- Have legal personality to sign contracts, access loans from MFIs or FIs and management capacity,
- Should have written rules and regulations (by-laws), which establish a clear structure, including a general assembly of members and managing board,
- The group members should be generally homogeneous,
- The group should have a minimum of 10 to 15 members,
- The group members should use savings, credit and social involvement as instrument of empowerment,
- Formation steps include preparation of a business plan, supported by kebele Cooperative Experts and DA's, who also provide ongoing guidance and advice.

CIGs/SHGs supported by RLLP/RLLP-II will also benefit from technical advice and training provided by economic growth advisors of GIZ's SURED program. By using the same community-level unit for livelihood diversification, RLLP will facilitate coordination with other programs in the MoA, including AGP-2, specifically targeting communities living in degraded watersheds and focusing on activities linked with SLM.

Non-sustainable use of biomass for cooking is one of the main drivers of deforestation and degradation in Ethiopia. If cooking practices are unchanged then unsustainable harvesting of wood for fuel will continue, undermining progress in resilient land use made through the introduction of sustainable land management and agriculture. Reducing demand for fuelwood is critical to maintaining restored landscapes in project communities. In addition, as heating and cooking efficiency improves, use of manure and crop residues for cooking and

heating decreases, allowing these materials to be used on fields to enhance soil fertility. Particular emphasis will be given to the establishment of CIGs/SHGs for the production and marketing of improved cook stoves. This not only provides an alternative source of income, but also delivers multiple co-benefits, including time-saving for women and girls in fuel wood collection, health improvements through reduced household air pollution, and reduced pressure on local biomass resources through improved household energy efficiency. As heating and cooking efficiency improves, use of manure and crop residues for cooking and heating declines, allowing these materials to be used on fields to enhance soil fertility. For the production and marketing of improved cook stoves, the RLLP will collaborate at the woreda level with (i) the Office of Cooperative Promotion, to support organization of CIGs/SHGs to produce energy efficient cook stoves and host demonstrations at local markets and gatherings, and (ii) the Water, Irrigation and Energy Bureau provide technical experts to conduct training for the producer groups.

Also as piloting of bamboo processing and value chain enhancement initiated by SLMP-II, CIGs/SHGs will be organized with the objective to establish business opportunities to improve income of the community especially for rural youths, reduce pressure on natural resources, skill trainings will be provided to the CIGs/SHGs in collaboration with local and international organizations which are working on processing of bamboo products. This shall be primarily applied where there is bamboo resource in RLLP watersheds.

Support for connections to value chains will target beneficiaries in 16 pilot woredas in four regions (Amhara, Oromia, SNNPRS and Tigray; 4 per region) where (i) implementation of the MYDP is already advanced, (ii) RLLP is providing support for CSA, (iii) the GIZ SURED project is active, so that SURED Economic Development/Value Chain experts can provide technical assistance, and (iv) other programs supporting private sector development activities such as IFC (International Finance Corporation) can complement RLLP efforts. In addition to market development activities supported by AGP-2 and the Agricultural Transformation Agency (ATA), other examples of such programs include USAID's Feed the Future (FtF) value chain activity, and the United States Department of Agriculture Feed Enhancement for Ethiopian Development (FEED) Project, which has supported the development of at least 21 cooperative union-based feed manufacturing mills and is seeking opportunities to expand support for forage development. RLLP will provide support for value chain connections in the form of (i) business plan development, (ii) small equipment for grading and processing, as well as small processing sheds and storage facilities, (iii) collaboration with other value chain programs to facilitate market linkages, and (iv) development of contracts with cooperatives, cooperative unions and other private sector partners, (v) Studies, assessments, guidelines, awareness creation, and consultations with different partners may be conducted as needed. For detail implementation of this sub-component, the IGA manual (livelihood beneficiary targeting strategy/ revised eligibility criteria for CIG/SHG) will be revised and be part of this manual.

Eligibility criteria for selection of Cooperatives

Cognizant to preventing environmental degradation and natural resource depletion, biodiversity conservation and to develop water resources and reduce greenhouse gas emissions, to extend the ongoing watershed development activities and ensuring the responsibility to manage, utilize and protect natural resources with the sense of ownership, the Government of Ethiopia/Ministry of Agriculture has developed a Proclamation, namely “Development, Management and Utilization of Community Watersheds” and submitted for ratification by the concerned body at higher level. Article 10 of the Proclamation entails to the establishment of Cooperative Society of Community Watershed Users, where RLLP/RLLP-II will apply in its watersheds. Some of the major criteria include:-

- The cooperatives shall be within the boundaries of the project watersheds,
- The cooperatives will be established based on the size of the community watersheds,
- The cooperative shall have legal entity from the concerned relevant organ, etc.

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

The objective of this component is to build capacity for the promotion and management of SLWM practices, and improve information for better decision-making in supporting resilient landscapes and diversified rural livelihoods in the project area. This component will provide technical assistance at the local level (woreda and kebele) to build local government capacity for planning and managing SLWM interventions. This will include establishment of fully equipped and operational woreda information centers, piloting of new technologies for information modernization at the local level, including the use of electronic tablets for gathering geospatial information, and the use of Unmanned Aerial Vehicles (UAVs – or drones) for land certification and mapping. Support for policy development under this component will focus on the regulatory framework for Watershed User Associations (WUAs), community byelaws guiding land-use practices, and strengthening the Land Administration System. To enhance the evidence base for sustainable land management decision-making, this component will support three separate but linked impact evaluations, of (i) biophysical impacts at the landscape level, (ii) livelihood outcomes at the household level, and (iii) CSA productivity gains at the plot level. This component will also provide resources to manage the knowledge generated through these and other assessments of SLWM, and to communicate the lessons learnt to a broad audience, including local governments and communities, relevant research institutions and Government agencies, as well as Development Partners.

This component’s objectives will be achieved through the implementation of the following sub-components: (i) capacity building, information modernization and policy development; and, (ii) impact evaluation, knowledge management and communication.

Sub-component 2.1. Capacity building, Information Modernization and Policy Development

This sub-component will provide technical assistance at local government level to implement RLLP/RLLP-II, and to help build the capacity required to sustain SLWM interventions after

watershed graduation from project-based support. To achieve this, the sub-component will finance (i) part-time Community Facilitators (CFs) at the kebele level (five CFs for each major watershed), (ii) accountants to support the heads of the Woreda Offices of Agriculture (WoA) with Project administration, and (iii) technical advisors for specific outputs, such as preparation of MYDPs, WMUPs, establishment of WUAs, and preparation of business plans for IGAs and value chain linkages. The sub-component will also provide targeted inputs for specific technical needs, including: (i) development of an approach for community monitoring of surface and groundwater, as part of WMUPs; (ii) piloting local access to publicly available; and (iii) training in cadaster development and land registration.

The sub-component will support information modernization to coordinate data collection and information sharing at all levels and under all components of the project so that this information is well organized, properly documented and accessible. As part of this effort, a data management plan will be developed which specifies how all data used or created during the course of RLLP will be documented, stored and otherwise managed. The use of electronic tablets to collect information on project activities and results combined with appropriate survey and mapping software, will improve the quality and timeliness of data collection and reduce the effort needed to compile, review, and generate the necessary reports. This framework will facilitate access to information and support timely feedback to the local level, and will also pilot the use of Unmanned Aerial Vehicles (UAVs or drones) to generate high-quality and timely aerial imagery data to support planning, monitoring, and land certification.

Policy development: The implementation of this sub-component will commence with reviewing of the environmental legislation that relates to the use and management of Ethiopia's natural resources (soils, forestry, grassland, water, wildlife, etc.), in particular to the Water Resources Management Proclamation No.197/2000; the Water Resources Management Regulation No. 115/2005; the Rural Land Administration and Land Use Proclamation No. 456/2005; Forest Development, Conservation and Utilization Proclamation No.1065/2018. Manuals prepared by the ministry in general and the SLMP in particular will be used for further reference that serve more the implementation of this sub component. Among which manual for climate-smart agriculture, the updated Community Based Participatory Watershed Development Guidelines, Operational Local Level Participatory Land Use Planning Manual, Systematic Rural Land Administration Operational Manual using Orthophotos for Mapping, NRLAIS end user manual, drone and tablet operational manual for mapping and cadastral surveying and project data management strategy document. The review will also consider formal and informal community institutions, legislative or administrative instruments required to enabling local communities and specific user groups to formulate and enforce their own local bye-laws for the utilization and management of both private and communal land and water resources.

Policy development under this sub-component will also focus on (i) the regulatory framework required for the establishment of Watershed User Associations (WUAs), and community byelaws guiding land-use practices; (ii) frameworks for reward and incentive schemes such as Payments for Environmental Services (PES); and (iii) strengthening the Land

Administration System. In developing the framework for WUAs, the Project will work closely with regional governments for its application in establishing WUAs for the 45 SLMP-I watersheds graduating from project-based SLWM support, and subsequently for the graduation of the 90 SLMP-II watersheds, once implementation of their MYDPs has been completed.

Watershed Users Associations (WUA): Policy development under this sub-component will focus on the regulatory framework required for the establishment of Watershed User Associations (WUAs), crucial for sustainability of SLWM interventions, frameworks for reward and incentive schemes such as Payments for Environmental Services (PES), as well as community byelaws guiding land-use practices, and strengthening of the Land Administration System.

Private sector engagement in RLLP watershed management: RLLP will give high attention for the opportunities of engagement of Private Sector (PS) in all development activities of the project. The first objective of Private Sector (PS) engagement in RLLP is to attract the PS to invest in RLLP interventions (Natural Resource restoration), through Payment for Ecosystem Service (PES) or corporate social responsibility. This enhances the equation of the SLMP/RLLP investment as Government of Ethiopia (GoE), Development Partners (DPs), the community and the Private Sector (PS). The second objective of engaging the PS is to create and increase income streams & diversified livelihoods for the communities from the restored NR in a sustainable manner through the promotion of inclusive business and value chain/partnership relationship based on profitability principle. Raya brewery has taken the initiative to be engaged in the SLMP-II and RLLP investment to access sustainable clean and adequate spring water. The brewery is looking for local production of barley through farmer cooperatives residing in the area. Building on the recent agreement reached between MoA, the local community and Raya Brewery-BGI Ethiopia for investment in SLWM at the brewery's water source in the Tigray Region, this component will seek further opportunities to reach agreements with other private and public-sector entities for PES for SLWM and will take it as exemplary and upscale to other areas.

Remark has given to the engagement of the private sector through contract farming with the understanding of the existing experience of breweries sector. Therefore, RLLP needs further study to be conducted to generate information that would be helpful to attract the private sector engagement in RLLP. The exercises allow identifying the potential and willingness/appetites, approach of engagement and type of support (in kind, cash, technical) that would be mobilized from the private sector.

Training: One of the lessons learnt in the implementation of SLMP-I & SLMP-II is an observation of the need for more thorough trainings, need assessment, and the lack of systemic follow up of training impacts. Trainings initiatives in RLLP will commence with trainings need assessment including follow-up trainings, and developing techniques to measuring the extent to which the trainings help to attain and sustain the intended results. Accordingly, to begin with SLMP-II interventions, training need assessment will be conducted through—organizing consultative meeting or facilitating workshop at all levels,

federal down to local levels, and SLMP-II will plan to implement a four-stage training process along with skill transfer. Before embarking on the process, the National Sustainable Land Management Project Coordination Unit (NSLM-PCU) and National Sustainable Land Management Project Technical Committee (NSLMP-TC) will conduct studies to generate/build knowledge and experience from domestic and external sources-countries that have similar tenure and land administration setting, land use system and watershed management. The first stage of the process will be to carry out ToT programs at the national level through organizing regional and national workshops both for the Woreda level landscape management and Land Administration & Use (LAU).

The second stage will be performed at the regional level, and ZTC and WTC and woreda Land Administration and use experts will be involved in the ToT. The training will be organized in two tranches. The first will involve, planning and reporting, land restoration watershed management, climate smart agriculture, livelihood diversification and connection to value chain, institutional strengthening, capacity development and knowledge generation and management. The second will be on rural land administration, certification, environment regulatory issues, land information system, and land use planning. Experts drawn from the woreda offices including Agriculture, Land Administration and Use, Cooperatives Promotion, Rural Road, Environment regulatory, Water and Mineral Development, Woreda Administration and Finance and Women Affairs Offices will qualify for the trainings.

The third stage will be organized at woreda level. Participants of the regional ToT will train woreda Subject Matter Specialist (SMS) para surveyors and DAs. In the fourth and the final stage, the community members will receive the training from the woreda experts and DAs who participated in the Woreda level ToT.

The main themes to be covered by the training program will include: (i) climate smart watershed and landscape management; (ii) (carbon financing) and bamboo development; (iii) biodiversity and ecosystem protection; (iv) rural land administration and certification; (v) participatory land use planning; and land information system; (vi) participatory resource assessment, governance, operation and maintenance of communal infrastructures; (vii) landscape beauty and recreational development; (viii) open and transparent procurement and financial management ; (ix) Geographic Information System (GIS); (x) community institutions building and knowledge management system; (xi) equipping relevant policies and strategies, communication skills; (Xii) Entrepreneurship and business plan preparation; (Xiii) livelihood diversification and value chain; (xiv) water management; (xv) social and environmental safeguard, gender mainstreaming and GBV; (xvi) project management; (xvii) planning, monitoring and evaluation; (Xviii) data management and analysis; (xv) experience sharing visits (domestic and abroad).

These training will be provided by sector experts and external consultants and will include theoretical trainings supported with demonstration including farmers days, field days, exposure visit and print media (like manual, magazine, sign posts, brochures, leaflets, posters, and newsletters). The printing media will be produced for each level of implementation –

kebele, woreda, region and federal, and systematically and officially distributed to partners. The printing media for the ultimate users will be produced in local languages.

RLLP will make use of a variety of media and communication tools tailored to different audiences to effectively achieve attitudinal and behavioral changes towards sustainable land use and climate smart agriculture.

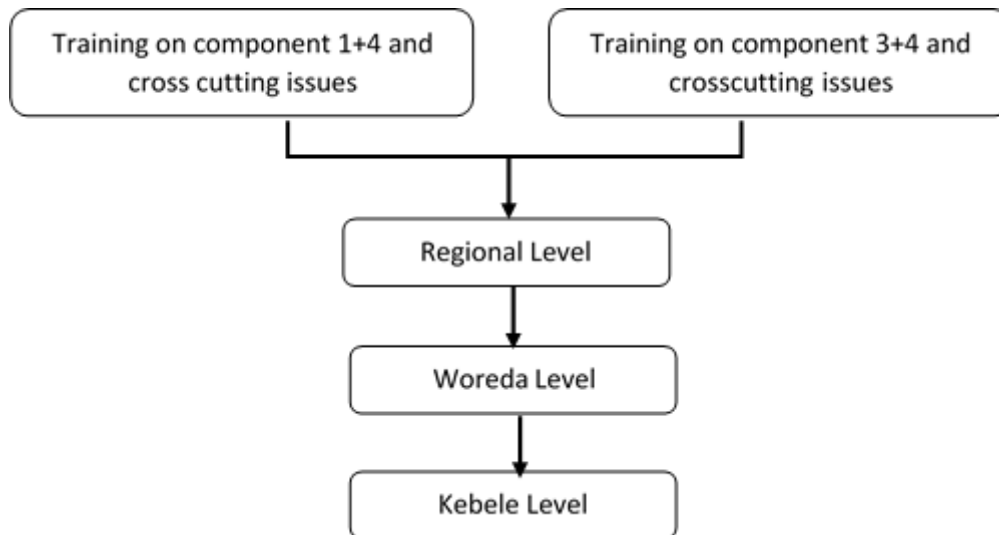


Figure 4. Training hierarchy

Sub-component 2.2. Impact Evaluation, Knowledge Management and Communication

Impact Evaluations (IEs) will use rigorous research methods to look at specific interventions under RLLP, assess the contribution of these to development goals and provide robust evidence of SLM impact. Project funding will focus on the evaluation of bio-physical impacts and CSA productivity gains, which will be conducted in coordination with a livelihoods impact evaluation to be led by the Gender Innovation Lab of the World Bank’s Africa Region, financed separately. This sub component will also support the impact evaluation of land certification. The bio-physical impact evaluation will examine the response of the environment to SLWM interventions, considering parameters such as peak and base surface water flows, groundwater levels and recharge rates, sediment loads, and remotely sensed information on vegetation cover and soil moisture. For the purposes of this evaluation, the project will extend the existing partnership between MoA and the Water and Land Resource Center (WLRC) of Addis Ababa University. The evaluation of the CSA productivity gains will be conducted through a partnership between MoA and CGIAR institutions, while the Environment and Climate Research Centre (ECRC) of Ethiopian Development Research Institute (EDRI) will be engaged to build synergies between the three evaluations and draw policy recommendations.

To build a solid and effective knowledge management system both for RLLP and the broader SLMP, this sub-component will put in place a geospatial knowledge platform that combines

information from a variety of project and other sources, and packages this in a format that is accessible to planners and stakeholders at the national, regional, and local levels. This activity will build upon the work being done by WLRC under SLMP-II to develop a web-based knowledge management system.

A strategic communication program will be developed and implemented under this sub-component to inform and mobilize communities, enhance project visibility and transparency among all actors, support efforts to scale-up SLM and CSA practices, and build support for the land certification program (refer KMS guideline in annex 16 in this manual).

Possible activities include:

- i. Knowledge identification, capturing, validation and packaging annually to support scaling up efforts, build capacity of user groups, youth groups, DAs and FTCs (experiential knowledge, best practice and synthesis of explicit knowledge products from various sources such as the geo-spatial knowledge platform, the CSA Innovation Platform, model watershed, etc.);
- ii. Strengthening and enhancing functionality of existing FTCs and SLM information centers at woreda level and establishing info centers in new woredas;
- iii. Outreach activities (i.e. production of printed, audio and video materials to be used as supporting tools during workshops and events, and media tours for journalists and Public Relation officers of relevant regional bureaus to show project results);
- iv. Knowledge sharing/networking events (i.e. annual SLMP Knowledge fair);
- v. Advocacy activities to support private sector engagement, policy development and other key initiatives for RLLP effective implementation (i.e. organization of stakeholders workshops);
- vi. Grassroots level behavior change campaign targeted to major/critical watersheds, based on preliminary research to define appropriate media (drama, storytelling, etc.) and effective messengers (i.e. community/religious leaders) and gauged throughout the duration of the program through a mix of qualitative/quantitative research methods (Focus Group Discussions, community level meetings, survey); and
- vii. Public information awareness activities on land registration and cadastral surveys, land laws and procedures and conflict resolution mechanism, and to explain the benefits of (formalized) rentals and unlock the blockage set by cultural norms, emphasizing that temporary land renting does not imply abandonment and formalized rental contracts do not result in land being expropriated.

3.3. Component 3: Rural Land Administration and Use

Description of the Component

According to the constitution of Ethiopia, land in Ethiopia is a public property with individuals, communities, state companies, cooperatives and institutions having only the use right. The right of an individual leaseholder includes the right to transfer to legal heirs and the right to lease land out. The Government of Ethiopia has advanced towards strengthening the

rural land administration and use systems to address problems associated with land degradation and tenure security of the country. Sustainable Land Management Program has been supporting the government's initiatives during SLMP-I and SLMP-II phases, and there is continued commitment to strengthen its support for land administration and use component during RLLP.

The objective of this component is to strengthen the land administration system that secures tenure rights, optimizes land use, and empowers land-users to sustainably invest in productive landscapes. In the targeted watersheds, this component will: (i) improve the land tenure security of rural households and groups through land certification and administration. Households will receive Second Level Landholding Certificates (SLLCs), and targeted landless youth will receive communal land certificates (based on the community decision), inputs and extension services (as part of the IGA package under the sub component 1.3) in exchange for land restoration. Up to half of the communal and individual certificates will include women as holders or co-holders; (ii) enhance participatory local level land use planning and support innovations in landscape management systems; and (iii) rollout the National Rural Land Administration Information System (NRLAIS).

The Land Administration and Use component has three subcomponents: Second Level Landholding Certification (SLLC), Participatory Local Land Use Plan and National Rural Land Administration Information System (NRLAIS) Roll Out. The component will benefit an estimated direct beneficiary of 600,000 landholder (HHs) and 20,000 landless youth including women by enhancing their tenure security through issuance of second level land holding certificate. The component also will support watershed intervention activities by expanding the coverage of participatory local land use planning for best use of the land and its resources in 479 kebeles and providing security and usability of land information with enhanced data management functionality in 112 woredas.

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

The objective of this subcomponent is to provide security of tenure to smallholder farmers, communities and institutions through SLLC as an incentive to increase the adoption of sustainable land and water management technologies and practices. In addition to community, institutions and individual landholders, the landless youth in the community would be benefited from the allocation of degraded/rehabilitated communal land and secured through SLLC or other legal documents issuance based on the regional laws/ guidelines in consultation of the community. The expected result and performance indicators under SLLC sub-component will include:

- Number of Parcels of land surveyed and mapped for certification,
- Number of Second level land certificates issued as a result of the project,
- Households who have received second level land holding certificates (disaggregated by gender),

- Landless youth who are members of groups who have been issued a second level certificate or other legal documentation to use communal land holdings in exchange for restoring land (gender disaggregated).

Sub-component 3.2. Local level Participatory Land Use Plan

The objective of this sub component is to support the preparation of local level land use plans for decision making on the best uses of the land and its resources for improved, alternative, sustainable and productive development at the grass root level. The local level land use plans, therefore, shall guide the watershed management plans by complimenting spatial integration of the land use plan with watershed development plan and the regulatory function of the local level land use plan in contribution to the sustainability of the landscape and watershed management plan operations for sustainable use of land resources. The expected result and performance indicator under this sub-component would be: The number of kebele level land use plans prepared and enforced. This data will be collected through the project M&E then it would be informed to the government.

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

The objective of this sub component is to provide security and usability of land information with enhanced data management functionality at Woreda level and to optimize land transaction processes that enhance the systematic storage and maintenance of the digital cadastral maps and registration information in an efficient, effective, spatially integrated and sustainable manner. Whereas this will help the Regional and Federal Authorities to produce and avail statistical data on rural land tenure rights that facilitate evidence based monitoring to ensure a coordinated and consistent approach to planning future policies, legislation, standards, models and research for greater land governance across the nation. The expected result and performance indicator under this sub-component would be: Woredas with functioning of MASSREG and WORLAIS.

Policy Frame work for Rural Land administration, Local Level Land Use planning and Land Information System: The Federal Democratic Republic of Ethiopia issued Rural Land Administration and Use Proclamation No.456/2005. Regions are also empowered to issue proclamations and the power for rural land administration and use vested to each region by the federal constitution. Accordingly, each region has formulated its own land administration and use legislations and implements the land administration and use system based on the context of the region. The following are the existing legal frameworks applicable in their jurisdiction:

- In 2005, the Federal Government enacted the Federal Rural Lands Administration and Use Proclamation No.456/2005.

Based on the Federal Proclamation, all regional states were enacted their regional land administration and use proclamations, regulations and directives;

- Amhara regional state approved Rural Lands Administration and Use Proclamation No. 252/2017,
- Tigray regional state has approved Rural Lands Administration and Use Proclamation No. 239/2014,
- Oromia enacted the Rural Lands Administration and Use Proclamation No.130/2007,
- SNNP enacted Rural Lands Administration and Use Proclamation No.110/2007,
- Benishangul Gumuz region enacted Land Administration and Use Proclamation No. 85 /2010,
- Gambella regional state enacted Land Administration and Use Proclamation No. 42/1999.

The regional states also established land administration and use structures up to the lower level to undertake the responsibility of administrating the land. Indeed, the implementation of this component will be in line with the land administration and use proclamations and regulations issued by each region and the standards, guidelines, manuals and harmonized procedures set by the federal government for cadastral surveying, land registration, local level land use planning and land information system roll out. The list of the working documents at national and regional levels for this component is also annexed. However, the project will support the development and revision of legal framework document of the component at national and regional levels based on emerging demands.

Implementation Process and Procedures

In general, the implementation of the project component will be technically supported by the project staff to be recruited at national and regional level through proper collaboration and involvement of LAUD and regional land administration and use institutions. The project will recruit eight technical staff (2 at federal level and six at regional level). One Senior Land Administration and Use Specialist and one Senior Cadaster & Land Information Specialist will be at federal level while six Land Administration & Use Specialists will be recruited at regional program coordination units.

Sub Component 3.1: Second Level Landholding Certification

The major activities under this component will be undertaking cadastral surveying and land registration for individual, communal and institutional land holders with in the project areas (watersheds), and issuing of second level land certificates to the small holder farmers, landless youth and communities in the intervention areas. The process and procedures of the work for the sub component at each level and the implementing institutions as well as their responsibilities are described below.

Federal level: The main actors for the implementation of the component at federal level are the Rural Land Administration and Use Directorate (RLAUD) and the Sustainable Land Management Program Coordination Unit of the Ministry of Agriculture. In addition, the sub component will be implemented in collaboration with projects working in the land sector (LIFT, REILA, and others) and other stakeholders to share their experiences for the proper

implementation of the sub component through well-organized national and regional platforms. In fact, the Land Administration and Use Task Team (LAUTT) under the federal SLM Technique Committee will play national role in synchronization of land administration technical and strategic matters, in generating ideas for decision makers and in soliciting additional resources.

RLAUD and SLM-PCU are the responsible bodies for making sure that the implementing institutions at lower levels have all the necessary resources and capacity for executing the activities under this sub component. The directorate has also the responsibility of further standardizing and harmonizing surveying and registration procedures. It will also engage in the identification and technical evaluation of procurement of goods and services for land surveying, registration and certification at the federal level. Orthophoto base maps produced from aerial images using drone (UAV) technology will be used for the cadastral surveying activities upon positive piloting results. Alternatively, procurement of aerial photography, satellite images and production of Orthophoto can be made at the federal level with the technical support from relevant institutions like INSA (Information Network Security Agency) and Ethiopian Geospatial Information Agency based on the contractual process. For low lands and densely vegetative project watersheds appropriate cadastral surveying technology will be employed.

The Land Administration and Use Directorate in consultation with the Regional Bureaus has to develop a harmonized national level remuneration norm interval and keep update (wage rate for para-surveyors) for all projects dealing with this component based on regional experiences for each kind of cadastral surveying methodologies. The directorate and SLM-PCU are also responsible for organizing Training of Trainers (ToT) (based on detail training need assessment) to the regional land administration experts, plan and coordinate study exchanges, technical support and monitor and review the implementation periodically as required.

Although it is important to carry out training needs assessment every year, the major themes of the federal training will include: the concepts and technical procedures of land registration and cadastral surveying. Since the graphic survey method on Orthophoto produced from any of aerial photographs, satellite images, or unmanned aircraft (drone) is selected as the predominant method for the rural cadaster, the training has to focus also on the process of systematic second level land certification using the images as a base map. On the other hand, there is also room to use other cadastral surveying instruments for the rural cadaster. Thus, it is important to provide further training on ground surveying methods such as mobile mapping using tablets for the demarcation of parcel boundaries using Orthophoto base maps. The photogrammetry process of drone imagery will be managed by the federal and regional surveying and mapping case teams.

Regional level: The Regional Bureau which is responsible for Land Administration and Use, and the regional SLMP coordination unit are responsible for the planning and implementation of the component at the regional level. So, they are in charge of cascading the training to the zones and woredas (if ToT is given by the Federal level). Accordingly, the regional experts

will provide training to zonal and Woreda land administration on concepts and technical procedures of land registration and cadastral surveying. However, more emphasis will be given to graphic survey method on orthophoto produced from any of aerial photographs, satellite images or drones. Besides, technical trainings on the use of mapping and surveying technologies for cadastral surveying and mapping of boundaries are essential. Generally, the regional level training will be comprehensive and practical, it must also empower the woreda experts to cascade the training to para-surveyors. The Bureau of Land Administration and Use is also responsible for follow up and technical backstopping to the project woredas. The bureau will work very closely with the regional SLMP coordination unit for the smooth implementation of the work. At times it will also involve in the procurement of goods and services necessary for the land administration and use. The regional bureau responsible for Land Administration and Use activities shall assign one focal person who liaise the work with the regional SLMP coordination unit and the woredas.

Zonal Level: the zonal office which is responsible for Land Administration and Use is in charge of providing technical support to the woredas on planning, implementation and monitoring of the sub component based on the action plan agreed with the regional structure.

Woreda level: the responsible office for Land Administration and Use at woreda level is totally responsible for the entire implementation of the work at the woreda and grass roots level. It will also engage in the identification and technical evaluation of procurement of goods and services for land administration and use at the woreda level. The Woreda Focal Coordinator together with the contracted Woreda GIS and Coordinator of the project has to play a coordination role in the process of planning and implementation of the component. Similarly, the woreda Steering Committee (SC) and Technical Committee (TC) are also responsible for guidance, technical support and monitoring at the woreda level for the implementation of the sub component.

Prior to field operation, creating awareness to all woreda level implementers about standards, procedures and rules for cadastral surveying and land registration by woreda experts is essential. Moreover, as the cadastral surveying and land registration activities are too technical, the sub component will be implemented largely by the woreda land administration experts and contract para- surveyors. So the Woreda office responsible for Land Administration and Use has to recruit and train contract the field teams composed of field team leader, para-surveyors, data recorder, data encoder/digitizer and Woreda GIS and Coordinator. One of the reasons related to the availability or scarcity of contact field teams is the remuneration issue. So, a fixed salary scale or parcel based piece rate wage could be used for remuneration of the field teams up on the approval or decision of the regional SC. The decision on the remuneration norm may take into consideration agro-ecology, terrain, land cover and other local contexts in a region or of a specific woreda.

The training for field teams will focus on cadastral surveying and land registration particularly on plotting boundaries on photo maps, data entry, scanning, digitizing, and in parcel (kebele index) map production using QGIS software/MASSREG. Similarly, practical training on ground surveying techniques, mobile mapping using tablet, and other mapping

technologies will be given as required. The woreda office will provide the necessary technical support on the field to the field teams, mainly during the time of surveying and land registration

As the federal government and the regions have already decided to use a harmonized hybrid surveying technologies for rural cadaster, RLLP will adopt these methodologies as well. Therefore, the project will mainly use Ortho-photos for mapping according to the operational manual (Operations Manual for imagery based systematic second level land registration of rural areas in Ethiopia, January 2017) developed by MoA

However, when the land intended for cadaster survey requires high accuracy such as in irrigable land and peri-urban areas a Total Station or RTK GPS can be used. Tablet mobile mapping can be employed as appropriate, the tablet application is under piloting phase and the alignment between NRLAIS functionalities and tablet is clarified on MASSREG Mobile Application section at MASSREG End User manual annexed. Furthermore, in areas where the sizes of land parcels are relatively large or covered with dense vegetation more defined appropriate surveying technologies such as Hand Held GPS (HHGPS) can be used.

The surveyors will be provided with guidelines, manuals and formats to conduct dependable and accurate survey. The following manuals can be used as training material and as a guideline for cadastral surveying and registration of all processes including quality control of the produced data depending on the type of surveying methodology in use and are annexed in this document:

- Operations Manual for imagery based systematic second level land registration of rural areas in Ethiopia, January 2017,
- Manual on tablet mobile mapping (to be developed),
- Operation manual for drone aerial mapping and photogrammetry processing (to be developed),
- Public Information Awareness (PIA) strategy document.

The Project will ensure that woreda office responsible for Land Administration, and Use set criteria for recruitment of the field team assisted by the regions. It will also facilitate the provision of items as per the plan and threshold, timely release of the payment, arrange and provide logistics including PCs, scanners, Printers, GPS, laptop, orthophoto base maps, motorbike, fuel, oil and lubricant, and stationary as stated in the project appraisal document and procurement plan.

In general, land administration and use responsible office at woreda level has to supervise the day to day activities of the field teams and check the quality of the spatial and textual data (conduct quality assurance) all the time. Indeed, the first level land records shall be used as source documents (where available and up to date) to substantiate the second level registration, but it has to be updated, cleaned and archived first. Thus, updating of the first level records will be carried out by the woreda responsible office as part of the second level land certification activities financed under the project. The office will also monitor the data entry into the computer system and the registry book as well as in the production of kebele

and parcel index map. Finally, the woreda office has to verify and issue the second level certificate to an entitled landholder and document the process.

Kebele level and Community Level: the kebele land administration and use officer, the Woreda LAU Office, woreda project Focal Person and WTC is in charge of establishing the Kebele Land Administration and Use Committee (KLAUC), monitoring the surveying and registration activities at kebele level. At kebele level where the committees are already established, strengthening of the existing committees through gender-based participation is a prerequisite. The gender based participation number and proportion will be based on the regional laws. The KLAUCs will also be trained and capacitated by the woreda land administration experts to fulfill their roles in a responsible manner. The content of the training is mainly on the regional land proclamation and directives, on their roles and responsibilities as well as on procedures of the work. Experience sharing can be organized to expose them with successful procedures, between the different KLAUCs.

Active participation of the KLAUC in the field is irreplaceable. One of the benefits of the endorsed method of land surveying is that it is participatory and the KLAUCs work as the representatives of the community. Hence the committee will involve in boundary demarcation, in adjudication of rights of holders, particularly, in protecting the right of women and vulnerable groups. The committee will play a critical role in resolving conflicts and in facilitating the work for the field teams. Essentially parcel or kebele boundary demarcation has to be undertaken in the presence of the landholder, the neighbors, the field teams, the KLAUC and whenever necessary in the presence of elders and woreda/kebele land administration expert. At least one member of the KLAUC works as a member of the field team. Although the CWT and KWT will work very closely with the KLAUCs, yet, their role is mostly limited to the planning, monitoring and evaluation of the component activities at kebele level. The land administration and use activities implemented within the project watershed kebeles follow the kebele administration boundary. In few cases the cadastral surveying and land registration activity will also cover the whole part of a kebele even if some part of the kebele is outside of the watershed boundary. The KLAUC and the kebele administration will also orient the communities about the benefit as well as the process of land registration and certification through public meetings or by other means. Briefly, the process of public information dissemination and awareness creation (PIA) to community at the grass root level is described in the following paragraph.

Public Information and Awareness (PIA) Campaign at community level: After the regional, Woreda and kebele level pertinent institutions and the KLAUCs have been trained and informed; the information is disseminated within the community. For establishing credible tenure security, the community has to play also an essential role in the adjudication, land certification and public inspection forum. The quality assurance and public display activities or public inspection of the land registration is usually done with the communities in the presence of the surveyors, the committee, and the woreda or kebele land administration expert.

For a land certification process to be effective, it is essential that the public be informed about land use rights and responsibilities in general, and the associated benefits to, and obligations of, land certifications for the public in particular. The right holders need to be widely informed about the regional land law and the registration and certification processes and internalize it through effective communication before embarking on the actual registration. To accomplish this task accurately, an organized PIA strategy is required to reach a wider targeted audience including disadvantaged groups like women, the disabled and orphaned children while continuing to serve the general public, mainly in their community.

Messages to be disseminated: The message included in all printed, broad cast and audio-visual media needs to help in closing the gap between perception and the facts regarding land registration and to achieve better informed decisions on matters relevant to the land registration process. On the other hand, all the messages to be broadcasted through radio and different audiovisual techniques need to be reinforcing and complementary to those messages on the printed promotional materials. Generally, the materials to be printed and the content of the broadcasted and audio-visual messages should cover information from the regional land law with emphasis on:

- Rights of the rural land holders,
- The benefits of registering land (Why to register the holding),
- Steps to registering land (under the second registration process),
- Any supporting documents required for registration and how to get them,
- People and addresses to contact for any land registration related inquiries.

Stakeholders and Target Audience: In designing an effective public information and awareness campaign it is imperative to identify the stakeholders and target audiences which must be reached. Some of them would become a vehicle to drive this mission to its destination. Moreover, which audiences need to be targeted may change over time, depending on what goals have been identified and the stage of land registration development. For instance, after the registration process is finalized, the audience might include the other land transaction- related actors, like the Revenue Authority. To maximize the impact and influence of the actions in the context of this strategy, the stakeholders and target audiences are classified as follows:

- Government officials at regional and zonal levels
- Key information agents at woreda level
- Kebele level key information agents
- Kebele level community and women group meeting

Channels of communications

- Direct communication (workshops/training, community meetings)
- Use of print media
- Use of broadcast and recorded audio-visual media
 - FM radio broadcast
 - TV interview
 - Audio-visual materials

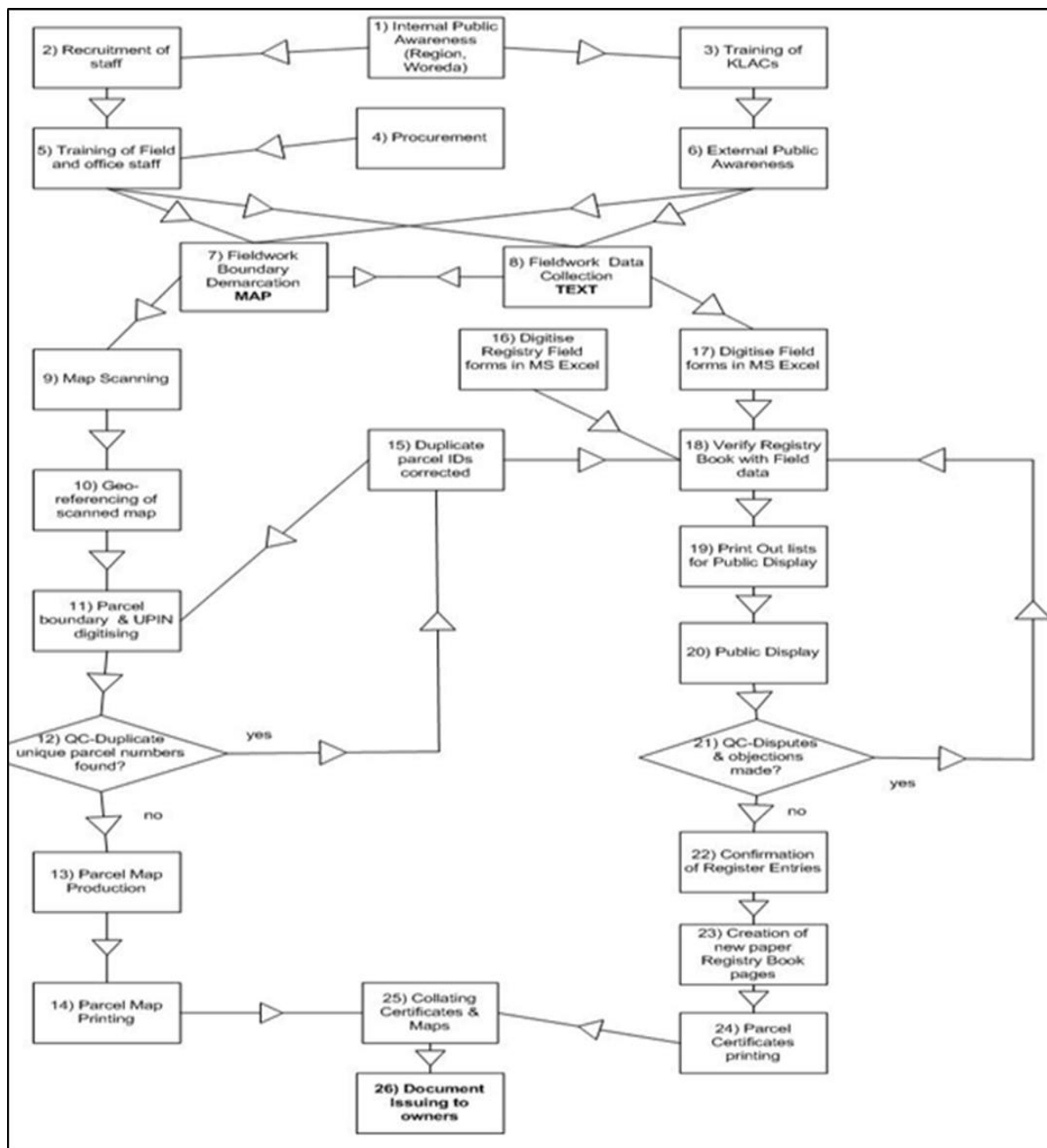


Figure 5. Workflow for cadastral surveying and land certification (for manual based).

As the cadastral surveying activities are evolving and continue to change due to new technologies such as mobile mapping using tablet and the new way of doing business based on the reform the cadastral workflow needs adjustment nationally after the successful tablet piloting.

Manual records needed to be documented and the reason is included in the Operations Manual for imagery based systematic second level land registration of rural areas in Ethiopia annexed. MASSREG maintains consistent structured SLIC data obtained from field registration forms, spatial adjudication data and supporting documents converted to electronic formats (scanned) stated in MASSREG End User Manual annexed. The synchronization and migration of

different survey data generated using different surveying methodologies and old systems to produce the SLLC during SLMP-II will be managed using MASSREG End User Manual annexed (Annex 8).

Table 3. Stages and roles of MASSREG parcel records adapted from MASSREG end user manual

Stage Number	Stage Name	Possible Action	Successful Outcome	Roles
0	None existent stage	Enter first copy of FRF data	Stage change to 'First Entry'	First Entry Operator
		Enter Spatial Data	Spatial Data Saved	GIS Expert
		migrated data to 'Data Entry Confirmed Stage'	Data migrated and put in 'Data Entry Confirmed Stage'	<ul style="list-style-type: none"> • Administrator • Data Entry Supervisor • Woreda Coordinator
		Migrate data to 'Sent Minor Correction Stage'	Migrate Data and put in 'Sent Minor Correction Stage'	<ul style="list-style-type: none"> • Administrator • Data Entry Supervisor • Woreda Coordinator
		migrate data to 'Sent Major Correction Stage'	Data migrate and put in 'Sent Major Correction Stage'	<ul style="list-style-type: none"> • Administrator • Data Entry Supervisor • Woreda Coordinator
1	First Entry Stage	Edit Data	Data Updated	First Entry Operator
		Enter second copy of FRF data that matches the first copy	Stage changes to 'Data Entry Confirmed'	Second Entry Operator
		Enter second copy of FRF data that doesn't match first copy	Stage change to 'Second Entry'	Second Entry Operator
		Enter Spatial Data	Spatial Data Saved	GIS Expert
2	Second Entry Stage	Enter second copy of FRF data that matches the first copy	Stage changes to 'Data Entry Confirmed'	Second Entry Operator
		Forward record to data enter supervisor	Stage changes to 'Sent to Supervisor'	Second Entry Operator
		Enter Spatial Data	Spatial Data Saved	GIS Expert
3	Sent to Supervisor	Edit Data	Data is updated	Data Entry Supervisor
		Send to Public Display	Stage changes to 'Data Entry Confirmed'	Data Entry Supervisor
		Enter Spatial Data	Spatial Data Saved	GIS Expert
4	Data Entry Confirmed	Confirm Data	Stage changes to 'Data Entry Confirmed by Public Display'	Post public display coordinator
		Send to minor correction	Stage changes to 'Sent for Minor Correction'	Post public display coordinator
		Send to minor correction	Stage changes to 'Sent to Major Correction'	Post public display coordinator
5	Sent for Minor Correction	Edit Data	Data update	Minor Correction Officer
		Confirm Data	Stage changes to 'Data Entry Confirmed by Public Display'	Minor Correction Officer
6	Sent to Major	Enter first copy of major correction FRF data	Stage changes to 'Major Correction'	Major Correction First Entry Operator

Stage Number	Stage Name	Possible Action	Successful Outcome	Roles
	Correction		First Entry'	
		Enter Spatial Data	Spatial Data Saved	GIS Expert
7	Major Correction First Entry	Edit Data	Data Updated	Major Correction First Entry Operator
		Enter second copy of major correction FRF data that matches the first copy	Stage changes to 'Data Entry Confirmed by Public Display'	Major Correction Second Entry
		Enter second copy of major correction FRF data that doesn't match first copy	Stage change to 'Major Correction Second Entry'	Major Correction Second Entry
		Enter Spatial Data	Spatial Data Saved	GIS Expert
8	Major Correction second Entry	Enter second copy of major correction FRF data that matches the first copy	Stage changes to 'Data Entry Confirmed'	Major Correction Second Entry
		Forward record to data enter supervisor	Stage changes to 'Sent to Major Correction supervisor'	Major Correction Second Entry
		Enter Spatial Data	Spatial Data Saved	GIS Expert
9	Sent Major Correction Supervisor	Edit Data	Data is updated	Major correction Data Entry supervisor
		Confirm Data	Stage changes to 'Data Entry Confirmed by Public Display'	Major Correction Data Entry Supervisor
		Enter Spatial Data	Spatial Data Saved	GIS Expert
10	Data Entry Confirmed by Public Display	Check Data	Stage changes to 'Checked'	Woreda Coordinator
11	Checked	Approve Data	Stage changes to 'Approved'	Final Approver
12	Approved	Change stage to 'Certificate Printed'	Stage changes to 'Certificate Printed'	Certificate Printer
		Print Certificate		
14	Certificate Issued	Export to WORLAIS	Stage changes to 'Approved'	System Administrator

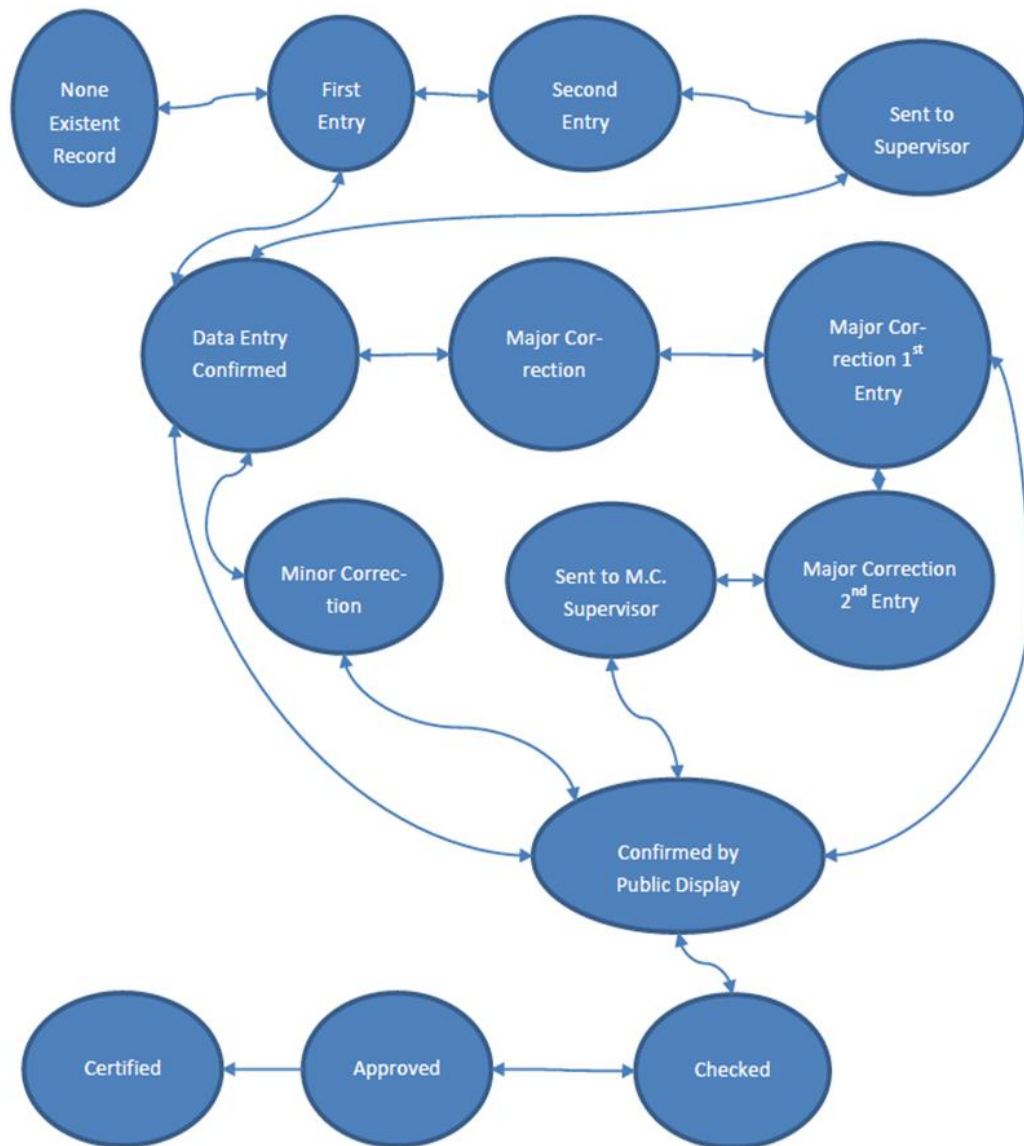


Figure 6. SLLC work-flow (for computerized system)

Table 4. Estimated time required for cadastral surveying and land certification

No	Activities	Estimated time needed (in weeks)	Additional Information
1	Internal public awareness creation (region and woreda)	2	The assumption for each activities are referenced on Operations Manual for imagery based systematic second level land registration of rural areas in Ethiopia, annexed.
2	Recruitment of staffs	4	
3	Training of KLAUC	1	
4	Procurement	4	
5	Training of field and office staff	1	
6	External public awareness	1	
7	Boundary demarcation (field data collection map and textual data of parcel)	8	
8	Map scanning	1	
9	Geo-referencing of scanned map	1	
10	Parcel boundary and UPIN digitization	2	
11	Digitize filed forms in MS-excel	3	
12	Quality control and correction of duplicated parcel ID	2	
13	Print out for public display	2	
14	Public display	4	
15	Correction based on public display result	2	
16	Confirmation of registrar entry/ mass approval	1	
17	Creation of new paper registry book pages	1	
18	Parcel map production	1	
19	Parcel map printing	1	
20	Issuance of certificate	2	

Table 5. SLLC key activities and responsible body

No	Key activities	Federal	Region	Woreda	Kebele
1	Deciding surveying technologies, Procurement of Orthophoto, and ToT to regional experts	X			
2	Harmonizing wage rate	X			
3	Procurement of goods and services, Cascading ToT to zone and woreda experts, and Printing of field map from orthophoto	X	X	X	
4	Cascading ToT to zone and woreda experts, and Printing of field map from orthophoto		X		
5	Deciding wage rate		X		
6	Recruitment and training of contractual staff, KLAC members			X	
7	Awareness creation for different groups	X	X	X	X
8	Adjudication and boundary delineation and Surveying of the land parcel boundaries			X	X
9	Digitalization of spatial and attribute data			X	X
10	Quality control of the parcel data			X	X
11	Produce a Map for each parcel and Certificate			X	
12	Technical support and back stopping and Monitoring	X	X		

Sub Component 3.2: Local Level Participatory Land Use Plan

Sustainable Land Management (SLM) encompasses the ecological, economic, and socio-cultural dimensions of sustainable development at landscape level; as a process, it comprises land use planning, land use design and land development. Technologies for the adoption, spread, adaptation and implementation of SLM practices rely on approaches that enable and

empower people to this end; land use planning has proven to be such an approach. Participatory local level Land use planning foster sustainable land use and management; this occurs via the acknowledgments of stakeholders, their differing objectives, and the need to strike a balance among the diverse, and often conflicting, interests of these actors. An aspiration of the local level participatory land use planning is to coordinate current and future societal needs, while minimizing conflicts in the planning unit (Kebele in RLLP case). Similarly, land development deals with land use change. The assessment of the driving forces behind land use and land use change is necessary when analyzing and explaining past patterns, as well as when aiming to forecast future patterns.

The major activities under the subcomponent include awareness creation, training, conduct workshops, identification of kebele as a planning unit, undertaking participatory biophysical and socio-economic surveys, undertaking evaluation of land capability and potential of the rural lands for different uses, planning of rural land use using local level participatory planning approaches and enforcing. In the course of planning, this sub component uses modern technologies such as orthophoto, Digital Elevation Models (DEM), GIS for land use planning and mapping of major land use types. The respective watersheds multiyear plan preparation data (biophysical and socio-economic) will be the basis and will determine the next data collection plan for Local Level Participatory Land Use Planning (LLPLUP). In principle, all kebele (micro watersheds) land use plan should be prepared before the start of any SWC practices and investment. The process and procedures of the work for the sub component at each level and the implementing intuitions as well as their responsibilities are described below.

Federal level: the Rural Land Administration and Land Use Directorate (RLAUD) and the SLM PCU are responsible to organize ToT trainings to the regions on local level participatory land use planning methods and procedures. They will also organize workshops on land use planning for regional land administration and use experts. The directorate is also the responsibility of developing and updating manuals for land use planning, and involving, to a degree, in the periodical (quarterly bases) technical support, monitoring and evaluation of the implementation and enforcement of the subcomponent activities at the regional and woreda levels.

Regional level: the Regional Bureau responsible for Land Administration and Use activities with the regional SLMP coordination unit will cascade the training to zonal and woreda offices. The land use planning activities are too technical and need some expertise input. Therefore, the regional bureau responsible for Land Administration and Use activity has to provide detailed training to the woreda LLPLUP team on the use of the Operational Local Level Participatory Land Use Planning Manual. The trainees would be from different woreda rural development sectors as the land use planning is to be carried out with a multi-disciplinary team. Moreover, the regional bureau will also engage in planning, follow up and technical backstopping of implementation of the sub component.

Zonal level: the zone office responsible for the land administration and use activities will also engage in planning, follow up and technical backstopping of implementation of the sub component.

Woreda level: the responsible office for Land Administration and Use activities has to play a leading role for the preparation and implementation of the land use plan. But, the local level land use planning requires a team work through the integration of a multidisciplinary unit from the woreda rural development sectors. Hence, the establishment of local level participatory land use planning teams at woreda and kebele levels is crucial. Establishment of the team at the woreda level will be in accordance with the local level land Use Planning Manual. So, the woreda office responsible for LAU activities will mobilize and form the team from relevant professions of land use planning, agriculture, natural resource management, soil, water and rural infrastructure, environment, socioeconomics, and land administration.

The multidisciplinary team will be acquainted with the necessary planning skills and take the responsibilities for the preparation of the plan at the kebele level. Indeed, the WSC and WTC will be oriented with activities to be performed and financed under this subcomponent. The woreda team will take also the responsibilities to facilitate the LLPLUP particularly to organize trainings to kebele LLPLUP teams and DAs as well as conduct workshops on the processes and implementation of the land use planning. The team further promotes the participation of right holders in the planning process, establishing partnership with Government Organizations, Non-Government Organizations and private investors and integration of the efforts amongst partners to avoid duplication of efforts.

Kebele level: It has to be known that the land local level land use planning activities will be carried out and implemented within the project watershed kebeles. So an independent kebele LLPLUP team that encompasses farmers/pastoralists, elders and DAs will be established through an assembly of communities. The team will be trained on planning procedures to establish a smooth working relation with the woreda LLPLUP team. The kebele team is mainly responsible to facilitate LLPLUP at kebele level, mobilize the community for land use planning, and participate in identification of potentials and constraints. It will also involve in the assessment of the preference and priority of the community. It could be useful to use key information agents at the community level within the kebele that supports the kebele LLPLUP team.

The kebele administrators, KLAUCs, CWT and KWT will work very closely with the kebele LLPLUP team mainly in the planning and evaluation of the activities under this subcomponent. Generally, the institutions to be established for the implementation of the LLPLUP at the grass roots level as well as their role and responsibilities will be in accordance with the local level participatory land use manual (Annex 7).

Once the necessary arrangement and awareness is created, the woreda team can start the fieldwork together with the kebele team to prepare the kebele land use plan. First of all, socioeconomic and biophysical resource survey will be conducted. Because the LLPLUP is a bottom up planning approach where the kebele communities and relevant stakeholders

participate in the process of identifying and prioritizing problems and potentials, Participatory Rural Land Appraisal (PRLA) technique will be used for the survey. Despite the fact that local level land use planning is a participatory process it also involves scientific procedures; mostly, for the characterization of the soil and evaluating the potential uses of the land. So the woreda team will classify the kebele in to homogenous land units and conduct soil survey and land evaluation principally using land capability classification technique. Likewise, the socio-economic parameters survey, collection and analysis, such as population, income, number of livestock, livestock feed source and energy source, will be performed as per LLPLUP manual.

The woreda team will prepare current land use/cover map, slope map, land capability map and proposed land use plan map. HHGPS, appropriate mapping softwares, Digital Elevation Model (DEM) can be used to produce different maps and training will be delivered to use these technologies. However, if the woreda doesn't have the capacity to apply GIS or Ortho-photos, then there might be opportunity to use topography sheets (sketch maps) for the moment and to upgrade the maps using GIS or other software in the future. After analyzing the results of the soil survey and evaluating the PRA assessment, the woreda team will come up with land use options for the kebele. The team will be in charge of documenting the land use planning process and updating the land users about the performance and status of the land use planning. In fact, the probable environmental and social impacts of each proposed uses need to be assessed systematically. As much as possible the intended uses shall be environmentally friendly, economically viable and socially acceptable with no significant impact to the kebele or adjacent community.

The woreda and kebele planning team will produce the land use plan map and its document which shows the optimal uses of each land units and its management options. The plan has to be presented and approved by the kebele community (representatives). And the approved plan is endorsed to the administration. Only the endorsed plan will be cascaded and used, that is, officially implemented in the kebele. After the plan is endorsed by the community in a participatory process it becomes the instrument to enforce the land use provisions of the land administration and use proclamation of the region. The role of the KLAUC is critical at the stage, it facilitates the process for the communities to implement the land use plan.

Indeed, once the plan is approved by the community and endorsed by the woreda administration the implementation of watershed development plan in the project kebeles need to be guided by the kebele LLPLU plan. The woreda administration is leader of any development of the woreda, it cascade the plan to the concerned woreda sectorial offices for implementation. The guidance of Local level land use plans it to compliment the watershed development plan through its spatial integration by identifying best land use types and their management options and through its regulatory function serving as a tool in controlling free grazing, encroachment to the communal lands and reducing conflicting land uses for the suitability of watershed management intervention.

So the woreda office responsible for LAU activities and the woreda agriculture offices have to ensure the integration of the kebele plan with the watershed development plan. In general,

the implementation of the LLPLUP will adhere to the principles, concepts, planning approach, task organization, socio-economic and biophysical survey, mapping, land capability classification, land use development plan preparation and approval as well as implementation procedures stipulated in the LLPLUP manual (Annex 7).

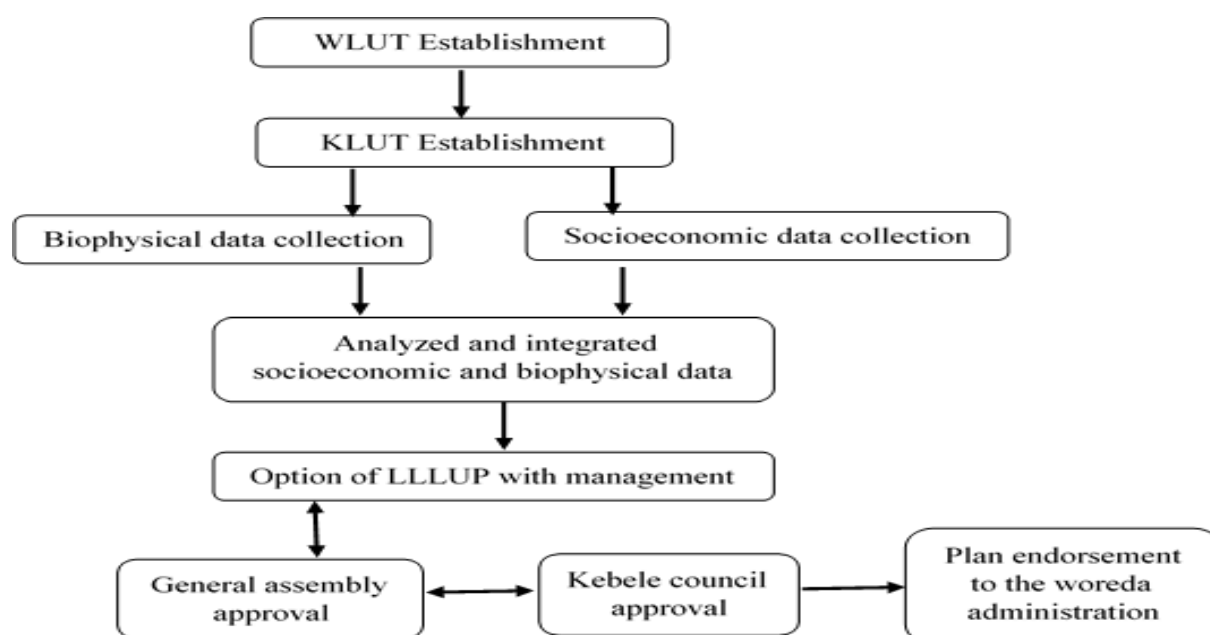


Figure 7. Participatory local level land use plan workflow

Table 6. LLPLUP Key activities and responsible body

No.	Key activities	Federal	Region	Woreda	Kebele
1	Deciding tools and methods, Producing and updating LLPLUP manual, and ToT to regional experts	X	X		
2	Cascading ToT to zone and woreda experts and Procurement of goods and services		X		
3	Training to KLUP			X	
4	Awareness creation for different target groups	X	X	X	
5	Biophysical and socio-economic survey, Land capability evaluation, Identification of land use plan and management options			X	X
6	Approval and endorsement of the prepared land use plan			X	X
7	Implementation of the prepared land use plan			X	X
8	Technical support, back stopping and Monitoring at different levels		X	X	X

Sub Component 3.3: National Rural Land Administration Information System Roll Out

Rural Land administration and Use Directorate (RLAUD) develops a National Rural Land Administration Information System (NRLAIS) with the Technical Assistance and Investment support of REILA and Other land administration supporting projects. It is a comprehensive rural cadaster software system for handling systematic land registration (mass registration) and the maintenance of the land register through sporadic transactions. Digital land/cadastral information can be made available to higher land administration offices throughout the

country. The NRLAIS system design makes it possible to use the software at different administrative levels: The functionality and User Interface (UI) of the system is different at each level and will effectively have the following components:

- **Federal/Rural Land Administration and Use Directorate (RLAUD) - (CenLAIS):** Supports aggregation and analysis for decision making and national policy development, monitoring of land administration and land use; can act as a portal for rural cadaster and land registration data to the Ethiopian National Spatial Data Infrastructure (ENSDI).
- **Regions (RegLAIS):** Advanced data processing capabilities and management functions for cadastral parcel data, managing of all zones and woredas in the region, providing security for woreda level data-stores, for analysis of land use and holding, providing basis for regional level policymaking with a regional spatial data infrastructure and supporting woreda in carrying out their mandated duties.
- **Zones (ZonLAIS):** Almost identical to RegLAIS. A web-portal for viewing and carrying out administrative actions at the Zonal level.
- **Woredas WorLAIS:** As per the technical specification of the NRLAIS-Pilot, the woreda version will be the most crucial, feature-rich part of the system. It's the heart of NRLAIS, the only place where land can be registered (systematic, sporadic or subsequently) and the only instance of the database with write access. MASSREG (Mass Registration) is a software used for mass registration, data cleaning and migration to WORLAIS. The migrated data are transferred into the data structure of WORLAIS and integrated to the database of the land administration system. The woreda land office is responsible for the entire implementation of this sub component.
- **Kebele level:** There will be a paper-based mechanism at the Kebele for submitting applications, issuing receipts and forwarding them to the Woreda for processing and handling the returns. The Kebele will act as a window to get access to the system, but will be handling paper documents only for the time being.

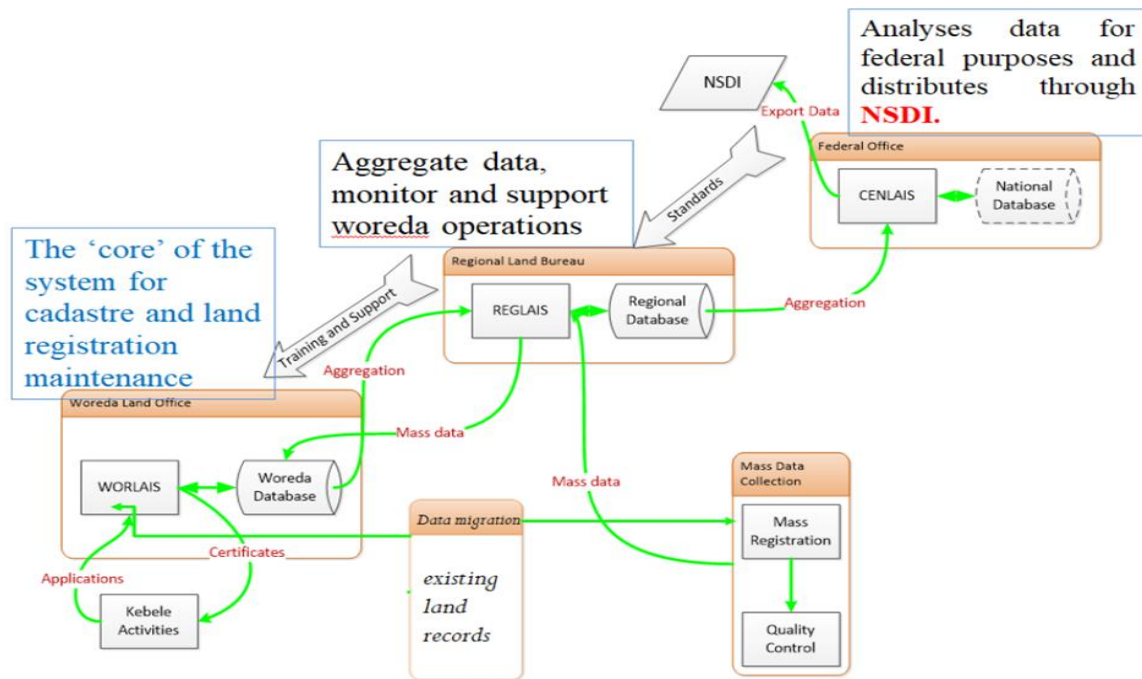


Figure 8. Overview of NRLAIS system

The division of the NRLAIS system into different levels has the purpose to provide functionalities specifically tailored for the diverse tasks of the different administrative levels. NRLAIS is established as a hierarchical structure to communicate and aggregate information from Woreda to Federal level (center).

The Rural Land Administration System (RLAS) manual covers the process of establishing and maintaining the Land Register, which contains the data from systematic Second Level Land Certification (SLLC) and the continuous updates of land records (subsequent land transactions). It also provides land information services for country level development purposes. Together RLAS and NRLAIS will form the main pillars of the Ethiopian rural land administration system.

The IT strategy and road map address the establishment of strong, well-organized IT support structures across the administrative levels as an important success factor. All aspects of running a distributed IT system like NRLAIS need to be institutionalized from woreda to federal level through knowledge transfer, continuous skills development and organizational development. It will take time and patience to develop a deeply rooted understanding of the immense value of the digital cadastral records, and the serious consequences of any data loss. IT related activities for implementation and operation of NRLAIS would be supported by establishing one support center at federal (LAUD) and 6 support center in six regional Land Administration Bureaus each containing 5 contract experts for installation and operation of NRLAIS as shown on the activity spread sheet annexed.

NRLAIS provided with guidelines and manuals to administrate and operate the system properly. Manuals that can be used as training material, a guideline for the land

administration information system of all processes including quality control of the produced data are found in Annex 9.

The major activities under this component are NRLAIS Installation at Woreda LAU offices, NRLAIS End User's and System Administrator training, establishment of support center in RLLP regions and MoA/LAUD, system hardware and office upgrading, data migration and system administration technical support. The process and procedures of the work for the sub component at each level and the implementing institutions as well as their responsibilities are described below:

Federal Level: The central level at MoA aggregate all data, provides stakeholders with consolidated national reports and monitors land transaction activities across the country to ensure that all regulations are being properly implemented. LAUD has the purpose of regulating and supervising land administration activities in the country and make sure to have no access to manipulate land records except at woreda level. The higher levels have read only access to land information, in order to support decision-making processes for rural development.

LAUD and SLMP-PCU are the responsible bodies for making sure that the implementing institutions at lower levels have all the necessary resources and capacity for executing the activities under this sub component. The directorate has also the responsibility of standardizing and harmonizing user manuals. It will also engage in the identification and technical evaluation of procurement of goods and services for rural land administration information system at the federal level. The directorate and SLM-PCU are responsible, in collaboration with REILA II project for giving, organizing ToT trainings to the regional and zonal experts, technical support and monitoring as well as evaluation of implementation of the subcomponent NRLAIS in the regions.

Although it is important to carry out training needs assessment every year, the major themes of the federal training will include: the concepts and technical procedures of Rural Land Information System focusing on the Rural Land Administration Information system installation, end-user training and system hardware and administration.

Regional Level: NRLAIS rollout support unit established at regional and federal levels will provide technical assistance for this activity. The regional Information, Communication and Technology (ICT) team provides backup facilities for the Woreda databases and supports higher level and more complex processing such as monitoring of the cadastral information, ensuring integrity of parcel geometry and other technical matters that require professional input and more advanced processing. It has the purpose of regulating and supervising land administration activities of the Woredas and Zones. On this and all higher levels, there is no access to manipulate land records. These levels have read only access to land information, in order to support decision-making processes for rural development at Regional level.

The Regional Bureau which is responsible for Land Administration and Use, and the regional SLM-PCU are responsible for the planning and implementation of the sub component at the

regional level. So they are in charge of cascading the training to the zonal and woreda experts. Generally, the regional level training will be comprehensive and practical. In fact, the regional land office is responsible for follow up and technical backstopping to the project woredas. The office will work very closely with the regional SLMP coordination unit for the smooth implementation of the program. At times it will also involve in the necessary procurement of goods and services for this sub-component.

Zonal level: A Zonal level system with capability for viewing and carrying out administrative actions at the Zonal level. In some Zones this could be a combination of Woreda and regional level objectives. It is a module for viewing the land records on Zonal level, with the purpose of regulating and supervising land administration activities of the Woredas. It uses the regional portal due to different in organizational structure. On this and all higher levels, there is no access to manipulate land records. The above levels have read only access to land information's, in order to support decision-making processes for rural development on Zonal level. The zonal office which is responsible for Land Administration and Use is in charge of providing technical support to the woredas on planning, implementation and monitoring of the sub component.

Woreda level: The responsible office for Land Administration and Use at woreda level is totally responsible for the entire implementation of NRLAIS rollout (MASSREG and WORLAIS) at this level. It will also engage in the identification and technical evaluation of procurement of goods and services for sub component at the woreda level. The woreda ICT team has to play a coordination role in the process of planning and implementation of the sub component day to day activities of NRLAIS. Similarly, the woreda Steering Committee (SC) and Technical Committee (TC) are also responsible for guidance, technical support and monitoring at the woreda level for the implementation of the sub component. The woreda ICT team will be provided with guidelines, manuals and formats to rollout the NRLAIS. Therefore, manuals used as a training material and as a guideline for NRLAIS rollout are annexed.

The Woreda Land Administration Information System holds the definitive 'register' for all the kebeles within its jurisdiction. All transactions will be carried out on the Woreda system with hard copy changes to the register, and certificates being delivered to kebeles for applicants. It is a core of NRLAIS system on Woreda level. It handles all post SLLC land transactions to ensure up-to-date information including transfer of rights (e.g. inheritance) as well as encumbrances (e.g. rental agreements) to ensure sustainability of the Land Administration and Information System. It provides a high level of data authenticity in order to ensure the security of land records and process validity.

MASSREG (Mass Registration) is a software used for mass registration, data cleaning and migration to WORLAIS. The migrated data are transferred into the data structure of WORLAIS and integrated to the database of the land administration system. The woreda land office is responsible for the entire implementation of this sub component.

Kebele Level: The KLAU office and the kebele administration will also orient the communities about the benefits as well as the processes of land transaction and updating through public meetings or by other means. At this level the NRLAIS will include a paper-based mechanism for submitting applications, issuing receipts and forwarding them to the Woreda for processing and handling the returns. The Kebele will act as a front window to get access to the system, but will be handling paper documents only for the time being due to unstable network infrastructure.

Data Migration (Transition to NRLAIS)

Data migration is the process of transferring existing land holding data from different sources into NRLAIS database. It has the potential to reduce the costs of producing the data that NRLAIS will need by reusing data that already exists in digital form. NRLAIS has a capability to migrate data from different existing systems (such as; ELTAP/ELAP, SLMP/RLLP, LIFT, REILA, Government and ISLA). The data migration should be carried out by RLAUD, regional and woreda system administrators.

A. Importing into WORLAIS

Datasets that are ready to be used in WORLAIS can be directly transferred to WORLAIS for immediate use with land transaction work processes (RLAS). A dataset needs to meet three conditions to be used with WORLAIS, namely:

1. Up-to-date

The records in the dataset should reflect the latest known cadastral and legal information about the landholders. If for instance there are paper records that can more up to date than the digital record, such dataset can't be transferred to WORLAIS (Both should be consistent).

2. Complete

The records in the dataset should capture all essential aspects of land records that are needed for use with sub-sequent registration.

3. Adjudicated/Issued

Land records that are not issued can't be transferred to WORLAIS. Datasets that qualify for migration to WORLAIS is likely to be found in Woredas that are currently using WORLAIS and ISLA as a land administration tool on day to day basis.

B. Processing on MASSREG

Dataset that are transferred to MASSREG will be pre-processed using MASSREG data processing tools. Once data is loaded to the MASSREG, the users will be asked to review each record and do one of the following:

- Mark records as 'approved'
- Mark records as 'need field survey'
- Mark records as 'need office processing'
- Mark records as 'invalid'

‘Approved’ Records

Records are marked approved if they are in complete, up-to-date and adjudicated form. Such records will be transferred to WORLAIS without any further modification.

‘Need Field Survey’ Records

For records that are marked as ‘Need Field Survey’, survey teams will go out to the field and do full adjudication work. The data from the adjudication work will be processed through the normal double-entry data encoding process of MASSREG.

‘Need Office Processing’ Land Records

For land records that can be rectified by using records available from paper records of the Woreda land administration bodies, the missing data is filled to MASSREG following MASSREG’s correction entry procedure.

‘Invalid’ Land Records

Records that can’t be used in any form or refer to non-existing land are marked invalid and are not processed further.

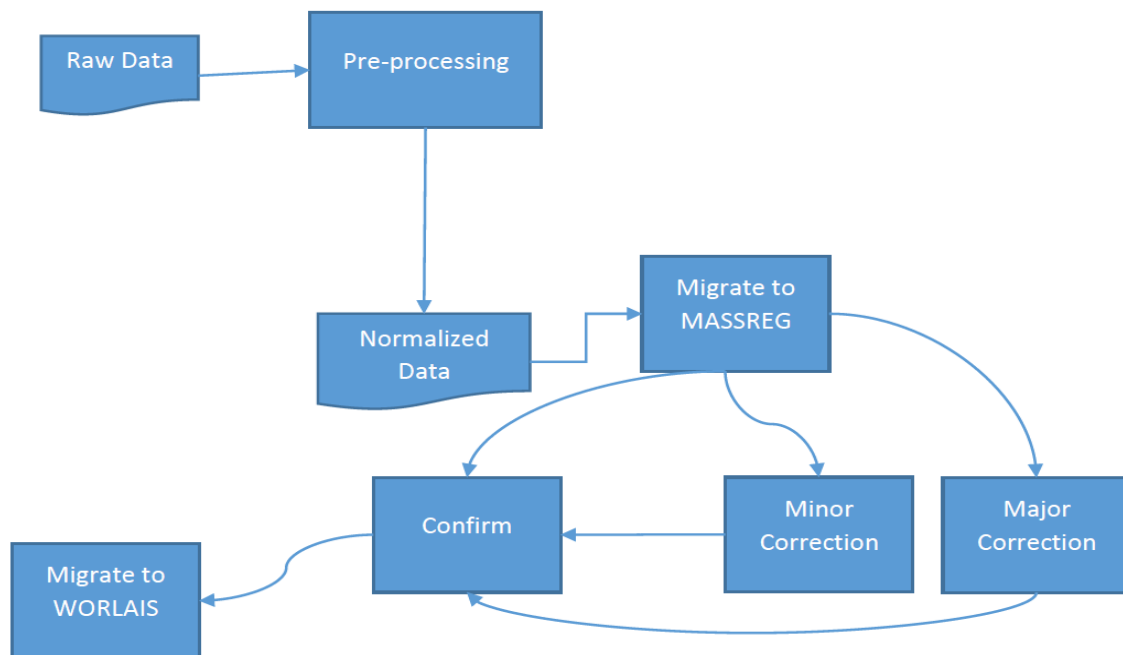


Figure 9. Data migration procedures and methodologies

C. Transferring from MASSREG to WORLAIS

MASSREG and WORLAIS have internal mechanism for transferring of land records from MASSREG. This mechanism will be used for transferring records that are migrated to MASSREG and ready for use with WORLAIS.

Table 7. NRLAIS key activities and responsible body

No.	Key activities	Federal	Region	Zone	Woreda	Kebele
1	Development of IT strategy and User manuals	X				
2	ToT training	X				
3	Cascading Training to the lower level		X	X		
4	Procurement of equipment and materials	X	X	X	X	
5	NRLAIS installation and future maintenance	X	X	X	X	
6	Establishment of support center in RLLP regions and MoA/LAUD	X	X			
7	System Administrators' Training	X	X			
8	NRLAIS end user training		X	X	X	
9	Mass registration MASSREG				X	X
10	Backstopping and technical support	X	X	X		
11	Establishment/Upgrading of Server Room with AC installed/ Office for woreda	X	X	X	X	
12	Data cleaning and data migration to MASSREG	X	X	X	X	
13	Updating land records (WORLAIS)				X	
14	Monitoring the implementation process	X	X	X	X	X

Component three cost

As it is indicated in the Table 9 below, a total of US\$ 23 million is envisaged for the component with its sub components share for the project period 2019 -2023.

Table 8. Component cost by fund source

Project Component and sub components	IDA (87%) (USD)	MDTF (13%) (USD)	Total (USD)
Component 3. Land Administration and Use	19,781,662	3,220,270	23,001,932
Sub-Component 3.1. Second Level Landholding Certification	11,377,324	1,852,120	13,229,447
Sub-Component 3.2. Local-level participatory Land Use Plan	4,091,674	666,086	4,757,760
Sub-Component 3.3. Rural Land Administration Information System Roll Out	4,312,664	720,062	5,014,725

3.4. Component 4. Project Management and Reporting

The basis of this component is linked to fiduciary and safeguards responsibilities of the project with the scope of addressing the planning, monitoring and evaluation, procurement, financial management and environmental and social safeguards.

Planning, Monitoring & Evaluation

Planning: Watershed selection

As it is mentioned somewhere in this document, the project will be implemented in 217 woredas/watersheds (including 135 existing SLMP-I and SLMP-II; GAC 18; RLLP-I 17, and 40 RLLP-II GCF and 7 RLLP-II PROGREEN) to be financed. The PCU in consultation with different stakeholders and regional project coordination units identified 670 woredas which needs different sustainable land and water management practices. Nevertheless, the total number of new watersheds to be treated under RLLP and RLLP-II is expected to be 64 (40 funded by GCF, 17 funded by IDA and 7 funded by PROGREEN), with one watershed to be treated per selected woreda. Considerations of inter-regional equity led to an adjustment of regional allocations based purely on share of top 100 degraded watersheds, while limiting such adjustments to close to 10% of the share of the most degraded watersheds.

Table 9. Number of IDA and GCF funded RLLP woredas

Region	Total new RLLP woredas		GCF-funded new RLLP woredas		IDA-funded new RLLP woredas	
	#	%	#	%	#	%
Amhara	14	25%	10	25%	4	24%
B. Gumuz	4	7%	3	8%	1	6%
Gambella	3	5%	2	5%	1	6%
Oromia	17	30%	12	30%	5	30%
SNNP	13	23%	9	22%	4	22%
Tigray	6	10%	4	10%	2	12%
Total	57	100%	40	100%	17	100%

Step 1. The primary entry point for planning is watersheds selection. Similar to RLLP-I micro watersheds selection, the RLLP-II 47 watersheds were, also selected in line with ESIF objectives and selection criteria. The followings are the watershed selection criteria set out in the ESIF:-

- Rural relatively ‘‘food secure’’ area.
- Agro-ecological representativeness
- Land Degradation
- Population density
- Accessibility
- Availability or potential for surface and ground water
- Proximity to existing SLMP Woredas
- Zones not covered to far
- Watersheds contributing to reduction of sediment load and discharge capacity to national lakes
- Implementation capacity.

This initial review led to the identification of 453 hotspot watersheds in 210 woredas, allocated as follows:

- Amhara: 109 watersheds, 42woredas
- B/Gumuz: 9 watersheds, 9 woredas
- Gambella: 5 watersheds, 5 woredas
- Oromia: 101 watersheds, 54 woredas
- SNNP: 181 watersheds, 77 woredas
- Tigray: 48 watersheds, 23 woredas

Step 2: Identification of priority watersheds by heads of Regional Bureaus of Agriculture, limited to the number of watersheds determined by regional allocations shown above, selected largely from the long-list provided by PSU, but including 22 new woredas prioritized by the regions. The selection by the Regional Bureaus of Agriculture prioritized watersheds in new woredas that had not participated in SLMP-1 or SLMP-2.

Step 3: The proposed regional priority watersheds were compared against a regional ranking of land degradation, based on data from WLRC combining extent of degradation (hectares of land degraded) and severity of degradation (soil loss per hectare). The list used for the regional rankings included the watersheds identified in Step 1 by the PSU, plus the most degraded watershed in each of the additional woredas identified by the regions (excluding existing watersheds covered by the Government's SLM program). Watersheds with a rank within twice the number of allocated watersheds for that region were accepted. Exceptional justification was sought for those with a lower rank.

List of selected watersheds of RLLP-I and RLLP-II are annexed.

Multiyear Plan Development

The preparation of multi-year micro-watershed development plan, mostly for five years, is a onetime exercise, which should be completed for the entire 90 watersheds, newly added 17 RLLP-I and 47 RLLP-II watersheds for the remaining activities of implementation for the period of January 2019 – December 2026. New micro-watershed development plan preparation is not necessary for the 45 watersheds, which were supported by SLMP-I, because similar plans have already been developed earlier. Rather what is needed is to update the existing micro watershed plans and identify only the activities that will be financed through RLLP-I and RLLP-II resources based on the exit strategy modality.

The 45 watersheds supported under SLMP-I will receive technical assistance to graduate from project-based support to long-term maintenance of landscape productivity. To facilitate this transition, RLLP-I and RLLP-II will support the creation of Watershed User Associations (WUAs), and preparation of Watershed Management and Use Plans (WMUPs), build local government capacity to design and manage SLM interventions, strengthen incentives for household investment in SLM through land certification, and help improve returns to sustainable productive activities by forging connections to value chains. Besides to the above described one time planning exercise, the community in each micro-watershed has to prepare an annual operational plan for two years. Detail action plan will be prepared for the first year and indicative plan included for the second year. The activities included in the annual plan will be drawn primarily from the multiyear development plan.

Multiyear plan for watershed baseline survey

As described in the CBPWDG (under revision), the preparation of micro-watershed development plan is preceded by the collection of bio-physical and socio-economic baseline information using the data collection format of the guideline, which is shown at

annex-9 of the revised CBPWDG. The DA and WTC will collect information using this format to primarily analyze the problem and favorable condition in each micro-watershed and to use the analyzed information to identify the appropriate activities. After compilation and analysis, the woreda can also utilize these baseline information for monitoring progress and changes. These baseline data of the multi-year plan serve as source of additional information to develop the comprehensive baseline for the watershed. On top of that the achieved targets of SLMP-II watersheds will serve as the baseline for the next intervention for the existing watersheds. For the new watersheds, remaining indicators not covered by the multiyear plan will be identified and additional data will be collected by the project staff at different level in collaboration with regional Bureaus of Agriculture.

Annual work & budget plan

According to the financing agreements signed between the WB and GoE RLLP (both RLLP-I and RLLP-II) make use of the project's financial resources, annual work plan and budget as well as annual training and procurement plans have to be prepared and submitted to the World Bank for no objection. These plans are cumulative meaning that they originate from community plans to add up to woreda, regional and federal level. The community plans will be prepared according to the revised CBPWD Guideline of the ministry.

It should, however, be noted that woreda, regional and federal level annual work plan and budget could include activities other than those indicated in the community level plans provided that such activities are rational and contribute to the effectiveness of the project results. The annual work plan and budget constitute the basis for the project's annual performance monitoring and evaluation (M&E). The detail description of the planning stages, procedures and approval processes is presented in Figure 10 below. Thus, the RLLP-I and RLLP-II planning process is a multi-level process, which combines a bottom up and top down approach, multidisciplinary and produces nested annual work plans and budget and procurement plan at each level, as illustrated in the figure 10 below.

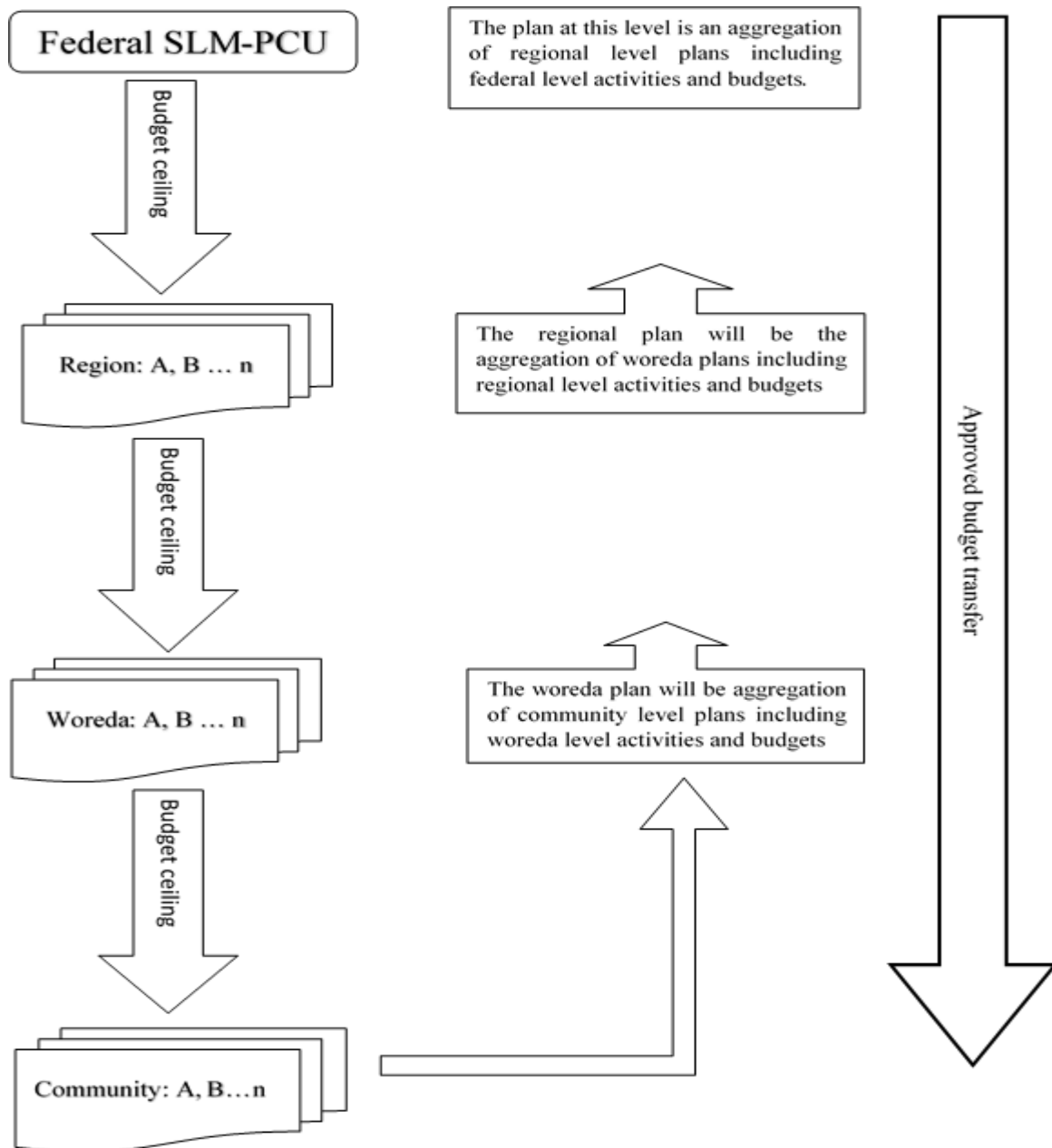


Figure 10. Depiction of RLLP planning hierarchy

Overall planning schedule

Appropriate planning schedule is important to avoid the delay of plan approval process showing the work flow and involvement of implementing structures as elaborated in the table 10 below.

Table 10. Planning schedule

Planning Level	Key Step	Outputs	Schedule
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Planning Level	Key Step	Outputs	Schedule
Preparatory phase	<ul style="list-style-type: none"> • Planning template revision and update • Consultation meeting between WTC, KWT and CWT, • Cascading Multiyear plan • Budget ceiling decision workshop 	Major watershed budget, Regional budget and National budget, Identified activities for implementation	Last week of January
Community	<ul style="list-style-type: none"> • Based on multiyear plan of the micro watersheds • CWT (10-15 members) prepare respective micro watersheds plan 	Identified prioritized activities of the year	First week of February
	<ul style="list-style-type: none"> • Plan approved by general assembly of the community 	Approval of the activities	By the end of February
	<ul style="list-style-type: none"> • CWT presents the plan to KWT 		First week of March
Kebele	<ul style="list-style-type: none"> • KWT Review/approve micro watershed plan • The KWT submit the Plan to the WTC/WFC 	Submitting the plan to the woreda	By mid of March
Woreda	<ul style="list-style-type: none"> • WTC review and compile all micro watersheds/kebele level plan including the woreda level plan • WTC submit the plan to WSC for approval • WSC review and approve the major watershed plan • WSC submit the plan to RPCU 	Approved plan and budget	By mid of April
Region	<ul style="list-style-type: none"> • RPCU review and compile the woreda level plan including regional level plan, • RPCU submit the plan to the RSC for review and approval • RSC submit the pan to NPCU 	Approved plan and budget	By first week of June
Federal	<ul style="list-style-type: none"> • NPCU review and compile the regional level plan including national level plan 	Approved plan and budget	Second week of June
	<ul style="list-style-type: none"> • NPCU submit the plan to DPs for No Objection 		End of June
	<ul style="list-style-type: none"> • NPCU submits the plan to NSC for review and approval 		First week of July
	<ul style="list-style-type: none"> • NPCU sends the approved plan and budget to regions 		First week of July

Setting budget ceiling and component share

Federal Level: Allocation and formal communication of the budget ceiling among the regions was one of the constraints of the planning process during the implementation of SLMP-I and SLMP-II. The federal RLLP-PCU, therefore, needs to provide the ceiling to the regions every year before the planning process begins. The budget ceiling to be given to the region will be calculated depending on findings on the following criteria, based on SLMP-II baseline study report:

- Size of watershed = 25%

- Population size inside the watershed = 20%
- Level of degradation = 50%
- Implementation capacity = 5%

This criteria do not apply to allocate budget to the SLMP-I 45 watersheds, however, the budget allocation to these 45 watersheds will be on the basis of the left over activities and associated costs identified by the exit strategy and performance assessment. Until the new 17 RLLP-I and 47 RLLP-II watershed baseline study report is finalized and the data made available for use, budget allocation to these new RLLP-I and RLLP-II watersheds will be decided assuming equal share to each watershed. While the budget allocation for the land administration and use component will depend on the left over activities of the sub components in all project watershed/ woredas and pre assessments of the activities to be planned ever yeas for the component.

Annual planning workshop will be held in January at federal level with the participation of regional PCU and relevant development partners. The objectives of this workshop are to determine the annual budget ceiling, the budget share of the components and sub-components based on the performance status of the micro watersheds and the strategy of the planning process.

The proportions of the allocation of the annual budget ceiling among project components and sub-components of RLLP are indicated below in a tabular form. This percentage allocation will also be applied over the regional and woreda budget allocation to the project components and sub components. However, the budget share of the component will be changed starting from the third year of the project according to the stage of watershed development based on the implementation status of the watersheds. Thus, all micro watershed plans should be started at the same time during the first year of the project.

Table 11. Budget share for project components (IDA+MDTF+GCF+PROGREEN+Gov) in US \$ (in millions)

Project Components	RLLP- II		RLLP	
	GCF Financing	PROGREEN Financing	IDA Financing	MDTF Financing
Component 1: Green Infrastructure and Resilient Livelihoods	143.00	12.17	65.00	15.50
Subcomponent 1.1: Land Restoration and Watershed Management	100.00	8.62	49.00	6.94
Subcomponent 1.2: Climate Smart Agriculture	15.00	1.35	10.00	8.46
Subcomponent 1.3: Livelihood Diversification and Connection to Value Chain	28.00	2.20	6.00	0.10
Component 2: Investing in Institutions and Information for Resilience	16.15	0.72	6.00	7.00
Subcomponent 2.1: Capacity building, information modernization and policy development	16.15	0.72	3.00	4.88

Project Components	RLLP- II		RLLP	
	GCF Financing	PROGREEN Financing	IDA Financing	MDTF Financing
Sub-component 2.2. Impact Evaluation, Knowledge Management and Communication	-	-	3.00	2.12
Component 3. Rural Land Administration and Use	-	-	20.00	6.00
Component 4: Project Management and Reporting	6.09	0.11	9.00	2.50
Total Project Costs	165.24	13.00	100.00	31.00

Region Level: The upfront task to be accomplished by a region every fiscal year is to obtain the budget ceiling from the federal RLLP-PCU/ to allocate among the project woredas in its domain and organize a regional one day preplanning workshop for Woreda Technical Committee members. The purpose of the preplanning workshop is to orient on the budget ceiling, timing, quality and content of the plans for the WTC and woreda Accountants.

The budget ceiling to be given to the woreda will be as per the federal level budget allocation to each watershed based on the SLMP-II and RLLP-I and RLLP-II watersheds baseline study report. These criteria do not apply to allocate budget to the continuing 45 watersheds. Whereas the budget allocation for land administration and use component will be based on the pre assessments of overlap with other projects or programs, status of the new and remaining activities of the sub components in all project watersheds/ woredas.

Until the new RLLP-I and RLLP-II watersheds baseline study report is finalized and the data made available for use, budget allocation to the 17 new RLLP-I and 47 RLLP-II watersheds can be decided either by taking the existing regional criteria or equally to each watershed. The annual budget ceiling given to each woreda should also indicate budgetary ceilings attached to components and sub-components. The allocation among components and sub-components should be identical with the percentage share shown under the federal level planning process.

Description of planning procedure and process at all levels

Micro watershed Level: The process of planning for component-1 at the micro watershed level should pass through the following procedures. These procedures fully apply in particular to the 90 existing, newly added RLLP-I 17 and RLLP-II 47 watersheds.

The first step of the planning at the micro watershed level is to prepare a watershed development plan for the duration of the project period (strictly following the revised CBPWDG is a must). The responsibility of the actual preparation of the five year watershed development plan and other related documents (the socio-economic and bio-physical survey data, preliminary analysis of the data, and screening of the activities using environmental and social management framework in identifying possible negative impacts and hence mitigate) would primarily fall on CWT, KWTs, CFs, DAs, Kebele Office of Agriculture (where

available) and WTC members as per the processes and procedures described in the revised CBPWDG as well as those prescribed for the implementation of the Green Infrastructure and Resilient Livelihoods component in this PIM.

In addition to this, Regional SLMP coordinator, the regional M&E, watershed and safeguard specialists should initiate and facilitate the preparation process and provide the maximum attention to gender responsive planning. Zonal watershed experts should provide technical support to ensure that the plans meet the desired quality. Involvement of the GIS experts from woreda, region and federal level in preparing the micro-watershed level maps is crucial to make the community watershed development plan complete. The maps should show basic features such as locations and sizes of land where infrastructures would be constructed, gullies to be treated and communal lands rehabilitated. Members of the regional technical committee should play an oversight role.

The community in each micro-watershed has to prepare an annual operational plan every year. The activities included in the annual plan will be drawn primarily from the multiyear development plan. In consecutive years, the CWT supported by the KWT, CFs of the project, DAs, Kebele Office of Agriculture and WTC members, should update the multiyear watershed development plan during or after the Mid-Term Review. The update should highlight new activities, expansion and/or contraction if suggested, and dropped activities if any, for consideration and approval by the concerned Kebele Administration and KWT for possible inclusion in the woreda consolidated plan.

Unlike the case of component 1, the micro watershed level plan do not have a very wide role in the planning process of component-2 and component-3. That is, most of the capacity building and land administration and use activities should be planned at woreda level by the experts because the activities are too technical and needs expertise input in identifying the type of needed trainings, identifying and making ready the appropriate training module, estimating the volume of work for cadastral surveying, land registration and certification, etc. It would, therefore, be very difficult for the micro watersheds CWTs or the KLAUCs to plan these activities at kebele level by their own unless the woreda agricultural experts, land administration experts and surveyors are involved in the planning process for the most part.

Nevertheless, getting the views of the community on what type of capacity building activities (exposure visit and farmer training) they need and making it part and parcel of the multiyear and annual micro-watershed development plans should not be overlooked. In addition, the involvement of CWTs, KLAUCs and KWTs to determine the types and quantity of land administration and certification activities to be undertaken within the selected kebeles is a critical step not to be missed. After the finalization of community level planning exercise, at least the following basic information will be made available in each woreda and communicated to the regions there after.

- Region
- Zone
- Woreda

- Major watershed Name
- Coordinate of outlet point using GPS
- Total Area in ha
- Name of kebeles in the watershed
- Name of micro watershed
- Area of the micro watershed (Ha)
- Direct beneficiaries households
 - Male HH
 - Female HH,
- Population
 - Male
 - female

Woreda Level: The annual work plan and budget preparation at woreda level is done on the basis of the annual micro watershed plans submitted from the kebeles under the woreda's jurisdiction, activity plan submitted from the Woreda Land Administration and Use Office as well as activity plan submitted from other line offices (Woreda Cooperative Office, Woreda Water and Energy Office & Woreda Rural Road Construction Office). The Woreda Project focal person of RLLP has a responsibility to ascertain that the overall costs of planned activities do not exceed budget ceiling of the woreda before entering the planned activities into the planning formats.

For component 1, the activities planned and approved by the CWT and KWT will be reviewed by the Woreda Focal Coordinator and WTC for completeness, adherence to the norms stipulated in the revised CBPWDG and compliance to ESMF for comprehensiveness before incorporating them in the woreda level work plan and budget. The Woreda Agriculture Office will have additional responsibility of assessing the feasibility of some of the identified activities such as construction of infrastructures (check dam, ponds, feeder roads, etc.), formation of user group, gully rehabilitation, communal land treatment, and income generation activities, estimating the costs of the activities and identifying and incorporating other missing activities. In addition, members of WTC who represent line offices as agriculture, land administration and use, cooperative, water, and rural road will review CWT & KWT plan with focus on outputs and resources provision.

The identification and planning of capacity building activities that are needed to effectively implement component-1 and component-3 will be the joint responsibility of the respective offices involved in planning of RLLP-I and RLLP-II at woreda level. Planning of any training and exposure visits should be preceded by training need assessment to ensure that the training activities are focused only to capacity gaps identified in implementing the project. In addition, community level training should be standardized according to the extension system of MoA in terms of training days, trainer's quality, number of trainees and minimum training aids utilized.

Then, the woreda level draft annual work plan and budget including procurement and training plans as a package will be submitted to the Zone for review and comment. The Woreda Project focal person, after incorporating the comments from the Zone, should facilitate the organization of a workshop to review past progress report and approve the annual plan. All stakeholders including the woreda cabinet, members of WTC, KWT, CWT, KLAUC and representatives of the respective zone and woreda level development partners need to be invited to participate in the workshop.

The planning approach for the land administration and use component shows slight difference for the three sub-components under it. For sub-component 3.1, the woreda Land Administration and Use Office will prepare the annual plan in consultation with the regional and zonal land administration and use offices and sum up each kebeles' planned activities and come up with a summarized woreda land administration work plan and budget. However, sub-component 3.2 (local level land use planning) requires a team work through integration of different disciplines from the woreda rural development sectors. Therefore, prior to any planning activity for sub-component 3.2, establishment of Woreda and Kebele local level participatory land use planning teams at woreda and kebele level in accordance with the LLPLUP manual is crucial. The woreda LLPLUP team will then select and prioritize kebeles to be planned each year within the critical watershed. Two major activities should be planned under subcomponent 3.2 consecutively. The first one is biophysical and socioeconomic survey for local level land use planning, and the second involves the preparation of the land use plan employing participatory and scientifically accepted land evaluation (land capability) techniques as described in LLPLUP manual. The planning process of sub component 3.3 (NRLAIS) will start at federal level with the consultation of the regional Land Administration and Use bureaus as the sub component activity is not universal for each project woreda in order to prioritize of the activity of the sub component for each year. The woreda Land Administration and Use office will also assess the material and equipment needs of the woreda office and prepare the procurement plan. Afterwards the Woreda Land Administration and Use office will forward the summarized work and procurement plan of the office to the Woreda Agriculture Office (the Woreda Project focal person of RLLP-I) to be reviewed by the woreda technical committee. Subsequently, the Project focal person will integrate the land administration plan in to the woreda RLLP-I plan before submitted to the woreda steering committee for approval. The planning hierarchy for Land Administration and Use is shown below.

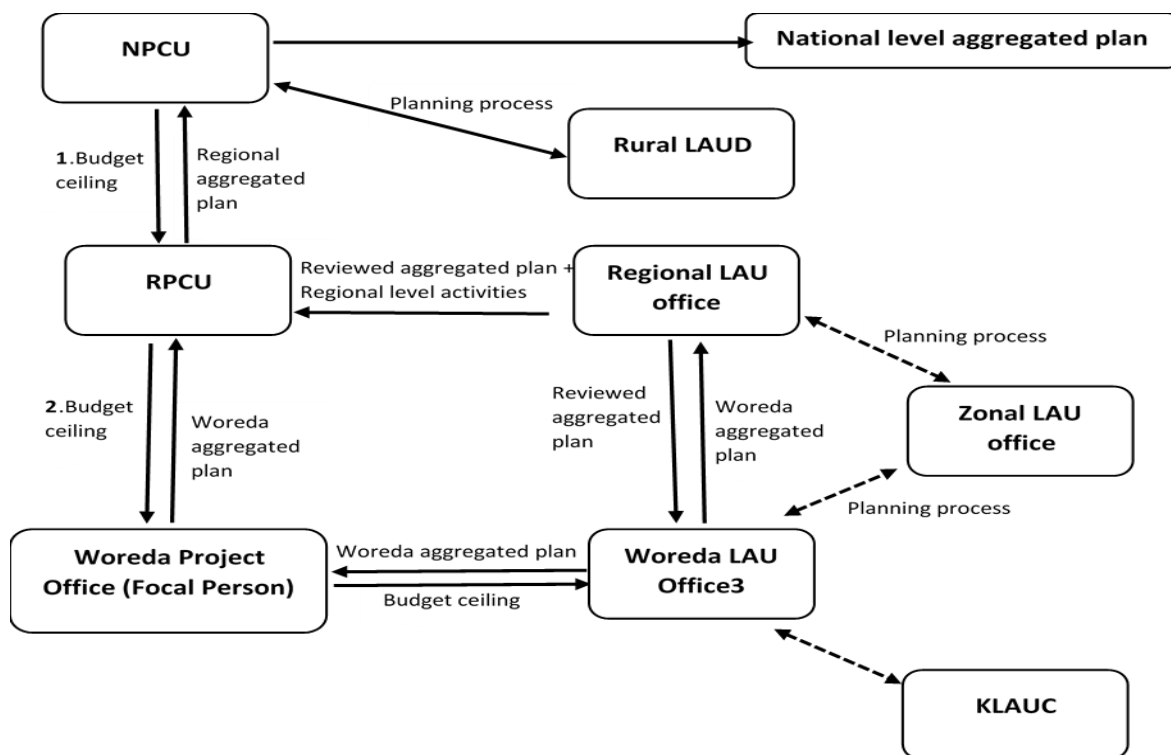


Figure 11. RLLP land administration and use component planning hierarchy

Keys on flow of activities:

- ← - - - - -> The planning process is *optional*
- > The planning process is *mandatory*

Zonal Level: The zone technical experts will actively support the preparation, review and approval process of the woreda plans. More specifically, the zone RLLP-I and RLLP-II focal persons and watershed, livestock and land administration experts will participate in the initial community watershed development plan preparation process and during the annual work planning and budgeting at the woreda level.

Moreover, the draft work, procurement and training/coaching plans and budgets of each woreda are submitted to the zone technical committee of RLLP-I and RLLP-II for checking and ensuring whether the planned activities and the corresponding costs, procurement items and training activities of woredas are objective-oriented, compatible, implementable and realistic. The Zone focal person of RLLP-I and RLLP-II in particular will compile the comments and inputs of the Zone technical Committee and provide to the respective woredas and regional PCU before the woreda plans are approved.

The costs associated with the participation of the zones’ technical committee in the planning process should be covered by the regional RLLP-PCU. The regions should transfer the budget directly to the accounts of the zones.

Regional level: The regional PCU specialists will also provide comments and supports to the respective woreda and Zone RLLP-I and RLLP-II project coordinators before the plans

are submitted to regions for approval. The regional Land Administration and Use Bureau should review the woreda plan for component-3 to check whether the planned activities of land certification, land use planning and land information system are feasible and the methods as well as cost implications and capacity needs of each activity are achievable. After the woreda plans are submitted, the regional level activities, which mainly include technical support to woredas, monitoring and evaluation, procurement of items and regional level training should be included in the aggregated regional plans. In addition, the region has to plan human and physical capacity building activities needed at regional level. Land administration activities planned at regional level should be received from the regional LAU Bureau by the regional RLLP coordinator or the M&E specialist to make them part of the regional plan. Entering the regional level activities into the planning format is the responsibility of the M&E specialist.

Regional level annual planning and review workshop should be organized to review and further refine the annual plan and budget including the procurement and training activities. The regional PCU should be responsible for organizing the workshop. All stakeholders including the representatives of woreda cabinet, WTC, Zone Technical Committee, national RLLP-PCU and regional level development partners need to be invited to participate in the workshop. The summary of the regional annual program and budget including procurement and training activities should be reviewed and approved by the regional steering committee before submitting the package to the national RLLP-PCU for approval.

Federal Level: The annual work plan and budget preparation of SLMP at Federal level is done on the basis of the annual micro watershed plans & budget submitted from RPCU including the federal level plan. The regional level plan reviewed and verified its quality by the NPCU subject matter specialists. The Federal level PM&E specialist check the plan for its consistency against the multiyear plan, budget allocated for the regions and the current budget year plan performance status.

The RLLP-I and RLLP-II annual work plan and budget reviewed, verified consolidated by national PM&E Specialists, submitted to development partners for No Objection and approved by federal level Steering Committee. The consolidated federal annual work plans, budgets, procurement plans and training plan facilitating and supervising preparation of work plans.

Federal level annual planning workshop will be held with the participation of regional PCU and the relevant development partners. The objectives of this workshop are to determine the annual budget ceiling, the budget share of the components and sub-components based on the performance status of the micro watersheds and the strategy of the planning process.

The proportions of the allocation of the annual budget ceiling among project components and sub-components of RLLP-I and RLLP-II are indicated below in a tabular form. This percentage allocation will also be applied over the regional and woreda budget allocation to the project components and sub components. However, the budget share of the component will be changed starting from the third year of the project according to the stage of watershed

development based on the implementation status of the watersheds. Thus, all micro watershed plans should be started at the same time during the first year of the project.

The federal SLM-PCU specialists will also provide comments and supports to the respective Regional SLM-PCU before the plans are submitted to the federal for approval. After the regional plans are submitted, the federal level activities, which mainly include technical support, monitoring and evaluation, procurement of pooled items and federal level training will be integrated in the aggregated regional plans. LAUD together with the land administration and use specialists of SLM-PCU must plan land administration activities to be undertaken by the Ministry.

Land administration activities planned at federal level should be received from the LAUD directorate by the RLLP coordinator, land administration specialist or the M&E specialist of SLM-PCU to make them part of the national RLLP plan. The SLM-PCU is also responsible to make sure that the implementing institutions at lower levels (Woreda and kebele) have all the necessary equipment and resources to implement the work according to the instructions given in the implementation manual. Entering the federal level activities into the planning format is the responsibility of the M&E specialists.

A national level annual planning and review workshop should also be organized to review and further refine the work plan and budget, the procurement and training plans. The responsibility of organizing this workshop falls on the federal SLMP coordinator and his support staffs. All stakeholders including the representatives of development partners need to be invited to the workshop. The summary of the national annual work plan, procurement and training plans should be reviewed and approved by the federal steering committee before the package is submitted to the WB for no objection.

Planning Template: The annual work plan from micro watershed up to national level will be prepared using a standard planning format. The SLM-PCU, in consultation with the WB and regional SLM-PCUs will refine, populate with key activities and then communicate this format to all users at least one month before the actual planning begins. This excel based format is expected to be used until the web based planning and reporting system become fully operational. Entering the planned activities into the planning format/system will be the responsibility of the regional and woreda level program experts and Woreda Focal Coordinator.

The operation and management activities of the system will be the responsibility of the structure from federal to woreda level M&E team. Woreda level of the system data will be inserted by Woreda Focal Coordinator with the assistance of the regional M&E team. The planning at all level will be accomplished using the format integrated in the system. For this purpose, all relevant experts will receive user's account and password from the administrator of the system. The procurement planning template will also be integrated to the web based planning tool.

Similarly, the regional and federal level activities will be inputted in their respective section of the planning template and system. Gender-based beneficiary number as well as target area (Ha) to be treated should be included in the appropriate section of the planning formats. Moreover, all environmental and social screening steps and procedures will be followed while preparing annual work plan starting from community level. At regional and national level the compilation of plans coming from lower level and inputting additional activities is the responsibility of the M&E specialists.

Procurement plan: A Procurement Plan will be developed for RLLP implementation that provides the basis for the procurement methods. This plan needs to be reviewed and agreed on during RLLP-I and RLLP-II appraisal and would be available in the program’s website and in the Bank’s external website. The Procurement Plan will be updated in agreement with the Bank annually or as required to reflect the actual project’s implementation needs and improvements required in institutional capacity.

Training plan: Training plan along with physical and procurement plan will be prepared at all levels. The annual training plan review workshop should be organized to review and further refine the training plan and budget. All stakeholders including the representatives of woreda cabinet, woreda and Zone SLM focal persons, region, federal SLMP-PCU, and development partners need to be invited to the workshop in their respective levels. The summary of the national training plans should be reviewed and approved by the federal steering committee after the package is submitted to the WB for no objection.

Annual Work Plan Amendment and Budget Reallocation Procedures

Amendments to an agreed and approved plan and budget should not be easily allowed. Neither will inter-component budget transfer be permitted in this project (unless the project is formally restructured by the GoE with the agreement of the World Bank). However, there could be good causes to consider changes and budget transfers among components and activities in a given component. It is therefore essential that there should be rules to govern such changes.

When such a change is considered absolutely essential, the revised work plan and budget together with procurement and training changes that may be required need to be recommended by the woreda cabinet to the regional technical and steering committees for submission to the federal level technical and steering committees through RLLP-PCU. Such an exception should be allowed only once per fiscal year. The region has the right to reject the proposition from a woreda without consultation with the appropriate federal level authority. Budget transfer application for approval is accepted only if the proposal is submitted within the first two quarters of a fiscal year.

Table 12. Budget amendment approval authority

Level	Authority	Procedure	Remark
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Level	Authority	Procedure	Remark
Woreda	Deciding maximum of 40% reallocation/ transfer from any of the approved budget of an activity to any other activity within the same component but the activity should exist in the approved plan	This transfer need to be approved by the Woreda cabinet or steering committee with a minute/and minute. The copy of the minute should be submitted to the regional project coordination unit	Budget transfer from component to component is not allowed
Region	Deciding maximum of 100% reallocation/ transfer from any of the approved budget of an activity to any other activity within the same component but the activity should exist in the approved plan, Deciding maximum of 100% transfer from any of the approved budget of one Woreda to another Woreda for activities of the same component but the activity should exist in the approved plan of the receiving Woreda,	The Regional PCU should receive transfer request approved by the Woreda cabinet or steering committee with a minute, The regional technical committee /RTC/ or the regional steering committee /RTC should approve the request/transfer of the woreda with a minute, The minutes should be communicated to the SLM accountants at all level,	Budget reallocation transfer from component to component is not allowed
SLM-PCU	Any amount and activity Component to component transfer is also possible	The transfer should be supported by the approval minute of the federal steering committee	

Monitoring & Evaluation (M&E)

The Roles of M&E in RLLP-I and RLLP-II

Monitoring and evaluation is a critical instrument for the management of the project at all levels and has a huge contribution to realizing the RLLP-I and RLLP-II objective as well as to measure progressive achievement of targets set for key performance indicators. In short, in the absence of effective monitoring and evaluation, it would be difficult to know whether the intended results are being achieved as planned, what corrective action may be needed to ensure delivery of the intended results, and whether initiatives are making positive contributions towards program development objective.

Understanding such pivotal role of M&E to RLLP and program management and to fix the weaknesses associated with the previous M&E system of SLMP-II, the NSLMP-PCU in collaboration with development partners has started taking actions to develop a more elaborated and practical new M&E system that operates at a program and RLLP level. This distinction is critical because there are many individual projects such as RLLP-I and RLLP-II that contribute to the GoE's broader SLM program. The new system will be developed taking into account the information requirement of RLLP as well as others (German Development Cooperation and European Union supports) implemented under the umbrella of the NSLMP. The detail of M&E activities, practices, responsibilities and decisions will be led by the procedures, tools, approaches, timings and formats that will be elaborated in the new system.

However, M&E system has to be a web based, interactive and compatible to integrate with smart phone/tablet-based data collection system for planning, reporting and other data collection and manipulation system. The M&E operational manual will be revised that defines the function of the program level M&E system and its nested RLLP-I and RLLP-II level M&E systems. Drone/UAV will be utilized in the project time periodically and during the mid-term, for impact evaluation of the project to track the changes in terms of land use, vegetation cover and SLM practices in the interventions area of micro watershed against the multiyear plan of micro watershed.

The sections below describe key features of the RLLP-I and RLLP-II M&E framework, suggested indicators and results monitoring arrangements. The section also gives an overview of the data collection and management processes and shows the tools and responsibilities on how effective M&E can be employed to enable information generation and reporting. The specific purposes of the projects M&E system are to:

- Generate RLLP-I and RLLP-II specific information on progress, processes and performance.
- Analyze, aggregate and access the data generated from local to regional and national levels to track progress, process the quality and its sustainability.
- Promote public accountability by monitoring RLLP's efficiency and effectiveness to assess and communicate whether the project's activities are likely to achieve expected results or realize its objectives.
- Inform and support management decision-making and control during implementation.
- Draw lessons from experience in terms of understanding factors that have facilitated or inhibited the achievement of objectives.
- Aid communication through provision of information and feedback both internally and externally.
- Provide justification for mobilizing additional finance domestically and internationally.

Principles of RLLP's M&E system

An effective Monitoring and Evaluation (M&E) system encompasses both monitoring and evaluation, and then channels results into learning. This process in RLLP is understood as follows:

- Monitoring is a continuous tracking of indicators over time mainly by internal structures involved in the implementation process, which is absolutely crucial to understanding developments in RLLP area. This alone, however, cannot be used to attribute causality.
- Evaluation is determining the net contribution of RLLP's towards targets and broader goals within the project area by using a set of indicators, baseline values, and comparing with groups not getting the similar support.
- Learning and Dissemination Component: This identifies captures and documents lessons learned in the RLLP-I and RLLP-II processes. The lessons are communicated through various knowledge sharing and communication techniques including circulated

reports, workshops and meetings and in the establishment of a comprehensive Knowledge Base MIS.

In addition the SLMP theory of change is presented in the table 13 below and it helps to visualize hierarchical and horizontal linkages of RLLP-I and RLLP-II interventions and expected changes. It also shows impacts outside the project's direct span of control.

Table 13. Theory of change at SLMP and RLLP level

Current practices and situation	Interventions of the RLLP and RLLP-II	Changed practices and Situation	RLLP-I and RLLP-II outcomes within 5 years	Long - term impacts outside direct span of RLLP control
<ul style="list-style-type: none"> Land degradation (amplified by climate risks) has undermined economic and environmental wellbeing of communities and denied the basis for sustainable development 	<ul style="list-style-type: none"> Implement physical and biological SWC measures, Promote sustainable and climate smart agronomic and livestock production practices 	<ul style="list-style-type: none"> Farmers rehabilitate degraded lands (gullies, bare lands) maintain SWC structures, apply integrated soil fertility management/ crop husbandry and sustainable livestock production practices. 	<ul style="list-style-type: none"> Degraded lands rehabilitated and made productive, vegetation cover and biomass increased, agricultural productivity and water supply enhanced, and emission reduced 	<ul style="list-style-type: none"> Land degradation reversed and erosion hazard risk reduced, ecosystem functions restored, biomass & carbon stock increased, livelihoods and incomes of communities enhanced
<ul style="list-style-type: none"> Poor land management practices render land susceptible to erosion, land degradation and climate change 	<ul style="list-style-type: none"> Implement SWC Measures. Treat degraded land. Construct water harvesting structures. Construct and rehabilitate communal roads. Promote intercropping of cereals with nitrogen fixing fertilizer trees and shrubs. Promote agro- forestry practices (F. albida and Bamboo) 	<ul style="list-style-type: none"> Farmer ensure that the ground/soil is covered in the rainy season. Farmers maintain physical and biological SWC measures. Farmers efficiently use water for irrigated agriculture Farmers increasingly apply soil conserving and fertility improving agricultural practices. 	<ul style="list-style-type: none"> Degraded land is rehabilitated. Land productivity is maintained (enhanced). Sustainable land and water management practices by small holder farmers scaled up. Farmers increasingly practice climate smart watershed and landscape management practices. 	<ul style="list-style-type: none"> Rural areas become more sustainably managed ecosystems with well-developed infrastructure and Access to markets. They provide improved livelihoods and potentially increased income for communities.
<ul style="list-style-type: none"> Rapid depletion of vegetation cover leads to soil erosion /land degradation 	<ul style="list-style-type: none"> Introduce community based ecosystem conservation and restoration, Support access to carbon markets and biodiversity markets, Establish community level protected area system, Introduce biodiversity conservation techniques. 	<ul style="list-style-type: none"> Farmers knowledge and skilled in biodiversity conservation. Farmers apply soil conservation and fertility improving agricultural practices. Farmers access with minimum support carbon and biodiversity markets. 	<ul style="list-style-type: none"> Farmers are paid for conserving and restoring ecosystems and protecting biodiversity. 	<ul style="list-style-type: none"> Re-establishment of vegetation cover that is sustainably managed by communities and partially leading to income generation.
	<ul style="list-style-type: none"> Support reforestation and afforestation specially of communal areas in the watersheds and hilltops, Promote fuel efficient technologies for the HH level. 	<ul style="list-style-type: none"> Farmers have the technical and Management skills to implement PFM. Farmers implement functional management systems for Woodlots. Ladies increasingly use renewable energies. 	<ul style="list-style-type: none"> Increased carbon sequestration in biomass and soils(with some carbon payments made), Farmers use forests in a balanced manner (take out and replenish the systems) 	<ul style="list-style-type: none"> Forest and Vegetation cover sustainably increased and erosion and land degradation reduced.
<ul style="list-style-type: none"> The break in soil nutrients cycle depletes soil quality and reduces soil productivity, increases erosion 	<ul style="list-style-type: none"> Improve management of soil fertility (Manuring, composting, mulching, cover cropping, crop rotation, intercropping) Promote conservation agriculture (improved tillage, seeding and crop protection methods to be tested, validated), Construct small scale irrigation schemes 	<ul style="list-style-type: none"> Small holder farmers apply conservation agriculture: leave crop residues in field, intercrop, and use agro-forestry, fodder/nitrogen fixing fodder hedges, mulch, and use cow dung to improve soil fertility. Small farmers increasingly practice integrated diversified farming 	<ul style="list-style-type: none"> Agriculturally productive farm lands and reduced degradation/ soil erosion in homesteads. Lucrative animal production integrated in farming system with fodder production 	<p>Sustainable increase in agricultural production and productivity leading to potential increases in income.</p>

Current practices and situation	Interventions of the RLLP and RLLP-II	Changed practices and Situation	RLLP-I and RLLP-II outcomes within 5 years	Long - term impacts outside direct span of RLLP control
	and introduce high value crops/vegetables	(multipurpose food and tree cropping plus livestock rearing).		
	<ul style="list-style-type: none"> • Establish pockets of wood stands in homesteads (multi- purpose use) • Promote plant boundaries at homestead level. • Promote food and income diversification (apple, banana, mango, Cactus, Tamarind, Ziziphus mauretania) • Promote value addition and marketing of products 		Small scale farmers not only produce sufficient and balanced food for their own needs but also are better able to supply surplus to local and regional markets. Small scale processing of selected agricultural products increases the income of farmers(outside direct SLMP-II support)	
<ul style="list-style-type: none"> • Poor Livestock management leads to overgrazing (Free grazing without restriction) 	<ul style="list-style-type: none"> • Support user groups and communities in self-organization for sustainable utilization of communal land resources and : <ul style="list-style-type: none"> ○ Integrate fodder production/ forage hedge planting on farm. ○ Promote poultry and animal fattening ○ Promote beekeeping 	<ul style="list-style-type: none"> • Steep hillsides are “no go zone” for livestock. • User groups /communities use closed communal hillsides for fodder production (cut and carry) and beekeeping. <ul style="list-style-type: none"> ○ Communities legalize/formalize agreements on management of communal land resources ○ Adapted livestock management (preventative health, feed, water, and housing) is practiced. 	<ul style="list-style-type: none"> • Healthy and productive animals provide high value protein to households and potentially increased income through live sale or sale of products (meat, traction, milk, eggs, skins and hides, horn for jeweler etc.) 	Livestock numbers are managed in accordance/balance with carrying capacity of different landscapes/ecosystem.
<ul style="list-style-type: none"> • Insecure land tenure system favors short term exploitation of land rather than sustainable use, inappropriate land use utilization, insecure non transparent and outdated land data and information 	<ul style="list-style-type: none"> • Develop standardized procedures, technologies and operations for cadastral surveying, land registration, land use plan, land information system and educate the communities. • Apply the cadastral system and issue land holding certificates • Support participatory land use planning, • Establish land information system, 	<ul style="list-style-type: none"> • Participatory land use planning systems functional, • Due to increased tenure security farmers apply sustainable land and water management practices, • Farmers’ are more willing to invest more in their land quality. • Valuable ecosystems are marked for protection. • Sustainable land information for sustainable land management, planning and decision making, 	<ul style="list-style-type: none"> • Farmers earn income from diversified Sustainable NRM, possibly even from ecosystem conservation, • Better development plan and decision based on reliable and updated land data and information. 	
Knowledge and skills on different subjects (technical, financial, organizational, management related) at different levels not sufficient, or it exists but is fragmented and isolated	<ul style="list-style-type: none"> • Training Needs Assessments at different levels • Development of training modules and materials • Training and coaching on the job, • Assessment of success (change of 	<ul style="list-style-type: none"> • Trainees rate the trainings as useful and apply new knowledge and skills. • More smallholder famers apply sustainable management practices in their fields. • A cadre or coalition of innovators and knowledge brokers is formed 		

Current practices and situation	Interventions of the RLLP and RLLP-II	Changed practices and Situation	RLLP-I and RLLP-II outcomes within 5 years	Long - term impacts outside direct span of RLLP control
	knowledge, attitude and Behavior/practice), <ul style="list-style-type: none"> • Hold farmer to farmer, experience sharing and knowledge exchanges • Attend national, regional & international south- south knowledge exchange and networking events 			
Incomplete regulations and laws to incentivize sustainable land management and combat land degradation at different levels	<ul style="list-style-type: none"> • Review existing legislation at different levels(financed by GIZ)Develop new or amend existing bylaws/regulations that promote sustainable land use 	<ul style="list-style-type: none"> • Enabling and conducive legislation is passed to promote/enforce sustainable land management 	<ul style="list-style-type: none"> • Sustainable management of communal resources by groups/individuals and communities is supported and shows success in form of potential higher incomes 	Forest cover nationwide increasing again
Knowledge and information not systematically shared among all SLM stakeholders	<ul style="list-style-type: none"> • Conduct events between all stakeholders that promote knowledge and experience sharing. 	<ul style="list-style-type: none"> • Improved sharing of information and networking among different Stakeholders using different ICT. 		
Systematic vertical data management from Micro water-shed to Woreda to regional to zonal to federal levels is weak	<ul style="list-style-type: none"> • Assess options to establish a database and quarterly indicator related updates. • Develop backup hardcopy reporting to accommodate weak internet & telecommunication connectivity 	<ul style="list-style-type: none"> • Consistent generation recording and update and aggregation of data which are accessible at all levels by different level users. 	<ul style="list-style-type: none"> • Improved data management and proper reports for good M&E and learning well established data base and Management information system at all levels. 	

Basis for RLLP Monitoring

Monitoring and evaluation tools, approaches and responsibilities always relate to pre-identified results indicators. Likewise the monitoring and evaluation of RLLP-I and RLLP-II is conducted primarily to give answer for the extent of achievement of the indicators defined in the result framework shown in the PAD and included below also for easy reference. The M&E should also generate more data and information that show the status on additional selected indicators from the revised GEF tracking tool.

RLLP's Result Framework

The monitoring and evaluation of a RLLP is primarily guided by the following agreed and approved result framework, which is also part of the PAD. The result framework shows the hierarchical linkage among the results expected to be attained at all level from outcome up to impact level. It also includes the definition of the indicators and targets for some of them.

Baseline data are understood as data that need to be available before (or at the early) the start of the interventions. Some data might also be extracted from existing databases, data collection for preparing multiyear plan and detail study of the project area before commencement of the project interventions.

The development goal (impact) mainly focuses on the changes which occur later in the process during the period of economic development. The Result Framework Indicators are therefore measured in comparison to the situation at the beginning. The data collection thus takes time at the very beginning (during baseline) and annually. Data source is mainly data collected by independent body, Development Agents (DAs) and other local agents as appropriate. After reviewed by woreda agent, the data is processed by RPCU for reporting. The responsibility of data analysis and interpretation is mainly at federal PCU level.

The Intermediate Objective level focuses on the short-term and medium term changes (contributing to the long-term changes). Data collection therefore takes place annually to identify short-term changes. The regular monitoring and evaluation in relation to the Intermediate Objectives is also important for the SC of the SLMP. Hence, the annually collected data (collected at the end of each budget year) will feed into the work plan for the coming year, thereby giving the possibility of adjusting planning if the expected results are not being achieved.

Table 14. Results Framework and Monitoring

Results Framework COUNTRY: Ethiopia Ethiopia Resilient Landscapes and Livelihoods Project (RLLP)

Project Development Objectives: To improve climate resilience, land productivity and carbon storage and increase access to diversified livelihood activities in selected rural watersheds.

Project Development Objective Indicators

Project Development Objectives: To improve climate resilience, land productivity and carbon storage and increase access to diversified livelihood activities in selected rural watersheds.

Project Development Objective Indicators

Indicator Name	WB Corporate Indicator	Unit of Measure	Baseline	End Target	Frequency	Data Source/Methodology	Responsibility for Data Collection
PDO1. Land area under sustainable landscape management practices	Y	Hectare	406,000	1,237,000	Annual	Collected by DA's and other local agents as appropriate. After reviewing by Woreda agent, data is processed by the PSU for reporting.	Federal PSU
1.a. Land area restored or reforested/afforested	N	Hectare	0	28,000	Annual		
1.b. Land area with productivity enhancing practices applied	N	Hectare	0	80,000	Annual		

Description: *The appropriate package of land management activities restores degraded lands and promotes improved management that not only increases productivity but also enhances resilience by building absorptive and adaptive capacity that limits the adverse effects of climate change. Sustainable landscape management (SLM) practices refers to a combination of technologies and approaches to increase land quality and restore degraded land including catchment management which encompasses a set of different dependent measures in a certain area, with overall planning and management.*

Characterizing catchment area in terms of watershed basin, this indicator counts as treated the total area of a micro watershed once all the prescribed soil and water conservation measures identified in the relevant Multi-Year Development Plan (MYDP) have been fully implemented. MYDPs are developed in accordance with the Community-Based Participatory Watershed Development Guidelines (CBPWDGs) and consist of a range of land management technologies and approaches designed to restore degraded lands and promote improved management, that not only support increased productivity but also enhance resilience by building absorptive and adaptive capacity that limit the adverse effects of climate change.

Sub-indicator 1a: This indicator tracks forest restoration and expansion. It is calculated as a subset of the total land area with sustainable land management practices (indicator 1) that is treated with measures to return the land to its natural, semi-natural, or forested state. It includes habitat restoration and other conservation measures to restore biodiversity, establishment of forest on land with and without recent tree cover, gully area stabilization, degraded area closures, degraded area woodlot establishment, area covered by bamboo plantation on degraded area. This indicator does not include areas, which have been cleared during or in anticipation of the project. Area re/afforested refers to “establishment of forest through planting, and/or deliberate seeding on land that, until then, was not classified as forest” or “re-establishment of forest through planting and/or deliberate seeding on land classified as forest” expressed in hectare (ha). This can include also assisted natural regeneration, coppicing or other locally appropriate methods.

Sub-indicator 1b: This covers the total area of individually held land on which Climate Smart Agriculture (CSA) practices have been adopted under the project. The application of improved, productivity enhancing, technologies on farmland promotes transformative resilience by introducing climate conscious practices and undertaking investments that fundamentally changing how land resources are used while at the same time improving absorptive and adaptive capacity that limits the adverse effects of climate change.

PDO 2. Net greenhouse gas emissions	Y	Metric ton (CO ₂ eq)	0	-680,000	Annual	Ex-Act tool with intervention activity data entered for each micro watershed and processed by the PSU for reporting.	Federal PSU
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Description: *Measures net change in CO₂ emissions as a result of the project’s wide range of on-ground land management and use interventions. Changes in the amount of carbon present in soil, crop, rangeland and forest/trees or mixed or mosaic systems can indicate overall changes in system productivity or degradation, and the extent to which the natural resource is being managed sustainably and can recover to shocks such as drought. The method used is the Ex-Act carbon balance estimation tool, which calculates carbon accumulation and emissions based on project biophysical output data. Net greenhouse gas (GHG)*

emissions are calculated as an annual average of the difference between project gross (absolute) emissions aggregated over the economic lifetime of the project and the emissions of a baseline (counterfactual) scenario aggregated over the same time horizon. The indicator value is negative if the project is reducing emissions, and positive if the project is increasing emissions. The economic lifetime of the project is assumed to be 25 years (5 implementation and 20 post-project years, the same time horizon used in the Economic and Financial Analysis) during which a total of 17M tons CO₂eq are projected to be offset.

PDO 3. Households adopting diversified livelihood activities supported by the project	N	Number	0	192,000	Baseline, Mid-term, End line	Based on information collected as part of stakeholder/ beneficiary survey.	Federal PSU
3a. Female-headed households participating in diversified livelihood activities supported by the project	N	Number	0	33,600	Baseline, Mid-term, End line		

Description: This variable captures household's reduced vulnerability to climate change through the adoption of non-traditional activities. By diversifying their livelihood portfolios, households are being proactive in adapting and transforming their livelihoods to limit exposure to future shocks due to climate change and extreme weather events. This indicator is measured as the percent of households engaging in approved, non-traditional activities, relative to the total number of households in the project area. The definition of what constitutes the set of potential non-traditional activities is set out in the Project Implementation Manual (PIM) and applies to activities that are expected to reduce households' vulnerability to future shocks associated with extreme weather events and climate change by diversifying livelihood activities and increasing the resilience of natural (i.e. land) resources. The total population in the project area is approximately 3million, and assuming 5 individuals per household, approximately 640,000 households. The target value reflects a household adoption rate of 30 percent. Female-headed households represent approximately 15 percent of all households and assumes roughly 35 percent adoption.

PDO 4. Project area showing an increase in NDVI correcting for climate effects	N	Percent	0	50	Baseline, Mid-term, End line	Remote-sensed satellite imagery. Uses historical data to develop a model that is used to control for climate effects	PSU with support from external GIS and remote-sensing expert
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Description: The Normalized Difference Vegetation Index (NDVI) measures photosynthetic activity and vegetation cover. Changes in vegetation cover and intensity correlates with improvement in land productivity, increased carbon storage, and greater resilience to climate change due to improved absorptive and adaptive capacity (as per the PDO). Utilizing visible-red and near-infrared spectral bands, NDVI is one measure for detecting vegetation cover and can be used to track changes in vegetation over time. This indicator is meant to add value when used in combination with other indicators, and provides a benchmark for physical achievement under the operation and can be computed using remote-sensed satellite imagery data.

Progress under this indicator is tracked by computing, at the pixel-level (using a spatial resolution of 30mx30m), the change in annual average NDVI from baseline, selecting pixels showing an improvement over the baseline after adjusting for climate effects. NDVI values are computed using medium resolution imagery (i.e. Land Sat 8 or Sentinel-2) and incorporating a masking routine to exclude pixels that can result in unreliable estimates (i.e. containing clouds, shadows, water cover, etc.). The share of the project area showing an improvement in NDVI is evaluated after an appropriate lag (i.e. 1 or 2 years) on areas where interventions have taken place (PDO 1). Information on spatial location and timing of interventions in each of the project watersheds is required for tracking this intervention.

Assessing performance under this indicator measures change from the baseline and compares this against any change that would have occurred without the intervention (i.e. the counterfactual). Given the lack of satisfaction with how remote-sensing based indicators have performed in the past, largely as a result of failing to control for climate effects, the methodology establishing the 'counterfactual' for comparison will incorporate best practices and state of the art methods and data for modeling index values based on remote-sensed data. To best use improvements in methods or data, the underlying methods and benchmark statistical model may be updated during the course of the project as appropriate.

PDO 5. Project area showing an increase in LSWI correcting for climate effects	N	Percent	0	50	Baseline, Mid-term, End line	Remote-sensed satellite imagery. Uses historical data to develop a model that is used to control for climate effects	PSU with support from external GIS and remote-sensing expert
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Description: The Land Surface Water Index (LSWI) measures moisture content in soil and vegetation. Improved land management practices lead to better water retention, less runoff during heaving rains and improves moisture availability during dry seasons, thereby supporting more vigorous and enduring plant growth during periods of little or no rain. Soil and vegetation moisture content correlates with improvement in land productivity, increased carbon storage, and greater resilience to climate change due to improved absorptive and adaptive capacity (as per the PDO). The LSWI is the normalized difference between the near-infrared and short-wave infrared spectral bands and ranges from -1 to 1. This indicator usefully complements NDVI and is meant to add value when used in combination with other indicators. It provides a benchmark for physical achievement under the operation and can be computed using remote-sensed satellite imagery data.

Progress under this indicator is tracked by computing, at the pixel-level (using a spatial resolution of 30mx30m), the change in annual average LWSI from baseline, selecting pixels showing an improvement over the baseline after adjusting for climate effects. LWSI values are computed using medium resolution imagery (i.e. Land-Sat 8 or Sentinel-2) and incorporating a masking routine to exclude pixels that can result in unreliable estimates (i.e. containing clouds, shadows, water cover, etc.). The share of the project area showing an improvement in LWSI is evaluated after an appropriate lag (i.e. 1 or 2 years) on areas where interventions have taken place (PDO 1). Information on spatial location and timing of interventions in each of the project watersheds is required for tracking this intervention.

Assessing performance under this indicator measures change from the baseline and compares this against any change that would have occurred without the intervention (i.e. the counterfactual). Given the lack of satisfaction with how remote-sensing based indicators have performed in the past, largely as a result of failing to control for climate effects, the methodology establishing the 'counterfactual' for comparison will incorporate best practices and state of the art methods and data for modeling index values based on remote-sensed data. To best use improvements in methods or data, the underlying methods and benchmark statistical model may be updated during the course of the project as appropriate.

Intermediate Results Indicators

Indicator Name	Core	Unit of Measure	Baseline	End Target	Frequency	Data Source/Methodology	Responsibility for Data Collection
IR 1. Share of target beneficiaries with rating 'Satisfied' or above on project interventions (aspects: livelihoods, environmental benefits, others)	Y	Percent	n/a	65	Baseline, Mid-term, End line	Based on information collected as part of stakeholder/ beneficiary survey.	Federal PSU responsible for contracting third party or arranging data collection.
1a. Share of target women beneficiaries with rating 'Satisfied' or above on project interventions	N	Percent	n/a	65	Baseline, Mid-term, end line		
<p>Description: Captures engagement with stakeholders and extent to which project is meeting stakeholder demand. This is based on a survey administered to households in the project watersheds. The survey instrument is comprised of small number of questions (approx. 15-25), which will measure the extent to which the project reflected expectations and preferences of beneficiaries in the project watersheds. Survey techniques will be used to document male and female beneficiary priorities at project outset. Surveys during and at the close of the project may identify respondents' satisfaction with project investments, including a specific question about the degree to which respondents felt project activities reflected their preferences (ex post). The survey will include the following question: "How satisfied are you that the project activities associated with RLLP are useful to you? [scale 1-5 representing very unsatisfied to very satisfied, with a score of "3" representing neither satisfied nor dissatisfied.]". The indicator will record the percentage of men and women reporting scores of 4 or 5 in response to this question.</p>							
IR 3. Area enclosure as a result of the project.	N	Hectare	0	36,000	Annual	Collected by DA's and other local agents as appropriate. After reviewing by Woreda agent, data is processed by PSU for reporting.	Federal PSU
<p>Description: This indicator tracks areas where grazing is restricted. Limiting or completely restricting livestock in these areas improves resilience by increasing absorptive and adaptive capacity of the lands treated and, when complemented with other improved management practices like cut-and-carry, increases productivity and potential for generating additional income.</p>							
IR 4. People participating in income-generating activities supported by the project	N	Number	0	345,000	Baseline, Mid-term, End line	Based on information collected as part of stakeholder/beneficiary survey and annual household survey.	Federal PSU responsible for contracting third party or arranging data collection.
4a. Women participating in income generating activities supported by the program.		Number	0	190,000	Baseline, Mid-term, End line		
<p>Description: Measures number of individuals engaged in income generating activities promoted by the project. The associated activities increase opportunities for diversifying livelihood, increasing resilience as a result by developing adaptive capacity as well as having a transformative impact through greater access to non-traditional livelihood strategies. Activities include, but are not limited to, apiculture promotion, poultry production, fattening, fruits, vegetables and cash crops as well as those individuals who are involved in the production and marketing of improved cook stoves</p>							

This indicator treats individuals equally whether undertaking activities on their own or as part of a group, in which case the number of active group participants contributes to the total. In some instances, individuals may engage in or belong to one or more groups involved with project-supported income generating activities but should be counted only once. This indicator is tracked as part of the stakeholder/beneficiary survey.

IR 5. Watershed User Associations (WUAs) established and strengthened	N	Number	0	130	Annual	Reported by woreda and captured as part of the regular M&E reporting.	Federal PSU
IR5a. WUA's with Watershed Management and Use Plan	N	Number	0	90	Annual		
<p>Description: <i>By the end of the project period, all SLMP-I (45) and SLMP-II (90) watersheds are expected to have completed their MYDPs and graduated from project-based support for SLM. To help ensure the sustainability of the SLM interventions, the Project will provide support for the creation of Watershed User Associations (WUAs) in each graduating watershed, to replace the project-based Community Watershed Teams (CWTs) and Kebele Watershed Development Committees (KWDCs) with legally recognized institution for the ongoing planning and management of the watershed. This indicator measures the number of such WUAs legally formed for Project watersheds.</i></p> <p><i>Watershed Management and Use Plans (WMUPs) agreed by WUAs will detail management and use for graduating watersheds, outlining agreements to conserve and utilize the resources, and establishing bylaws for managing and implementing conservation activities and the distribution of benefits. The development of these WMUPs is critical for ensuring land resources are used and managed in a way that enhances absorptive and adaptive capacity to climate change, promoting resilience broadly at the landscape level. This indicate measures the number of targeted watersheds in the Project area that have developed a WMUP approved locally by the WUA, and either the Woreda or regional SLMP coordination platform.</i></p>							
IR 6. Targeted major watersheds with Multi-Year Plan approved	N	Number	90	107	Annual	Reported by woreda and captured as part of the regular M&E reporting.	Federal PSU
6a. Targeted major watersheds with Multi-Year Development Plan 1% - 49% implemented	N	Number	0	0	Annual		
6b. Targeted major watersheds with Multi-Year Development Plan 50% - 99% implemented	N	Number	90	0	Annual		
6c. Targeted major watersheds with Multi-Year Development Plan 100% implemented	N	Number	0	107	Annual		
<p>Description: <i>The Multi-Year Development Plan (MYDP) defines the SLM activities that will be undertaken by the Project to treat each target watershed. At the start of RLLP, 90 MYDPs have been approved for the SLMP-II watersheds, and all are more than halfway completed. By the end of Project, it is expected that MYDPs will have been approved and completed for all SLMP-II watersheds, plus 17 new RLLP watersheds. Indicators 6a, 6b, and 6c provide a means of tracking progress towards completion of all MYDPs during the Project implementation period.</i></p> <p><i>IR6 measures the number of watersheds in the project area for which an MYDP has been approved by the Woreda or regional SLMP coordination platform. In a given major watershed, the MYDP is a collection of multi-year plans for each micro-watershed targeted by the project. The MYDP includes baseline data, base maps, and detailed information on the activities and interventions prescribed to stabilize each of the targeted micro-watersheds (with timelines and budgets).</i></p> <p><i>Each activity within a MYDP is assigned an associated activity area. Percent completion of each MYDP is measured as the sum of the activity areas of completed activities, relative to the total activity area of all the activities included in the MYDP. Note that the sum of the activity areas included in a MYDP is less than the total area of the micro watersheds that will be considered treated when the MYDP is completed.</i></p>							
IR 7. Functional Common-Interest Groups (CIGs) established or supported.	N	Number	0	2000	Annual	Collected by DA's and other local agents as appropriate using data collection application on tablets.	Federal PSU
<p>Description: <i>This indicator tracks the number of Common-Interest Groups (CIGs) established or supported under RLLP that are active in watershed management and/or income generating activities. Through these groups communities' management of watershed resources are improved, and opportunities for new, non-traditional activities are promoted. Improved community ownership and management of land resources combined with broader livelihood alternatives increases resilience by developing adaptive and transformative capacity. Groups covered under this indicator include, but are not limited to, CIGs for such activities as poultry promotion, shoaat fattening, and apiculture promotion. "Established" refers to a documented list of individuals and positions, and by-laws. "Functional" refers to the level of activity as evidenced by minutes and other documentation.</i></p>							

IR 8. Woreda information centers being effectively used by project stakeholders	N	Number	0	107	Annual	Based on data collected by regions and physical verification by PSU.	Federal PSU with relevant regional expert to document the centers' functionality
<p>Description: <i>Woreda information centers serve as repositories for data, information and knowledge products relating to SLM and make this information publicly available for multiple audiences. Access to relevant and up-to-date information improves decision-making for planning and implementation of climate resilient strategies that are absorptive, adaptive, and transformative. The information provided by these centers includes, for example, best practices, indigenous knowledge and experience of farmers, and scientific knowledge and practices. These centers also collect and document biophysical, socio-economic, and spatial information (i.e. maps) as part of a comprehensive database to track changes and impacts of RLLP. These information centers are expected to be equipped with basic office furniture, computers, shelf cabinets, scanners, photocopiers, as relevant, and may provide space for reading and learning.</i></p> <p><i>The functionality and effectiveness of these information centers will be tracked as part of the stakeholder/beneficiary survey.</i></p>							
IR 9. Parcels of land surveyed and mapped for certification	N	Number	1,776,000	4,776,000	Annual	Information extracted from NRLAIS database or generated using data collected from Woreda Offices of Land Administration and Use.	Federal PSU
<p>Description: <i>This indicator is the total number of parcels surveyed and mapped. This includes the number of individual and communal land parcels surveyed, mapped and registered with the Woreda Office of Land Administration and Use (WoLAU) as part of second-level land certification activities. Interventions that increase tenure security and define associated rights provide holders with an incentive to take a long-term term perspective when managing land resources and undertaking investments, increasing productivity and enhancing resilience through adaptive and transformative means</i></p>							
IR 10. Second level land certificates issued as a result of the project	Y	Number	0	2,500,000	Annual	Information extracted from NRLAIS database or generated using data collected from woreda land administration offices.	
<p>Description: <i>The number of second-level land certificates issued. This is a WB core indicator for the number of land parcels with use or ownership rights recorded as a result of the Project. Interventions that increase tenure security and define the associated rights provide holders with an incentive to take a long-term term perspective when managing land resources and undertaking investments, increasing productivity and enhancing resilience through adaptive and transformative means.</i></p> <p><i>Note: Second-level certification differs from the earlier first-level certification program by providing additional spatial (i.e. location and boundary) data in the form of a parcel map.</i></p>							
IR 11: Households who have received second level land holding certificates	N	Number	438,000	1,0308,000	annual	Information extracted from NRLAIS database or generated using data collected from woreda land administration offices.	Federal
11a. Women who have received second level land holding certificates individually or jointly with a man	N	Number	300,000	750,000	annual		
<p>Description: <i>This indicator measures improved land rights as evidenced by the number of households who have received second-level land holding certificates for individual parcels that have been surveyed, mapped and registered by the woreda. Interventions that increase individual tenure security and define the associated rights provide households with an incentive to take a long-term term perspective when managing land resources and undertaking investments, increasing productivity and enhancing resilience through adaptive and transformative means.</i></p> <p><i>Second-level certification differs from the earlier first-level certification program by providing additional spatial (i.e. location and boundary) data in the form of a parcel map. HHs include male-headed, female-headed and jointly-headed HHs. Female-headed households are those usually headed by widows, unmarried, divorced or separated women.</i></p> <p><i>The sub-indicator disaggregates the parent indicator to better track improvements in women's land rights under the project.</i></p>							

IR 12. Landless youth who are members of groups who have been issued a second level certificate or other legal documentation to use communal land holdings in exchange for restoring land	N	Number	14,000	34,000	Annual	Information extracted from NRLAIS database or generated using data collected from woreda land administration offices.	Federal PSU
12a. Women Landless youth who are members of groups who have been issued a second level certificate or other legal documentation to use communal land holdings in exchange for restoring land	N	Number	4,200	10,200	Annual		
Description: <i>This indicator captures the number of individual landless youth that are organized into user groups and who, as a result of the project, have secured greater land rights in exchange for rehabilitating degraded communal land. These rights are documented by a second level certificate or other legal documentation such as a lease, which is issued to a given user group in exchange for rehabilitating and managing the land and applying appropriate SLM practices to sustain land productivity. This innovation has potential for scaling up. Interventions that increase tenure security and define the associated rights provide holders with an incentive to take a long-term term perspective when managing land resources and undertaking investments, increasing productivity and enhancing resilience through adaptive and transformative means.</i>							
IR 13. Woredas with functioning land administration information systems	N	Number	0	112	Annual	Information extracted from NRLAIS database or generated using data collected from woreda land administration offices.	PSU
Description: <i>Institutions that support good land governance and land administration play a key role in defining and enforcing land holder rights, which enhances tenure security. Security of tenure requires reliable and up to date land information whereas the sustainability of functional land administration depends on the ability to keep the land information constantly up to date. The data contained in the information systems reflect actual physical and legal data of the parcels, their landholders or possessors and match with the reality on the ground (reflecting the actual link between the cadaster and the register, and the reality on the ground). All the information registered in the systems comes from data accurately collected in the field and this can be managed effectively through a functional land information management system such as NRLAIS. This indicator will track Woredas with NRLAIS installed and managing land administration services in daily basis. Security of tenure allows rights holders to take a long-term term perspective when managing land resources and undertaking investment, increasing productivity and enhancing resilience through adaptive and transformative means.</i>							

Additional Indicators

The M&E should also generate more data and information that show the status on additional indicators. These additional indicators would be important for tracking impacts from the project interventions. Such impact indicators include changes in water quality and quantity, increase in crop productivity, carbon accumulation in soil and biomass, reduced/avoided terrestrial greenhouse gas emissions; indicators of ecosystem health and watershed function according to local conditions and/or aggregated at national level. Social and economic impact indicators should also be sourced and analyzed for appropriateness and RLLP level reporting and aggregation to national levels. Examples include household welfare, income/livelihoods opportunities, diversity of income sources, access to land and natural resources, and other socio-economic characteristics of households. Some more indicators as agreed with the WB will also be selected from the revised GEF tracking tool for monitoring and reporting.

Watersheds Baseline Data

Conducting baseline survey is a must to have a sound monitoring and evaluation system. However, the RLLP-I and RLLP-II baseline survey will be conducted as part of the MYDP and it is envisaged to be conducted in two different but complementary approaches. The results of the baseline surveys (MYDP) will provide comprehensive information on the bio-physical as well as socio-economic conditions of the new 17 RLLP-I and 47 RLLP-II watersheds. The missing baseline values of some of the indicators in the result framework will also be filled from the results of the baseline surveys conducted at national level. Besides, the findings of this survey will be the main source of baseline information to guide the monitoring and evaluation of the project at national level. As a result, a comprehensive baseline data set of 64 watersheds will be developed by undertaking in-depth biophysical and socio-economic baseline survey through multi-year data collection stage.

The Bio-physical aspect of this survey is conducted to develop a base map with general data and all relevant information for each watersheds; to assess the current status of the land resources in each watershed which include but not limited to soils, water, vegetation, biodiversity, wetland habitats, etc., and develop present land use and land cover map, slope map, major soils map, agro-ecological map, etc. for each watershed; assess land degradation (soil erosion, gully, deforestation, etc.) for all the watersheds using state-of-the-art technologies such as remote sensing and satellite imagery and develop land degradation/soil erosion map including gullies; assess the extent of land degradation in major land use types (cultivated, grazing, forest etc.) via qualitative and quantitative means; identify the existing natural and planted forest and their management practices along with indigenous or introduced management practices addressing the land degradation problem via forest interventions. The soil loss assessment models adapted to Ethiopian highland condition (e.g. Modified Universal Soil Loss Equation, Soil and Water Analysis Tool) can be used to assess the soil loss due to sheet erosion. Other prediction models should be used depending on their accuracy and applicability.

The socio-economic survey on the other hand includes collection and analysis of demographic data including livestock population in each watersheds, assessing the farming system, main crops cultivated in each watershed and their coverage by area (estimated in %), cropping pattern and current productivity of major crops and livestock in each watershed; major livestock production systems in the watershed and the associated constraints; assessing available and potential livestock feeds including communal grazing lands, annual and perennial forage species, crop by-products etc.; average land holding sizes with respect to different social strata, the proportion of land less, near land less farmers and unemployed youths engaged in off-farm activities; estimating the household incomes from crop, livestock, natural resources and other income generating activities; assessing the coverage of land certification and registration of private, communal and other holdings in the watershed together with its likely impacts on tenure security, enhancing investments on private plots, conflict reduction etc.; assessing infrastructures such as water supply, big and small scale irrigation for GAC and EU projects, farmers training centers, marketing centers, etc., in each watershed; looking into major fuel supply/energy sources used by the community in each watershed along with alternative energy sources and their utilization such as fuel-saving technologies in the community as well as identifying major problems/challenges and opportunities for sustainable natural resources management in each watershed

Monitoring: The result based monitoring system of RLLP encompasses the following key approaches and tools to monitor performance from implementation of activities up to measuring of impact level results:

- **Activity Implementation Monitoring**

This refers to monitoring of implementation of activities at community level and is usually done through conducting on the site direct observation and discussions, meetings and telephone communication on the basis of annual work plans and watershed development plans. This task is a routine exercise that mainly rests on Community Watershed Teams (CWT), Kebele Land Administration and Use Committee (KLAUC), Kebele Watershed Team (KWT), Development Agents (DAs), Forman/community facilitators and woreda experts when the activities are less resource intensive and require simple technical knowhow. The Forman/Community Facilitator follows the day to day execution of activities at the community watershed. He/she discusses the progress related to activities almost on a daily basis with the DA, who along with the CWT and KWT members verifies the reported accomplishments. Experts from the federal PCU/MoA, experts of RPCU, institutions responsible for Land Administration and Use and Bureau of Agriculture-BoA including technical advisors from development partners can also conduct activity monitoring on ad-hoc basis.

However, for the monitoring of selected infrastructural activities the Regional Infrastructure Experts (RIEs) will have and play greater role. First, prioritize types of infrastructure and SWC activities in each woreda and MWS for technical support and monitoring. Priority will be assigned to each structure through analysis of annual work plans. Criteria used to set

priorities include engineering complexity, potential hazard, human health (e.g. water supplies), inclusion of environmental and social safeguard management issues (both in the procurement and implementation processes), and cost. Higher priority will be accorded to more resource intensive structures needing higher levels of expertise for their construction. Higher priority structures will be monitored much more intensively by the Regional Infrastructure Experts/RIEs and Environmental and Social Safeguard/ESS experts to ensure that proper standards are used while planning, site selection, design, specification, construction and management. Table 15 below defines the priorities to be accorded to some of the different types of structures that are likely to be included in the annual work plans. Other types of structure that are not included in table below will be assigned an appropriate level of priority in accordance with the above criteria.

Table 15. Priorities for monitoring by rural infrastructure engineers

No.	Activities and Sub-Activities	Priority Rank	No.	Activities and Sub-activities	Priority Rank
Infrastructure			Physical measures		
1	Check-dam pond	1	6	Arc-weir	2
2	Water harvesting structure	1	7	Cut-Off drain	3
3	Ford/culvert	1	8	Water Way	3
4	Hand-dug well/Spring development	1	9	Gabion check dam	2
5	Road Construction	2	10	Gully-wall reshaping	4
			11	Retention-wall	1

All activities accorded a priority ranking of 1 to 4 will be individually identified and visited by the RIEs during planning and before any construction takes place. All prioritized infrastructure developments will then be described and recorded in RLLP's database by the RIE. The database will provide a complete basis for subsequent monitoring, quality control, reporting and future evaluation. SWC or other structures which are of lower priority from a rural engineering perspective (such as loose stone check dams, trenches and bunds) will be inspected and monitored by the infrastructure and environmental and social safeguard experts through low intensity purposive sampling.

- **Output and Quality Output Monitoring**
 - **Output Monitoring**

This refers to the regular assessment and checking of achieved outputs prior to reporting to the next level using the quarterly reporting template. Examples of outputs to be assessed include: number of beekeeping user groups' established/supported, number of parcels surveyed for second level certification, cubic meters of gabions check dam built, number of trenches dug, hectare of land terraced, number of seedlings produced in nurseries, Km of bunds stabilized by plantation of grasses, area of grazing communal land planted with forage trees, number of seedlings out planted survived, area of ex-closures where the different ecosystem services are preserved, perception of the community towards the sustainability of the different interventions in the watersheds etc.

The responsibility of monitoring output at micro-watershed level mainly rests on the CWT, CFs, KWT, KLAUC and the DAs. At Woreda level the Woreda SLMP Focal Person along with the WTC members verifies the outputs reported from micro watersheds. He/she aggregates the verified outputs and enters them to the reporting template after obtaining approval from the Woreda Steering Committee. The federal and regional SLMP-PCU specialists would also conduct sporadic field assessment in selected micro-watersheds to check the quantity of outputs reported.

- **Quality of output monitoring**

The monitoring of quality of outputs achieved through RLLP-I and RLLP-II financing is done at least twice in a year, before and after the main rainy season, by adopting the Joint Monitoring Mission (JMM) tools. JMM is a monitoring instrument developed to check quality and quantity of reported outputs and selected outcomes. It is an instrument that allows participation of key stakeholders in the progress assessment process.

- **Joint Monitoring Mission (JMM)**

The regular output monitoring and reporting via the reporting template does not yield adequate information on the quality and use of outputs. Moreover, it may not adequately involve relevant project stakeholders and communities on progress monitoring. If applied properly, participatory monitoring tools such as JMM have been proved useful in improving effectiveness of Natural Resources Management Program implementation and steering during implementation of SLMP-I and SLMP-II. As a result, RLLP-I and RLLP-II M&E system will adopt JMM - a joint and participatory monitoring mechanism - as one of the pillars of the monitoring system.

Joint Monitoring Mission (JMM) is the basic tool for checking the reported quantity and quality of outputs/services and selected outcome indicators. It is a monitoring instrument that allows participation of key stakeholders in the progress assessment process. Expert observation, measurement and Focus Group Discussions (FGD) will be the basic methodology used during JMM. More specifically JMM is expected to assess:-

- Land area under sustainable landscape management practices,
- Land area restored or reforested/afforested,
- Land area with productivity enhancing practices applied,
- Targeted major watersheds with Multi-Year Plan Development: Plan 100% implemented,
- Targeted major watersheds with Multi-Year Development Plan approved,
- Area enclosure as a result of the project,
- Land users adopting sustainable land management practices as a result of the project,
- Functional Common-Interest Groups (CIGs) established or supported,
- People participating in income-generating activities supported by the project,
- Watershed User Associations (WUAs) established and strengthened,
- WUA's with Watershed Management and Use Plan,

- Woreda information centers being effectively used by project stakeholders,
- Parcels of land surveyed and mapped for certification,
- Second level land certificates issued as a result of the project,
- Implementation of the environmental and social impact mitigation measures,
- Households who have received second level land holding certificates,
- Communal land holdings in exchange for restoring land,
- Women Landless youth (who are members of groups) who have been issued a second level certificate or other legal documentation to use communal land holdings in exchange for restoring land,
- Woredas with functioning land administration information systems, and
- Documentation of the performance of each activity at woreda level.

In addition, the JMM team will assess:

- the quantity of bio-physical measures and compare it with reported figures,
- quality/sustainability of bio-physical measures,
- reasons for successes and failures with respect to bio-physical measures,
- to what extent farmers apply the knowledge and skills they got from trainings and experience sharing visits, and
- the level of community participation on SLM-planning, implementation and monitoring & evaluation.

A Joint Monitoring Mission team is comprised of members from all levels including the communities which need to be established in each woreda prior to any JMM exercise. The team should be comprised of the Woreda Technical Committee members, representatives from the CWT and the KWT (including the DA) and other development partners working in the woreda. One JMM team should be established in each SLMP Woreda. The Woreda level JMM team members will be led and supported by the zonal SLMP focal person or other technical expert assigned from the Zone. Regional and National level SLM-PCU experts will participate in a rotational manner among community watersheds. The JMM team members at all levels should be trained and familiarized with the JMM techniques, methods, formats and indicators to be measured.

The capacitated JMM team in each woreda will carry out two JMMs annually (in October and May). During JMM after the rainy season, selected outcome indicators such as ‘Increase in per cent of households/land users adopting and applying sustainable and climate-smart/resilient land management practices on individual lands disaggregated by gender, total area of restored or reforested/afforested on both individual and communal land, etc. will be measured against the baseline.

The selection of representative community watersheds will be done by the JMM team in each Woreda. The community watersheds should be selected based on balanced, representative samples of well performing, medium performing and poor performing micro watersheds. The number of community watersheds to be selected should not be less than three during each JMM. The Woreda SLMP focal person is expected to advise the team

during the community watersheds selection process. The decision to include or exclude community watersheds where JMM already took place is left up to the Woreda JMM team. The sampling should be done in a way that each community watershed is covered by JMM at least every two years. More elaborated explanations about the JMM procedure along with the monitoring formats of each indicators are provided in the result based monitoring and evaluation manual of the project, i.e., RLLP. For detail information the JMM manual can be further referred from Annex 4.

Monitoring of Higher Level Indicators

Conducting independent surveys by external consultants is another pillar of the RLLP monitoring system. Such independent surveys by external consultants will be organized as necessary after second year of implementation by the federal SLM-PCU in consultation with the development partners. The following key indicators of the RLLP will be monitored at least after second year of implementation.

- Households adopting diversified livelihood activities supported by the project
- Female-headed households participating in diversified livelihood activities supported by the project
- Share of target beneficiaries with rating ‘Satisfied’ or above on project interventions (aspects: livelihoods, environmental benefits, others)
- Share of target women beneficiaries with rating ‘Satisfied’ or above on project interventions
- Land users adopting sustainable land management practices as a result of the project
- Women land users adopting sustainable land management practices as a result of the project
- People participating in income-generating activities supported by the project
- Women participating in income generating activities supported by the project
- Woreda information centers being effectively used by project stakeholders.

Joint Implementation Support Mission (JISM)

As the name indicates this mission is conducted basically to provide support to the implementation process. However, it is partly a kind of progress review mission and hence can be considered as part of the SLMP M&E system. This mission should not be confused with the Joint Monitoring Mission (JMM), which is one of the pillars of the internal monitoring system of SLMP. As described earlier, JMM is planned and implemented at woreda level with the support and involvement of regional and zonal experts specifically to monitor the achievement of the indicators and quality of outputs. JISM on the other hand is jointly organized and led by the development partners financing RLLP-I and RLLP-II and MoA. It is usually conducted twice in a year and the objective is to assess to what extent the implementation of the RLLP-I and RLLP-II is being carried out in accordance with agreements and recommend actions that enhance effectiveness.

The mission will specifically assess:

- Whether the timely and adequate budget has been transferred to different implementation levels;
- Whether activities has been executed timely and according to pre-set in technical standard;
- The degree to which immediate outcomes and outputs are being obtained and how these are contributing towards the achievement of the PDO;
- The degree to which actions agreed upon during the last JISM have been carried out;
- The operational effectiveness of the SLMP-specific monitoring and evaluation system;
- Compliance of the RLLP-I and RLLP-II implementation to the WB safeguard policies and procedures;
- Compliance of the RLLP-I and RLLP-II implementation to the WB procurement and financial procedure at all level;
- Effectiveness of overall RLLP management and coordination mechanism.

At the end of every mission an Aid Memoir, which pinpoints specific action points to help to overcome the identified weaknesses and gaps will be written. Rating to RLLP implementation will also be given in the aid memoir. The aid memoir once agreed with both the development partners and the government will be part of the RLLP agreement and be binding.

Reporting

Quarterly Progress Report

The provision of informative progress reports is a formal requirement of the WB, the Loan and Financing Agreements stipulate these requirements. The quarterly and annual reports will be compiled and submitted to Parliament, MoF as well as to development partners (WB, Norway Gov't, GCF, GAC and GEF). The main functions of quarterly progress reports are to:

- Review current progress compared to planned activities, and expenditures compared to budgets;
- Provide overall status information on the RLLP-I and RLLP-II since it started – in terms of physical progress and total expenditure;
- Identify problems encountered during the reporting period and any remedial actions taken to resolve the problems;
- Analyze Strength, Weaknesses, Opportunities and Threats (SWOT);
- Discuss quantitative and qualitative progress made in achieving the overall objectives;
- Provide strategic direction for the next planning cycle;
- Prepare un-audited Interim Financial Report (IFR).

Table 16. Reporting and information flow matrix

Organization	Responsible Officer	Data Source	Report to	Reporting Frequency
CWTs & Community organizations	Community facilitator/ foremen	<ul style="list-style-type: none"> • Direct observation, • measurement • Personal record of CF 	KWT/DA	Weekly (Every Saturday)
KWT/DA/ WTC	<ul style="list-style-type: none"> • DA or KWT • KLAUC • WTC 	<ul style="list-style-type: none"> • Report from the CF/foremen, • Direct observation • Keble record of RLLP activities • Woreda record of RLLP activities 	WoA/WFC	Weekly (Every Monday)
WoA	WFC	<ul style="list-style-type: none"> • Report from the CF/foremen, • report from WTC, • Direct observation • Personal record of WFC 	RSLM-PCU	<ul style="list-style-type: none"> • Annual: June 20 • Monthly (Last week of the month) • Quarterly (10 days before end of the Quarter)
RSLM-PCU	M&E specialist	<ul style="list-style-type: none"> • WFC, • Report from regional • Land Administration and USE Bureaus • RTC records of RLLP activities • RLLP activities 	<ul style="list-style-type: none"> • RSC, RTC • NSLM-PCU 	<ul style="list-style-type: none"> • Annual: June 25 • Monthly: (Last week of the month) • Quarterly: (5 days before end of the Quarter)
NSLMPCU	Senior M&E specialist	<ul style="list-style-type: none"> • Report from RSLMPCU • Technical staffs • NTC records of RLLP activities 	<ul style="list-style-type: none"> • NSC, • World Bank • Planning Directorate of MoA 	<ul style="list-style-type: none"> • Annual: July 2 • Monthly: (Last week of the month) • Quarterly: (10 days before end of the Quarter)

The quarterly reporting templates will be prepared by SLMP-PCU and communicated to all regions within two months after effectiveness. The template will also be included in the forthcoming result based monitoring and evaluation manual of RLLP.

JMM Reporting

Presentation of findings of JMM will be made in a way it shows the level of achievement for each indicator with a narrative summary and – most importantly – it should indicate lessons learnt (positive and negative) and best practices for knowledge management and up-scaling. Recommendation on necessary actions for management decision making should also be part of it. This report is written each time when the JMM is conducted by the mission participants. The report is expected to give highlight on the return on investment of SLM interventions by doing a sort of cost benefit analysis for selected micro-watersheds and selected watershed management activities.

The project Management Information System (MIS)

Sustainable Land Management Program/RLLP-I and RLLP-II needs to have a database system and guideline that covers Micro-watershed, Major-Watershed, Administrative Woreda, Zone and Region basic information such as household, beneficiaries, area, land use land cover and other bio-physical and relevant socio-economic information and data of the program. Functionality of the database must be able to perform tasks such as list of household and program beneficiaries disaggregated by gender, area of micro-watersheds, list of program partners, list of partner’s support woredas, project implementation period and financial

contribution and other relevant program information will be organized in standard Data Base Management System (DBMS).

Standardized naming convention is applied for objects in the database. The database interface has to be very simple, possibility of data migration, import export facilities and compatibility to fit in to the available none commercial database software's and possibility of integrating it to the open source geo-spatial database. Users of the database and SLMP community of practice and other authorized members regardless of their physical location will have access to a database using website to retrieve data's and synthesis of information's. User friendly interfaces and click-able buttons will be there to extract data's and summaries (arranged /organized by categories) from the database. And the resulting tables will be presented as self-explanatory report optimized for printing (without further process to adjust table margins, title heading and fonts).

Enterprise Content Management System, Open data accessibility portal, Website and Mobile Based IVR (Interactive Voice Response), SMS and Help Desk Platform for SLMP services will be develops and implemented throughout the activities of the project; for the purpose of data capture, mange, store, content contribution, categorization, advanced search, document management and information accessibility with different level of system permissions and role, starting from woreda to federal level of the PCU and project partners. The program will have either its own server or host in the MoA data center which can be centrally administered by a data administrator who can manage database, content of the program website as well as manage network infrastructure.

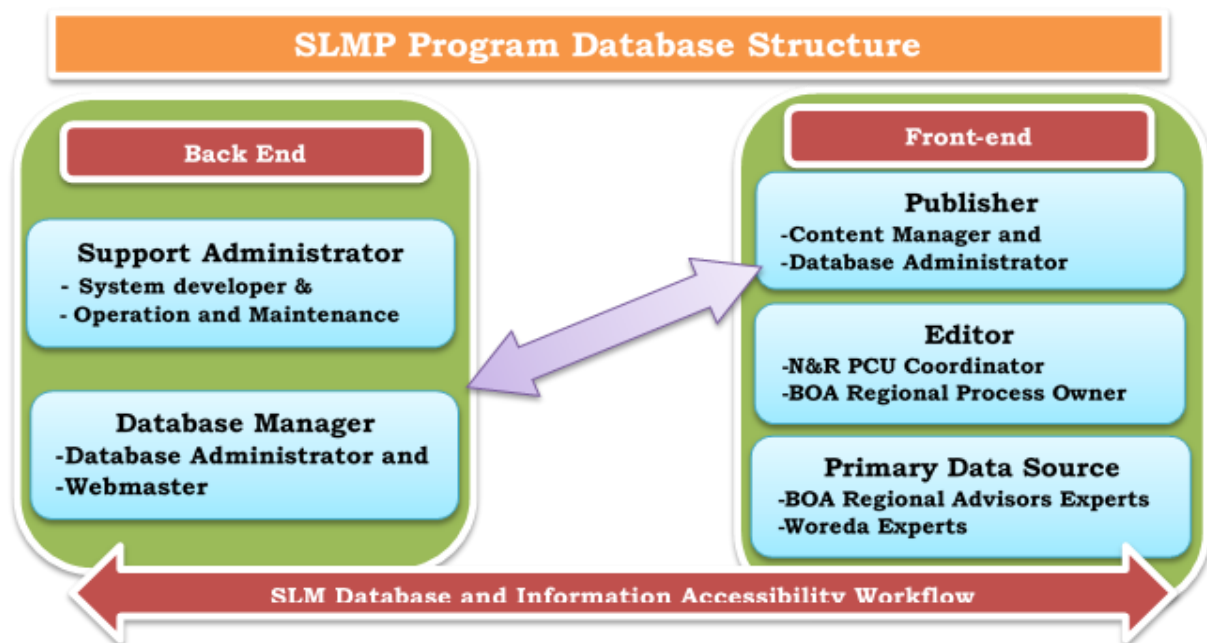


Figure 12. SLMP database structure

After the web-based planning, M&E system is fully functional in all woredas, the quarterly performance data is communicated through the system for easy analysis, aggregation and reporting. Web- PM&E system will be designed to speed up the planning and reporting

process (harmonized format and standardized budgeting figures), avoid duplication of efforts, shows actual intervention area spatially, automate data aggregation at all levels and facilitates instant visibility from all locations with internet infrastructure. It can be accessed by all SLMP parties who are involved in sustainable natural resource management. The Planning, M&E web-based system will be standardized for usability by all partners. The system will be used for quarterly reporting at Woreda level by the Woreda Focal Coordinator with little capacity building.

The activity and output level performance information are entered to the web-based Planning, M&E system separately for each micro watersheds covered by RLLP-I and RLLP-II. Thus the micro-watershed level information should be first received from the Community Facilitator and DAs on monthly basis by the WTC member who is assigned to give close support and follow-up to the specific micro-watershed. The Woreda Focal Coordinator after summarizing the verified performance by quarter will enter the data in to the reporting system.

Woreda Information Center (WIC) will be constructed and equipped with ICT infrastructure and internet service. The woreda SLM focal person shall be responsible to manage the overall activities of the center. The centers help them acquire data, information, communication, knowledge products and technical assistance that enhance data and information generations, processing and manipulation activities for woreda SLMP/RLLP activities. (Guideline on WIC establishment is found in annex 17).

The micro-watershed level activities the physical intervention that can be seen on the ground will be collected their pair of XY coordinate (use Universal Transverse Mercator (UTM) Projection in meter; zone 37N (36 N for Gambella and Benishangul Gumuz, 38N for around Harari Region), use Datum Adindan with the available GPS and/or Smart Phone (Tablet). The collected Geo spatial data enables to show the performance distribution of the micro watersheds and to enhance the report quality and progress for some activities and outputs that are implemented directly by woreda sector offices (e.g. irrigation, water supply and rural road construction, training organized at woreda level, rural land surveying and registration and issuance of certificates) should be received from the respective experts of the sector offices by the Woreda Focal Coordinator.

The Woreda Focal Coordinator (WFC) is also expected to prepare brief description on the process of implementation, on the challenges faced and recommendations for improved performance. Simple and user friendly standard below woreda data collection format developed to be used by DA & CF similar with the one to be used in the web-based PM&E system.

Evaluation

Evaluation of the project will be carried out at the Mid-term & near closing time of RLLP-I and RLLP-II by qualified external consultants. The purpose of these evaluation is to assess efficiency, effectiveness, impact and overall project's coordination. The evaluation team

will basically draw on results from the internal monitoring system and on other secondary data sources. The team would also substantiate the information gained from secondary sources by conducting its own observations and Key Informant Interview (KII) with SLM-key stakeholders at all level as well as conducting focus group discussions with beneficiaries including representatives of the communities. The evaluations are also expected to show the analysis of the cost and benefit aspect of investments made in sustainable land management. Both the Mid-term (at the end of second year of implementation) and final evaluations (at the end of fourth year of implementation) will be initiated by the MoA in consultation with the development partners.

M&E Capacity building

Effective function of the M&E System in the RLLP shall require the SLM-PCU with the support of World Bank and other development partners to ensure the following tools are available at the federal level and to the extent necessary at sub national levels. These data management tools and instruments include data collection and analysis tools, data analysis tools and computers, M&E operational manual including M&E framework or policy.

Monitoring and Evaluation Plan

RLLP M&E Plan shall clearly demonstrate how to monitor and evaluate the project's activities. The Plan shall enable a comprehensive assessment of RLLP-I and RLLP-II progress, effectiveness and impacts in the seven implementing regions. The M&E Unit of NSLM-PCU with the support of World Bank shall produce a comprehensive M&E Plan within six months of RLLP effectiveness (after development of RLLP's work plan).

Exclusion List

RLLP and RLLP II shall not finance the acquisition and/or use of the following products:

1. Pesticides;
2. Herbicides;
3. Genetically modified organisms;
4. Patented hybrid seeds; and
5. Biocides.

In addition, there are GCF restricted costs which any proceeds from GCF source will not finance. These are (a) land administration activities (e.g. issuance of tenure right certificates, NARLAIS); (b) energy efficient cook-stoves under sub-component 1.3, which shall be solely financed with the Co-financing; and (c) salary for government civil servants that the GCF Proceeds shall not finance.

Procurement

This PIM sets forth the procedures for effective and efficient planning and execution of procurement processes in the implementation of the RLLP-I and RLLP-II. Procurement under the project will be carried out in accordance with the World Bank's Procurement Regulations

for IPF Borrowers - ‘Procurement in Investment Project Financing, Goods, Works, Non-Consulting, and Consulting Services’, dated July 2016, November 1, 2017 and August 1, 2018 (here in after called “Regulation”) and ‘Guidelines on Preventing and Combating Fraud and Corruption in Projects Financed by IBRD Loans and IDA Credits and Grants’, revised as of July 1, 2016; and the provisions stipulated in the Legal Agreement. The project implementing agencies are advised to always use the latest versions and current provisions of the procurement regulations and other applicable procurement policies and procedures from the official sources. In case of any conflict between the provisions stipulated in this Manual or any other procurement document and in the World Bank’s procurement regulations, the provisions in the Regulation shall prevail. This manual is helpful in parallel to the consolidated procurement manual prepared for this purpose.

Procurement Arrangements

Procurement activities will be carried out by the Ministry of Agriculture at the Federal level, by the regional Bureaus of Agriculture (BoA) at the regional level (Regional Land Administration Bureau by delegation from BoA) and by WoF at woreda level.

Procurement under RLLP would be carried out in accordance with the new procurement regulations dated July 2016, revised November 2017 for borrowers and under regulations of Procurement in Investment Project Financing Guidelines and provisions stipulated in the financial agreement.

To carry out procurement included in the approved annual procurement plan for all selection methods (RFB, RFQ, CDD and Direct Selection (DS)); there should be an agreement between the Borrower and the Bank pertaining as per the detailed procurement plan format. The procurement plan should be updated at least annually, or as required to reflect the actual project implementation needs and improvements or changes in excel sheet and STEPS.

Procurement under the federal level will be carried out by project procurement specialists under the follow up and approvals of MoA procurement directorate. All procurement activities, starting from incitation to contract finalization, are the responsibility of the project procurement specialist. MoA procurement Director has a responsibility of controlling all procurement procedures. The approval of every procurement contracts is carried out by Procurement Endorsing Committee for high value procurements and approved by State Minister for low value contracts. The responsibility of regional procurement specialists is similar to the federal. All regional procurement activities shall be handled by project procurement specialists under the approval and follow-up of RBoA finance and procurement process owner. All regional procurement specialists should be focused on the project procurement activities and will support the government procurement system by giving consultation on procurement document preparation and evaluation, by giving training for government procurement specialists. At the woreda level all procurement responsibilities is for Woreda office of Finance.

Procurable items under the Project

Procurement of Goods: Goods to be procured under the project will include vehicles, office furniture, stationary, office equipment, hand tools, construction materials, different types of livestock, beehives, goods and equipment for community infrastructure works, seeds and seedlings at the federal, regional and Woreda levels.

Procurable items at national level will be vehicles and motorcycles, office equipment, office furniture, and land administration materials. Procurable items at the regional level will be office equipment, office furniture, stationary items, hand tools, and gabion. Procurable items at the woreda level will be different types of seed, construction materials, livestock, beehives, hand tools and community driven materials. The procurement of goods, works and non-consultancy services at national, regional and woreda level will be done using the Bank's SBD for all international and National SBD agreed with or satisfactory to the Bank.

Procurement of Works: Works procured under this project would include construction of: On farm water harvesting structures, Construction and rehabilitation of community access roads with structures (ford and culvert), gully treatment, spring capping development, community and household ponds, shallow well and community information Center. All these works are procured at the woreda level.

Procurement of Non-consultancy Services: Non-consultancy services to be procured under the project include: capturing of aerial photo and orthophoto production, mapping of critical habitats, media promotion, printing of different documents, transportation of goods and equipment. The procurement methods and steps for non-consultancy services are similar to the Procurement of Goods.

Procurement of Consultancy services: Consultancy assignments will include individual technical assistance at various levels of project implementation and advisory services to be provided by firms in various aspects of the project as described in the Project Procurement Plan. The consulting services to be provided by individuals required for the project include all approved staff position in FA (Financing Agreement) at all levels. Among the program staff list approved in the procurement plan, for all six regions there should be qualified procurement specialist to overcome efficiency of procurement performance including staffing. At federal level there should be one senior procurement specialist and one procurement specialist due to support for other projects under the program. To strengthen the capacity of the procurement directorate of the ministry one procurement specialist will be seconded.

The procurement staff for the effective project implementation should have access standard and advanced procurement training on general contract management for goods, works, and consultancy service, because advanced procurement capacity is crucial for the project implementation to breach the gap identified during the external audit ahead of time and to enhance the existing procurement track record within the project life time. Consultancy firm selection shall be in accordance to the World Bank Procurement Regulation IPF Borrowers July 2016 revised November 2017.

Consultancy services for the program will be handled according to the Bank IPF Regulation which are Quality and Cost Base Selection (QCBS), Quality Base Selection (QBS), Consultant's Qualification Base Selection (CQBS), Least Cost Based Selection (LCS) or by Direct Selection method. Selection of staffing (individual consultants) will be:

- Direct selection basis with due justification and clearance by development partner approval by the ministry in exceptional cases. For instance, the continuation of the existing staff of SLMP-II to RLLP-I and RLLP-II at all levels,
- At the regional level, the recruitment of the coordinator should have clearance from the federal level while the rest staffs recruitment will be handled at regional PCU level. The national PCU will involve in reviewing the ToR and all the post recruitment process. However, upon delegation the NPCU will involve in overall recruitment process.
- At Woreda level for the accountant recruitment, follow competitive selection process through advertisement for new position and direct selection basis with due justification and clearance by region for its review and no objection for the existing staff.

Operational items procurement: Procurement of services and items such as fuel, maintenance of equipment, communication, vehicles insurance, transportation and travel allowances for carrying out field supervision will be in accordance to the updated Federal Public Procurement Code & Directives or whenever those directives do not apply, commercial practices commonly used for similar purposes will be applicable.

Training and Workshops: The project will fund training activities including capacity building. The annual training plan of the project shall be approved by the Bank. The training plans would include details on (a) type of training to be provided; (b) number of beneficiaries to be trained, duration of training, and estimated cost; (c) institutions selected based on their expertise; and (iv) expected learning outcomes. Trainings and workshops shall be prior reviewed as part of the annual work plans of the project. Venues for workshops and training and purchase of materials will be done on the basis of comparing at least three quotations (refer to the shopping guidelines) for contracts valued at less than US\$ 100,000. The selection of institutions for specialized training will be done on the basis of quality and therefore Quality and Cost Based Selection (QCBS) or other appropriate selection methods shall be used.

Project Procurement Strategy for Development (PPSD)

The Project Procurement Strategy for Development (PPSD) assesses the procurement environment and proposes optimal procurement arrangement for high value/high risk and low value/low risk procurement contracts The PPSD covers the following areas:

- a. identification of the specific project needs;
- b. assessment of the operating context and its potential impact on the procurement;
- c. assessment of the implementing agency's capacity, resources and previous experience in procuring these types of activities;
- d. assessment of the adequacy, behavior and capabilities of the market to respond to the procurement; and

- e. justification of the proposed procurement arrangements based on market analysis, risk and operating context and the project's particular circumstances.

The PPSD shall be updated every year based on the market conditions and as required based on the needs of the project implementing agencies. The NPCU in collaboration with the Procurement Team at the Ministry of Agriculture shall be responsible to update the PPSD timely and adequately.

Procurement Planning

The overall objective of the Procurement Planning (PP) is to ensure that the procurement of goods, services and works are carried out in an efficient economical way and in a timely manner. Procurement plan shall be prepared after thorough assessment of demand and the supply market which shall be adequately covered in the PPSD. The proposed procurement arrangement in the PPSD shall be used as a basis in the procurement plan preparation and selection of procurement methods and market approach options.

The User Department/Agencies shall provide all required support including realistic cost estimate, market information etc. to enable preparation of procurement plan. Procurement plan and any update should be reviewed and cleared internally before it is shared to the World Bank for clearance through STEP. The relevant PCU and the user departments/agencies should be actively involved in the review and approval of the procurement plan. The project shall submit the procurement plan and updates through STEP for Bank's review and approval. Once it has provided its no-objection, Procurement Plan and all its updates shall be published by assistance of the Bank on its external website.

The first and most important step in the procurement cycle is the identification of the required items and services to be procured and determine when those goods/services are required for the project. This requirement shall be reflected in the procurement plan and the project implementing institutions shall perform proper planning for all procurement activities in order to ensure that they meet their needs in the most effective, economical and timely manner.

A Procurement Plan (PP) is a legal document required in the procurement process. Annual PPs shall coincide with budgets and targets to be achieved. Plans shall address the technical, operational, management, financial and other significant considerations. This should be carried out by the user section/entity and should result in clear identification of the items and corresponding specific functional and service requirements. Officers at all levels that are engaged in planning and managing procurement must be aware of all governing legislation and the agreed procurement rules and procedures in order to inform decision-making processes.

Once procurement needs have been identified and specified, the concerned project implementing institutions should also ensure that procurement is carried out in time. For this a PP should be prepared giving sufficient lead time for the process. Project implementing

institutions should ensure that appropriate approvals at each level are in place. Procurement plan should be prepared and approved by the authorized institutions or body. Procurement should be carried out in accordance with the approved procurement plan. Procurement activities carried out without an approved procurement plan are considered as ineligible expenditures and are not financed through project fund. The time required to properly carry out each stage of procurement activities should be estimated carefully to develop a realistic plan based on the procurement directives. The procurement plans should be regularly updated during the course of the project, to reflect changes in project implementation.

For the preparation of a procurement plan, the following steps should be taken into account:

- Make a list of items, goods, works, and services required to achieve the project objectives (the list of items and key data should be reflected in the Annual Work and Budget Plan)
- Package the items on the list in logical contract group study the local market for the availability of the required goods, works and services,
- Cost each package based on updated market price,
- Correlate contract package cost with thresholds to decide procurement mentioned,
- Determine the lead time for each contract package and schedule target date dates accordingly,
- Prepare a procurement plan using the template enclosed herewith, which is to be,
 - Updated periodically,
 - Monitored the critical path when conditions change,
 - Marked with actual dates of accomplishing each procurement and the attendant steps,

Procurement Plan review at all levels

Woreda and Regional level: The WoF are responsible for RLLP-I and RLLP-II procurement management; tasks at this level are shown below by responsibility center:

- Based on the request from RLLP-I and RLLP-II Woreda Focal Coordinator, WoF prepares the yearly procurement plan and related budget in collaboration with the Woreda Agriculture Office and regional project procurement specialist.
- Woreda Office of Agricultural submits it for review and approval to the pertinent regional project coordination unit (RPCU) or (BoA).
- Region collects the procurement plans of all woredas in its jurisdiction for reviewing consistency with project objectives and the budget before aggregation to make it a regional annual RLLP procurement plan.
- Finally the region submits the approved procurement plan, on standard procurement planning format, in addition to STEP to NPCU for no objection together with the regional annual plan.
- The Procurement Specialists and SMS of the Federal PCU proactively support/advise the Regional PCU on the preparation of the PP, and then thoroughly review the consolidated PP of the Federal, Regional and Woreda PPs in terms of method, list of

items, quantity, threshold and consistency with the needs of RLLP-I and RLLP-II component/sub-components activities, etc. before submitted to Bank for clearance.

- NPCU, in collaboration with the key technical staff and SMS, review with the regional procurement specialists for its consistency with the annual work plan and in accordance with WB procurement procedures with close consultation of WB senior procurement specialists and finally verify the quality of PP in detail and that the procurement plan and request IDA no objection along with NPCU procurement plan.
- The Bank review the procurement plan and gives clearance (no objection) for further action (delivery).
- NPCU communicate the approved procurement plan to regions.
- The procurement plan should be prepared along with the annual work plan in collaboration with technical staff, but sent to Bank following the approval of annual work plan (AWP) by the World Bank.

Federal Level: Procurement at the federal level will have the following main tasks:

- NPCU prepares the federal procurement plan that includes the pooled procurement of RLLP such as vehicles, motorcycles, IT equipment, office equipment and other goods and services useful for federal, regions and woredas.
- The Bank reviews the procurement plan and when it gives clearance (no objection), NPCU executes the purchase.
- Informs RLLP implementers of the Bank's decision on no objection.

Systematic Tracking of Exchanges in Procurement (STEP)

Systematic Tracking of Exchanges in Procurement- is an online communication system established by the World Bank to receive and communicate procurement information and decision electronically. Procurement information including procurement plan will be submitted to the WB through STEP. A detailed procurement plan should be prepared at the Federal and Regional levels as per STEP requirement. STEP's procurement planning features allows Clients to create and modify procurement plans. They can create new procurement activities throughout the project and select specific approaches to market and procurement methods for each activity. Through STEP, the WB communicates its decision on the submitted procurement plan.

Selection methods for goods, works and non-consulting service

Request for proposals (RFP): An RFP is a competitive method for the solicitation of proposals, that should be used when due to the nature of the goods, works or non-consulting services to be provided, PCU is not able to specify its requirements without allowing firms to offer customized solutions or proposals that vary in the degree in which they meet the requirement of the request for proposals document. In order to evaluate the degree to which proposals meet the requirements of the request for proposals document, and to be able to compare proposals which meet the requirements in varying degrees, the evaluation criteria normally includes rated type criteria.

An RFP process may be conducted in (a) a single stage, in which case rated type evaluation criteria shall be used, or (b) multiple stages, with or without rated type evaluation criteria. This method requires the use of the Bank's Standard Request for Proposals Document. For details see the procurement manual for selection Methods.

Requests for Bids (RFB): A Request for Bids (RFB) is a competitive method for the solicitation of bids that should be used when due to nature of the goods, works or non-consulting services to be provided; the PCU is able to specify the detailed requirements that enable firms to offer bids that meet the requirement of the bidding document. Procurement under this method is conducted in a single stage process. This method is not appropriate when rated type evaluation criteria are to be used. For international competitive procurement this method requires the use of the Bank's Standard Bidding Document. For details see the procurement manual for selection Methods.

Requests for Quotations (RFQ): Requests for quotations is a competitive method based on comparing price quotations obtained from firms. This method may be appropriate for procuring limited quantities of readily available off-the-shelf goods or non-consulting services, standard specification commodities, or simple civil works, of small value, when it is more efficient than more competitive methods.

Direct selection: Proportional, fit-for-purpose and VfM considerations may require a direct selection (single-source or sole-source selection) approach: that is approaching and negotiating with only one firm. This selection method may be appropriate under circumstances where there is only one suitable firm or there is justification to use a preferred firm.

Market approach options: Procurement experts and decision makers are encouraged to read section VII para 6.14 to 6.31 of the Regulation and learn about the applicable market approach options for procurement of Goods, Works and Non-consulting Services which includes,;

Open Competition: An open competitive approach to market is the Bank's preferred approach as it provides all eligible prospective Bidders/Proposers with timely and adequate advertisement of a Borrower's requirements and an equal opportunity to bid/propose for the required Goods, Works, or Non-consulting Services. Any approach, other than open competition, shall be justified by the Borrower. Any such approach shall be stated in the Procurement Plan.

Limited Competition: A limited competitive approach to market is by invitation only, without advertisement. It may be an appropriate method of selection where there are only a limited number of firms or there are other exceptional reasons that justify departure from open competitive procurement approaches.

Approaching the International Market: Approaching the international market (international competitive procurement), is appropriate when the participation of foreign

firms will increase competition and may assure the achievement of best VfM and fit-for-purpose results.

Open international competitive procurement, for which international advertisement is required in accordance with these Procurement Regulations, is the preferred approach for complex, high-risk, and/or high-value contracts. The Bank has set specific thresholds for this purpose. (see Guidance on Country Thresholds on Table 17 and 18 in this PIM).

Approaching the National Market: As agreed in the Procurement Plan, approaching the national market may be appropriate when the procurement is unlikely to attract foreign competition because of:

- a. the size and conditions of the market;
- b. the value of the contract;
- c. activities that are scattered geographically, spread over time, or are labor-intensive; or
- d. Goods, Works, or Non-consulting Services are available locally at prices below the international market.

Approaching the national market may also be appropriate when the advantages of approaching the international market are clearly outweighed by the administrative or financial burden involved. If foreign firms wish to participate in open national competitive procurement, they are allowed to do so on the terms and conditions that apply to national firms. When approaching the national market, the country's own procurement procedures may be used, as specified in Paragraphs 5.3 to 5.6 of the procurement regulations.

The following points are noteworthy in respect to this procurement method application:

- All international procurements should be done at MoA (national level).
- Contracts should be grouped into bid packages and planned as per their market approach, nationally or internationally.
- The goods, works or services must be organized and/or grouped in such a way that they attract the interest of foreign suppliers or contractors. However, domestic preference should apply to goods manufactured and works carried out in Ethiopia in accordance with IPF procurement regulation.
- The NPCU is expected to prepare and submit to the Bank a draft General Procurement Notice (GPN) to be published in the United Nations Development Business (UNDB) and a list of all responses to this notice shall be maintained.
- The Bank's Standard Bidding Documents shall be used for all international procurements.
- Registration of foreign bidders with local authorities should not be a requirement for bidding under this procurement method. However, successful bidder may have to register if such is required by Ethiopian law.
- Foreign firms should not be required to associate with local firms in joint venture or to employ specific personnel as a condition for pre-qualification or bidding. Local or

foreign bidders should submit only one bid either individually or as members of a joint venture.

- Successful bidders must be awarded the contract within the period of the validity of the bids. New conditions must not be introduced that was not in the original and/or amended bidding documents. Where inspection is required for imported items, such should not be subject to price verification, but only be verified for quality and quantity.
- Cost incurred for certification of imports shall not be a factor in the bid evaluation.
- International contracts will be subject to prior review by the Bank according to its risk level.

Request for Quotation (RFQ): This is a mode of procurement for procuring readily available off-the-shelf items or standard specification commodities that are small in value where price quotations are obtained from at least three suppliers. It is also used at times of emergencies or during relief-type operations such as when re-establishing vital services like utilities, communications, shelter, and vital supplies caused by disasters such as flood resulting in one or several activities in supply of goods, installation and commissioning of equipment, or very urgent minor civil works. Request for quotation method may be used for contract value of less than USD \$100,000. Moreover, Small Works estimated to cost less than USD \$200,000 equivalent per contract, may be procured under lump-sum, fixed price contracts awarded on the basis of quotation obtained from three qualified domestic contractors in response to written invitation. The invitation shall include a detailed description of the works, including specifications, the required completion date, and a basic form of agreement acceptable to the World Bank, and relevant drawings, where applicable. The award shall be made to the contractor who offers the lowest price quotation for the required work, and who has the experience and the resources to complete the contract successfully. The basic steps should be taken during procurement of goods, works and non-consulting services using this procurement method and indicated in the project procurement manual.

Direct Contracting: Proportional, fit-for-purpose, and VfM considerations may require a direct selection approach: that is, approaching and negotiating with only one firm. This selection method may be appropriate when there is only one suitable firm or there is justification to use a preferred firm.

Direct selection may be appropriate under the following circumstances:

- a. An existing contract for goods, works, or non-consulting services awarded in accordance with procedures acceptable to the Bank, may be extended for additional goods, works, or non-consulting services of a similar nature, if:
 - i. it is properly justified;
 - ii. no advantage could be obtained through competition; and
 - iii. the prices on the extended contract are reasonable;
- b. There is a justifiable requirement to re-engage a firm that has previously completed a contract, within the last 6 months, with the Borrower to perform a similar type of contract. The justification shall show that:

- i. the firm performed satisfactorily in the previous contract;
 - ii. no advantage may be obtained by competition; and
 - iii. the prices for the direct contracting are reasonable;
- c. The procurement is of both very low value and low risk, as agreed in the PP;
- d. The case is exceptional, for example, in response to Emergency Situations;
- e. Standardization of Goods that need to be compatible with existing goods may justify additional purchases from the original firm, if the advantages and disadvantages of another brand or source of equipment have been considered on grounds acceptable to the Bank;
- f. The required equipment is proprietary and obtainable from only one source;
- g. The procurement of certain goods from a particular firm is essential to achieve the required performance or functional guarantee of an equipment, plant, or facility;
- h. The goods, works, or non-consulting services provided in the borrower's country by SoE, university, research center or institution of the borrower's country are of a unique and exceptional nature in accordance with paragraph 3.23 c of the procurement regulation; or
- i. Direct selection of UN Agencies in accordance with Paragraphs 6.47 and 6.48 of the Procurement regulation.

In all instances of direct selection, the Borrower shall ensure that:

- a. The prices are reasonable and consistent with the market rates for items of a similar nature; and
- b. The required goods, works, or non-consulting Services are not split into smaller-sized procurement to avoid competitive processes.

Community Direct Implementation (Force Account): Under a community direct implementation, the community implements the sub-project using its own resources (skilled and unskilled labor, materials, and equipment) and may subcontract part of the project. It is community driven and cost effective (inputs can be provided by the community at below-market costs) and it injects funds into the community (e.g. through payment of wages and materials). All materials needed for the implementation should be purchased using the approved method of procurement.

Most of the soil and water conservation and other watershed management related activities will be carried out with the participation of the local communities if the slope is less than 15%. Otherwise employing labor based constructions especially in communal land and farm land greater than 15% slope. The works that may be considered under this procurement method would include, among others, construction of farm based water harvesting structures, construction of hillside terraces, hand-dug wells construction, micro-pond construction, construction of stone and stone faced bunds on hillsides, gully treated with check dams, construction and rehabilitation of community access roads, construction of hillside cut-off drains, stone paved waterways, nursery establishment and vegetative measures.

Communities will be involved in procurement as work provider and goods supplier. The procurement will be managed by WoF. The procedures for involving communities are depicted below.

- Persons (Unemployed youth, Women, farmers and seed/seedling producers, etc.) are organized in a group as a supplier or works provider.
- The Woreda office of Finance (procuring entities) prepare Specification/Bill of Quantity, in consultation with the woreda office of Agriculture (WoA).
- The criteria and standard will be developed by concerned woreda office to consider the community group as a supplier or works provider.
- The Procuring entity chooses an appropriate allowable procurement method under CDD depending on the circumstance to carry out the procurement.
- The Procuring entity enters into a contract agreement with selected community group to carry out the works or to supply goods.
- The Procuring entities pay for all works on submission of payment certificate for complete work or Good Received Note for handover of goods as per contractual agreement.
- Further works to be awarded to a community group subject to satisfactory performance on previous contract.

The MoA's Guideline on Community Based Participatory Watershed Development has a section on information on techniques and technologies, which is prepared to assist implementers (WWT, KWT, CWT, and DAs) with minimum practical information on work norms and technical standards required to undertake various works related to soil conservation, water harvesting and some basic community infrastructure like feeder roads. The document can serve as the basis to help determine which of the two approaches to labor-based construction is used.

General procedures for procurement of consultancy services

Selection Methods: The general criteria for the selection of consultants as contained in the Bank's Procurement Regulations are:

- Fairness and Clarity – the REoI and the RFP must be clear and unambiguous and the criteria stated in these documents must be fair to all and be applied equally to all.
- Transparency – the selection process must be transparent and be seen to be transparent.
- Confidentiality – confidential information on the evaluation of proposal and recommendation of award must not be divulge to persons not officially involved in the process until the successful consultant is awarded the contract and accept the contract.

The Consultants Guidelines stipulated several methods for selection of consultants. The selected method is dependent on the nature, size, and complexity, impact of the assignment, technical and financial considerations and the circumstances of the assignment. These selection methods are:

Quality and Cost Based Selection (QCBS): This is suitable where the scope of work can be precisely defined and staff time, cost and other inputs can be reasonably estimated with some degree of accuracy. It is considered appropriate for the following assignments:

- Feasibility studies and designs where nature of investment is well defined, known technical solutions are being considered and impacts from the project can be fairly estimated;
- Supervision of construction works and installation of equipment;
- Procurement and inspection services;
- Technical assistance services.

The more detail steps to be followed for the selection and employment of consultants under RLLP will be described in the project procurement manual.

Preparing Terms of Reference (ToR): The Implementing Agency should prepare a ToR to initiate the procurement process for selection and employment of consultants under RLLP-I and RLLP-II. The ToR should explain the objectives of the assignment, scope of work, activities, tasks to be performed, respective responsibilities of the Implementing Agency and the consultant, expected results, and deliverables of the assignment. After preparing the ToR, the Implementing Agency should send it to the Bank for its prior review and no-objection.

Preparing Cost Estimate or Budget for the Assignment: the total budget for each of the consultancy assignments is clearly mentioned in the procurement plan. However, the implementing agencies need to estimate the cost per each category of expenses against the services required in the ToR. The cost estimate shall be based on the implementing agency's assessment of the resources needed to carry out the assignment.

Public Invitation of Consultants' EOIs: After receipt of World Bank's comments and no objection, the request for EOI should be published in the national gazette or a national newspaper. For assignments estimated to cost \$200,000 or more, the Implementing Agency should publish an announcement seeking "Expressions of Interest" on the on-line version of United Nations Development Business (UNDB); and on the Development Gateway. After the publication of the request for EOI, not less than 14 days should be given to the consultants to submit their response to the advertisement.

Short listing of Consultants: The Implementing Agency should review the qualification of consultants who submitted expressions of interest and give first consideration to those possessing the best qualifications for the proposed assignment. Formal prequalification procedures are not required under this step. However, the Implementing Agency should carry out diligent review of key aspects as per the request for EOI.

Preparing Request for Proposal (RFP) and issuing it to shortlisted consultants: The Implementing Agency should prepare and send request for proposal to the first six shortlisted consultants. During preparation of the RFP, the Implementing Agency should use Bank's SRFP. The Bank's SRFP is a mandatory format under RLLP. A standard RFP consisting of

letter of invitation, Information to Consultant (including the Data Sheet), Technical proposal, Financial Proposal, ToR and Standard forms of Contracts.

The Implementing Agency should give consultants enough time to prepare their proposals. Depending on the assignment, a period of four weeks for very simple assignments and up to three months for complex assignments should be allowed.

Receiving and Opening of Proposals: The following major points should be considered during receipt and opening of proposals by the implementing agencies

- The technical and financial proposals should be submitted at the same time.
- Consultants submitting proposals may attend the opening of the technical proposals if they so desire
- No amendments to the technical or financial proposal should be accepted after the deadline.
- To safeguard the integrity of the process, the technical and financial proposals should be submitted in separate sealed envelopes.
- The technical envelopes should be opened immediately by a Tender/Bid committee after the closing time for submission of proposals.
- The financial proposals should remain sealed and should be kept at safe place under the custody of a designated officer until the evaluation of technical proposals is completed.
- Any proposal received after the closing time for submission of proposals should be returned unopened.

Evaluating Technical Proposal - Quality Evaluation: The Technical Evaluation Committee shall carry out the evaluation of proposals in two stages: first the technical (quality), and then the cost. Evaluators of the technical proposals shall not have access to the financial proposals until the technical evaluation is concluded. The Technical Evaluation Committee shall evaluate each technical proposal, taking into account the following criteria, as stated in the ITC:

- The consultants' relevant experience for the assignment;
- The quality of the methodology proposed;
- The competence and qualifications of the key staff proposed;
- The extent of participation of local consultants among key staff in the performance of this assignment.

At the end of this process, the tender endorsing/ technical evaluation committee shall prepare an evaluation report of the quality of the proposals based on the Bank's standard reporting format. The report shall substantiate the results of the evaluation, including the relative strengths and weaknesses of the proposals. All evaluation records shall be retained as per the standard Bank's evaluation format.

Opening and Evaluating Financial Proposals – Cost Evaluation: The following points should be considered during financial evaluation process under the selection process:

- The financial proposals of those firms that have passed the technical evaluation should be opened publicly in the presence of representatives of the consultants who choose to attend.
- The name of the consultant, the technical points, and the proposed prices should be read aloud and recorded
- The Implementing Agency should review the financial proposals and correct any arithmetic errors.

For the purpose of comparing proposals, the costs should be converted to a single currency as stated in the RFP.

- For the purpose of evaluation, “cost” should exclude local identifiable indirect taxes on the contract and income tax payable in Ethiopia on the remuneration of services rendered in Ethiopia by non-resident staff of the consultant.
- The cost should include the entire consultant’s remuneration and other expenses such as travel, translation, report printing, or secretarial expenses.
- The proposal with the lowest cost may be given a financial score of 100 and other proposals given financial scores that are inversely proportional to their prices.
- Finally, the technical and financial scores should be combined to determine the total score. The total score shall be obtained by weighting the quality and cost scores and adding them. As a general rule, the weighting for cost should normally not exceed 30 points out of a total score of 100. The proposed weightings for quality and cost shall be specified in the RFP. The consultant obtaining the highest total score shall be invited for negotiations.

Negotiations and Signing of the Contract: After the Implementing Agency received the No-Objection from the Bank; it should notify and invite the winning consultant for negotiation. During negotiation the implementing agency should appoint a negotiating team whose members should be fully familiar with the ToR, the consultant’s proposal, the comments and suggestions of the agency should consider the following technical and financial items: scope of work, the Evaluation Committee relating to the technical and financial evaluation reports, and recommendations of the decision-making authority (at least one member of the Evaluation Committee should take part in the negotiations).

Contract Implementation: The implementing Agency (MoA) should make arrangements for the regular supervision of consultancy contracts. The supervision procedures of contracts should be undertaken in accordance with the provisions of the contract. The implementing agency will establish contract administration team composed of NPCU procurement and regular procurement directorate. The Implementing Agency team should also request the relevant supervisors to prepare regular progress reports on the performance of the consultants. This process would allow it to address at a much early stage any possible unsatisfactory performance that causes delays in completion of planned activities. For consultancy contracts relevant to specific outputs of the project scenario team of experts of NPCU will be fully responsible to review, evaluate and approve the report. On the other hand

for the outputs to the scale of the ministry NPCU will establish technical committee including experts from respective directorates under the ministry. The development partners could involve and support on reviewing the reports. The final approval will be the mandate of the ministry at NPCU and ministry level.

Quality Based Selection (QBS): This is suitable where the scope of work is difficult to define due to complexity or novelty; and/or there are different ways, sometimes incomparable, by which the work could be carried. It may be considered for assignment such as:

- Complex country, sector and multi-disciplinary investment studies;
- Strategic studies in new fields of policy and reforms;
- Complex feasibility studies;
- Design of complex projects;
- Assignments in which core consultants, NGO's and/or UN Agencies compete.

Selection under a Fixed Budget (SFB): This is suitable where there is a fixed budget for the assignment and the ToR can be precisely defined. SFB selection method is relevant for:

- For simple and well-defined assignments where the budget is fixed;
- Sector or market studies and surveys of limited scope;
- Simple pre- feasibility and feasibility studies;
- Review of existing technical designs and bidding documents;
- Project identification;

RFP indicates available budget. Technical evaluation first followed by public bid opening of financial envelopes, award to highest ranked technical proposal within budget.

Least Cost Selection (LCS): The financial proposals of consultants that meet the minimum established qualifying quality mark are evaluated and the least evaluated financial proposal is selected. This method is suitable for routine assignments with well-defined standard practices such as:

- Standard accounting audits;
- Engineering design and supervision of simple projects;
- Simple surveys;
- Maintenance work and routine operations.

Single Source Selection (SSS): Under SSS a specific consultant is invited to submit technical and financial proposals and negotiate the contract. This is only acceptable in specific circumstances where:

- The assignment is a direct or natural continuation of a previous one awarded competitively and performance of consultant is satisfactory;
- In emergency situation where a quick selection of consultant is critical;

- The contract value is very small;
- There is only one consulting firm that has the qualification or possesses exceptional experience to perform the assignment.

Selection Based on the Consultants' Qualifications (CQS): This method may be used for small assignments or emergency situations declared by the Borrower and recognized by the Bank for which the need for issuing an RFP, and preparing and evaluating competitive proposals is not justified.

- Prepare the ToR and obtain expressions of interest.
- REOI as may be needed, from as many firms as possible, and at least three qualified firms with relevant experience.
- Firms having the required experience and competence relevant to the assignment shall be assessed and compared, and the best qualified and experienced firm shall be selected.
- Only the selected firm shall be asked to submit a combined technical and financial proposal and, if such proposal is responsive and acceptable, be invited to negotiate a contract.
- Both technical and financial aspects of the proposal may be negotiated.
- The minutes of negotiations shall be prepared and signed by both parties.

Commercial Practice (CP): Established private sector commercial practices are followed in the selection of consultants where the Bank provides a loan to a financial intermediary who in turn finances private enterprises or autonomous commercial enterprises. However, large assignments are recommended to adopt the bank's competitive methods.

Non-Governmental Organizations (NGO): NGO's may be shortlisted for assignments that put emphasis on experience in community participation and in-depth local knowledge. QBS or SFB are the usual methods of selection where NGO's are involved.

Use of the Consultancy Services of Government-owned Universities or Research Centers: Government-owned entities are neither legally nor financially autonomous. Thus, under ordinary circumstances they would not be eligible to participate in Bank financed projects as consultants. However, in this project, some Government - owned universities and research centers may possess the requisite expertise and accumulated local practices in land and natural resource management. Therefore, their participation is considered to be critical due to their unique local research knowledge and experience in the sector. Thus, as an exception to the eligibility in accordance with the World Bank Consultants Guidelines, these universities and research centers will be allowed to participate as consultants in this project on a case-by-case basis whenever their participation is justified that they can add better value to the achievement of the project objectives. The selection of appropriate universities and research centers will be done competitively. On the same basis, university professors or scientists from research institutions will be contracted individually under this project when the need arises.

Individual Consultants: Individual consultants are employed on assignments for which:

- A team of experts or firm is not required,
- No additional outside (home office) professional support is required,
- The experience and qualifications of the individual are the paramount requirement,
- Advertising for EOIs shall not normally take place for individual contracts below \$100,000. Such threshold shall, however, be determined in each case, taking into account the nature, complexity, and risks of the assignment,
- Individual consultants are selected on the basis of their relevant experience, qualifications, and capability to carry out the assignment. They do not need to submit proposals and shall be considered if they meet minimum relevant requirements,
- The selection shall be carried out through the comparison of the relevant overall capacity of at least three qualified candidates,
- The Borrower shall negotiate a contract with the selected individual consultant to agree on satisfactory terms and conditions of the contract, including reasonable fees and other expenses.

Advertisement: A brief description of consulting services needed for the RLLP and included in the procurement planning shall be advertised in the GPN and consultants are invited to submit expression of interest. The loan agreement shall state the threshold of for individual consulting services where Request for Expression of Interest (REoI) must be published in a national newspaper and in the web site of UNDB. A copy of the REoI must be sent to all consultants who responded to the GPN. A shortlist of between three to six prospective consultants is prepared from the respondents to the REoI who meets the requirements contained in the REoI.

Some of the basic requirements that should be included in the REoI are:

- Relevant qualifications of the consultant;
- Technical and managerial capabilities of the firm;
- Core business and year in business
- Qualifications of key staff;
- Client references
- Financial capabilities and record of integrity.

The shortlist and a draft Request for Proposals (RFP) is sent to the Bank for review and “no-objection”. As soon as the no-objection approval is received, the RFP are sent to the candidates in the shortlist inviting them to submit proposal for the assignment. In regional and woreda level the short listed candidates should head of human resource in collaboration with the project coordinator. During selection process the regional coordinator and regional procurement specialist should be a member of selection team with the human resource department. The implementing agency will not force to use only advertisement on national press and notice board to recruit individual consultants rather can use Request for written quotation is allowed and can use comparison of at least three CVs of qualified individual consultants.

Developing Terms of Reference (ToR): The ToR is the key document in the RFP. The level of skill demonstrated in the crafting of the ToR will determine the responsiveness of proposals submitted by prospective consultants and also facilitate proper understanding and execution of the assignment. The ToR must cover the following in sufficient detail and in unambiguous term

- The background of the project;
- The objectives of the assignment;
- The scope of work;
- The list of reports, schedule of deliveries and period of performance;
- Date, local services, personnel and facilities to be provided to the consultant;
- Institutional arrangements.

The Evaluation Criteria: The overriding objectives in setting the evaluation criteria should be to ensure that the consultant selected shall be able to give the best quality services required. The criteria for the evaluation of technical proposals are:

- Relevant specific experience of the consultant to the assignment in question;
- Adequacy of the proposed methodology and work plan. This could be further divided into the following sub-criteria:
 - Technical Approach and Methodology;
 - Work Plan;
 - Organization and Staffing.
- Qualifications and Competence of Key Staff. This also could be further divided into the following sub-criteria:
 - General Qualifications;
 - Adequacy of Qualifications and Experience in the particular assignment;
 - Experience in the Region and Language.
- Training and Transfer of knowledge
- National Participation

Weights are allocated to these criteria and sub-criteria for the purpose of rating and scoring proposals received.

Types of Consultant Contracts: There are basically two main considerations that determine the types of consultant contracts for Bank's financed assignments:

- The nature of the assignment; and
- The distribution of risks between the consultant and the SLM-PCU.

The Bank's Consultant Guidelines identify five main types of consultant contracts:

- Lump-Sum Contracts
- Time-Based Contracts
- Retainer and/or Success Fee Contracts

- Percentage Contracts
- Indefinite Delivery Contracts.

The criteria under which any of these contracts should be adopted and their correct application are contained in the Bank’s Consultant Guidelines.

Request for Proposals (RFP): The RFP is issued to all short-listed consultants and contain all the necessary information that could aid interested consultants to prepare a responsive proposal and the criteria that will be used by the PCU in the evaluation of proposals received. The Bank has prepared Standard Request for Proposals (SRFP) that is versatile and mandatory for all contracts exceeding the threshold contained in the credit Agreement. The SRFP can also be adapted for other smaller contracts. The sections on Information to Consultants, General Conditions of Contract, Technical and Financial Proposal Standard Forms included in the SRFP are to remain intact while other sections may be modified to suite the particular contract in question and local requirements. The RFP must be sent out early to give interested consultants enough time to respond. Usually a period of between 30 days to 3 months is given, depending on the nature of the assignment.

Evaluation of Proposals: An evaluation committee shall be constituted to evaluate the proposals received in accordance with the criteria contained in the RFP. The committee members are expected to:

- Obtain a thorough understanding of the ToR, the evaluation criteria and sub-criteria specified in the Data Sheet and the selection procedures.
- Have no conflict of interest in the assignment;
- Agree on how to evaluate the proposals.

The evaluation committee members are expected to fairly and objectively score and rate each proposal individually using the rating weights prescribed and arrive at the total score of each proposal evaluated. Thereafter, the ratings are discussed collectively and the scores of all the members for every proposal are aggregated to arrive at individual score. The committee shall prepare the Technical Evaluation Report, detailing the strength and weaknesses of the evaluated firms/ consultants, which shall be forwarded to the Bank for “no-objection” report. The Financial Proposals shall remain un-open until the “no-objection” report is received. Notification and Award of Contract: Successful consultants are notified after the receipt of the “no-objection” report from the Bank on the Technical Evaluation. However, the procedure for notification of consultant is dependent on the method of selection adopted. All unsuccessful applicants are also notified.

The Financial Proposals are then evaluated and, depending on the selection method, both the technical and financial proposals may be further negotiated with the consultant within some specified limits such as:

- Scope of work;
- Technical approach and methodology;

- Work plan and activity schedule;
- Deliverables;
- Counterpart staff, facilities and equipment's;
- Staff unit rates;
- Reimbursable expenses

The successful consultant is determined based on the selection method adopted which could be:

- The combined scores of both the technical and financial proposals; or
- The least evaluated financial proposal.

Advance Payment

The project will pay advance payment in accordance with the guidelines of World Bank for international procurement and Ethiopian government Procurement and Property Administration Agency rules for national procurements. The following provisions will apply for RLLP procurements:

- 10-30% of the contract price for work against bank guarantee for amount equal to the advance payment.
- 10-20% of the contract price for goods against bank guarantee for amount equal to advance payment.
- Advance payment for the consultancy service will not be more than 20%.
- For companies (INBAR, WLRC, Universities and CGIAR) other legal documents national/internationally acknowledged documents will be valid to be flexible in managing advance payment vis-a-vis bank guaranty and performance bond.

Community Participation in Procurement

Within the context of the demand-driven program approach to procurements under the RLLP, there is a strong desire to ensure sustainability and to create a sense of ownership, for which reason the project management requires participation of local communities in the delivery of works and materials. For the purposes of identifying the members of the community targeted for inclusion, it is important to consider the following groups:

- Associations of farmers, traders and artisans;
- Women Groups, youth Groups
- Other Beneficiary Groups including agro-processors, marketers, transporters, etc.
- NGOs/CBOs;
- Private input providers including seed multipliers and agro-chemical producers or distributors;

The project will have training programs to upgrade the capacity and competencies of the communities in the following areas:

- Skill development;

- Better accountability in funds applications;
- Enhancement of organizational capacity to undertake collective and community procurement activities; and
- Improvement in operation and maintenance of constructed facilities or activities that the program may generate in the course of its rollout.

In selecting the intermediaries to aid community participation in project implementation as consultants, contractors, or advisors, their selection must be in accordance with procurement procedures subsumed in this Project Implementation Manual. In all cases, the intermediaries are recommended to have the following general qualifications:

- Local presence in Ethiopia, with accountability to the beneficiaries of the items being procured;
- Possession of adequate human, and material resources, as well as some institutional capacity to assist the community in carrying out procurement procedures, including competent staff with the requisite technical skills and qualifications, accessible office space, vehicles, communication facilities etc.
- Appropriate organizational framework with sound internal management, transparency, financial accountability and efficiency;
- Personnel with a keen understanding of and sensitivity to issues concerning women, minorities, the environment and a philosophy suitable for implementation of community-initiated sub-projects with community participation;
- Non-political inclination with a proven track record of satisfied beneficiaries on similar assignments during a specified period of time in the past;
- Registration as a society or other corporate status in Ethiopia;
- Sufficient facilities needed to maintain effective and functional records, enough to permit the accounting and auditing of funds allocated for the assignment;
- Adequate number of experienced field staff conversant with the local culture, language, and the socio-economic dimensions of the beneficiary groups;
- Excellent communication skills;
- Internal stability needed to assure long-term support; and
- Local knowledge in the region where the project is being undertaken.

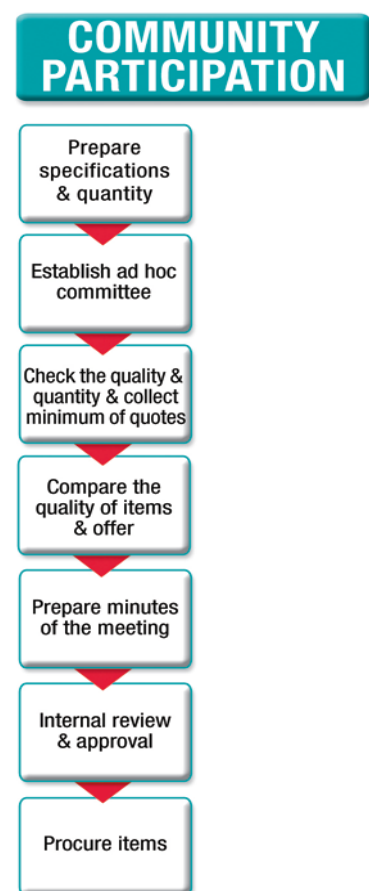
Where the SLMP/RLLP management decides to undertake capacity building for the communities to enable them carry out the procurement by them instead of hiring an intermediary to do it on their behalf, arrangements should be made to train the community on relevant procurement policies and procedures, which should cover the following facets:

- Awareness of Bank policies, including reasons for such policies and the consequent requirement communicating community organizing skills;
- Procurement processes and procedures, including technical advice to support staff in handling procurement matters;
- Techniques in monitoring and evaluating sub-project impact; and
- Sensitivity to gender and other cultural concerns.

Community participation in procurement should be limited to small contracts of low values for which the community or its intermediary has adequate financial and administrative capacity to put it into practice.

Methods of Community Participation in Procurement: As part of the community participation, the project requires the procurement of locally available items from not well established shop and from suppliers/service providers that do not have formal invoices. Those items may be procured from individuals, small enterprises and small local associations within the community. Examples of these items are local stone, sand, donkey back transport, soil, grass, various seedlings, local skilled laborers, improved varieties of livestock’s (sheep, cows, goats,), etc. The recommended steps for the procurement of these items are as follows:

- The user agency or department will prepare specification/ requirement of the items,
- Head of the project implementing agency will establish an ad hoc team/committee having at least three members; one from the end user agency or department.
- The committee shall request for prices from at least three service providers/suppliers of those items and collect the price and visually observe the quality of the item/service,
- The committee prepares minutes of meeting with detail explanation of the quality, price and recommendation to award the contract to the supplier/service provider with reasonable quality and least-cost,
- The Head of the project implementing agency shall examine the minutes and shall approve the committee’s recommendation,
- The project implementing agency will procure the items from the recommended supplier/service provider and keep all documentation safely.



The contract award notification will be published using the standard sample format enclosed in procurement manual

Contract Management

Effective contract management by SLMP/RLLP procurement unit requires systematic and efficient planning, execution, monitoring and evaluation to optimize performance while managing risks to ensure that both parties fulfill their contractual obligations with the ultimate goal to achieve VfM and results on the ground. The project procurement unit under the supervision of MoA/BoA shall begin developing a contract as early as possible in the procurement process. The contract conditions shall be included in the bidding/request for proposals document for the particular procurement process. The level of detail required in a contract shall depend on the risk and complexity of the contract and the terms and conditions shall be fit-for-purpose with appropriate allocation of risks, liabilities, roles and responsibilities of the parties.

A Contract Management Plan shall be developed during contract creation and completed at the time the contract is signed. The procurement unit shall proactively manage contracts throughout their duration against the Contract Management Plan, using Key Performance Indicators (KPIs) set to ensure that contractor performance is satisfactory, contract requirements are met, and relevant stakeholders are well informed and satisfied with the goods, works, non-consulting services, and consulting services provided under the contract. An evaluation of the contract performance shall be carried out at the contract completion to assess the performance, and if applicable, identify any lessons learned for future contracts. The project procurement specialist at all level is responsible for managing all project contracts under the supervision of MoA/BoA procurement director. The project finance team shall pay all eligible payments when issued from procurement specialist after approval of project coordinator. Technical staff at each thematic area shall approve the quality assurance in collaboration to the procurement specialists. Special follow up is needed for consultancy services contracts by technical staff for each thematic area by evaluating inception report and final reports submitted by consultancy firms.

Fraud and Corruption

Combating fraud and corruption is central to the Bank's policy for procurement for all projects. Consequently, its fraud and corruption policy affects both the SLMP/RLLP and the bidders under Bank-financed contracts in a significant way. All parties to the procurement process shall maintain the highest standard of ethics during the solicitation and contract execution. It is therefore imperative for NPCU and RPCU Structure to ensure that:

- The provisions in the Bank's Guidelines on Procurement are strictly considered and adhered to;
- Procurements process stated in the Guidelines are followed to the letter for goods, works and services to be procured under RLLP-I and RLLP-II;
- Procurement officers at the federal, regional and woreda levels are trained and re-trained to ensure that they are very conversant with the Bank's procedures and as simplified in this manual.
- There should be known and implemented policy on punishing erring procurement staff and any other staff involved in procurement process.

Procurement Inspection

For international procurement, pre-shipment inspection and certification of imports is one of the safeguards for the NPCU, particularly in projects with large import components. The inspection and certification should be made to cover quality, quantity, and reasonableness of price. The inspection agents' remunerations should be based on fees levied on the value of the goods inspected. For National RFB and RFQ, all goods and services procured by national will be inspected in the MoA/BoA warehouse before final payment.

Procurement Implementation Arrangement

The project procurement implementation arrangement will involve multiple institutions at federal, regional, woreda and community levels. The procurement activities will be carried out by NPCU procurement specialists in collaboration with the MoA at federal level, and MoA will also support and monitor the procurement activities at the National, Regional, Woreda and community levels. The NPCU and the RPCU shall oversee the procurement process at the federal and regional levels, respectively. The National Program Coordinator at the federal level and the Regional RLLP Coordinator at the regional level shall approve initiation and conclusion of procurements process and they will be assisted by a National procurement Specialist that will be employed in the NPCU. Subsequently, the Bank's no-objection shall be obtained at each process level up to the contract award, especially with procurement that needs a prior review. The different institutions that will be involved in procurement at the different levels and the major areas of their involvement are presented below.

Federal Level: While the Ministry of Agriculture is responsible for the overall coordination of the Project, it will also play a major role in the actual implementation and the subsequent follow-up of the procurement activities of all components. The MoA, through its field office, will be responsible for procurement needs connected with the rehabilitation of communal land, treatment of gullies, farmland and homestead development, and community based roadside floodwater harvesting, and labor based construction of rural feeder roads by small contractors. There will be small scale labor intensive civil works contracts based on the standardized designs of the Community Based Participatory Watershed Development Guidelines (CBPWDG) (it's under revision) with direct participation by the beneficiary communities. Goods procured under this project include equipment, hand tools and polythene bags. Procurement of works and goods will be done using the National SBD or templates designed for local bidding agreed with or satisfactory to the Bank.

MoA will also hire consultants to undertake special studies in areas including training, coaching, technical assistance, and other capacity building activities, baseline surveys, monitoring and evaluation studies, integrated land-use systems studies, annual financial audit services, procurement audits, Knowledge management, and bamboo development.

All international procurement of goods and/or works, and all selections of consultants involving foreign firms or the estimated cost of the assignment exceeding USD 200,000 would be carried out by the MoA.

Regional Level: Bureau of Agriculture of the six regions is responsible for the overall project planning, management, coordination and facilitation of capacity building at regional level. A Regional Project Coordination Unit (RPCU) within the Bureau will be in charge of the project coordination and monitoring at the regional level. Accordingly, the Bureau will be responsible for coordinating and/or undertaking the procurement activities of some of the components/sub-components of the project that would be undertaken at the regional level. The BoA would use their respective procurement department for procurement purpose under the leading of RPCU procurement specialist.

The natural resources development, conservation and utilization process owner of the bureau will be responsible for the implementation of components 1, 2 and 3 of the project. The bureau will be responsible for providing extension services to farmers in the selected watershed ensuring their full participation in the implementation of IWSM based on the revised Community-Based Participatory Watershed Development Guideline (CBPWDG). Respective BoA's of the regions are responsible to carry out works procurement and selection of consultants.

All procurements that will be required for components 1, 2 and 3 will be initiated by the watershed management coordination unit within the natural resources development, conservation and utilization process owner who will also prepare the specifications and submit its requirements to the bureau's purchasing entity, resource management and transport service department which is responsible for the day to day activities of the bureau's procurement including preparation of bidding documents, follow-up of sale of bidding documents, receipt of bids, arranging bid opening ceremonies, contract administration of the procured goods, and distribution to the beneficiaries. The bureau has also a tender committee composed of representatives from the bureau's five departments, where the purchasing head serves as the secretary. RPCU will be responsible for contract administration of consulting contracts.

The bureau is also responsible for the preparation of a procurement program at the regional level by collecting procurement requests from different woredas in the region. To ensure efficient procurement by the regional government, the BoA/BoLAU consolidates procurement requests from different woredas into packages to allow competitive pricing through bulk supply. After purchase orders from woredas have been received by the BoA/BoLAU, a request for transfer of funds is made to the woreda administration to enable payment for the goods or services. BoA/BoLAU will carry out all national procurement of Goods and/or works for the region and the respective Woredas including selection of consultants involving local firms or the estimated cost of the assignment is less than USD 200,000.

Woreda Level: The woreda administration office of a RLLP-I and RLLP-II woredas will be responsible for the implementation of the project at the Woreda level. It will closely cooperate with Woreda Offices of Agriculture (WoA) and other relevant organizations/offices. The woreda administration office will establish a woreda watershed management team (WWT) in accordance with the MoA Guidelines for Community-Based Participatory Watershed Development. All goods and services required for implementation of the project at the woreda/kebele and community levels will be identified by the DA, WWT and CWT. These procurement requirements will be consolidated into the woreda RLLP-I and RLLP-II procurement plan. The regional BOA will identify goods and services that can be purchased within the woreda and those that require procurement at regional or federal level. Some products will be available at the woreda level, for instance small office equipment and supplies, and various items for the watershed management and public works related activities. In some cases the quantities of goods and services required to implement the watershed

management activities including livelihood improvement, natural resources management (soil and water conservation, afforestation, and agro-forestry) across the woreda will not be available locally at a competitive price or in an adequate quality to meet woreda procurement requirements. In these cases procurement requests will be passed on to the regional government for procurement on behalf of the woreda administration.

Community Level: The watershed and landscape management component in particular and the RLLP in general are designed to be demand-driven and beneficiary-oriented, aimed at achieving sustainability through organized community involvement. The physical activities to be supported in the watershed and landscape management would be undertaken through the participation of the community and will be coordinated through the community watershed committee (CWT). The CWT not only serves as contact with the rest of the community/target group and local leaders but would also be responsible for coordinating the procurement planning, implementation and monitoring and evaluation at the community level. Community participation in procurement should be limited to small contracts of low values for which the community has adequate capacity. It will be necessary to undertake capacity building for the community to enable them carry out the procurement them-selves and train them on Bank procurement policies and procedures.

Review, monitoring and supervision procedures

A very important part of good project management is the continuous monitoring of project implementation against the agreed schedule and milestones and the use of procured goods, works and services by the project beneficiaries. A Procurement unit should monitor all procurements under the RLLP-I and RLLP-II to be set-up at the NPCU and properly equipped to provide the required monitoring and evaluation of all procurement activities. At the RPCU Structure, the functions of continuous monitoring and supervision of procurement activities shall be performed by the Internal Audit units and a copy of their reports made available to the NPCU. The objectives of the procurement monitoring unit shall be to provide continuous feedback on procurement implementation at the federal and regional levels and to facilitate timely adjustment to procurement process, where necessary.

The procurement plan should contain minimum qualitative and quantitative performance indicators for monitoring procurement progress of each component (e.g. number of households adopting improved soil and water management practices). The procurement monitoring unit shall prepare the Procurement Management Report (PMR) to provide information to the National Project Coordinator and the Regional Project Coordinator on the following areas:

- Progress of works and services compared with agreed schedules;
- Physical delivery of goods, structures (works) and services and their respective costs;
- The usage of the goods, structures and services by the project beneficiaries and their reactions;
- Reasons for unexpected reactions by the project beneficiaries;
- Provide general information on the status of contract commitments and expenditures.

Deviations from procurement plan and unexpected beneficiary reactions shall be reported in the PMR and a diagnostic study shall be carried out to reveal causes and suggested remedial actions. The PMR prepared by the Procurement Monitoring Unit and the reports of the MoA Internal Auditors shall be made available to Bank's supervision missions.

Procurement Review Procedures: Procurement processes and contracts under the RLLP shall be subject to either prior or post review by the Bank, depending on the size and nature of such contract. The credit agreement/bank's procurement guideline shall set the threshold for contracts that must be subject to prior review and those that may be given post review. The followings are general guidelines on contracts and processes that require prior review:

- GPN, SPN and RFP;
- Pre-Qualification documentations and évaluation;
- Bidding documents, evaluation and award of contract for international and LIB contracts;
- Procurements under international through loans given to financial intermediaries;
- The first two contracts on national for each component of the project;
- Contract for goods, works and services whose values are above the threshold stated in the loan agreement irrespective of methods of procurement;
- REoI and RFP for consulting services.

The following are contracts and processes that may be given post review:

- Procurement through Shopping methods;
- Small contracts for works or goods under Force Account;
- Small contracts involving fast disbursement operations;
- Other small contracts whose value and quantities may be uneconomical to carry out prior review of these contracts.

Fraud and Corruption: Combating fraud and corruption is central to the Bank's policy for procurement for all projects. Consequently, its fraud and corruption policy affects both the RLLP and the bidders under Bank-financed contracts in a significant way. All parties to the procurement process shall maintain the highest standard of ethics during the solicitation and contract execution. It is therefore imperative for NPCU and RPCU Structure to ensure that:

- Procurements process stated in the Guidelines are followed to the letter for goods, works and services to be procured under the RLLP-I and RLLP-II;
- Procurement officers at the federal and regional levels are trained and re-trained to ensure that they are very conversant with the Bank's procedures and as simplified in this manual.
- There should be known and implemented policy on punishing erring procurement staff and any other staff involved in procurement process.

Monitoring and Supervision Procedures: A very important part of good project management is the continuous monitoring of project implementation against the agreed schedule and milestones and the use of procured goods, works and services by the project beneficiaries. A Procurement Monitoring Unit to monitor all procurements under the SLMP/RLLP should be set-up at the NPCU and properly equipped to provide the required monitoring and evaluation of all procurement activities. At the RPCU Structure, the functions of continuous monitoring and supervision of procurement activities shall be performed by the Internal Audit units and a copy of their reports made available to the NPCU. The objectives of the Procurement Monitoring Unit shall be:

- To provide continuous feedback on procurement implementation at the federal and regional levels;
- To facilitate timely adjustment to procurement process, where necessary.

The procurement plan should contain minimum qualitative and quantitative performance indicators for monitoring procurement progress of each component (e.g. number of households adopting improved soil and water management practices). The procurement monitoring unit shall prepare the Procurement Management Report (PMR) to provide information to the National Project Coordinator and the Regional Project Coordinator on the following areas:

- Progress of works and services compared with agreed schedules;
- Physical delivery of goods, structures (works) and services and their respective costs;
- The usage of the goods, structures and services by the project beneficiaries and their reactions;
- Reasons for unexpected reactions by the project beneficiaries;
- Provide general information on the status of contract commitments and expenditures.

Deviations from procurement plan and unexpected beneficiary reactions shall be reported in the PMR and a diagnostic study shall be carried out to reveal causes and suggested remedial actions. The PMR prepared by the Procurement Monitoring Unit and the reports of the MoA Internal Auditors shall be made available to Bank's supervision missions.

Procurement Records: The Project shall keep records of all proceedings of the Procurement Process in accordance with the requirements of the Legal Agreement. The project procurement specialist at all levels shall maintain complete records of all procurement process and contracts for goods, works and services. All available materials like shelf and stationary shall be supplied for effective record keeping. Records of procurements competitive bidding shall be kept in a file by purchase item, and shall include:

- Copies of GPN, SPN, local and international advertisement in newspapers and journals, and gazettes;
- Prequalification documentations (where applicable);
- Bid Invitation (IFB, ITB, REI, RFP);
- Bid documents and amendments, if any;

- Records of pre-bid meetings;
- Bid opening minutes;
- List of bids rejected during preliminary examination with reasons for rejection;
- Table of bid prices received;
- Bid evaluation report, including summary of rating sheets;
- Appeals against procedures or award recommendations;
- Signed copy of contract and performance security;
- Contract completion certificate and Stores receipt Vouchers (SRV);
- Copy of Contractors invoices and payment vouchers.

Records of procurements for Shopping methods are:

- Names and addresses of suppliers invited to quote and their prices;
- Names and addresses of selected suppliers, quantities and value of orders;
- Copy of the Purchase Order;
- Copy of the Stores Receipt Voucher;
- Copy of Contractors invoices and payment vouchers

Other contract administration records that shall be maintained are:

- All contractual notices issued by contractors or the SLMP/RLLP;
- Records of all changes or variation orders issued affecting the scope, quantities, timing and price of contract;
- Certificate of inspection and acceptance/rejection;
- Records of claims and disputes and their outcome.

Stores procedures

The NPCU and the RPCU shall maintain proper records of inventory of goods received into and issued out of the stores. A stores officer who reports to the property administration head shall manage the stores. The main thrust of the stores procedures shall be:

- All goods procured are received into the store;
- Goods received into the stores are checked as to conformity with the quality, quantity and type as stated in the contract document;
- Certificate of inspection and acceptance is prepared before SRV are issued;
- Stores Receipt Voucher (SRV) is prepared for every goods received into the store;
- Goods are issued out on the basis of properly authorized Stores Requisition Note and Stores Issue Voucher;
- Inventories are arranged in the stores in a way that:
 - Facilitate easy identification and retrieval of items;
 - Ensure safe custody of items and;
 - Availability of normal inventories.

- Periodic physical stock-taking to agree physical quantities to bin card balances.

Fixed asset inventory: Fixed asset inventory will include procured items distributed to beneficiaries/responsible person and the available quantities/items kept in store.

- The store man should report periodically the inventory of the project's stock.

Prior review and thresholds

Table 17. Prior review vs. international procurement thresholds

Market Approach	Works	Goods, IT and Non Consulting services	
Open International	≥ \$ 7 million	≥ \$1 million	
Open National	< \$ 7 million	< \$ 1 million	
RFQ	< \$ 200,000	< 100,000	
Short list of National Consultant	< \$ 200,000 Engineering and Construction Supervision ≤ \$ 300,000		

Table 18. The agreed thresholds for different procurement methods:

Procurement method	Estimated value (\$)			Remark
	Works	Goods	Non-consulting services	
International Request for Bidding	≥7,000,000	≥1,500,000	≥1,500,000	Mandatory to use the World Bank's Standard Bidding document and prequalification Document
National Request for bidding	200,000 and less than 7,000,000	100,000 and less than 1,500,000	100,000 and less than 1,500,000	Use the Federal Government's Standard Bidding Document with few exceptions
Request for Quotation (RFQ)	<200,000	<100,000	<100,000	Use the Federal Government's Standard RFQ document with few exceptions
Direct selection	<2,000	<2,000	<2,000	Mandatory to get the head of implementing agencies approval and justifications
	≥2,000	≥2,000	≥2,000	Mandatory to get World Bank's prior no – Objection.
Community participation Procurement (CDD)	≤10,000	≤10,000	≤10,000	By establishing committee and approved by the head of implementing agencies

The detailed agreed threshold for the selection and employment of consultancy services will be presented in the project procurement manual.

Table 19. Sample floating period/days of bids for complex procurements:

S. No	Procurement Types	Mode of Procurement		
		International	National	RFQ

1	Works	45	30 (21 for simple procurements)	5
2	Goods	45	30 (21 for simple procurements)	5
3	Other Service	45	30 (21 for simple procurements)	5
4	Consultancy Service			
4.1	EOI	15	30	
4.2	Request for proposal	30	30	

Procurement internal controls and quality assurance

Reliable internal control and quality assurance mechanisms are critical to achieve the intended procurement and project objectives. The responsibility for the establishment, timely audit and definition of duties of these systems lies with the Heads of the project implementing institutions. Such systems can be achieved through the enhancement and active involvement of all the stakeholders including user agencies/departments, committee members, internal auditors, and technical group or experts at the appropriate stage in the procurement process.

The role of user departments or agencies should be enhanced through the clear identification of their requirements, the preparation of clear technical specification (goods and works) and through the preparation of ToR for the selection of consultants. It needs to clearly specify the time when the goods/services are needed. This will determine the time to initiate the procurement stage. User departments or agencies should be involved in the technical evaluation process. Proper contract administration and inspection of the delivered goods and services is required to confirm the quality of procured goods, works or services.

Well-functioning Bid Approval Committee and Evaluation Committees should act as independent reviewers of bids and proposals and as the main arm of internal control within the procurement function. It is important that committees can rely on the requisite skills and qualifications to ensure consistent engagement in the internal audit and procurement process. At reasonable time intervals, Head of the project implementing institutions should seek the service of, and encourage the internal auditor to review the implementation of procurement and should implement the recommendations of the internal auditors. In addition to the internal control independent auditors at all levels shall inspect and audit the procurement processes of the executing agencies.

In conclusion, the implementing agencies at all levels shall have core procurement quality assurance responsibilities, and are ultimately accountable to ensure the quality of the procurement process as a whole, including documentation of the services and products delivered. The independence and credibility of procurement audits and the quality of internal controls are critical to the credibility of the process.

Compliant Handling

It is likely that the project implementing institutions can receive complaints from bidders/consultants at any stage in the procurement process. The complaint may come directly

from the complainant or it may come through other agencies including the World Bank. It is very important to give due attention and handle complaints properly and transparently.

Procurement Related complaints shall be handled in accordance with procurement regulation Para 3.26 to 3.31 of the procurement Regulation. To address the complaints received from the contractors/suppliers effectively, a complaint handling mechanism needs to be devised at PCU. In order to facilitate any complaint by any stakeholder, the names, designations and contact details of all key persons would be displayed at office of PCU and website. The Complaint handling mechanism to ensure that:

- An immediate action has been initiated on receipt of complaints to redress the grievances.
- All complaints on receipt should be entered in a register.
- Complainant will receive acknowledgement on his hard copy within three working days.
- All complaints should be handled at a level higher than that of the level at which the procurement process is being undertaken and the allegations made in the complaints should be enquired into. If allegations are found correct, appropriate remedial measure should be taken by the higher administrative authorities. Officials and experts who were involved in the procurement and decision making process shall not be involved in the resolution of complaint except to provide information or clarification required.
- If an individual staff is found responsible, suitable disciplinary proceedings should be initiated, against such staff under the applicable conduct rules.
- These complaints should be discussed and dealt with appropriately within 15 days. If a complaint is received after award of contract, it should be discussed on the file and put up to the appropriate authority for a decision.
- An appropriate response should also be sent to the complainant.
- In case of complaints received directly by the Bank, issues raised in the complaint are considered by the Bank. Bank after consultation with PCU will judge the validity of the complaint. If complaints are found valid and corrections are required, the Bank will provide guidance on how they should be rectified.

It is likely that the project implementing institutions can receive complaints at any stage in the procurement process. The complaint may come directly from the complainant or it may come through other agencies including the World Bank. It is very important to give due attention and handle complaint properly and transparently. Any complaint received should be directed to the Head of the procuring entity whose responsibility is to handle the complaint after a thorough investigation and analysis of the facts. The Head of procuring entity shall ensure that proper steps are taken in handling complaints.

Prior reviewed contracts

For procurement that uses the Bank's SPD, Procurement complaint shall be handled in accordance with the procedures stated in Annex III of the Procurement Regulation. In addition to handling the complaint, all project implementing institutions are required to inform the World Bank TTL of the project about the complaint and the response given thereof at the appropriate

stage in the procurement process. The following table shows the action RLLP and other implementing agencies should take when receiving complaints at different procurement stages.

Table 20. Steps of handling complaints for the procurement entity

No	Stages when complaint	Actions to be taken by procuring entity is received
1	After short listing	Provide response to the complainant and copy to the World Bank. Hold debriefing session with any unsuccessful applicant or consultant who requests for it. Copy of the debriefing report shall also be forwarded to the World Bank,
2	Prior to bids/proposal submission	Provide response to the complainant and copy to the World Bank,
3	During evaluation of bids/proposal/ Prequalification	Provide response to the complainant and address the complaint and the response given in the evaluation report,
4	Before receiving “no objection” to bid/proposal evaluation report	Provide response to the complainant and copy to the World Bank,
5	After receiving “no objection” to bid/proposal evaluation Report	Provide response to the complainant and copy to the World Bank and ensure that the World Bank is satisfied with the response given thereof before awarding the contract,
6	After contract award	Provide response to the complainant and copy to the World Bank. Hold debriefing session with any unsuccessful bidder who request for it. Copy of the debriefing report shall also be forwarded to the WB.

Finance

Financial Management context and objectives

This arrangement is designed to allow the establishment of a uniform Financial Management (FM) system across the implementing structures of RLLP-I and RLLP-II in support of SLMP and to provide financial guidelines and procedures specifying how financial transactions are recorded and reported by implementing agencies at federal, regional, and Woreda levels. It discusses the detailed procedures in receiving fund from Development Partners (DPs), keeping the fund, spending it, recording the expenditures, reporting to the appropriate body (DPs, MoA and MoF) and safeguarding the acquired project assets.

The specific objectives of this financial arrangement include:-

- Outline the various processes to be followed by all staffs involved in the FM of the Project.
- Provide instructions for ensuring that resources to be used are incorporated in the budget and adequate internal controls are in place to safeguard the use of funds during implementation.
- Specify government regulations of relevance to FM and accounting needs of the project.
- Align the project FM to World Bank guidelines and the government accounting system, policies and procedures.
- Outline fund flow responsibilities of role players in the implementation of the project.
- Serve as a financial management reference document to all involved in the implementation of the project.

The government accounting system, policies and procedures are the basis of this arrangement. Codes are similar unless new account titles are required as a result of the unique features of RLLP that will be incorporated in the FM manual. However the revised code is presented as follows.

Table 21. Component code for financial management

Component/Sub Component	Code
Component 1. Green Infrastructure and Resilient Livelihoods	10
Sub-component 1.1: Land Restoration and Watershed Management	11
Sub-component 1.2. Climate-Smart Agriculture	12
Subcomponent 1.3: Livelihood Diversification and Connection to Value Chains	13
Component 2. Strengthening Institutions and Information for Resilience	20
Sub-component 2.1. Capacity building, Information Modernization and Policy Development	21
Sub-component 2.2. Impact Evaluation, Knowledge Management and Communication	22
Component 3. Rural Land Administration and Use	30
Sub-component 3.1. Second Level Landholding Certification/SLLC	31
Sub-component 3.2. Participatory Local Land Use Plan	32
Sub-component 3.3. NRLAIS	33

Component/Sub Component	Code
Component 4. Project Management and Reporting	40
Sub-component 4.1. Planning, Monitoring & Evaluation	41
Sub-component 4.2. Environmental Safeguard & Social Development (Including Gender)	42
Sub-component 4.3. Procurement Management	43
Sub-component 4.4. Financial Management	44

Available materials in respect to other government projects have been considered wherever they are found valuable and appropriate for the program. Incorporation in this manual of relevant sections of the government accounting and budgeting system helps to utilize wisely the already built up learning curves of the government's accounting staff. The manual incorporates ideas and comments gathered from government agencies, institutions involved in the implementation of the Project, and DPs.

The manual sets forth the project financial policies and procedures for the guidance of all personnel charged with financial responsibilities, with the aim of ensuring that project resources are properly managed and safeguarded. Any modification, alteration, or change there to should be approved by the MoA.

The FM system requires the production of timely, understandable, relevant, and reliable financial information that allows the government, DPs and other stakeholders to plan and implement the project, monitor compliance with agreed procedures, and appraise progress toward its objectives. To meet these requirements, the system should ideally have the following features:

- **Budgeting:** A system to identify the short term activities necessary to achieve the project objectives and express these activities in financial terms.
- **Accounting:** It refers to a system of tracking, recording, analyzing, and summarizing financial transactions.
- **Funds flow arrangements:** Appropriate arrangements to receive funds from all sources and disburse the funds to the agencies involved in project implementation.
- **Internal control:** Arrangements, including internal audit, to provide reasonable assurance that (a) operations are being conducted effectively and efficiently and in accordance with relevant financing agreements; (b) financial and operational reporting are reliable; (c) applicable laws and regulations are being complied with; and (d) assets and records are safeguarded.
- **Reporting:** A system that would produce sufficient detailed information to manage the project, and provide each donor with regular consolidated interim financial reports and annual consolidated financial statements.
- **External audit:** Arrangements for conducting annual external audit of the consolidated financial statements for the sector on terms of reference acceptable to all the stakeholders.
- **Financial management staffing:** Relevantly qualified financial management staff, including accounting and internal audit staff, with clearly defined roles and responsibilities to conduct financial management activities.

The content of this manual includes the FM institutional arrangement, budgeting procedures, fund flow mechanism, internal control and audit procedures, accounting and record keeping procedures, chart of accounts, financial reporting, external audit, and institutional oversight arrangements.

Finance Management

The FM arrangements for the RLLP will follow Channel II fund flow arrangement of the government where the parent Ministry of the project, i.e. the MoA will be responsible for receiving the donor transfers and making direct transfers to regions and other implementing entities in the project. SLMP will have a Project Coordination Unit (PCU) at the federal, regional and woreda levels. It will be staffed with a competent financial management person at each level. Recruitment at National and Regional levels requires a no-objection from WB while recruitment at woreda level requires no-objection from NPCU. The following finance staff will be positioned at different levels for the RLLP implementation:-

- **At the federal level:** One Senior financial management specialist and Two senior accountants (senior financial management specialist),
- **At the regional level:** One financial management specialist will be assigned in each of the RLLP regions and three accountants will be assigned at Amhara, Oromia and SNNP regions.
- **At woreda level:** There will be a total of 172 accountants for the 90 SLMP-II, for the 18 GAC, for the 17 RLLP and for the 40 newly added GCF and 7 for PROGREEN RLLP-II woredas.

FM staffs at federal level:

- The FM team will be responsible for the overall financial management aspects of the project.
- Will involve in planning and overseeing of project work plans and budgets for the various institutions, and ensure consistency of the allocation of financial resources.
- Opens Designated Accounts for RLLP at the National Bank of Ethiopia (NBE) for pooled dollar from each financing partners. In addition, it opens Birr account or ascertains that the SLMP-II Birr account is okay for funds from the donors' designated accounts to be converted and deposited. The Birr account serves as a consolidated fund for all donors.
- Will be responsible for the day-to-day management of the Special Accounts and the pooled Birr account.
- Will provide guidance, training and support to the various implementing agencies.
- Will assist the regional BOAs on financial management, and disbursement and reporting of the project resources to ensure the timely implementation and reporting on the project.
- Should disburse resources to implementing institutions, collect reports from these institutions and consolidate and report on the use of funds to government, donors, and other stakeholders. It will collect and aggregate financial data and information from

regions and prepare consolidated quarterly and annual financial reports, and handle the audit of the project financial statements

- Liaises with the NBE on disbursement of funds to implementing institutions.

FM staffs at regional level:

- Open or renew the SLMP-II separate birr bank account for the project into which transfers from MoA will be deposited.
- Involve in the planning and budgeting of the project activities in the region.
- Transfer the budget to the implementing units at the regional and woreda levels.
- Collect and aggregate all financial data and information from the Woredas, and regional expenditures to send to the MoA consolidated region-based financial reports.
- Ensure that a suitable accounting and reporting system covering both regional and Woreda levels is established.
- Coordinate implementation of the project at the regional level.
- Allocate the project resources to Woredas, and assess the performances.
- Perform accounting functions as assigned including journal entries preparation, posting, summarizing and preparing financial statements, Statements of Expenditures (SoE) by component, SoE detailed activity expenditures, bank reconciliation statements and account receivables reports;
- Backup duties assigned to the SLMP Federal FM Specialists;
- Assist in preparation of monthly management report and accompanying schedules, worksheets and narratives, including “Budget vs. Actual“ variance reports; assist in providing follow up and documentation of significant variances;
- Ensure accurate and appropriate recording and analysis of grant and expenses;
- Analyze financial information to recommend or develop efficient use of resources and procedures, and provide strategic recommendations and maintain solution;
- Assist with completion of quarterly and annual regulatory filings;
- Assist with annual external audit, complete requested materials; assist in preparing assigned schedules for annual and interim audit;
- Assist with testing and receive final approval for system reports required for management, financial reporting and General Ledger reconciliations;
- Coordinate and resolve various issues with Bank;
- Conform with and abide by all regulatory guidance and internal policies and procedures;
- Document policies, procedures and workflow for assigned areas (Woredas and region) of responsibility;
- Technical support to RLLP-I and RLLP-II Woreda Office of Agriculture and Office of Finance.

FM staff at RLLP-I and RLLP-II woreda level

- Open birr bank account for the project into which transfers from MoA Regional BoA will be deposited.
- Maintain the project financial records.

- Involve in the planning and budgeting of the project activities.
- Utilize the project fund for planned activities.
- Send financial reports to BoA.

Fund Flow Arrangement

RLLP resources will flow from respective development partners to federal designated account with subsequent transfer to regional and woreda beneficiaries through the existing government fund flow arrangement under Channel II. Under this arrangement, each Bureau of Agriculture and WoF will control the release of funds and reports its utilization. MoA, BoA and WoA will approve and supervise the RLLP budget disbursement and accounting functions (see the following chart for fund disbursement). RLLP-I and RLLP-II funds will be transferred from the DPs to the beneficiaries/implementing agencies, based on the approved budget and agreed disbursement plan. Fund to Land Administration and Use Bureaus in Amhara, Oromia, SNNPR and Tigray shall be transferred at Regional level to implement the component 3 of RLLP-I.

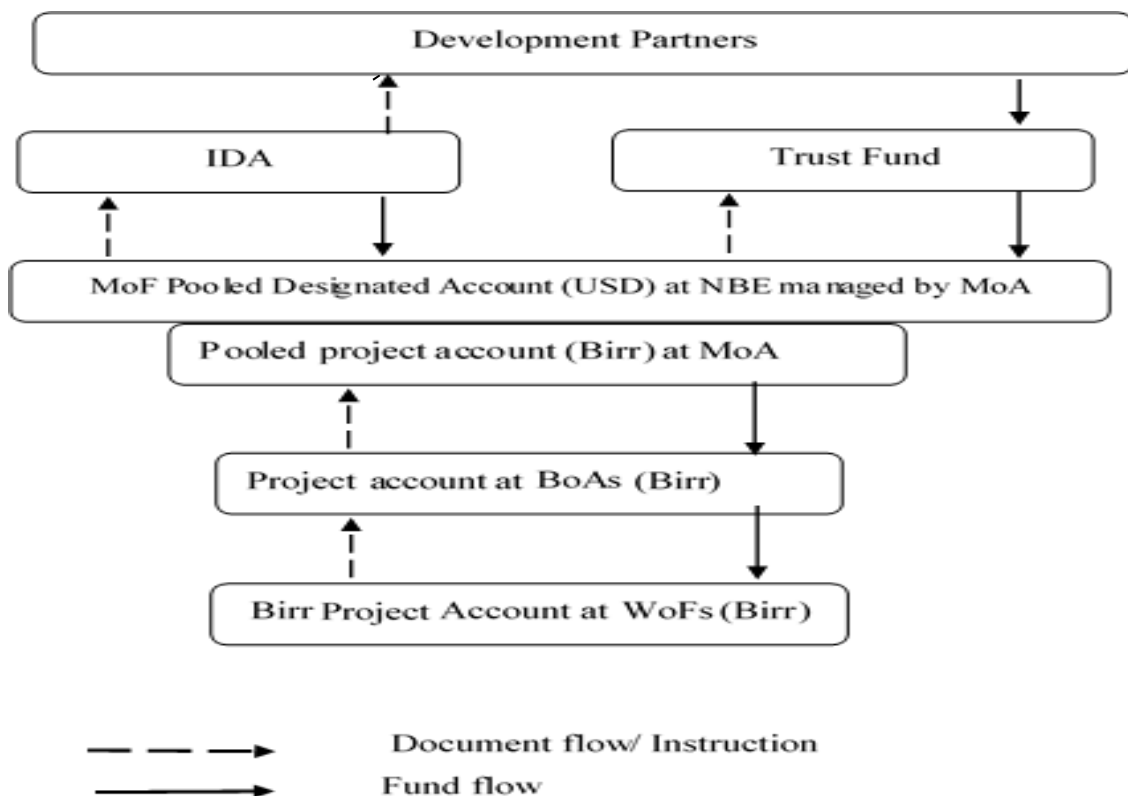


Figure 13. Fund flow at different levels

Disbursement Arrangement

Disbursements will be made to finance eligible project expenditures, in keeping with the purposes of the project. Accordingly, the first steps in establishing disbursement arrangements will be to determine the expenditures that are eligible for financing under the project funds, decide how these will be grouped in expenditure categories, ascertain what share (disbursement percentage) of each expenditure category will be financed by source of

fund, and determine the need for any disbursement conditions. The General Conditions define eligible expenditures as the reasonable cost of goods, works, and services required for the project to be financed out of the proceeds of the loan and procured, all in accordance with the legal agreement and during the loan disbursing period.

Expenditure categories provide a means to monitor and manage the expenditures for project activities. They are specified in the withdrawal of proceeds section of the legal agreement, possibly in the form of a table. The eligible expenditure for each financiers are the following:

IDA and MDTF: Finance 100% (inclusive of Tax) of eligible expenditures of all components and sub components (consisting of Goods, Works, Non-consulting services, consultants' service, operating costs, and Training) for the following subcomponents. Detail activities will be indicated during each ear annual work plan and budget preparation.

Table 22. Eligible components and subcomponents for IDA and GCF

Eligible Component/Sub Components for IDA	Eligible Component/Sub Components for GCF and PROGREEN
Component 1. Green Infrastructure and Resilient Livelihoods	
Sub-component 1.1: Land Restoration and Watershed Management	
Sub-component 1.2. Climate-Smart Agriculture	
Subcomponent 1.3: Livelihood Diversification and Connection to Value Chains	
Component 2. Strengthening Institutions and Information for Resilience	
Sub-component 2.1. Capacity building, information modernization and policy development	
Sub-component 2.2. Impact Evaluation, Knowledge Management and Communication	Not eligible for RLLP-II
Component 3. Land Administration and Use	
Sub-component 3.1. Second Level Landholding Certification/SLLC	Not eligible for RLLP-II
Sub-component 3.2. Participatory Local Level Land Use Plan	Not eligible for RLLP-II
Sub-component 3.3. NRLAIS	Not eligible for RLLP-II
Component 4. Project Management and Reporting	
Sub-component 4.1. Planning, Monitoring & Evaluation	
Sub-component 4.2. Environmental Safeguard & Social Development (including Gender & social safeguard)	
Sub-component 4.3. Procurement Management	
Sub-component 4.4. Financial Management	

However, GEF Finance 100% (inclusive of Tax) of eligible expenditures of the above components and Sub components, (consisting of Goods, Works, Non-consulting services, consultants' service, operating costs, and Training) except the following activities.

- Construction and rehabilitation of communal access roads and paths;
- On-the-ground roll out of the National Faidherbia Program;
- Creating markets for environmentally responsible stewardship; and
- Intercropping of cereals with a range of other alternative fertilizer tree species; and
- Enhancing the income and livelihood of the communities and farmers through, inter alia, income generating and value added activities both at the homestead and farm level, through increased adaptation of the watershed to rainfall patterns and adverse

climatic events,

- Enhancing climate resilience through promotion and adoption of conservation agriculture technologies; water management, integrating tree-food crop-livestock systems at the homestead; and establishing pockets of wood stands at homestead level.
- Enhancement of security of tenure for smallholder farmers in watersheds under the Project, by supporting the process of awarding individual land certificates.
- Preparation of local land use plans for decision making on the best uses of land and its resources for improved, alternative, sustainable and productive development at the grass root level.

However, LDCF Finance 100% (inclusive of Tax) of eligible expenditures of the above components and Sub components, (consisting of Goods, Works, Non-consulting services, consultants' service, operating costs, and Training) except the following activities.

- construction and rehabilitation of communal access roads and paths;
- on-the-ground roll out of the National Faidherbia Program;
- creating markets for environmentally responsible stewardship; and
- intercropping of cereals with a range of other alternative fertilizer tree species; and
- Enhancing the income and livelihood of the communities and farmers through, inter alia, income generating and value added activities both at the homestead and farm level, through increased adaptation of the watershed to rainfall patterns and adverse climatic events, combined with reduced degradation-related risks to provide suitable conditions for adoption of improved, climate-smart farming practices.
- Review, harmonization and revision of the legislative, policy and regulatory frameworks for sustainable land and water management at the federal, regional and Woreda levels with the aim to combat land degradation and encourage sustainable land and water management
- Enhancement of security of tenure for smallholder farmers in watersheds under the Project, by supporting the process of awarding individual land certificates.
- Preparation of local land use plans for decision making on the best uses of land and its resources for improved, alternative, sustainable and productive development at the grass root level.

Disbursements will be made in accordance with procedures and policies outlined in the DPs Disbursement Hand book. One or a combination of the following disbursement methods could be applied to RLLP-I and RLLP-II:-

- a. Designated Account (DA)
- b. Direct Payment
- c. Special commitment and
- d. Reimbursement.

The DA disbursement method uses quarterly IFRs as described above while the others do not.

Disbursement to Borrower

Reimbursement: These are payments to the borrower for the cost of project expenditures. The borrower provides documentation showing that such expenditures have been incurred

and paid from its own resources at the time a request for payment is made.

Advance: These represent payments to the borrower for the expected cost of project expenditures. The borrower subsequently provides documentation showing that such expenditures have been incurred and paid for from the advance. Interim unaudited financial report, or records (e.g., invoices, receipts), or records required by the Bank for specific expenditures and statement of expenditure for all other expenditures. No documentation is required at the time of the request. When reporting on the use of advances, required documentation is the same as for reimbursement.

Disbursed to Third Parties

Direct payment: These refer to payments to a third party (e.g., contractor, supplier, and consultant) for the cost of project expenditures. The borrower provides documentation showing that such expenditures have been incurred at the time a request for payment to the third party is made.

Special commitment: These denote payments to a financial institution for the cost of project expenditures covered by a special commitment. A special commitment is an irrevocable commitment entered into by the Bank in writing to pay such amounts notwithstanding any subsequent suspension or cancellation. The financial institution provides conurbation that such expenditures have been incurred at the time a request for payment is made. Society for Worldwide Interbank Financial Telecommunication (SWIFT) or other advice from the commercial bank confirming that documents have been negotiated (i.e., documents have been received and are acceptable) and that payment has been made or is due and will be made promptly to the beneficiary covered by the special commitment.

Planning, budgeting and budgetary control

Planning and Budgeting: The planning and budgeting process will be guided by the budget policy guidelines issued by Ministry of Finance (MoF). The budget process is participatory among various implementing agencies. Concerned Bureau at regional level will consolidate and prepare the RLLP-I and RLLP-II Annual Work Plan & Budget (AWP&B). Upon receipt of the AWP&B from the woredas and will be submitted same to NSLM-PCU upon approval of the regional project steering committee. NSLM-PCU will consolidate these Annual Work Plans and Budgets and submit them for approval by NSLMP-SC. This planning work will be performed using the electronic planning tool to be developed very soon by WLRC in addition to Excel spread sheet. The planning steps and procedures are dealt with in detail under the section of this manual entitled annual work planning stages, procedures and approval processes.

The program document and further review of the agreement shall determine the program budget for the entire period of the program. This budget of the program is analyzed by category and components. Budgets shall be broken down to quarterly, annual, year-to-date and cumulative analysis. Budget items shall be mapped with the general ledger accounts to

facilitate comparison between budget vis-à-vis actual. The budget classification scheme is how the budget is organized by each budget institution. For accounting purposes, the budget classification scheme as defined in the government's annual budget is tracked to identify expenditure variances between what is budgeted and what is expended by budget institution. The budget classification scheme to classify budget institutions is the uniform at the federal and regional levels.

Budget Procedures for RLLP-I and RLLP-II

The budget shall be proclaimed by Ministry of Finance at the federal level under the name of Ministry of Agriculture. Once identified and used, the budget code shall remain unchanged throughout the project life. Budgeting is structured around a two-way process:

- i. A downstream process from the federal level down to the regions and then to the woredas and kebele, and
- ii. An upstream process starting at the kebeles and Woredas moving up wards to the regions and the federal level.

The annual budget and work plans for RLLP-I and RLLP-II will be prepared through both a bottom-up approach (upstream process) and downstream processes. It will be important that the timing of budget planning processes is consistent with the government budget cycle. Regional BoA will collect all the budget requests from woredas consolidate and submit to the PCU. The PCU will prepare a consolidated budget and submit to the World Bank for approval at the beginning of the physical year. After approval of the AWP&B, MoA will send to the regions and subsequently to Woredas through the respective regions. The annual budget for the project will be broken down into quarterly budget by category and components. The project budgeting system will be fully aligned with the GoE budget calendar.

Work Plan and Budget Revisions

If it is considered necessary during the course of the year (ideally on semi-annual basis) to revise the budget, for example, to cover unforeseen costs, over expenditure or redirect funds from one budget to another, it should pass through the planning steps discussed under annual work planning stages, procedures and approval processes in this manual. The financial management specialist should ensure that:

- a) Requests for revisions were tabled by the M&E, and provide details of the activities for which revisions are requested, reasons for the revisions, the original budget amount, and proposed revised amounts.
- b) Ratification of the revised budget was obtained by the steering committee and the World Bank,
- c) If the revision is approved, the M&E will inform budget holders concerned of the alterations that have been made to the budget to incorporate the approval revision.

Accounting Arrangement

Basis of Accounting: The basis of accounting is the basic set of principles and rules employed by the accounting system to determine when and how to record transactions. The accounting system at the federal, regional and woreda levels employs a modified cash basis of accounting. The modified cash basis of accounting means that cash basis of accounting applies except for recognition of certain defined items. The key considerations used to determine which items to include or exclude in the modified cash basis of accounting are the availability, complexity, practicality and efficiency with which information can be obtained to include other assets and liabilities within the accounting system and the need to keep the basis of accounting consistent with the government's budgeting system.

Consistent with the government manual, the project accounting shall employ modified cash basis of accounting in that the cash basis of accounting applies except for recognition of the following transactions:

- Revenue and expenditure are recognized when aid in kind is received,
- Expenditure is recognized,
- When payroll is processed, based on payroll and attendance sheet,
- At the end of the year when a grace period payable is recognized,
- When goods are received or services are rendered,
- Intergovernmental transfers are recognized in the absence of actual cash movement,
- Transactions resulting from salary withholdings are recognized in the absence of actual cash movement.

Chart of Accounts: A chart of accounts is a system of coding used by a financial management system to identify and classify financial transactions and events. The chart of accounts used is exactly the same at the federal, regional and woreda levels to record revenues, expenditures, transfers, assets, liabilities and net assets/equity. The RLLP-I and RLLP-II chart of account shall be designed by category, financier and component in addition to government chart of accounts. The detailed codes will be shown in the FM manual.

Accounting Cycle: The accounting cycle for the project passes through the following processes:

- Budgeting expenditures
- Capturing transactions in source documents
- Journalizing entries to the transaction register
- Posting to general and subsidiary ledgers, and
- Preparation of monthly financial reports, quarterly IFRs, and annual financial statements.

Accounts Recording: Based on the actual source document such as check and cash payment vouchers, receipt vouchers and journal vouchers the project should be recorded into Peachtree accounting software at Federal, Regional and Woreda level.

Internal Control: Internal control arrangements for community level payments which was identified as high risk by the FM assessment. This includes, strengthening the arrangements for identification and payment of community workers using Woreda identification cards and

beneficiary signatures, discussion of SLM work plans and budgets at annual Woreda budget meetings and ensuring that all payments are duly supported by relevant documentary evidence including signed payment sheets and certificate/confirmation of work completed. In addition to this, reliance will be placed on enhanced social accountability mechanisms including display of project information in public places and strengthened systems for reporting grievances and complaints.

Control of advances including deadline for liquidation/surrender/retirement of advances, use of advances for the approved purpose and refund of unused balance into the project account, in addition to maintaining an up to date advances register shall be strictly followed. Further clarification shall be made in Memorandum of Understanding (MoU) which will be signed between Federal and Regional, regional with woreda SLMP steering structures.

- New check books received from the bank must be checked for completeness and kept in safe custody.
- The checks may be collected from the Bank by one of the signatories or by delegated person. Only one check book at a time should be issued to the person responsible for check preparation against return of a completed check book stub.
- Used check book stubs should be filed in date order by the Financial Management Specialist.
- All payments above Br. 2,000 must be made by check.
- Spoiled and cancelled checks should be stamped VOID, retained in the check book and the signatures torn off or obliterated to reduce the possibility of these being fraudulently copied.
- Blank checks must never be signed in.
- Cheque must be signed by at least by two signatories.

Check preparation and signature

- Check signatory must be assigned by Implementing Agency higher officials.
- Checks may only be prepared against Request for Payment, which is to be approved for payment by the Project Coordinator or designated check signatory.
- Check payments will be evidenced by pre-numbered check payment vouchers and signed by the assigned person.
- Check payment vouchers and supporting documentation should be stamped PAID to avoid double payment.

Bank Transfers (Using Letter)

- Bank Transfers may be made using letter requests to the bank by mentioning the name of the beneficiary and the name of the Bank branch and of the bank account (if required).
- The bank notifies the payment action for the requests by sending debit advices specifying the amount charged to the Project Bank account.
- The accountants should check the debit advice against the letter request. And process the transaction using the Payment window of Peachtree Complete Accounting.
- Letter requests are to be approved by check signatories.

Bank Reconciliation

- All bank accounts must be reconciled monthly by using Peachtree accounting software.
- Reconciliation should be made as soon as the statements are received from the bank.
- Bank reconciliations must be printed and checked for correctness by reference to the Source documents of items reported as outstanding.

Petty Cash Fund

- Petty cash should be kept on the imprest system whereby the cashier is advanced a float of a fixed amount, which will always be represented by cash or vouchers.
- The amount of the petty cash float should be reasonable in relation to requirements and should not exceed about one month's normal expenditure but the ceiling is birr 30,000
- Only payments of up to Br. 2,000 may be made from petty cash.
- Petty cashiers should not have access to the accounting records or checkbooks other than petty cash vouchers, petty cash report and request forms (Where cashiers act as petty cashiers then they would also have access to cash receipts, bank deposit slip.
- Payments from petty cash must be approved by the responsible person. Petty cash payment vouchers and supporting documents must be stamped "PAID" at the time of payment.
- Periodic and surprise counts should be made.

Community Incentive Payment Monitoring

- Payment sheet, monthly attendance sheet and activity report will be prepared by woreda accountants based on participants attendance sheet,
- Payment should be checked by Woreda Focal Coordinators and approved by woreda office of finance and office of agriculture heads,
- Payment document is verified by internal and external auditors on annual bases,
- Payment vouchers and payment sheet prepared by woreda accountants and verified by woreda finance team and technical focal person of the project,
- Payment should be approved by woreda office of finance and verified by internal and external auditors on annual bases.

Fixed Assets

Fixed Asset Register: A detailed record of fixed assets should be maintained.

- The register contains information on all project properties purchased by the project,
- The fixed asset register should contain, among others, the following information,
 - Fixed asset description,
 - Supplier's name,
 - Unit of measurement,
 - Invoice No. and invoice date,
 - Original Cost and related expenditures,
 - Identification Number,

- Location.

Fixed assets are physical items that are expected to have a useful life of longer than one year and have a certain minimum value. Although fixed assets are charged to expenses up on purchase, no depreciation shall be charged on the fixed assets.

The project should maintain a fixed asset register for items that:

- Have life expectancy of more than 1 year, and Have a value of Birr 2000.
- Moreover, assets should be tagged with identification numbers.

Another consideration in fixed asset management of significance to include in this PIM is Physical Verification. Fixed assets should be physically checked periodically in order to make sure that the assets exist. All inventories of fixed assets shall be physically verified against records at least annually. Any identified difference should be communicated to management for decision and action.

Accounting Period: The FM reporting period will be from July 8 to July 7 of the following year. This shall be stipulated in the DPs and government program documents.

Financial Reporting

Final Accounts: The objective of the final accounts (annual financial statements) is to provide information about the financial position, performance and cash flows that is useful in making and evaluating decisions about the sources, allocation and uses of financial resources and about how the activities were financed. In addition, the accounts provide users with information about whether resources were used in accordance with the approved budget. Moreover, the final accounts are audited by independent auditors on which opinions on the fairness of the statements are expressed. The Project's financial statements would be prepared in respect of each accounting year for the purpose of providing information including the source and use of funds during the year and financial position at the end of the year. The final financial report should be submitted to external auditors within 3 months after the end of each fiscal year. The financial statements required for the SLMP/RLLP, as stipulated in the government accounting manual, shall comprise:

- Balance Sheet,
- Income and Expenditure Statements (Statement of Source and Use of Funds), and
- Accounting Policies and Notes to the Financial Statements.

In addition to the above statements, the Statement of the Movement of the Designated Accounts, and list of materials procured shall be annexed to the Notes to the Financial Statements. A single audit opinion shall be expressed on the final accounts. NSLM-PCU shall be responsible for preparing the final accounts by consolidating the various financial reports received from BoAs. Thus, amounts shown in the final accounts shall equal the aggregate of amounts shown in the quarterly financial reports submitted to donors, MoF and MoA. The statutory reporting entails reporting of final accounts to the Office of the Federal

Auditor General (OFAG) or other project external auditor, and reporting to DPs. Detail reporting formats will be included in as annex to the FM manual.

Table 23. Periodicity of reporting

No	Level and path of reporting	Actions	No of Days	Time Table
1	Year ended Report	Annual Financial Progress Report	45	July 7 to August 8
	Woreda to region	Monthly/Quarter report	15	
	Region to NPCU	Monthly/Quarter report	15	
	NPCU to DPs	IFR Submission	15	
2	Transfer Steps (Twice a year)		25	August and February
	DPs to NPCU	IFR review feedback	7	
	NPCU to DPs	Withdrawal Application	5	
	DPs to National Bank	Fund transfer	5	
	Within National Bank	Dollar to Birr transfer	2	
	NPCU to Regions	Birr Transfer	2	
	Region to Woreda	Birr Transfer	3	
	Total no. of Days		55	
3	IFR per year			
	Quarter 1 (IFR 1)			July 08 - October 10
	Quarter 2 (IFR 2)			October 11 - January 08
	Quarter 3 (IFR 2)			January 09 - April 08
	Quarter 4 (IFR 2)			April 09 - July 08

Monthly reporting: Woredas shall send the financial reports to BOA within 10 days after the end of the month as per the following checklist:

- Prepared the report as per the standard format
- Sending of the report as per the financial agreement schedule
- Attached the trial balance
- Attached the balance sheet
- Attached the Income statement
- Attached the Bank statement & Bank reconciliation
- Attached the explanation of the variances.
- Completeness of the report Signed by authorized Signatory
- Ensure the Eligibility of expenditures.
- Copy of cash count certificate
- Copy of fixed asset registration at the end of the year

Regions (BoA) consolidated financial reports should be send to MoA within 20 days after the end of each quarter by considering the following checklist:-

Interim Financial Report (IFR): Management information is required in order to control financial resources. DPs require monitoring based on internationally accepted accounting principles. Likewise, monitoring physical performance in relation to financial disbursement is

important in order to establish the value for money. At operational level, reporting is essential to facilitate routine activities of the Project. The NPCU shall prepare and submit to DPs within 30 days after the end of each quarter Interim Unaudited

Financial Reports (IFRs): The report shall include the following:

- A statement of source and uses of funds indicating all the resources and use of project funds for the reporting period and cumulative.
- Statement of Uses of fund (expenditures) by component and category compared with budgets for the reporting period and cumulative,
- Apportionment the reporting period expenditure by financiers,
- IFR subject to prior and post review statement for the reporting period.
- Designated Account activity statements for the reporting period,
- Six month Cash forecasts Statement for the next 2 quarter
- Notes and variance analysis related to the financial report.
- Attached Trial Balance, Balance Sheet, Bank statement, bank reconciliations, aging analysis, etc.

Auditing

Internal Audit: The internal auditing of an organization will involve topics such as the efficacy of operations, the reliability of financial reporting, deterring and investigating fraud, safeguarding assets, and compliance with laws and regulations. The internal auditor of each of the implementing agencies (i.e., MoA, BoAs, and WoF) shall perform internal audit on the RLLP fund at least once per year. Thus, all the internal audit units of these agencies shall routinely include the Project into their work plan and conduct regular audit on its funds. The report of the implementing agencies internal auditors shall be addressed and submitted to the head of the agencies. However, major findings during audit shall be communicated to respective RLLP stakeholders within a month after the internal audits are undertaken.

Interim Audit: RLLP will conduct an interim audit quarterly starting from the first three months of the fiscal year so that at the end of the fiscal year most of the auditing will focus on the last three months of the fiscal year. The external auditor will audit the financial statements and the RLLP performances at all levels, and submit interim audit reports within 30 days after end of each quarter.

External Audit: Annual audit for the RLLP shall be performed by an independent audit firm nominated by the Office of Federal Audit or General (OFAG) and the audit report shall be submitted to the DPs within 6 months after the end of each physical year. The audit report shall be addressed to MoA. To meet this timetable, the auditor will carry out interim audits during the course of the year. The audit of the whole project shall be conducted in accordance with the terms of reference to be provided by MoA. ToR for audit and financial reporting formats of IFR are attached in Annex. Generally, the auditor shall perform the following:

- **Audit of Statement of Source and Uses of Funds:** The objective of this audit is to ensure that all source of the Project funds are included in the statement and that payments there from are properly included in the accounts.

- **Audit of Interim Financial Reports:** The objective of this audit is to ascertain that the individual expenditures, which comprise the IFR totals, are fully supported by documentation kept in the Project files kept at different locations, and are properly authorized and eligible under the Project document.
- **Audit of Designated Accounts:** The objective of such audits are to verify that the Designated Accounts bank statements are reconciled with the Project books of accounts and what has been withdrawn or deposited from designated accounts is traceable in the Project books and records.

Tips for Efficient Financial management System

- To avoid inefficient first quarter financial utilization system due to mismatch of lengthy year ended financial reporting process and yearly approval of annual work plan, consensus should be reached on the way to utilize BBF and also transfer resources,
- To accelerate financial utilization system and early delivery, finalizing all the procurement at all levels by April is agreed,
- For early delivery of financial report from the woreda on monthly and quarterly basis options of communications should be diversified,
- Setting quarterly financial utilization proportion in line with approved quarterly planed distribution is also important with 20% 30% 30% 20% ratio from quarter 1 to 4,
- To strengthen internal control system respective specialists at all level should play a role in verifying expenditures based on the planned activities under each components and sub components. The following format is applicable.

Table 24. Steps used in financial management

Steps financial Management	Prepared by	Checked by	Approved by	Paid by
ToR development	SMS	Case team	Coordinator	N.A.
Payment request	SMS	FMS	Coordinator	N.A.
Attendance sheet	FMS	SMS	Coordinator	
Payment sheet	FMS	S. FMS	Coordinator	Cashier
Inputs distribution list	SMS	Procurement	Coordinator	
Fixed asset registry/ Inventory report	FMS and Procurement	S/FMS & S/Procurement	Coordinator	

Table 25. National and regional backstopping support plan

Planning Item	National FMS	Regional FMS
Timing	On Quarterly basis/To each Region	On Monthly Basis To selected Woredas
Woreda Selection/Sampling	Based on Risk level	Based on Risk level
ToR for field support	Based on Audit findings and IFR reports/Review	Based on Audit findings and IFR reports/Review

Bank Signatories: Based on previous experience of in consistencies at regional level, Bank Signatories should be harmonized across the region respecting the regional financial

management arrangement. Regional coordinators should be in the list of signatory.

Environmental Safeguard and Social Development (Social safeguard and gender)

Background

The RLLP is a category ‘B’ project and its sub-projects may not require full scale ESIA. The World Bank policies, dealing with environmental, social and legal issues, are considered safeguard policies. The RLLP triggers eight of the World Bank safeguard policies and operated on the bases of these policies (Table 26). On the other hand, 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 is not applicable. These policies and standards require adhering to appropriate environmental and social assessment procedures and steps to address all possible negative impacts.

Table 26. World Bank triggered safeguard policies

Safeguard Policies	Triggered	Explanation
Environmental Assessment OP/BP 4.01	Yes	Generally, RLLP would provide positive environmental & social benefits. However, OP 4.01 is triggered predicated on the assumption that there could be potential environmental risks and negative social impacts associated from the implementation of component I and component III of the project. Thus, ESMF has been prepared, consulted & disclosed for the project.
Natural Habitats OP/BP 4.04	Yes	The policy is triggered with the potential to cause significant conversion (loss) or degradation of natural habitats (protected or unprotected, wetlands, ecologically valuable habitats, etc.), either directly through construction or indirectly through human activities induced by the project.
Forests OP/BP 4.36	Yes	Consistent with OP. 4.01, Project will not finance any activity that pose a significant impact on forests causing deforestation. The policy is triggered when community infrastructures such as access roads and introduction of new forest types may pose some negative impacts on forests.
Pest Management OP 4.09	Yes	RLLP will also trigger OP 4.09, for farmers may use high value and new varieties of crops, new fruit tree species and varieties which may require the use of inorganic chemicals such as fertilizers, insecticides, herbicides, etc. to increase production and productivity of agricultural crops. In this

Safeguard Policies	Triggered	Explanation
		case IPMP need to be prepared as part of ESMF.
Physical Cultural Resources OP/BP 4.11	Yes	The physical cultural resources policy (OP 4.11/BP) requires countries to avoid/minimize or mitigate adverse impacts on religious, historical and cultural resources from development projects. Chance-find procedures will be implemented for inclusion in work contracts, especially in areas that may potentially have physical cultural resources. The Environmental and Social Management Framework (ESMF) specified procedures for avoiding such damage.
Underserved people OP/BP 4.10	Yes	RLLP triggers this policy (OP/BP 4.10) to ensure that the intervention respects the dignity, human rights, economies and cultures of underserved people and vulnerable group and avoid potentially adverse effects in targeted areas. Free, prior and informed consultation has been made. Social assessment conducted & in-depth consultation carried out to reflect policy requirements. Grievance redress & benefit sharing mechanisms reflected in the Project Appraisal Document (PAD)
Involuntary Resettlement OP/BP 4.12	Yes	RLLP will not undertake subprojects/activities that will involve involuntary land acquisition, displace of people and involuntary restriction of access to common resources. Rather involuntary land acquisition, displacement of people and involuntary restriction of access to common resources should be avoided by looking for other alternative means. However as a precautionary measure, Resettlement Policy Framework (RPF) has been prepared.
Safety of Dams OP/BP 4.37	Yes	OP/BP 4.37 on Safety of Dams triggered in cases of small dam construction (less than 4.5 meters) as part of water harvesting structures or rangeland development.
International Waterways OP/BP 7.50	No	

Guiding Principles: All subprojects are subject to environmental and social screening and based on the screening results appropriate Environmental and Social Management Plan (ESMP) or Environmental and Social Impact Assessment (ESIA) have to be prepared to prevent, mitigate or compensate for adverse impacts. The impacts and the measures identified in the ESMP should be consistent with the findings of the screening results and with the subproject type, nature scale and design. The environmental and social safeguard planning and implementation under the project will be guided by the following principles:-

- The Green Infrastructure for Resilient Livelihoods component of the RLLP-I and RLLP-II involves relatively small-scale projects that can be designed, implemented and managed at the kebele/community level using standardized published guidelines, with the mobilization of government Development Agents and assistance of woreda staff as

required. The design shall be guided by technical materials such as the revised community based watershed management guideline which incorporates specific design procedures to prevent or mitigate the adverse impacts and encourage positive environmental and social effects.

- The project planning process shall be entirely participatory and be made in consultation with communities and the communities have the opportunity to prioritize needs. Participation in the community projects will be entirely voluntary, minutes of the consultation (including participant types disaggregated by sex, concerns and views raised during the consultation, addressed and unaddressed issues, decisions made, date of the consultation, benefit sharing, etc.) should be taken and need to be documented.
- Identified sub-projects by the communities will be screened, vetted and adopted in the kebele watershed management plan on the basis of selection criteria and screening designed to eliminate projects with major or irreversible environmental or social impacts (as stated in the guidelines in the ESMF, RPF and SA document).
- RLLP planning and implementation will integrate appropriate Environmental and Social Management Plan.
- Approval at woreda, zonal or regional level will involve the environmental regulatory body in all the hierarchy, or its equivalent which has the right to decline a project on environmental or social grounds, or to conduct an assessment of likely impacts prior to approval.
- Sub-projects with special environmental and social concern will be directed to the attention of the technical body at the zonal and/or regional level. Special attention will be given to the subprojects/activities which might involve the use of agro-chemicals and land/asset acquisition which include, but not limited, the following: on farm water harvesting structures, area closures /ex-closures, community roads. Such types of sub-projects will be notified to the zonal or regional environmental regulatory body. The zonal or regional environmental regulatory body will decide whether an ESIA is required or not. Following such ESIA result, the zonal or regional environmental regulatory body may modify the project, recommend a management plan or disapprove the project.
- Subproject implementation (mitigation measures) will be supervised and monitored at community, kebele and woreda levels by a team of experts. The DAs, with assistance from the Woreda, will ensure that the specified mitigating measures are implemented.
- Screened documents and clearance letter from environmental regulatory body has to be attached with the annual plan for budget approval and need to be documented.

The type, scope and location of the sub-projects are not identified in advance and their impacts cannot be determined until project planning is started by communities during annual work plan preparation stage. The ESMF, SA, RPF are prepared to serve as a safeguard framework, i.e. to examine the environmental and social impacts of sub-projects and to provide procedures, principles, rules and guidelines to be followed during the screening of sub-projects against any potential environmental and social impacts at the community level financed under the RLLP. Therefore, it has to be noted that any environmental and social

issues have to be addressed following the procedures and steps mentioned in the ESMF, RPF and the SA.

Environmental Safeguards

The project is categorized as B project where subprojects/activities are entirely focus on enhancing the positive impacts. Whereas unforeseen negative impacts will be mitigated and/or avoided by applying the ESMF procedures which affect the biophysical and social environment especially during implementation. The project will finance activities including community access road construction, on farm water harvesting structures, small or micro-dams, forest rehabilitation and reforestation of degraded area, area closures and gully rehabilitation which may involve manipulation of landscapes and resources, and land mapping and registration which affect the use rights (tenure rights) of people and/or their access rights to resources. However, site specific and less sensitive localized environmental and social negative impacts (e.g., pollution from agrochemicals, sedimentation of nearby aquatic/drainage systems, erosion, biodiversity loss, salinity, habitat destruction etc.) may occur in the project implementation areas which can be avoided and/or mitigated by applying the possible mitigation measures.

As it was seen during SLMP-II implementation, one major gap observed was absence of environmental and social clause during the design and implementation of subprojects. Therefore, as an issue, prior to the construction of any subproject, a key concern should be to ensure the incorporation and implementation of the environmental and social clauses that will be agreed between the two parties, i.e. the client and the contractor. The clause is annexed in the main ESMF document which will be applied into all contracts for works and that safeguards management is included in the Project's institutional and implementation arrangements. On the other hand, the Environmental Protection Organs Establishment Proclamation No. 295/2002, one of the powers and duties of former MEFCC (the current EFCCC) is "Establishing 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".

From past experience (SLMP-II), based on agreements with other supporting projects (e.g. INBAR), introduction and promotion of technologies (including Bamboo tree seeds and/or seedlings) were done. One of the challenges observed for such technology promotion was procedural gap during the importation of new bamboo species to the country. Therefore, to scale up and promote new technologies that play a significant role in rehabilitating degraded lands and creating resilience to the landscapes, the RLLP would give due concern on the environmental compliance of such technologies to comply with the Ethiopian government environmental regulations and World Bank safeguards policies. Therefore, such project types need to have and/or obtain the correct licenses from Ministry of Agriculture (MoA); Environment, Forest and Climate Change Commission (EFCCC); and Institute of Biodiversity Conservation (IBC). Feasibility studies of new species should also be done.

Social Development (including social safeguard and gender)

RLLP-I and RLLP-II activities/sub-projects would be initiated, planned, designed, implemented and operated by communities and/or farmer groups, who by their very nature, are members of the rural community and therefore, are an integral part of and play a crucial role in the community that may be effected. Furthermore, it is the local communities who are to claim ownership of this project for it to be successful, and their wealth of knowledge of local conditions are invaluable assets to the project. In recognition of this, particular attention would be paid to public consultation with all targeted communities in general and with potentially affected individuals/households when land acquisitions concerns are involved. That means there is a need for closer community consultation and participation at all levels during project implementation.

In light of this, public consultations/Social assessment have taken place in the selected woredas/watersheds of RLLP-I and RLLP-II, and environmental and social performance audit was conducted in SLMP-II watersheds. The information generated from these exercises; both during the community consultation/Social assessment and the audit revealed that there is broad community support. Among the many results of the community consultations; community interest in the project was ascertained.

As RLLP-I and RLLP-II's objectives are focused on improve livelihoods, climate resilience, carbon storage, and land productivity in targeted degraded rural watersheds, social impacts are largely positive. However some of the project activities, /investment on green infrastructure for resilient landscape component such as spring development, water harvesting structures, hand dug well, afforestation, access road construction, nursery are expected to require some land acquisition (temporary or permanent) and could also potentially reduce/restrict access to common resources in the case of afforestation/reforestation, area closure and gully rehabilitation etc. RLLP will, therefore, trigger three social safeguard policies namely OP/BP 4.10 (Underserved people), OP/BP 4.11 (Physical Cultural Resources) and OP/BP 4.12 (Involuntary Resettlement).

Underserved people (OP/BP 4.10): The Ethiopian Constitution and the government's macro and sectoral equity-based development policies, predicate the importance of being sensitive in development program planning to: (a) minority groups and their cultural identities including local dialects/languages; (b) collective attachment to geographically distinct habitats including conservation and development of natural resources in these habitats; and, (c) customary cultural, economic, social, or political institutions that are separate from those of the dominant society and culture. RLLP triggers this policy (OP/BP 4.10) to ensure that the intervention respects the dignity, human rights, economies and cultures of underserved people and vulnerable group and avoid potentially adverse effects in targeted areas.

Physical cultural resources OP/BP 4.11: the Physical Cultural Resources policy requires countries to avoid or mitigate from development projects adverse impacts on religious, historical and cultural resources. The policy triggered by RLLP/RLLP-II because sub-

projects/activities such as access roads construction, and other infrastructures, which involve excavation may affect cultural, religious, and historical resources. The physical cultural resources refer to movable or immovable objects, archaeological and historical sites, historic urban areas, sacred sites, burial sites, structures, historical, architectural, religious and others that have unique natural, social and cultural significance. The necessary steps of public consultations, engagement of cultural or religious leaders, local authorities need to be conducted before decision on sub project is made. Chance-find procedures will be implemented for inclusion in work contracts, especially in areas that may potentially have physical cultural resources. The Environmental and Social management framework (ESMF) specifies procedures for avoiding such damage.

Involuntary Resettlement (OP/BP 4.12): RLLP will not undertake subprojects/activities that will involve involuntary land acquisition, displace of people and involuntary restriction of access to common resources. Rather involuntary land acquisition, displacement of people and involuntary restriction of access to common resources should be avoided by looking other alternative means. However as a precautionary measure, Resettlement Policy Framework (RPF) has been prepared.

The RLLP-I and RLLP-II implementation approach of component one will follow the revised CBPWDG where activities/sub-projects will be identified by the communities based on their local needs and priorities through a participatory watershed planning process with the coordination of Development Agent (DA) and Community Watershed Team (CWT) whereby all community members (Inclusive) have the opportunity for sharing ideas and making decisions as they are the owner of the development.

During this process the community discusses thoroughly about the location of the activity and land acquisition issues. When there is a need for land the procedure includes trying to avoid it by looking for other alternatives like changing design or location or otherwise if the landholders are willing to donate the land with some agreement (land for land replacement/ cash compensation from government budget/ benefit arrangement from implemented project activities) then activity will implemented as planned..

Experience from SLMP-II reveals that as stated above the activities/needs arise from the community and, during this process the community discusses thoroughly about the location of the activity and land acquisition issues. When there is a need for land the procedure includes trying to avoid it by looking for other alternatives like changing design or location or otherwise if the landholders are willing to donate the land the activity is implemented as planned.

Based on this in few of the SLMP-II watersheds, communities agreed to voluntarily provide a small piece of land in exchange for desired community benefits with compensation or with some benefit arrangements and in rare cases (E.g. access road construction) while widening the existing foot path free donation occurred because the size of the land was be very small.

OP/BP 4.12 was not triggered during SLMP-II. Instead, any sub-projects that were found to involve involuntary displacement of people or social disturbance, involuntary loss of assets/ access to assets were rejected or not eligible to be supported by the program. Therefore experiences from the implementation of SLMP-II indicate that issues of land acquisition and restriction of access to natural resources such as area closure and gully rehabilitation need closer attention. In similar manner in RLLP activities/sub-projects will be identified by the communities based on their local needs and priorities through a participatory watershed planning process with the coordination of community watershed team (CWT) whereby all community members have the opportunity for sharing ideas and making decisions as they are the owner of the development.

After sub projects are selected by communities Development Agents (DAs) will check whether the identified sub projects fall into the categories that are eligible or not to be financed by RLLP and then eligible sub projects will be sent to woreda for further screening for potential environmental and social adverse impacts by woreda watershed technical committee using checklists and following the steps. During this process some community and SWC structures (community access road construction, water harvesting structures, gully treatment and afforestation/reforestation ...) might require land acquisition; and when such cases happen the project proposes to rely on voluntary land donation (VLD). The procedure should include:

1. Trying to avoid by finding other alternatives, changing design or location. Otherwise if the land holders are willing/agree to donate the land (VLD) the activity will be implemented.
2. During implementation of VLD if it is household/family land consultation with family members (including spouses) must be made and family must be aware that refusal is an option;
3. If the land that may be donated is household/family land the proportion of the land must not exceed 10% of the total land holding of the donor and must not be the donor's main source of income; this is not significantly affect the donors' livelihood.
4. Voluntary land donation (VLD) should not occur if it requires physical relocation, loss of structures or fixed assets on affected portion of land.
5. 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.
6. A formal statement or minutes for all consultation and discussion with the land holders, their interest and agreed actions including schedule should be signed and documented at kebele and woreda MoA offices and should be reported for enhanced transparency.

Land acquisition will not take place unless it is on voluntarily bases. "Involuntary" means actions that may be taken without the displaced person's informed consent or power of choice.

RLLP/RLLP-II aim to have lasting positive impact on the life of the intended beneficiaries in targeted vulnerable rural watersheds environmental and social impacts are largely positive.

However some of the activities might have adverse impacts on the target communities, at a times having differential impacts on historically underserved peoples and different categories such as (women, poor ethnic minorities migrants, youth, etc.). Therefore it is important to closely examine the potential adverse impacts of RLLP on different categories of beneficiaries with particular focus on historically underserved peoples and vulnerable group of communities in the project areas. As stated above RLLP will not undertake subprojects/activities that will involve involuntary land acquisition, displace of people and involuntary restriction of access to common resources. Rather involuntary land acquisition, displacement of people and involuntary restriction of access to common resources should be avoided by looking other alternative means. When restrictions of access to common resources happen the project will follow the following key process:-

Key process for restriction of access to natural resources:

According to the watershed planning and sub- project identification of RLLP/RLLP-II sub-projects will identified by the communities based on their local needs and priorities through a participatory watershed planning process whereby all community members have the opportunity for sharing ideas and making decisions. The planning process is guided by the CBPWDGs. During screening for potential adverse impacts if the implementation of identified sub-project will result limited or total restriction to access to economic assets and resources of people and communities the project implementers will follow the processes listed below.

The basic process to be followed during site specific implementation of the sub projects resulting in restriction of access include:

1. **Collect Complementary Social baseline:** building on the complementary Social Assessment, the project implementing entity will conduct as needed, Participatory Rural Assessments to capture community's voices on alternative means, identify potential conflicts and mechanism to address and come up with special assistance/initiatives for the community, particularly targeting for vulnerable groups. The findings of the study will guide the overall considerations and approaches in compensation and risk mitigation measures;
2. **Assign a Focal Person:** the environmental and social development officer at national, regional and woreda counterparts should be primary contact persons to follow up sub projects inducing access restriction;
3. **Conduct Special Compensation Program:** the woreda implementing entity will develop a compensation package appropriate to PAPs in restoring and improving livelihoods. Special compensation measures could include but not be limited to, provision of alternative grazing area, priority in employment, provision of fodder, support in intensification and agricultural inputs;
4. **Community Participation and Citizen Engagement during Implementation:** The project will focus on increasing community engagement and participation in need identification, planning, monitoring and evaluation of project intervention specially

component one activities and management and decision-making. The participation and engagement forums would help familiarize RLLP-I and RLLP-II components and accompanying benefits. Citizen feedback and a series of consultations with community members, religion leaders indigenous institutions leaders, and government officials, will continue during implementation;

5. ***Establish Woreda and Kebele Resettlement Committee:*** this committee will handle issues of access restriction process in RLLP implementation, which is similar to the resettlement committee captured in the RPF;
6. ***Conflict resolution committee:*** Any potential conflicts of social impacts due to the denial of access, or restrictive or limited access to or total loss of access to economic assets and resources of people and communities; community members impacted will make use of the Grievance redress committee stipulated in this RPF. The conflict resolution committee must include the participation of all stakeholders from all socio-economic backgrounds;
7. ***Develop Action Plan:*** based on the process stipulated above RLLP will develop a process action plan to be submitted to the Woreda EFCC office, regional EFCC Bureau for review and clearance based on the scope of impact. The Process action plan should be submitted and cleared before enforcing new restrictions of access to resources. Detailed action plan must be prepared together with the PAPs and stakeholders. An action plan may include, but not limited to, the following:
 - Description of agreed restriction with extent and time frame;
 - Boundaries of the access restricted land/resources with brief description;
 - Description of the community/stakeholders affected by access restriction;
 - Measures to assist access restricted affected community/individuals/ stakeholders with time bound and financial sources;
 - Monitoring and evaluation arrangements;
 - Impact mitigation measures (i.e. environmental and social impacts) with identified community and specific environment or location of the area that receive mitigation;
 - Background of the socio-economic status of the community;
 - Special measures concerning women and vulnerable groups;
 - Capacity building plan (of the implementing agencies, community, stakeholders);
 - Roles and responsibilities of implementers, collaborators, community, stakeholders;
 - Complaint entertaining and settling mechanism.

Community Consultation

Development work in general and sustainable land and water management practices in particular requires community consultation and involvement as one of the prime prerequisites for its realization. RLLP-I and RLLP-II activities/sub-projects would be initiated, planned, designed, implemented and operated by communities, who by their very nature, are members of the rural community and therefore, are an integral part of and play a crucial role in the community that may be effected. Furthermore, it is the local communities who are to claim ownership of this project for it to be successful, and their wealth of knowledge of local

conditions are invaluable assets to the project. In recognition of this, particular attention given to public consultation with all targeted communities. That means there is a need for closer community consultation and informed participation at all levels during project implementation. The process of community consultation begins with popularizing the initiative to community members, listening to their concerns and reactions, and securing their acceptance, trust, and support for it.

In this regard, recognizing land degradation as a problem of far-reaching consequences, and that it can best be dealt with by working together as a community is crucially important to address the issue. The sense of ownership and responsibility that comes with such recognition plays a vital role in identifying practical measures to mitigate the problems under local conditions.

Community consultation also enables the local population to prioritize their felt needs and concerns, thereby strengthening and expanding their participation in the planning, screening and management of activities by combining local and external resources. In light of this, preliminary community consultations have taken place in the selected woredas/watersheds for RLLP-I and RLLP-II. The information generated from the community consultation/social assessment; communities have shown interest and commitment not only to participate in, but also to actively support and contribute to the success of the project intervention. Among the many results of the community consultations; community interest in the project was ascertained.

In RLLP-I and RLLP-II implementation the approach will follow the CBPWDG (under revision) where activities will be identified by the communities based on their local needs and priorities through a participatory watershed planning process with the coordination of Development Agents (DAs) and Community Watershed Team (CWT) whereby all community members (Inclusive) have the opportunity for sharing ideas and making decisions as they are the owner of the development. Therefore, there should be enhanced community consultation and participation starting from project initiation. With regard to the inclusiveness of community consultation, all community members should be equally informed about attending community consultation meetings regardless of their ethnic background, sex, age, and health status. The consultations should be carried out on the basis of prior, free and informed. Accordingly, to accomplish inclusive community consultation and participation and broad community support the project will follow and implement the following but not limited.

1. RLLP-I and RLLP-II activities should be initiated, planned, designed, implemented and operated by male and female communities
2. Facilitate brainstorm community meetings for general assembly (upper middle and downstream community) which will help recognizing land degradation as a problem of far-reaching consequences, and that it can best be dealt with by working together as a community is crucially important to address the problem.
3. Arrange suitable meeting schedule for male and female community members depending on the issue

4. Consultations should be carried out on prior, free and informed basis.
5. List and document vulnerable groups to ensure their full participation
6. Consultation meetings should be inclusive regardless of their ethnic background, sex, age, and health status
7. Ensure balanced male and female participation in all Consultative meetings from upper, lower and down part of the targeted watershed
8. Give ear and recognize ideas and Indigenous knowledge of male and female farmers and youth
9. By recognizing their ideas and views facilitate and enable the community to identify and prioritize their felt needs and concerns,
10. Facilitate participation of male and female community groups during planning, implementation, monitoring and evaluation.
11. In order to enhance transparency and accountability consultative Meeting minutes and number of male and female participant should be documented and reported.

Underserved people: Two of the six regions (Gambella and B/Gumuz) where RLLP-I and RLLP-II will be implemented are developing regions and communities living in these regions are historically disadvantaged and underserved. Moreover, the populations in these developing regions are different from the mainstream smallholder agricultural communities of the Project in their livelihood system/strategy, land and resource management, patterns of settlement, and farm technology.

The Green Infrastructure for resilient livelihoods component of the project primarily focuses on rural smallholder farmers. As the historically underserved communities pursue different livelihood systems and natural resource management and use strategies which include foragers who engage in hunting and gathering, traditional beekeeping and shifting cultivation. As RLLP-I and RLLP-II focuses on rural smallholders and aims to scale up and adopt best-fit and proven sustainable land and water management technologies and practices. Therefore there might be a possible risk of not properly addressing the circumstances of population groups such as hunters and gatherers, who peruse peculiar livelihood systems and natural resource management strategies. Lessons from SLMP II revealed that the project has been community demand-driven and accommodated the livelihood, resource management and land use system of the local communities.

Free, prior and informed community consultations were carried out. RLLP being community demand driven project, due consideration will be given to accommodate the livelihood, resource management and land use system of the local communities. The project was designed to accommodate the livelihood, land use and resource management system of the local communities; one example is their tradition beekeeping though largely takes the form of forest honey collection, which can be integrated into the RLLP-I and RLLP-II activities, but with an injection of modern knowledge and technology based on their demand such as beekeeping technology as it is more productive, sustainable and environmentally and female friendly. Moreover, free, prior and informed consultation with local communities was conducted and this participatory approach with local community will continue in the same manner in implementation of the program.

The implementation of the Rural Land Administration and Use component of the RLLP-I is expected to give due consideration, where individual land possessions by households is not the norm to the peculiar landholding and land use systems of the historically underserved communities in the woredas/watersheds selected for the project. Though this component is designed to ensure the land tenure security of small holder farmers and thereby motivate them to adopt sustainable land management it may not be applicable in the context of hunting and gathering and shifting cultivating groups on wholesale basis. Therefore, the implementation of land certification should not be based on wholesale or universal application in all project woredas. This is because population groups in the historically underserved project woredas/watersheds exercise livelihood strategies that require peculiar landholding and land use arrangements from those of smallholder farming communities. Implementing the component without due regard for these peculiarities may entail a risk that interferes with smooth project implementation. Accordingly, care needs to be exercised to make sure that the land administration and use of the project is not implemented on wholesale basis in all project woreda /watersheds, and instead takes into account the unique landholding and land use characteristics of the historically underserved population groups in the developing regional states.

Vulnerable group: As stated above some of the RLLP-I and RLLP-II activities might have adverse impacts on the target communities and/or at a times having differential impacts on different categories such as (women, poor, ethnic minorities, migrants, elders, youth, etc.). Therefore, it is important to closely examine the potential adverse impacts of the project on different categories of beneficiaries with particular focus on vulnerable group of communities in the project areas

Green Infrastructure for Resilient Livelihoods component implementation: Experience of SLMP-II implementation reveal that women and men were actively participating in physical and biological SWC activities on communal and individual lands and other project interventions; the same approach will be followed in RLLP-I and RLLP-II implementation and no community members will be intended to be excluded. It is obvious that one of the key objectives of this component will be to create benefit streams to the communities in the targeted micro watersheds from increased ecological services and land productivity, mainly through productive use and management of landscapes resources. However the community members who due to age and/health (sickness and impairment) do not have the full physical ability to participate in the Investment in green infrastructure for resilient landscape component activities might be left out from the creation of benefit streams through market based instruments like results-based payments involve the risk of not properly taking into account the elderly, disabled and sick members of the community. Therefore, the project through consultation with the beneficiary communities, devise possible mechanisms on how to make the old, the sick and disabled benefit from the project even when they might not afford to contribute either labor or cash to the project implementation. Operational steps include:

1. Elderly people should be given priority to serve as advisors,

2. People with disability should serve as time keeper,
3. If the household head is sick person (HIV Aids or other chronic illness); member of the household who is able bodied, living together and supporting the family will be targeted and involved in livelihood diversification activities and other paid work.

Watershed community saving is part of the project activities that helps Users' Groups who voluntarily organize themselves to engage in income generating activities (IGA) suitable to their respective environment. In principle membership is open to all members, but the minimum cash contribution and active participation requirement to run the IGA leaves out some members of the community. This involves the risk of further marginalizing the vulnerable groups. Measures for inclusive watershed community and to ensure equitable benefit from the scheme include:-

1. Vulnerable groups should be targeted and priority given for interest free loan,
2. Vulnerable groups should be targeted for IGA input without down payment, etc.
3. Waiver for membership fee or installment based membership and share fee

Note: for detail refer IGA implementation guideline targeting criteria and resource flow sections

Women (Female household heads and married): Experience from SLMP-II indicates that women and men were actively participating in physical and biological soil and water conservation (SWC) activities on communal and individual lands and other project interventions and get some incentives/benefits. In most cases SWC activities are allocated to groups of male and female farmers. Normally the group members are from the same or neighboring villages. Light works such as digging out the soil, compacting soil bund, and transporting seedlings are performed by females. Despite such group arrangements, in some woredas, women are expected to work as much as men in spite of their additional household responsibilities and biological limitations for physically demanding activities. There were also cases in which females found it difficult to balance their triple roles competing for their equal attention: bearing and rearing children, maintenance of household members and domestic work, community managing role and productive role such as treatment of communal lands as part of SLMP implementation. The difficulty of balancing these equally important responsibilities resulted in the risk of losing project benefits in varying degrees.

Therefore, the project, i.e., RLLP will

1. Conduct gender mainstreaming awareness training on division of labour, roles, benefits and participation in sustainable land restoration and water conservation activities
2. Allocating light works; light work could include activities that require less strenuous engagement, such as planting of seedlings, watering, small stone collection leveling bunds, nursery, etc. However, definition of light work should be undertaken in each specific site, together with the community watershed committee members.
3. Establishing and balancing working groups composed of males & females for labor work,
4. Demand driven activities/technologies which reduce female work load, save time and

energy such as (cook stoves, solar lights, bio gas digesters, springs, grinding mills, household woodlots, access road etc.); these activities will be selected based on community demand.

5. Allowing women to come to work 1 hour later, and leave 1 hour earlier at the same wage rate to provide reduction in the workload; allow them with flexible working environment,
6. Giving them a certain number of hours or days off from the minimum required time of labor contribution to the project;

The Land administration and use component: In many rural parts of Ethiopia, women, particularly female household-heads, parentless households, poor and elders are compelled to lease their landholdings to men in sharecropping arrangements. They are forced to do so mostly due to lack of farm capital and farm oxen. A study conducted by the Ethiopia Land Tenure and Administration Program (ELTAP) found that the breach of land transactions and exchange agreements constituted one of the major causes of land-related disputes between farm households.

The findings revealed that women were among the less advantaged community groups who were compelled to temporarily transfer their landholdings through different forms of sharecropping arrangements for lack of capacity and resource to work their plots on their own. The sharecroppers, however, tended to renege on the agreements after a certain period of time. Indeed, they sometimes breach the arrangements and claimed to be the rightful holders, to the extent of registering the land in their own name. SLMP-II addressed this concern by providing training and raising awareness, closes follow-ups, and technical support to ensure that labor-constrained female-headed households, poor people, and parentless households who lease their land in sharecropping arrangements do not unfairly lose their landholding.

Therefore,

1. There should be documented list of vulnerable group living in the targeted micro watersheds which facilitates during implementation for close follow-ups, and technical support to ensure that labor-constrained female-headed households, poor people, and parentless households who lease their land in sharecropping arrangements do not unfairly lose their landholding.
2. RLLP should consider consolidating grassroots institutions such as rural land dispute adjudication and grievance redress structures. Strengthening such establishments plays an important role in making sure that women who lease their land in sharecropping arrangements will not unfairly lose their landholding rights as a result of the breach of agreements in the land registration and certification process.
3. Support the capacity of law enforcement institutions such as courts and local administrative organs on existing laws and land holding certification proclamations, with special attention to vulnerable community group

4. Economically empower FHH and poor women by involving them in livelihood diversification activities and other paid work efforts to enhance women's participation and benefit should focus on targeting more female, for paid work and IGA activities.
5. Conduct close follow ups and technical support by all federal regional and woreda and kebele implementers to ensure equal participation and benefit of vulnerable community group and not adversely affected.

Youth: In RLLP-I and RLLP-II targeted watersheds youth, who are permanently living as members of watershed communities, will be participate and benefit from the interventions of the project. However, the consultation held with communities and woreda technical committee members of SLMP-II woredas/watersheds revealed that youth are more interested in activities that yield fast returns. Consequently, they might not be benefitted from the project as the other community members unless due consideration is given. Therefore, the project implementers should

1. Ensure enhanced consultations with land less and jobless youth to attract and mobilize the youth;
2. Palatable/acceptable activities to the youth such as, forage production, fruit production, seedling production, poultry production based on the regional contexts and within the framework of RLLP, should be identified,
3. Conduct Entrepreneurship training,
4. Technical support and close follow ups.

The table 27 below presents a summary of possible risks, challenges on underserved people and vulnerable group and mitigation measures related to RLLP Project components.

Table 27. Possible risks, challenges and mitigation measures related to vulnerable groups in RLLP/RLLP-II

Component	Potential risks and challenges	Mitigation measures	Responsible body	Required Budget
Component 1: <i>Green Infrastructure and Resilient Livelihoods</i>	Focus on supporting smallholder farmers to scale up & adopt best-fit sustainable land and water management technologies & practices. Hence there is a possible risk/challenge of not properly addressing the circumstances of population groups such as hunters and gatherers, who peruse peculiar livelihood systems and natural resource management strategies.	Devise a mechanism to include "hunters and gatherers" livelihood strategies into the RLLP program. One example is their tradition beekeeping though largely takes the form of forest honey collection, which can be integrated into the RLLP activities, but 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 female friendly.	MoA-PCU	The required budget will be from 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 taking into account the elderly, disabled, 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 disabled 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, the disabled as time keeper, etc.	MoA-PCU	The required budget will be from 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 active participation requirement to run the IGA leaves out some members of the community. This involves the risk of further marginalizing the vulnerable groups.	The project should devise a mechanism (e.g., interest free loan) 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	
	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.		
Component 2: <i>Investing in</i>	Lessons learned from SLMP- II show that inadequate attention to the use of locally	It is highly recommended that locally available social capital such as traditional & indigenous knowledge of	MoA-PCU	The required

Component	Potential risks and challenges	Mitigation measures	Responsible body	Required Budget
<i>Institutions and Information for Resilience</i>	available indigenous knowledge systems and time tested adaptation strategies can undermine the potential positive roles.	land use and natural resources conservation practices for effective implementation of project activities to facilitate and speed up the implementation.		budget will be covered from component 1 and 2
Component 3: <i>Rural Land Administration and Use</i>	The implementation of land administration and certification should not be based on wholesale or universal application in all project woredas. This is because population groups in the historically underserved project woredas watersheds exercise livelihood strategies that require peculiar landholding and land use arrangements from those of smallholder farming communities. However, implementing the component without due regard for these peculiarities may entail a risk that interferes with smooth project implementation.	Care needs to be exercised to make sure that the land administration and use of the project is not implemented on wholesale basis in all project woreda watersheds, and instead takes into account the unique landholding and land use characteristics of the historically underserved population groups in the developing regional states	MoA-PCU	Component 3
	As previous experience shows, there is also the risk of female household heads losing their land that they have leased to sharecroppers, who can register the plots in their name for certification against the terms of the sharecropping agreements.	The Project should consider consolidating grassroots institutions such as rural land dispute adjudication and grievance redress structures. Strengthening such establishments plays an important role in making sure that women who lease their land in sharecropping arrangements will not unfairly lose their landholding rights as a result of the breach of agreements in the land registration and certification process.	MoA-PCU	Component 3 and ESMF capacity building budget

Gender Mainstreaming

Description of the Gender Mainstreaming

According to United Nations Convention to Combat Desertification (UNCCD), the understanding of gender roles and responsibilities in natural resources management is a starting point for reversing environmental degradation. Women manage natural resources daily in their roles as farmers and household providers including the growing of subsistence crops as well as collecting fuel wood and water for the processing and preparation of foods. Despite their close relationship with natural resources, women have less access to and control over them than men do. It is usually the men who use land and its produce and animals for commercial use, which is often valued more than women's use for household food consumption.

Gender consideration is more important in societies where women have limited rights. They lack access to and control of resources, technologies and information, are inadequately represented in community meetings, lack opportunities to express suggestions and opinions in developmental interventions, and are engaged in tiresome household chores and are less empowered for decision making both at household and community levels, as compared to their male partners.

The rationale for considering gender issues in RLLP-I and RLLP-II is that men and women not only play different roles in society with distinct levels of control over resources, but they often have different needs too. It is, therefore, important to treat gender issues as an integrated development strategy to reverse natural resource depletion in general, and combat land degradation in particular. Thus, to address gender inequalities, it is of crucial importance to take into account the particular needs of women in the framework of sustained land management promotion.

Therefore, timely assessment of gender issues in RLLP and taking actions that aim to narrow the gaps between men and women would ensure gender responsiveness of the project. RLLP recognizes gender sensitivity as one of the key indicators for its success, which can be realized through equipping RLLP implementers with the necessary gender mainstreaming skills, procedures, and implementation arrangements, and through its monitoring & evaluation system. To this effect, RLLP-I and RLLP-II will target female and male, young and old, and poor and better-off community members as beneficiaries. No community member in the selected *woredas*/watersheds will be intended to be excluded from the Project.

Lessons from SLMP-II revealed that women and men have actively participated in degraded land rehabilitation including both in physical and biological soil and water conservation (SWC) activities on communal and individual lands. SWC activities are mostly allocated to groups of male and female farmers. Normally the group members are from the same or neighboring villages so that light works such as picking out the soil, compacting soil bund, and transporting seedlings are performed by females. Despite such group arrangements, in some *woredas*, women are expected to work as much as men disregarding their additional

household responsibilities and biological limitations for physically demanding activities. Despite such group arrangements, in some woredas, women are expected to work as much as men disregarding their additional household responsibilities and biological limitations for physically demanding activities. There were also cases where women have facing difficulty to balance their triple roles that compete for their attention: bearing and rearing children.

There were also cases where women have facing difficulty to balance their triple roles that compete for their attention: bearing and rearing children, of household members and domestic chores, community managing and productive role such as treatment of communal lands as part of SLMP-2 implementation. The inability to balance these equally important responsibilities resulted in the risk of losing project benefits in varying degrees. Therefore, in RLLP in order to address the challenge it is necessary to implement some affirmative action's such as providing them with light works, flexible working environment and demand-driven activities which can reduce women's workload and save time and energy.

To scale up the scope of gender sensitivity in the new RLLP/RLLP-II activities, gender assessment has been conducted and gaps were identified in SLMP-II implementing and newly selected woredas/watersheds for RLLP. Consequently, a guideline for the mainstreaming of gender issues in RLLP, a work plan and indicators to track progress are currently under preparation.

Implementation process and modalities for Gender Mainstreaming in RLLP/RLLP-II components

Gender mainstreaming means deliberately giving visibility and support to both women's and men's participation, contribution and benefit explicitly, rather than assuming that both groups will benefit equally from gender-neutral development interventions. The ultimate goal of GM is to achieve gender equality.

Policies, programs and projects that ignore the differential impact on men and women are often gender blind and potentially harmful for human development. Within RLLP context, gender mainstreaming includes identifying gaps in equality through the use of sex-disaggregated data, developing strategies and actions to close those gaps, devoting resources and expertise for implementing equality strategies and monitoring results of development interventions using gender sensitive indicators. In the context of environmental issues, the difference is in beneficiaries' access to and control over environmental resources as well as goods and services

Component one: 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. As stated above Women play an important role in the agricultural sector (livestock and crop production and natural resource management) and have close relationship with them. Therefore, to implement and use the infrastructures and livelihood improvement activities in a sustainable manner, men and women should acquire the necessary skills through subsequent training and awareness.

As such women will be given training opportunities in the different activities (the implementation of sustainable soil and water conservation practices; adoption of climate-smart agricultural practices; and livelihood diversification and linkages to value chains) of this component and will participate fairly during the planning process as per CBPWDG (at least 50% of the participants will be females) like their male partners. The guideline is under revision.

To achieve equal participation of males and females in planning process RLLP will implement activities including, but not limited to, the following:

- Conduct gender awareness training on division of labour, roles, benefits and participation in sustainable land restoration and water conservation activities,
- Implement demand driven activities/technologies which reduce female workload, save time and energy, such as (cook stoves, solar lights, bio gas digesters, springs, grinding mills, household woodlots, access road etc.); These activities will be selected based on community consultation,
- In order to boost women's attendance in consultation with female community members arrange meeting/awareness creation time which will be suitable for them,
- Call /message for meeting should include male and female farmers,
- Ensure equal (50/50) participation of men and women on planning and different meeting,
- To facilitate close follow-ups, and to check/ensure that male and female (FHH and married) are equally participating in watershed planning process there should be documented list of male and female community members living in the targeted micro watersheds. Moreover attendance should be kept, reported and documented to enhance transparency and accountability.

RLLP resources allotted for land restoration and watershed management, Climate smart agriculture, Livelihood diversification and energy efficiency, and connection to value chain at least 50% of the resources will benefit women, i.e., women will access the resources provided by RLLP including: resources allotted green corridors linking fragmented forests, and community roads designed to optimize water-harvesting. Proven SLWM practices include: soil and water conservation infrastructure such as terraces, water harvesting trenches, check dams, small reservoirs, and other civil works; soil fertility and moisture management; assisted natural regeneration, enclosures plus livestock land-use rationalization, intercropping, reduced tillage, gully reclamation, establishment of grazing corridors, watering points and wells, and nurseries management, improved stove, woodlot, carbon financing and in the interventions including poultry, small ruminants rearing and fattening, beekeeping, etc. They will also involve during construction and rehabilitation of communal access roads and paths to nearby markets and introduced to market and result based approaches to environmental management that rewards community members for ecosystem conservation and restoration and snatches the resources.

Experience from SLMP-II indicates that women and men were actively participating in

physical and biological soil and water conservation (SWC) activities on communal and individual lands and other project interventions. In most cases SWC activities are allocated to groups of male and female farmers, however in some woredas, women are expected to work as much as men in spite of their additional household responsibilities and biological limitations for physically demanding activities. There were also cases in which females found it difficult to balance their triple roles competing for their equal attention: bearing and rearing children, maintenance of household members and domestic work, community managing role and productive role such as treatment of communal lands as part of SLMP implementation. The difficulty of balancing these equally important responsibilities resulted in the risk of losing project benefits in varying degrees.

Therefore by considering active participation in the project with male community members, the triple roles they play and to ensure equal benefit of male and female members of targeted watershed intensive gender mainstreaming awareness raising on division of labour, roles, benefits and participation in sustainable land restoration and water conservation activities will be conducted at community and woreda level. RLLP will also implement special provisions which includes:

- Conduct training for male and female (FHHs and married women) on different packages of CSA (conservation agriculture, agro-forestry, compost application etc., physical and biological measures for soil and water conservation, Livelihood diversification and energy efficiency etc. (Note: to boost women's attendance arrange meeting/awareness creation time which will be suitable for them).
- Introduce technologies that contribute towards the reduction of deforestation and greenhouse emissions and reduce the workload of women based on the needs and interest of female farmers,
- Demand driven activities/technologies which reduce female work load save time and energy such as (cook stoves, solar lights, bio gas digesters, springs, grinding mills, household woodlots, access road etc.); these activities will be selected based on community consultation.
- Establishing and balancing working groups composed of males & females for labor work,
- Assigning light works; light work could include activities that require less strenuous engagement, such as planting of seedlings, watering, small stone collection levelling bunds, nursery, etc. However, definition of light work should be undertaken in each specific site, together with the community watershed committee members.
- Allowing women to come to work 1 hour later, and leave 1 hour earlier at the same wage rate to provide reduction in the workload; allow them with flexible working environment,
- Giving them a certain number of hours or days off from the minimum required time of labor contribution to the project;
- In consultation with female farmers identify and promote commodities/ products that have the potential for market development such as vegetables production, fruit production , poultry production, sheep and goat fattening, forage production, seedling production, etc.),

- Documenting list of male and female community members living in the targeted micro watersheds to facilitates close follow-ups, and to ensure that male and female (FHH and married) are equally benefiting from RLLP-I and RLLP-II interventions.
- Efforts to enhance women’s participation and benefit should focus on targeting more female, for paid work and IGA activities.
- Ensure equal (50/50) participation of men, women and FHHs on different packages of land restoration and watershed management and CSA,
- Ensure equal (50/50) participation of men, women and FHHs on different livelihood diversification activities, energy efficiency and connection to value chain.
- Data on female, male, and youth participation and benefit from interventions should be kept, documented and reported to enhance transparency and accountability
- Use different strategies such as home visits, to boost women’s attendance of trainings, awareness raising, meeting and engagement in RLLP.

Component two: Investing in Institutions and Information for Resilience

The objective of this component is to enhance institutional capacity and improve information for better decision-making in supporting resilient landscapes and diversified rural livelihoods in the project area. RLLP will build the knowledge and skill of women, youth, elderly and disabled, and as well as the institutions that were established to satisfy the practical and strategic needs of same. Women will be empowered to attend meetings, share ideas and opinions and qualify for 50% of the leadership positions to enhance women’s decision making independently and jointly. Accordingly, at least 50% of the members of CWT, KWT, KLAC and WUA and committees established to facilitate different interventions including nursery, biodiversity and closure area management will be women. RLLP also facilitates that women take the leadership position for activities that are traditionally recognized as women domain including, livestock production management, rainwater harvesting structures, water users associations, improved cook stoves stove and wood lots development.

RLLP will also promote the establishment of SHG and other formal institutions by women; enhance the capacity of the leaders and implementers to facilitate the identification of gaps at federal, regional, woreda and kebele levels and develop proposals to satisfy the practical and strategic needs of women. Besides of the participants of the training, field and farmers' days and exposure visits, at least 50% will be women to enable them gain and share knowledge and experiences and develop confidence to decide on their destiny. Women will be also involved in KMS and identify indigenous and exotic knowledge, document the best practices and disseminate- scaling out and scaling up of best practices through internet, print and mass media. Therefore, to realize the above mentioned targets RLLP will undertake activities including, but not limited to the following:

- Create a working relationship between RLLP social development specialists and stakeholder gender experts at the Federal, Regional, Zonal, Woreda, Kebele and the community levels,

- MoA will assign Gender focal persons at all level (federal, region, zone, and woreda) who will work closely with the project and could take key roles in supporting, supervising and ensuring implementation of the gender mainstreaming guideline. The Gender focal persons will also engage in building the capacity of grassroots implementers and in preparing regular quarterly reports on the implementation progress, along with identified gaps, challenges and potential mitigation measures.
- Conduct a gender training needs assessment to identify specific needs for different categories of people working on RLLP as well as stakeholders,
- Provide gender awareness training for persons working with RLLP (stakeholders staff) at all levels (community to federal),
- Capacity building/ training for partners and implementers on collecting and analysis of sex-disaggregated information,
- Conduct continuous refresher trainings for grassroots implementers, especially DAs on; Gender and gender mainstreaming concepts, overview of gender issues, provisions and gender sensitive approaches under RLLP, gender considerations in different stages of RLLP, gender disaggregated data in planning and reporting,
- Conduct training on Roles and responsibilities of different stakeholders/ implementers in mainstreaming gender,
- Organize gender mainstreaming training for the planning team,
- To empower women for leadership conduct assertiveness and leadership training for females,
- Ensure equal (50/50) participation of men, women and FHHs on different trainings at grass root level,
- Facilitate and ensure 50% of CWT, KWT, KLAUC and WUA members are women from upper, middle and lower streams.
- 50% of committees established to facilitate different interventions including SWC activities nursery, biodiversity and closure area management water users should be female
- Integrate gender issues in short-term training programs.
- Increase capacity of grassroots implementers on how to mainstream or integrate gender into other RLLP/RLLP-II trainings, rather than giving it as stand-alone training.
- Continuous engagement and trainings for new and existing staff in implementing partners, at kebele woreda and regional level.
- Ensure the mainstreaming of gender concepts in all trainings and avail IEC materials on gender and other trainings in local languages.
- Make and ensure information accessible and communicable to women,
- Identify model women and men (couples and families) where gender relations and decision-making are more egalitarian, to them as “community change agents” in their respective social groups.
- Ensure gender sensitivity of capacity development, information communication, knowledge transfer and documentation,
- Conduct close follow ups and technical support by federal regional and woreda all implementers to ensure equal participation and benefit of male and female community

in targeted watersheds,

- Experience-sharing visits to areas where there are outstanding gender related achievements.

Component three: Rural Land Administration and Use

The Rural Land Administration and Land Use Proclamation No. 456/2005 contain provision on women's equal right to land. In order for women to use land sustainably, they need equal access to land and control over land based resources. Therefore, women will be trained and empowered as member, and take the leadership position in land administration and certificate, and land use plan committee, i.e. 50% of the members should be women. The committee will be involved in formulating plan and budget, measure land, delineate boundary and verify the size and type of land owned by individuals, community and organizations, and also take the responsibility to facilitate cadastral surveying, mapping, registration and certification, properly record and keep documents concerning rural land administration, give ear for grievance and complaints and mediate/arbitrate conflicts arises between the users. Strengthening such bodies is critical because it ensures that women, parentless HHs and elders who rent their land in sharecropping arrangements will not unfairly lose their landholding rights as a result of the breach of agreements in the land registration and certification process. Moreover, to facilitate its implementation

- Target men and women in married HH and female household heads to create awareness on the importance of equal land use rights and tenure (holdings) between men and women.
- Assesses and identify list of vulnerable group in the micro watershed and document for close follow ups and ensure not adversely affect the group.
- Ensuring equal participation of women in trainings opportunities that will enable them to utilize their land resources effectively.
- Economically empower FHH and poor women by involving them in livelihood diversification activities and other paid work.
- Target more women through trainings on improved vegetable production, potato production, spices planting, coffee planting and bee keeping etc. for improved land use.
- Promote the best legal measure in land certification of polygamous households, which is to divide the plots equally among all spouses, and prepare separate certificates for each wife together with the husband.

Support the capacity of law enforcement institutions such as courts and local administrative organs on existing laws and land holding certification proclamations, with special attention to areas where polygamy is practiced.

Component four: Project Management and Reporting

Women will be empowered to involve in RLLP-I and RLLP-II interventions from the idea generation all through implementation and monitoring and evaluation of RLLP, as well as decision making 50% of the decision makers (CWT, KWT, and KLAUC) will be women

in addition if there are female expertise in relevant positions for RLLP woreda and regional technical committee members 50% will be female. That is, women qualify as a member and leaders during the planning of RLLP interventions, monitoring and evaluation. RLLP will take a responsibility to ensure that the gender responsive monitoring and evaluation system is in place. Therefore, RLLP provides the maximum attention to facilitate gender responsive planning implementation and, monitoring. Moreover, to ensure gender equality accountability mechanism includes, but not limited to, the following:

- RLLP implementers ensure the implementation of gender equality in their respective mandated responsibility, i.e. gender issues are considered during planning, implementation, monitoring and evaluation.
- Include Gender mainstreaming in the ToR of all RLLP staffs at all levels
- Ensure community members (ultimate beneficiaries) are equipped with the necessary awareness and capacity for gender mainstreaming and follow up
- Adequate budget for addressing gender issues will be allocated in each year annual work plan,
- Planning and reporting formats and result based framework indicators should be gender responsive and incorporate sex disaggregated data, and
- Capacity building packages of RLLP take into consideration, the empowering of women economically and indecision making.
- Assign Gender focal persons who could take key roles in supervising and ensuring implementation of the gender mainstreaming guideline. The Gender focal persons will engage in building the capacity of grassroots implementers and in preparing regular quarterly reports on the implementation progress, along with identified gaps, challenges and potential mitigation measures.
- Experience-sharing visits will be facilitated to areas where there are outstanding gender related achievements

Note: for the details please refer RLLP Gender Mainstreaming Guideline annexed and the gender action plan presented below:

Table 28. Gender action plan for RLLP/RLLP-II

Activities	Indicators and targets	Timeline	Responsibilities	Costs
<p>Impact Statement: Increased climate resilience, land productivity, carbon storage and diversified livelihoods of women and men, including poor and female headed households in selected rural watersheds</p>				
<p>Outcome Statement: Improved access to livelihoods opportunities, information, technology and resources to community members in 153 major watersheds, of which 50% are women and female-headed households.</p>				
<p>Component 1</p>				
<p>Out Put 1: Higher participation of both men and women in sustainable land restoration and water conservation practices</p>				
<ul style="list-style-type: none"> • Conduct Gender analysis (Collect, analyze and profile gender norms, customs and values to determine beliefs, perceptions and stereotypes relating to differences between women and men in relation to the program components) • Conduct gender awareness training on division of labour, roles, benefits and participation in sustainable land restoration and water conservation activities • Strengthen implementation practices to ensure female and male representation in planning, implementation and monitoring activities • Gender sensitive information, education and communication (IEC) materials disseminated to guide implementation of gender dimensions of the project • Conduct experience sharing between regions on best practices on gender mainstreaming and women’s empowerment, • Identify model women and men (couples and families) where gender relations and 	<ul style="list-style-type: none"> • One Gender Analysis Report and baseline data • Increased participation of women, FHH Target group or project beneficiaries to 50%, in sustainable land restoration and water conservation activities • Increased membership of women in different committees such as Community Water Shade Teams (CWT) or Water User Associations (WUA), Kebele Watershed Team (KWT) Kebele Land Administration and Use Committees (KLAUC) to 50% • Number and type of IEC materials produced and disseminated • Number and percentage of women and men who receive training provided by RLLP, by type of training • Number of experience sharing visits by year • Number of model couples identified and engaged 	<ul style="list-style-type: none"> • By 2019 • By year 2023 • By 2020 • 2019 -2023 • 2019 -2023 	<ul style="list-style-type: none"> • Federal Project Coordinating Unit (PCU) at the Ministry of Agriculture • Regional Project Coordination Unit of Bureau of Agriculture (BoA) of the 6 regions • Woreda Agricultural Development Offices • WB • Consultant 	

Activities	Indicators and targets	Timeline	Responsibilities	Costs
decision making are more egalitarian; and engage them as “community change agents” in their respective social groups,				
Out Put 2 Higher participation of both men and women in improved and Climate Smart Agricultural practices				
<ul style="list-style-type: none"> Introduce technologies that reduce time and labour of women farmers and FHHs, including solar light, solar mills, solar cooking stoves Train men, women & FHHs on different packages of CSA (Conservation Agriculture, Agro-Forestry, Compost Application, biological measures for soil and water conservation) Conduct experience sharing between implementing regions on women technology adaptation and promotion. 	<ul style="list-style-type: none"> Number of technologies introduced to reduce the time and labor of women farmers Percentage change in crop yield per hectare as a result of CSA intervention disaggregated by male or female-headed households Number of experience sharing visits by year 	<ul style="list-style-type: none"> 2019 -2023 2019 -2023 2019 -2023 	<ul style="list-style-type: none"> Federal Project Coordinating Unit (PCU) Regional Project Coordination Unit Woreda Agricultural Development Offices 	
Out Put 3: Higher participation of both Men and Women in SHG, local Value Chain & other Agri-business initiatives				
<ul style="list-style-type: none"> Carryout gender sensitive value chain analysis & mapping of gender roles, relations and challenges along the Value Chain of identified products, as well as the market barriers to entry Identify and promote commodities/products that have the potential for market development (such as vegetables and fruit farming, poultry production, shoat fattening, forage production, apiculture etc.) 	<ul style="list-style-type: none"> One value chain analysis, which is gender sensitive and maps out gender roles 50% of livelihood clients and SHG members participating in functional income generating associations as a result of the project are female & female headed households 	<ul style="list-style-type: none"> 2019-2020 2019 -2023 	<ul style="list-style-type: none"> Federal PCU Regional PCU Regional Cooperative Promotion Offices Woreda Cooperative Promotion Offices TVET, Small and Micro enterprises, Micro Credit Associations etc. 	
Out Put 4: Gender Sensitive Technologies that are accessible and affordable to both men and women				
<ul style="list-style-type: none"> Introduce technologies that contribute 	<ul style="list-style-type: none"> Numbers or percentages of Women and 	<ul style="list-style-type: none"> 2019 -2023 	<ul style="list-style-type: none"> Federal Project 	

Activities	Indicators and targets	Timeline	Responsibilities	Costs
towards the reduction of deforestation and greenhouse emissions and reduce the workload of women based on the needs and interest of female farmers	<p>FHHs who have access to and use of gender sensitive technologies in the project area (including energy, labour and time saving cook stoves, bio gas digesters, etc.)</p> <ul style="list-style-type: none"> Number of SHGs that engage in the production and marketing of improved cook stoves 		<p>Coordinating Unit (PCU)</p> <ul style="list-style-type: none"> Regional PCU Bureau of Water, Irrigation & Energy 	
Component 2:				
Out Put 5 Building the Capacity of Institutions Implementing the Project for Mainstreaming Gender Issues				
<ul style="list-style-type: none"> Conduct participatory gender audit process (including the organizational culture and the presence of sufficient human resources to carry out gender-related activities and mainstreaming) in RLLP implementing institutions Strengthen the capacity of implementing institutions (provide trainings & refreshers) to ensure equitable benefits to women and men 	<ul style="list-style-type: none"> Gender Audit Report (1) Number of gender specialists or gender focal persons hired at different levels (Regional level) Number and percentage of women and men staffs or service providers who received training provided by RLLP, by type of training 	<ul style="list-style-type: none"> By year 2020 By year 2019 2019 -2023 	<ul style="list-style-type: none"> Consultant Federal PCU WB Regional PCU WB 	
Component 3:				
Output 6: Improve women's entitlement to land and enforce land certification proclamation				
<ul style="list-style-type: none"> Create awareness on the importance of equal land rights and tenure (holdings) between men & women to reduce gaps between land certification proclamation and its enforcement, with special attention to areas where polygamy was practiced such as Gambella, Benishangul Gumuz and parts of Oromia Support the capacity of law enforcement institutions such as courts 	<ul style="list-style-type: none"> Equitable (50%) participation of women and men in awareness programs on equal land rights and holdings Number or percentage of females, FHH and males holding second degree land certificate No of law enforcement officials sensitized or trained on land certification 	<ul style="list-style-type: none"> 2019 -2023 2019-2023 2019 -2023 	<ul style="list-style-type: none"> Federal Project Coordinating Unit (PCU) Regional Project Coordination Unit Woreda Agricultural Development Offices 	

Activities	Indicators and targets	Timeline	Responsibilities	Costs
and local administrative organs, on existing laws and land certification proclamations, with special attention to areas where polygamy was practiced such as Gambella and B/Gumuz				
Component 4				
Output 7: Enhanced gender perspective in program design, implementation, monitoring, evaluation & reporting				
<ul style="list-style-type: none"> Capacity building/ training for partners and implementers on collecting and analysis of sex-disaggregated information Develop and disseminate simple gender responsive reporting format that includes both quantitative and qualitative analysis of periodic implementation reports Update SLMP PIM to integrate gender provisions and tools for improved implementation practices at the grassroots levels 	<ul style="list-style-type: none"> No of implementers sensitized or trained on gender sensitive project design, implementation, monitoring and evaluation Gender sensitive M& E framework Number of periodic gender sensitive reports (sex disaggregated data presented) Number of supervision visits Updated PIM (one) Reviewed Electronic Planning and Reporting System (PRS) for gender responsive reporting, 	<ul style="list-style-type: none"> Sex-disaggregated baseline Information in 2018 Revised PIM (2019) RLLP Mid Term Gender Impact Assessment Report by 2021 RLLP Final Evaluation Reports by the end of project 	<ul style="list-style-type: none"> Federal Project Coordinating Unit (PCU) at the Ministry of Agriculture Regional Project Coordination Unit of Bureau of Agriculture (BoA) of the 6 regions where the project is implemented Woreda Agricultural Development Offices WB Consultant 	

Grievance Redress Mechanism (GRM)

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.

RLLP Grievance redress mechanism (GRM)

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

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

regional PCU experts and a mechanism has been put in place by the project to address unforeseen events. Therefore, a transparent Grievance Redress Mechanism (GRM) with credible process has been established in all project watersheds.

The GRM guideline includes the procedures, focal persons, and time frame at each level of administrative hierarchy. Awareness creation training was given to responsible woreda experts of stakeholder offices, Development Agents (DA). Communities are aware of the mechanism (their rights, where to apply) and any person within targeted watershed who had complaints regarding the activities of the project during preparation/designing, implementation and operation phases had access to the mechanism and get responses. According to SLMP-II experience; common cases of complaints are targeting for IGA, targeting for SWC activities on communal land and payment is not according to my work. Therefore as the mechanism already operational in SLMP-II watersheds will continue to serve the same purpose in newly added woredas during the implementation of RLLP. Yet documented appealing and redress needs to be strengthened by RLLP.

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

The MoA/RLLP-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, to raise issues, feedback and complaints about the effects of RLLP activities implementation/performance. Complaints can be communicated in written form using the standard complaint form to community watershed team. All received complaints and responses given should be documented and copies sent to kebele watershed team.

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

i) Scope of GRM

The scope of the issues to be addressed in RLLP-I and RLLP-II Grievance Redress Mechanism (GRM) will be all complaints arising from RLLP activity implementations. Any person within RLLP- I and RLLP-II targeted watershed who has complaints regarding the activities of the RLLP subprojects during preparation/designing, implementation and operation phases shall have access to the Mechanism.

ii) Access to GRM

The MoA/RLLP National PCU in collaboration with concerned regional and woreda (Bureau of Agriculture and Woreda office of Agricultural) will make the public aware of the GRM through awareness creation forums, training and capacity building. Any person who has complaints regarding the activities of the RLLP subprojects during preparation/designing, implementation and operation phases shall have access to the Mechanism. Contact details in support of the Mechanism will be publicly disclosed and posted in the offices of concerned woreda offices, Kebele administration, kebele development centers/agriculture office and Farmers Training Centers (FTC). These will also be incorporated in the RLLP information materials (e.g. reports, magazines, brochures, flyers and posters).

iii) Grievance Investigation and Resolution Process (GIRP)

The MoA/RLLP NPSU in collaboration with its regional and woreda counter parts will strengthen the established GRM that allows any person, who has complaints regarding the activities of the RLLP, to raise issues, feedback and complaints about the effects of RLLP/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. All received complaints and responses should be documented and copies sent to kebele watershed team, kebele administration and woreda agriculture office. 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. To this effect, a GRM with clear timeline and responsibility is required at different levels so as to be transparent, accountable and responsive. Accordingly, the steps of the GIRP at each level are outlined as follows.

iv) Structure, Steps and Timeframe

A) Grievance Investigation and Resolution Process (GIRP) at community watershed team level

Step 1: Complaint Form will be completed by any interested person or complainant and submitted to the community watershed team,

Step 2: The community watershed team will review, investigate and discuss on the issue and resolve the matter within three days from the date of application is received. The decision will be provided in written form to the complainant. All meetings/discussions will be recorded, documented and copies of the minutes will be sent to kebele watershed team.

Step 3: Based on the decision made, the community watershed team will act accordingly.

Step 4: If the complainant is not satisfied by the response given by community watershed team or if no response is received from the community watershed team within three days after the registration of complaint, the complainant can appeal to the traditional grievance redress institution.

B) Grievance Investigation and Resolution Process (GIRP) at the traditional grievance redress institution Level

Traditional grievance redress institution could be initially formed for other/different purpose but they also deal with addressing different grievances arising within the community; such institutions could be “*Idir*”, “*Sirit*”, “*Ofosha*”, “*yeakababi Shemagele*”... depending on the locality.

Step 1: Appeal form will be completed by any interested person or complainant and submitted to traditional grievance redress institution (chairperson or facilitator depending in specific locality).

Step 2: The facilitator or chairperson of traditional grievance redress institution will organize a meeting for the committee members and will review and resolve the complaint within seven days of receiving the appeal or complaint. All meetings will be recorded and filed. (Copies of the minutes of meetings will be provided to kebele Agriculture office (Development Agent), kebele administration and other concerned stakeholders.

Step 3: If the complainant is not satisfied by the response given by traditional grievance redress institution or if no response is received within ten days, the affected persons can appeal to the kebele watershed committee.

C) Grievance Investigation and Resolution Process (GIRP) at the kebele watershed team level

Step 1: Appeal form will be completed by any interested person or complainant and submitted to kebele watershed team,

Step 2: The kebele watershed team based on the appeal or complaint received from complainant and document which is transferred from traditional grievance redress institution will review and further investigate. If the decision given at traditional grievance redress institution level is appropriate, the KWT will approve it; otherwise if the appeal is valid, the team will resolve the issue within seven days from the date the application was received. The decision will be provided in written form to the applicants and also copies will be sent to CWT and to woreda agriculture office. All meetings will be recorded and filed;

Step 3: If the complainant is not satisfied by the response given by kebele watershed team or if no response is received from the kebele watershed team within seven days after the registration of complaint, the complainant can appeal to the woreda Agriculture office.

D) Grievance Investigation and Resolution Process (GIRP) at the woreda level

Step 1: Appeal form will be completed by any interested persons or complainant and submitted to Resilient Landscapes and Livelihoods Project (RLLP-I and RLLP-II) focal person at Woreda Agricultural Office.

Step 2: Based on the appeal or complaint received from complainant, the (RLLP-I and RLLP-II) focal person at Woreda Office Agriculture (WoA) records the issues in the registry, assess the appeal or the grievance and will organize meeting(s) for a woreda steering committee. The woreda steering committee will review the decision given at kebele watershed committee level and endorse it if it is appropriate otherwise if the appeal is valid, the woreda steering committee will resolve the issue and give final decision within two weeks (14 days) of receiving the appeal or complaint. The decision should be provided to the applicant in written form. All meetings will be recorded and copies of the minutes will be provided to all concerned stakeholders. The application form is attached in Annex.

Processes and procedures of safeguard management

PROCESS: The Resilient Landscapes and Livelihoods Project (RLLP-I and RLLP-II):-

- Will ensure transparency and access to information; encouraging policy dialogue and strategic thinking around resilient landscape management issues emerging from RLLP implementation; increasing coordination among the Bank, relevant government agencies and implementing units at all levels; and enhancing consultation and feedback at grass root level.
- will promote community level infrastructure, RE and EE technologies and income generating activities in its Investment in Green Infrastructure for Resilient Watersheds component aimed at creating resilience to the landscape at the community level, RLLP will also continue to be supportive of community mobilization and communication to sensitize the affected communities on how they will work to reduce water flow from the upper watershed,

assist/guide them to organize into groups to effectively manage the watershed and monitor the treated communal lands and gullies.

- will proactively link livelihood activities to local conditions of the participating communities and would assist them in developing income generating activities in environmentally friendly, culturally appropriate and socially sustainable manner.
- will ensure that the community level planning of RLLP/RLLP-II interventions target the poor and underserved people through employing participatory methods to develop and implement programs that best match local needs and demand. Moreover, benefit sharing will be operational through distributing RLLP benefits appropriately among different stakeholders through greater social inclusive process and in socially sustainable manner to provide a large number of development benefits to local communities, particularly for the historically underserved.
- will support capacity building of local staff on cultural sensitivity of community members to redress incidences that could cause social conflicts arising from the implementation of RLLP activities. Specifically, RLLP will strengthen the existing traditional conflict resolution mechanisms; will establish an independent grievance redress mechanism (GRM) for the newly added RLLP targeted woredas and strengthen GRM in the existing woredas that explains how local implementers are addressing any citizen's complaints or grievances in a formalized, transparent, cost-effective and time bound manner. All RLLP-Affected People (PAPs) will be informed about how to register grievances or complaints.

PROCEDURES: The primary responsibility to conduct the screening of sub-projects rests on the project implementing bodies at community, kebele and Woreda levels and the regional PCU is responsible for facilitating in implementing the RLLP ESMF, SA, and RPF and RLLP-II environmental and social standards. During sub-project selection by communities, the Development Agents have to check whether the identified sub-projects fall into the categories that are not eligible financing under RLLP/RLLP-II activities. Such sub-projects may include 1) those that may cause damage to physical and cultural resources; 2) those that may involve construction of reservoir dams that are above 4.5 meters; 3) those that may potentially affect the quality or quantity of water or a waterway; 4) those that require involuntary land acquisition; 5) those that require physical relocation of people; 6) those that require restriction of access to assets; and 7) those that affect underserved people and vulnerable groups, etc.... The DA will screen/design/plan subprojects applying a simple checklist (table 28 below) as a format for fast track eligibility checking of identified sub-projects. This is done in consultation with the communities and kebele watershed team 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 Coordinator (WFC), woreda implementing office, and regional project support unit will ensure and document such procedures are properly followed. And a team led by experts from the woreda environmental regulatory body will review the screened subproject and the mitigation measures planned. Based on this, the environmental regulatory body at woreda level will give clearance and/or certificate of subprojects. On the other hand, if any design modifications are required, the environmental regulatory body passes recommendations either to approve or reject the subproject. The Woreda Steering Committee will then approve plans based on the recommendations of the team. After approval, the plan document is referred to the regional Bureau of Agriculture (BoA) with all the accompanying environmental and social screening documents/files.

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

Step (i): Subproject Identification and eligibility check

Sub-projects that are not eligible under the RLLP can be reviewed and checked by DAs at the Kebele against any of the features mentioned in the checklist provided in Table 29 below. This simple checklist can be used by DAs as a format for fast track eligibility checking of identified sub-projects.

Table 29. Checklist for sub-project eligibility screening at kebele level by DAs

	Yes	No
Will the sub-project:		
Cause involuntary displacement of people or social disturbances, involuntary loss of assets/property OR access to assets		
The Bank does not provide specific categorization criteria relating to OP 4.12, Involuntary Resettlement. Generally, projects with significant resettlement-related impacts should be classified as Category A. Application of judgment is necessary in assessing the potential significance of resettlement-related impacts, which vary in scope and scale from project to project. Projects that would require physical relocation of residents or businesses, as well as projects that would cause any individuals to lose more than 10 percent of their productive land area, often are classified as Category A. Scale may also be a factor, even when the significance of impacts is relatively minor. Projects affecting whole communities or relatively large numbers of persons (for example, more than 1,000 in total) may warrant classification as Category A, especially for projects in which implementation capacity is likely to be weak.		
Involve removal or conversion of forests and other natural resources		

	Yes	No
Will the sub-project:		
A project with the potential for significant conversion or degradation of natural forests is classified as Category A. 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.		
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 is classified as Category A if the screening indicates the potential for significant conversion or degradation of critical or other natural habitats. <i>Significant conversion</i> 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). <i>Degradation</i> is modification of a critical or other natural habitat that substantially reduces the habitat's ability to maintain viable population of native species.		
Involve land use changes such as drainage of wetlands and cultivation		
Affect physical and cultural resources (historical, religious, archaeological sites and monuments)		
Physical Cultural Resources, as defined under OP 4.11, are movable or immovable objects, sites, structures, groups of structures, and natural features and landscapes that have archaeological, paleontological, historical, architectural, religious, aesthetic, or other cultural significance. A project that will likely have significant adverse impacts on PCR is classified as Category A.		
Involve construction of dams more than 4.5 meters		
Cause any loss of biodiversity		
Check threats to biodiversity, for example habitat loss, degradation and fragmentation, invasive alien species, overexploitation		
Affect any vulnerable or underserved groups		
Disadvantaged or vulnerable refers to those who may be more likely to be adversely affected by the project impacts and/or more limited than others in their ability to take advantage of a project's benefits. Such an individual/group is also more likely to be excluded from/unable to participate fully in the mainstream consultation process and as such may require specific measures 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 CC or on the people in a CC (because it is located inside a CC or close enough to a CC)		

If the sub-project has 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 location. Otherwise, if the answer is "no" just proceed to the next step.

Further screening of sub projects (Guidance for WTC)

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

The subprojects should not be financed and implemented by the Woreda IAs unless ESC is obtained from the Woreda environmental regulatory body or regulatory office. The finance section/unit of the Woreda IAs should not process any payment without the 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 Woreda TC & Environmental regulatory expert)

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

Table 30. Screening sub-projects requiring special attention

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

Agricultural sub-projects may introduce high value crops and new varieties, which may require introduction and increased use of agro-chemicals including pesticides and fertilizers. Land

rehabilitation, water harvesting structures, community pond construction, access road construction, afforestation and reforestation sub-projects may involve voluntary land acquisition and loss of assets or minor 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 as part of ESMP.

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

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

Table 31. 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 to 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, vulnerable groups, ethnic minorities?		
Cause involuntary land acquisition and resettlement/physical relocation?		
Cause voluntary land acquisition and resettlement/physical relocation?		

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

For such subprojects, i.e. sub-projects of environmental and social concern, a checklist of potential impacts and level of adversity shown in Table 4 (below) can be used to judge if the sub-projects should be modified to avoid and mitigate the impacts or should be referred for further environmental and social analysis because of complex or unknown impacts. The table can be used by checking/ticking (✓) the approximate degree of adversity (none, low, medium, high and unknown).

The table below helps (i) to determine what to do after filling the impact rating checklist and (ii) to describes further actions need to be taken at this stage before proceeding to the next level based on the results. The format indicated in Annex5 can be used for reporting purposes. A Guiding Note prepared for SLMP-II to identify and rate subprojects can be used for RLLP as well. This guiding note, *“issue of addressing Moderate and Significant Environmental and Social Impacts for RLLP/RLLP-II Subprojects”*, is found in the main ESMF document.

Table 32. Checklist of potential impacts and level of adversity for sub-project screening

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

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

management plan (SMP), RPF, in Annex 8 and/or from the Community Based Participatory Watershed Development Guideline (MoA, 2005). Those sub-projects likely to have ‘high’ adverse impacts and ‘unknown’ impacts should be tagged as ‘sub-projects of environmental and social concern’ before referring the plan for approval.

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

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

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

Step iv: Review of notified sub-projects: Guidance for the regional environmental regulatory body

The regional environmental regulatory body experts conduct review of the sub-projects taking into account that most sub-projects may not necessarily need a full scale ESIA since RLLP is a category B project; those sub-projects tagged as ‘sub-projects needing special attention’ are already identified. The subprojects are identified following the special procedures and guidelines referred in Annex3.

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

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

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

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

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

The ESMP should include both environmental and social management measures and it should be based on the result of screening and technical information about the proposed subproject (i.e. the type, scale, and extent of the subproject). An Environmental and Social Management Plan (ESMP) consists of the set of environmental and social negative impacts, mitigation, monitoring, and institutional measures to be taken during implementation and operation phases to eliminate these adverse impacts, offset them, or reduce them to acceptable levels. The plan also includes the actions needed to implement these measures. The RLLP-I is a category 'B' project and RLLP-II is classified as substantial and sub-projects may not require a full scale ESIA. However, environmental and social management plan might be an appropriate instrument to prevent, minimize, mitigate or compensate for adverse impacts. Moreover Social management plan (SMP) which includes identified social adverse impacts, mitigation measures, responsible implementing body and required budget (social assessment report) should be followed to avoid, minimize and or mitigate adverse social impacts with special focus on underserved people and vulnerable group. The impacts and the measures identified in the ESMP and SMP should be consistent with the findings of the screening

results and with the subproject type, scale and design. It also serves as a pertinent instrument to guide the subproject proponents and other implementers to implement effective mitigation measures, design, and conduct sound environmental and social monitoring program.

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

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

The ToR for the ESIA should be prepared by experts from offices of the implementing agencies and reviewed by environmental regulatory body experts together with the review report. The ESIA report should consist of description of the sub-project (with location), the environmental baseline, social assessment, the anticipated impacts, mitigating measures, and recommendations for implementation and monitoring of the mitigating measures. Reference for mitigation measures can be made in ESIA guidelines prepared by the former FEPA, SA (SMP), RPF and CBPWD guidelines prepared by MoA and in this ESMF.

Step (vii): Reviewing the ESIA Report: Guidance for the Regional environmental regulatory body

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

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

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

Capacity building and technical support on safeguard activities

The Sustainable Land Management Program (Phase I and II) did a number of training and awareness creation sessions at federal, regional, zonal, woreda, kebele and community level on ESMF, SA, RPF and GMGs. However, due to many reasons: high turnover of staffs of sector offices who were supporting the program at all levels, reshuffling of experts from woreda to woreda, promotions, and others trainings on the safeguard instruments should be strengthened in the existing woreda and be given in the newly RLLP targeted woredas.

At kebele and community level: As it is said above, the primary responsibility to identify and then to implement the project interventions rests on the project implementing bodies at community and kebele levels. The different institutions and their members at kebele and community level, i.e. CWT, KWT, SHGs, and others will get skill development (on environmental and social safeguard) trainings on the different environmental and social safeguard activities, subproject identification and screening, types of impacts and their mitigation measures, their role in the planning and implementation of subprojects, etc. will be done in more integrated and focused manner.

At woreda level: The capacity building works will give due emphasis to Woreda Steering Committee, Woreda Technical Committee, woreda and kebele level experts on the different safeguard instruments and their implementation, approval and clearance of project interventions, the World Bank safeguard policies, identification and planning of site specific environmental and social impacts with their possible mitigation measures, monitoring of implementation of mitigation measures, reporting mechanisms, etc.

Regional level: Trainings will be given to experts at regional level sector offices (Environment, road, water, gender, cooperatives, and others) who play a significant role in the overall implementation of the project ESMF. Especially, for subprojects of high and unknown impacts (which are sent to regions for further screening) regional counterparts need to get trainings on the methodologies of ESIA, undertaking the ESIA, reviewing the ESIA, approving and rejecting subprojects, roles and responsibilities of regional sector offices etc.

Federal level: Staff of the PCU at regional and federal level will be provided training to enable adequate support to and oversight of the implementation of safeguard instruments of the project. Areas of the training includes, among others, environmental and social auditing, updated environmental and social safeguard policies of the WB, scale up and compilation of best practices on the subject matter, exposure visits, safeguard management plan and implementation works, monitoring and evaluation skills and guidelines, etc. The training will be given by a consultant either in the country or in other countries (foreign countries) having best experience in environmental and social safeguards works. Technical assistance and backstopping support will be strengthened by federal, regional program coordination unit staffs and other stakeholders.

Environmental and Social safeguard and gender reporting requirement

The RLLP/RLLP-II Woreda Focal Coordinators will submit quarterly and annual performance reports to BoA, Regional Project Coordination Unit. 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 National PCU. Based on the regions report, the NPCU environmental and social safeguard specialists compile and prepare a report and submit to (1) Plan Preparation Directorate (PPD) of the MoA through the M&E system, and (2) the development partners on quarterly bases including annual reports. The RLLP quarterly reporting requires covering, environmental safeguards, social development plan, land acquisition and voluntary land donation, and gendering action plan. While the following paragraphs provide general content of the reporting, the specific element of each section is included in the environmental and social safeguard reporting template where the formats are annexed in the main ESMF document.

Environmental Safeguards: the environmental safeguards reporting should provide the various aspects of screening of sub projects, ESMPs prepared, implemented, community consultation on environmental issues, categorization of subprojects, trainings and awareness creation (gender disaggregated), monitoring of the mitigation measures, technical support and backstopping activities done, etc. In addition, data will be collected on the environmental benefits so far obtained from the different seedlings distributed to treat and conserve and/or rehabilitate the degraded lands, ecosystem services and others.

Social Development Plan: RLLP has a social development plan which has component based proposed mitigation measures for potential impacts and risks. The social development plan reporting should include issues such as, inclusive community consultation and participation, vulnerable

groups (people with disability, elderly, women headed households), grievance redress mechanism and equitable benefit/participation of youth in RLLP activities.

Land Acquisition related (including Voluntary Land Donation): this section should provide the scope of land take, nature of land take, compensation methods (in kind or cash), and documentation.

Gender Action Plan: the RLLP will ensure progress reporting towards the impact indicators defined in the gender action plan. These include, equitable participation of men and women in SLM, CSA, livelihoods, and value chain activities with an emphasis on gender sensitive technologies that save women labor and time, and protect their health (such as cook stoves, solar lights); (ii) capacity building activities (training, awareness and empowerment) of implementing entities to ensure implementation of the gender action plan; improvements on entitlement and land holding and enforcement of women's land rights; and involvement and satisfaction level of women in RLLP activities planning, implementation, monitoring and annual audit reports of the gender outcomes.

Monitoring & evaluation of environmental and social safeguard

Monitoring of environmental and social safeguard performance of the project will be conducted aiming to ensure that:

- 1) Safeguards instruments are prepared and approved to the required standard, and
- 2) Proper implementation of ESMF, SA, RPF and GMGs.

A number of environmental and social monitoring indicators and parameters can be used to track the performance of RLLP/RLLP-II (Detail indicators exist in the main RLLP-I and RLLP-II ESMF documents). While the implementation of ESMP is done by the community at kebele level with the coordination of the woreda implementing offices, performance monitoring will be done by the RLLP-PCU environmental and social safeguard specialists (of national and regional level) together with other staffs, partners and stakeholders. The monitoring will be done on quarter and annual bases.

Quarter and annual reviews workshops will also be held at regional and national level with the aim of enhancing (a) the positive performances of ESMF, SA, RPF and the Gender Mainstreaming Guideline; (b) identifying bottlenecks and gaps in implementing the safeguard instruments and (c) proposing solutions in addressing the gaps. Environmental and social risk management auditing will be done either by the RLLP concerned specialists (both federal and regional), by environmental regulatory body offices either at regional, zonal and/or woreda level or by independent consultants to be recruited by the development partners. This auditing will be conducted twice in the program life, i.e. during Mid Term period and during completion period of the project.

Table 33. Methods need to be used to address the mitigation measures

Name of subproject	Types of negative impacts	Possible mitigation measures	Methods used to address the mitigation measures
Construction of Water harvesting structures (HDW and SD)	<ul style="list-style-type: none"> • Risk of erosion and flooding to downstream areas, • Development of salinity due to mismanagement of water and irrigated land, • Competing claims over water use and conflicts, • Increased use of agro-chemicals and pesticides leads soil, air, ground and surface water pollution, • Reservoirs (small dams) become breeding place for disease vectors (malaria), • Involuntary land acquisition, • Risk of land clearing and biodiversity loss, • Impacts on physical cultural resources, • Destruction of natural habitats through land clearing for cultivation, 	<ul style="list-style-type: none"> • Careful design and installation of canal structures so that excess flows will be directed to natural waterways, • Adopt or promotion of the use of IPM for pest and weed control, • Carry out assessment study on water demand and availability, • Promote the use of organic fertilizers, • Use only prescribed and standard agro-chemicals (avoid unpermitted chemicals that are classified by WHO), • Conduct social assessment and prepare RAP, • Apply water efficient technologies and techniques, • Provide alternative designs and locations, • Avoid if sub-projects directly affect physical cultural resources, destruct natural habitats, inflict deforestation, or cause biodiversity loss, • Plant mosquito repellent tree and shrub species around water ponds, • Compensate for loss of land, livelihoods or economic benefits. 	<ul style="list-style-type: none"> • Training of regional, zonal and woreda experts, and kebele DAs on issues on Water Harvesting Structures, • Conduct at least two workshops for both upstream and downstream beneficiaries once in a year, • Awareness creation to (at least 50 – 60%) the beneficiaries of both the upstream and downstream community, • Develop/strengthen/update and implement bylaws, i.e. WUAs, • Make RAP and IPMP an integral part of ESMP (if), • Aware designers and/or contractors, • Visit the construction works in a team (WTC), • Avoid the program activities intervening in natural habitat and sensitive areas, • Visit at least two times during construction time to follow the implementation of environmental and social clauses of the infrastructures, • Produce mosquito repellent trees in the central nursery,
Construction and rehabilitation of community access roads and path	<ul style="list-style-type: none"> • Road side erosion and initiation of flooding and gully erosion in agricultural fields, • Roads may cross and cause destruction of natural habitats and forests, • Disturbance to ecologically important habitats, cultural, religious and historical sites or resources 	<ul style="list-style-type: none"> • Apply road drainage guidelines and include standard road side stabilization activities as part of the design, • Chanel road spillways to natural waterways, • Rehabilitate quarry sites with natural vegetation, shaping and refilling, and avoid creation of standing water, • Avoid disturbance to cultural or religious sites. Unavoidable incidences must be agreed with stake 	<ul style="list-style-type: none"> • Close supervision of the construction and rehabilitation work closely during construction, • Provide ecologically beneficial trees in the quarry sites, • Organize at least one workshop during planning stage that encompass religious leaders,












Name of subproject	Types of negative impacts	Possible mitigation measures	Methods used to address the mitigation measures
	<ul style="list-style-type: none"> • Loss of biodiversity through cut and fill activities and soil excavations • Restriction of wildlife movement • Disturbance of ecologically sensitive areas, • Erosion and sedimentation to water sources • Involuntary land acquisition, • loss of livelihood and economic benefits 	<ul style="list-style-type: none"> holders such as leaders of churches, mosques and community, • Reroute/redesign if alignment crosses important habitats and forests, • Avoid effects on habitats and wildlife movement corridors through alternative routes, or relocate species for ex-situ conservation, • Avoid and minimize if project causes of relocation of people, 	<ul style="list-style-type: none"> • prepare RAP, • Do not perform the project in natural habitats and forests, ecologically sensitive areas, • drain the excess water
<p>Degraded land treatment/ rehabilitation on communal and private lands using physical and biological SWC measures (including gully treatment, afforestation, area ex-closures, agro-forestry interventions, etc.) through natural regeneration and reforestation,</p>	<ul style="list-style-type: none"> • Restriction of access to communal lands, • Restriction of human and livestock mobility, • Risk of introduction of invasive exotic species, • Risk of wildlife, rodents and other pests, • Low standard physical structures due to lack of capacity, • Risk of involuntary land acquisition and causing relocation of households, • Risk of conflict over diverse interests, • Loss of economic or livelihood benefits, • Involuntary land acquisition, • Wildlife attack on domestic animals and increase of crop pests (birds, primates, mammals) • Risk of mono-cropping (resorting to one or two exotic species). • Loss of farmland due to structures. • Compromise to local biodiversity (indigenous species). 	<ul style="list-style-type: none"> • Community awareness and training on pest management, • Provide alternative routes formed for mobility • Compensations for loss of access (if caused economic loss) • Non-invasive exotic and indigenous species • Use those species that disfavor pests (pest resistant crops) • Selection and use of non-invasive exotic and indigenous species, pest repellent and species that doesn't harbor rodents • Implement physical structures as per the standards in relevant guidelines • Provision of alternatives (options for cut and carry, awareness on alternative forage sources, forage species provision) • Consecutive community consultations and consensus on benefits and costs, responsibilities of management, benefit sharing arrangements • Carry out social assessment report and prepare social management plan if up to 40 HHS are affected by the activity • Prepare resettlement action plan if more than 40 HHS are affected by the activity • Introduce cultural pest management practices • Prepare wildlife management plans and training of communities on cultural practices to manage pests, • Avoid appropriation of land or eviction of households, • Prioritize indigenous and multiple mix of species for 	











Name of subproject	Types of negative impacts	Possible mitigation measures	Methods used to address the mitigation measures
Introducing PFM for forest and woodland management	<ul style="list-style-type: none"> • 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, 	planting, <ul style="list-style-type: none"> • Consultative meetings and community consensus on benefits and responsibilities • Provide alternatives or compensate for loss of economic and livelihood benefits • Build community consensus and constitute regulatory mechanisms, • Integrate traditional systems, • Create opportunities for wider participation, 	
Introduction of EE and RE technologies	<ul style="list-style-type: none"> • impact on biodiversity, • Loss of vegetation cover, • social conflict 	<ul style="list-style-type: none"> • Avoid sites that require cutting of sensitive species, • Avoid and/or minimize cutting of big trees, especially due attention be given for indigenous trees and undertake replanting of trees. 	<ul style="list-style-type: none"> • Produce indigenous trees in the nursery, • awareness creation to the beneficiaries esp. women,
Establishing and/or strengthening community level protected area, conservation zones, communal reserves, groves, wildlife corridors	<ul style="list-style-type: none"> • Involuntary land acquisition • Restriction of access for humans and livestock • Loss of economic and livelihood benefits • Wildlife attack on livestock and increased crop pests 	<ul style="list-style-type: none"> • Provide alternatives or compensate for loss of economic and livelihood benefits, • Avoid or minimize land acquisition from individual holdings, • Prepare wildlife management plans and training of communities on cultural practices to manage pests, • Carry out social assessment report and prepare social management plan, 	<ul style="list-style-type: none"> • Train farmers • Prepare RAP,
Integrating agro-silvo-animal husbandry systems/practices	<ul style="list-style-type: none"> • Loss of land (grazing land shortage) due to increased density of trees, • Increased risk of crop pests 	<ul style="list-style-type: none"> • Avoid competing claims on land (for grazing and tree planting) • Introduce cultural pest management practices 	
Establishing pockets of wood stands at homestead level	<ul style="list-style-type: none"> • 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 	<ul style="list-style-type: none"> • Introduce cultural pest management practices, • Planting sites should be different and with sufficient distance from crop fields • Avoid planting close to water bodies, wetlands, shallow water table areas • Select species that do not cause allelopathic effect 	
Introduction of high value crops (vegetables, root crops and fruit seeds, seedlings)	<ul style="list-style-type: none"> • Increased load of agro-chemicals to control pests and plant diseases, • Contamination of surface water with agro-chemicals 	<ul style="list-style-type: none"> • Introduce and apply cultural pest management practices, • Promotion of the use of IPM and organic fertilizers. 	<ul style="list-style-type: none"> • awareness creation to PAPs, • Use of resistance crop varieties.

Name of subproject	Types of negative impacts	Possible mitigation measures	Methods used to address the mitigation measures
Introducing new varieties of plant species for forage and food crops	<ul style="list-style-type: none"> Risk of introducing new pests and crop diseases with new the germplasm 	<ul style="list-style-type: none"> Conduct quarantine checks and follow national guidelines for introduction of new germplasm 	<ul style="list-style-type: none"> Keep the procedures to import to the country

NB:- The methods used to address the mitigation measures (table above) will vary depending on the type, scale, location of subprojects. And regional safeguard specialists together with the Woreda Focal Coordinators and the community members should identify the likely site specific impacts and the possible site specific mitigation measures that will be applied at the kebele and community level.

4. Annexes

No.	Items	Icons	
Annex 1.	Glossary	 Glossary of terms in the PIM.docx	
Annex 2.	RLLP Watersheds Profiles	 Profile of RLLP.doc	
Annex 3.	Results Framework Indicators (RFI)	 RLLP RFI New.docx	
Annex 4.	JMM Implementation Guideline	 JMM Implementation Gui	
Annex 5	List of 200 micro watersheds for CSA	 200 MicroWatersheds fo	
Annex 6	Activity cost spreadsheet for CSA	 Climate Smart Agriculture_ Cost_a	
Annex 7	Integrated Local Level Land Use Planning Manual, 2017	 MoANR, 2017. Integrated Local Lev	
Annex 8	OM: For Imagery Based Systematic 2 nd Level Land Registration of Rural Areas in Ethiopia, 2017	 Operations Manual_Imagery Ba:	
Annex 9	NARLIS Operational manuals and procedures	 NRLAIS documents.rar	
Annex 10	Implementation Strategy of Component 3 (to be updated)	 Implmentation Strategy for compor	
Annex 11	PIA strategy for Land Certification	 PIA Strategy MoA.doc	

No.	Items	Icons	
Annex 12	Activity spreadsheet	 IDA MDTF-Component-3	
Annex 13	Environmental & Social Management Framework,	 RLLP-ESMF.docx	 P174385 RLLP II ESMF Final Document
Annex 14	Resettlement Policy Framework	 RLLP- RPF.pdf	 Resettlement Framework for the Se
Annex 15	Social Assessment Report	 RLLP - Social Assessment.pdf	 Social Assessment Report for the Second
Annex 16	Strategic Guideline for RLLP Knowledge Management and Communication Program, March 2018.	 KMS of RLLP.docx	
Annex 17	Guideline on woreda Information Center	 Woreda information centers	
Annex 18	List of RLLP-I and RLLP-II micro watersheds	 List of RLLP I and RLLP II watersheds.pdf	

Ministry of Agriculture
Sustainable Land Management Program
Community Incentive Payment Monitoring Mechanism/procedures

No	Payment procedures	Reference Document(s)	Prepared By	Checked By	Approved By	Verified By
1	Planning the activities, establishing requirements and capacity building					
	Soil Water Conservation activities target in each micro watershed	Approved Annual work and budget plan of each micro-watershed	Woreda Technical Committee in consultation with the community facilitated by woreda project focal person	Regional and National project team including Regional TC	Project steering committee at woreda, region and national levels	World bank team review
	Recruitment of CFs and provision of training	Terms of Reference	Technical experts (task forces) of the project coordination Unit	Project Coordination Units leadership (National + Regional)	Project steering structures at all level	World bank team review
	Farmers'	CBPWDG	Woreda technical	Woreda	Woreda office of	Regional and

No	Payment procedures	Reference Document(s)	Prepared By	Checked By	Approved By	Verified By
	technician training	norms	experts (taskforces) in collaboration with DAs	project focal person	Agriculture and office Finance	national Project team and External auditor on annual basis
	Community training	CBPWDG norms	Development Agents with Community Facilitator	Woreda project focal person	Woreda Office of Agriculture and office Finance	Regional and national Project team and External auditor on annual basis
2	Planned activities implementation and Monitoring					
	Participants' attendance	Attendance sheet	Community facilitator and Farmers technicians assisted by Development Agent	Woreda Focal Coordinator	Woreda Office of Agriculture and Woreda Office of Finance	Regional and national Project team and External auditor on annual basis
	Norm based task sharing at implementation	SWC activities daily plan and target in each micro watershed	Development Agent, Community facilitators and Farmers technician	Woreda project technical committee members (task forces)	Woreda project focal	Regional and national Project team supervision
	Output recording	SWC activities daily plan and achievements in each micro watershed	Development Agent, Community facilitators and Farmers technician	Technical experts / Woreda Focal Coordinator	Woreda Office of Agriculture	Regional and National technical experts supervision
	Output measurement	CBPWDG norm	Development Agent, Community facilitators and Farmers technician	Woreda technique committee assigned in each micro watersheds/ woreda project focal person	Woreda office of Agriculture/ woreda steering committee on quarter reporting review basis	Regional and National technical experts supervision
3	Preparing and conducting the incentive payments					
	Payment sheet preparation	Monthly attendance sheet and activity report	Woreda accountant based on participants' attendance sheet	Woreda Focal Coordinator	Woreda office of Finance and Office of Agriculture Heads	Internal and External auditors on annual basis
	Conducting payment	Payment vouchers and payment sheet	Woreda accountant	Woreda finance team leader and technical focal of the project	Woreda office of Finance	Internal and External auditors on annual basis
4	Complaints handling (if any)					
	Grievance appeal	Social Safeguard documents	Any participant with complaints	community watershed GRM committee (check and	Kebele watershed team and then Woreda GRM committee (check and approve if	Project social safeguards team at regional and National level

No	Payment procedures	Reference Document(s)	Prepared By	Checked By	Approved By	Verified By
				approve) including traditional grievance redress mechanism)	beyond Watershed GRM committee)	
	Community consultation during Joint implementation support mission	Mission announcement letter every six months	World bank	NA	NA	Assigned mission members during field mission (if any related issues)