

Building Climate Change Resilience of Vulnerable Households in Selected Localities of Ethiopia

Environmental and Social Action Plan

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Executive Summary

Building on the success of the Adaptation Fund-supported project, *"Building Climate Change Resilience of Vulnerable Households in Selected Localities of Ethiopia"*, the current GCF-SAP proposal aims to extend positive outcomes of the aforementioned programme to 16 new kebeles (localities), directly and indirectly benefiting 96,000 and 464,000 people, respectively. The project's comprehensive approach integrates technical expertise, multi-disciplinary strategies, and lessons learned from past successful initiatives. It addresses urgent needs in water, agriculture, and income diversification, emphasizing community participation and long-term sustainability. The proposed project aligns with Ethiopia's climate resilience goals, national adaptation plan, and development priorities, providing a holistic response to climate-induced challenges and contributing to the well-being of vulnerable populations.

Overall, the proposed project aims to support low-emission, climate-resilient development pathways in selected kebeles within seven woredas in five regional states and one city administration, namely Tenta woreda (Amhara region), Wahil Cluster (Dire Dawa city administration), Erer woreda (Harari region), Adama and Aleltu Woredas (Oromia Region). Lok Abeya woreda (Sidama region). And Raya Azebo woreda (Tigray region). The project has an integrated water, agriculture and natural resource management approach and builds on the Adaptation Fund financed '**Climate Smart Integrated Rural Development project**' to replicate and scale the achieved results. The Adaptation Fund project which implemented in adjacent kebeles within the same project woredas and hence the potential to expand, replicate and scale up the results to these adjacent woredas,

The current proposed GCF SAP project will give less emphasis on developing water infrastructure and will focus more on extending the benefit of these already developed infrastructure. The proposal has identified new adjacent kebeles in the same woreda to replicate and scale the benefits gained through the following four interrelated components, including:

- **Component 1:** Capacity building and Knowledge Management which focuses on:
 - i. knowledge management related activities and
 - ii. activities pertaining to the development and update of climate-smart agriculture and land–water–forest integration plans,

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- **Component 2:** Water and food security, which focuses on:
 - i. activities for increasing potable water supply access and
 - ii. activities to increase water access for irrigation and livestock use.

- **Component 3:** Climate-smart agriculture, land, water, and forest integration, which focuses on:
 - i. facilitating the implementation of climate-smart agriculture practices at the farms level, and
 - ii. the restoration and protection of degraded watersheds through Integrated watershed management and nature based solutions approach,

- **Component 4:** Climate resilient livelihood diversification, which focuses on:
 - i. increasing the capacity of women and other vulnerable groups to participate in market-oriented enterprises.

Overall, the project will have minimal negative environment and social impacts, as it will focus on activities that only extend the benefits of already developed water schemes by improving access. Hence the project will not be directly involved in the development of groundwater wells and other water infrastructure, focusing only on improving distribution lines and other interventions that will create access from already developed water infrastructure. Moreover the proposed project gives emphasis to capacity building and technical capacity development, which are activities that have minimal environmental and social impacts. In compliance with the requirements of the fund for Category C projects, an Environmental and Social Action Plan (ESAP), has been developed and recommends measures to mitigate some low impact residual risks, which are associated with these activities.

1. ESS Categorization Assessment of Project Components and Activities

As an initial instrument for Environmental and Social Safeguards Categorization Assessment the GCF Environmental and Social Screening Template was utilised. Following this, further assessment was conducted to qualitatively assess the significance of potential impacts using a qualitative method (Wood, 2003). All assessment are made in line with GCF's Performance Standards and national requirements are mentioned only to show alignment between GCF requirements and national policies and laws.

Performance Standard 1: Assessment and Management of Environmental and Social Risks and Impacts

Ethiopia's Environmental Policy defines the environmental and social objectives and principles that guide the project to achieve sound environmental and social performance, while the EIA Proclamation (Proclamation no. 299/2002) sets a process for identifying the environmental and social risks and impacts of the project. The ESMP incorporates, as appropriate, what is required by the GCF's ESMS, which includes: (i) policy; (ii) identification of risks and impacts; (iii) management programmes; (iv) organizational capacity and competency; (v) emergency preparedness and response; (vi) stakeholder engagement; and (vii) monitoring and review.

In relation to this proposal, all impacts observed, which are stipulated under each GCF performance standard, have been assessed to be of low significance, thereby clearly providing the classification of the project as Category C.

Moreover, this is with due consideration that the activities under:

- **Component 1** of the proposal on ***enhancing institutional and human capacities for climate governance and community planning*** are predominantly desk-based activities and hence provide a clear impetus for their classification as Category C,
- **Component 2** of the proposal on ***water and food security*** aims to provide services and upgrade drinking water and irrigation infrastructure, rather than develop new infrastructure. The activities pertaining to potable water systems are described under Output 2.1 of the proposal, and irrigation systems are described under Output 2.2. In this component activities under Output 2.1 of the proposal involve the rehabilitation and upgrading of rural water springs, which are already in use by the community. The water quality of these springs will be tested before upgrading and rehabilitation, to ensure that they meet the drinking water standards of WHO. Moreover, this component focuses on supporting the capabilities and skills of woreda and kebele experts and other stakeholders to enable them to undertake the expansion, rather than fully undertaking the service expansion/infrastructure rehabilitation work through GCF funding. Thus, this is the basis for classifying the activities under this component as Category C.
- **Component 3** of the proposal on ***climate-smart agriculture, land, water, and forest integration*** aims to restore degraded ecosystems and improve agriculture- land-water-forest integration through a predominantly nature-based solutions approach, thereby establishes the basis for Category C classification of the activities.

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- **Component 4** of the proposal on ***building financial and social capital*** through diversified climate-resilient livelihoods for women, youth, and marginalized groups, the activities of which have minimal environmental impact and hence have been classified as Category C

Performance Standard 2: Labour and Working Conditions

In the Ethiopian, the Labour Proclamation (Proclamation No. 377/2003) protects the rights of contract employees and contains similar provisions as this GCF performance standard. The Proclamation's provisions include the obligations of employers to respect human dignity of employees, to take measures for occupational health and safety (such as provision of PPEs and other OHS provisions) and to stipulate the obligations of the employee and the employer. It is also unlawful to discriminate against female workers in matters of remuneration on the grounds of their sex; to discriminate between workers based on nationality, sex, religion, political outlook or any other condition.

Project implementers need to ensure that these national laws and GCF performance standard are implemented at all project sites. While the PS2 recommends not to employ children under 18 years, the Ethiopian Proclamation "prohibits employing persons under 14 years of age." In cases of difference GCF's requirements will be adopted and adhered to.

In the context of this project proposal, the activities that will only involve minor works including community led:

- Provision of services and upgrading of drinking water supply and irrigation infrastructure, and
- Restoration of degraded ecosystems and improvement of agriculture-land-water-forest integration, through a predominantly nature-based solutions approach.

These interventions, by nature, will have minimal safeguards implications on labour and working conditions and are categorised as Category C. moreover, these undertakings will be led by communities, who will fully participate in the project and who will have complete ownership of the expanded services.

In case of the involvement of any third party contractor, contracting and implementation will be guided by the Ethiopian Labour Law and the GCF PS2 (in case of variation between the Ethiopian Law and the GCF PS as stipulated above).

Issues of forced labour (including those related to the supply chain of solar components) of direct, contracted and third-party workers will also be addressed, through clearly stipulated requirements and due diligence screening that will be put in place during the selection of contractors and suppliers. MOFEC has had such requirement setting and due diligence screening experience, during the implementation of the flagship One-WASH and other related programmes.

Performance Standard 3: Resource Efficiency and Pollution Prevention

Ethiopia's Pollution Control Proclamation and Standards (Proclamation no. 300/2002). The Proclamation starts out by stating that "*some social and economic development endeavours*

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may inflict environmental harm that could make the endeavours counterproductive” and further states “it is appropriate to eliminate, or where not possible, to mitigate pollution as undesirable consequence of social and economic development activities.”

The Proclamation has standards and penalties for waste management and disposal, and it can be concluded that the provisions of the Proclamation align well with the GCF performance standard.

Overall, there is limited contamination that will result from the project considering the interventions, by nature, will have minimal safeguards implications pertaining to pollution. Moreover, the potential solid waste that will generated from this (PVC pipes and other related waste) are generally reused and/or sold in the market for subsequent use. However, some organic and non-organic waste agriculture interventions such as poultry. But this will be small sized and will be restricted to the premise of individual farmers and community members that will be involved in poultry development.

Due to this the project is considered Category C from this perspective.

Performance Standard 4: Community Health, Safety, and Security

The Food, Medicine and Health Care Administration and Control Proclamation (Proclamation No. 661/2009), replaces the earlier Public Health Proclamation (Proclamation No. 200/2000).

Proclamation No. 661/2009 contains important provisions that are relevant to the project, and these include:

- It is prohibited to give water supply service from springs, wells or through pipes unless its quality is verified by the Health Authority,
- Any employer shall ensure the availability of occupational health services to its employees,
- The use of any machinery or instrument that generates excessive noise is prohibited. Any person who uses such machinery or instrument shall install noise-reducing apparatus; and
- No person shall dispose of solid, liquid or any other waste in a manner which contaminates the environment or affects the health of the society.

One aspect that has potential implication on health and safety of communities is the potential water quality of rural springs, which require water quality testing prior to upgrading/rehabilitation and ensure only those that meet the WHO drinking water quality requirement will be used (as per Proclamation No. 661/2009 above). Moreover, routine checks will be conducted during use of the rehabilitated/upgraded rural water springs to ensure that these springs continue to meet WHO drinking water requirements. Furthermore, precautionary measure such as the provision of ‘Wuha Agar’, which is an effective chlorine-based liquid solution used for household water treatment in Ethiopia, will be implemented. With regards to security, there is no active conflict and/or security risk at present in all the localities the project will be implemented in.

Considering these aspects, the project considered Category C from this perspective as well.

Performance Standard 5: Land Acquisition and Involuntary Resettlement

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Ethiopia's Proclamation to provide for the expropriation of land holdings for the public purposes and payment of compensation (Proclamation No. 455/2005), and the Rural Land Administration and Use Proclamation (Proclamation 456/2005) cover provisions contained in GCF PS5.

Proclamation 456/2005 includes provisions that are in line with GCF performance standard 5: *“Holder of rural land who is evicted for purpose of public use shall be given compensation proportional to the development he has made on the land and the property acquired, or shall be given substitute land thereon; and rural lands that have gullies shall be rehabilitated by private and neighbouring holders and, as appropriate, by the local community, using biological and physical works.”*

The Expropriation of Land Holdings for Public Purposes and Payment of Compensation Proclamation No.455/2005" states that: *“A woreda or an urban administration shall, upon payment in advance of compensation in accordance with this Proclamation, have the power to expropriate rural or urban landholdings for public purpose where it believes that it should be used for a better development project to be carried out by public entities, private investors, cooperative societies or other organs, or where' such expropriation has been decided by the appropriate higher regional or federal government organ for the same purpose.”* The law specifies procedures of expropriation, compensation payment, displacement of land holders and grievance and appeal.

No land acquisition, resettlement and economic displacement is expected as part of this project. Moreover, pipes will pass through communal lands, which are normally designated for the community's development activities - such as fodder collection, compost production, etc, - having no implication on individual farms and land owned by farmers. . As a community led intervention, this will ensure that communities will be properly consulted during this undertaking. Moreover, provisions are made to ensure that mechanisms for grievance redress are in place.

Based on these stipulated precautionary measures the project is categorised as Category C from this perspective.

Performance Standard 6: Biodiversity Conservation and Sustainable Management of Living Natural Resources

Proclamation No. 381/2004, Institute of Biodiversity Conservation and Research Establishment Proclamation delegates the Institute of Biodiversity Conservation: *“to ensure the conservation of the country's biodiversity using ex-situ and in-situ conservation methods”*.

Proclamation No. 482/2006, Access to Genetic Resources and Community Knowledge, and Community Rights Proclamation, objective is: *“to ensure that the country and its communities obtain fair and equitable share from the benefits arising out of the use of genetic resources so as to promote the conservation and sustainable utilization of the country's biodiversity resources;”* Subsequent provisions focus on access rights to genetic resources.

There are no protected areas in the project site. Moreover, it is less likely that the project will trigger this performance standard (biodiversity conservation and sustainable management of living natural resources), considering that the project is being implemented in rural agrarian communities where there is settlement. Moreover, the project opts for a nature-based solutions

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approach which has little to no negative impact on biodiversity. However, there is the minor risk of the introduction of alien species due to the project intervention. The main avenue for alien species introduction is through seeds that will be disseminated for agriculture and forest restoration activities. To this end, the Ministry of Agriculture, which is a project stakeholder, has the capacity and facility for screening seeds that will be disseminated.

Based on these justifications, the project is categorised as Category C.

Performance Standard 7 on Indigenous Peoples

There is no specific national legislation on this aspect, as the entire Ethiopian population is considered indigenous. However, to comply with GCF's requirements the Ministry of Finance has developed a guiding principle entitled Native Communities Engagement Framework which is developed to ensure that GCF and other externally funded projects adhere to Free, Prior, and Informed Consent (FPIC) principles.

This performance standard is not expected to be triggered, since the localities where the project will be implemented are mixed communities/group that are agrarian.

Based on these justifications, the project is categorised as Category C.

Performance Standard 8 on Cultural Heritage

Ethiopia's Research and Conservation of Cultural Heritage Proclamation (Proclamation No. 209/2000) established the Authority for Research and Conservation of Cultural Heritage and is mandated: *to protect and supervise Cultural Heritage; collect information on Cultural Heritage and define the nature and classify the standards of same; give the necessary education and advice on the content, benefit and preservation of Cultural Heritage.* The Proclamation stipulates: *"no person may, without a permit issued by the Authority, carry out building or road construction, excavations of any type or any operation that may cause ground disturbance in an area declared reserved."*

This performance standard is not expected to be triggered as this are inhabited areas where agricultural practices have existed for a long time and accidental finds of such cultural heritages have not been reported thus far.

Based on this justification, the project is categorised as Category C.

2. Environmental and Social Action Plan (ESAP)

The Environmental and Social Action Plan is developed taking into account the ESS categorization assessment of project component and activities that was carried out and described under Section 1. During implementation, all project activities, site-specific interventions, procurement packages, community-level activities and implementation arrangements will be subject to environmental and social due-diligence screening before commencement. The project will use **Appendix 3: ESS Screening Checklist for project development and implementation** as the mandatory screening and compliance tool to confirm that each activity remains consistent with the project's Category C risk classification, the ESAP

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eligibility criteria and exclusion list, and the applicable GCF Environmental and Social Safeguards Performance Standards. The checklist will be applied by the project implementer and reviewed by the CRGE Facility ESS/Safeguards expert before activities proceed. Activities will be screened for, inter alia, construction/civil works, land acquisition, permanent or temporary physical or economic displacement, impacts on communal or traditionally used land, new water resource development, impacts on watercourses or groundwater, biodiversity and habitat impacts, hazardous waste and pollution risks, cultural heritage risks, stakeholder engagement requirements, gender/GESI considerations and grievance access. Any activity found to be inconsistent with the Category C requirements, the exclusion list or the GCF ESS standards will not be financed unless it is redesigned to remove the risk and is cleared through the Appendix 3 screening process. Screening results, reviewer feedback, required corrective actions and monitoring frequency will be documented and retained as part of the project's safeguards due-diligence records.

Table 1: Environmental and Social Action Plan (ESAP)

Project Component or activity	Summary of risks	Risk significance	Mitigation measures	Responsible party/person	Schedule	Expected results	Cost/ Budget
Component 2: Water and Food security							
Activities for increasing potable water supply access and water access for irrigation and livestock use	Pipes passing through the farms and land of communities.	Insignificant (low impact and low occurrence), Moreover, pipes will pass through communal lands, which are normally designated for the community's development activities - such as fodder collection, compost production, etc, - having less implication on individual farms and land owned by farmers.	Ensure that these infrastructure are installed in communal lands, which are normally designated for the community's development activities and have no implication on individual farms and land owned by farmers.	- Project team - Water desk at woreda level - community -extensions workers	During the installation period (first year of operation)	No impact of the water supply infrastructure on individual farms and land owned by farmers.	Part of the operational budget
	Noise and dust due to water systems	Insignificant (low impact and low occurrence)	Implement dust minimisation techniques such as sprinkling small	- Project team	During the installation period (first	Exposure levels are minimised. For noise interventions	Part of the installation budget

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Project Component or activity	Summary of risks	Risk significance	Mitigation measures	Responsible party/person	Schedule	Expected results	Cost/ Budget
	installation process	as such activities do not generate much noise and dust.	amount of 'grey' water and provide noise mufflers to works depending on noise monitoring results.		year of operation)	are required based on day time noise exposure for commercial and industrial activities.	
	Contamination of water supply.	Insignificant (low impact and low occurrence), as standard procedure is in place to ensure safety of potable water.	Ensure standard procedure for water safety is implemented. These include source protection as per the One-WASH programme implementation guide which articulates protocols for protection of water sources, protocol for selecting sites for implementation and protocols for ensuring minimised polluting activities in communal lands where the small infrastructure like pipes are set up	- Project team - Water desk at woreda level - Woreda health desk - community -extensions workers	Recurrent	No contamination and no health impact as a result of contamination (if in a less likely situation such a water quality issue occurs).	Part of the operational budget

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Project Component or activity	Summary of risks	Risk significance	Mitigation measures	Responsible party/person	Schedule	Expected results	Cost/ Budget
			Regularly monitor the quality of potable water supply and issue alert and safety measures, if and when, there are concerns. Ensure poultries and other activities are not situated upstream and that community who set up poultries within their own premise adhere to condition for reducing pollution.				
	water use efficiency	Insignificant (low impact and low occurrence) In general the final target for beneficiaries of irrigation services is 2,520 households (which is only 13% of the	Use kebele-level indicative water balance analysis and related climate and water-demand assessments as mitigation measures to support sustainable resource use in relation to extending	- Project team - Water desk at woreda level - community -extensions workers	Recurrent	Improve water use efficiency and ensure there is no over-use and over- extraction of water	Part of the operational budget

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Project Component or activity	Summary of risks	Risk significance	Mitigation measures	Responsible party/person	Schedule	Expected results	Cost/ Budget
		total project beneficiaries) and only 630 ha of land put under irrigation.	irrigation and water access interventions The activities covered in the water balance analyses include activity 2.1., activity 2.2., and activity 3.1. and activity 3.2.				
	occupational health and safety management	Insignificant (low impact and low occurrence), as there is a standard procedure for provision of this.	Provision of PPE and OHS provisions to project workers Issues of forced labour (including those related to the supply chain of solar components) of direct, contracted and third-party workers is through clearly stipulated requirements and due diligence screening that will be put in place during the	-Project team -Contractor (as part of the condition for engagement)	Recurrent	Safe working environment for project workers	Part of the operational budget

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Project Component or activity	Summary of risks	Risk significance	Mitigation measures	Responsible party/person	Schedule	Expected results	Cost/ Budget
			selection of contractors and suppliers. MOFEC has had such requirement setting and due diligence screening experience, during the implementation of the flagship One-WASH and other related programmes.				
	Exposure to disease and safety of communities, including at installation sites.	Insignificant (low impact and low occurrence)	Safety management based on guideline for occupation health including provision of safety equipment, clear signs and community level communication, and the provision of basic health services and safety practices	- Project team - Health desk at woreda level -extensions workers	During the installation period (first year of operation)	Safety of community and reduction of health concerns	Part of the operational budget

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Project Component or activity	Summary of risks	Risk significance	Mitigation measures	Responsible party/person	Schedule	Expected results	Cost/ Budget
			Set up of barricades to mark areas and to protect workers and communities.				
	Safety and compliance of equipment and installations with good international industry practices.	Insignificant (low impact and low occurrence)	Undertake due diligence processes to ensure suppliers are credible and ensure the installations services are up to standard.	- Project team	During the installation period (first year of operation)	Safe and high standard equipment and installations	Part of the operational budget
Component 3: Climate-smart agriculture, land, water, and forest integration							
Activities to implement climate-smart agriculture practices at the farms level	Solid waste management issues related to compost and other inputs.	Insignificant (low impact and low occurrence) – as there is only limited organic and non-organic waste generated as part of the climate smart agriculture practice and poultry development.	Develop a protocol on solid waste disposal plan and implement this plan. Ensure poultries and other activities are not situated upstream and that community who set up poultries within their own premise adhere to condition for reducing pollution.	- Project team -woreda environment desk -woreda health desk -community	Recurrent	Properly managed solid waste.	Part of the operational budget

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Project Component or activity	Summary of risks	Risk significance	Mitigation measures	Responsible party/person	Schedule	Expected results	Cost/ Budget
	Farmers resistance to proposed interventions, due to its implication with regards to land holding and other matters.	Insignificant (low impact and low occurrence) as most communities has been consulted and are in agreement.	Undertake timely and regular consultations and modify project according to outcomes.	- Project team - woreda level government office	Recurrent	Consent on the project received	Part of the operational budget
	Introduction of alien species	Insignificant (low impact and low occurrence)	Take precautionary measure and conduct regular follow up to identify unanticipated growth of alien species. Create awareness regarding alien species Use indigenous species and apply screening and technical oversight to avoid introduction of invasive species Since the main avenue for alien	- Project team - woreda level government office -extension workers	Recurrent	Reduce the coverage and growth of alien species	Part of the operational budget

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Project Component or activity	Summary of risks	Risk significance	Mitigation measures	Responsible party/person	Schedule	Expected results	Cost/ Budget
			species introduction is through seeds that will be disseminated for agriculture and forest restoration activities, technical oversight and screening will be conducted by the Ministry of Agriculture, which has the capacity and facility for screening seeds that will be disseminated.				
Activities for the restoration and protection of degraded watersheds through Integrated watershed management approach	Restoration activities will take place in communal lands, and the community might resist this.	Insignificant (low impact and low occurrence), as most communities has been consulted and are in agreement.	Undertake timely and regular consultations and modify project according to outcomes.	- Project team - woreda level government office	Recurrent	Consent on the project received	Part of the operational budget
	Solid waste management issues related to	Insignificant (low impact and low occurrence) –	Develop a protocol on solid waste (including hazardous waste)	- Project team	Recurrent	Properly managed solid waste.	Part of the operational budget

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Project Component or activity	Summary of risks	Risk significance	Mitigation measures	Responsible party/person	Schedule	Expected results	Cost/ Budget
	compost and other inputs.	as there is only limited non-organic waste generated as part of the climate smart agriculture practice.	disposal plan and implement this plan.	-woreda environment desk -woreda health desk -community			
Cross-Cutting (SEAH)							
-	Risks of sexual exploitation, abuse and harassment (SEAH) during community engagement, training, beneficiary targeting, and implementation support activities.	-	Conduct SEAH awareness-raising sessions for communities, beneficiaries, local institutions, and relevant community-level structures using locally appropriate and accessible formats and languages.	- Project team -woreda environment desk -woreda health desk -community	At project inception and periodically throughout implementation	Reduced risk of sexual exploitation, abuse and harassment	Part of the operational budget of the project.
-	Project workers, contractors, consultants, grievance focal points, and implementing staff may lack sufficient understanding of	-	Provide SEAH awareness and response training to project workers, contractors, consultants, grievance focal points, safeguards/gender	- Project team -woreda environment desk -woreda health desk -community	At project inception and periodically throughout implementation	Increased awareness and increase implementation of SEAH prevention, reporting, confidentiality	Part of the operational budget of the project.

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Project Component or activity	Summary of risks	Risk significance	Mitigation measures	Responsible party/person	Schedule	Expected results	Cost/ Budget
	SEAH prevention, reporting, confidentiality, and survivor-centred response.		focal points, and relevant implementing staff.			and response measures	
-	Women and girls may be discouraged from participating fully in project activities if grievance mechanisms are not safe, confidential, and responsive.	-	Strengthen the project grievance mechanism to ensure that it is confidential, accessible, gender-responsive, and survivor-centred for SEAH-related complaints, including for community members and project-related workers.	- Project team -woreda environment desk -woreda health desk -community	Established at project start and maintained throughout implementation	Improved and increased access to grievance mechanisms for women and girls	Part of the operational budget of the project.
-	Lack of clear referral pathways may prevent survivors from accessing appropriate support services.	-	Undertake service provider mapping in each target woreda and maintain updated referral pathways for medical, psychosocial, legal, and	- Project team -woreda environment desk -woreda health desk -community	At project inception and updated as needed during implementation	Increased access to appropriate support services by survivors	Part of the operational budget of the project.

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Project Component or activity	Summary of risks	Risk significance	Mitigation measures	Responsible party/person	Schedule	Expected results	Cost/ Budget
			protection services relevant to SEAH survivors.				
-	Contractors, consultants, and workers may not be bound by clear behavioural obligations related to SEAH prevention and safe conduct.	-	Integrate Codes of Conduct and SEAH-related clauses into procurement documents, contracts, consultant arrangements, and worker engagement procedures, and ensure communication of these obligations to relevant personnel.	- Project team -woreda environment desk -woreda health desk -community	During procurement and before commencement of field activities	Increase accountability of contractors, consultation, and workers.	Part of the operational budget of the project.
-	SEAH prevention and response measures may not be systematically tracked as part of gender implementation.	-	Monitor implementation of SEAH-related gender actions through regular project monitoring, safeguards follow-up, and gender reporting, including awareness, training, grievance	- Project team -woreda environment desk -woreda health desk -community	Quarterly / periodically throughout implementation	Increased tracking of SEAH prevention and response measures.	Part of the operational budget of the project.

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Project Component or activity	Summary of risks	Risk significance	Mitigation measures	Responsible party/person	Schedule	Expected results	Cost/ Budget
			handling, Codes of Conduct, and referral arrangements.				
Crosscutting (Indigenous people)							
-	All Kebeles that are included in this project are predominantly populated by sedentary mono-ethnic agrarian communities (refer to the pre-feasibility study). However, there may be pastoral communities in adjacent/ surrounding communities outside of the project implementation site, who due to the water access and improved environmental management practices of the project, would have potential	Insignificance (Low impact and Low Occurrence) as there are no pastoral communities in the project implementing localities and the localities are not part of their seasonal movement route.	Create access and scheme for benefit sharing during periods of drought including the provision of extension services pertaining to animal health	- Project team -woreda environment desk -woreda health and agriculture desk -community	Monitor quarterly in years of drought	Access and scheme for benefit sharing created in drought period when there will be the pressure for pastoral communities to move to areas further from their normal seasonal movement route.	Part of the operational budget of the project.

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Project Component or activity	Summary of risks	Risk significance	Mitigation measures	Responsible party/person	Schedule	Expected results	Cost/ Budget
	interest to access these sites in periods of severe drought.						

3. Eligibility Criteria and Exclusion List

It is essential to ensure the activities undertaken in the context of this project are strictly in line with GCF's requirement for projects with low Environmental and Social Safeguards impacts, i.e. Category C projects.

To this end, the following are ineligible (excluded) activities under the proposed project:

- a) Activities requiring construction/civil works,
- b) Activities that involve land acquisition including physical and/or economic displacement which is permanent or temporary in nature,
- c) Activities that have economic or social implication on the land of communities, particularly if due process has not been conducted and if Free and Prior Informed Consent (FPIC) is not obtained,
- d) Activities that are on land that is traditionally owned or used by rural communities
- e) Activities that are new water resource development intervention, such as new abstraction of surface water and drilling of groundwater resources, will not be funded. Moreover, interventions will focus on extending existing services and will not go on without clearly established, water balance assessment and if found to have lower level of recharge,
- f) Activities that convert or degrade “habitat”,
- g) Activities that have impact on biodiversity,
- h) Activities that generate hazardous waste and activities that don't adhere to the project's conditions on reducing pollution ,
- i) Activities that alter or damage cultural heritage

Overall, activities are only eligible if they have minimal or no adverse environmental and social impacts.

The Ministry of Finance Safeguards officer will be responsible to screen that all activities undertaken in the context of this project do not include ineligible activities. Moreover, subcontractors and other partnering entities will sign binding documents that explicitly confirm that they will not undertake activities in the exclusion list of ineligible activities.

4. Stakeholder Consultation

National and Regional Level Consultation

Stakeholder consultations were conducted at multiple levels, including federal, regional, woreda, and community levels. A national stakeholder consultation workshop was organized by the CRGE Facility, bringing together representatives from relevant line

ministries, regional bureaus, finance and sector institutions, community representatives, and regional institutions responsible for women and youth affairs. This initial workshop brought together expert groups and community representative to discuss on the lessons of the previous Adaptation Fund supported project and what needs to be incorporated into this GCF project (**Annex II**). This initial consultation was conducted in 2 and 3 October 2023 in Adama, Ethiopia, with around over 50 participants drawn from federal Ministry of Agriculture, Ministry of Water and Energy, experts from the CRGE Facility at the Ministry of Finance and relevant experts from Oromia, Tigray, Sidama, Harari, and dire Dawa City Administration attending the workshop.

During the two days event, participants reflected positively on the outcomes of the previous Adaptation Fund-financed project, which is the basis for this GAP SAP proposal, expressing their appreciation for the significant improvements in water access, strengthened climate resilience, and enhanced livelihoods within the target communities. Many participants highlighted how the project had successfully empowered local communities, particularly women and vulnerable groups, through capacity-building initiatives and improved access to resources. These achievements were seen as critical foundations on which the current project could build.

Participants emphasized the importance of integrating these positive experiences and lessons learned into the design and implementation of the new project to further enhance its effectiveness and long-term impact. In addition to these reflections, participants emphasized the need to ensure the sustainability of the project's outcomes, particularly in relation to climate-smart agriculture and water security initiatives. They stressed that providing local communities with the necessary skills and resources would be crucial to ensuring that the benefits of the project endure long after its completion. Capacity-building measures and local ownership were identified as key factors in achieving this sustainability.

Participants also highlighted the importance of water security and quality in the target regions and woredas. They emphasized the need for advanced water management technologies, such as solar-powered irrigation systems to address water scarcity and improve water quality in these drought-prone areas, enhancing the resilience of local communities.

Participants from regional governments also emphasized the need for better coordination between federal and regional authorities. They highlighted the importance of clear communication channels and coordination mechanisms to ensure smooth project implementation and avoid delays. Clear delineation of roles between federal ministries, regional bureaus, and local authorities was seen as essential to achieving project objectives.

Finally, participants stressed the importance of capacity building and knowledge sharing as essential to the project's success. They emphasized the need for ongoing training programs at the woreda and kebele levels to ensure that local communities are equipped with the skills necessary to implement and sustain the project's interventions effectively.

Community Level Consultation

In terms of community consultation, two rounds of consultations took place in July 2024 and May 2025. These field visits and public consultation events were carried out at each participating woreda level. These consultations were led by two experts from the Ministry of Finance, who are involved in safeguards implementation. Particularly in May 2025, extensive stakeholder consultations were conducted between 13 and 16 May, across four climate-vulnerable woredas in Oromia, Amhara Harari Regions and Dire Dawa City Administration. These consultations aimed to identify climate risks, understand local adaptation needs, and ensure that the voices of marginalized groups, especially women, are fully integrated into the project design.

A participatory and inclusive approach was applied using a mix of focus group discussions, key informant interviews, and woreda-level workshops. Participants included smallholder farmers, pastoralists, traditional leaders, local government experts, and representatives from women's and youth associations.

Key themes emerged across all woredas:

- Communities are experiencing increasingly severe climate shocks, particularly recurrent droughts, erratic rainfall, and soil degradation.
- Women and girls disproportionately bear the burden of water collection and suffer from limited access to livelihood opportunities and decision-making platforms.
- Local institutions lack the technical capacity, coordination mechanisms, and resources to integrate climate risk planning into existing governance processes.
- Participants identified critical needs such as solar-powered water systems, drought-resilient crop and livestock options, small-scale irrigation, gender-responsive livelihood diversification, and improved access to markets.

Community feedback directly shaped the project's components, including the rehabilitation of water supply and irrigation systems (Component 2), climate-smart agriculture and livestock practices (Component 3), and targeted livelihood support for women-headed households (Component 4). Stakeholder recommendations on governance and institutional capacity were also used to inform the design of participatory M&E and knowledge systems.

In total, over 270 participants were engaged across the four woredas, with a strong emphasis on gender balance and inclusion of vulnerable groups. The consultations demonstrated a high level of community ownership and provided critical insights to ensure the project is locally relevant, socially inclusive, and institutionally embedded for long-term sustainability. Community level participants were also consulted on the use of communal lands for pipe installation and other communal infrastructure development.

Stakeholder Engagement Plan

In the Table below the Stakeholder Engagement Plan in the context of ESS and gender implementation is highlighted.

Table 2: Stakeholder Engagement Plan pertaining to ESS and gender implementation

Project Component	Target Stakeholders	Engagement Methods	Consultation Topic / Strategic Objective	Timeline	Responsible Entity
Component 1 on enhancing institutional and human capacities for climate governance and community planning	Ministries, Regions, and Woreda	Workshops and awareness training	ESS and gender capacity building undertakings	Q1 2027, Q1 2028	MOF (coordinator)
Component 2 on extending physical capital through resilient water supply and irrigation systems	Ministries, Regions, Woreda and community representatives	Technical Working Groups (TWG)	Assessment of status of implementation; integration of gender-responsive and socially inclusive indicators. Follow up community level consultation on the use of communal lands for pipe installation and other communal infrastructure development.	Q3 2027, Q1 2028	MOWE (coordinator)
Component 3 on restoring degraded ecosystems and strengthens natural capital	Ministries, Regions, Woreda and community representatives	Technical Working Group (TWG)	Assessment of status of safeguards implementation; integration of gender-responsive and socially inclusive indicators.	Q3 2027, Q1 2028	MOA (coordinator)
Component 4 on building financial and social capital through diversified climate-resilient livelihoods for women, youth, and marginalized groups	Ministries, Regions, Woreda and community representatives	Technical Working Group (TWG)	integration of gender-responsive and socially inclusive indicators.	Q3 2027, Q1 2028	MOF (coordinator)

5. Grievance Redress Mechanism

The Ethiopian Institution of the Ombudsman (EIO) is a federal entity accountable to the Federal Parliament and responsible for ensuring that the constitutional rights of citizens are not violated by executive organs. It receives and investigates complaints in respect

of maladministration; conducts supervision to ensure the executive carries out its functions according to the law; and seeks remedies in case of maladministration.

The Regional Public Grievance Hearing Offices (PGHOs) are regional entities accountable to their respective regional Presidents. They are responsible for receiving appeals, complaints and grievances related to public services and good governance; investigating these; and making recommendations and decisions to redress them. Most regions have established their PGHOs and have branches at zonal, woreda and kebele levels which are accountable to their respective chief administrator. At the kebele level, the Kebele Manager serves as the focal point.

A complainant has the option to lodge his/her complaint to the nearby EIO branch or the respective PGHO in person, through his/her representative, orally, in writing, by fax, telephone or in any other manner. Complaints are examined; investigated and remedial actions are taken to settle them. If not satisfied with the decision of the lower level of the GRM system, the complainant has the right to escalate his/her case to the next higher level of administration. In addition, some regions have mobile grievance handling teams at woreda level to address grievances by clustering kebeles; some have good governance command posts to handle cases that have not been settled by the Kebele Manager and woreda PGHOs. PBS 3 is supporting GRM system strengthening including the opening of new EIO branches.

Affected local communities should be informed about the ESAP provisions, including its grievance mechanism. Contact information of the Kebele, Woreda and Regional State **M&E and safeguard officer** should be made publicly available. As a first stage, grievances should be made to the Kebele designated **M&E and safeguard officer**, who should respond to grievances in writing within 15 calendar days of receipt. Claims should be properly filed at the office of the Woreda and Kebele Administrations, and a copy of the grievance should be provided to the Project Management Unit at MOF. If the claimant is not satisfied with the response, the grievance may be submitted to Project Implementation Unit at MOF.

The purpose of the complaint procedure is to ensure all complaints from local communities are dealt with appropriately, with corrective actions being implemented and the complainant being informed of the outcome. Both verbal and written complaints will be entered on the Complaints Log and the Complaints Action Form.

The complaints log provides a record to show that actions are tracked and carried out. It records:

- Date the complaint was reported,
- Person responsible for the complaint,
- Information on proposed corrective action sent to complainant,
- The date the complaint was closed out, and
- Date response sent to complainant.

Possible Grievance Redress procedures at the different levels of administration based on the study done for the National REDD+ Secretariat¹.

The project-level Grievance Redress Mechanism will be established and operationalized at project inception and before the commencement of community consultations, beneficiary targeting, training events, field-level implementation activities, or contractor-supported activities. The GRM will be accessible to community members, beneficiaries, project workers, contractors, consultants, service providers, and other stakeholders. It will use multiple communication channels, including community-level entry points, trained kebele and woreda grievance focal persons, woreda sector offices, regional and federal escalation channels, written and verbal complaints, and project-level reporting channels. Information on how to access the GRM will be communicated in local languages and through accessible formats during community meetings, training events, beneficiary engagement activities, and worker orientation sessions.

Complaints related to sexual exploitation, abuse and harassment will be handled through specific, confidential, survivor-centred procedures and will not be processed as ordinary implementation complaints. The GRM will apply the principles of confidentiality, informed consent, survivor choice, safety, non-retaliation, dignity, non-discrimination, and do-no-harm. Survivors will not be required to repeatedly recount their experience, and no action will be taken without their informed consent, except where there is an immediate and serious risk to life or safety and action is required under applicable law.

The project will ensure anonymity and confidentiality at all stages of SEAH complaint handling. SEAH complaints will be recorded using a coded case number rather than the survivor's name in general grievance registers. Identifying information will be kept separately, securely, and only by trained personnel authorized to handle sensitive complaints. Information will be shared strictly on a need-to-know basis and only with the survivor's consent. Public reporting and project monitoring will use aggregated and anonymized information only and will never disclose names, locations, or details that could identify survivors or complainants.

Upon receipt of a SEAH-related complaint, the trained focal person will: (i) listen respectfully and without judgment; (ii) confirm whether the complainant or survivor wishes to proceed; (iii) explain available options and confidentiality safeguards; (iv) conduct an immediate safety and protection risk assessment; (v) identify any urgent medical, psychosocial, legal, or protection needs; (vi) facilitate referral to appropriate service providers with the survivor's informed consent; and (vii) ensure that the complaint is escalated only through designated confidential channels. The project will not require untrained project staff, contractors, or community representatives to investigate SEAH allegations. Any fact-finding, disciplinary, contractual, or

¹ MINISTRY OF ENVIRONMENT AND FOREST (MEF) OROMIA FOREST AND WILDLIFE ENTERPRISE (OFWE) 2015. OROMIA FORESTED LANDSCAPE PROGRAM (OFLP), RESETTLEMENT POLICY FRAMEWORK (RPF)

administrative follow-up will be handled only by authorized and trained personnel and in a manner that protects the survivor from retaliation, stigma, or further harm.

The project will undertake service provider mapping at inception in each target woreda and update it periodically during implementation. The mapping will identify available medical, psychosocial, legal, protection, social welfare, and reintegration support services relevant to SEAH survivors. The project itself will not provide specialist survivor services directly, but will facilitate safe, confidential, and consent-based referral to appropriate institutions and service providers. Reintegration support, where relevant and requested by the survivor, may include referral to appropriate social, livelihood, protection, or community-based support services, while ensuring that no referral or support action exposes the survivor to further risk, stigma, retaliation, or loss of privacy.

All staff, consultants, contractors, grievance focal persons, safeguards focal persons, gender focal persons, community facilitators, and relevant implementing partners who may receive or handle SEAH-related complaints will be trained before assuming such responsibilities. Training will cover SEAH prevention, survivor-centred response, confidentiality protocols, informed consent, safe referral, non-retaliation, safe record keeping, and escalation procedures. Refresher training will be provided periodically during implementation.

Institutional and external complaint channels

At the project level, SEAH-related complaints may be submitted through trained community, kebele, woreda, regional, and federal grievance focal persons. Complaints may also be escalated to the Ministry of Finance / CRGE Facility as the Accredited Entity responsible for overall project oversight and compliance. The Ministry of Finance institutional contact channels are:

Ministry of Finance, Addis Ababa, Ethiopia
Email: infopr@mofed.gov.et; infomofed@mofed.gov.et
Telephone: +251-111-552-015 / +251 11 155 2015

In addition to the project-level and AE-level grievance channels, affected persons may submit complaints to the Green Climate Fund Independent Redress Mechanism. The GCF IRM contact details are:

Independent Redress Mechanism, Green Climate Fund
Songdo Business District, 175 Art center-daero, Yeonsu-gu, Incheon 22004, Republic of Korea
Email: irm@gcfund.org
Office telephone: +82 32-458-6186
Mobile: +82 10-4296-1337
Fax: +82 32-458-6096

Online complaint form: available through the GCF IRM “File a complaint” page

The availability of the GCF IRM does not replace the project-level GRM or the AE institutional channel. It provides an additional independent channel for affected

persons, groups, or communities who believe they have been or may be negatively affected by a GCF-funded project or programme.

Table 3: Grievance redress procedure and roles and responsibilities

Level	Responsible Institution	Procedure
Federal Level	MOF + Project steering committee	EPA need to give response within one month
	Federal Ombudsman's Office	The Federal Ombudsman's can also give advice for unresolved issues before the case is submitted to the court
	Federal Court	Applicants may also pursue their cases through the court system, if they are not satisfied with the Grievance Redress System.
Regional Level	Regional Environment Office and PCU	If Applicants are not satisfied or referred to the regional environment office and the regional office should give response within 15 days,
	Regional Ombudsman's Office	Applicants may also get advice from the Regional Ombudsman's office
	Regional Court	Applicants may appeal to the court if it is not resolved at environment office
Woreda Level	Woreda Environment office	Applicants may raise their grievance to the Woreda environment office and response should be given within 10 days. If the applicant are not satisfied by the response they can take the issue to the Regional PCU or Woreda formal court
	Woreda Ombudsman's Office	Applicants can also submit their apple to the Ombudsman's for advice
	Woreda Court	Applicants can submit their appeal to the formal court and continue with the formal process
Kebele Level	Kebele Shengo	Local communities and other interested stakeholders (Applicants) may raise a grievance/complaint to the Kebele manager for grievance caused by the project and need to get a response within 10 days.

6. Training and Capacity Building

The successful implementation of the ESAP requires capacitated federal, regional states and Woreda organizations that are planning and implementing the project and the mitigation measures recommended by the ESAP.

The capacity building activities include short term trainings and awareness workshops based on clear capacity gaps that have been identified at federal, regional and Woreda levels.

The following table summarizes the training aspect of the capacity building component.

Table 4: Capacity building training

	Issue	Participants	Duration and frequency
1.	National and international safeguard policies	Regional Bureaus, Woredas Offices 16 participants	1 round for 2 days
2.	ESIA planning and implementation	Regional Bureaus, Woredas Offices 16 participants	1 round for 3 days
3.	Monitoring and evaluation	Regional Bureaus, Woredas offices and Kebele Development agents 24 participants	1 round for 2 days
4.	Structural and non-structural mitigation measures	Regional states, Woredas PCU staff and environment units staff 22 participants	2 rounds 2 days each
5.	Conflict resolution and grievance mechanism and procedures	Regional Bureaus, Woredas Offices, Kebele Development agents 24 staff	2 rounds 2 days each

Appendix 1: Environmental and Social Screening Checklist for risk categorization (using GCF template)²

Part A: Risk Factors

Please indicate your answers to the questions below and provide an explanation on the response selected. In cases when the TBD response has been selected please explain briefly why you are not able to determine now and when in the project cycle the question will be addressed.

If the criteria is not applicable to the project you may write N/A in the justification box.

Risk Factors	YES	NO
Will the activities involve associated facilities and require further due diligence of such associated facilities?	☐	☒
<i>The activities do not require the involvement of associated facilities, as they are very small and implemented across rural areas. Moreover, the activities do not focus on development of infrastructure, and associated facilities and the emphasis is on extending the benefit of already developed infrastructure.</i>		
Will the activities involve transboundary impacts including those that would require further due diligence and notification to affected states?	☐	☒
<i>The activities will not have transboundary impacts.</i>		
Will the activities adversely affect working conditions and health and safety of workers or potentially employ vulnerable categories of workers including women and children?	☐	☒
<i>No. Ethiopia's labour law, i.e. Labour Proclamation (No. 377/2003), aligns well with GCF requirements and is comprehensive in its articulation of the rights and protection of workers including contractual and temporary workers.</i>		
Will the activities potentially generate hazardous waste and pollutants including pesticides and contaminate lands that would require further studies on management, minimization and control and compliance to the country and applicable international environmental quality standards?	☐	☒
<i>All activities are small scale, and chemical inputs usage is minimal. Moreover, Ethiopia's Pollution Control Proclamation (No. 300/2002) has strong requirements in terms of pollution, including contamination from agricultural sources.</i>		
Will the activities involve the construction, maintenance, and rehabilitation of critical infrastructure (like dams, water impoundments, coastal and riverbank infrastructure) that	☐	☒

² In answering this checklist, you may refer to Annex 1: Guidance on Part A ESS Screening of the ["Guidelines for the environmental and social screening of activities proposed under the SAP"](#)

would require further technical assessment and safety studies?		
<i>The project activities only involve improvement and expansion of potable water supply systems and water systems for irrigation and livestock use.</i>		
Will the proposed activities potentially involve resettlement and dispossession, land acquisition, and economic displacement of persons and communities?	☐	☒
<i>The project's operations will NOT cause resettlement and dispossession, land acquisition, and economic displacement of persons and communities. The proposed interventions small-scale and will be carried out on plots that the farmers themselves are the owners of (to improve their livelihoods), while watershed-related activities will only be carried out on degraded communal lands, with agreement and consent of the community. Most communities already have bylaws for their communal lands.</i>		
Will the activities be located in or in the vicinity of protected areas and areas of ecological significance including critical habitats, key biodiversity areas and internationally recognized conservation sites?	☐	☒
<i>Initial screening undertakings shows that physical and cultural heritage sites are not in the vicinity of selected Kebeles.</i>		
Will the activities affect indigenous peoples that would require further due diligence, free, prior and informed consent (FPIC) and documentation of development plans?	☐	☒
<i>Further due diligence is not required as the activities will be carried out together with local communities without affecting them. Moreover, all communities in Ethiopia are considered indigenous and there are no specific provisions and legislations as the Ethiopians population is considered indigenous.</i>		
Will the activities be located in areas that are considered to have archaeological (prehistoric), paleontological, historical, cultural, artistic, and religious values or contains features considered as critical cultural heritage?	☐	☒
<i>No, based on this initial screening work conducted, selection localities will NOT be in areas that have archaeological (prehistoric), paleontological, historical, cultural, artistic, and religious values and as such will not have impact on these aspects.</i>		

Part B: Specific environmental and social risks and impacts

Assessment and Management of Environmental and Social Risks and Impacts	YES	NO	TBD
Has the E&S risk category of the project been provided in the concept note?	☒	☐	

Has the rationale for the categorization of the project been provided in the relevant sections of the concept note?	☒	☐	
Are there any additional environmental, health and safety requirements under the national laws and regulations and relevant international treaties and agreements?	☐	☒	☐
<i>There are no additional EHS requirements under national laws or under relevant international treaties and agreements. Moreover, it is important to note that the Ethiopia has national laws and proclamations cover all each ESS performance standard of GCF.</i> <i>Although the project does not involve large-scale labour influx or high-risk civil works, project workers, contractors, consultants, local facilitators, and supervisors may still face or create risks of sexual harassment or other misconduct in the workplace or during field engagement. SEAH risks are therefore not limited to interactions between project workers and communities, but may also arise among project-related personnel themselves. To address this, the project will require appropriate standards of conduct, training, supervision, and complaint-handling arrangements applicable to workers and contractors as well as to community-facing activities.</i>			
Are the identification of risks and impacts based on recent or up-to-date information?	☒	☐	☐
<i>Yes they were developed through site visit of woreda experts to localities selected and 2 in-person consultation sessions were conducted with this key regional and woreda level experts in Adama (Ethiopia) to identify potential risks and impacts. Moreover, information from the mid-term and terminal evaluation reports of the Adaptation Fund-funded project were used to understand the type of risks and impacts that were identified (the AF funded project was complemented in 2022-2023).</i>			
Labour and Working Conditions	YES	NO	TBD
Will the activities potentially have impacts on the working conditions, particularly the terms of employment, worker's organization, non-discrimination, equal opportunity, child labour, and forced labour of direct, contracted and third-party workers?	☐	☒	☐
<i>No. Ethiopia's labour law, i.e. Labour Proclamation (No. 377/2003), aligns well with GCF requirements and is comprehensive in its articulation of the rights and protection of workers including contractual and temporary workers.</i>			
Will the activities pose occupational health and safety risks to workers including supply chain workers?	☐	☒	☐
<i>No. Ethiopia's labour law, i.e. Labour Proclamation (No. 377/2003), aligns well with GCF requirements and is comprehensive in its articulation of the rights and protection of workers including contractual and temporary workers.</i>			
Resource Efficiency and Pollution Prevention	YES	NO	TBD
Will the activities generate (1) emissions to air; (2) discharges to water; (3) activity-related	☐	☒	☐

greenhouse gas (GHG) emissions, (4) noise and vibration; and (5) wastes?			
<i>This will be insignificant due to the nature of the project, which is small scale and focuses on improvement and expansion of potable water supply systems and water systems for irrigation and livestock use. Moreover, the project are based on climate-smart and renewable technologies that are proven with the implementation of the previous projects.</i>			
Will the activities utilize significant amount of natural resources including water and energy?	☐	☒	☐
<i>No. The project activities do not utilize a significant amount of water as they will be implemented on small-scale.</i>			
Will there be a need to develop detailed measures to reduce pollution and promote sustainable use of resources?	☐	☒	☐
<i>The activities of the project are based on climate-smart and renewable technologies that are proven with the implementation of the previous project. Moreover, the use of chemical inputs and other pollutants is minimal. Moreover, Ethiopia's Pollution Control Proclamation (No. 300/2002) has strong requirements in terms of pollution, hence the need to comply to this is well understood.</i>			
Community Health, Safety, and Security	YES	NO	TBD
Will the activities potentially generate risks and impacts to the health and safety of the affected communities?	☐	☒	☐
<i>The impact will be negligible as the interventions are relatively small and focusing on improvement and expansion of potable water supply systems and water systems for irrigation and livestock use. Moreover, the project will be implementing team has the technical competency that was acquired during the implementation of the Adaptation Fund financed Climate Smart Integrated Rural Development Project. In fact, the project will significantly contribute to improved health and safety through the provision of improved potable water supply.</i> <i>The project will ensure that community engagement, consultations, beneficiary selection, training events, and implementation support are carried out in ways that minimize the risk of harassment, abuse, intimidation, exclusion, or coercion. Particular attention will be paid to the differentiated vulnerabilities of women, girls, youth, and other socially vulnerable persons. The project will therefore combine awareness raising, safe participation arrangements, locally accessible complaint channels, and clear communication on rights and reporting options so that participation in project activities does not expose beneficiaries to increased social risk.</i>			
Will there be a need for an emergency preparedness and response plan that also outlines how the affected communities will be assisted in times of emergency?	☐	☐	☒
<i>Most of the project localities are not emergency risk prone areas, except for Tigray where there had been recent conflict. However, the project should do further assessment and see whether there is the need for such contingency and emergency preparedness and response plan.</i>			
Will there be risks posed by the security arrangements and potential conflicts at the	☐	☐	☒

project site to the workers and affected community?			
<i>In 2021-2022 there was a major conflict in Tigray region where three of the targeted kebeles are. This GCF SAP project is an important response to addressing much needed climate adaptation interventions that was further exacerbated by conflict. However, as the conflict in Tigray has been peacefully resolved, there is no need to immediate concerns of risks related to security arrangements and potential conflicts at the project sites. However, there is the need to track the situation and identify and address risks accordingly.</i>			
Land Acquisition and Involuntary Resettlement	YES	NO	TBD
Will the activities likely involve land acquisition and/or physical or economic displacement?	☐	☒	☐
<i>The project's operations will NOT cause resettlement and dispossession, land acquisition, and economic displacement of persons and communities. The proposed interventions small-scale and will be carried out on plots that the farmers themselves are the owners of (to improve their livelihoods), while watershed-related activities will only be carried out on degraded communal lands, with agreement and consent of the community. Most communities already have bylaws for their communal lands.</i>			
Biodiversity Conservation and Sustainable Management of Living Natural Resources	YES	NO	TBD
Will the activities potentially introduce invasive alien species of flora and fauna affecting the biodiversity of the area?	☐	☒	☐
<i>No. There is laws and proclamations around biodiversity and invasive aliens in Ethiopia. Moreover, based on previous experience, attention is given to biodiversity and the implications of invasive species. Furthermore, the project is based on a previous Adaptation Fund project, in the context of which due consideration was given to the implications of invasive alien species.</i>			
Will the activities have potential impacts on or be dependent on ecosystem services including production of living natural resources (e.g. agriculture, livestock, fisheries, forestry)?	☐	☒	☐
<i>The project activities' impacts are expected to be negligible, as they are climate-smart, renewable, localised, and proven with the previous project. Moreover, the project uses an integrated approach to agriculture, land, water, and forest.</i>			
Indigenous Peoples	YES	NO	TBD
Will the activities potentially have any indirect impacts on indigenous peoples, ethnic minorities, or vulnerable and marginalized groups?	☐	☒	☐
<i>All communities in Ethiopia are considered indigenous and there are no specific provisions and legislations as the Ethiopians population is considered indigenous. However, the existing traditions and cultures in the project areas will be respected and incorporated during implementation. All project interventions ensure equitable access to project benefits and resources by local peoples and to the most extent communities at the grassroots level.</i>			

Cultural Heritage	Yes	NO	TBD
Will the activities restrict access to the cultural heritage sites and properties?	☐	☒	☐
<i>Evidence gathered during consultative meetings indicates that there are no physical and cultural heritage sites in the project areas. Project activities will not impact any cultural resources. Community and members and traditional leadership within targeted sites will be engaged to ensure that the project implementation does not affect cultural resources like burial sites.</i>			
Will there be a need to prepare a chance-find procedure in case of the discovery of cultural heritage assets?	☐	☒	☐
<i>This is highly unlikely as this has been discussed in detail with local authorities and other local experts. All sites outside of historic sites where there have not been such findings in the past. This was a deliberate question from the project team and the experts investigated and reported on it properly.</i>			
Stakeholder engagement and grievance	Yes	NO	TBD
Will the activities include a continuing stakeholder engagement process and a grievance redress mechanism and integrated into the management/implementation plans?	☒	☐	☐
<i>The proposed project activities are designed by engaging stakeholders and will continue engaging them throughout the proposal development and the project implementation stages. The grievance redress mechanism will be part of the implementation plan and used to address any concerns that stakeholders may have about the project.</i> <i>The project will maintain a project-level grievance redress mechanism that is accessible to community members, beneficiaries, workers, contractors, consultants, and other project stakeholders. The mechanism will use multiple channels for receiving complaints, including community- and woreda-level intake, verbal and written complaints, and escalation pathways to regional and federal levels where needed. The system will be communicated in locally appropriate and understandable ways and will be designed to support transparency, accountability, and timely response.</i> <i>The grievance mechanism will also include SEAH-specific procedures. Complaints involving sexual exploitation, abuse, or harassment will not be treated in the same way as ordinary service or implementation complaints. They will be handled through confidential and survivor-centred procedures that emphasize informed consent, do-no-harm principles, safety, non-retaliation, and restricted information-sharing on a strict need-to-know basis. The project will ensure that staff or focal persons receiving such complaints are trained in survivor-centred handling and referral.</i> <i>The project grievance mechanism will also identify escalation pathways beyond the local implementation structure, including the institutional grievance mechanism of the Ministry of Finance and the GCF Independent Redress Mechanism, so that affected persons have access to additional complaint channels if required</i>			

In addition to the low-level environmental and social risks already identified, the project recognizes a cross-cutting low-level risk of sexual exploitation, abuse and harassment associated with consultations, training events, beneficiary engagement, contractor and

worker interactions, and workplace conduct. This risk is considered manageable within the SAP framework through the mitigation measures and monitoring arrangements set out in this ESAP.

Additional Social Safeguards Measures on SEAH

The project has considered the possibility of low-level risks related to sexual exploitation, abuse and harassment (SEAH) as part of its environmental and social safeguards framework. These risks are relevant because the project includes consultations, training and awareness activities, beneficiary targeting, contractor and worker presence during field activities, and interactions between project staff, service providers, and local communities. While the project remains within the low-risk threshold applicable to SAP projects, these risks require preventive and response measures to be integrated into implementation.

Potential SEAH risks may affect women, men, girls, and boys, although women and girls, female-headed households, women project workers, and other vulnerable persons may face heightened risk due to unequal power relations, stigma around reporting, and dependence on access to project-supported opportunities and services. The project also recognizes that SEAH risks may arise between project workers, consultants, and contractors, and are therefore not limited to community-facing interactions.

To address these risks, the project will integrate a set of preventive and response measures into implementation. These will include SEAH awareness and prevention training for project workers, contractors, consultants, grievance focal points, and implementing institutions; community awareness raising on safe conduct and available reporting channels; inclusion of Codes of Conduct in formal legal and contractual arrangements; confidential and survivor-centred complaint handling; and establishment of referral pathways for appropriate support.

Service provider mapping will be undertaken at project inception and updated during implementation for each target woreda in order to identify available medical, psychosocial, legal, protection, and referral services. The project itself will not provide specialist survivor services directly, but will facilitate safe and confidential referral to the appropriate institutions and service providers.

Monitoring of SEAH mitigation measures will form part of ESAP implementation. This will include periodic review of whether Codes of Conduct are in place, whether relevant stakeholders have received training, whether community awareness activities have been conducted, whether grievance focal points are trained, whether referral pathways remain current, and whether reporting channels are functioning effectively.

The costs associated with SEAH prevention, awareness, grievance handling, referral mapping, and monitoring will be integrated into the project's safeguards, implementation, communication, and operational budgets rather than treated as separate unfunded activities.

Part C: Sign Off

Sign-off: *Specify the name and designation of the person responsible for the environmental and social screening and any other approvals as may be required in the accredited entity's own management system.*

Appendix 2: List of Consulted Individuals

2–3 October 2023 workshop in Adama, Ethiopia

	Name	Gender	Institutions
1	Abay Husen	M	Oromia Water and Energy
2	Abebe Tamiru	M	Oromia Water and Energy
3	Addisu Bula	M	Harari Region Bureau of Agriculture
4	Addisu Negash	M	Ministry of Agriculture
5	Ahmed Gallo Ablew	M	Harari Region Bureau of Women and Youth Affairs
6	Andualem Bekele	M	Dire Dawa Bureau of Finance
7	Anga Sehani	F	Community representative from Oromia Region
8	Asaminew Teshome	M	Ethiopian Meteorology Institute
9	AsnakewYehuala	M	Finance Bureau Amhara
10	Banteamlak Wondimnew	M	Amhara Region Finance
11	Barok Kifle Meshesha	M	Ministry of Water and Energy
12	Bihonegn Semaw	M	Amhara Bureau of Women and Youth Affairs
13	Daniel Reta	M	Dire Dawa City Administration
14	Demelash Geleta	M	Oromia Bureau of Finance
15	Desalegn Tebratu	M	Environmental Protection Authority
16	Estifanos Getachew	M	Dire Dawa Water and Energy
17	Fekadu Shentema	M	Ministry of Water and Energy
18	Galma Denge	F	Oromia Region community representative
19	Gebremedhin Shumiye	M	Oromia Water and Energy
20	Habtamu Denboba	M	Environmental Protection Authority
21	Jarso Qanchow	M	Oromia Region Bureau of Water and Energy
22	Kapital Jemal	M	Sidama Region Bureau of Water and Energy
23	Kasahun Wakoya	M	Environmental Protection Authority
24	Kedir Hussein Seid	M	Amhara Region Bureau of Agriculture
25	Leta Abate	M	Community Representative from Sidama Region
26	Makeda Wolde Hiwot	F	Disaster Risk Management Commission
27	Mihret Mohammed	F	Oromia Region, Finance

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	Name	Gender	Institutions
28	Misganaw Eyassu	M	Ministry of Finance
29	Moges Getahun	M	Amhara region community representative
30	Moges Sisay	M	Amhara Region Irrigation and Lowlands
31	Molla Melesse	M	Amhara Region Water and Energy
32	Nega Ashagrie	M	Environmental Protection Authority
33	Nibretu Molla	M	Amhara Region Bureau of Finance
34	Samson Emeru	M	Ministry of Agriculture
35	Seblework Mulat	F	Amhara Region Bureau of Finance
36	Semere Gebre-Wahid	M	Amhara Region Bureau of Finance
37	Senayt Zinabu	F	Amhara Region Women and Youth Affairs
38	Shita Ali	F	Community Representative from Harari Region
39	Sisay Abbibaa	M	Oromia Bureau of Finance
40	Solomon Alemu	M	Ministry of Agriculture
41	Tagay Hamza	M	Ministry of Water and Energy
42	Tefera Demesa	M	Tigray Region Bureau of Water and Energy
43	Teferi Daba	M	Oromia Region Bureau of Irrigation
44	Temesgen Abera	M	National Meteorology Agency
45	Tesfaye Lulie	M	Tigray Region Bureau of Agriculture
46	Teshale Bekasa	M	Oromia Region Water and Energy
47	Tsegaye Alemu	M	Ministry of Irrigation and Lowlands
48	Zebidar Alemneh	F	Community Representative from Amhara Region
49	Zenebe Worku	M	Ministry of Irrigation and Lowlands
50	Zewdu Dadi	M	Harari Region Bureau of Finance

Please note an additional two rounds of community level consultations took place in July 2024 and May 2025. These consultation events were carried out at participating woreda level and led by experts from the Ministry of Finance, CRGE Facility, who were involved in safeguards implementation.

APPENDIX 3: ESS Screening checklist for the project development and implementation

General Description and Purpose of the Checklist

This checklist for the project *"Building Climate Change Resilience of Vulnerable Households in Selected Localities of Ethiopia"* is developed to ensure project activities comply with the GCF requirement for a project with low Environmental and Social Safeguards impacts, i.e. Category C project.

Checklist to Identify potential impact and to assess compliance

I. **For Project Developer/Implementer:** Does the project include the following activities that are excluded from the list?

	Yes/No	If yes, clearly describe the intended activity and the anticipated impacts	How will you modify the activity to ensure compliance?	Review Feedback from ESS expert (as applicable)
1.Activities requiring construction/civil works				
2.Activities that involve land acquisition including physical and/or economic displacement which is permanent or temporary in nature				
3.Activities that have economic or social implication on the land of communities 3.1. Has due process been conducted with project affected persons and				

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3.2. Is Free and Prior Informed Consent (FPIC) obtained				
4. Activities that are on land that is traditionally owned or used by rural communities				
5. Activities that convert or degrade “habitat”				
6. Activities that are new water resource development intervention, such as new abstraction of surface water and drilling of groundwater resources. 6.1. Are interventions focused on extending existing services 6.2. Was a water balance assessment conducted and did the assessment find lower level of recharge,				
Activities that convert or degrade “habitat”				
Activities that have impact on biodiversity				
Activities that generate hazardous waste and activities that don't adhere				

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to the project's conditions on reducing pollution				
Activities that alter or damage cultural heritage				

II. For Project Developer/Implementer: Would there be impacts associated to the GCF ESS Performance Standard stipulated below?

	Yes/No	If yes, clearly describe the intended activity and the associated impact?	How will you mitigate the associated impacts?	Review Feedback from ESS expert (as applicable)
Assessment and Management of Environmental and Social Risks and Impacts				
Labour and Working Conditions				
Resource Efficiency and Pollution Prevention				
Community Health, Safety, and Security				
Land Acquisition and Involuntary Resettlement				
Biodiversity Conservation and Sustainable Management of Living Natural Resources				
Indigenous Peoples				
Cultural Heritage				

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Stakeholder engagement and grievance				
Gender/GESI				

III. **For Reviewer (CRGE Facility ESS expert):** Based on the above information and your review are activities proposed compliant with the GCF requirement for low category (Category C) project? YES or NO with Justification

IV. **For Reviewer (CRGE Facility ESS expert):** What are the remarks?

Remarks	New or Existing Remark?	Proposed Action (to ensure compliance)	Monitoring Frequency	Date of Monitoring