

**MINISTRY OF AGRICULTURE AND LIVESTOCK
RESOURCES(MoALR)**

Sustainable Land Management Program

**RESILIENT LANDSCAPE AND LIVELIHOOD
PROJECT (RLLP)**

RESETTLEMENT POLICY FRAMEWORK (RPF)

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Abbreviations and Acronyms

ARAP	Abbreviated Resettlement Action Plan
CBO	Community Based Organization

CDD	Community Driven Development
CRGE	Climate Resilient Green Economy
MoEFCC	Ministry of Environment, Forest, and Climate Change
ESIA	Environmental and Social Impact Assessment
ESMF	Environmental and Social Management Framework
FPCU	Federal Project Coordination Unit
GDP	Growth Domestic Product
GoE	Government of Ethiopia
GTP	Growth and Transformation Plan
M & E	Monitoring and Evaluation
MEP	Monitoring and Evaluation Plan
MoALR	Ministry of Agriculture and Livestock Resources
NGO	Non-Governmental Organization
OP	Operational Policy
PAP	Project Affected People
PASDEP	Plan for the Accelerated and Sustained Development to End Poverty
PRSP	Poverty Reduction Strategy Paper
RAP	Resettlement Action Plan
RLLP	Resilient Landscape & Livelihood Project
ROW	Right of Way
RPCU	Regional Project Coordination Unit
RPF	Resettlement Policy Framework
SIA	Social Impact Assessment
SLMP	Sustainable Land Management Project
SNNPRS	Southern Nations, Nationalities and Peoples Regional State
WTC	Woreda Technical Committee

Executive summary

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

With the geo-climatic condition, inherent soil fragility, undulating terrain, and highly erosive rainfall, Ethiopia has continually faced challenges in conserving its soil fertility. Coupled with these natural constraints, the environmentally destructive farming methods that many farmers practice make the country highly vulnerable to soil erosion. Moreover, some sources estimate that close to one-third of the agricultural land is moderately to strongly acidic because of long neglect in soil conservation and destructive farming practices. Gully formation and sedimentation at the river banks, dams and irrigation channels are extensive.

Sustainable Land Management Projects 1 and 2 (SLMP-I and SLMP-II) have made remarkable progress in rehabilitating targeted degraded areas, soil stabilization works (by raising and planting Vetiver and Desho grasses), construction of cut-off drains and waterways to reduce run-off. Animal manuring and production and application of compost on farmlands and homesteads, demarcating enclosures to allow natural regeneration to occur, rotational grazing, individual woodlots, etc. The introduction of various homestead improvements and income generating activities, including bee keeping and honey production using modern beehives, livestock fattening, supply of better breeds of small ruminants and poultry, mixed cropping on the same piece of land. Small-scale irrigation, water harvesting structures and the supply of drinking water for both human and animal (e.g., hand-dug wells, springs) consumption have contributed towards improvement of income and building assets at household level.

In addition practices such as (i) the introduction of agro-forestry practices and improved fodder management systems; (ii) adoption of conservation agriculture technologies such as low/no-tillage agricultural practices; (iii) adoption of soil fertility improvement techniques through incorporation of nitrogen-fixing leguminous plant species and use of organic manure into agricultural systems; (iv) Adoption of Bamboo development practices; (v) introducing improved practices for grazing through rotational grazing, cut-and-carry and animal fattening systems; and (vi) livelihood activities such as improved poultry production, vegetable production and apiculture are being widely practiced. Moreover, the project has undertaken institutional strengthening for implementing sustainable land management at regional, woreda and community levels and actively promoted homestead and cultivated land activities. In a nutshell, the overall performance of SLMP-I and SLMP-II is extremely encouraging, which justifies not only the continuation of the project, but also its expansion.

Therefore, the proposed Resilient Landscape and Livelihood project (RLLP) will expand the scope of the success from SLMP-I and SLMP-II and also introduces measures to internalize climate change induced risks so that the investments that farmers make will integrate climatic variability. RLLP has four components, namely (1) Investment in green infrastructure for resilient watersheds, (2) Strengthening Institutions and Information: and information modernization, (3) Land administration and use, and (4) Project Management and Monitoring. It will be implemented in six regional states, namely Southern Nations, Nationalities and peoples (SNNP), Amhara, Oromia, Gambella, Benshangul Gumuz, and Tigray and in 192 woredas within these regions where the environment is fragile, partly because of natural and human factors. Planning and Implementation of the project will be guided by Community Based Participatory Watershed Development Guideline (CBPWG) where activities are 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. When the sub-projects implementation in component one requires involuntary land acquisition and loss of access to assets to avoid such cases other alternative measures like changing design or location of the sub project will be implemented. However, where avoidance is not viable, implementation of these activities might result in some land acquisition, property loss and access restriction and in such cases OP/BP 4.12 will be triggered. This RPF is prepared, based on the World Bank Operational Policy (OP/BP 4.12) and the relevant national laws and regulations, to guide the implementation of mitigation measures and to ensure compensation and resettlement for project affected persons (PAP) whenever activities need to acquire land and restrict access.

Therefore, it is unlikely that involuntary land acquisition and loss of access will occur. Though all sub-projects are planned and implemented based on decisions made by the communities, involuntary resettlement policy **OP/BP 4.12** will be triggered. Thus, it is important that a separate Resettlement Policy Framework (**RPF**) has to be prepared to guide the implementation of mitigation measures related to land acquisition and displacement due to component one of the RLLP activities that would have negative social impacts.

The objectives of this RPF include establishing the principles, procedures and processes to be applied if involuntary resettlement, loss of land and/ or other economic resources, and restriction of access to natural resources may happen. In addition, RPF is needed to ensure that project affected persons (PAP) are meaningfully consulted, participated in the planning process, adequately compensated for to the extent that their pre-displacement income has been restored. Moreover, this RPF includes organizational legal and institutional frameworks underlying Ethiopia's approach for resettlement, compensation and rehabilitation, eligibility criteria for identification of PAP and institutional arrangements responsible for Resettlement Action Plan (RAP) implementation.

The RPF is prepared using primary and secondary data, and qualitative data collection approach. Field data collection was limited to 29 sample woredas (18 existing and 11 new). In the existing woredas, purposive sampling was used to include those where community infrastructures were constructed while accessibility was used as a criterion to select the sample woredas from the new

ones. Focus group discussions were made using semi-structured checklist with male and female community members. Attempts were made to include vulnerable community members like female household heads, people with disabilities, the old, and the poor. Key informants such as Development Agents (DAs), woreda experts from different line offices, SLMP-II woreda focal persons, experts from Regional Bureau of Environment, Forest and climate, and SLMP-II regional environment and social safeguard specialists were also consulted. Among the secondary data, the Ethiopian government laws and regulations related to land expropriation and compensation, World Bank social safeguard policies, SLMP-II social assessment and RPF, as well as other World Bank flagship programs' safeguard instruments were the major ones.

Project Description

The Project would cover six regions, 192 woredas (57 new and 135 existing). The Project will build mainly on the experiences and lessons learnt as well as progress made under SLMP-I and II. It would focus on a significant level of investment in main watersheds in the six regional states in Ethiopia. The Project has four components: (i) Investment in Green Infrastructure for Resilient Watersheds; (ii) Strengthening Institutions and Information: and information modernization; (iii) Land administration and use; and (iv) Project Management and Monitoring. This RPF will be used when a proposed RLLP sub-project activities of component-1 need to acquire land and could potentially reduce/restrict access to natural resources. In such cases RLLP will trigger OP/BP 4.12 (Involuntary Resettlement). The project will work through government development agents in the Bureaus of Agriculture at the local level, which will mobilize and support communities, providing them with continuous training to ensure quality extension services.

Environmental and Social Conditions of RLLP Regions

The six regions where the project is going to be implemented have very diverse climatic, geographic, demographic, ethno-religious, and socio-economic characteristics.

Community Consultations and Support for the Project

The implementation of activities in the green infrastructure for resilient landscape component of the project may involve some land acquisition and common property resources (e.g., treatment of degraded lands and gullies) or restriction of access to natural resources (e.g., soil and water conservation measures, and controlling free grazing). Since some of the project activities, involve some kind of land acquisition (temporary or permanent) or restriction of access to common resources such as afforestation or pasture lands, there is a need for closer community consultation and participation at all levels during project implementation. Public consultation and participation are essential because they provide potentially affected persons the opportunity to contribute to both the design and implementation of the sub-project activities. Attention would be paid to consultation with potentially affected individuals/households when resettlement and land acquisitions concerns are involved.

RLLP will, therefore, trigger OP/BP 4.12 and this RPF will publicly be disclosed before appraisal. Triggering OP/BP 4.12 under RLLP allows for due diligence to ensure that arrangements are made for restoration of usufruct rights after temporary acquisition of land or there is no unlawful pressure/coercion exerted upon voluntary (individual or communal) land donors in the process of obtaining community land agreement or ensure that involuntary resettlement and land acquisition is avoided, where possible or is minimized, by exploring all viable alternatives. In case it is not feasible to avoid *involuntary resettlement*, resettlement activities should be conceived and executed as sustainable development programs.

Consultations with community members in newly selected woredas have shown that they were not only unanimous in their interest and support for the project, but also are aware of the potential impact of some activities of the project components in terms of possible land acquisition or restriction of access to communally used natural resources. When compared to the kind of environmental degradation they are facing now, acquisition of small portion of their lands for construction of access roads or temporarily restricting of access to communal grazing lands is the little price they are more than willing to pay. However, they said that the approach has to be a thorough discussion with different community groups and institutions before starting implementation of such activities.

Scope and Nature of Land Acquisition

In general, in existing SLMP-2 and new woredas of 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.

The development agents (DAs) will check whether the identified sub projects fall into the categories that are eligible or not to be financed by RLLP. 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 may require land acquisition and restriction of access. When such cases happen, RLLP proposes to rely on voluntary land donation (VLD). The procedure should include efforts to avoid VLD by finding other alternatives, changing design or location. If the landholders are willing/agree to donate the land (VLD) the activity will be implemented. During implementation of VLD if it is household/family land consultation with family members (including spouses) must be made and family must be aware that refusal is an option. If the land is communal land individuals using or occupying the land must be identified and consulted to minimize the risk of settlers and local communities losing their livelihood due to the land donation decision. If the land that may be donated is household/family land the proportion of the land must not exceed 10% of the total land holding of the donor and must not be the donor's main source of income; it should not significantly affect the donor livelihood. Moreover, VLD should not occur if it requires physical relocation, loss of structures

or fixed assets on affected portion of land which will be the base for involuntary resettlement. A formal statement or minutes for all consultation and discussion with the landholders, their interest and agreed actions including schedule should be signed and documented at kebele and woreda MoALR offices and should be reported for enhanced transparency.

In cases where resettlement due to land acquisition or restriction of access to resources is likely to happen, OP 4.12 calls for the preparation of separate stand-alone Resettlement Action Plan (RAP) consistent with the guidelines provided in this RPF. The following procedural guidelines will apply when it is determined that a RAP would be developed: (i) all potential PAPs should be identified and informed about their options and rights pertaining to compensation for land and assets to be acquired by the sub-project(s); (ii) PAPs must be consulted about land acquisition and compensation and offered technical and financial options, including the most economically feasible alternatives; If the affected land is rented or leased the owner of the land has to be consulted; (iii) PAPs should receive reasonable compensation at full replacement cost for losses of assets and access attributable to the sub-project; and (iv) if community members choose to voluntarily donate land/assets without compensation, they must be fully informed about the project and its grievance redress arrangements ahead of the agreement, and it must be documented that this act is performed freely and voluntarily, without any coercion.

RAP will be prepared by conducting a socio-economic to determine scope and nature of resettlement impacts in the selected sub-project sites. The socio-economic assessment will focus on the potential affected communities, including some demographic data, description of the area, livelihoods, the local participation process, and establishing baseline information on livelihoods and income, landholding, etc. The RAP contains information including baseline census, socio-economic survey, specific compensation rates and standards, entitlements related to any additional impacts, site description, programs to improve or restore livelihoods and standards of living, detailed cost estimates and implementation schedule. The RAP will be prepared by the *Woreda* Office of Agriculture and Livestock Resource (WOALR) through the *Woreda* Technical Committee (WTC) and submitted to the woreda office of environment, forest and climate change for review and approval and to Regional Bureau of Agriculture and Livestock Resources (BoALR) for review and approval.

When an identified sub-project results in a limited or total restriction to access to economic assets and resources of people and communities, then implementers should first conduct a participatory rural assessment 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. This should be followed by developing a compensation package appropriate to the PAPs in restoring and improving their 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. Issues related to access restriction process will be handled by the Woreda and Kebele Resettlement Committee.

Institutional and Implementation Arrangement

The implementation of the environmental and social safeguard will take place through the existing government institutional structures from the federal to the local or community level which require for the full-fledged implementation of the ESMF, RPF and SA.

At the federal level, the ministry of agriculture and natural resources is responsible for the overall implementation coordination of the project. Relevant line ministries such as, MoFEC, MoWIE, MoEFCC will participate in the implementation. The project will be overseen by a National Steering Committee composed of the line ministries and will be supported by a National Technical Committee.

In Regions, the implementation will be led by the regional Bureaus of Agriculture and Natural Resources. At the grass root, the implementation will be ensured by Woreda office of Agriculture and Natural Resources through the Woreda Technical Committee, the Kebele Watershed team, CWT and communities.

The environmental and social safeguards activities will be monitored by the national and regional environmental and social safeguard specialists and the zonal and woreda focal persons using the environmental and social management framework, resettlement policy framework, and social assessment reports. Sub-projects will be 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 identified subprojects will be approved by the KWT.

Communities and individuals who believe that they are adversely affected by the project may submit complaints to the existing project-level grievance redress mechanisms at kebele and woreda levels or the WB's Grievance Redress Service (GRS). Since the whole process is participatory and transparent, the probability of occurrence of complaints is minimal. The mechanism provides a transparent and credible process to all parties, resulting in outcomes that are fair, effective, and lasting.

Monitoring and Evaluation

The RPF and RAP implementation should be monitored, supervised and reported to ensure the objective of the RPF is achieved and whether the project affected people have had their livelihoods restored to levels prior to project or improved.

Part 1: Introduction

1.1 Background

Ethiopia is a country which largely depends on agriculture. Out of an estimated 83 million people, close to 83% live in rural areas with agriculture (crop production and animal husbandry) as its main source of livelihood. This means only 17 percent live in urban centers and earn their livelihood from non-agricultural economic activities. Ethiopia's current development agenda is governed by the Growth and Transformation Plan (GTP), the main goal of which is to “extricate itself from poverty to reach the level of a middle-income economy by 2025.” To achieve the GTP's main goal and objectives, the Government of Ethiopia (GoE) has considered internalizing the climate induced risks and has embarked on developing the Climate Resilient Green Economy (CRGE) strategy in support of GTP. The vision of the CRGE is to achieve middle-income status by 2025 in a climate-resilient green economy.

As alluded to in the foregoing paragraph, services provided by natural resources including agriculture and livestock play a critical role for the livelihood of a large majority of the Ethiopian population. Agriculture is the key pillar of the economy and the most important source of growth. It accounts for almost 41.5% of GDP and 85% of export earnings. Agricultural production is mostly rain-fed and dominated by small-scale subsistence farmers and enterprises that contribute to 90% of agricultural production. Although much of the agriculture remains for subsistence purposes, still smallholders provide a large part of traded commodities, including for exports and about 70 percent of the raw material requirements of agro-based domestic industries.

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

With the geo-climatic condition, inherent soil fragility, undulating terrain, and highly erosive rainfall Ethiopia has continually faced challenges in conserving its soil fertility. Coupled with these natural constraints, the environmentally destructive farming methods that many farmers practice make the country highly vulnerable to soil erosion. Moreover, some sources estimate that close to one-third of the agricultural land is moderately to strongly acidic because of long neglect in soil conservation and destructive farming practices. Gully formation and sedimentation at the river banks, dams and irrigation channels are extensive.

Besides the GTP and the CRGE strategy mentioned above, the GoE introduced a series of policies and institutional reforms to address these complex and diverse issues. Along with other initiatives, the

Sustainable Land Management (SLM) program through the Sustainable Land Management Project (SLMP-I and SLMP-II which has been operational between 2008/09 – 2012/13 and 2014/15-2017/2018) has made progress in introducing sustainable land management practices in the country. The SLMP-I and SLMP-II has made remarkable progress in rehabilitating targeted degraded areas, soil stabilization works (by raising and planting Vetiver and Desho grasses), construction of cut-off drains and waterways to reduce run-off, animal manuring and production and application of compost on farmlands and homesteads, demarcating enclosures to allow natural regeneration to occur, rotational grazing, individual woodlots, etc. The introduction of various homestead improvements and income generating activities, including bee keeping and honey production using modern beehives, livestock fattening, supply of better breeds of small ruminants and poultry, mixed cropping on the same piece of land, small-scale irrigation, water harvesting structures and the supply of drinking water for both human and animal (e.g., hand-dug wells, springs) consumption have contributed towards improvement of income and building assets at household level.

Other measures that are being widely practiced include: (i) the introduction of agro-forestry practices and improved fodder management systems; (ii) adoption of conservation agriculture technologies such as low/no-tillage agricultural practices; (iii) adoption of soil fertility improvement techniques through incorporation of nitrogen-fixing leguminous plant species and use of organic manure into agricultural systems; (iv) Adoption of Bamboo development practices; (v) introducing improved practices for grazing through rotational grazing, cut-and-carry and animal fattening systems; and (vi) livelihood activities such as improved poultry production, vegetable production and apiculture. In addition, the project has undertaken institutional strengthening for implementing sustainable land management at regional, woreda and community level and actively promoted homestead and cultivated land activities. In a nutshell, the overall performance of SLMP-I and SLMP-II is extremely encouraging, which makes not only the continuation of the project, but also its expansion.

The Project would be implemented in 192 major watersheds/woredas (including the 135 watersheds that were supported by SLMP-I and II) in the National Regional States of Amhara, Tigray, Oromiya, SNNP, Gambela, and Benshangul Gumuz. The RLLP will directly benefit some of Ethiopia's poorest citizens in the watershed/woredas it covered. With more than 87 percent of Ethiopia's poor living in rural areas, the operation will benefit some of the poorest, as they are the most dependent on the degraded land resources targeted by the project, and the most vulnerable to the climate shocks that good natural resource management and improved tenure security can mitigate – as proven through interventions under SLMP-II. Accordingly, the total population expected to be benefited from the Project include 3,185,940 of which 1,430,440 are female. The Household size is 628,436 where 529,461 are Male Headed Households and 98,975 Female Headed Households. The project is considered innovative and transformative as it emphasizes on multi-sectoral landscape approach that supports GoE to coordinate efforts on land use, land management, and land administration. This approach will generate multiple benefits including contributions to, inter alia, productivity improvement, resilience to climate risks, enhancements to natural wealth and diverse livelihood opportunities, and water security – and ultimately poverty reduction and prosperity.

Therefore, the proposed RLLP will not only expand the scope of the success from SLMP-I and SLMP-II but also introduces measures to internalize climate change induced risks so that the investments that farmers make will integrate climatic variability. Furthermore, the government and other stakeholders including research & education institutions, extension workers, community groups and NGOs would be provided with additional skills and training to promote climate smart agriculture, integrated land management practices, livelihood development techniques and technologies that internalize climate induced risks and conservation of biodiversity and soil.

SLMP-I was implemented in areas where implementation, fiduciary and safeguards management capacity is weak. During SLMP-II dedicated staff for safeguard were assigned; immense capacity development activities (training, onsite support, exposure visit and etc.) were provided. Therefore, the implementation capacity of local institution and communities is promising and they are committed to support the project. But there should be need based capacity development and refreshment trainings as there is frequent staff turnover. Remoteness of some project *woredas* in few implementing regions poses difficulties in terms of providing adequate support and supervision. Moreover, RLLP will be implemented in six regional states namely Southern Nations Nationalities and peoples, Amhara, Oromia, Gambella, Benshangul Gumuz and Tigray and 192 *woredas* in these regions where the environment is fragile, partly because of natural and human factors. Though all sub-projects are planned and implemented based on decisions made by the communities, involuntary resettlement policy **OP/BP 4.12** will be triggered. Thus, it is important that a separate Resettlement Policy Framework (**RPF**) has to be prepared to guide the implementation of mitigation measures related to land acquisition and displacement due to component one of the RLLP (namely, Investment in Green Infrastructure for Resilient Watersheds) activities that would have negative social impacts. The RPF describes the requirements to address social impacts from restrictions of access to natural resources as per the World Bank's Involuntary Resettlement Policy (OP/BP 4.12). This policy also applies to the involuntary restriction of access to legally designated parks and protected areas resulting in adverse impacts on the livelihoods of the affected persons. In SLMP-II implementation phase activities like access road construction, afforestation, community pond; hand dug well, nursery establishment; and small-scale irrigation necessitated acquisition of small piece of plots on voluntary bases.

The RPF addresses social impacts of RLLP issues of land acquisition resulting from implementation of component one of the RLLP that may or will result in loss of property or disturbance affecting livelihoods. It is complemented by a Social Assessment that: assesses key socio-economic factors that require consideration; identifies vulnerable and historically underserved groups that may be excluded from the project and be adversely affected as a result, and the necessary impact mitigating measures; assesses any potential adverse social impacts of RLLP, and determine whether the project is likely to trigger the World Bank social safeguards policies; and, recommends in the early stage of project preparation the appropriate measures towards addressing World Bank requirements on social safeguards triggered by the project (OP/BP 4.10 and OP/BP 4.12).

The Environmental and Social Management Framework (ESMF) addresses physical environment and social impacts and can be applied together with this RPF. The RLLP's implementers are responsible for identifying and implementing investment activities. This RPF document is to be used by all implementers of RLLP to ensure that all environmental and social safeguards are adequately addressed and that the relevant capacity and training needs are established in order for the recommended measures to be implemented effectively.

Part 2: Purpose, Objectives and Principles of the RPF

2.1 Purpose of the RPF

RLLP component one (Investments in green infrastructure for resilient watershed) activities such as Afforestation and Reforestation of degraded communal, gully rehabilitation using biophysical measures; applying conservation agriculture, agro-forestry, and biodiversity; agro-forestry promotion, potable water supply - hand dug well and spring development and feeder road construction will be implemented on communal and farmlands. It is unlikely that huge land acquisition and property losses will occur during implementation of these activities. When the sub projects implementation requires involuntary land acquisition and loss of access to assets to avoid such cases other alternative measures like changing design or location of the sub project will be implemented. However, where avoidance is not viable implementation of these activities might result some land acquisition, property loss and access restriction and OP/BP 4.12 is triggered. Therefore, whenever activities need to acquire land and restriction of access; to ensure compensation and resettlement for project affected persons(PAP) this RPF is prepared based on the World Bank Operational Policy (OP/BP 4.12) and the relevant national laws and regulations, which will form the basis for resettlement planning.

2.2 Objectives of the RPF

The objectives of the RPF are to:

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

The RPF will apply to component one of the Resilient landscape and livelihood project(RLLP), namely Investment in Green Infrastructure for Resilient Watersheds. The procedures in this RPF will be carried out throughout preparation and implementation, and impacts of any potential resettlement will be included in monitoring and evaluation (M&E). When a Resettlement Action Plan (RAP) is required, it will be prepared in accordance with guidance provided in this RPF, including detailed Measurement Surveys, Identification (Census) of PAPs/displaced persons, as well as the Public Consultation and Disclosure Procedures. The RPF follows the guidance provided in the World Bank Operational Policy on Involuntary Resettlement (OP/BP 4.12), as described in Annex 1.

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

1. Avoiding displacement of people without a well-designed compensation and relocation process;
2. Minimizing the number of PAPs to be displaced, to the extent possible;
3. Compensating for losses incurred and displaced incomes and livelihoods; and
4. Ensuring resettlement assistance or rehabilitation, as needed, to address impacts on PAPs livelihoods and their wellbeing; and
5. PAPs must be meaningfully consulted and should have the opportunities to actively participate in planning, implementation and monitoring resettlement programs

2.3 Principles of the RPF

According to the guidance provided in the World Bank OP/BP4.12 Involuntary resettlement Policy this RPF guided by the following principles.

- Involuntary resettlement and land acquisition will be avoided where feasible, or minimized by exploring all viable alternatives.
- In case where involuntary land acquisition and resettlement is inevitable the RPF seeks to ensure that affected communities are meaningfully consulted, have participated in the planning process, are adequately compensated to the extent that their pre-displacement incomes have been restored, and the process is fair and transparent. The RPF to make certain that any possible adverse impacts of proposed project activities are properly addressed through appropriate mitigation measures, particularly against potential impoverishment risks. Displaced and compensated persons will be assisted in their efforts to improve their livelihoods and living standards or at least to restore them.
- The RPF will be complemented by Social Assessment(SA) and Environmental and Social Management Framework(ESMF). The SA reveals key socio-economic factors, identifies underserved peoples and vulnerable groups that may be excluded from the project and adversely affected by the project. It also identifies the potential impacts and proposed mitigation measures and determines whether the project likely to trigger world bank social safeguard policy OP/BP4.10.

Part 3: Methodology for the RPF preparation

The RPF is prepared using primary and secondary data, and qualitative data collection approach. Field data collection was limited to 29 sample woredas (18 existing and 11 new). In the existing woredas, purposive sampling was used to include those where community infrastructures were constructed while accessibility was used as a criterion to select the sample woredas from the new ones. Focus group discussions were made using semi-structured checklist with male and female community members. Attempts were made to include vulnerable community members like female household heads, people with disabilities, the old, and the poor. Key informants such as Development Agents (DAs), woreda experts from different line offices, SLMP-II woreda focal persons, experts from Regional Bureau of Environment, Forest and climate, and SLMP-II regional environment and social safeguard specialists were also consulted.

Among the secondary data, the Ethiopian government laws and regulations related to land expropriation and compensation, World Bank social safeguard policies, SLMP-II social assessment and RPF, as well as other World Bank flagship programs' safeguard instruments were the major ones.

Part 4: Project Description and Rationale for RPF

The Project's Development and Global Environment Objective is to improve livelihoods, climate resilience, carbon storage, and land productivity in vulnerable rural major watersheds in selected vulnerable watersheds in six regions of Ethiopia. The objective would be achieved through the provision of capital investments, technical assistance and capacity building for smallholder farmers and government institutions at all levels.

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

The Project will build on the experiences and lessons learnt as well as progress made under SLMP-I and II; other the World Bank/GEF financed or supported and similar initiatives in the country and elsewhere. It would focus on a significant level of investment in main watersheds in the six regional states in Ethiopia. The Resilient Landscape and Livelihood Project has four main components:

Component 1: Investment in Green Infrastructure and Resilient Livelihoods;

Component 2: Strengthening Institutions, Information and Monitoring for Resilience;

Component 3: Land Administration and Use; and

Component 4: Project Management, Monitoring and Reporting.

Component 1: Investment in Green Infrastructure and Resilient Livelihoods

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

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

Sub-Component 1.1: Land Restoration and Watershed Management

This sub-component will support restoration of degraded forest, pasture and woodlands that is communally owned, as well as privately-owned cultivated lands, through biophysical land and water conservation measures. The major activities in this sub-component (proven SLWM practices) include: soil and water conservation infrastructure such as terraces, water harvesting trenches, check dams, small reservoirs, and other civil works; soil fertility and moisture management; assisted natural regeneration, enclosures plus livestock land-use rationalization, intercropping, low tillage, gully reclamation, establishment of grazing corridors, watering points and wells, and sylvo-pastoral management strategies.

Sub-Component 1.2: Climate-smart Agriculture

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

feeder road construction. Thus, the project will invest in three of the five Climate Smart Agriculture (CSA) technology packages defined by MoALR¹:

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

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

This sub-component aimed at providing finance advisory services and investments to improve access to and implementation of income generating activities, strengthen value chains associated with SLM productive activities, and promote access to low carbon household energy. A range of potential interventions have been identified including support for women-led enterprise development and vocational training, processing equipment and Community Storage Receipts Programs (CSRPs), facilitation of access to markets, technology and trade and a suite of household and smallholder low carbon energy solutions, such as solar water pumping for irrigation (where appropriate), biogas cook stove installations and other high-performing cook stove technologies.

Component 2: Strengthening Institutions and Information for Resilience

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

Component 3: Land Administration and Use

The objective of this component is to strengthen land tenure and the land administration system in project areas, improving incentives for beneficiary communities to invest in sustainable landscape management. The component would support an on-going national program providing land certificates to all land holders, by enhancing rural land certification and administration as well as local level land

¹ Ministry of Agriculture and Natural Resources Sustainable Land Management Program, “*Climate Smart Agriculture-A Field Manual for Practitioners*”, December 2016, Addis Ababa.

use planning at watersheds or Kebeles assisted by the project. The component is subdivided into two sub-components targeted to achieve the overall objective of land administration and use. These are:

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

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

Sub-Component 3.2: Land Use Planning and Land Development Control

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

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

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

Component 4: Project Management and Reporting

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

This RPF will be used when a proposed RLLP sub-project activities need to acquire land and people's property is disturbed. For example, a piece of land is needed and people are affected because they

have houses or other permanent or temporary structures on that land; have farms, use the land for water and grazing of animals; or they otherwise have access to the land for economic, religious, residential or other purposes which will not be possible during and after the RLLP investment is implemented.

The Project's Investment in Green Infrastructure for Resilient Watersheds component will scale-up proven sustainable land and water management practices by rural smallholders and communities in watersheds vulnerable to climate variability and change, recurrent drought and floods and land degradation. Three complementary approaches form the core of this Component: (i) land restoration through sustainable land management, predominantly targeting communal lands, in which physical and biological interventions are made to prevent erosion and restore degraded land; (ii) a standardized approach to low carbon resilient agriculture, which targets private lands, and (iii) support for income opportunities and resilient livelihoods, designed to build incentives for maintaining restored landscapes. The project will work through government development agents in the Bureaus of Agriculture at the local level, which will mobilize and support communities, providing them with continuous training to ensure quality extension services.

The land restoration and watershed management sub-component will support restoration of degraded forest, pasture and woodlands that is communally owned, as well as privately-owned cultivated lands, through biophysical land and water conservation measures. As defined in the community-based participatory watershed development (CBPWD) Guideline of the MOALR, the project will finance labour and input costs for terracing, construction of water collection trenches, gully erosion control check dams, flood protection structures and tree planting/re-forestation in the communal and private lands. RLLP will also innovate through the establishment of green corridors, which can enhance watershed restoration and ecological connectivity, as well as expand the lifetime and resilience of drainage, irrigation and road infrastructure.

The Project's investment on green infrastructure for resilient landscape component activities are expected to include small infrastructural project activities that require some land acquisition and could potentially reduce/restrict access to natural resources (in the case of afforestation and area closure). RLLP will, therefore, trigger OP/BP 4.12 (Involuntary Resettlement), and this RPF is being prepared and will be publicly disclosed before appraisal. OP/BP 4.12 was not triggered under SLMP-I and SLMP-II. Instead, any sub-projects that were found, upon screening as per the Project's ESMF, to involve involuntary resettlement, acquisition of land and/or reduced access to natural resources were placed in a negative list. Experiences from the implementation of SLMP-I and SLMP-II indicate that issues of land acquisition and restriction of access to natural resources (e.g., water and afforestation) need closer attention.

Part 5: Baseline Data on Environmental and Social Conditions of RLLP Regions

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

Land degradation in the form of soil erosion, sedimentation, depletion of nutrients, deforestation, and overgrazing - is one of the basic problems facing farmers in the Ethiopian highlands, and this limits their ability to increase agricultural production and reduce poverty and food insecurity. Land degradation in Ethiopia has proceeded at an alarming rate, and will be increasingly aggravated by the impact of climate change. Conservative estimates suggest that climate change will reduce agricultural crop productivity in Ethiopia by 5 -10 percent by 2030. The highlands of Ethiopia contain one of the largest areas of ecological degradation in Africa. From 1981 to 2003, 296,812 km² (29.7 million ha) of land has been degraded, affecting a population of 20.65 million (Bai et al. 2008).

The RLLP will be implemented in different agro-ecological and administrative regions characterized by different patterns of rainfall, temperature, growing periods, socioeconomic and biophysical environments. The project will be implemented in 192 (135 SLMP-I and II) and 57 newly added watersheds in six of the national regional states, namely Oromia, Amhara, Tigray, SNNPR, Gambela and Benishangul Gumuz. Majority of the areas are typically highland agro-climatic zones (in *Dega* or high altitude and *Dry Woina Dega* or mid-altitude) with cereal crop-based or mixed crop-livestock farming systems, high altitude and high rainfall, high potential productivity and moderate to severe land degradation, longer growing periods and high population density. There are also some woredas which are in the lowland agro-climatic zones where farming is crop-livestock mixed or annual/perennial crop-livestock mixed farming system is practiced. The environmental and socioeconomic milieu of the intervention areas are characterized by high production potential but with significant limitations due to severe land degradation, high agro-ecological variability and diverse farming systems, high population density and land fragmentation. Those areas with potential access to markets to maximize return from agricultural production, development potential for surface and ground water resources to increase production; and areas with critical importance for the

protection of vital economic infrastructures from on-going or potential erosion-sedimentation problems will be selected for intervention. The planning and implementation of the sub-project activities will be guided by the Project Appraisal Document (PAD); Project Implementation Manual (PIM); the Environmental and Social Management Framework (ESMF); Social Assessment (SA)/SMP; Resettlement Policy Framework (RPF); Gender Mainstreaming Guideline (GMG); the Community Based Participatory Watershed Development Guideline (CBPWDG); and Exit Strategy and Performance Assessment for Watershed Management (ESPAWM): A Guideline for Sustainability.

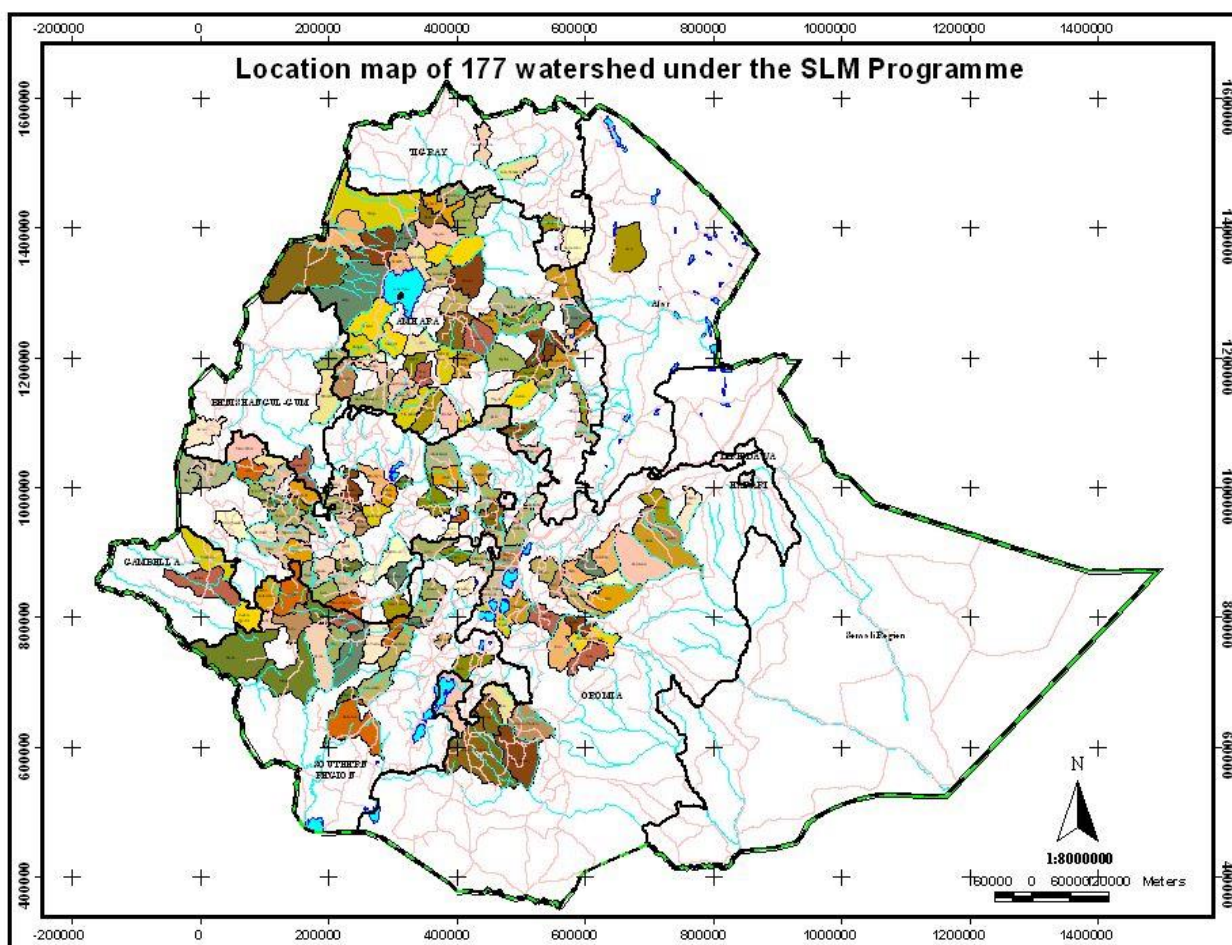


Figure 5. Location map of the RLLP watersheds

1.1.Physical Environment

Climate

The lowlands of RLLP regions are characterized by high temperature and low precipitation, whereas the highland parts enjoy suitable temperatures and ample rainfall. In general, mean annual temperature in the six regions varies from less than 10⁰c in high altitudes to over 30⁰c in tropical lowlands. The amount, duration and intensity of rainfall in RLLP regions also vary considerably. The annual rainfall in the regions ranges from 303-2,553 mm.

Soil and Geology

The major types of soil in RLLP region include Nitisols, Vertisols, Cambisols, Acrisols, Luvisols, Lithosols, Aluvisols, Arenosols and Regosols, most of which carry high agricultural potentials. However, soils on the highlands of the regions have been subjected to serious erosion due to human activities (deforestation, over cultivation, and poor farming practices). The Precambrian, Palaeozoic, Mesozoic, and Cenozoic rocks are the three main geologic formations found in the RLLP regions. Additionally, the Proterozoic rock formation is found in Tigray Region.

1.2.Socio-Demographic Characteristics of RLLP Regions

Southern Nations and Nationalities and Peoples Regional State (SNNPRS)

(a) Demographic and Economic Features

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

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

The region has undulating topography, and is dissected by the Omo river basin into western and eastern parts. The elevation ranges from 376 to 4207 m.a.s.l, the lowest part being Lake Rudolf in South Omo and the highest being Mount Goge in Gamo Gofa. About 56% of the total area of the region lies below 1500 m.a.s.l, and is largely categorized as hottest low land, *Kolla*. The rest 44% is found in the temperate climatic zone. The mean annual rainfall of the region ranges from 500 to 2200 mm, its intensity, duration and amount increases from south to northeast -northwest. The mean annual temperature ranges from 15⁰c to 30⁰c.

The larger portion of the Region is cultivated land (35%), followed by forest land (21%), and grazing land (14.9%). Agriculture is still the single most important economic activity of the Region. The land holding of peasants is generally very small and the average land holding is less than one hectare per

household. Livestock production is the region’s major economic activity, followed by enset and coffee production, fisheries, irrigation, and eco-tourism. Teff, wheat, maize and barely are the main crops grown in most of the areas in the region. RLLP will be implemented in 44 (existing 31 and newly added 13 woredas) selected woredas/watersheds of SNNPRS and lists of the woredas are found in the table 1 below. SNNPR has five national parks (Mago, Nechsar, Omo, Chebera Churchura and Maze).

Table 3: SNNPRS existing and newly added RLLP targeted woredas

No.	Existing woredas- (WB- I & II)			Newly added woredas- (WB – III)	
1	Adyo	17	Geta	1	Bursa
2	Alicho Wuriro	18	Gesha	2	Endegagn
3	Angacha	19	Hawassa Zuriya	3	Shey Bench
4	Arbegona	20	Gumer	4	Debub Ari
5	Basketo	21	Ginbo	5	Ezha
6	Boloso Bombe	22	Semen Bench	6	Debub Bench
7	Bule	23	Gibe	7	Bitu
8	Chena	24	Geze Goffa	8	Gombora
9	Hulbareg	25	Mirab Azerinet	9	Tocha
10	Kindo Didya	26	Muhurna Akilil	10	Melekoza
11	Konta	27	Oyda	11	Gena Bosa
12	Loma	28	Semen Ari	12	Kindo Koysha
13	Mareqa	29	Soro	13	Jewata
14	Masha	30	Tambaro		
15	Meinit Goldia	31	Wensho		
16	Yem Sp.				
	31			13	

(b) Ethno-Religious Features

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

Oromia Regional State

(a) Demographic and Economic Features

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

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

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

The economy of Oromia Regional State depends on agriculture, which contributes about 66% of the regional GDP and provides an employment opportunity for more than 89% of the regional population. Mixed farming dominates the livelihood of the region. Oromiya accounts for 51.2% of the crop production, 45.1% of the area under temporary crops and 44% of the total livestock population of Ethiopia. Coffee is the main cash crop in the region. The major crops grown in the region are coffee, maize, wheat, barley, teff, sorghum, peas, bean and oil seeds. The average land holding size per household in the rural areas is 1.14 hectares, compared to the national average of 1.01 hectares. 24% of the population is engaged in non-farm activities (compared to the national average of 25%). RLLP will be implemented in 56 woredas/watersheds; 39 SLMP-I & SLMP-II and 17 newly added woredas of Oromia Regional State.

Table 4. Oromia region existing and newly added RLLP targeted woredas

No	Exiting woredas (WB- I & II)			Newly added woreda (WB- III)	
1	Abay Choman	20	Gimbi	1	Tiyo
2	Abote	21	Gimbichu	2	Hetosa
3	Adaa Berga	22	Gumay (Goma)	3	Munesa
4	Amuru	23	Haromaya	4	Ziway Dugda
5	Ana Sora	24	Hawa Wollel	5	Dugda
6	Boji Dirmaji	25	Horo	6	Girar Jarso
7	Degem	26	Jimma Arjo	7	Meta Robi
8	Dendi	27	Kersa	8	Tole
9	Ejere	28	Kersa Malima	9	Akaki
10	Gachi	29	Kondala	10	Boji Chokorsa
11	Kuyu	30	Seyo	11	Borecha
12	Lalo kille	31	Sibu Sire	12	Leka Dulecha
13	Mana	32	Sigmo	13	Jardegga Jarte
14	Mettu	33	Tiro Afeta	14	Shebe Senbo
15	Nopa	34	Uraga	15	Dale Sadi
16	Omo Nada	35	Wanchi	16	Dale Wabera

No	Exiting woredas (WB- I & II)			Newly added woreda (WB- III)	
17	Sasiga	36	Warajarso	17	Dama
18	Sebeta Awi	37	Welmera		
19	Sayo	38	Woliso		
	38			17	

(b) Ethno-Religious Features

The region hosts different non-Oromo ethnic groups (Amhara, Hadiya, Sidama, etc) which account for 12 percent. The Western Oromo live mainly in the Wollega area and are settled agriculturists. The Northern Oromo live in Shoa and some areas of Wollo and are more integrated with the Amhara culture. These are generally bilingual, speaking both Amharic and Oromifa. The Southern Oromo consist of smaller sub-groups and most are pastoralists leading a semi-nomadic lifestyle. The Eastern Oromo live in East and West Harerge including in the towns of Harar and Dire Dawa. The Borana make up the fifth Oromo sub-group inhabiting the southern most parts of Ethiopia along the Ethio-Kenyan border. In the region 48% of the population are adherents of Islam, followed by 30% Orthodox Christians, 18% Protestants, 3% traditional believers, 0.5% Catholics, and 1% others.

Tigray Regional State

(a) Demographic Features

Tigray Regional State accounts for a total land area of 53,000 km², consisting of six administrative zones and 35 woredas. It shares borders with Eritrea in the north, Afar and Amhara national regional states in the east and the south, and Sudan in the west. According to CSA, 2013 national population projection data from 2014-2017 reported that the region has a total population of 4,960,003 (2,444,000 males and 2,516,003 female). The regional average land holding is estimated to be 0.5ha/household. 20 watersheds of Tigray are selected for the implementation of RLLP (14 SLMP-I and SLMP-II and 6 newly added woredas).

Table 3. Tigray region RLLP targeted woredas (SLMP-1, SLMP-2 and newly added)

No	Existing woredas (WB I & II)			Newly added woredas (WB- III)	
1	Adwa	8	Endemehoni	1	Tselemti
2	Ahferom	9	Kola Tembein	2	Mereb Leke
3	Atsbi Womberta	10	Medebay Zana	3	Hawzien
4	Degua Tembein	11	Naedier Adet	4	Kilteawlalo
5	Enderta	12	Raya Azebo	5	Saesie Tsaeda Emba
6	Ganta Afeshum	13	Seharti Samre	6	Hintalo Wajerat
7	Gulomekeda	14	Tanka Abergele		
	14			6	

Altitudes range from 500 meters up to 3,900 meters above sea level. It is situated between 12° 15' N and 14°57' N latitude and between 36°59' E and 40° E longitudes with an estimated area of 53,638 km². The mean annual rainfall for the region ranges from 600 mm in the north-eastern part to 1,600 mm in the Woredas lying in the western part. Temperature ranges between 16°C and 20°C in the eastern and central highland part while in the lowlands of the western zones it is 38°C to 40°C.

In Tigray, farm yields are generally lower in the middle highlands because of lower soil fertility and erratic rainfall. The staple crops in western lowlands of Tigray are sorghum, maize, teff, barley and wheat. Tigray is home to typical Ethiopia's grain species, notably different varieties of wheat and barley adapted to shorter or longer rainy seasons.

(b) Ethno-Religious Features

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

Amhara Regional State

(a) Demographic and Economic Features

The Amhara Regional State covers a total land area of approximately 154,000 km². The regional average landholding is 0.3 ha/household. According to the CSA, 2013 national population projection data from 2014-2017, the region has a total population of 20,018,988, out of which 84% live in rural areas. Even if more than 15 soil types are found in the region, leptosols, followed by Vertisols and Cambisols exist predominantly. Under RLLP 48 watersheds in the region are targeted for the implementation of RLLP activities (34 SLMP-1&2 and 14 newly added woredas).

Table 4. Amhara region existing and newly added RLLP targeted woredas

No.	Existing woredas (WB- I & II)			Newly added woredas (WB-III)	
1	Alefa	19	Gubalafto	1	Enarjina Enawga
2	Antsokia Gemza	20	Janamora	2	Farta
3	Artuma Fursi	21	Jabitehnan, Dembecha, Dega Damot	3	Guna Begemidir
4	Bibugn	22	Kewet	4	Gonji Kollala
5	Baso Liben	23	Lay Gaynt	5	South Mecha
6	Borena	24	Machakel	6	Quarit
7	Bure Guagusa	25	Meqet	7	Dangila
8	Chilga	26	Misrak Este	8	Fedi
9	Debay Tilatgen	27	Menz Mama	9	Gonder Zuriya
10	Delanta	28	Mirab Belesa	10	Lay Armachiho

No.	Existing woredas (WB- I & II)			Newly added woredas (WB-III)	
11	Dewe Harewa	29	Misrak Belesa	11	Mekdela
12	Ebinat	30	Sayint	12	Angolelana Tera
13	Enebsie Sarmidir	31	Sekota	13	Berehet
14	Ensaro	32	Tach Gaynt	14	Dawunt
15	Fagita Lakoma	33	Tenta		
16	Gazgibla	34	Wadla		
17	Gonji Kolela				
18	Gozamin				
	34			14	

The climatic condition of the Region is divided into temperate (Dega), subtropical (Woina Dega) and arid (Kola) agro-climatic zones, constituting 25%, 44% and 31% of the total area of the region, respectively. Mean annual rainfall of the Region varies from 700 mm to over 2,000 mm and the temperature range is between 10°C and 26°C.

Most of the region is on a highland plateau and characterized by rugged mountains, hills, valleys and gorges. Hence, the region has varied landscapes composed of steep escarpments and adjoining lowland plains in the east, nearly flat plateaus and mountains in the center, and eroded landforms in the north. Most of the western part is a flat plain extending to the Sudan lowlands. The high population growth rate of the region has led to severe land shortages and rapid natural resource degradation.

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

(b) Ethno-Religious Features

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

Gambella Regional State

(a) Demographic and Economic Features

Gambella Regional State has a total land area of 29,782.82 km², with a total population of 396,000 (207,000 males and 189,000 female) according to the CSA, 2013 national population projection data for 2014-2017. Of these, 68.7% inhabit in rural areas while 31.3% live in urban areas. The region is in the south-western part of Ethiopia, bordering with Oromia Regional State in the north and east, SNNPR in the south and east, and Benishangul-Gumuz in the north. The Region also borders the Republic of South Sudan in the south and Sudan in the west. The altitude of Gambella region ranges

between 300 and 2,500 m.a.s.l. Ago-ecologically, the region is predominantly lowland (kola), with a few midlands (Woina Dega).

The average annual rainfall of the region varies according to the different altitudes. While areas with 400 - 500 m.a.s.l of the western part receive 900 mm - 1500 mm/annum, areas over 2,000 m.a.s.l (eastern part) receive average rainfall ranging from 1,900 to 2,100 mm/annum. Accordingly, the average temperature is 17.5⁰C – 27.5⁰C and the mean annual rainfall is 900-2200mm. Most of the population of the region lives in rural areas where their livelihood is based on sedentary agriculture (crop based, livestock based and agro-forestry based) in which the region's economy is predominantly dependent. The region is endowed with abundant natural resources of expansive land and water which are the main source of livelihoods of the people. Gambela Region is endowed with vast natural resources.

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

Table 5. Gambela region existing and newly added RLLP targeted woredas

No	Existing woredas (SLMP- I & II)			Newly added woredas (RLLP)
1	Abobo	4	Mengeshi	Lare
2	Gambela	5	Itang	Jikawo
3	Godere	6	Mekuey	Dima
	6			3

(b) Ethno-Religious Features

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

The Majang

The Majang inhabit in the thickly forested area of the south-western edge of the Ethiopian plateau. It is bordered on the west by Anywa on the south and east by the Southern Nations Nationalities and People's region and on north by Oromia Region. They belong to the Nilo-Saharan linguistic group. The Majang have a population of 12280 (6036 male and 6244 female) in Gambella Region. They reside mainly in the Majang Zone, in Mengshi and Godare woredas.

Leading a non-sedentary way of life, the livelihood of the Majang is mainly based on beekeeping, especially wild bee. Other livelihood activities include hunting, gathering and shifting cultivation, with lifestyle highly attached to the forest and forest products. Currently the Majang people are practicing maize and sorghum cultivation including fruit, coffee, spices and vegetables.

Domestic groups tend to farm plots adjacent to those of friends or kin, but the settlements remain small and constantly changing in composition (as well as in location). In resource management and land use, the Majang have indigenous institution called *Jung*. They have an indigenous forestland-related dispute settlement mechanism, called *Guten* and comprises elders and religious leaders playing important role in this regard.

The Anywa

The Anywa are Nilotic people who inhabit the Gambella region and the land across the Ethio-South Sudanese border. In Gambella regional state they live in Gambella zuria, Abobo, Gog, Jor, Dima and part of Itang special woreda. From the above mentioned woredas three of them (Gambella zuria, Abobo and Itang special woredas) are SLMP 2 and RLLP woredas as well.

The Anywa are mainly crop dependent people with fishing, hunting and gathering as their supplementary income sources. For the Anywa, while crop production (sorghum and maize) is an important activity of the rainy season, fishing in the Baro Gilo, Alwero and Akobo rivers, lakes and ponds becomes a vital means of subsistence in the dry season. Recession riverside agriculture is common and practiced by Anywa people along the Baro, Gilo and Akobo rivers. Wild food consumption is part of the daily dietary intake as hunter gatherers from the natural forest resources.

The Anywa are polygamous society and favor living in extended family groups in settlements established in isolated pockets on the banks of the Gilo and Baro Rivers, in front of their agricultural fields. A grass-roofed main hut for sleeping, a smaller version for grain storage, and chicken coops comprise typical Anywa family holdings. The Anywa worship Ochudho. For them, Ochudho or god of the river is responsible for the origin of their kings and chiefs. Like many other Nilotic people. The Anywa have a complicated age-system in which different generation groups bear names that signify major happenings in their past. The population of Anywa is estimated to be 158,875 of which 77,822 are female (CSA, 2013-2017 Population Projection, 2013)

The Nuer

The Nuer people, who live on the plains around the Baro River in the Gambella region of Ethiopia, are traditional cattle herders. They depend on farming, hunting, and fishing. Farmers exercise two cropping seasons in a year: the first one is during the rainy season May to August and the second in October to February when the flood recedes.

Their language belongs to the Nilo-Saharan African language family like their neighbors, the Anuak. The Nuer people are largely livestock dependent and are mostly found in Akobo, Jikawo Lare, Makuey and parts of Itang special *woredas*. During rainy seasons, these areas become flooded and the people migrate to where there is no flood with their cattle until the riverbanks recede. The population of Nuer ethnic group is estimated to be 149,410 of which 68,907 are females (CSA, 2013, projection of 2017 population)

The Nuer are agro-pastoralists practice mixed farming system (both animal rearing and crop production), they grow more millet and maize. They not only depend on cattle for many of life's necessities but have mentality to consider land as an important asset for different use options. Cattle are their dearest possession and they gladly risk their lives to defend their herds. The attitude of Nuer towards and their relations with neighboring peoples are influenced by their love of cattle and farmlands.

The Nuer's living pattern changes according to the seasons of the year. As the rivers flood, the people should move farther back onto higher ground, where they cultivate millet and maize. In the dry season, the younger men take the cattle herds closer to the receding rivers. Cooperative extended family groups live around communal cattle camps. Parallel to territorial divisions are clan lineages descended through the male line from a single ancestor. These lineages are significant in the control and distribution of resources, and tend to coalesce with the territorial sections. Marriages must be outside one's own clan and are made legal by the payment of cattle by the man's family to the woman's family, shared among various persons in the clan.

The Opou

The Opou people are one of the five ethnic groups living in Gambella Regional State. They live in Itang special *woreda* (at Wnke and Mera kebeles). The total population of Opou ethnic group is 1161 (CSA, 2013). The Opou are mainly crop dependent people (Maize, Millets and Sorghum) with hunting and gathering as their supplementary income sources. They also practice beekeeping.

Benishangul-Gumuz National Regional State

(a) Demographic and Economic Features

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

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

Table 6. Benishangul Gumuz region existing and newly added woredas

No	Existing woredas (WB I & II)			Newly added woredas (WB-III)
1	Bambasi	7	Homosha	Debati
2	Agalometi	8	Kemashi	Oda
3	Assosa	9	Mao and Komo	Assosa
4	Belogiganfoy	10	Pawii	Yaso
5	Bullen,	11	Wombera	
6	Dangur			
	11			4

(b) Ethno-Religious Features

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

The Gumz

Metekel is one of the three administrative Zones of Benisahnul-Gumz Regional State which is in Western Ethiopia. The other two administrative Zones are Kamashi and Assosa. Metekel Zone comprises seven *woredas*: Bulen, Dangur, Wombera, Dibate, Guba, Pawe and Mandura. Five of the seven watersheds of the administrative Zones are RLLP *woredas*.

Originally, most of Metekel zone was occupied by the Gumz and Shinasha people, also Kamashi was occupied by the Gumuz, a cultural group that belongs to the Nilo-Saharan language family. Shifting cultivation (also called slash-and-burn agriculture or horticulture) is a system of production common in tropical forest environments and savannas, where clearing the land requires extensive labor. In order to clear a plot of land for planting, the Gumz cut down or slash bamboo trees and bushes beginning in November and then burn them immediately before the rainy season begins in April. The Gumz grow a variety of crops such as cereals, oil seeds, legumes, and root crops. The most

commonly grown cereals include finger millet, sorghum and maize. Finger millet and sorghum are staple crops. Sesame and Niger seed are oil seeds often used as cash crops. Depending on the type of soil, plots are cultivated for a few years (often 3-4) and then allowed to lie fallow for several years (often 5-7 years) for the restoration of soil fertility. During this period, the Gumz move to other places to practice shifting cultivation there.

In times of food shortage, the Gumz resort to the more ancient practices of hunting, fishing, and gathering. They also engage in honey collection (apiculture) and gold mining. For resource management and land related conflict resolution the Gumuz have indigenous institution called Tomba.

The land tenure system of the Gumz has been a “controlled access” system, combining individual possession with communal ownership. Members of the society enjoy equal access to communally owned land, such as cultivable virgin lands, forested areas, grazing and/or browsing land, and riverbanks as a matter of right. Thus, according to tradition, these resources are owned by the Gumz society in general. Gumz settlements are comprised of dwellings clustered together, with pastureland outlying the clustered villages and farmland situated away from residences. In most cases, settlements are compact and the number of households may range from 20 to 100. The nuclear family, consisting of married couples and their children, constitutes the basic unit of Gumz society.

The Shinasha

The Shinasha people practice subsistence cultivation with use of Oxen and hoes; in few areas seems like other developed region farmers farming practices. The Shinasha grow a variety of crops such as teff, cereals, oil seeds, legumes and root crops. The most commonly grown cereals include finger millet, sorghum and maize.

The land tenure system of the Shinasha has been a "household access" system, individual possession of individual owned land and using communal land in common. Members of the society enjoy equal access to communally owned land, such as forested areas, grazing and/or browsing land and riverbanks as a matter of right. Shinasha settlements in some places are comprised of dwellings clustered together, and in scatter ways around Dega and Weynadega areas of the Metekel zone.

The Berta

The Assosa zone is mostly occupied by the Berta people. The Berta people are a cultural group that belongs to the Nilo-saharan language family. The Berta people's living styles are similar with the Gumuz people.

The Mao and Komo

At present, the Mao and Komo live in Benishangul-Gumz Region, Mao and Komo special woreda, Mao and Komo are two minority groups speaking Nilo-Saharan language. Some Mao live in Mao and

Komo *woreda*, while others reside in Begi of Oromia region, Belojiganfoy of Kamashi zone and Bambasi *woreda* of Assosa zone. The populations of Mao and Komo is estimated at 51,330 (43,535 Mao and 7,795 Komo) and 19,208 of these live in Benishangul-Gumz and 24,626 in Oromia. Historically, the Mao and Komo are the most underserved group inhabiting the marginal areas in western Ethiopia. Because of their small population size, the Mao and Komo are represented by 2 seats out of 99 in the regional state council.

The major livelihood activity of the Mao and Komo communities is agriculture, and the crops produced include teff, maize, millet and dagusa. Goats, sheep and cattle are the major livestock in the area. Coffee and *Chat* are the main cash crops the Mao and Komo produce. Gold is present in the region, and the Mao and Komo Special *Woreda* are involved in traditional gold mining. The Mao and Komo have customary conflict management institutions, referred to as *Shumbi* and gives orders for the settlement of conflicts in line with which the council of elders gather to deliberate and adjudicate.

Part 6: Institutional and Implementation Arrangements

6.1 Arrangements of the RLLP

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

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

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

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

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

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

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

6.2 Arrangements for environmental and social safeguards

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

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

Regional Project Coordination Unit (RPCU): The RPCU will designate/recruit one environmental and social safeguard specialist who will follow the overall implementation of the ESMF, SA, RPF and GMG at woreda, kebele and community level and who shall undergo training in environmental

and social safeguards aspects of subproject preparation, review and approval. They will closely work with the regional infrastructure and watershed specialists of the region during the planning and construction time in order to avoid the late occurrence of impacts on the environment and the community. They will collect the performance of safeguard activities from the woreda; undergo a detail analysis on the quality of reports, and the implementation of mitigation measures on a specified period of time. They will review the subprojects referred to the region for ESIA together with the regulatory institution or delegated regulatory body of the region. A consolidated plan will be sent to the national project coordination unit through the M&E unit of the project and a separate standalone report to the NPCU safeguard specialists.

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

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

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

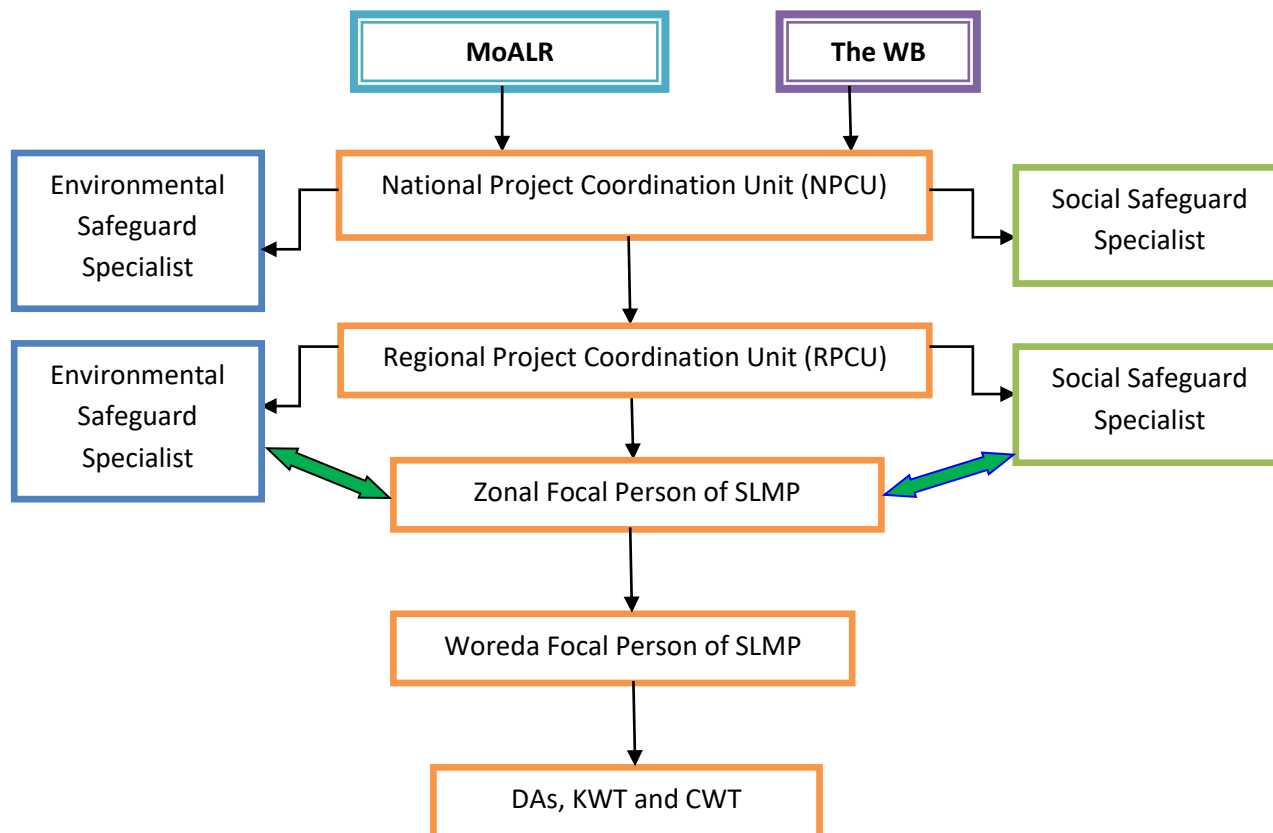


Figure 1. Institutional arrangement of environmental and social safeguard

Part 7: Sub-project Identification and Watershed Planning Process

Sub-projects are 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 during the planning and implementation of RLLP activities. The DAs at the Kebeles and the Kebele Watershed Team members will provide the necessary technical support to the Community Watershed Team during the identification, planning and implementation of the activities. The planning process is guided by the MoALR Community Based Participatory Watershed Development Guidelines. The list of identified sub-projects will then be referred to the KWT with the support of Development Agent.

Part 8: Community Consultations views, concerns and recommendations

1.3. Views of the Community

RLLP's Development and Global Environment Objective is to improve livelihoods, climate resilience, carbon storage, and land productivity in targeted vulnerable rural watersheds in six regions of Ethiopia and its objectives will be achieved through the provision of capital investments, technical assistance and capacity building for smallholder farmers and government institutions at all levels. RLLP is implemented by the community, primarily at the grassroots level. The project will be implemented on both common and individual/household landholdings and will be executed by the community. Since some of the project activities; such as, investment on green infrastructure for resilient landscape component are expected to include small infrastructural projects that require some land acquisition (temporary or permanent) and could also potentially reduce/restrict access to natural resources (in the case of afforestation/reforestation and rangeland management etc.) involve land acquisition or restriction of access to common resources such as afforestation or pasture lands, there is a need for closer community consultation and participation.

Public consultation and participation are essential because they afford potentially affected persons the opportunity to contribute to both the design and implementation of the sub-project activities. The sub-projects would be initiated, planned, designed, implemented and operated (i.e., demand-driven) 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. 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.

Broad Community Support: The consultation for updating the social assessment reached out 436 people (306 men and 130 female) in six regions, twelve woredas and sixteen kebeles. In light of this, public consultations have taken place in the existing SLMP-2 and watersheds selected for RLLP and the data generated from those exercises, revealed that the project has broad community support. Among the many results of the community consultations; community interest in the project was ascertained. For instance, in Lare and Jikaw woredas of Gambella national regional state community members stressed that the changes brought about by the Project in the adjacent Project *woredas* under SLMP-II and the benefits 12delivered in terms of land rehabilitation and involving in different income generating activities (IGA) caused them to feel that they missed the opportunity. They indicated that they gained lessons about the practical value of the Project from the successes achieved. Some of the successes the new project communities are impressed in and appreciated while consultation was held include Lare and Jikawo of Gambella, Endegagn of SNNP, South Mecha and Dangela of Amhara.

The public consultations revealed that the communities were interested in the project due to the successes observed in adjacent SLMP-II woredas. They said that, SLMP II targeted areas have nursery sites in nearby and got seedlings for planting but we walked long distance searching for seedlings. Communities involved in IGA like beehive, poultry, and sheep fattening got income and could send their children to school, able to buy heifer etc. during the consultation, we learned about opportunities to benefit from a project called RLLP and we are happy; our community will be changed like the adjacent woredas. Similarly, in Endegagn wereda of SNNP regional state the community expressed their views by saying that though we did not get the chance to be targeted for SLMP-2; we observed changes brought in the adjacent project Woreda (Merab Azerenet). Therefore, if our Woreda targeted for RLLP we hope that all the changes in the landscape and benefits from

income earning will be brought to us too. Moreover, our wereda have a good experience and results in mass mobilization so if the project includes our woreda it will build up on the results achieved so far and we are happy if we are targeted.



Discussion with community members in Teffeka Kebele Endegagn woreda (SNNPR)



Community consultation in Gambella regional state; Lare wereda Palbuol kebele



Community consultation in Gambella regional state; Lare wereda Palbuol kebele

In the same manner during community consultation in South Mecha and Dangela woredas of Amhara national regional state communities expressed that this area was not like this, there was forest and bushes but now it became degraded. Therefore, if RLLP come to our woreda we hope the area will be rehabilitate and change will come and we are ready to support the project in what we can; like contributing local materials and labor. In addition, they expressed their fear by saying before now some projects came and promised to work in the area and they didn't come again so this (RLLP) project should not repeat the same.

Generally, during the discussion with community members in newly selected woredas community members were not only unanimous in their interest and support for the project, but also are aware of the potential impact of some activities of the project components in terms of possible land acquisition or restriction of access to communal use natural resources. When compared to the kind of environmental degradation they are facing now, acquisition of small portion of their lands for construction of access roads or temporary restriction of access to communal grazing lands is the little price they are more than willing to pay. However, they said the approach should be with thorough discussion with community, elders, religious leaders/fathers, clan leaders and indigenous institutions before starting implementation of such activities. In contrary when community members asked if they have any concern about the project implementation they expressed by saying we fear that during implementation, people who are near to kebele administration and active might benefit from the project by neglecting the majority. In addition, they expressed that we might face loss of access to communal land which we were using for grazing, firewood collection or other benefits. Therefore, they suggested that when the project begins implementation there should be participatory community consultation.



Community consultation in Benshangul Gumuz regional state; Debati wereda Kido kebele

Land Acquisition: In SLMP-2 the subproject/activities need arise from the community and, during planning, the community discusses thoroughly about the location of the activity and land acquisition issues, if needed. 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 will implemented as planned.

Accordingly, in few of the SLMP-2 watersheds, communities agreed to voluntarily provide a small piece of land in exchange for desired community benefits. 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. Based on this in most cases the donation of the land is 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 will be very small.

Voluntary land donation documentation confirmed that, in SLMP-II the nature of land take is voluntary (land for land, cash from woreda budget, benefit from the activity, hired in nursery site) as desired community benefits with acceptable benefit arrangements. The SLMP-II activities voluntarily acquired 12.88 ha land from 322 HHs mainly losing less than ten percent of their land holding. The access road construction and widening the existing foot path has resulted in voluntary donation and the amount of land acquired from households is very small compared to the other subprojects.

The data from new woredas about land acquisition for development work also show that communities have experiences in government initiated/financed development works such as irrigation schemes, farmer training

centers (FTCs) construction of health posts, clinics, and access road construction which involved some form of land acquisition and restriction of access to natural resources. They mentioned cases where people donated land for construction of access roads for the common good. Also depending on the size of land to be acquired for road construction or the extent of restriction of access resulting from irrigation scheme, through rigorous consultations, mediated by council of elders and kebele administration, replacement lands (e.g., common landholdings or *mote-kedameret* – land left behind by the dead person with no inheritance) were given for the project affected households. But in one of the consulted woreda community expressed their fear by saying if land acquisition for development work happen as we don't have common land for replacement for affected persons the woreda should allocate budget in advance to pay for compensation.

Summary of Public Participation and Consultations with Stakeholders in Implementing Regions

Public Consultation was conducted as part of the participatory approach aimed at gaining good knowledge of the social issues/risks associated with the program as perceived by the RLLP targeted communities. It was also aimed at exploring and soliciting feedback on the operational steps; land acquisition related issues, compensation, grievance redress mechanism and broader context of implementation arrangements. The consultation was believed to promote community ownership of the RLLP, enhance sustainability and seek their board support for the program implementation. Moreover, it provided opportunity for communities to make contributions aimed at strengthening the development program while avoiding negative impacts as well as reducing possible conflicts.

Pillars of community consultation and participation

- 1) Ensure participation and meaningful consultation of the nations, nationalities and peoples of Ethiopia to enhance the capacity of citizens for development and to meet their basic needs,
- 2) Ensure equal opportunities and participation for women with historical disadvantages such as property use, ownership and inheritance, employment, payment,
- 3) The constitution provides the right to hold opinions without interference to seek, receive and impart information and ideas and freedom of association for any cause or purpose.

Community Consultation and Participation focused on four key RLLP agendas,

General discussion and information on concepts, causes, potential impacts/risks and mitigation options.

1. **Investment in Green Infrastructure and Resilient Livelihoods:** The objectives of this component are to support the restoration of degraded landscapes in selected micro-watersheds and to help build resilient livelihoods on this newly productive foundation. This will be achieved through: (i) the implementation of sustainable soil and water conservation practices in line with Multi-Year Development Plans (MYDPs) in SLMP-II and newly identified watersheds; (ii) support for the adoption of climate-smart agricultural practices in all project watersheds; and (iii) promotion of livelihood diversification and linkages to value chains in all project watersheds.

2. **Strengthening 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
3. **Land Administration and Use:** The objective of this component is to strengthen land tenure and the land administration system in project areas, improving incentives for beneficiary communities to invest in sustainable landscape management
4. **Project Management and Reporting:** The objective of this component is to effectively implement and report on project activities with due diligence and integrity.

General level of awareness and understanding on RLLP

- ✓ The consultation evaluated the level of understanding and the adverse impact of environmental degradation in their area and the positive impacts of soil and water conservation activities. The consultation participants identified, annual mean temperature increment, rainfall variability, increasing intensity of droughts, clearly witnessing agro-ecological changes, increasing frequency of flooding and soil erosion.
- ✓ During the interactive consultation and discussions, the participants identified the causes for environmental degradation as deforestation as agricultural expansion, population density, and overgrazing.
- ✓ Whereas, the impacts covered, diminishing water supply, declining agricultural productivity, flooding and higher risk of drought, health problem, and increasing social tension and conflicts.
- ✓ Communities and participants suggested mitigation options of the grave environmental degradation through the RLLP such as watershed management, continued consultation and awareness creation, introducing alternative energy sources, improving livelihoods.

General Agreements

- ✓ There is a clear understanding by the local communities in regions that maintaining or recovering natural resources improves rainfall pattern and water availability, provides clean air, and contains wild animals, birds and source of biodiversity, while boosting productivity in honey and traditional medicine.
- ✓ There is a general understanding that RLLP intervention in their respective regions will help sustain natural resources management and biodiversity (flora and fauna) of protected areas as well as increase the forest cover of the regions.
- ✓ Participants of the consultation provided their broad community support through willingness to participate and commitment to protect their natural environment and address environmental problems and facilitate the implementation of RLLP.

1.4. Concerns raised during consultation

- ✓ Ever increasing scarcity of land resources for agricultural practices in the region has escalated the problem of encroachment for cultivation, grazing and settlement in and around area closures and rehabilitated watersheds in their respective regions.
- ✓ Intensive and frequent consultation with local community should be carried out prior to commencing the implementation of RLLP activities considering the prevailing context and challenges (e.g., over grazing).
- ✓ Watersheds and protected areas management plans preparation need to involve local communities on demarcation, restriction of access, use and alternative benefits to ensure sustainability and get broad community support.
- ✓ Strengthening and proper utilization of local institutions of natural resource access, use and conflict resolution would increase the viability of RLLP. This could include customary grazing land management system associated with well groups for drinking and livestock; political, governance and conflict resolution institution, traditional resource access and management system; seasonal pasture, water and shelter access and use management system; condemn illegal and non-acceptable community members' practices which helps in conserving RLLP investments.
- ✓ Community members stressed that lack of sufficient consultation and awareness creation on the basics of environment and natural resource management with the broader community during the implementation of RLLP could cause conflicts with communities and land owners on use and access right.
- ✓ Underserved, vulnerable groups and the landless having impoverished families and small land have little livelihood alternative to support their families.
- ✓ The RLLP intervention might further restrict access and supply of traditional energy sources, (i.e., fuel wood)
- ✓ Community members have concerns that RLLP related activities may take land, and/or property and reduce their access to natural resource without proper consultation, engagement and compensation.

1.5. Recommendations

- ✓ The success of RLLP implementation lies on giving due attention for consultation, participation and engagement of all stakeholders including local communities. Participants recommended continuous awareness raising programs on RLLP program objectives, watershed management and land use management.
- ✓ Devising alternative approaches (using income from RLLP to introduce diversified income generation schemes) to accommodate the emerging challenges of benefit sharing.
- ✓ Establishment of watershed user associations should be established and strengthened through continuous community consultation involving the whole communities, village leaders and

community elders and other key persons to increase ownership, inclusiveness, avoid disappointment and ensure sustainability while garnering broad community support.

- ✓ Improve the supply and distribution network of improved stoves to the community.
- ✓ Improve marketing and value addition of the products in the RLLP intervention areas,
- ✓ RLLP successes in the enabling investment activities depend on establishing equitable benefit sharing mechanisms learning from already existing SLMP-2 activities. The process should be participatory, respect for the community ideas such as priorities before engaging in actual implementation
- ✓ The RLLP will use Resettlement Policy Framework (RPF) for any land acquisition to pay adequate compensation if displacement happens and will provide sustainable livelihood or income generating activities for Project Affected Persons (PAPs). The updated RPF has included a section on the management of access to and use of natural resources.



Consultation with community and woreda stakeholders Kayise and Tembel Kebele, South Ari woreda; SNNPR



Consultation with community members in, TsenTsalo Kebele, Assossa woreda, Benshangul Gumuz

Part 9: Grievance Redress Mechanism in RLLP

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

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

The GRM guideline includes the procedures, focal persons, and time frame at each level of administrative hierarchy. Awareness creation training was given to responsible woreda experts of stakeholder offices, development agents (DA). Communities are aware of the mechanism (their rights, where to apply) and any person within targeted watershed who had complaints regarding the activities of the project during preparation/designing, implementation and operation phases had access to the mechanism and get responses. According to SLMP 2 experience; common cases of complaints are targeting for IGA, targeting for SWC activities on communal land and payment is not according to my work. Therefore, as the mechanism already operational in SLMP 2 watersheds

will continue to serve the same purpose in newly added woredas during the implementation of RLLP. Yet documented appealing and redress needs to be strengthened by RLLP. See annex 4: for detail RLLP grievance redress mechanism guideline.

i) Scope of GRM

The scope of the issues to be addressed in RLLP Grievance Redress Mechanism (GRM) will be all complaints arising from RLLP activity implementations. Any person within RLLP 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 MoALR/RLLP National PSU 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. 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 MoALR/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 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 to be transparent, accountable and responsive. Accordingly, the steps of the GIRP at each level are outlined as follows.

iv) Structure, Steps and Timeframe

4.1) 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.

4.2) 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 compliant. 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.

4.3) 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 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.

4.4) 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 Landscape and Livelihood Project (RLLP) focal person at Woreda Agricultural Office.
- Step 2: Based on the appeal or complaint received from complainant, the (RLLP) focal person at Woreda Office Agriculture and Natural Resources (WoALR) 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:5

Part 10: Scope and Nature of Land requirement

During SLMP-II implementation according to regional reports, information from field visit and discussion with affected persons indicated that access road construction, afforestation, community pond, hand dug well, nursery establishment, and small-scale irrigation activities necessitated acquisition of small piece of plots. These plots were acquired on voluntary bases and by giving compensation to the owner in the form of land for land, cash compensation from government budget and benefit arrangement from implemented activities. In SLMP-2 the intervention needs arise from the community and, during planning, 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.

In few of the SLMP-2 watersheds, communities agree to voluntarily provide a small piece of land in exchange for desired community benefits. 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.

Based on this in most cases the donation of the land is 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 will be very small. Regarding the size/proportion of the donated land it is less than 10% of the total land holding of the donors. Voluntary land donation documentation confirmed that, in SLMP-II the nature of land take is voluntary (land for land, cash from woreda budget, benefit from the activity, hired in nursery site) as desired community benefits with acceptable benefit arrangements. The SLMP-II activities voluntarily acquired 12.88 ha land from 322 HHs mainly losing less than ten percent of their land holding. The access road construction and widening the existing foot path has resulted in voluntary donation and the amount of land acquired from households is very small compared to the other subprojects.

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 RLLP proposes to rely on voluntary land donation (VLD). The procedure should include trying to avoid by finding other alternatives, changing

design or location or otherwise if the land holders are willing/agree to donate the land (VLD) the activity will be implemented. During implementation of VLD if it is household/family land consultation with family members (including spouses) must be made and family must be aware that refusal is an option; If the land is communal land individuals using or occupying the land must be identified and consulted to minimize the risk of settlers and local communities losing their livelihood due to the land donation decision.

If the land that may be donated is household/family land the proportion of the land must not exceed 10% of the total land holding of the donor and must not be the donor's main source of income; this is not significantly affect the donors' livelihood. Moreover, VLD should not occur if it requires physical relocation, loss of structures or fixed assets on affected portion of land.

A formal statement or minutes for all consultation and discussion with the land holders, their interest and agreed actions including schedule should be signed and documented at kebele and woreda MoALR offices and should be reported for enhanced transparency

For detail operation please refer Guidelines for Voluntary Land Donation for RLLP; Annex:4

Part 11: Legal Framework

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

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

Political Economy and Governance in Ethiopia

Land rights in Ethiopia do not explicitly provide private property rights. After the *Proclamations No. 31/1975 and 47/1975*², ownership of land was vested in the State, and Ethiopian citizens were given various forms of use-rights (usufruct) over land and other resources. Accordingly, the *1995 Constitution Article 40(3)* recognizes land as a common property of the Nations, Nationalities, and Peoples of Ethiopia and prohibits sale or any other exchange of land.

In some cases, the user of land has ownership of his/her possessions with the right to benefits from the fruits of his/her labor. This includes crops, perennial crops, tress for timber, etc. found on the land or any other permanent fixtures such as residential house, business installations, stores and fences, amongst others (*Proclamations No. 31/1975 and 47/1975*). The *1995 Constitution Article 40(7)* reiterates and furthers this point by stating, "Every Ethiopian shall have the full right to the immovable property he builds and to the permanent improvements he brings about on the land by his labour or capital. This right shall include the right to alienate, to bequeath, and, where the right to use expires, to remove his property, transfer his title, or claim compensation for it."

Regional states are responsible for administering land, enacting law that is in conformity with the provisions on environmental protection and federal utilization policies (*Proclamation No. 89/1997 and Proclamation No. 456/2005 Article 17(1)*). Additionally, *ZikreHig Regulation No. 6/2002* provides for the lease holding of urban land for a specific period, and regulates the lease period for different functions, grade of land and payment of lease. Lastly, the law regulates manners of expropriation of land and designates land that can be expropriated for public use without payment of compensation.

²Before 1975, the 1960 Civil Code of the Empire provide for private land ownership. As this law has been overruled by these laws and *Proclamation No. 455/2005* regarding compensation, it should not serve as the legal framework for resettlement.

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

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

Institutional Arrangement

In line with the Government’s policy of decentralization, the key institutional actors involved in resettlement are the local governments of Ethiopia at the *woreda* and *kebele* levels. The responsibilities of the federal and regional governments are confined to the actual project’s implementation. Agencies that tend to be included are the federal regional and *woreda* ministries of Finance and Economic Development and the ministries associated with the sector of the project.

Compensation and resettlement committee List and Responsibilities of Sector offices

Committee	Representatives
<i>Woreda</i> Compensation and Resettlement Committee	<ul style="list-style-type: none"> • Woreda Administrator • Woreda Office of Finance and Economic Development • Woreda Office for Agriculture and Livestock Resources • Woreda Office for Water resource, irrigation and mining Development • Woreda Office for Women, and Children • Woreda Office for youth and sport • Woreda Health Office • Woreda Education Office • Woreda Environment, forest and climate change office (if structure available at woreda) • Representative from local NGO or CBO • Livestock and fishery office • Community Representative • Rural land administration representative • Road and transport office • Food security office • Office of justice • Other relevant offices
<i>Kebele</i> Compensation and Implementing Committee (Rural)	<ul style="list-style-type: none"> • Kebele Administrator (Chairperson); • Representative from Kebele land administration and use committee • Kebele Development Agent (extension worker); • Representative of PAPs; • Village Elder/Leader (rotating position with one Leader representing several villages and attending in rotation, depending on the village and affected party being dealt with); • Representative from local NGO or CBO • Women representative • Youth representative • Religious representative • Other relevant persons

The *Woreda* Committees are responsible for:

- evaluating the projects and determining if a RAP is necessary, establishing *kebele* level committees;
- clarifying the policies to the *kebele* compensation committees;
- establishing standards to unit rates of affected assets and compensation estimates according to the guidelines in the RPF;
- coordinating and supervising implementation by *kebele* compensation committees as stipulated in the RPF;
- ensuring that appropriate compensation procedures are followed; and
- Overseeing the project's requirements related to social impacts included resettlement and compensation.

The local *Kebele* Committees are responsible for:

- Validating inventories of PAPs and affected assets;
- Allocating land where required to permanently affected households;
- Monitoring the disbursement of funds;
- Guiding and monitoring the implementation of relocation;
- Coordinating activities between the various organizations involved in relocation;
- Facilitating conflict resolution and addressing grievances; and
- Providing special support and assistance to vulnerable and underserved groups.

Property and Land Rights in Ethiopia

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

The power to expropriate landholdings for a development project belongs to a *woreda* (rural local government) or urban administration (*Proclamation No. 455/2005 Article 3*). The implementing agency is required to provide written notification, with details of timing and compensation, which cannot be less than 90 days from notification (*Proclamation No. 455/2005 Article 4*). Any entitled landholder who has been served with an expropriation order shall hand over the land to the local *woreda* or urban administration within 90 days from the date of payment of compensation should the leaseholder accept payment. Furthermore, where there is no crop or other properties on the expropriated land, the titleholder shall hand over the land within 30 days of receipt of expropriation order. Lastly, *Article 4 (3)* gives power to use police force if a landholder is unwilling to hand over land.

The implementing agency is responsible for gathering data on the land needed and works, and sending this to the appropriate officials for permission. It is also required to compensate affected landholders (*Proclamation No. 455/2005 Article 5*).

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

Acquisition and Valuation of Land and Other Assets

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

owners of the structures within the ROW would assess the value of properties to be removed. However, the law does not consider depreciation values. The landholder is entitled to be compensated for the property based on replacement cost. Permanent improvements to the land, equal to the value of capital and labour expended (*Proclamation No. 455/2005 Article 7*), are specified as valid basis for determining replacement value. Where property is on urban land, the law specifies that compensation “may not be less than constructing a single room in low cost house as per the region in which it is located.” It is also required that the cost of removal, transportation, and erection be paid as compensation for a relocated property, continuing its service as before. Compensation will also be based on current cost, cost of demolishing, lifting, and reinstalling. Valuation formulae are to be provided by regulations (*Proclamation No. 455/2005 Article 7*).

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

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

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

In addition to compensation according to *Proclamation No. 455/2005 Article 7*, a displacement compensation shall be paid equivalent to ten times the average annual income he/she secured during the five years preceding the expropriation of the land (*Proclamation No. 455/2005 Article 8(3)*). Compensation will be in an amount sufficient to reinstate displaced people to their economic position prior to displacement, the regionally relevant administration is required to give another piece of land to any person who lost his land in favour of a public project (*Proclamation No. 455/2005*). The assessment of compensation does not include the value of the land itself because land is a public property and not subject to sale in Ethiopia.

Those with informal, or undocumented rights, and those without titles or use right (e.g. squatters, encroachers) are eligible for specific assistance. Such assistance recognizes some “typical claim to use rights or even ownership” after occupation of unused or unprotected lands has been established.

Informal use-rights are likely to have structures or land improvements that are eligible for compensation, as stated in *Proclamation No. 455/2005*.

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

The local and federal governments have different roles in compensation. The *woreda* and urban administrations are responsible that compensation is paid and giving rehabilitation support to the extent possible, and maintain data regarding properties removed from expropriated landholdings (*Proclamation No. 455/2005 Article 13*). The Ministry of Agriculture and Natural resources with coordination of concerned Regional Bureau has a duty to ensure there is compliance with *Proclamation No. 455/2005* at the regional level, to provide technical and capacity building support in implementation at the regional level, and prepare the valuation formulae (*Proclamation No. 455/2005 Article 12*).

- All RLLP subprojects or other household livelihood diversification interventions shall go through Environmental and Social impact screening as per the ESMF, RPF, and SA. For subprojects confirmed to have adverse impact, social survey will be conducted to determine scope and nature of impact due to resettlement. Then Resettlement Action Plan (RAP) shall be prepared to address the adverse impacts and key social issues. RAPs will also be provided to the Regional Program Coordination Unit for review and clearance for each Subproject or other livelihood interventions to be considered eligible for Bank financing.
- For all subprojects/household-based interventions triggering Involuntary Resettlement OP/BP 4.12, a RAP shall be prepared. OP/BP 4.12 and the outline of RAP is provided in Annex 2.
- Because of the possibility of minor land acquisition in the subprojects activities, the project will explore alternative design to avoid physical relocation and where it is not feasible to avoid relocation, and if needed will obtain broad community support as part of the process of “free, prior, and informed consultation to fully identify target beneficiaries’ views and ascertain their broad community support for the project” and will prepare a RAP in accordance with this Framework, compatible with cultural preferences and land acquisition plan.

Entitlements and Compensation

The people of Ethiopia are given the right to improved living standards and sustainable development and the right to be consulted with respect to policies and projects affecting their communities (*1995 Constitution Articles 43(1) and 43(2)*). Additionally, all international agreements and relations by the State must protect and ensure Ethiopia’s right to sustainable development (*1995 Constitution Article*

43(3)). Lastly, the *1995 Constitution Article 44* guarantees the right to a clean and healthy environment.

The *1995 Constitution Article 40(8)* provides that “without prejudice to the right to private property, the State may expropriate private property for public use with the prior payment of adequate compensation.” The words “prior” and “adequate” are in line with the Universal Declaration of Human Rights. This manifests rights to citizens for basic services and programs, including facilities to guarantee education, health, and housing.

Persons who have been displaced or whose livelihoods have been adversely affected by a State program are provided, under the *1995 Constitution Article 44*, to some form of compensation for their loss including relocation expenses.

Dispute Resolution and Grievance Redress Procedures

The *kebele* (local level government structure smaller than a *woreda*) shall discuss and agree to the proposed expropriation (*ANRS Proclamation No. 133/2006*). The *ANS Directive No. 7/2002* provides for the expeditious decision-making system regarding expropriation of urban land. It describes the composition of the jury members: a justice officer as chair-person, two residents of the town where the land is located, and two representatives of government offices. The decision of the Appeals Court regarding basic land expropriation issues is final; however, an appellant could take the cases related to the amount of compensation, delays in payment, or similar cases all the way up to the High Court.

If misunderstandings and disputes arise between the principal parties (e.g. local government bodies and affected parties) involved in the resettlement and compensation process, the preferred means of settling disputes is through arbitration (*Proclamation No. 455/2005*). The number and composition of the arbitration tribunal may be determined by the concerned parties. Though *Proclamation No. 455/2005* provides for appeals from valuation decision, such action will not delay the transfer of possession of land to the proponent.

A complaint related to the amount of compensation shall be submitted to the regular court having jurisdiction (*Proclamation No. 455/2005 Article 11(1)*) if the administrative body for handling disputes has not yet been established. Appeals for dispute resolution may be referred to the High Court (*Regulation No. 51/2007*). The regular court having jurisdiction within the region may also be involved in implementation and compensation of resettlement if the administrative organ to hear land grievances has not yet been established (*Proclamation No. 455/2005 Article 11(1)*). Similarly, if the landholder is not satisfied with the decision of the compensation grievance review committee, the case may be referred to the High Court (*Regulation No. 51/2007*).

Comparison to World Bank OP/BP 4.12

There are some gaps between Ethiopian laws and regulations and the requirements for resettlement as laid out in OP/BP 4.12. The Ethiopian laws and regulations are somehow incompatible with the Bank's OP/BP 4.12 provisions. Below is a short discussion of the most important differences.

While OP4.12 requires that livelihood restoration plan (LRP) preparation and implementation for economically and /or physically displaced persons; Ethiopia law did not emphasize LRP for affected communities.

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

However, no specific provision is made in the Ethiopian laws to accommodate the potential adverse impacts of development projects for the vulnerable groups such as women, children, the elderly, historically disadvantaged ethnic minorities, the landless, and those living under the poverty line. These groups are at highest risk to experience negative effects due to resettlement, and should receive special consideration during the preparation of a resettlement policy framework to assure that they can maintain at least the same standard of living after displacement takes place. Finally, there is also no provision in the law that the state should attempt to minimize involuntary resettlement. However, this appears to be implicit in the country's *Constitution*. Where there is a difference between OP 4.12 and Ethiopian law, the higher standard shall prevail.

Part 12: Compensation for Land and Other Assets

The RPF guidelines apply to RLLP component one (*Investment on green infrastructure for resilient landscape*) if they are directly funded in whole or in part by RLLP. The RPF applies to activities of community sub-project or household livelihood diversification enterprise affecting those who would be physically displaced or who would lose some or all access to resources, and regardless of the total number affected, the severity of impact, and their legal status (e.g. the RPF guidelines apply also to those with ill-defined or no title to the land).

PAPs may be classified in one of the following three groups:

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

Persons covered under (a) and (b) above are provided compensation for the land they lose, and other assistance. Persons covered under (c) above are provided resettlement assistance in lieu of compensation for the land they occupy, and other assistance, as necessary, to achieve the objectives set out in this policy, if they occupy the project area prior to a cut-off date established by the borrower and acceptable to the Bank. Persons who encroach on the area after the cut-off date are not entitled to compensation or any other form of resettlement assistance. All persons included in (a), (b), or (c) are provided compensation for loss of assets other than land.

The RPF provides special attention to the needs of vulnerable groups among the PAPs, especially poorer households, including the landless, elderly, disabled, women and children, ethnic minorities, and other historically disadvantaged people. The activities in RLLP that are expected to have some land acquisition or restriction of access include the following:

- (i) Soil and water conservation measures;
- (ii) Treating degraded lands and gullies on both individual and communal lands;
- (iii) Scaling up appropriate agro-forestry systems/practices;
- (iv) Introducing forest and wood land management practices such as participatory forest management (PFM);
- (v) Establishing central, communal and private nurseries;
- (vi) Introducing biodiversity conservation techniques at community and individual farm levels;
- (vii) Establishing and/or strengthening community level protected area system, conservation zones, communal reserves, groves, wildlife corridors, etc;
- (viii) Enhancing land productivity through selected agroforestry technologies/practices.
- (ix) Integrated soil fertility management
- (x) Construction of water harvesting structures;
- (xi) Construction and rehabilitation of community access roads and paths; and
- (xii) Establishing fodder/forage.

Category of Project Affected Persons (PAPs)

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

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

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

Vulnerable groups of people: from affected households RLLP will separately identify the vulnerable members, such as those who are too old or too ill; children; those living with HIV; women; unemployed youth; etc. Households headed by women that depend on sons, brothers, and others for support, especially vulnerable groups from the underserved areas. Similarly, households with elderly or seriously ill persons are eligible for additional support.

During implementation of RLLP, a social assessment will be carried out to identify the areas or sites where resettlement due to land acquisition or restriction of access to resources is likely to have impact. At that stage, OP 4.12 calls for the preparation of separate stand-alone Resettlement Action Plans (RAPs) consistent with the guidelines provided in this RPF. The following procedural guidelines will apply when it is determined that a RAP would be developed.

- (i) All potential PAPs should be identified (through a scoping exercise) and informed about their options and rights pertaining to compensation for land and assets to be acquired by the sub-project(s);
- (ii) PAPs must be consulted about land acquisition and compensation and offered technical and financial options, including the most economically feasible alternatives; If the affected land is rented or leased the owner of the land has to be consulted;
- (iii) PAPs should receive reasonable compensation at full replacement cost for losses of assets and access attributable to the sub-project.
- (iv) If community members choose to voluntarily donate land/assets without compensation, they must be fully informed about the project and its grievance redress arrangements ahead of the agreement, and it must be documented that this act is performed freely and voluntarily, without any coercion.

Screening: This process would lead to the creation of a list of the number and types of community infrastructure that sub-projects will construct that may potentially involve resettlement issues. This list will be presented to affected communities using a sensitization and consultation process. These consultations will be documented for each site (sub-project).

Resettlement Action Plan (RAP) Preparation

As soon as the list (sub-projects) is approved by the responsible agency implementing RLLP, a consultative and participatory process for preparing a RAP or ARAP will be started, as follows:

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

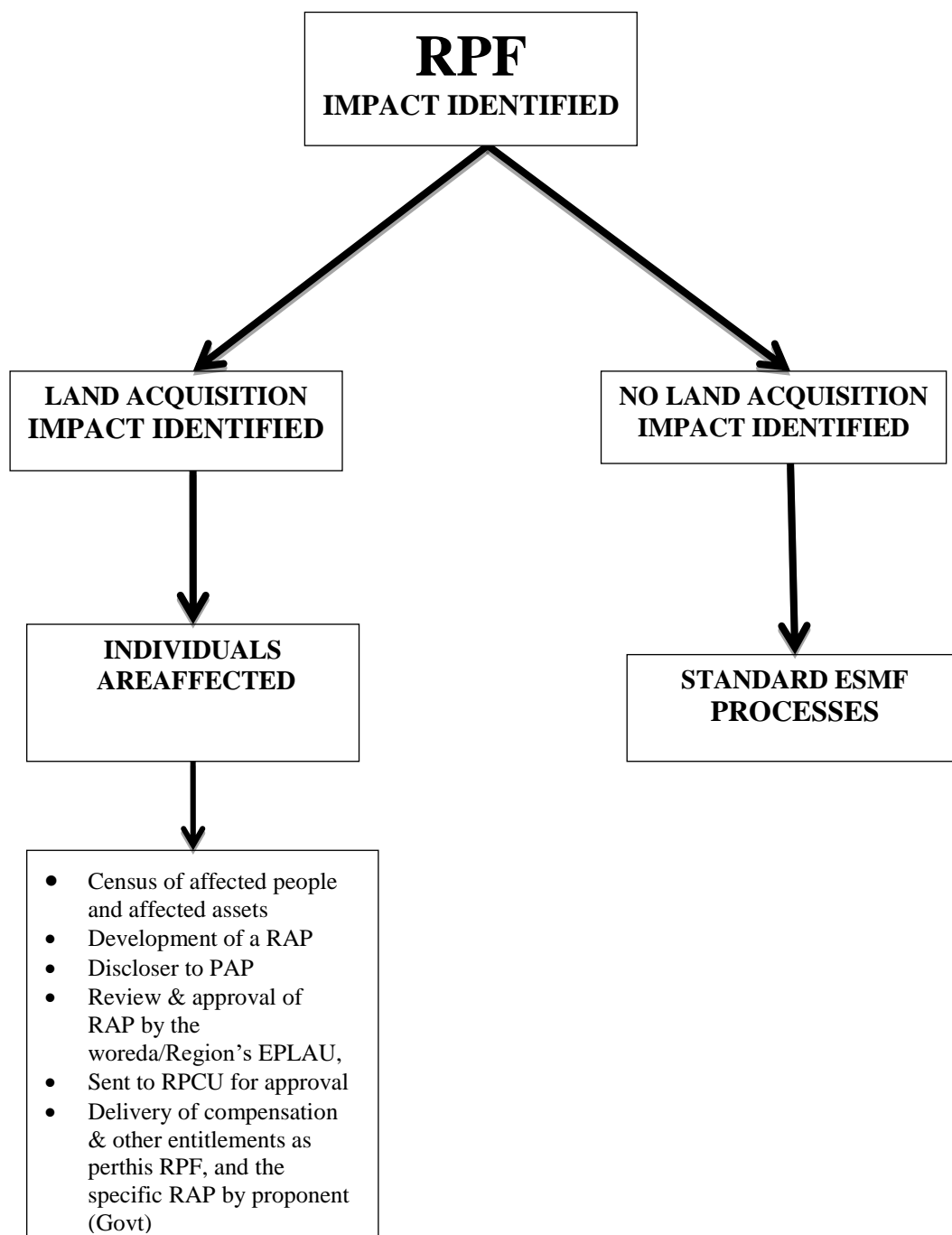
Annex 2 describes the requirements for the RAP in detail. In general, the RAP contains the following information:

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

The RAP will be prepared by the *Woreda* Office of Agriculture & Natural Resource (WOALR) through the *Woreda* Technical Committee (WTC) and submitted to the *woreda* office of environment, forest and climate change for review and approval. Regional Bureau of Agriculture & Natural Resources (BoALR) for review and approval.

For the implementation of RAP or Abbreviated Resettlement Action Plans (ARAP) - see Figure 1. Resettlement Policy Framework on the following page - is required for the implementation of each RLLP investment project that causes resettlement or restriction of access of livelihood. Where relocation or loss of shelter occurs, the RPF requires that measures to assist the displaced persons be implemented in accordance with the Resettlement Action Plans.

Figure 1. Resettlement Policy Framework



The following guidelines are used when a RAP is developed.

- (i) Consultation and participatory approaches: A participatory approach is adopted to initiate the compensation process. The consultations must start during the planning stages when the technical designs are being developed, and at the land selection/screening stage. The process, therefore, seeks the involvement of PAPs throughout the census for identifying eligible PAPs and throughout the RAP preparation process.
- (ii) Disclosure and notification: All eligible PAPs are informed about the projects and subprojects and the RAP process. A cut-off date is established as part of determining PAPs eligibility. In special cases where there are no clearly identifiable owners or users of the land or asset, the RAP Team must notify the respective local authorities and leaders. A “triangulation” of information – affected persons; community leaders and representatives; and an independent agent (e.g. local organization or NGO; other government agency; land valuation expert) – may help to identify eligible PAPs. The RAP must notify PAPs about the established cut-off date and its significance. PAPs must be notified both in writing and by verbal notification delivered in the presence of all the relevant stakeholders. Every discussion and minutes should be documented
- (iii) Documentation and verification of land and other assets: The government authorities at both regional and local levels; community elders and leaders; representatives from the regional Agriculture and Natural Resource Bureau will arrange meetings with PAPs to discuss the compensation and valuation process. For each individual or household affected by the sub-project, the RAP preparation team will complete a Compensation Report containing the necessary personal information on the PAPs and their household members; their total land holdings; inventory of assets affected; and demographic and socio-economic information for monitoring of impacts. This information will be documented in a Report, and ideally should be “witnessed” by an independent or locally acceptable body. The Reports will be regularly updated and monitored.
- (iv) Compensation and valuation: All types of compensation will be clearly explained to the individual and households involved. These refer especially to the basis for valuing the land and other assets. Once such valuation is established, the BoALR will produce agreement that lists all property and assets being acquired by the sub-project and the types of compensation selected. The entitlement matrix below provides a sample of entitlements that are eligible for compensation. These options include in-kind (e.g. replacement housing) and cash compensation. All compensation should occur in the presence of the affected persons and the community local leaders. Acquired assets will be compensated at replacement costs, and in calculating replacement cost, depreciation of structures and assets is not taken into account, nor is the value of materials salvaged by the PAP from an asset (e.g. building materials, the pump from a well etc.) acquired under a community project. For houses and other structures, the replacement value, if provided as cash compensation, is the market costs of materials to build a similar or better structure than the one affected, plus costs of labor/contractors, and the cost of any registration and transfer taxes. For agricultural land, land would be replaced by similar land, preferably near to the PAPs; otherwise, the replacement cost is the pre-project or pre-displacement (whichever is higher) market value of land of equal size or use plus the cost of any registration and transfer taxes.

- (i) Community payments: Although most sub-project activities do not normally take land and other assets belonging to a community, such as a community center, school, or sacred site, if this occurs in a sub-project, the community (as a whole) will be compensated. This compensation will be in the form of reconstruction of the facility (in case of damages) or replacement of at least the same standard or equivalent or better standard required by local planning regulation. Examples of community compensation are expansion of grazing grounds; rehabilitation of school buildings, public toilets, health facilities; installation of wells or pumps; creation of market places; and reconstruction of community roads.
- (ii) Grievance procedure: The Woreda administrations will establish an independent grievance redress mechanism. This may be set up through local authorities, including a Land administration committee and through community leaders. All PAPs will be informed about how to register grievances or complaints, including specific concerns about compensation and relocation (*for the details also see Part VI, v above*). Resolution of different types of grievances regarding land acquisition and or resettlement will be attempted at different levels:
- Solutions to grievances related to land acquisition impacts should be pursued at the community level with facilitation by Subproject RAP team together with design consultants to find technical solutions that avoid or further minimize the need for land acquisition.
 - Solutions to grievances related to voluntary land donations (e.g. pressure on individuals to donate land) or sale of private land for project use should likewise be attempted at the community level with facilitation by Subproject RAP team.
 - Solutions to grievances related to compensation amounts, delays in compensation payments or provision of different types of resettlement assistance should be pursued directly by the designated RAP team through liaison with the relevant actors.
 - Arbitration by appropriate local institutions such as local authorities, including a Resettlement or Land Committee and through community leaders
 - Where satisfactory solutions to grievances cannot be achieved, the aggrieved party may take the matter before the courts.

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

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

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

Land and Assets	Types of Impact	Person(s) Affected	Compensation/Entitlement/Benefits
	continued use or becomes smaller than minimally accepted under zoning laws		shifting + allowance)
Buildings and structures	Structures are partially affected; and Remaining structures viable for continued use	Owner	Cash compensation for affected building and other fixed assets Cash assistance to cover costs of restoration of the remaining structure
		Rental/lease holder	Cash compensation for affected assets (verifiable improvements to the property by the tenant). Disturbance compensation equivalent to two months rental costs
	Entire structures are affected or partially affected; and Remaining structures not suitable for continued use	Owner	Cash compensation for entire structure and other fixed assets without depreciation, or alternative structure of equal or better size and quality in an available location which is acceptable to the PAP. Right to salvage materials without deduction from compensation Relocation assistance (costs of shifting + allowance) Rehabilitation assistance if required (assistance with job placement, skills training)
		Rental/lease holder	Cash compensation for affected assets (verifiable improvements to the property by the tenant) Relocation assistance (costs of shifting + allowance equivalent to six months rental costs) Assistance to help find alternative rental arrangements Rehabilitation assistance if required (assistance with job placement, skills training)
		Squatter/informal dweller	Cash compensation for affected structure without depreciation Right to salvage materials without

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

Part 13: Restriction of Access to Natural Resources: Key Process

According to the watershed planning and sub- project identification of RLLP Sub-projects will be 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 subprojects of the RLLP can be categorized as degraded land rehabilitation (including biophysical SWC measures, afforestation/reforestation, gully rehabilitation and area closures etc.); SSI subprojects (including different irrigation structures like check dam pond, diversion weir, canal constructions, Hand Dug Well for SSI, Spring Development for SSI, Spate diversion etc.); Potable water supply (including Hand Dug Well, Spring Development, and others for drinking purposes); water harvesting structures (ponds); and rural access road construction. The DAs at the Kebeles and the Kebele Watershed Team members will provide the necessary technical support to the Community Watershed Team during the identification and planning. The planning process is guided by the Community Based Participatory Watershed Development Guidelines. The list of identified sub-projects will then be referred to the KWT for approval with the support of Development Agent. The draft plan will be sent to the WTC for further screening. 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 RLLP implementers will follow the processes listed below.

The RLLP, based on the principles outlined in this RPF establishes the process that will be used for addressing 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 in these areas. Accordingly, the basic process to be followed during site specific implementation of the RLLP sub projects resulting in restriction of access include:

1. *Collect Complementary Social baseline*: building on the complementary Social Assessment, the RLLP 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 RLLP 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:* RLLP 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 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 like 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 or the World Bank 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, etc.
 - Complaint entertaining and settling mechanism

Part 14: Implementation Schedule and Costs

Since the specific sites and sub-project activities are not yet determined, this RPF refers only to an estimated number of PAPs. Because costs of resettlement and compensation are based on technical designs and results of scoping, it is not possible to produce a detailed budget for RAP implementation. Once a budget is finalized, it will be subject to approval by the Wereda and Regional Environment Protection and Land Administration office. An indicative RAP budget outline can be found in Table I below.

Table I: Indicative Outline of a RAP Budget

Description	Unit	Quantity	Estimated Cost		Agency responsible
			Unit cost	Total cost	
Asset acquisition					
Land					
Structure					
Crops and economic tress					
Community infrastructure					
Land Acquisition and Preparation					
Land					
Structures					
Crops areas and others					
Community infrastructure					
Relocations					
Transfer of possessions					
Installation costs					
Economic Rehabilitation					
Training					
Capital Investments					
Technical Assistance					
Monitoring					
Contingency					
#	Item		Costs		Assumptions
1	Compensation for loss of Land		Hectare		For land acquisition purposes, based on Ethiopian average market cost, or from similar projects
2	Compensation for loss of Crops		hectare of farm lost		Includes costs of labor invested and average of highest price of staple food crops and Ethiopian market prices
3	Compensation for loss of access to pastoralists		If applicable		Those affected would be

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

The Woreda implementing office with technical support of *Woreda* Technical Committee (WTC) and RAP team will prepare an appropriate Resettlement Budget.

Part 15: Public Consultation and Disclosure Plan

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

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

15.1 Public Consultation Plan and Disclosure

15.1.1 Public Consultation Overview

Public consultation and participation is a continuous process which identifies and discusses the key issues and impacts of the proposed project by the stakeholders. The consultation and participation process has different phases that include preparation and planning, implementation and monitoring and evaluation of operations. The level of information which is disseminated or the issues on which consultation takes place vary with the progress of the project process. The public consultation which includes public and community in general could further be divided into two groups that are public at large in the area of influence; and the affected community in the project area by the proposed sub-project activities.

The public consultation methods include interviews, questionnaires and Focus group discussions, community meetings, and public hearings. The guidelines for public consultation include, among others, a requirement of major elements of the consultation program that should be timed to coincide with significant planning and decision-making activities in the project cycle. The consultation program may involve both formal and informal presentations and meetings with the target groups, information dissemination campaigns through fliers, posters, and radio announcements; and an opinion survey. During design and implementation, the implementing agencies at the Woreda level along with respective public and private partners will be responsible to carry out continued consultation.

The consultation and information dissemination to the key stakeholders will include issues on the following aspects:

- The relevant details of the sub-projects;
- Community's feedback on the design of the sub-projects;
- Issues of vulnerable groups
- Gender issues;
- Proposed community support activities for overall social development;
- The resettlement plan and various degrees of project impact;
- Details of entitlements under the resettlement plan and what is required of PAPs in order to claim their entitlements (a copy of the entitlement matrix in local language will be provided to the PAPs as applicable);
- Compensation process and compensation rates;
- If applicable, relocation and resettlement site development operation in order to obtain agreement and support of affected people in participating in these operations;
- Implementation schedule with a timetable for the delivery of entitlements;
- Detailed explanation of the established grievance process mechanism;
- The implementing agencies shall enlist the help of community leaders and other influential community officials in encouraging the participation of the PAPs in resettlement and community support activities; and,
- Finally, they shall attempt to ensure that all vulnerable groups and women understand the process and that their needs are specifically taken into consideration.

15.1.2 Objectives of the Public Consultations

The main objective of the public consultation is to consult the community about the proposed sub-project activities so as to get their support throughout the implementation of the project. The specific objectives of the public consultations on the other hand include the following:

- Share fully the information about the proposed project, its component and its activities with the community;
- Obtain information about the needs and priorities of the communities, as well as information about their reactions to the proposed activities;
- Inform communities about various options on relocation and rehabilitation;
- Obtain cooperation and participation of communities in activities required to be undertaken for resettlement planning and implementation;
- Ensure transparency in all activities related to land acquisition, compensation payment, resettlement and rehabilitation;
- Obtain qualitative as well as quantitative information on viable income generation and livelihood interventions which PAPs could engage themselves, in order to restore their income and livelihood in a self-sustaining manner;
- Inform local authorities of all the potential impacts, agreed on a cut-off-date, solicit their views on the project and discuss their share of responsibility for the smooth functioning of the overall project operations.

15.1.3 Consultation and Participation Process

Relocating or compensating people implies communication or dialogue with the stakeholders. After completion of the design or the design review, PAPs will be consulted individually and ingroups depending on the context. The consultation and participation process will include four phases: i) data collection; ii) preparation and planning of operations; iii) implementation of operations; and iv) monitoring and evaluation. The relevant Wereda administration offices (or relevant departments) are responsible for coordinating the public participation and consultation process. The description of roles related to consultation along with various phases is described below.

Planning Phase

Planning and coordination of the tasks of the various actors is the key to successful implementation of the expropriation /compensation arrangements. PAPs will be encouraged to participate in the planning and implementation of the intended program /project. Community Based Organizations (CBOs) also will take part in the consultation process. The following are the major actors proposed to participate in the planning process.

Wereda Administration (planning): PAPs (planning inputs, sounding board and advice-giving); Kebele Administration CBOs/community institutions locally based; and Other concerned bodies as required.

Workshops will be organized at Wereda or Kebele level with the relevant stakeholders and government agencies, at project launching and at the commencement of every project identified as having adverse social impacts. The above stakeholders will be requested to participate in the decision-making process and provide inputs in the area of their expertise in order to establish a coherent work plan. Also, PAPs will be consulted in an aim to obtain their positions on issues at stake. The requirements of their work programs /business activities will be incorporated in to the expropriation /compensation plans.

The workshops will focus on:

- Taking stock of the legal framework for compensation;
- Settling institutional arrangements and mechanisms for payment of compensation;
- Defining tasks and responsibilities of each stakeholder, and Establishing a work plan.
- The capacity of PAPs, and Wereda and authorities, and technicians will be developed while participating in relevant workshops.

Data Collection Phase

In the data collection phase, the following organizations and groups are identified as the major actors for its implementation.

Agriculture and Natural Resources Offices (for agricultural & Natural Resource data);
Livestock and Fisheries Office;
Rural land administration office
Kebele Administration (household data); and
PAPs (provision of other relevant data) and other stakeholders as required.

The above actors will constitute the main task force in the data collection phase. This process will include consultations with PAPs and other relevant stakeholders. The data collected will serve as an instrument for the monitoring of the social mitigation measures to be implemented. PAPs, including Wereda administration and sector offices (Agriculture & Natural Resource, livestock and fisheries, the police, and other relevant Offices) will be consulted through individual and group meetings to share information about the project. For example, owners of properties in the proposed RLLP sites will be informed about actions to be taken and the rehabilitation or the resettlement measures anticipated in order for them prepare for the possible changes. In such meetings, PAPs will be involved and shall participate in the data collection phase by providing socio-economic information about their livelihoods. Their inputs will be integrated into the project implementation process, from the planning to the evaluation phase.

Implementation Phase

As stipulated in the Ethiopian legal framework and the WB Safeguard Policies (presented in this RPF), development projects should not impoverish the people within the project areas. Rather, the PAPs should gain from the projects. The woreda administrations, Kebele administration and other relevant bodies will conduct the execution of the expropriation/compensation operations. PAPs will be consulted about the compensation arrangements prepared. On this basis, therefore, the pertinent Woredas or regional entities as the case may be should assign a team that is responsible for the effective and efficient implementation of the compensation estimated as per the valuation methods /techniques. The major actors in the implementation phase and their roles include:

- Agriculture and Livestock Resources Office
- The Regional/Zonal/woreda Rural Land Administration office
- The woreda finance and Economic Cooperation office
- Woreda administration (facilitating the process of payment of compensation, valuation and compensation committee meetings, execution of compensation and land for land compensation); and,
- PAPs (endorsement of arrangements). The MoALR, BOALR, and other relevant Bureau will take part in follow-up, support and monitoring and evaluation aspects.

Part 16: Monitoring and Evaluation of Impacts

Throughout implementation, RLLP is required to carry out safeguard monitoring to ensure that the Project brings intended benefits, while ensuring that potential adverse environmental and social impacts are avoided or minimized. Safeguard impact monitoring will include environmental and social performance reviews by a local consultant to assess compliance with safeguard instruments, determine lessons learnt, and provide guidance for improving future performance. Reporting formats will also include indicators on safeguards.

Moreover, the RAP team will be expected to develop and implement a Monitoring and Evaluation Plan (MEP). The main indicators that the MEP will measure include: (i) impacts on affected individuals, households, and communities to be maintained at their pre-project standard of living, and better; (ii) improvement of communities affected by the project; and (iii) management of disputes or conflicts. In order to measure these impacts, the RAP identifies the specific indicators to be monitored; define how they will be measured on a regular basis; and identify key monitoring milestones (e.g. at mid-point of the RAP implementation process).

The *Woreda* Office of Agriculture and Livestock Resource(WOALR) through the *Woreda* Technical Committee (WTC), with the technical support of RAP team, and *woreda* project FP are responsible to:

- Implement of RAP, monitoring and timely reporting to the Regional Bureau of Agriculture & Livestock Resource.
- Provide timely information to the project about all resettlement and compensation issues arising because of RAP or ARAP related activities.
- Identify any grievances, especially those that have not yet been resolved at the local level and which may require resolution at the higher levels (e.g. by the Regional BoALR);
- Document completion of project resettlement and compensation that are still pending, including for all permanent and temporary losses;

The Regional Bureau of Agriculture and Natural Resources will establish a reporting system for the sub-project RAP that will:

- (i) Provide timely information to the project about all resettlement and compensation issues arising as a result of RAP or ARAP related activities;
- (ii) Identify any grievances, especially those that have not yet been resolved at the local level and which may require resolution at the higher levels (e.g. by the Regional BoALR);
- (iii) Document completion of project resettlement and compensation that are still pending, including for all permanent and temporary losses;
- (iv) Evaluate whether all PAPs have been compensated in accordance with the requirements of this RPF, and that PAPs have better living conditions and livelihoods; and

- (v) Identify mitigation measures, as necessity, when there are significant changes in the indicators that may require strategic interventions (e.g. vulnerable groups are not receiving sufficient support from the sub-project).

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

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

The Regional BoALR or the Regional RLLP Support Unit will review these statistics to determine whether the RAP or ARAP implementation arrangements, as defined in this RPF, are effective in addressing RAP or ARAP related issues. The following indicators (in Table II) can be used to monitor implementation of the RAP or ARAP.

Table II: Indicators of RAP or ARAP Impacts

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

Part 17: Reporting of the RAP/RPF

In view of the nature of the impacts of some of the activities of RLLP, a robust system of compliance, monitoring and reporting should be in place. Quarter and annual RPF reports should be prepared and pass the hierarchy from Woreda, zonal, regional and to federal levels. The Regional and Federal PCU Environmental and Social Safeguard Specialists will prepare regularly quarter performance monitoring report starting with the commencement of any activities related to resettlement, including income restoration. to ensure that the project brings intended benefits, while ensuring that potential adverse social impacts are avoided or minimized during the preceding quarter and year, respectively. Procedurally, the report of environmental and social safeguards and other RLLP activities will be sent

by woreda FPs with technical support of woreda RAP team and will be consolidated at regional level by PCU M&E specialists with the support of the RPCU safeguard specialists.

The RPF report should include but not limited the following information; number of sub-projects requiring land acquisition, number of sub-projects for which land donated voluntarily, number of households voluntarily donated land, number of sub-projects requiring preparation of a RAP, number of households and individuals physically or economically displaced by each sub-project; Length of time from sub-project identification to payment of compensation to PAPs; Timing of compensation in relation to commencement of physical works; amount of compensation paid to each PAP household (if in cash), or the nature of compensation (if in kind); key issues that have been raised number of people raising grievances in relation to each sub-project; number of unresolved grievances, etc. At Woreda level, quarter and annual report will be prepared by WFP of the project implementing body with technical support of RAP team and sent to regional RLLPCU. The objective of the report is to provide a feedback on the implementation of RPF of RLLP sub projects/activities over the review period in the Woreda.

Similarly, the regional environmental and social Safeguard Specialist will prepare quarter and annual reports based on the Woreda report including his/her accomplishment report by considering strength, gaps and challenges observed during implementation of RPF and submit to the RPCU M&E team and a standalone report to federal RLLP-PCU. At the federal level, the quarter and annual report will be prepared and submitted to the NPCU-M&E Case team and standalone report to Development Partners.

Part 18 Annexes

Annex 1: OP 4.12 - Involuntary Resettlement

"Bank" includes IBRD and IDA; "loans" includes IDA credits and IDA grants, guarantees, Project Preparation Facility (PPF) advances and grants; and "projects" includes projects under (a) PPFs advances and Institutional Development Fund (IDF) grants, if they include investment activities; (b) grants under the Global Environment Facility and Montreal Protocol, for which the Bank is the implementing/executing agency; and (c) grants or loans provided by other donors that are administered by the Bank. The term "project" does not include programs supported by Development Policy Lending (for which the environmental provisions are set out in [OP/BP 8.60](#), Development Policy Lending), or by Program-for-Results Financing (for which environmental provisions are set out in [OP/BP 9.00](#), Program-for-Results Financing. "Borrower" also includes, wherever the context requires, the guarantor or the project implementing agency.

In devising approaches to resettlement in Bank-assisted projects, other Bank policies should be taken into account, as relevant. These policies include [OP 4.01](#), Environmental Assessment, [OP 4.04](#), Natural Habitats, [OP 4.10](#), Indigenous Peoples, and [OP 4.11](#), Physical Cultural Resources.

The term "displaced persons" refers to persons who are affected in any of the ways described in para. 3 of this OP.

Displaced persons under para. 3(b) should be assisted in their efforts to improve or restore their livelihoods in a manner that maintains the sustainability of the parks and protected areas.

Where there are adverse indirect social or economic impacts, it is good practice for the borrower to undertake a social assessment and implement measures to minimize and mitigate adverse economic and social impacts, particularly upon poor and vulnerable groups. Other environmental, social, and economic impacts that do not result from land taking may be identified and addressed through environmental assessments and other project reports and instruments.

This policy does not apply to restrictions of access to natural resources under community-based projects, i.e. where the community using the resources decides to restrict access to these resources, provided that an assessment satisfactory to the Bank establishes that the community decision-making process is adequate, and that it provides for identification of appropriate measures to mitigate adverse impacts, if any, on the vulnerable members of the community. This policy also does not cover refugees from natural disasters, war, or civil strife (see [OP 8.00](#), Rapid Response to Crises and Emergencies).

For the purposes of this policy, "involuntary" means actions that may be taken without the displaced person's informed consent or power of choice.

"Land" includes anything growing on or permanently affixed to land, such as buildings and crops. This policy does not apply to regulations of natural resources on a national or regional level to promote their sustainability, such as watershed management, groundwater management, fisheries management, etc. The policy also does not apply to disputes between private parties in land titling projects, although it is good practice for the borrower to undertake a social assessment and implement measures to minimize and mitigate adverse social impacts, especially those affecting poor and vulnerable groups.

For the purposes of this policy, involuntary restriction of access covers restrictions on the use of resources imposed on people living outside the park or protected area, or on those who continue living inside the park or protected area during and after project implementation. In cases where new parks and protected areas are created as part of the project, persons who lose shelter, land, or other assets are covered under para. 3(a). Persons who lose shelter in existing parks and protected areas are also covered under para. 3(a).

The Involuntary Resettlement Sourcebook provides good practice guidance to staff on the policy.

"Replacement cost" is the method of valuation of assets that helps determine the amount sufficient to replace lost assets and cover transaction costs. In applying this method of valuation, depreciation of structures and

assets should not be taken into account (for a detailed definition of replacement cost, see [Annex A](#), footnote 1). For losses that cannot easily be valued or compensated for in monetary terms (e.g., access to public services, customers, and suppliers; or to fishing, grazing, or forest areas), attempts are made to establish access to equivalent and culturally acceptable resources and earning opportunities. Where domestic law does not meet the standard of compensation at full replacement cost, compensation under domestic law is supplemented by additional measures necessary to meet the replacement cost standard. Such additional assistance is distinct from resettlement assistance to be provided under other clauses of para. 6.

If the residual of the asset being taken is not economically viable, compensation and other resettlement assistance are provided as if the entire asset had been taken.

The alternative assets are provided with adequate tenure arrangements. The cost of alternative residential housing, housing sites, business premises, and agricultural sites to be provided can be set off against all or part of the compensation payable for the corresponding asset lost.

Such support could take the form of short-term jobs, subsistence support, salary maintenance or similar arrangements.

See [OP 4.10](#), Indigenous Peoples.

Where the borrower has offered to pay compensation to an affected person in accordance with an approved resettlement plan, but the offer has been rejected, the taking of land and related assets may only proceed if the borrower has deposited funds equal to the offered amount plus 10 percent in a secure form of escrow or other interest-bearing deposit acceptable to the Bank, and has provided a means satisfactory to the Bank for

resolving the dispute concerning said offer of compensation in a timely and equitable manner.

See [OP 4.04](#), Natural Habitats.

As a general principle, this applies if the land taken constitutes less than 20% of the total productive area.

Paras. 13-15 do not apply to impacts covered under para. 3(b) of this policy. The eligibility criteria for displaced persons under 3 (b) are covered under the process framework (see paras. 7 and 30).

Such claims could be derived from adverse possession, from continued possession of public lands without government action for eviction (that is, with the implicit leave of the government), or from customary and traditional law and usage, and so on.

Resettlement assistance may consist of land, other assets, cash, employment, and so on, as appropriate.

Normally, this cut-off date is the date the census begins. The cut-off date could also be the date the project area was delineated, prior to the census, provided that there has been an effective public dissemination of information on the area delineated, and systematic and continuous dissemination subsequent to the delineation to prevent further population influx.

For projects that are highly risky or contentious, or that involve significant and complex resettlement activities, the borrower should normally engage an advisory panel of independent, internationally recognized resettlement specialists to advise on all aspects of the project relevant to the resettlement activities. The size, role, and frequency of meeting depend on the complexity of the resettlement. If independent technical advisory

panels are established under [OP 4.01](#), Environmental Assessment, the resettlement panel may form part of the environmental panel of experts.

See [The World Bank Policy on Access to Information, para. 34](#) (Washington, D.C.: World Bank, 2002).

An exception to this requirement may be made in highly unusual circumstances (such as emergency operations) with the approval of Bank Management (see [BP 4.12](#), para. 8). In such cases, the Management's approval stipulates a timetable and budget for developing the resettlement plan.

Impacts are considered "minor" if the affected people are not physically displaced and less than 10 percent of their productive assets are lost.

For the purpose of this paragraph, the term "subprojects" includes components and subcomponents.

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

Resettlement Policy Framework

The purpose of the policy framework is to clarify resettlement principles, organizational arrangements, and design criteria to be applied to subprojects to be prepared during project implementation (see [OP 4.12, paras. 26-28](#)). Subproject resettlement plans consistent with the policy framework subsequently are submitted to the Bank for approval after specific planning information becomes available (see [OP 4.12, para. 29](#)).

The resettlement policy framework covers the following elements, consistent with the provisions described in [OP 4.12, paras. 2 and 4](#):

- a. a brief description of the project and components for which land acquisition and resettlement are required, and an explanation of why a resettlement plan as described in paras. 2-21 or an abbreviated plan as described in para. 22 cannot be prepared by project appraisal;
- b. principles and objectives governing resettlement preparation and implementation;
- c. a description of the process for preparing and approving resettlement plans;
- d. estimated population displacement and likely categories of displaced persons, to the extent feasible;
- e. eligibility criteria for defining various categories of displaced persons;

- f. a legal framework reviewing the fit between borrower laws and regulations and Bank policy requirements and measures proposed to bridge any gaps between them;
- g. methods of valuing affected assets;
- h. organizational procedures for delivery of entitlements, including, for projects involving private sector intermediaries, the responsibilities of the financial intermediary, the government, and the private developer;
- i. a description of the implementation process, linking resettlement implementation to civil works;
- j. a description of grievance redress mechanisms;
- k. a description of the arrangements for funding resettlement, including the preparation and review of cost estimates, the flow of funds, and contingency arrangements;
- l. a description of mechanisms for consultations with, and participation of, displaced persons in planning, implementation, and monitoring; and
- m. arrangements for monitoring by the implementing agency and, if required, by independent monitors.

When a resettlement policy framework is the only document that needs to be submitted as a condition of the loan, the resettlement plan to be submitted as a condition of subproject financing need not include the policy principles, entitlements, and eligibility criteria, organizational arrangements, arrangements for monitoring and evaluation, the framework for participation, and mechanisms for grievance redress set forth in the resettlement policy framework. The subproject-specific resettlement plan needs to include baseline census and socioeconomic survey information; specific compensation rates and standards; policy entitlements related to any additional impacts identified through the census or survey; description of resettlement sites and programs for improvement or restoration of livelihoods and standards of living; implementation schedule for resettlement activities; and detailed cost estimate.

Resettlement Action Plan

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

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

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

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

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

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

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

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

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

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

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

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

The institutional framework governing RAP implementation generally covers:

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

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

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

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

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

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

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

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

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

- (i) Description of the strategy for consultation with and participation of PAPs and hosts in the design and implementation of resettlement activities;
- (ii) Summary of the consultations and how PAPs' views were taken into account in preparing the resettlement plan; and
- (iii) Review of resettlement alternatives presented and the choices made by PAPs regarding options available to them, including choices related to forms of compensation and resettlement assistance, to relocating as

individual families or as parts of pre-existing communities or kinship groups, to sustaining existing patterns of group organization, and to retaining access to cultural property (e.g. places of worship, pilgrimage centers, cemeteries); and

- (iv) Arrangements on how PAPs can communicate their concerns to project authorities throughout planning and implementation, and measures to ensure that vulnerable groups (including indigenous peoples, ethnic minorities, landless, children and youth, and women) are adequately represented.

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

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

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

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

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

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

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

Annex 2: Sample Grievance and Resolution Form

Name (Filer of Complaint): _____
ID Number: _____ (PAPs ID number)
Contact Information : _____ (Village ; mobile phone)
Nature of Grievance or Complaint: _____

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

Signature _____ Date: _____

Signed (Filer of Complaint): _____
Name of Person Filing Complaint: _____ (if different from Filer)
Position or Relationship to Filer: _____

Review/Resolution

Date of Conciliation Session: _____
Was Filer Present?: Yes No
Was field verification of complaint conducted? Yes No
Findings of field investigation: _____

Summary of Conciliation Session Discussion:

Issues _____

Was agreement reached on the issues? Yes No
If agreement was reached, detail the agreement below:
If agreement was not reached, specify the points of disagreement below:

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

Signed: _____
Independent Observer

Date: _____

Annex 3: Sample Table of Contents for Consultation Reports

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TEMPLATE Table on Consultation Activity Summary

Location and Communities Represented	Meeting Dates	Attendees	Discussion Summary
Example:			

Annex4: Guidelines for Voluntary Land Donations (VLD)

Guidelines for Voluntary Land Donations (VLD) for the Resilient Landscape and Livelihood Project (RLLP)

Background

The following are guidelines for voluntary land donations (VLD) for the **Resilient Landscape and Livelihood Project (RLLP)**. The project proposes to rely on VLD for subproject activities proposed under component one. The principles in this guideline aim to minimize the risk of potential administrative or social coercion and unanticipated social impact as a result of the voluntary land decision especially when it involves vulnerable or disadvantaged community groups.

Consultation

- Voluntary land donations for a sub-project must be openly discussed in public consultations to establish that (i) the donor is the legitimate owner of such land (ii) the donor is fully informed of the purpose of the donation and of the implications of donating the land (iii) the donor is aware that refusal is an option and should not be coerced.
- For communal lands donated by the Kebele/Woreda, individuals using or occupying the land must also be identified and consulted to minimize the risk of settlers or migrants losing their livelihood due to the land donation decision.
- For family lands, family members (including spouses) must be aware of the donation, in order to minimize the risks of cross-generational conflicts.
- For government lands, through sub-project screening should establish that the land is free of claims (e.g. from squatters or encroachers), otherwise it triggers involuntary resettlement and follow up site specific Resettlement Action Plans are required.

Assessing and minimizing social impact

- Voluntary land donations must represent a small land proportion of the original land holding. (Some best examples ensure land donations will not exceed 10% of total land holding of the donor).
- The proportion of land that may be donated must not be the donor's main source of income and should not significantly affect the donor's livelihood.
- Donation of land should not occur if it requires any household relocation, loss of structures or fixed assets on affected portion of land.
- The donor may request monetary or non-monetary benefits or request community assistance/incentives as a condition for donation.

Documentation

- Evidence of consultation (minutes of consultations indicating among others list of stakeholders and their affiliation or interest to the land, all agreed actions from the consultations, etc).

- Assessment outcome of the impact of voluntary land donations. This could be a checklist mainstreamed in the sub-project environmental and social screening checklist or as a standalone. (Attached some examples of screening questions in Annex 1)
- A formal statement or documentation (e.g., a Memorandum of understanding, deed of donation, minute, etc.) for each instance of land donation establishing informed consent and signed by each owner or user involved. (See Annex 2 for Example of required contents of a form to be used at the community level for documenting voluntary land donations).

Reporting

The report should include the following information but not limited

- Number and types of subprojects requiring Voluntary Land Donation
- Name and Sex of the land donor
- The land size voluntarily donated to the project
- Proportion of the donated land
- Consultations held
- Numbers of land donations processed and documented
- Delivery of entitlement or assistance in compliance with the terms and conditions for VLD if any.

Example of check-list to be used for assessment and monitoring of VLD

1. Has the legitimate land owner been established/identified?
2. Is this land free from contesting claims?
3. Are there any individuals or tenants using or occupying the land?
4. What is the land size being donated?
5. Is this donation for temporal or permanent use?
6. If temporal what is the agreed duration?
7. Is land owner losing more than 10-20% of their land holding?
8. Does tenant farmer or occupier of the land have alternative lands to support his/her livelihood?
9. Will land donation lead to Physical displacement, Loss of agricultural livelihood or assets, Loss of economic trees? (if yes, this will be a case of involuntary resettlement and will require follow on Resettlement Action Plans)
10. Were the land owners as well as tenants or occupiers consulted, aware of the purpose of the donation as well as right to refusal?
11. What are some of the concerns raised if any during the consultations?
12. Will these land owners or tenant farmers receive benefit from this sub project?
13. Are there any agreed conditions or incentives for the land donations?
14. If yes what are these conditions?
15. What is the agreed timeline for meeting these conditions?

Annex 5: Example of required contents of a form to be used at the community level for documenting voluntary land donations during the initial stages of sub-project or activity implementation

Format of land donation letter/statement/deed

1. Landowner (name, sex, address, occupation)
2. Purpose and context of voluntary land donation
3. Duration of voluntary land donation
4. Title, status, address and dimensions (length, width and total area) of land to be voluntarily donated
5. Current use of land to be donated
6. Proportion of total land owned by landowner
7. Site map and photos of land to be donated
8. Terms and condition for land donated if any
9. Responsibilities of the land Donor as well as RLLP
10. Names and dated signatures of landowner, of head of village, and of witnesses
11. Designation of record keeping procedures (ex: Kebele Administration offices, Woreda RLLP Coordination Unit, etc.)
12. Designation of disclosure procedures (ex: Notification on community information board, in community media, or Woreda RLLP Coordination Unit, etc.)
13. Designation of applicable grievance mechanism(s).

5. ይህንበታ (መሬት) ይዘታበመስጠቴ/ታችን የሚደርስብኝ/ን ኪሳራ በሚከተሉት ሁኔታዎች የምካስ/ን ካስመሆኑ ኦሪጋግጣለሁ/እና ረጋግጣለን፡

5.1 ከሥራው/ፕሮጀክቱ በምናገኘው ጥቅም (ምልክት ይደረግ፡.....)፣ ወይም

5.2 በተለዋጭ በተሰጠኝ/ን የመሬት ይዘታ፣ የመሬት ይዘታ ሚኒስቴር ወረቀት ይያያዝ (ካለ)፡ (ምልክት ይደረግ፡.....)

6. ይህ የመሬት ይዘታ አሰጣጥ ሙሉ በሙሉ በፈቃደኝነት ላይ የተመሰረተ መሆኑን

7. ህብረተሰቡ የሚሰራው ንሥራ/ፕሮጀክት በባለቤትነት እንዲጠቀመው ሙሉ በሙሉ ፈቃደኛ/ፈቃደኞች መሆኑን/መሆናችንን ኦሪጋግጣለሁ/እና ረጋግጣለን፡፤

ፊርማ (ሰጪው) ስም: ቀን:

ፊርማ (ምስት/ባል) ስም: ቀን:

ፊርማ ስም: ቀን:

(ምስክር: የወረዳው የተፈጥሮ ሀብት ባለሙያ)

ፊርማ ስም: ቀን:

(ምስክር: የልማት ጣቢያ ሠራተኛ)

ፊርማ ስም: ቀን:

(ምስክር: የወረዳው የገጠራ መሬት አስተዳደር ባለሙያ)

ከላይ የተገለጸውን ሚኒስቴር ወረቀት ካላገኘ የቴክኒክ ተቋማት የመሬት ይዘታ ላይ የሚሰራው ስራ ሲጠናቀቅ አገልግሎት አስተዳደሩ ሙሉ በሙሉ ህብረተሰቡ የተበረከተ መሆኑንና ለዚህም ምስክር መሆኑን በፊርማ ይገልጻል፡፡

የቀበሌው የመሬት አስተዳደር ኮሚቴ ሰብሳቢ,..... ቀበሌ.....

የቀበሌው ማህተም ይደረግበታል

Annex7: Relevant Laws

Property Rights and Land Rights	Law/Regulation
Ownership of land is now vested in the State and Ethiopian citizens have only a use right (usufruct) over the land. This gives the user ownership of his/her possessions with the right to benefit from the fruits of his/her labor. This includes crops, perennial crops, trees for timber etc. found on the land or any other permanent fixtures such as residential houses, business installations, stores and fences, amongst others. This overturned the 1960 Constitutional degree of private ownership of land.	Public Ownership of Rural Land (<i>No 31/1975</i>)
In 1975 Ethiopia nationalized urban land and extra houses (Proc. No. 47/1975). Residents have usage rights; urban centers must take inventory of land and plan sustainable land use. Urban residents get one plot of land for personal housing.	Proclamation No. 47/1975
A) All urban lands shall be property of the Government. B) Tenant shall be free from payment to the landowner. C) Any person or family own only a single dwelling.	Proclamation No. 47/1975, Article 2(3), Article 6(1) and Article 11(1)
According to these proclamations, land holders have open-ended usufruct rights over their possessions (i.e. there is no time limit on this usufruct), subject to a proof of permanent physical residence, ability to farm continuously and should meet administrative dues and obligations. In rural villages, farm households have a legal right to possess land through state mandated peasant associations.	Constitution of Ethiopia (No 1/1987, Article 13(2) and No 1/1995, Article 40(3))
Proclamation No. 89/1997 establishes the principles of rural land administration, which is devolved to the Regions states that each Regional Council shall enact a law on land administration, which is in conformity with the provisions on environmental protection and federal utilization policies.	Proclamation No. 89/1997 "Federal Rural Land Administration Proclamation"
Proclamation No. 89/1997 recognizes the lawfulness of "holding rights" over land;	Proclamation No. 89/1997 "Federal Rural Land Administration Proclamation"
Proclamation No. 89/1997 confirms and details the Constitution principle that holding rights on land can be assigned to peasants and nomads, and that these are to be secured from eviction and displacement;	Proclamation No. 89/1997 "Federal Rural Land Administration Proclamation"
It provides various details with respect to redistribution of land, including that this redistribution is a Region responsibility It establishes the possibility for Regions to perceive fees for the use of land and forest.	Proclamation No. 89/1997 "Federal Rural Land Administration Proclamation"
The leasehold policy (Proc No. 80/1993) allows individuals and companies to attain access to land through auction, allocation, or lottery.	Proclamation No. 80/1993
Article 26 of the Constitution states that "Everyone shall have the right to his privacy and physical integrity. This right shall include protection from searches of his person, his home, his property and protection from seizure of property under his possession."	Constitution Article 26
The 1995 Constitution of the Ethiopia, <i>Article 40(2), 40(4), 40(5) and 40(8)</i> includes legal frameworks that protect the Ethiopian citizen's rights to private property and set conditions for expropriation of such property for state or public interests.	Constitution Article 40(2) Constitution Article 40(4) Constitution Article 40(5) Constitution Article 40(8)
Article 40(3) vests the right to ownership of rural and urban land, as well as of all natural; resources, in the government and in the peoples of Ethiopia;	Constitution Article 40(3)
Article 40(3) recognizes land as a common property of the Nations, Nationalities of,	Constitution Article 40(3)

Property Rights and Land Rights	Law/Regulation
and peoples of Ethiopia and prohibits sale or any other exchange of land;	Proclamation N° 89/1997 "Federal Rural Land Administration Proclamation"
Article 40(4) guarantees the right of farmers to obtain land without payment and the protection against eviction from their possession; and	Constitution Article 40(4)
Article 40(5) guarantees the right of pastoralists to free land for grazing and cultivation as well as the right not to be displaced from their own lands.	Constitution Article 40(5)
Article 40(7) states that "Every Ethiopian shall have the full right to the immovable property he builds and to the permanent improvements he brings about on the land by his labour or capital. This right shall include the right to alienate, to bequeath, and, where the right to use expires, to remove his property, transfers his title, or claim compensation for it.	Constitution Article 40(7)
Article 41(9) sets out the State responsibilities to protect and preserve historical and cultural legacies.	Constitution Article 41(9)
The Research and Conservation of Cultural Heritage Proclamation No. 209/2000 of Ethiopia defines cultural heritage broadly as "anything tangible or intangible which is the product of creativity and labor of man in the pre-history and history times, that describes and witnesses to the evolution of nature and which has a major value in its scientific, historical, cultural, artistic and handcraft content."	Proclamation No. 209/2000
Prior approval of the Authority for Research and Conservation of Cultural Heritage is required to remove from its original site of an immovable cultural heritage (Art. 21/1).	Proclamation No. 209/2000, Article 21/1
Whenever registered, movable cultural heritage is encountered during the execution of the project it is possible to remove such property by notifying the Authority in advance (Art. 21/2).	Proclamation No. 209/2000, Article 21/2
Zikre Hig Regulation No.6 2002 provides for the lease holding of urban land for a specified period of time. It regulates the lease period for different functions, grade of land and payment of lease. It regulates manners of expropriation of land. It regulates that land could be expropriated for public use against payment of compensation	Zikre Hig Regulation No. 6/2002
Several Regions of Ethiopia have taken steps to develop regional land regulations.	<i>Regional Land Regulations</i> • <i>Land use Administration Proclamation, (No 456/2005 Article 17(1))</i>
Eligibility for compensation is discussed in <i>Article 44(2)</i> of the 1995 Constitution and <i>Proclamation No 455/2005</i> . These two legal documents give entitlement only to those who have formal legal rights over their holdings (properties).	Constitution Article 44(2) Proclamation No 455/2005
<i>Proclamation No 455/2005, Article 2 (3)</i> stipulates that "Landholder" means an individual, government or private organization or any ...other ...organ which has legal personality and has lawful possession over the land to be expropriated and owns property situated thereon."	Proclamation No 455/2005
Rural Land Administration and Land Use Administration Proclamation (No. 456/2005 Article 17(1)) gives regional states the power to enact regional laws for rural land administrations. The regional laws are to be consistent with the Federal Constitution (No. 1/1995, Article 52(2) (d))	Proclamation No. 456/2005
Several regional states (including Amhara, Oromia and Tigray) are now building on the constitutional provisions to improve security of tenure, albeit within the general framework of State ownership of land. Leases are being introduced, that would	<i>Land Tenure</i>

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

Annex8: Community Consultation Attendance Sheet

Annex 9: Glossary of Terms

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

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