

**Federal Democratic Republic of Ethiopia**

**Ministry of Water and Energy**

**Resettlement Framework**

**for**

**Ethiopian Integrated Disaster Risk Management Project  
(ET-IDRMP) (P176327)**

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**Addis Ababa**

**ABBREVIATIONS /ACRONYMS**

AADRMA	Addis Ababa Disaster Risk Management Agency
AIDS	Acquired Immune Deficient Syndrome
BoA	Bureau of Agriculture
CERC	Contingency Emergency Response Component
COVID-19	Corona Virus Disease 19
EDRMC	Ethiopia Disaster Risk Management Commission
EFCCC	Environment Forest and Climate Change Commission
EMI	Ethiopian Meteorology Institute
ESIA	Environmental and Social Impact Assessment
ESF	Environmental and Social Framework
ESMF	Environmental and Social Management Framework
ESMP	Environmental and Social Management Plan
ESS	Environmental and Social Standards
FGD	Focus Group Discussion
FSC	Federal Steering Committee
GBV	Gender Based Violence
GRC	Grievance Redress Committee
GM	Grievance Mechanism
HIV	Human Immunodeficient Virus
IA	Implementing Agencies
IDA	International Development Association
IDRMP	Integrated Disaster Risk Management
MoA	Ministry of Agriculture
M&E	Monitoring and Evaluation
MoF	Ministry of Finance
MoUDI	Ministry of Urban Development and Infrastructure

MoWE	Ministry of Water and Energy
NDRIP	National Digital Risk Information Platform
NPSDRM	National Policy for Strategic Disaster Risk Management
NGO	Non-Governmental Organization
NPC	National Project Coordination
PAD	Project Appraisal Document
PAPs	Project Affected Persons
PCU	Project Coordination Unit
PMU	Project Management Unit
RP	Resettlement Plans
RF	Resettlement Framework
SEASH	Sexual Exploitation and Abuse Sexual Harassment
SEP	Stakeholder Engagement Plan
TAC	Technical Advisory Committee
TOR	Terms of Reference
WB	World Bank

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**Executive Summary:**

This Framework (RF) provides guidelines to the Ministry of Water and Energy, Ethiopia Disaster Risk Management Commission, the Ethiopian Meteorology Institute (EMI), relevant Sub-Basin offices, Regional governments and local Woreda administrations and local communities for the development of Resettlement Plans under the Integrated Disaster Risk Management Project (IDRMP).

A Resettlement Plan must be prepared where a sub-project involves land acquisition, restriction on land use and involuntary resettlement as per the standards required by the World Bank Environmental and Social Standards 5 (ESS5). As the specific sites and activities are not determined, this RF will provide guidelines for the future preparation of RPs.

The IDRMP is being developed with the assistance of the World Bank to strengthen the institutional capacity of the Government of Federal Republic of Ethiopia for disaster risk management and to reduce the impact of floods within selected sub-basins of Awash, Gibe-Omo and Rift Valley. The project physical investments will benefit farmers, rural communities, and agro-pastoralists by reducing risk of flooding and damage on farms, property, infrastructure, and social services.

The project investment will improve access to water for irrigation, potable water and for watering of animals. The technical assistance and capacity building activities will strengthen the management and coordination of disaster risk management and strengthen impact based early warning systems and community awareness and preparedness while strengthening the focus on gender and vulnerable groups in policy making, mainstreaming gender in DRM planning developing gender sensitive disaster risk awareness and communication strategy.

The project development objective of Integrated Disaster Risk Management Project (IDRM) is to support the Government of Ethiopia to strengthen its institutional capacity for disaster risk management and to manage flood risks in selected basins.

The project has two main components.

**Component 1: Strengthening institutional and coordination capacity for DRM.**

The Component intends to strengthen the functions of the new EDRMC as the federal-level coordinator to enable integration of DRM in various sectors and lower-levels of the Government in five major area. These are (a) strengthening federal and regional DRM coordination; (b) support mainstreaming of DRM in key sectors; (c) Emergency Preparedness and Response (EP&R) investments; (d) strengthening Disaster Risk Financing (DRF); and (e) raising disaster risk awareness. The technical assistance for DRM coordination focuses on DRM sector reform, developing M&E framework and guidelines for national DRM and putting in place digital system for tracking progress and establishing Ethiopia Digital Risk Information Platform (EDRIP).

**Component 2: Accelerating flood risk management**

This component supports physical investments and associated technical assistance to reduce flood risks and improve flood risk management. The physical investments in flood reduction and related



investments will focus on three Basins of Awash, Omo and Rift Valley Lakes while strategic basin studies will be conducted to identify investment needs and physical interventions in the Abbay, Baro-Akobo, Wabi-Shebele and Genale-Dawa Basins. The sub-components include:

Sub-component 2.1 Basin-level flood risk reduction investments

*Sub-component 2.2.* Hydromet services and impact-based early warning systems.

*Sub-component 2.3.* Community-level flood preparedness and awareness raising.

*Sub-component 2.4.* Strategic studies for future investments and capacity building for urban flood risk management.

The other project components are Contingent Emergency Response (component 3) and Project Management and Implementation Support (component 4).

### **Objectives and Scope of Resettlement Framework**

Project related land acquisition and restrictions on land use can have adverse impacts on communities and persons in the form physical and economic displacement and measures are needed to avoid, minimize or mitigate these adverse impacts. Where land acquisition, restriction on land use or involuntary resettlement is unavoidable, a Resettlement Plan (RP) will be prepared.

The activities to be undertaken for preparation of RP include consultation with the affected community; conducting a baseline survey to determine their socio-economic status; identifying the impacts of the resettlement on assets and livelihoods; identifying affected groups/individuals; conducting a valuation exercise; preparing resettlement costs and submitting to appropriate authorities in the Government for funding; and compensating the affected persons.

Compensation can be in kind, in cash or both in accordance with the Laws of Government of Ethiopia and the World Bank Standards (ESS5). Buildings and other structures, where affected, are to be compensated in cash using replacement cost. Other valuation methods have been presented for other losses such trees and crops. Resettlement and compensation shall be the responsibility of the project implementing agencies and the mandated regional and local authorities.

### **Geographic Coverage, Population, Potential Social Impacts**

The three priority basins of Awash, Rift Valley Lakes and Omo Basins cover a large geographic area with an estimated population of 66.6 million covering Oromia, Afar, Somali, SNNP and Amhara. The three Basins are homes for diverse population groups, densely populated areas, and cities such as Addis Ababa and Dire Dawa. The main livelihood of the rural populations includes farming, pastoral, and agro-pastoral livelihood. There is a high concentration of important manufacturing, commercial farming, and Agro-industries.

Project activities under Component 2.1 include river training, construction of water transfer channels between basins as well as rehabilitation and reconstruction of existing flood protection infrastructures. Complementary associated infrastructures such as bridges, roads, and small intake facilities will be also rehabilitated/reconstructed will require land for implementation of physical investment activities.

Potential social impacts include loss of farm- and pasture land, restriction of access to resources such as water, increased risk of downstream flooding, restriction of movement of humans and animals, increased exposure to risks of diseases and community health and safety issues. The impact on land acquisition and mitigation measures are covered by the RF while other instruments (such as ESMF, LMP, SEP) are developed to guide the mitigation of other social and environmental risks.

While component 2.1 is the main component that is identified as requiring physical investment activities and therefore requiring land acquisition, the RP will apply to all sub-project activities that may require land for physical investment. An analysis of the legal framework for the project will be carried out in the RP to be developed and this will consider the various land holding arrangements in the assessment of entitlements and compensations for the various interests for resettlement.

### **Policy and Regulatory Framework for Land Acquisition and Involuntary Resettlement**

Land acquisition, restriction on use of land and involuntary resettlement are governed by national laws and policies as well as the World Bank Environmental and Social Standards (ESS5). The two legal frameworks relevant for land in the context of the Project are: *Proclamation on Expropriation of landholding for Public Purposes, Payment of Compensation and Resettlement of Displaced People (Proclamation No 1161/2019)* and *Council of Ministers Regulation for Expropriation, Valuation, Compensation and Resettlement (Regulation 472/2020)*. Regional legislations have not yet been updated in line with the latest Federal laws and regulations. The preparation of the RP will ensure the latest regional laws and regulations are considered.

The World Bank Environmental and Social Standard ESS5 on land acquisition, restriction of land use and involuntary resettlement specifies the borrower's obligations to carry out the resettlement instrument and to keep the Bank informed of implementation progress. The RF identified few gaps between national legislations and ESS5 requirements and recommended gap filling measures. Where there are inconsistencies between the national law (Land Use Act) and ESS 5 the World Bank Standard will prevail for all project physical investment activities under the IDRMP.

### **Institutional Framework for RP/RF**

Institutions that will participate in the implementation of resettlement include the following:

- Ministry of Water and Energy (FME)
- Ethiopia Disaster Risk Management Commission
- Ministry of Urban Development and Infrastructure
- Ethiopian Meteorology Institute
- Basin Offices (Abbay, Awash, Rift Valley Lakes)
- Relevant Regional Agencies
- Woreda sector offices

The National Project Coordination should include a team of qualified environmental and social specialists ensure planning implementation and monitoring of resettlement activities. The specialists will be responsible for providing technical support for focal persons and other relevant

stakeholders and local administration. To address current capacity gaps, adequate training will be provided for implementing agencies and relevant stakeholders in a range of environmental and social risks. It is the responsibility of the NPC team to ensure that all identified members of the implementation team are trained prior to commencement of project implementation.

### **Policies and principles**

The primary goal of the resettlement is to ensure that those adversely affected by Project activities, through temporary or permanent losses of land, assets, and resources, are adequately compensated for their losses and are not made worse off due to project activities and mitigation measures are implemented in a consultative, systematic, and beneficial manner. Projects should avoid or minimize land take and mitigate adverse impacts. The RP will be proportionate to impacts on land. Where relocation and loss of livelihood is caused, the RP will ensure that relocation and livelihood restoration plans are developed and implemented to ensure the income and livelihood of relocated persons are adequately restored.

### **Eligibility Criteria**

The primary requirement for eligibility is that PAPs are enumerated during the RP census. Where PAPs are not enumerated during the census, PAPs will be expected to provide proof of their presence in project area. Special consideration is given to women and vulnerable groups and affected communities.

**Cut-off Date:** A cut-off date will be determined and made public to project affected persons, considering the implementation schedule of the sub-project to avoid potential rent-seeking or influx of people who may want to take advantage of the process. To ensure consistency with WB standards, the cut-off date should be the date of the start of the inventory of assets/properties.

### **Valuation of Assets and Compensation:**

Persons with formal legal rights, legally recognizable rights are eligible for compensation while those with no recognizable rights will be provided assistance. The valuation category covers loss of income, loss of structures, expenses incurred for alternative accommodation, loss of wages. Valuation will be based on replacement cost, and current prices

The valuation will estimate building/structure compensation rates based on full replacement cost without depreciation. Persons who encroach on area after the cut-off date are not entitled to compensation or any other form of resettlement assistance.

### **Support to Vulnerability**

Vulnerable groups such as farm laborers, street vendors and persons with disability and other groups will require specific measures during resettlement (see section ....). Specific measures are needed to properly address gender issues in resettlement. Refer to section \_\_xx\_\_ for measures regarding gender.

### **Linking RF to Civil Works and RF Implementation schedule**

During implementation of IDRMP and sub-projects, PAPs will need to be compensated, in accordance with this RF and subsequent RPs, before commencement of civil works. PAPs must be consulted to ensure that resettlement plans contain acceptable measures that link resettlement activity to civil works. Proper timing and coordination of the civil works shall ensure that no affected persons will be displaced (economically or physically) due to civil works activity, before compensation is paid and before any project activity can begin.

### **Stakeholder Engagement, Consultation and Disclosure Procedure**

Stakeholder engagement is an inclusive process conducted throughout the project life cycle. Where properly designed and implemented, it supports the development of strong, constructive and responsive relationships that are important for successful management of a project's environmental and social risks.

Public consultation is an on-going activity taking place in all phases of the Project. Project Affected Persons will be consulted and involved in all resettlement activities: planning, implementation and monitoring. Their involvement provides them with greater understanding of the project, the resettlement issues and gives them opportunities to voice out their concern~ about the project, and they may offer alternatives and compromises that tend to promote implementation.

The Ministry of Water and Energy will disclose this Resettlement Framework by making copies available at its Head Office, participating ministries, agencies and relevant regional and local governments to disclose through appropriate means.

### **Institutional Responsibilities for the Implementation of RF**

The Project Management Unit and designated National Project Coordination will be responsible for the oversight of implementation of the RF. The Ministry of Water and Energy and shall have oversight role and overall responsibility.

The Sub -Basin Offices under the Ministry of Water and Energy are important links to communities and local implementing stakeholders

The MoU/NPC and the environmental specialists will responsible for confirming the results of the screening process, reviewing RP and other mitigation instruments and conducting compliance monitoring, with national laws and regulations, as well as World Bank Standard.

### **Capacity Building**

Considering the existing capacity gaps in implementing agencies, it will be necessary for various institutional actors to have training sessions on the World Bank Environmental and Social Standards and on the tools, procedures, and content of resettlement programs (RF, RP, etc.). . This will require the organization of training workshops on Grievance Redress Mechanism, Gender and Vulnerability issues in Resettlement planning, implementation, and monitoring. A total budget of USD 83,000 is proposed for this.

### **Grievance Mechanisms**

Different complaints may arise during the project implementation that are related to resettlement issues such as measurements, valuation, compensation, dispute over eligibility, relocation, and livelihood restoration issues. Grievances should be accessible at local levels to address grievances of complainants without delay. Local grievance mechanisms will consider the existing cultural mediation and conflict resolution mechanisms. Multiple channels should be made available for complainants including e mails and SMS messages. The Social Development Specialist will work with grievance committees at various levels to address grievances. Complainants have the right to appeal to the PMU designated grievance mechanism. Complaints have the option of appealing to the relevant court of justice as per the Legal procedures.

### **Monitoring and Evaluation**

Evaluation and monitoring are important components of the Resettlement Action Plan, and shall be carried out throughout the project cycle for feedback and the institution of corrective measures where necessary. Quarterly reporting of the implementation of restatement activities will be conducted and sent to PMU/NPC further consolidation and reporting.

### **Evaluation and Completion Audit**

Based on the comprehensive quarterly and annual monitoring and reviews, an end-of-project evaluation will take place, going into more details with some of the issues raised in the annual reviews and the impact of the capacity development activities. The evaluation will be performed to evaluate relevance, effectiveness, efficiency, impact, and sustainability of the project. The RF evaluation will focus on establishing whether the efforts to restore the living standards of the affected population have been properly designed and executed.

An audit will be carried out to determine whether the efforts to restore the living standards of the affected population have been properly designed and executed. This completion audit will verify that all physical inputs earmarked in the RP have been delivered and all services provided.

# 1. Introduction

## 1.1 Background<sup>1</sup>

Ethiopia is the second most populous country in Africa with majority of its population living in rural areas. Out of the 115 million Ethiopians 79% live in rural areas but over the last decades the urban population has been growing faster and currently, Ethiopia is one of the fastest (5% over the past decade) urbanizing country. Ethiopia's economy registered impressive broad based growth of 9.4% a year from 2010/11 to 2019/20 and managed to halve the population living below national poverty line from 44% to 23.5% between the years 2000 to 2016.

Ethiopia is characterized by a complex and varied topography with large spatial variations in terrain, rainfall, and climate. The Highlands occupy approximately 35% while the remaining 65% is Lowland. The low land is exposed and vulnerable to climate-related hazards, most notably droughts and floods as well as landslides, earthquakes, volcanoes, and wildfires. Ethiopia ranks 23<sup>rd</sup> in the world for mortality risk from multiple hazards with an estimated 70% of its population at risk.

Ethiopia's progress in poverty alleviation, economic growth and development are strongly associated with the hydrological variability in the country. Climate-related shocks and disasters compound Ethiopia's development challenges and undermine progress in poverty reduction. Flooding poses a threat to large parts of the country. Lowland, highland, and urban areas alike are affected by recurrent flooding, especially during and following intense and sustained rainfalls in the June-September rainy season. Modelled impacts show that floods annually affect about 250,000 people, while annual damage is estimated at about US\$ 200 million to buildings and US\$ 3.5 million to cropland. Populations in Somali, Gambella, Oromia and Afar regions of Ethiopia are particularly prone to flooding.

The poor are disproportionately vulnerable to flooding, given their savings are predominately in immobile assets (housing), and their livelihoods (agriculture, livestock) are more susceptible to flooding. Displacement of people due to flooding increases competition for land and grazing between agricultural communities and pastoralists causing communal tensions and conflicts. Due to persistent gender norms, poor women and children are disproportionately affected by disasters such as drought and flooding. Flood-affected communities face heightened exposure to protection risks (such as gender-based violence), psychosocial distress/trauma, and increased reliance on negative coping mechanisms (i.e., child labor, child abduction, transactional sex, or child marriage).

Ethiopia has put in place policies and strategies and institutional arrangements for disaster risk management, but gaps remain in institutional capacity, coordination, mainstreaming across sectors and financial resources for implementation. Multiple government entities play their respective roles in flood risk management; however, significant challenge remains in strategic and integrated

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<sup>1</sup> All reference to data is from the World Bank ET-IDRMP Project Appraisal Document (PAD) 2021

planning for flood risk reduction investments as well as coordination for proper monitoring and dissemination of hydromet information.

The Federal Government of Ethiopia in collaboration with The World Bank is developing an Integrated Disaster Risk Management Project (IDRMP) to build longer-term disaster and climate resilience by strengthening the institutional and technical foundation for disaster risk management as well as to plan and implement flood risk reduction and management activities. The activities include leveraging physical investments in flood risk reduction and early warning, strengthening institutional DRM capacities at the federal and regional level, and enhancing financial preparedness and disaster risk financing.

The project is proposed to be implemented within the three sub-basins of Awash, Omo-Gibe and Rift Valley Lakes covering a wide geographic area of Afar, Oromia, Sidama, Amhara and Southern Nations and Nationalities and Peoples regional states.

The project flood risk management related physical investment activities will be implemented in rural communities of the three Basins. The scope, scale and the locations of the sub-projects have not been fully defined so it is not possible to determine what the land requirements are, what the real social impacts would be and who the Project Affected Persons (PAPs) are. Against this background, the Resettlement Framework (RF) is being prepared to define the principles and procedures that will govern any resettlement activity and clearly indicate the measures to be taken to avoid, minimize, mitigate, or compensate adverse impacts related to land acquisition.

## **1.2 Objective and Scope**

The project physical investments within the three basins will benefit farmers, rural communities and agro-pastoralists as well as urban residents by reducing risk of flooding and damage on farms, houses, infrastructure, and social services and improving access to water for irrigation, potable water and for watering of animals. The technical and capacity building activities will strengthen the management and coordination of disaster risk management and strengthen early warning systems. While the overall program is envisaged to have positive social and environmental benefits and impacts, project activities are likely to result in significant adverse social impacts that will need to be mitigated.

The implementation of the IDRMP will require land that results in physical and economic displacement of people which, if unmitigated may give rise to economic social and environmental risks such as loss of productive resources, loss of livelihood and income. Measures are therefore needed to ensure that these adverse impacts are avoided, minimized and mitigated. The objective of the RF is therefore to provide guidance on the management of social risks resulting from land acquisition for project investment activities.

Since the specific sites for IDRMP investment activities are not yet determined, the RF will outline the principles and procedures for the preparation of Resettlement Plans (RPs) once the specific sites are determined. The RF is developed to help achieve the objectives of IDRMP by applying resettlement policies and principles based on national regulations and the World Bank Standard ESS5 on Land acquisition, Restriction on Land Use and Involuntary Resettlement. Once specific

sites for the sub project activities are determined and information made available, appropriate of Resettlement Plans will be prepared. Project activities causing economic or physical displacement can only commence after the preparation of resettlement plans and approval and clearance by World Bank.

The overall objective of the Resettlement Framework (RF) is to establish the standards and provide guidance for all the interventions that are planned for the IDRMP. The principle set out by the RF is to ensure that the impacts of land acquisition and resettlement are either avoided, minimized, or mitigated, allowing people affected by the project to improve or, at the very least maintain their livelihoods and previous standards of living. The resettlement programs will be executed as sustainable development programs and will ensure that people affected by the project are given the opportunity for meaningful consultation and are able to participate in the planning and implementation of the resettlement plans. The RF is based on the laws and regulations of the Government of Ethiopia pertaining to Land Acquisition (LA) and resettlement, and the World Bank's Environmental and Social Standards.

This RF is prepared by the borrower Ministry of Water and Energy to in consistence with the requirements of the Government of Ethiopia's regulations and the World Bank Standards on Land acquisition, restriction of land use and involuntary resettlement (ESS5).

### **1.3 Methodology**

The RF is prepared as a framework for guiding any future resettlement activities related to the project implementation. The following methodologies were followed for the preparation of the RF.

**Desk Review:** The desk review covered review of relevant government policies and regulations review of Project documents, data and archives including Aid Memoirs, technical documents and designs, socio economic studies. The World Bank Environmental and Social Standards (ESSs) and guidelines and other relevant documents were also reviewed.

**Consultation with potential project beneficiaries:** Consultation were conducted between December 2021- March 2022 with project affected communities. These include two adjacent kebles from Bora and Liben Chiqala Woredas of Eastern Oromia Awash Bello *Kebele*. A total of 89 PAPs (75 male and 14 female) took part in the consultation. Similar consultation too place in December 2021 with small group of farmers located in Sebetta Hawas *Woreda*, Finfine Special Zone of Oromia, and, *Woreda* 02, Nefas Silk Lafto Sub-City in Addis Ababa.

Another consultation with Afar communities took place in Amibara Woreda, Kbe Buri and Sidaha Fafi Kebeles with a total of 80 participants (60 male and 20 female). The consultation was aimed to assessing the experience of communities from flooding and ascertaining their support to EIDRMP. Community consultation also focused on the potential project benefits, the expectations, and concerns regarding the project. Consultation was guided by open ended questions and conducted in the local languages.

**Consultation with Stakeholders:** Consultations and interviews were conducted with key personnel in relevant government agencies and other stakeholders involved in project implementation,



namely, the National Disaster Risk Management Commission (NDRMC), Ministry of Urbanization and Infrastructure (MoUI), Ethiopian Metrological Institute (EMI), and Addis Ababa Disaster Risk Management Agency (AADRMA).

#### **1.4     *Approval and Disclosure***

The RF will be approved and cleared by the government of Ethiopia and the World Bank. The instrument will be available at the relevant institutions at all levels. It will also be disclosed at the World Bank external website. For any change to these instruments the same approval and disclosure protocols will be followed. The respective PMU and NPC will translate RF to local languages and communicate the same to the participating Woredas.

## 2. Project Description

The project development objective of Integrated Disaster Risk Management Project (IDRM) is to support the Government of Ethiopia to strengthen its institutional capacity for disaster risk management and to manage flood risks in selected basins.

### **Component 1: Strengthening institutional and coordination capacity for DRM.**

The Component intends to strengthen the functions of the new Ethiopian Disaster Risk Management Commission (EDRMC) as the federal-level coordinator to enable integration of Disaster Risk Management (DRM) in various sectors and lower-levels of the Government in five major area. And these are (a) strengthening federal and regional DRM coordination; (b) support mainstreaming of DRM in key sectors; (c) Emergency Preparedness and Response (EP&R) investments; (d) strengthening Disaster Risk Financing (DRF); and (e) raising disaster risk awareness.

**Component 2: Accelerating flood risk management:** This component focuses on physical investments and associated technical assistance to reduce flood risks and improve flood risk management. Two categories of Basins are considered. The Awash, Omo and Rift Valley Lakes are target basins prioritized for flood risk reduction and related civil work, while only strategic basin studies will be conducted to identify future investment needs and physical interventions in the Abbay, Baro-Akobo, Wabi-Shebele and Genale-Dawa Basins.

**Sub-component 2.1 Basin-level flood risk reduction investments:** Potential physical investments for flood risk reduction include: river training, such as construction of embankment and retention facilities, riverbed and bank protection, river excavation and widening, water transfer channels between basins as well as rehabilitation and reconstruction of existing flood protection infrastructures. Complementary associated infrastructures such as bridges, roads, and small intake facilities will be also rehabilitated/reconstructed. Construction of major storage facilities for permanent water use, such as large dams, will not be implemented.

**Sub-component 2.2 Hydromet services and impact-based early warning systems.** This sub-component will support: (a) improvements in the quality of select hydromet services; and (b) the development and operationalization of impact-based flood early warning systems for prioritized locations within the three priority basins. Activities include development and operationalization of flood early warning system including dissemination of warning to communities in high risk areas and strengthening early response mechanisms.

**Sub-component 2.3: Community-level flood preparedness and awareness raising.** This sub component will include conducting participatory and action-oriented capacity building and awareness raising activities on flood preparedness for select high flood risk areas in the three priority river basins. This will include activities such as participatory design of physical investments for flood risk reduction, local flood hazard/exposure mapping recognizing risk profile before/after physical investments, institutionalizing flood early warning dissemination at the

community level, evacuation planning, training, exercise, and drills, etc. Special attention will be paid to promote the participation of women, socially vulnerable groups, people with disabilities, elderly, etc. in these activities. This will provide technical assistance to proactive infrastructure

**Sub-component 2.4: Strategic studies for future investments and capacity building for urban flood risk management.** This sub-component will focus on strategic studies for future investments for flood risk reduction in the Strategic Study Basins (Abbay, Baro-Akobo, Wabi-Shebele and Genale-Dawa) and selected urban areas. The studies for strategic basins include development of basin flood risk management plan followed by feasibility studies for future strategic investments.

Technical assistance and capacity building for urban flood risk management will be conducted. These include institutional performance improvement; training, advocacy and awareness raising; flood risk assessment; flood related database management; and GIS mapping of flood-prone areas; and planning, design, construction, and maintenance of flood risk reduction infrastructure.

**Component 3: Contingent emergency response:** Following an eligible crisis or emergency, the Recipient may request the Bank to re-allocate project funds to support emergency response and reconstruction

**Component 4: Project management and implementation support:** This component will support strengthening the institutional capacities for Project management and implementation support as well as operating costs incurred by implementing agencies on technical, environmental, and social, fiduciary, gender, citizen engagement, monitoring, and evaluation aspects of Project activities.

**Exclusion List:** under this project, there are activities which are identified as ineligible to be financed and provided in the project environmental and social commitment plan (ESCP). Among the exclusion list of activities, the following activities are ineligible related to land acquisition:

- Activities that may involve significant land acquisition, forced eviction and involuntary physical displacement.
- Activities that would disproportionately affect the historically underserved and vulnerable groups.

## **2.1 Project Implementation Arrangement**

The implementing entities of the Project are the MoWE, EDRMC and EMI with some minor activities implemented by Basin Offices in Abbay, Awash, and Rift Valley Lakes basins. The overall responsibility for the project management and coordination is under MoWE.

A Project Management Unit (PMU) will be established under MoWE specifically for EIDRMP for technical level coordination among the implementing entities as well as consolidating activity plans, procurement plans, M&E reports, and progress reporting, etc. for the entire Project, in addition to implementing relevant activities under Component 2.

A Steering Committee will be responsible for overall strategic decision-making related to Project implementation and management, such as project restructuring, reallocation among components, cancellation, extension, etc. The Steering Committee will be chaired by the management of the MoWE, which is responsible for implementing a major portion of the Project amount through Component 2, and co-chaired by the EDRMC, which is responsible for leading various ministries and agencies and other stakeholders for overall and high-level DRM initiatives under Component 1. Steering Committee members include the other implementing entity under the Project, i.e., the EMI, as well as key ministries supporting and benefiting from the Project, such as the MoUDI, and MoF.

The EDRMC will set up a Project Coordination Unit (PCU) and have technical, fiduciary, M&E, and reporting responsibilities for the Component in coordination with other federal ministries and agencies, relevant regional governments and lower-level administrations, city administrations, etc. The PCU will be reporting to MoWE PMU for consolidation before presenting to the Steering Committee or the World Bank.

The MoWE PMU will be responsible for technical, fiduciary, environmental and social, monitoring & evaluation and reporting aspects of the Sub-component 2.1 involving civil works. The Sub-component 2.2 will be coordinated by the MoWE and implemented by the MoWE, EMI, and EDRMC.

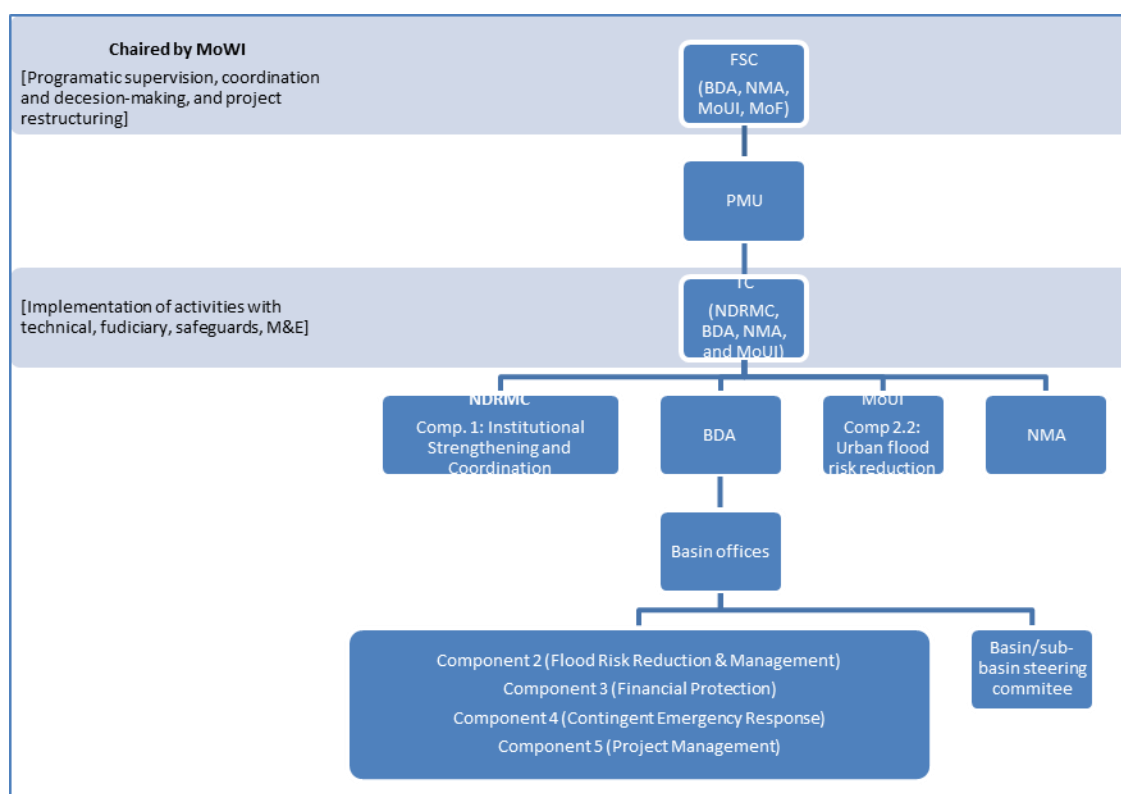
Component 2, which comprises various aspects of an integrated flood risk management, will be implemented by multiple entities, including the MoWE, EMI, and EDRMC. Some minor field-level activities will be implemented by the basin offices in Abbay, Awash, and Rift Valley Lakes basins.

*Table 1 Project implementation Arrangements by Component*

Component/Sub-component	Entity for overall coordination	Implementing Entity
Component 1	EDRMC/PCU	Sector ministries, regional governments, cities, technical teams
<b>Component 2</b>	<b>MoWE</b>	<b>MoWE, EMI , EDRMC</b>
Component 2.1	MoWE/PMU responsible, for technical, fiduciary, environmental and social, monitoring & evaluation and reporting	MoWE – Main Abbay, Awash, and Rift Valley Lakes basin offices- Minor roles
Component 2.2	MoWE- coordination	MoWE, EMI, EDRMC
Component 2.3	EDRMC- Coordination	EDRMC, MoWE, and EMI (in coordination Basin Offices, regional Woreda administrations)
Component 2.4	MoWE-Coordination	MoWE, (in coordination with MoUDI, Abbay Awash and

		Rift Valley Lakes Basin Offices)
Component 3		
Component 4	MoU/PMU	All Implementing Entities

Figure 1: EIDRMP Implementation Arrangements





### 3. Baseline Environmental and Social Conditions

Ethiopia has twelve major River Basins out of which three priority basins of Awash, Rift Valley and Omo Basins, are covered under the IDRMP component 2.1 basin level flood risk reduction investments. The Awash Basin covers Amhara, Afar and Oromia, SNNP, Somali regions and the two administrative councils of Addis Ababa and Dire Dawa. It covers a total area of 114,123 km<sup>2</sup> and is bordered by Danakil, Abbay, Omo-Gibe, Rift Valley Lakes and Wabi-Shebele basins and the Republic of Djibouti.

The Omo Valley Basin covers part of Oromia and the State of Southern Nations and Nationalities. Rift valley covers regions of Oromia and SNNP. It extends about 79 000 km<sup>2</sup> in area and 550kms length and is situated in the south-west of Ethiopia.

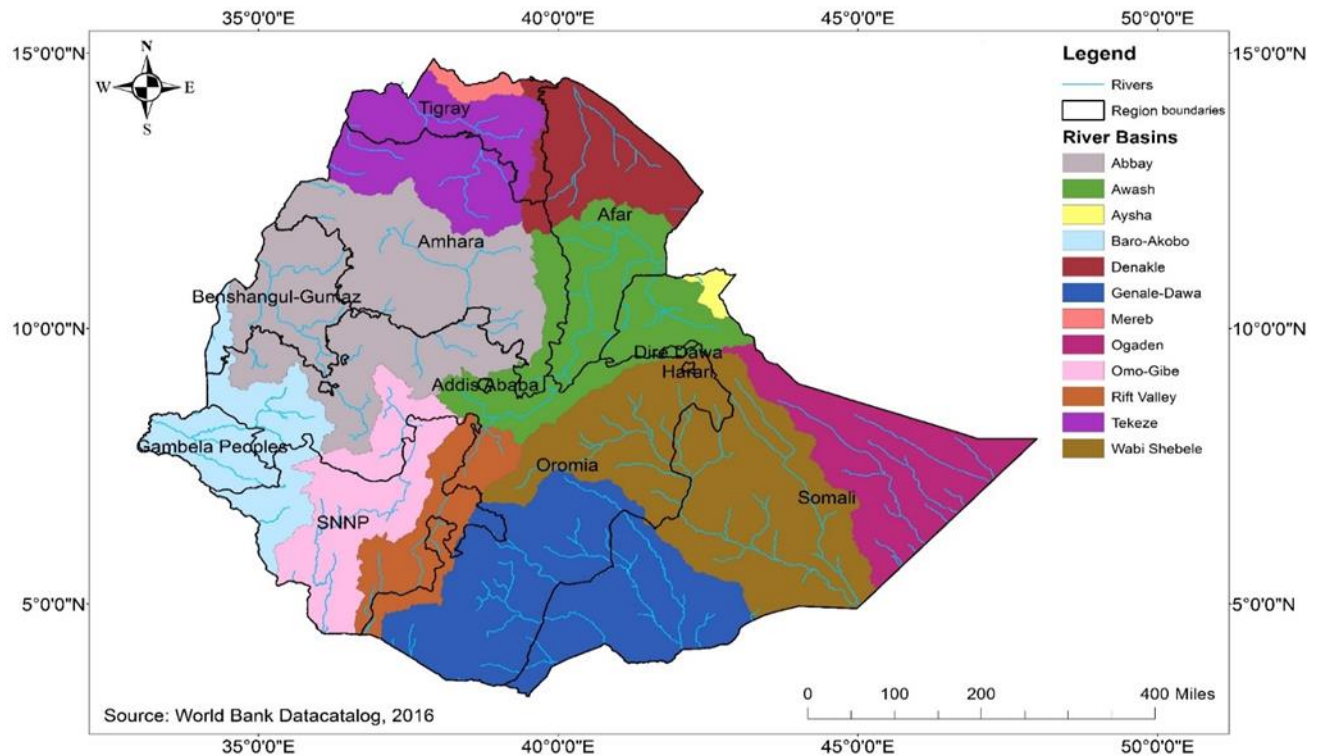
The Rift Valley Lakes Basin (RVLB) covers Oromia and Southern Nations, Nationalities and Peoples (SNNP). It comprises three primary sub-basins defined by their main lake systems. 1) comprising Lakes Ziway, Abiyata, Shala and Langano, 2) Lake Hawassa 3) Lakes Abaya, Chamo and Chew Bahir.

The Awash Basin is home for 18.3 (CSA) million people while Omo basin is home for 21.3 (CSA) million people and 27 million (2021 CSA). The three Basins are homes for a total of 66.6 million people. The region hosts diverse population representing diverse ethnic groups in the country including the historically disadvantaged and vulnerable communities. All major urban centers including Addis Ababa and Dire Dawa fall within these three regions.

#### 3.1 *Priority Basin Level Subprojects*

The IDRMP activities involving physical investment are under component 2.1 within three prioritized Basins of Awash, Omo and Rift Valley Lakes River Basins. The RF is developed to address potential social risks associated with land acquisition, resettlement, and restriction on use of land due to physical investments in these three Basins. Both the environmental and social risks for IDRMP are rated as **substantial** by the World Bank. The list of candidate priority subprojects, the types of infrastructure, and their status of preparation in each of the three basins are presented under Table 2.

Figure 2: Overview of Regions and River Basins



The activities under component 2.1 include construction of flood embankment/dike and river widening, Dam and water transfer structures, earth dam and Gabion, dike embankment/fill work, flood protection and water pond, dam maintenance and retaining wall.

Table 1 Types of subprojects with relevance Safeguard Risks Per Basin and their status

Priority Basins	Project	Type of Infrastructure	Design stage	Next Step
Awash: 3 projects (one common with Rift Valley)	Upper Awash River Training and Flood Protection Works	Flood dike and River Widening	FS and DD in 2012	Dam plan and reservoir operations will be discussed.
	Middle and Lower Awash Flood Control and Protection Project (4 Priorities in 7 weredas)	Flood dike	FS and DD in 2019	Then, using existing FSs, optimum selection of basin interventions will be studied through FRM
	Awash Ziway and	Dam and Water transfer structures	On-going FS at inception	Investment Framework. Further design



Priority Basins	Project	Type of Infrastructure	Design stage	Next Step
	Lake Abijita Basin in water transfer (Common with Rift Valley Lakes basin)		stage (Inception report not yet received)	and civil work for selected interventions will be implemented as part of IDRMP (Excl. large dams).
Rift Valley Lakes Basin: 6 projects (one common with Awash)	Lake Hawassa Flooding and Protection Embankment Assessment and Design.	Flood dike	FS in 2010	Basin wide study will be conducted to identify and prioritize physical interventions. Then, (FS,) DD, and civil works for selected interventions would be implemented as part of IDRMP. Interventions of left listed sub-projects may or may not be selected through the study, therefore specific location of interventions will be identified later.
	Under Sego irrigation and Drainage feasibility study. Flood Protection on Sile River and Sego River (Approx. 5% of project total cost)	Flood dike	FS in 2010	
	Awash Ziway and Lake Abijita Basin Water transfer (Common with Awash basin)	Dam and Water transfer structures	On-going FS at inception stage (Inception report not available yet)	
	Silte Zone Flood and Drought Prevention	Earth Dam and Gabion	TOR and Proposal in 2021	
	Weyto Flood Protection	Dyke embankment/Fill Work	Project Proposal in 2020	
	Halaba Flood Protection and Water Harvesting	Flood protection and Pond	Project Proposal in 2020	
Omo: 1 project	Omo-Gibe Basin flood protection plan	Dam maintenance; retaining wall; water pond; etc..	Draft document (translated from Amharic)	Same with the above for Rift Valley Lakes

## 3.2 Overview of Environment and Socio-Economy of Awash River Basin

### 3.2.1 Environmental Conditions

**Climate:** The climate of the Awash River Basin varies from humid subtropical over central Ethiopia to arid over the Afar lowlands. The region has two rain seasons -Belg (March) and Kiremt (June-September). The rain-season tends to be bimodal towards eastern Ethiopia and almost unimodal towards western Ethiopia. The time between October and March is a dry season, called 'Bega'. Semi-arid to arid conditions prevail in the basin. In contrast, the highlands partly receive more than 1600 mm of rainfall in ca. six months per year.

**Surface and Ground Water:** Awash is the major river in the basin rich in water resources, but they are variable, uncertain and becoming increasingly scarce as the local economy rapidly develops. The region faces variability and uncertainty over water availability and is highly vulnerable to extreme events. The dynamics of water quality in the Awash River basin are complex as the chemistry derives from the geology and soils of the river basin as well as pollutants entering the river from diffuse agricultural sources as well as point sources from industry or domestic waste. Aquifers in and around the city of Addis Ababa are showing signs of increasing contamination by chemicals, including nitrate, and there is an increasing concentration of heavy metal pollution, coliform and pathogen pollution in the water of Aba Samuel reservoir and its tributaries.

**Archaeological sites and National Parks:** The Awash Valley especially the Middle Awash, is internationally famous for its high density of hominin fossils, offering unparalleled insight into the early evolution of humans. For its paleontological and anthropological importance, the lower valley of the Awash was inscribed on the UNESCO World Heritage List in 1980. Humans have lived in the valley of the Awash almost since the beginning of the species and numerous pre-human hominid remains have been found in the Middle Awash including the remains fossils of Australopithecines- "Lucy". The Awash national park in Oromia and Yangiddi National Park in Afar are also located within the Awash Valley.

### 3.2.2 Socio-Economy

**Population:** The Awash Basin is one of the most populated basins in the country. The Awash Basin Authority estimated the population of the river basin to be about 18.3 million in 2017 (growing at a rate of 2.9%). Several urban centers are located within the basin. Major settlement centers include Addis Ababa, Bishoftu, Mojo, Dukem, Semera, Dessie and Kombolacha (Awash Basin Authority 2017).

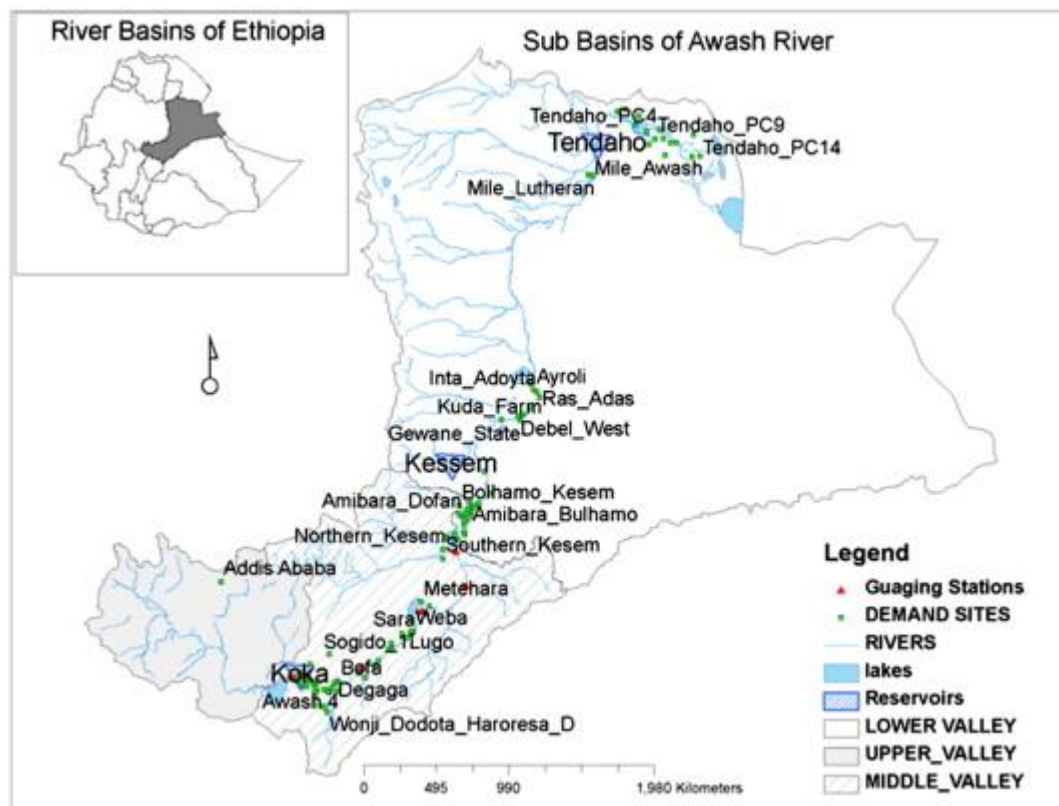
**Economic activities:** The Awash River is the most intensively developed river basin in Ethiopia, with a high concentration of economic value and assets, including most irrigated agriculture and related industries, such as sugar cane production.

*Agriculture/livestock;* Land use in the catchment is mainly agricultural and shrub lands used for rain-fed crops, irrigation and grazing. The basin supports 34 million livestock population putting immense pressure on the natural resource base. Various crops are cultivated ranging from cereals, vegetables, horticulture, flowers, cotton to perennial fruit trees and sugarcane. The basin's 77% of the irrigable land in the basin has been cultivated both by large scale and small-scale irrigation.

Agro- pastoralism is practiced among the Afar and Somali communities and the basin supports 34 million livestock population.

The Feasibility Study and Detail Design of Awash River Flood Protection and Control Project (2017) report focuses on the Afar region wherein most of the river basin lies. About 90% of the regional populations in Afar are their livelihood base on livestock rearing with limited irrigation agriculture along the river basins and low-lying riverine areas. The Afar keeps multiple species and multi-purpose stock. They rear multiple species including cattle, camels, goats, sheep, and donkeys. The proportion of the different species varies with the vegetation cover of the Region. In parts of the Region, in the escarpment and around the perennial rivers where the grazing resource is relatively good, cattle and sheep are the dominant types of livestock. In the drier part of the Region camel and goats make the prominent parts of the herd composition with mainly camels in the extreme arid areas.

Figure 3: Awash Valley Sub Basins



*Industries:* There is a high concentration of industries within the Awash Basin. Particularly Upper Awash River Basin is home to various industries including tanneries, steel, food and beverages, plastics, chemicals, pharmaceuticals, and papers industries. According to the Awash River Basin Strategic Plan Main Report, more than 65% of industrial firms in the country are in the Awash Basin mainly along the Addis Ababa - Adama, Addis Ababa - Holeta and Addis Ababa- Sebata industrial development corridor. In addition, Dire Dawa and Kombolcha are among the main industrial zones of the country which are also found in the basin. Moreover, large scale mechanized state and private irrigated farms such as Wonji-Shoa, Metahara, Tibila, Fentale, Upper Awash Agro Industry, Kesseme, Amibara, Gewane and Tendaho are found in this basin. A wide variety of crops are cultivated ranging from cereals, vegetables, flowers, cotton to perennial fruit orchards and sugarcane. There is a growing shift towards sugar production and large areas of cotton cultivation in middle and lower valley have been transformed to sugar production. (Awash Basin Authority 2017).

*Hydro power generation:* The Awash Basin is important for Hydropower generation and is home for three hydro-electric dams including Aba Samuel (1.5 GWh/ year), Koka (110 GWh/year), Awash II (165 GWh/year), and Awash III (165 GWh/year). Five additional dams are proposed to be built for hydropower generation and irrigation development in the basin in the coming years (Tufa 2021).

**Poverty and Vulnerability to drought and flooding:** The Awash River Basin Strategic Plan identified flood & drought are the most common risks against vulnerable populations. There are two types of flood in general, namely, the floods that caused by extreme excess of precipitation on the catchment that contributed to the flood in the main and tributaries of the river, and floods owing to unexpected release of an excess amount of water from storage or dam.

The land use of the basin is characterized by extensive land use for agriculture, combined with urbanization and industrialization, is aggravating the generation of runoff. These factors contribute to severe land degradation, erosion, flooding, and sedimentation. For example, the flood episode at Dire Dawa in 2006 that caused loss of lives and properties, and the frequent flood hazards at Amibara, Gewane, Logiya and Asaita are some of flood events in the basin.

About 14.8% of the total land area of the Afar region is covered by grassland; 31.5 % shrub land, 1.7% woodland and 0.11% forest land. Whereas water bodies and wet land together account for 1.37% of the total land, the vast area of the region 49.6% is an exposed soil, sand or rock. Only 7% of the region's land is also estimated to be cultivable land. The region is one of the least developed regions in the country having 56% of the inhabitants living below the line for absolute poverty.

The poverty situation in the Afar region has seen some improvement. In recent years, the decline in poverty has been particularly strong. The headcount poverty rate in 2015/2016 was 24 percent and was equal to the national average. The decline in food poverty has not been as strong and was 28 percent; the third highest of all regions. As elsewhere in Ethiopia, there is a large difference in monetary poverty between rural and urban areas, 27 percent versus 11 percent, respectively. The

same applies to food poverty; there is a 20-percentage point difference between the rural and urban food-poor people.

However, in the past decades the Afar subsistence pastoral system has been under pressure due to climate change and other factors. The Afar pastoralists face various problems that include recurrent drought and famine; flash floods; disease outbreaks; bush encroachment; loss of livestock, and impoverishment; pastoral conflict; population growth, etc.

Drought, as a recurrent phenomenon in the Awash Basin, had the most devastating effects. In general, there are four categories of drought, namely: meteorological, agricultural, hydrological & social-economic drought. Drought in Awash River basin is basically a meteorological drought, lack of enough rainfall, followed by hydrologic drought, and manifested as loss of stream flows and storage. In this case climate has the major influence on the occurrence of drought and flood in the basin. The most noticeable factors that cause these hydrologic risks are; deforestation, soil degradation, unmanageable urbanization and climate change etc.

**Gender:** Gender inequality, as is the case with other parts of the country is pervasive. The Feasibility Study and Detail Design of Awash River Flood Protection and Control Project (2017) report outlines several gender issues in the Afar region. According to the report Afar women are burdened with both productive and reproductive roles. Women are not eligible to be elected to the kebele council. In contrast, men's responsibilities are confined to livestock herding (including where and when to migrate in search of grass and water), participating in clan affairs as well as neighborhood and kebele leadership. The report states that generally, the situation of women in the study areas noted that poverty and economic dependency on men is a major problem in the realization of women's empowerment.

**Access to Social Services:** The Feasibility Study and Detail Design of Awash River Flood Protection and Control Project (2017) report outlines the state of public services in the Afar region. According to the report, all Wereda have one main asphalt road connecting the Wereda capital with the regional capital, Semera except Dulecha Wereda. The majority of project rural Kebele have dry weather road which connects with the Wereda capital. Wereda capitals in the region have digital telephone services and mobile telephone coverage is available in most rural kebeles.

*Water and Sanitation:* The quantity and distribution of water supply schemes in Afar region are not sufficient to meet the demands of the population (and livestock). This challenge is exacerbated by continuous climatic shocks that lead to drought. The percentage of households using improved drinking water sources is the second lowest in Ethiopia. According to the 2016 EDHS, 57 per cent of households use improved drinking water sources in Afar. This is under the national average of 65 per cent. The rate increased by 13 percentage points between 2014 and 2016, denoting a notable progress. There are multiple challenges in Afar region related to water supply, including that the region receives less rainfall than other regions, has more complex hydrogeology, weaker regional and woreda administrations, and is sparsely populated by people practicing agro-pastoralist and pastoralist livelihoods. In Afar, the median time to fetch water is two hours, and the burden falls to women in 80 per cent of households. (UNICEF 2019)

*Health:* Afar region has one of the lowest health services coverages in the country. According to a recent study (Ergeta 2019) study, coverage of various health services was very low. By 2015, coverage stood at: family planning (11.6%), pregnancy care (18.4%), immunization (20.1%) hospital access (4.5%), health worker density (0.4), and access to EM (41.2%).

*Cultural Heritage:* Several religious, cultural, and archaeological features are located within the Awash basin. Hora Arsedi, the site of the annual Irrecha celebration at Bishoftu is one such attraction. Further down the basin, the Awash National Park, Yangudi-Rasa Natural Reserve and the Dallol Depression are important cultural and ecological features. The Lower Awash Valley paleo-anthropological site is located 300 km northeast of Addis Ababa, in the west of the Afar Depression.

### **3.3 Overview of Environment and Socio Economy- Omo Basin**

#### **3.3.1 Environment**

*Climate:* The climate of Omo river valley varies from tropical humid in the highlands that includes its northern part to the hot arid climate in its southern parts of the flood plain. Intermediate between these extremes and for greater part of the basin the climate is tropical sub-humid. Soils in this basin are largely volcanic in origin and are relatively fertile.

*Surface and ground water:* The Omo Gibe River Basin is drained by two major rivers from the highlands, the Gibe River flowing southwards and Gojeb River flowing eastwards. Gibe River is called the Omo River in its lower valley south and south westwards from its confluence with the Gojeb River. The Omo Gibe basin is endowed with an annual water resource potential both surface and ground water. Gibe III Hydro Power Project has been under construction on the Omo River since 2006. It is the third in a cascade of hydro projects along the Omo River, and fourth and fifth projects further downstream are being studied. The complete development of the Omo River hydropower schemes includes Gibe I found upstream of Gibe III, Gibe II upstream of Gibe II, and Gibe III.

*Sensitive Habitat and National Parks:* The Omo National Park established in 1980 and it covers approximately 4,068 square kilometers and is one of the most remote and scenic in Ethiopia. The lower reaches of the Omo River were declared a UNESCO World Heritage Site in 1980, after the discovery of the earliest known fossil fragments of Homo sapiens. The lower valley of the Omo part contains 11 sites listed on the World Heritage List of UNESCO. The people of Mursi, Suri, dizi and Nyangatom within this park.

The Mago National Park established in 1979 is in the Southern Nations, Nationalities, and Peoples' Region about 782 kilometers south of Addis Ababa. This park is divided by the Mago River (a tributary of the Omo River), into two parts. To the west is the Tama Wildlife Reserve, with the Tama River defining the boundary between the two sites. To the south is the Murle Controlled Hunting Area, distinguished by Lake Dipa which stretches along the left side of the lower Omo.

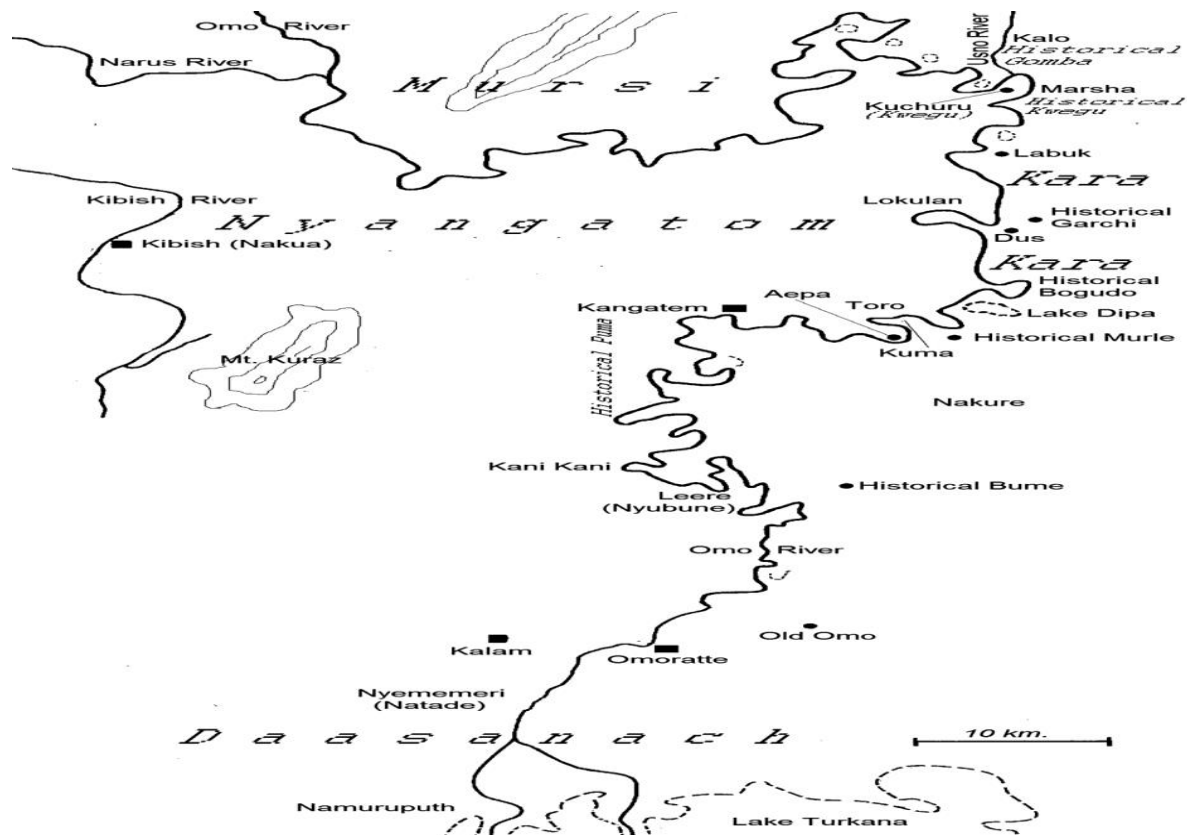
Archeological sites: The river basin is famous for its large number of early hominid fossils and archeological findings such as early stone tools that led to its inclusion on the UNESCO World Heritage List. The entire Omo river basin is also important geologically and archaeologically.

### **3.3.1 Socio Economy**

Population: The population of Omo Gibe according to the population census in 1984 was 4 million with an annual growth of 3.2% between 1984-1994. As of 2021, the total population of the basin is calculated to be about 21.3 million (CSA 2021). The basin is spread across Oromia and SNNP. In Oromiya region the 3 zones of Jima, East Welega and Western Shoa are included while in SNNPRS nine zones and four special woredas are included. The combined area is about 79275 sq. km. of which the Southern Region accounts for most of the area.: 60163 sq.km. In terms of settlement hierarchy, Jima is the northwestern regional center serving the Oromia regions part of the basin. In the lower part of the basin, Hosaina, Sodo and Jinka are important centers.

Agro- (including forestry) industrial facilities, specifically coffee processing, grain and sawmills, bakeries, furniture making and oil mills make up most of the production establishments, and generally produce the highest value added per employee.

Figure 4: Omo Valley Basin



**Access to Public Services:** The major means of transport in the basin is via road. No railways serve the area, there is no river transport and limited air service. Goods are commonly trans-shipped on to motor lorries only at the larger towns of the Basin, which have all weather links to the national road network. There are three main transport corridors into the Basin from Addis Ababa, each served by an asphalt highway. Each of these is fed by a limited system of all-weather gravel roads serving most of the main towns. The quality of road links decreases significantly towards the south and south-west.

**Roads:** Seven all weather roads traverse the Basin, all of varying quality and with varying traffic flows. All weredas have some access to the all-weather road network although the quality and extent of that access is often limited. Much of the Basin consists of dissected mountainous terrain. Roads and tracks must traverse steep mountain ridges, many of which are eroded and subject to both flash floods and land slips. Road construction and maintenance in this terrain is expensive and technically difficult.

**Airports:** The Basin was well served by a network of airstrips and landing fields, but most are now out of use. Scheduled flights serve five airstrips of relevance to the Basin, two located within the catchment and three outside but adjacent. Jima has a 13 scheduled flights per week. Jinka has four flights per week). Tum – the zonal capital for Maji Zone is serviced by four flights per week. The



airfields at Arba Minch at Mizan Teferi (currently out of use), are important for the Basin's development, though they each lie just outside the catchment boundary.

River navigation on the Omo is confined to small-scale tourist rafting and a small number of pontoon crossings along the river's lower reaches. The Omo and the Gojeb Rivers are not suitable for navigation by larger commercial vessels, owing to shallow water conditions during the low-flow, dry season river stages and the occurrence of low rapids along the river courses. However, the rivers offer some potential for the use of lightweight, portable river boats for access to the mountainous mid-Basin Woredas adjacent to the river system. The use of small, powered river craft for the transport of personnel and lightweight supplies, such as vaccines, veterinary supplies, salaries, or schoolbooks, would allow more effective administration of these remote riverside kebeles.

**Cultural Heritage:** The Omo-Gibe basin is home to multiple material and non-material cultural heritages. In Jimma Zone, for instance, is home to the Aba Jifar palace, a museum, and the Belete Gera Forest, which is part of the “Eastern Afromontane biodiversity hotspot” and is characterized by a rich fauna and flora with many endemic species.

The various zones and woredas in SNNPR that make up the basin are home to several ethnic groups with diverse cultural heritage, including traditional administration, conflict resolutions, natural resources management, and systems of mutual support.

## **3.4 Rift Valley Basin**

### **3.4.1 Environment**

**Geography:** Like the Omo, the RVLB is shared administratively between two Regional States, Oromia and Southern Nations, Nationalities and Peoples (SNNP). It comprises four primary sub-basins defined by their main lake systems comprising 1) Lakes Ziway, Abiyata, Shalla and Langano, 2) Lake Hawassa sub basin 3) Lakes Abaya, Chamo sub basin and 4) Chew Bahir.

**Climate:** The basin is predominantly characterized by a moderate tropical semiarid climate having a bimodal rainfall distribution of the short rainy season ('Belg ') extending from March to May and the long rainy season ('Kiremt') from June to September and extends up to October in the southernmost parts).

Most rivers in the rift valley lakes basin are categorized as non-perennial rivers. Even though some large rivers can be classified as perennial rivers, the amount of discharge in the dry season is quite limited. Furthermore, most of the perennial rivers are randomly used by the surrounding community without any rules with activities such as washing, bathing, irrigation, and cattle feeding. The rift valley basin covering a total area of 52,739km<sup>2</sup> has an estimated groundwater potential of 0.10BMC representing about 20% of the surface water resource of the basin.

Figure 5 Rift Valley Lakes



National Parks: Abijatta-Shalla National Park is in the Oromia Region and the Ethiopian Highlands region, 200 kilometers south of Addis Ababa, and east of the Batu–Shashamane highway with the areas of 887 square kilometers including the Rift Valley lakes of Abijatta and Shalla. The two lakes are separated by three kilometers of hilly land.

Nechisar National Park: It is a national park in the Southern Nations, Nationalities, and Peoples' Region (SNNPR) of Ethiopia. This park is in the Great Rift Valley, within the southwestern Ethiopian Highlands.

Sensitive Habitats: Senkelle Swayne's Hartebeest Sanctuary is a protected area in the Oromia Region of Ethiopia, dedicated especially to the protection of the Swayne's Hartebeest. Although the sanctuary was set aside to protect the largest population of Swayne's Hartebeest in Ethiopia, a mammal endemic to the country, the original herd of 3,000 animals has dwindled to a few hundred due to poaching.

### **3.4.2 Socio-Economy**

Population: According to the Rift Valley Lakes Basin Integrated Resources Development Master Plan Study, the population of the RVLB in 2008 was 9.8 million people. According to data from CSA, this population has reached a total of 27 million by 2021 with 73% of the population living in only 32% of the area. The basin is home for twenty- seven ethnic groups representing over a third of Ethiopian ethno-linguistic groups. The groups who live in the valley have distinct languages, cultures and histories. Most of the ethnic groups in the basin speak languages that belong to Omotic and Cushitic linguistic families and a small group of Semitic speaking people.

Livelihood : The dominant economic activity and source of livelihood is subsistence rain fed agriculture/farming with limited agro pastoral and pastoral practices. Enset is the dominant crop in the region. Other crops include barely, maize, wheat, coffee and cotton. Among the groups assessed, only the Boorana Oromo subsist on pastoralism. The main characteristic of agriculture in the basin is low productivity partly a result of poor agronomic practices and low level of famer knowledge.

#### ***Poverty and vulnerability***

Significant reductions in poverty has been registered in both SNNPR and Oromia in the past years. According to UNICEF (2019b) since 1995/96, SNNPR has demonstrated a consistent reduction in monetary poverty, by an impressive 35 percentage points, despite the occurrence of frequent shocks, such as inflation, drought, flood and conflict. The headcount poverty rate is 21 per cent, which is below the national average of 24 per cent. And with the exception of Addis Ababa, Dire Dawa and Harar, SNNPR has the lowest poverty rate in the country. The region has not recorded strong agricultural growth, nevertheless the introduction of the Productive Safety Net Programme (PSNP) and strong improvements in access to basic services helped reduce poverty. As in other regions, rural monetary poverty is higher than urban poverty, at 22 per cent versus 14 per cent, respectively. Rural food poverty is 26 per cent compared to an urban food poverty rate of 15 per cent.

The other region that houses the basin, Oromia, has also seen a notable decline in poverty. UNICEF (2019c) reports that Oromia has experienced both good agricultural growth and positive effects from the Productive Safety Net Programme (PSNP), which has resulted in poverty reduction. The implementation of broad and pro-poor economic social development policies and strategies has also contributed to an increased per capita income. The region saw a 16 per cent decline in monetary poverty between 2004/05 and 2015/16. The latest poverty analysis study found that the poverty headcount ratio in Oromia was 23.9 per cent, just above the national average of 23.5 per cent.<sup>12</sup> The rural/urban divide is 25 per cent versus 15 per cent, respectively. Oromia region saw the steepest decline of food poverty in the country, from 33 per cent in 2010/11 to 21 per cent in 2015/16.

***Land uses and livelihoods:*** The 2008 Master Plan study identified twelve major land use patterns in the RVLB. The northern part of the central valley is a mixture of open bush, open woodland and moderately to intensively cultivated land, primarily maize and sorghum. East of Lake Ziway the Wonji Fault Belt is open and dense bush land to the Asella plain where intensive barley and wheat cultivation, and open grassland rises to open woodland and grassland at the boundary.

The central plain around Lakes Shala, Langano and Abiyata is characterised by open woodland and wooded grassland with intensive maize cultivation to the south and west. On the western edge of the area, the moderately intensive barley cultivation passes into intensive mixed upland arable south to Hosaina with highly degraded eroded land north of Hosaina.

South of Hosaina to Soddo, west of Bilate, the land use becomes intensive upland arable with enset. East of Bilate, intensive maize production grades into open grassland, shrubland and woodland on the Awasa caldera. East of the main road the intensive maize grades into disturbed upland forest with moderately intensive perennial crops and patches of undisturbed upland forest.

Between Awasa and Lake Abaya, where the valley narrows, the central part is characterized by open and eroded dense bushland. Towards the eastern boundary, as the land rises, intensive mixed upland arable, including coffee and enset, merges with disturbed upland forest. West of Lake Abaya, towards Arba Minch, open and dense bushland occurs mixed with dry land cotton and sorghum in the lowland, with wheat, barley and enset on the upland. East of Lake Abaya open and dense bush rises to intensively cultivated coffee, enset and disturbed forest.

***Gender and SEA/SH:*** A UNICEF study (2019b) found that according to the 2016 EDHS, in SNNPR 54 per cent of women (aged 15-49) decided themselves on their first marriage and 36 per cent of women stated that their parents made the decision for their first marriage. The rate of women who stopped attending school after marriage is 82 per cent (aged 15-49) and 63% of women cited work load due to family life which signals a barrier for adolescent girls going to school. Another reason cited by women for discontinuing school is that their husband refused to

let them continue (24 per cent). In SNNPR, 11 per cent of girls (aged 15-19) have begun childbearing. This is just below the national average and is in line with the rate of married women in SNNPR using modern contraceptive methods (40 per cent), which is relatively high compared to other regions. Beating women is common, especially in the Hammer woreda where there is a traditional practice of stick beating of women during certain ceremonies. In SNNPR, the proportion of women (aged 15-49) who have ever experienced psychological, physical or sexual violence by their current or most recent husband/partner is 22 per cent, 18 per cent and 6 per cent, respectively. These rates are below the national averages of 24 per cent, 24 per cent and 10 per cent, respectively.

The proportion of women who believe that a husband is justified in hitting or beating his wife in various circumstances is 66 per cent, while 15 per cent of men shared the same opinion. A bride dowry is paid for women and polygamy is practiced (16 per cent). In SNNPR, 37 per cent of husbands participate in household chores, of whom 19 per cent participate every day. It is common that women are excluded from making decisions about shared property in marriage. Women are routinely denied their rights in relation to ownership.

Regarding Oromia, UNICEF (2019c) reports that in 35 per cent of women (aged 15-49) decide themselves on their first marriage and 61 per cent of women state that their parents made the decision for their first marriage. Both rates are the same as the national average. There is a worryingly high rate of girls/ women who stop attending school after marriage, coupled with a high rate of child marriage. In Oromia, 84 per cent of women (aged 15-49) stop school, which is the highest rate in the country. Of girls who were enrolled in school at the time of their marriage, only 27 per cent were still enrolled one year later. When asked what the main reason was for discontinuing school, 71 per cent of women (one of the highest rates in the country) cited that they were too busy with family life. At 17 per cent, the percentage of girls (aged 15-19) that had begun childbearing is high compared to other regions. This relatively high rate corresponds with the low rate of married Oromo women using modern contraceptive methods (29 per cent) compared to a national average of 36 per cent. Another reason why women discontinued schooling was that their husbands refused to let them continue their education (19 per cent).

### ***Access to Public Services:***

***Road Transport:*** The northern and central parts of the valley from Hawassa northwards and across to Sodo in the west have reasonably good access to the capital Addis Ababa, which is important for many reasons, not least the access to markets. The south and southwest are remote with no nearby major centers and poor (though improving) transportation networks making travel difficult and many areas largely inaccessible during the rainy season. There are four main road transport however, the condition of these roads is variable and feeder roads are generally both few and poor in quality. There are three access routes that enter the RVLB from the North. The first runs from Alemgena to Sodo via Butajira and Hossaina (about 321 km long). It runs in a south-southwest

direction, crossing the northwestern portion of the basin traversing the upper catchments of Meki, Dijo and Bilate Rivers. The main corridor that passes through basin is the 324 km road from Adama - Asela -Bekoji-Dodola - Robe-Goba. A road from Mojo - Batu - Shashamene - Hwasa - Dila - Yabelo - Moyale is a main corridor. This is an asphalt road of 771 km length from Addis Ababa to Moyale and it is part of Trans-East African highway. There is a 110 km dry weather road from Jinka – Beto – Zala - Mela which traverses the upper catchment of the Weito River

*Air Transport in the Basin:* Hawassa and Arba Minch house the two airports in the Basin. Ethiopian airlines have regular flights to the two destinations.

*Telecom:* Many of the urban centres have access to telecommunication services. Even a good number of villages in the upper and middle basin rural areas have wireless telephone services. With the recent expansion in services, several towns across the basin have begun to access 4G mobile network. Some of the towns with 4G LTE service are Wolaita Sodo, Wolkite, Jinka, Arbaminch, Butajira, and Hosa'ena

*Water supply and sanitation:* The water supply and sanitation coverage of the RVLB is encouraging. According to the One Wash National Program review (2018), by 2014, 88% of urban areas in Oromiya and 93% in SNNPRS have access to water supply. Rural coverage is lesser – some 88% in Oromiya and 69% in SNNPRS have access to improved water supplies. Reliable regional or basin level data on sanitation is not available. Nonetheless, findings of the 2016 Demographic and Health Survey showed that 52% and 51% of households in SNNPR and Oromia, respectively, had a place for hand washing.

### ***Cultural Heritage***

RVLB encompasses natural, cultural, historical and religious tourist attractions that are currently in use. Prominent cultural heritages include the Gada ceremony of Guji and Borana Oromo as well as the islands of Lake Ziway which are inhabited by the Zay people. Tulu Gudo (Debre Zion), Tedecha, Fandero, Debresina and Gelila are a group of small islands where the Zay people currently reside. They contain ancient, well-preserved monasteries. The highlanders of Sidama, Guragehe, Silti, Alaba, Hadya, Kambata, Wolita, Gofa Dareshe and others have diverse cultures. The cultural heritages of the Hamar, Tsami, Arbore, Bana, Ari, Malle and other ethnic groups are also important features of the basin.

## **3.5 General socio-economic condition of the Project Basins**

### **Vulnerable Groups and Underserved Peoples**

In order to conceptualize and define vulnerability in the context of IDRMP Project basins, it is important to understand and determine the factors that expose people to vulnerability situation. Vulnerability describes a situation in which people find themselves that is likely to expose them to certain adversities, and reduce their resilience to cope with the resulting negative impacts.

Accordingly, situations that make people vulnerable may include poverty, inflation, natural disasters like flood, conflict, lack of access to information and communication, and embedded social and cultural attitudes and practices. In particular, factors such as gender, ethnicity, religion, occupation, disability have acted as vulnerability grounds on which people have been discriminated against and experienced various disadvantages.

The National Social Protection Strategy (NSPS) of Ethiopia recognizes vulnerability as having various dimensions, and one of these is social exclusion and deprivation. Vulnerability in the context of exclusion and deprivation encompasses ‘Individuals/households who due to gender, disability, age, orphan hood, ethnicity, location or other factors face marginalization from society, or discrimination in access to services or work, people who are powerless and voiceless within their household or community’. Vulnerability can therefore be understood as an all-encompassing concept that covers all types of disadvantaged social groups who are objects of denial, exclusion, neglect and contempt, in connection with the share of benefits and participation in decision making in multi-layered mainstream development programs.

In respect to this, focus on the identification of vulnerable groups and their particular circumstances, needs and interests constitute a key principle in the design and overall management of IDRMP. In light of this and based on the review of relevant literature gathered for Social Assessments carried out for other relevant projects (SLMP, PSNP, AGP, LFSDP), in the context of this ESMF vulnerable groups and underserved peoples IDRMP in the Project basins are: women particularly female-household heads and those in polygamous unions, pastoral and agro-pastoral groups, unemployed and underemployed rural youths, and culturally distinct groups.

## **Women**

IDRMP treats gender as crosscutting issue requiring special focus, to empower women so as to fully participate and benefit in the whole range of project interventions. In Project basins and sub-basins, as is the case in wider society, women become vulnerable as a result of socially constructed gender-based values and belief systems and their productive and reproductive roles in the household. In specific terms, women’s status in relation to their domestic division of labor (childcare and food preparation), socioeconomic status (limited property and ownership rights), and unequal power relations and burden of responsibilities deserve closer examination in the overall IDRMP design and implementation. The status of Ethiopian women can also be seen in terms of: societal attitudes towards women; their educational status; and women’s awareness of their rights. More specifically, societal attitudes towards women (e.g., they are meant to care for the domestic affairs, namely childcare, preparation of food, etc.); no/little education (with all its ramifications such as low awareness of their rights both at micro- and macro-level); and their roles and statuses in the family (e.g., in polygamous unions, female-headed households) deserve closer examination in view of the objectives of the IDRMP.

In connection with this Project, the World Bank task team in consultation with relevant stakeholders in Ethiopia conducted a rapid analysis to identify key gender gaps in DRM in Ethiopia to consider the possibility for IDRMP to address some of them. According to the preliminary findings of the assessment, key gender gaps in DRM are: (i) women and girls face higher risks



after a natural disaster takes place, partly because of their limited voice and agency; (ii) women often do not have the income and means to effectively respond to disaster and reduce their exposure and vulnerability, which, in turn, affects their capacity to cope with future shocks; and (iii) women lack access to early warning, as these are often issued in public places, while women spend most of their time at home for childcare and other household chores.

Therefore, it is crucially important to seriously consider the gender specific status quo in Project basins and sub-basins, the place of women in the project and how gender issues should be mainstreamed in respect to the key principles, prime objectives, and activities of IDRMP.

### **Pastoral and Agro-Pastoral Groups**

Historically, pastoral and agro-pastoral groups used to be the most underserved communities in Ethiopia. An estimated eight to ten million people, 10% of the country's total population practice pastoralism as their predominant mode of survival across the lowlands of Ethiopia. The rangelands where pastoral practices are extensively carried out represent two-third of the total national land area. These are located in Somali and Afar national regional states, the Borana Zone of Oromia Region, and the South Omo Zone of the Southern Nations, Nationalities and Peoples Regional State. The pastoral and agro-pastoral populations belong to some twenty-nine ethno-linguistic groups that are classified as Cushitic, Omotic and Nilotic. The main pastoral nomadic ethnic groups in Ethiopia are geographically located as follows: the Afar, Issa, and Karrayu in the northeast and east (in the middle and lower Awash Sub-Basins), the Somali in the southeast (in the Awash Basin), the Borana and Gujji in the south (in the RVLB), and the Hamar, Benna, Arbore, Tsemai, Mursi, Bodi, Dassanech, Nyangatom, and Karro, in the southwest (in South Omo Zone of the Omo-Gibe Basin).

Beset as it is by a range of adverse conditions, migratory pastoralist continues to sustain an increasing size of human population. Since the recent past, the herding populations in the lowland have largely been impoverished and food insecure. The arid climate of the regions characterized by frequent cases of drought has been a principal contributory factor to the prevailing conditions. Resource degradation and water scarcity aggravated by steady increases in human and livestock population, recurrent droughts, and the conversion of sizable areas of pastoral territory into dry land agricultural zones have resulted in the reduction of rangelands in terms of both quality and size. Poverty among the nomadic populations extends far beyond food insufficiency. They also have little access to socioeconomic benefits like health and education services and opportunities to income generating activities outside of the livestock domain.

The situation of pastoral communities was further compounded by lack of due policy attention by previous Ethiopian governments. The needs and interests of pastoral groups was in those days not given the attention they deserved in the design and implementation of development policy intervention, as compared to smallholder agricultural communities in the highlands. As a result, a substantial portion the development investment was devoted to the promotion of the non-pastoral sector of the economy. Thus, in addition to the ecological stress that pastoralists suffered, they also experienced economic and political marginalization.



Another area of possible constraints to development interventions is inter-ethnic tension and conflict in the nomadic and transhumant pastoral areas. Current studies indicate that in most of the pastoral and agro-pastoral areas, including those in the three basins selected for IDRMP subproject interventions, the inter-ethnic relationships have been marked by intermittent conflicts and animosities and even open warfare. In this regard, critical problems have been witnessed among the Borana and Somalia and Guji on the one side, and the Kore and Burji on the other, also among the Konso and Derashe and the agro-pastoral groups of the South Omo Region, in the Rift Valley Lakes Basin. There are also frequent clashes between the Afar and Karrayu, the Afar and Issa Somali, the Afar and Arsi Oromo, and the Afar and Ittu in the middle and lower Awash Valley of the Awash River Basin. In the lower flood plains of the Omo-Gibe Basin, recurrent inter-group conflicts are widely prevalent between the Hamar and Dassanetch, the Borena and Arbore, the Borena and Dassanetch, and the Ngnagatom and Turkana.

The main reasons for the conflict are competition over the use of grazing land and water, cattle raiding and counter-raiding, land ownership and boundary disputes. Ethnic based regionalization has also contributed considerably to the escalation of conflicts among some neighboring groups, as there are no clear demarcations of ethnic boundaries.

For instance, hostilities among the nomadic pastoral groups in the Middle and Upper Awash Valley region are aggravated largely by the alienation of grazing land by the expansion of large-scale commercial irrigated agriculture and the extensive network of conservation areas for game/tourist parks. The conflicts are intensified as one group encroached into the territory of the other following their displacement by the development of concession agriculture. In the same way, in the 1980s, part of the territory inhabited by the agro-pastoral communities in the Lower Omo Basin was turned into a state-run irrigated farm, and recently the government has begun leasing out huge tracts of community land to foreign companies and foreign governments so that they [grow cash crops including biofuels](#). As the government has taken over more and more community land, competition for scarce resources has intensified. Moreover, in July 2006, the Ethiopian government signed a contract with the Italian company, Salini Costruttori, to build Gibe III, one of the biggest hydro-electric dams in the country. This has put an end to the natural floods of the Omo River, and as the natural flood with its rich silt deposits disappears, subsistence economies are threatened with collapse, and many of the flood retreat cultivating agro-pastoral groups in the area facing food shortage. The potential for inter-group conflict will increase as people compete for scarce and dwindling resource.

Thus, if left alone such inter-ethnic conflicts will be serious challenges for the development undertakings in the basins. No doubt these inter-ethnic tensions and conflicts would pose contextual security risks in the implementation of basin-level flood risk reduction investment projects, while at the same time the IDRMP physical investment subprojects may have the potential risk of precipitating the unintended consequence in terms of aggravating the tensions in the project *woredas*.

### **Unemployed and Underemployed Rural Youths**

In all the basins and sub-basins selected for IDRMP, unemployment and underemployment are the main factors that cause rural youths to be vulnerable groups. In the local setting of these Project areas (in Upper Awash Sub-Basin, RVLB and Omo-Gibe Basin) identified as unemployed rural youths are boys and girls who are out of work, not being able to find jobs in the farming villages to earn their own income and support themselves. These are young people who were forced to quit school at secondary or preparatory levels because of various challenges. Included in the same category are young men and women who have returned to their natal villages to live with their families, not finding work in the urban areas after graduating from technical and vocational colleges or institutions of higher learning.

On the other hand, underemployed rural youths refer to young villagers who continue to live with their families or kids, but are without their own source of income that fully occupies them. For this reason, they engage in livestock husbandry and crop production as part of the labor force in the household. Due to the ever-dwindling family land resulting from land fragmentation, the range of household tasks can hardly engage them to the fullest extent of their time and energies.

Regional rates of unemployment and underemployment are high. In the Afar, according to the 2013 Labor Force Survey, rural unemployment stood at 7.3%, while underemployment was recorded at 29.7. In Amhara, the figure is 1.6% and 33.6%, in Oromia, 1.5% and 43.8, Somali, 3.8% and 21.5%, SNNPR 2.6% and 38.8%, Addis Ababa, 24.2% 31.4%, and Dire Dawa, 22.3 and 23.5%, respectively.

In respect to this, the situation of rural youths are critical particularly in Oromia and SNNPR regions, and these areas are characterized by land scarcity because of high rates of land fragmentation and population growth. Cognizant of these facts in the regions, the Oromia and SNNPR regional states have developed plans to invest large amounts of finance on the expansion of rural youth job-creation in parts of the region, including in IDRMP sub-project *woredas* and towns.

### **Occupational Minorities**

Occupational minorities inhabiting in the Project areas are potters, smiths, weavers, tanners and carpenters, who have been historically despised and marginalized because of their occupation. As a result of this, they used to be excluded for generations from mainstream social and economic development activities including access to land.

Owing to the pressures resulting from years of social ostracism, many were forced to abandon their occupation. With the improvement of social attitudes and practices particularly since the land reform of the mid 1970s, such occupational groups have generally been rehabilitated, becoming entitled to land holdings and hence practicing farming and off-farm activities such as wage labor, together with their crafts-making. In these areas, pottery and tannery in particular are still viewed as occupational skills left to the minorities ‘inherited’ by sons and daughters from their parents. Because of this, marriage with these groups is considered as taboo, forcing tanners and potters to inter-marry within their respective groups. On the whole, though, the social integration and participation of these occupational minorities continues to be stronger, which is facilitated by the impacts development projected implemented by different sector ministries.

For example, the Manja, who live in the Konta and Decha in Omo-Gibe Basin in SNNPR, are a largely despised and vulnerable occupational minority. They are associated with a number of stereotypes related to their eating habits and personal hygiene. It is said that they eat the meat of religiously prohibited animals and that they do not keep themselves and their cloths clean. Such views and attitudes have led to the treatment of the Manja as social outcasts, resulting in their exclusion from all forms of interaction in the community including engaging in agricultural activities. Nonetheless, current trends are such that conditions are improving for the Manja, and they are being reintegrated with the community.

## 4. Scope and Nature of Project Land Requirement

The project components that result in potential land acquisition fall under Component 1 (minimal) and Component 2.1 involved physical investment and will require land. In the absence of specific information on the sub project activities, it is not possible to determine the land size required for all specific physical investments.

*Table 2: Potential Project Impact on Land*

Components/Sub-Components	Nature of Impact/Risk
<b>Component 1: Strengthening institutional and coordination capacity for DRM</b>	
Emergency preparedness response will finance capital-intensive goods for search and rescue and emergency communication systems	Small plots of land for construction of structures to house and install communication systems. The impact is expected to be minimal.
<b>Component 2: Accelerating Flood Risk Management</b>	
Sub-Component 2.1 Basin-level flood risk reduction investments	
<p>-River training such as construction of embankment and retention facilities, riverbed and bank protection, river excavation and widening, water transfer channels between basins</p> <p>-Rehabilitation and reconstruction of existing flood protection infrastructures.</p> <p>-Complementary associated infrastructures such as bridges, roads, and small intake facilities will be also rehabilitated/reconstructed.</p>	<ul style="list-style-type: none"> <li>- Loss of farmland, communal land, grazing land, loss irrigation infrastructure (temporary or permanent)</li> <li>- Loss of crops, shrubs and trees,</li> <li>- Restriction of access to water for irrigation, humans and animals,</li> <li>- Loss of livelihood and income</li> <li>- Restriction on use or access to community resources such as pastureland, community bore holes, animal tracks/crossings</li> <li>- Physical relocation</li> <li>- Loss of access to water for fishing</li> <li>- Loss of irrigation infrastructure</li> </ul>

As the specific sites and sub project activities for different sites is not yet determined. Most flood protection structures work are linear structures following the river and banks and buffer zones. The middle and lower Awash sub basin flood protection structure for instance stretches 26.5 kms

of flood with a buffer zone of 20 meters width. Strips of farmland and grazing land along the construction of flood protection structures, ponds, gabions and earth dams will be permanently and temporarily affected. The temporary land requirement is mainly for the construction of access roads and stores. The project will mitigate such risks through various forms of compensation based on scope of impact and availability of options (including land for land, provision of alternative grazing area, provision of alternative access route, cash compensation, etc.). The temporary land requirement is mainly for the construction of access roads and stores.

Depending on land use patterns in the specific areas, sub project activities will impact on strips of land including farms, irrigated farmland, grazing land communal land as well as structures in urban and peri urban areas.

- a) Agricultural land
- b) Grazing land
- c) Perennial crops (or fruit trees)
- d) Different types of timber trees
- e) Nursery sites for trees
- f) Public & community assets/utilities
- g) Houses/buildings, fence,
- h) Grazing land, communal land
- i) Access to water for irrigation, fisheries, watering of animals
- h) Other structures (e.g. burial grounds, granary, etc).

There is limited risk of physical displacement of farm, agro-pastoral households from their villages induced by the implementation of the flood protection infrastructures in selected subproject areas, forcing inhabitants to take up new settlement. These new settlements could be areas that are marginal, less fertile and less productive sections of the region, and as a result of such dislocations the affected households may cause further deepening of poverty. Similarly, structures in settlements located close to water shades and riverbanks could be affected.

## **4.1 Other Project Social Impacts**

### *Positive Impacts:*

Reduce risk of flooding: The project activities will contribute to reduction of adverse impacts of recurrent flooding that affects local communities (especially downstream communities) their crops, farms and animals. Flood prevention and control activities will benefit communities by reducing impacts of frequent flooding that result in loss of livelihoods, production and other prolonged economic impacts that cause loss and suffering triggering mass migration or population displacement.

**Reduce displacement:** Flooding causes displacement, loss of human life, damage to property, destruction of crops and loss of livestock. Migration to developed urban areas contributes to the overcrowding in the cities. These migrants swell the ranks of the urban poor and end up living in marginal lands in cities that are prone to floods or other risks. Therefore, flood control and protection project serve as a means to curb the magnitude of such problems. A dike is a good method of flood protection and is effective in preventing damage when combined with other flood control methods to reduce the risk of a collapsed dike.

**Protect infrastructure and services:** The construction of dikes and other flood protection structures also prevent the destruction of social services such as schools and health centers that are often inundated and rendered unusable by flood.

**Reduce health risks:** Flooding often causes health hazard for communities due to contamination of water microscopic organisms that expose communities to various infectious diseases. The still water after flooding is a breeding ground for waterborne diseases such as malaria. Flooding disrupts communication, damages infrastructure, impacts on businesses. The IDRMP flood protection infrastructure and activities will contribute to reducing these impacts.

**Employment Opportunities:** IDRMP activities during construction and operation phases is the employment opportunities that will be created especially to casual workers and several others. Employment opportunities are of benefit both socially and economically to women and unemployed youths in the rural settings. In economic sense, it means a number of skilled, semi-skilled and unskilled local inhabitants and other citizens coming to project sites seeking for jobs could obtain gainful employment opportunities during construction and operation phases of the project.

**Strengthen social contract:** Ineffective flood risk response and associated services during major flood events may lead to public discontentment and loss of trust in the authorities of the state and national and local governments. Lack of socioeconomic development in flood-prone areas may cause social inequity and this may cause even social unrest, posing threat to peace and stability in the region. Therefore, addressing the welfare and safety of citizens is one of the major factors promoting the competence of a government in managing and administering of its citizens. Thus, implementing flood protection and control activities in flood prone area will have significant contribution for promoting trust and amicable relationship between the government and residents of the areas covered by the project.

#### *Adverse Impacts:*

**Increase Risk of Downstream Flooding:** The flood control and protection projects aggravate flooding problems in downstream areas of the basins. As stated earlier, flood control structures like dikes protect the river from flowing outside of its course on its way downstream. In the Middle and Lower Awash, for instance, these situations can increase the river water volume in the downstream areas, especially in parts of lower Awash, where the river course is narrow and shallow in depth, with the resultant serious overtopping problem. Therefore, the project should address such possible impacts which may be expected as the river course cannot accommodate the increase in water volume.

**Blocking Access to Water Resources:** Dikes and flood embankments protect the river water within or between the structures. This may block access to areas outside the dykes or related structures that may be used for traditional irrigation, livestock grazing, or watering. Ensuring that communities have alternative ways to access water resources will prevent actions by communities to break off the which, in turn, may create flooding problem.

**Loss of farm land:** The lands within dike alignments on both sides of the river courses may be lost or wasted due to flood control and management projects. The dike alignments may enclose settlements, irrigable lands, perennial crops and trees along the river courses nearer to the river especially in downstream areas. As the intended projects may hinder the river water flows traditionally used for purpose of irrigation and pasturage in the flood plains, the horticultural farms and grazing lands would not get water as before, which may negatively impact the agro-pastoral pursuit of the inhabitants.

**Loss of grazing land:** Livestock herding communities in the flood plains of the lowlands of the basins may suffer because their grazing fields do not get water by natural overtopping of the river. The situations would undoubtedly undermine their livestock productions and generally their cattle-based livelihood.

**Impact on public infrastructure and services:** The flood control and protection structures may affect roads, private and government infrastructures, and canal networks in the project target woredas/communities located both in upstream and downstream areas. The dike construction may affect some of the public institutions along the river course as it increases the river volume which can damage the infrastructures particularly in downstream areas during high flooding. Moreover, unless the silt is removed from the river courses, roads and bridge can also be exposed to damage.

**Restriction of Movement:** Flood control physical infrastructures like dikes may close or restrict human and livestock movement corridors. In such cases, the structures may be damage or destroyed by movement of people and animals. On the other hand, access road problems can occur by the damage of bridges, and this will completely disrupt the traditional bridges at some areas particularly during rainy season. Therefore, such situations should be harmonized with the social needs of the communities by adjusting working schedules to attain project goals, address community needs and ensure social and environmental sustainability.

Other impacts include occupational health and safety hazard for workers and community health and safety concerns during construction. Some construction workers may come from outside of the project area and stay for extended period. This will potentially expose community members to SEASH, HIV/AIDS and other sexually transmitted diseases (STDs). COVID-19 exposure and infection is another risk due to non-observance of social distancing and other preventive measures.

## **5. Legal and Institutional Framework**

Land acquisition and involuntary resettlement for IDRMP is governed by national laws and policies as well the World Bank Environmental and Social Standard ESS5.

## **5.1      *Property and Land Rights***

The constitution of Ethiopia is the umbrella framework for any laws and regulations including land related laws and regulations. The 1995 constitution of FDRE reiterated public ownership of land by clearly stating that ‘land is a common property of the Nations, Nationalities and peoples of Ethiopia, Article 40 (3) and cannot be subject to sale or other means of transfer or exchange. Land is a common property of the Nations, Nationalities and Peoples of Ethiopia and shall not be subject to sale or to other means of exchange (Article 40 (3) of FDRE Constitution, 1995). The constitution also recognizes the right of peasants to obtain land without payment and the protection against eviction from their possession. Pastoralists have the right to free land for grazing and cultivation and the right not to be displaced from their own land (Article 40 (4) (5) of FDRE Constitution, 1995).

The user of land has ownership of his/her possessions on land with the right to benefits from the fruits of his/her labor. This includes crops, perennial crops, trees for timber, etc. found on the land or any other permanent fixtures such as residential house, business installations, stores and fences, amongst others (Proclamations No. 31/1975 and 47/1975). The 1995 Constitution Article 40(7) reiterates and furthers this point by stating, “Every Ethiopian shall have the full right to the immovable property he builds and to the permanent improvements he brings about on the land by his 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.”

The 1995 Constitution, Article 40(2), 40(4), 40(5) and 40(8), includes legal frameworks that protect citizen’s rights to private property and sets conditions for expropriation of such property for state or public interests. Regarding immovable property built on land, the Constitution states that every citizen shall retain full right to immovable property built on the land and to improvements s/he brings about on the land by her or his labor or capital. Hence, the State owns all land, but citizens have a use right and full ownership of developments and improvements built on state land. This includes the right to alienate developments, to remove them or claim compensation for expropriation of property.

Women’s right to property: The 1995 constitution promotes gender equality and the rights of women. Article 35 of the constitution states that women shall have equal rights with men in enjoyment of rights and protections provide for by this constitution. Among the rights of women recognized by the constitution the ‘right to full consultation in the formulation of national development policies designing and execution of projects, particularly in the case of projects affecting the interests of women’ and right to acquire, administer, control, use and transfer property, they have equal rights in respect to use, transfer, administer and control of land, including inheritance of property.

## **5.2      *Land Tenure***



Most agricultural land in the highlands of Ethiopia is under individual use right while communal land holds applies in most pastoral and agro pastoral communities in the low lands. There are three types of land tenure systems. Public land, private holding, and communal. Private land holding refers to land held by small-scale farmers (agro-pastoralists) and investors. It involves the right to exclude others but it does not involve the right to sell land as this right is prohibited by the FDRE Constitution. The State holding includes national parks and reserves, forests, lakes, rivers or land used for the provision of basic services such as education, health, etc. Finally, communal land holding portrays the dominant kind of holding in pastoralist community where land is communally used for grazing, woodlots, and other purposes.

Communal land is administered by local community leaders in consultation with local administration. The customary laws are unwritten and are applied in the rural areas. Also, the customary laws determine how the land and its resources are accessed, who can hold and use its resources, and for how long and under what conditions they may be used. Pastoralists, agro-pastoralists and farmers who are above eighteen (18) years of age can access rural land freely and indefinitely. The right of the rural community to access rural land for grazing, religious or ritual purposes, water points and other social services is also protected by the constitution.

Traditionally, land and natural resources are managed through customary tenure systems. Within boundaries of the commons, the rights to common resources are vested in groups or communities that claim legitimacy to customary laws. Boundaries are closely defined. Rules are set that govern access, utilization, distribution of benefits, and transfer of use rights. Non-members are excluded except where there is a negotiated reciprocal arrangement, which is common among the Afar and Somali regional states.

***Customary Practices in Afar Community:*** In the context of Afar, the customary and government tenure systems are in frequent interaction with one another and have been subject to the influence of various socio-economic, cultural and political factors (Kelemework, 2013). Most of the land in the affair community is communally administered and is predominantly used for communal livestock grazing. Moreover, in the Afar community, grazing land, and forests have been administered by the *Sultanate* or clan-based institutions. Each clan and sub clan has its own territory and access by others is subject to prior mutual consent. The customary institutions are mainly based on a **clan system** in which clan territories provide the framework for land resource utilization, management and administration. In the customary arrangement, only members of a clan have the right to claim land found within the clan territory. Traditionally land has been allocated by customary land administrators, based on orders from the sultan via clan **leaders (Kedo-aba)** (Kelemework, 2013).

Clan land often comprises strategic resources such as grazing areas including dry season retreats, browsing resources, and water points. In addition, each clan has also communal graveyards, settlement areas (*metaro*) and ritual sites. Each clan has a well-established gerontocracy where the decision power regarding land and other natural resources rests on the village council consisting the clan leader, elders, the *feima* and local wise-men. The decisions given to the village council include exclusion of non-members, allocation of sites to non-members and determining resource

use patterns. Based on these customary institutions, every member of the clan, by default, has the right to use the fruits of his clan's land once he has the livestock to utilize the resources<sup>2</sup>.

Along with the customary practices, the Afar Regional Government prepared a proclamation regarding rural land use and administration which revised in 2011. The key principle emphasized encompasses (Afar Regional State, 2011):

1. Ensuring the participation of the community in land use plan and implementation;
2. Every land user has the obligation to properly use and conserve the land. The holder is
3. also guaranteed the right not to be displaced from the land;
4. Rural land remains to be the property of the State and the people and is not subjected to
5. sale;
6. Women have equal rights with men in relation to the decision regarding land use;
7. Pastoralists and agro-pastoralists are guaranteed the right to have access to rural land;
8. and
9. The event of eviction for public purpose, the holder has the right to get compensation for
10. the property invested on the land.

***Customary Practices in Somali Community:*** Similarly, land is communally owned and managed in Somali by the sub-clan lineages occupying the territory with *guurti-elders* exercising day-today control over land.<sup>45</sup> However, the Proclamation 128/2013 of rural Land use administration of Somali regional state, re-emphasizes that the ownership of the right to use the rural land is exclusively confirmed in the Constitution of Federal Democratic Republic of Ethiopia. Article 7 underscores that land dispute among pastoralists should be settled under the customary dispute settlement system, and the government is to help strengthen the system. The proclamation claims, as indicated in Article (5/1), to guarantee the rural land-use rights of pastoralists by ensuring that all men and women pastoralists have a right to access grazing land and use it for unlimited time. Moreover, Article (5/3) underscores that communal grazing land that has been used, should be delineated.

**Customary Practices in South Omo:** Like most pastoralist communities, grazing land in all pastoralist and agro-pastoralist communities is communally owned. The customary law governs household access. All pastoral household members in a given ethnic group have equal access and use to grazing land as long as they were community members. Accordingly, the pastoral household could keep its cattle and small ruminants anywhere within the territory of its ethnic group. Therefore, ethnic membership was the sole criterion that conferred on local households the right to access pasture land. In some pastoral groups such as Surma pastoral group, the customary law that governs pasture land and farm land is the same. That is, like pasture land, there was no private farmland. A household can clear woods and farm anywhere within the Surma territory. The common practice was that once it harvested the grown product, the household would leave the land and move to other places. Hence, another household might cultivate the land in the next

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<sup>2</sup> Bekele Hundie, (2015). Property Rights among Afar Pastoralists of Northeastern Ethiopia: Forms, Changes and Conflicts. Humboldt University of Berlin.

farming season. There are three common ways through which a private use right over a piece of farm land could be claimed by a given household. First, a household might claim a private use right by clearing unoccupied land or land that was originally covered by a forest/bush. Second, a father might give a certain proportion of plot (out of the farmland already recognized under the possession of household) to his grown up son (s) upon marriage. Third, the head of the household might share some tract of farm land (out of the farm land already recognized under the possession of the household) to his relatives. In the case of the last two customary practices, if the term of the gift was made on a permanent basis this would automatically confer a private use right. Nevertheless the means of cultural institution still takes the exclusive criterion of ethnic membership into account. Thus, within a territory of a given ethnic group, the customary law allows the private land use right only among the members of the ethnic group

The key natural resources among most pastoralists areas include water, forests, wild animals, various naturally grown wild edible fruits, minerals, and nutritious aquatic life such as fish. Almost universally, the prevailing customary systems dictate the rules of communal use rights among the pastoral households. Ethnic membership; therefore, was still perceived as the exclusive means of access to these natural resources. The project sites for IDRMP include areas inhabited by historically underserved traditional/local communities that are covered under the World Bank standard ESS7.

### **5.3**      *Legal Framework*

The government of Ethiopia has recently enacted land expropriation law that repeals the preceding laws. Proclamation on Expropriation of landholding for Public Purposes, Payment of Compensation and Resettlement of Displaced People (Proclamation No 1161/2019 repeals and replaces the proclamation no. 455/2005. The new law introduced new elements as well as improvements over the repealed law in areas of compensation for loss of communal land holdings, compensation for displacement and loss of social networks. The most important ones are however the mandate for regional and federal governments to establish resettlement fund for livelihood restoration. The law, unlike the repealed law emphasizes transparency, accountability and consultation in resettlement, equity in compensation, special consideration for vulnerable groups of elderly, women and persons with disability and role of women's rights organizations in supporting livelihood restoration activities.

#### **5.4**      **5.3.1** *Land Expropriation procedures:*

The proclamation 1161/2019 provides that Federal (including Addis Ababa and Dire Dawa cities) and Regional governments have the authority to initiate land acquisition and may delegate this authority to lower levels of administration including city and Woreda when necessary. Woreda and city administrations are responsible for implementing expropriation decisions, vacating and taking of land . The proclamation outlined procedures for land acquisition for public purposes. The procedures apply for both rural and urban land.

Once the public office (project proponent) requesting land acquisition present approved plan and budget the local authority (Woreda administration or City administration) will execute the land acquisition following the procedures prescribed by law.

*Consultation and notification.* The procedure provides one year prior notification in writing to land holders of the decisions for expropriation (excluding exceptional cases not specified in the law). Notification also serves as cut-off date after which any asset constructed after the written notification of decisions for expropriation will not be compensated. Actual expropriation of land will take place within one year after the notification. The affected persons will be consulted on the intended project, the benefits and the general procedures of expropriation and compensation.

*Asset inventory and verification:* the relevant authority (Woreda or city administration) will take inventory of all assets affected by land take as well as determine based on the verification of documents presented by land holder or property owner and existing records the ownership or any other user right of the land and property. As per Proclamation No.1161/2019 Article 8(2) landholders or their agents whose landholdings are to be expropriated shall submit landholding certificates or other proofs that show their landholding rights over the lands that is decided to be expropriated to the urban or rural land administration office on the time schedule of the office. The relevant authority will make a decision on the legal rights of the holders by checking the authority of the documents collected as sub article 1 (c) of this article, calculate, determine, and pay the amount of the compensation and other related rights (Proclamation No.1161/2019 Article 8, 1(d)).

*Compensation procedure:* The land holder or property owner will be informed in writing of the compensation form and amount (in cash or kind) following the inventory of assets and verification of documents to prove ownership or use right and determine entitlement. This written notice will include the date for expropriation. Proclamation No 1161/2019 gives entitlement only to those who have formal legal rights over their land holdings (properties).

*Timing of Expropriation.* Expropriation will take place only after payment of compensation (in cash or in kind) is completed. The law puts the onus on the expropriating body (Woreda and City) to pay full compensation to land holder/owner of property within three months period after which the holder has the right to use the land for planting seasonal crops, or in case of structures. Properties added after the expropriation notification is given to the land holder are not compensated (Proclamation No.1161/2019 Article 8, 1(c) on the other hand the affected person is entitled to receive compensation within 30 days of expropriation notice. If the one-month period lapses, the affected person will be entitled to compensation for any additional temporary or permanent development made on land based on specific provisions. If the land holder does not receive compensation within six months, the affected person has the right to construct permanent or temporary structures (consistent with master plan or other regulations). All improvements on land or asset including crops, trees and structures in place due to undue delays in paying compensation will be included in the re-calculation of compensation when expropriation takes place.

*Vacating land and property:* The land holder is expected to accept and take compensation within 30 days of receiving expropriation notice after which the compensation amount will be deposited

in closed account within the Woreda or Kebele. The land holder may be forced to vacate the land or property between 30 days (if there is no permanent property on land) to up to 120 days of receiving compensation. Those with no legally recognizable rights or 'illegal' occupants will have to vacate land within 30 days of notice.

*Entitlement and Compensation.* Compensation is offered to both permanent and temporary loss of assets. All compensation for permanent loss is at replacement cost. Compensation is offered to land and any improvement on land as well as assets and structures on land. As per Proclamation No.1161/2019 Article 13(1), a rural landholder who is to be displaced permanently shall be provided with a substitute if it is available. Land to land compensation also includes cash compensation for physical displacement that is equivalent to one year income (the highest of the past three years). If substitute land is not available, the landholder shall be paid displacement compensation which is equivalent to fifteen times the highest annual income he generated during the last three years preceding the expropriation of the land.

Urban land holders with affected property on land will be provided with alternative land for construction of houses/structures. Compensation for property on land shall cover the cost of replacing the property anew (replacement cost). The landholder whose land is expropriated shall be paid compensation for the property on the land and the permanent improvement made on the land. The minimum compensation payable to a housing unit, may not, in any way, be less than the current cost of constructing a house per the standard or based on the objective conditions of each regional state. Regarding compensation for permanent improvement to land, it shall be equal to the current value of capital and labor expended on the land. Where the property on the land can be relocated and continue its service as before, the cost of removing, transporting, and erecting the property shall be paid as compensation (Proclamation No.1161/2019 Article 12).

Displaced resident will be provided with land in alternative location as well as a displacement compensation equivalent to one year rental income and cash compensation to cover two years of rent in a comparable housing. Where alternative housing is available a two years rent free housing is provided. Where property on land can be relocated and serve the same purpose as before compensation will be for cost of transporting and installing/erecting to new location. Specific methods for valuation will be determined by regulations.

*Communal land:* Proclamation No. 1161/2019 obliges Regional States, Addis Ababa, and Dire Dawa city administrations in order to issue directive and determine displacement compensation for communal landholding. The proclamation provides that, valuation of displacement compensation for communal landholding shall be based on the use of the communal land; or the lost benefits and livelihood of the displaced people ( Article 13 (3a) of Proclamation No. 1161/2019, 2019). The valuation method and manner of payment to permanent and temporary expropriation of communal land holdings will take into account a) the use of the land, the lost benefits and livelihood of displaced persons b) the members of the community using the communal land c) the method for determining compensation for each member.

*Compensation for other forms of losses.* Proclamation 1161/2019 provides for compensation of temporary loss of income and employment as well as other losses associated with permanent loss of land and property such as moral damage and loss of social network.

*Asset Valuation:* According to Proclamation No. 1161/2019, asset valuation will follow the nationally approved valuation methods and by Certified Private Institution or individual consultant valuers, or in the absence of such private institute, by an Autonomous Government Organization established for that purpose. Where these private and government organizations do not exist, property valuations will be done by the valuation committee established comprising proper professionals by the relevant Woreda and urban administration levels before the commencement of subproject activities. These local governments establish valuation committees to value private properties (Proclamation No. 1161/2019 Article 17(3)). Where the property assessed requires special expertise, the valuation may be made by a relevant government or private organization. Besides, in situations where the property is state owned infrastructure or utility line; the valuation shall be made by the government entity owning it. In addition, the unit price of compensation valuation shall be revised at most every two years.

*Special Resettlement Funds:* The proclamation No. 1161/2019 has a provision that mandates regional states, Addis Ababa and Dire Dawa city administrations to dedicate budget for establishing fund for compensation payment and rehabilitation livelihood restoration by developing resettlement packages that may enable displaced people to sustainably resettle. If the land expropriation for public purpose is for investment, people who are displaced may own shares from the investment (Article 16 (4) of Proclamation No. 1161/2019, 2019). People who are displaced from urban or rural areas and who lost their income as a consequence of land expropriation for public purpose and who don't own shares from the investment shall be beneficiaries of the resettlement package ( Article 16 (5) of Proclamation No. 1161/2019, 2019). The latter refers mainly to land acquisition for public projects.

*Council of Ministers Regulation for Expropriation, Valuation, Compensation and Resettlement (Regulation 472/2020).*

This regulation provides more detailed procedures for implementation of the proclamation 1116/2019. It replaces the Council of Ministers Regulation 135/2007 Payment of Compensation on Landholding Expropriated for Public Purposes. The regulation puts emphasis on consultation and outlines procedures for consultation of affected persons, procedures regarding impacted public infrastructure, the responsibilities of the project proponent to provide sufficient budget for compensation prior to expropriation.

The regulation identifies the different categories of land development that may require land acquisition including public, private investment and development by land holders or joint development with investors. It also specifies the procedures for decision making on land expropriation and requires that the valuation committee members should be technically qualified and should be age and gender inclusive. Public disclosure of valuations for consecutive five days is required to allow for grievances to be addressed prior to decision making. The regulation also

specifies the content of the resettlement package for livelihood restoration and the establishment of a resettlement fund.

Temporary loss of shelter will be compensated by providing alternative housing or covering the cost of renting a similar house at current market. Specific directives will determine the conditions under which moral damage and loss of social network will be compensated potentially both for the displaced person and those remaining behind. Public house leases shall be provided with alternative lease housing where feasible or offered to buy alternative housing or provided with land for construction of housing. Substitute land for older people and persons with disability will take into account the convenience of location and ease of access to services.

The regulation outlines that that permanently displaced persons may be entitled to livelihood restoration package to be developed by regional states, Dire Dawa and Addis Ababa administration. Livelihood restoration package covers the type of livelihood restoration activity including housing, employment, income generation, access to credit, training, access to social services like health and education, etc. The livelihood package should also specify consultation and participation by project affected persons and efforts to resolve potential conflicts and maintain good relations with host communities. Such packages are to be implemented by Woreda and city administrations and with the participation of displaced persons. Rehabilitation packages cover will pay special attention to vulnerable households such as women and persons with disability.

## **5.5     *Implementing institutions***

The local and federal governments have different roles in compensation. The woreda and urban administrations have responsibilities to organize consultative meetings with people that are going to be displaced on the type, benefits, and generally, the process of the project; pay or make others pay the compensation to the landholders whose land holdings are expropriated; implementing the resettlement packages; maintain record of the property located on the expropriated land; Support and ensure the improvement of the livelihood of displaced farmers and pastoralists; and maintain record and evidences relating to the displaced (Proclamation No.1161/2019 Article 24).

Regional States, Addis Ababa and Dire Dawa City Administrations are charge of following up and ensuring the implementation of this Proclamation and the Regulation and Directive enacted under it; develop and implement resettlement packages. An independent entity that implements and governs this framework shall be established or appointed from this institution to bear this responsibility; provide capacity building support to Urban and Woreda administrations to enable them to implement this Proclamation; and asses the living conditions of the displaced persons and provide solutions to the identified problems (Proclamation No.1161/2019 Article 23).

At federal level, the Ministry of Agriculture and Ministry of Urban Development and Construction are responsible for overall capacity building and monitoring of implementation of the law.

*Complaints Hearing:* The proclamation 1116/2019 and the Council of Ministers Regulation 472/2020 provide avenues for complaints regarding the application of the law. The first point of entry for complaints are the complaint hearing council established at city and Woreda levels (based on specific directives). The complainant will submit complaints to this council within 30 days of

receipt of expropriation order. The council shall inform the complainant of its decision within the subsequent 30 days. The complainant can appeal to appeal hearing committee established under the law within 30 days after receiving the decision of the first level complaint hearing committee. The appeals council shall give decision within 30 days after which the complainant can pursue the case with formal proceedings of the court. A complaint related to the amount of compensation shall be submitted to the regular court having jurisdiction (Proclamation No. 1161/2019) if the administrative body for handling disputes has not yet been established.

Grievances will be submitted to a three-person committee established under Woreda or city council. The regulation requires that at least one of the three designated persons should be of law background. The appeal committee will have 5 members and will also be established under the Woreda/City council. Both the grievance and appeals committee will be required to document all procedures. Detail procedures are to be specified by directives of Regional States, Addis Ababa and Dire Dawa city administrations.

## **5.6 Regional Proclamations on Land Acquisition and Compensation:**

Regional government issue their own land use and administration laws and directives following the general guidelines of the Federal expropriation laws and regulations and tailoring it to the specific conditions of the respective regions. The practice so far is that regional laws and directives are consistent with national laws with slight variations relevant to their specific contexts. Currently, the existing regional proclamations are under review to align them with the Federal proclamation of 1161/2019 and until new regulations are passed, the existing laws apply.

*Afar:* The Afar Regional Government has a policy document regarding land use and administration (revised 2011). The policy aims to provide a context specific guidance on land considering communal land use and management in the region, the competition between farmland and grazing land and increasing problems of land degradation caused partly by weakening communal land management. Following these policy documents, the government passed Land Use and Management Proclamation No 49/2009. In order to implement this proclamation, successive legislations were enacted: Afar Environmental Protection and Land Use Regulation No 4/2003 and a directive to implement the proclamation and Regulation. In Afar, rural land is administered mainly by clan leaders who make use of the land for communal grazing, while in limited areas it is administered by the government and by individuals.

*SNNP* The first land use and management law that was enacted by the SNNP Regional Government was Proclamation No 53/2003, which was later amended by Proclamation No 110/2007 that is currently enforced. The Proclamation focuses mainly on peasants; provisions concerning pastoralists and agro-pastoralists are scattered, implying that the proclamation lacks focus on pastoralists' land issues.

*Oromia:* The Oromia National Regional State enacted the first Land Use and Administration Law in 2002 under Proclamation No 56/2002. This Proclamation has been continuously amended in 2003, 2005 and 2007. The current legislation in force is Proclamation No130/2007. The



Proclamation focuses on farmers and a few provisions concerning pastoralists and agro- Voluntary Land Donation (VLD)

## **5.7 Comparison with World Bank Standards**

There are ten Environmental and Social Standards (ESS) under the Environmental and Social Framework (ESF) of the Bank and seven of the ESS are set to be relevant to this project namely ESS 1, 2, 3, 4, 5, 7, 8 and 10. The ten ESSs are:

ESS 1: Assessment and Management of Environmental and Social Risks and Impacts.

ESS 2: Labor and Working Conditions.

ESS 3: Resource Efficiency and Pollution Prevention and Management.

ESS 4: Community Health and Safety.

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

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

ESS 7: Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local.

ESS 8: Cultural Heritage.

ESS 9: Financial Intermediaries; and

ESS10: Stakeholder Engagement and Information Disclosure

### **5.7.1 World Bank Standard on Land Acquisition, Restrictions on Land Use and Involuntary Resettlement ESS5**

The fundamental objective of resettlement planning, as stipulated in ESS 5, is to or, when unavoidable, to minimize involuntary resettlement by exploring project design alternatives. It further requires that projects must avoid forced eviction and mitigate unavoidable adverse economic impacts from land acquisition or restrictions on land use by:

- Providing timely compensation for loss of assets at replacement cost; and
- Assisting displaced persons in their efforts to improve, or at least restore their livelihoods and living standards in real terms, to pre-displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher.

The Standard also requires projects to improve living conditions of poor or vulnerable persons who are physically displaced, through provision of adequate housing, access to services and facilities, and security of tenure. Projects involving land acquisition and involuntary resettlement must also conceive and execute resettlement activities as sustainable development programs, providing sufficient investment resources to enable displaced persons to benefit directly from the project, as the nature of the project may warrant. The project should also ensure that resettlement

activities are planned and implemented with appropriate disclosure of information, meaningful consultation, and the informed participation of those affected.

Furthermore, displaced persons should be assisted in their efforts to improve their livelihoods and standards of living or at least to restore them, in real terms, to pre-displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher.

ESS 5 also requires attention to be given to the needs of vulnerable groups especially those below the poverty line. Vulnerable groups may include Landless individuals and households, Elderly persons, persons with disabilities, female headed households and children, vulnerable historically underserved groups, minorities and other disadvantaged groups.

The ESS 5, further requires the resettlement plan should include measures to ensure that the displaced persons are:

- a. informed about their options and rights pertaining to resettlement.
- b. consulted on, offered choices, and provided with technically and economically feasible resettlement alternatives.
- c. provided prompt and effective compensation at full replacement cost for losses of assets attributed directly to the project.
- d. provided assistance (such as moving allowances) during relocation where applicable; and
- e. provided with residential housing, or housing sites, or as required, agricultural lands for which a combination of productive potential, location advantages, and other factors is at least equivalent to the old site.
- f. offered support after displacement, for a transition period, based on a reasonable estimate of the time likely to be needed to restore their livelihood and standards of living; and
- g. provided with development assistance in addition to compensation measures, such as land preparation, credit facilities, training, or job opportunities.

#### **5.7.2 Stakeholder Engagement and Information Disclosure (ESS10)**

Stakeholder and affected communities including host communities should be consulted through the process of stakeholder engagement described in ESS 10. The project has developed a Stakeholder Engagement Plan. Stakeholder engagement includes engagement of affected persons and communities throughout the project cycle, conducting meaningful consultation providing timely and relevant, accessible and understandable information and consult in culturally appropriate manner and free of manipulation, interference, coercion, discrimination and intimidation.

Project should also disclose information that help communities understand the risks and impacts as well as potential opportunities. These include information on the purpose and scope of the

project, the duration of activities, potential risks and impacts, proposed stakeholder engagement process including time and venue of consultation meetings and the project grievance mechanisms. The details are provided in the Stakeholder Engagement Plan prepared for EIDRMP.

Communities affected by resettlement and benefiting from livelihood restoration will be consulted and provided with options from which affected persons can choose. Disclosure of relevant information and meaningful participation of affected persons and communities should take place for considering options and during the process of implementation, monitoring and evaluation of compensation, livelihood restoration and relocation processes. During consultation, special attention should be given to women and their perspectives and interests are taken into consideration. Addressing livelihood restoration may require a closer analysis of intra-household relations how livelihoods are affected differently. Compensation mechanisms should consider the preferences of women and men (e.g., alternative access to natural resources rather than cash compensation).

### *5.7.3 Comparison and Gaps between Ethiopia and World Bank Policies Related to Resettlement*

Policies of the World Bank on resettlement and of the Government of Ethiopia are closely aligned. For example, both policies recommend consideration of fair and adequate compensation to PAPs. However, there are some gaps which exist between ESS5 of the World Bank Standard and provisions in the Ethiopian laws and regulations. The table below identified these gaps and proposed measures to bridge these gaps.

*Table 3 Comparison of Major Gaps Between Government of Ethiopia Land Expropriation Law (Proclamation 1151/2019 and the Council of Ministers Regulation 472/2020) and the World Bank ESS5*

<b>Theme</b>	<b>ESS 5</b>	<b>Ethiopian Law</b>	<b>Comparison</b>	<b>Gap filling Measures</b>
Minimize Resettlement	Avoidance, minimize resettlement avoid forced eviction without proper provisions	Conditions for land acquisition include projects for ‘public and private investment’	No explicit reference in Explicit reference to avoiding, minimizing is missing. Strict conditions in the law prior to eviction.	No substantive gaps with ESS 5 principles. Project will ensure alternatives to avoid/minimize resettlement
Resettlement as development intervention	Conceive/ execute resettlement as sustainable development programs	The provisions in the law ensure people are compensated, livelihood restored	No explicit provisions in the law. No substantive differences	Consultation of affected persons, adequate compensation that ensures full restoration of assets, measures for restoration of livelihoods , and ensuring vulnerable groups directly benefit from project activities.
Compensation at replacement cost	Timely compensation at replacement cost	Compensation at replacement cost  Compensation should be paid prior to displacement	No substantive difference	No gap filling measure required.
Consultation and	Meaningful consultation,	Resettlement to be executed in	No clear provision for providing options including relocation options.	Affected groups should get access to full information about the resettlement process and be given options

<i>Theme</i>	<i>ESS 5</i>	<i>Ethiopian Law</i>	<i>Comparison</i>	<i>Gap filling Measures</i>
information disclosure	<p>Displaced persons are informed about their options and rights pertaining to resettlement.</p> <p>Disclosure of WB-approved resettlement instruments by the Bank and the Government</p> <p>Options to be provided on relocation sites</p>	<p>transparent, accountable manner.</p> <p>Consultation is required</p> <p>Notification of expropriation order in writing, as well as the measurement of assets and compensation amounts</p> <p>Public disclosure of measurements of assets</p> <p>Procedures for resettlement need to be fair, transparent and accountable</p>	<p>Disclosure of RP is not required by law</p> <p>No clear provision for inclusive consultation with special attention to vulnerable groups</p>	<p>for relocation and compensation.</p> <p>Ensure inclusive consultation with vulnerable groups in culturally acceptable manner</p> <p>RF and RP should be disclosed and copies made available at Woreda offices</p>
Livelihood restoration	Livelihood restoration is required to displaced persons to restore income and standard of living	Provisions for livelihood restoration package Compensation and resettlement assistance that shall sustainably restore and improve the	No substantive difference	No gap filling measures needed

<i><b>Theme</b></i>	<i><b>ESS 5</b></i>	<i><b>Ethiopian Law</b></i>	<i><b>Comparison</b></i>	<i><b>Gap filling Measures</b></i>
		livelihood of displaced people		
Vulnerable groups	Assistance to physically displaced poor and vulnerable groups	Vulnerable groups of women, elderly and persons with disability and inclusion in consultation and assistance is required.	The mitigation measures for vulnerable groups are not provided	Vulnerable groups will be identified, and specific mitigation measures should be designed.  Special support to historically underserved communities
Cut-off date	Administration notification and determination of cut-off date  Land possession will take place after compensation is paid, displaced persons are resettled and moving allowance provided	Date on which the owner of the land received expropriation order is considered cutoff date.  Expropriation order given 6m-1year prior to land acquisition  Land will be acquired after compensation is paid.	No Specific reference to cut off date	Cut off dates will be established, and PAPs will be notified in time.
Eligibility for Compensation	Squatters are eligible for resettlement assistance & compensation for lost	The laws do not recognize squatters	Not recognized as eligible for any compensation	Squatters will be compensated for lost/damaged asset, corps and trees and will be provided

<i>Theme</i>	<i>ESS 5</i>	<i>Ethiopian Law</i>	<i>Comparison</i>	<i>Gap filling Measures</i>
	or damaged structures, trees or crops and for displacement.			with assistance consistent with ESS 5
Community Consultation	Disclosure of relevant information, meaningful participation of affected communities including women	Fair transparent and accountable process  Prior consultation of PAPs on land acquisition plan  Consultation of vulnerable groups	Consultation with historically underserved vulnerable communities should be meaningful, and ensure prior and informed consent during consultation with	Participatory Community consultation plans will be outlined with special attention to women and other vulnerable groups.
Grievance Mechanism	Affordable and accessible procedures including judiciary recourse and traditional dispute resolution mechanism	The laws allow for establishment of grievance redress mechanism and procedures for appeal at lower levels of administration. It also includes judiciary recourse	There are no substantive gaps	Accessible grievance mechanisms taking into account the cultural dispute resolution will be established
Monitoring and evaluation	Resettlement Monitoring with participation of affected persons,	Law requires approved plan and	There are no substantive gaps.	Clear monitoring and evaluation will be in place to measure achievement of

<i>Theme</i>	<i>ESS 5</i>	<i>Ethiopian Law</i>	<i>Comparison</i>	<i>Gap filling Measures</i>
	allocation of adequate resources, establish implementation arrangements, .	<p>budget for compensation</p> <p>Project proponent establishes resettlement committee</p> <p>Local administrations implement resettlement</p>		resettlement goals e.g., livelihood restoration.



## 6. Procedures for Preparing a RP

### 6.1 *Policy Objectives and Principles of Resettlement*

The primary goal of the resettlement is to ensure that those adversely affected by Project activities, through temporary or permanent losses of land, assets and resources, are adequately compensated for their losses and are not made worse off due to project activities and mitigation measures are implemented in a consultative, systematic and beneficial manner. The RF is guided by the following principles:

- Resettlement impacts will be avoided or minimized. If any there is a resettlement impact, as defined under ESS 5 it should be identified during screening of Project activities the implementing agency will, as a guiding principle, explore feasible alternative project designs and/or configurations to reduce and minimize resettlement.
- PAPs are entitled to full and timely compensation and rehabilitation measures on an equitable basis. Compensation must be at full replacement and sufficient to, at a minimum, to maintain pre-project living standards. As a principle, the Project should seek to leave PAPs with improved conditions through inclusion of PAPs in project benefits.
- Poor and Vulnerable groups who are physically displaced and should be provided with adequate housing, access to services and facilities and with appropriate security of tenure.
- Sufficient investment resources need to be provided to ensure PAPS and displaced persons benefit directly from the project as the nature of the project warrant.
- Appropriate disclosure of information, meaningful culturally appropriate consultation, and informed participation with affected persons and communities is required in the planning and implementation of resettlement plans.

### 6.2 *Process for Screening, Preparing and Approving Resettlement Plan*

The RF is developed as sub project activities and specific sites for the sub projects and the land required are not determined. Once the specific sub project activities are identified and the environmental and social assessment is done in accordance with ESS1 appropriate instruments for mitigation of displacement impact will be developed in accordance with this RF.

All sub-projects involving land acquisition, restriction on land use or involuntary resettlement will be required to carry out a socioeconomic assessment to determine the impact on the affected population and the affected area. The assessment will determine if the component would need preparation of a Resettlement Plan (RP) to mitigate adverse impacts and access to benefits by the affected communities.

Nature of use of land: The specific site for sub project activities may be publicly owned land that is currently used for public purposes the ESS 5 does not apply. If the site for project activity requires land that is under use by individuals, community or communal holding, the procedures consistent with ESS 5 outlined below will apply.

. Sub-project Social Impact Assessment - Once the specific sub project is identified, a social impact assessment will be conducted to determine the scope and magnitude of social impacts that are likely to result from sub project implementation. Social impact assessment will include impact on adjacent communities.

. Screening- this is to determine ESS5 Applicability (the screening process ensures that sub-projects comply with ESS5 and applicable Ethiopian legislation.

Screening of IDRMP subprojects/activities to determine whether, the sub-project(s) requires land and the size of land required and the location and availability.(Annex 1 screening checklist)

Identification stage: Once specific site of sub project is determined and screening conducted, the project determines whether ESS 5 is applicable, alternative designs and locations will be considered to minimize impact on land. Where it is determined that a RP is required, the project will develop RP.

Socio-Economic Census and Asset Inventory: An important aspect of preparing a RP is to establish appropriate data to identify the persons/household/community and their assets who will be affected by the individual subproject, people eligible for compensation and assistance, and to discourage inflow of people who are ineligible for these benefits. The census will achieve the following:

1. Provides initial information on the scale of resettlement to be undertaken;
2. Identifies and provides data to fill those gaps in information and gives an indication of further socio-economic research needed to quantify losses to be compensated and, if required, to design appropriate development interventions; and
3. Establishes indicators that can be measured later during monitoring and evaluation.

The socio-economic survey will be undertaken by the relevant IAs that are proposing the LLRP investment subprojects with the use of the sample socio-economic survey indicated in Annex 2 of this RPF. It will be accompanied by a land asset inventory to determine what assets will need to be compensated for during the resettlement process. The land and asset inventory will be done under close supervision of the sub-project CRCs. A sample inventory form can also be found in Annex 3. The sample inventory form provides guidance on the details required during the census.

*Categories of Affected People:* Land acquisition for sub-projects may result in negative impacts to different categories of PAPs. Until the exact sub-project locations are determined, it is not possible to estimate the likely number of people who may be affected. However, the likely displaced (economically or physically) persons can be categorized into three groups namely:

**Project Affected Persons (PAPs):** are individuals whose assets may be lost, including land, property other assets, and/or whose access to natural and/or economic resources may be reduced because 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 the project. These include members like the head of household, male and female members, dependent relatives, tenants, etc.

**Number of PAPs:** It is not possible to determine the number of Project Affected People at this stage in the project as the exact foot print of the sub-projects is not known. The purpose of this RF is therefore to establish the mechanisms by which the appropriate tools, screening checklists and RPs will be implemented to mitigate potential resettlement impacts once exact impacts of sub-projects have been identified. For each sub-project, which might require physical and/or economic resettlement, the number of PAPs will be established through a RP which will be elaborated before project implementation. PAPs will be informed of their rights under national laws (GoE laws recognizing rights or use) and this RF (and eventually RPs), and the project will offer them adequate compensation as stated in the entitlement matrix together with culturally appropriate development opportunities.

In the RP, 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 subproject(s); (i) PAPs must be consulted about land acquisition and compensation and offered technical and financial options, including the most economically feasible alternatives; and (ii) PAPs should receive adequate compensation at full replacement cost based on current market price for losses of assets and access attributable to the sub-project

**Preparation, Review and Approval of the Resettlement Plan:** Resettlement plans are prepared for any project activities that results in temporary or permanent economic or physical displacement.. The result of the screening will determine whether there are such impacts and the need for preparation of RP or any other mitigation measures. The screening must be carried out on a case-by-case basis to determine: i) whether land that is occupied or used will be required and ii) whether associated mitigating measures that will be necessary before the construction phase have been defined in sufficient detail that they can be readily implemented.

Resettlement plans are prepared for any project that results in economic or physical displacement. The scope and level of detail of the plan varies with the magnitude of displacement and complexity of the measures required to mitigate adverse impacts.

- For projects with minor land acquisition or restrictions on land use, of which there will be no significant impact on incomes or livelihoods, the plan will establish eligibility criteria for affected persons, set out procedures and standards for compensation, and incorporate arrangements for consultations, monitoring, and addressing grievances.
- For projects causing physical displacement, the plan will set out the additional measures relevant to relocation of affected persons.

- For projects involving economic displacement with significant impacts on livelihoods or income generation, the plan will set out the additional measures relating to livelihood improvement or restoration; and
- For projects that may impose changes in land use that restrict access to resources in legally designated parks or protected areas or other common property resources on which local people may depend for livelihood purposes, the plan will establish a participatory process for determining appropriate restrictions on use and set out the mitigation measures to address adverse impacts on livelihoods that may result from such restrictions.

The PMU/NPC is responsible for the preparation of the Resettlement Plan in collaboration with local level administration and stakeholders and submits it to the Environment unit in the Ministry of Water and Energy (and other relevant bodies as required ) and to the World Bank for review and concurrence.

RPs will be reviewed and cleared by the World Bank prior to commencing resettlement or sub project physical investment activities. The reviewers shall verify the adequacy of the report based on the principles, standards and procedures set out in this RF and convey the decision to the Project PMU/NPC. The RP to be developed will be proportionate to the risks identified.

The PMU/NPC will oversee the implementation of the RP once it is completed and approved. The implementation of the RP commands priority over the implementation of the investment component of the project to ensure that displacement or restriction of access does not occur before the necessary measures for resettlement are in place. The PCU will ensure that compensation is effected in line with the national laws and the World Bank Standards.

**Consultations in Resettlement Planning and Implementation:** Consultations with PAPs and stakeholders is an integral part in the RP preparation, implementation and monitoring processes.

Consultation requires good preparation, prior dissemination of project information in a for that is accessible to community members is necessary to have meaningful consultation. Agenda items should be set and information proposed place and date of consultation. Consultation planning should consider local contexts, women's availability, and mobility.

Consultation should be inclusive. The consultation process should ensure sizeable participation of women, youth, occupational, ethnic and other minority groups, pastoral and agro-pastoral households, elderly and any other groups at risk of exclusion. Consultation should also offer opportunity to express concerns and when possible be given options. During the entire process of preparing the RP consultations with the public is essential as it offers the affected persons an opportunity to participate and contribute to both design and implementation of the project activities.

Consultations should happen in the local language of the PAPs. Separate consultation with women may be required to ensure their full participation. Community institutions and community leaders can play important role as facilitators of consultation.

Public participatory consultation will be done through stakeholders' meetings and workshop at suitable locations. The information will be made to each household on entitlement eligibility criteria, modes of compensation, complaints handling and grievances resolution procedures. The project Stakeholder Engagement Plan provides the specifics.

Stakeholder consultations will be done taking into consideration all the national recommended social distancing protocols against COVID-19. Consultations is a continuous process that was carried out throughout the preparation of IDRMP and will continue through the construction and operational phases. Records of consultation should be documented and kept in local offices for ease of reference.

## 7. Eligibility Criteria for Affected Groups

Various forms of land use exist in project area including individual rain fed agricultural land, and small scale irrigation, large commercial farms and irrigation schemes, communal land used as pastureland, bore holes, animal crossings, residential and commercial structures, agro industries and manufacturing, sand mining, small businesses. The social assessment should identify the scope and magnitude of impacts on the various uses of land and populations without distinction on whether land use rights are formal recognizable or not legally recognizable rights. Those who will be affected directly by the Project or Project associated activities are eligible to receive full replacement cost and rehabilitation assistance for impacts identified as part of the screening and census.

### 7.1 *Categorization of Persons Likely to be affected*

Project affected persons (PAPs) are described as persons affected by land acquisition, land occupation, restriction on land use, relocation, or loss of income or livelihood associated with the acquisition of land and/or other assets. The impact could be permanent or temporary.

Project affected households (PAHs): are persons in PAP's household. These are members of the household, dependent relatives, and tenants.

**Underserved and Vulnerable groups of people:** These include groups which are economically or socially tied to their land but the land might not be under legal ownership pursuant to GoE law (including properties rented from Keble and used as source of income). Therefore, land acquisition might impact their lives seriously. From these households the project will separately identify the vulnerable members, such as those who are too old or too ill; children including orphans; families affected and/or infected by HIV/AIDS; vulnerable women; unemployed youth; people with disability; etc.

This category runs the risk of seeing their vulnerability increase because of the resettlement unless supplementary assistance is provided.

**Affected local communities:** A community will be affected if project activities affect its socioeconomic and/or social-cultural relationships or cohesion. For example, project activities could lead to loss of welfare or cultural cohesion etc. In situation of physical relocation of project affected persons, the host communities should be consulted, and their concerns should be assessed and addressed. Project affected communities in IDRMP may include downstream water users affected by project activities in up streams and vice versa. Communities whose access to and use of other natural resources is restricted and those affected by temporary disruption of access to homes and social services, roads and other infrastructure.

### 7.2 *Classification of Eligible PAPs*

The following categories of PAPs are eligible.

PAP entitlement for compensation or assistance is determined and classified in the following manner:

- a. PAPs with formal legal rights to land or assets, including formal lease holders
- b. PAPs who do not have formal legal rights to land or assets but have a claim to land or assets that is recognized/recognizable by the national laws
- c. PAPs who do not have recognizable legal rights or claims to the land or assets they occupy or use (renters of dwellings and other structures built without any recognizable legal right or claim to the land they occupy)

Persons covered under categories a) and b) are provided compensation for the land they lose, and other assistance/compensation in accordance with ESS5. Persons covered under c) are provided resettlement assistance instead of compensation for the land they occupy, if they occupy same within the project area prior to the established cut-off date and other assistance/compensation, as necessary. All persons included in a, b or c are to be provided with compensation for loss of assets other than land. All PAPs irrespective of their status or whether they have formal titles, legal rights or not, squatters or otherwise encroaching illegally on land, are eligible for some kind of assistance if they occupied the land or had use of it, before the entitlement cut-off date.

In the context of IDRMP the following are relevant:

- ✓ Communal land users of the resources, including people informally settled on the land, those with lease rights to the land, and those renting spaces in a home or business.
- ✓ Agricultural wage laborers and employees of households and business enterprises need be regarded as eligible for assistance if directly impacted by the loss of assets.
- ✓ PAPs affected by restricted use of land and natural resources (forest resources, grazing land, fishery resources) animal crossing, water sources shall be properly assessed and mitigated.

PAPs whose access to community resources or property such as burial sites, sacred tree, hills, etc. is affected in part, or in total, by the Project

To be eligible for resettlements PAPs need to be enumerated at their place of residence located within the Project or sub-project area during the RP census. PAPs are to be enumerated at the land they occupy, regardless of the use. The timing for census should take into the season and mobility as is the case with some agro-pastoral communities. Where PAPs are not, for one reason or the other, enumerated during the census, or in cases of disputed eligibility, PAPs will be expected to provide proof of their presence in the project area during the census period to be eligible for compensation.

Table 5: Summary of Entitlement

No	Category of PAPs	Type of losses	Compensation Strategy
1.	PAPs with formal legal rights to land and Assets	Loss of land and/or loss of asset	Full replacement cost for assets and full compensation for land and all investment on land/– replacement land where livelihood is land based

2.	PAPs with recognizable rights on land and asset according to national laws	Loss of land and/or loss of asset	Full replacement cost for assets and full compensation for land and all investment on land/– replacement land where livelihood is land based
3.	PAPs with no legally recognizable right on land	Loss of land and/or asset	Full compensation for loss of asset
4.	Agricultural wage laborers and employees of households and business enterprises	Loss of livelihood	Assistance
5.	PAPs affected by restricted use of land and natural resources	Restricted access to resources	Mitigate by creating alternative access
6.	PAPs whose access to community resources such as burial sites, sacred trees, etc are affected	Loss of access to community resources	Provide culturally sensitive and acceptable measures of compensating losses

### 7.3 Preparation of RP

Following the socio-economic survey and identification of affected parties, a RP will be developed. If the Screening Report shows that resettlement will be required, the preparation of RP will be carried out as per the following procedures:

Step 1: Conduct a socio-economic survey and asset inventory to determine the extent of resettlement required.

Step 2: Prepare a Resettlement Plan and/or a Livelihoods Restoration Plan, or no further documentation is required.

Whenever, there is no physical and economic displacement are induced by the **IDRMP** activity, the same procedure applies based on the scope of impact and appropriate plans will be prepared.

#### Resettlement Planning Principles and Process

The MoWE/PCU in association with relevant agencies such as NDRMC will provide the general direction for the planning of the relocation /compensation process; ensure coordination between various stakeholders concerned with the Project including those directly connected with resettlement and monitor the implementation. At launching of each project, stakeholders will be consulted to establish planning principles and work arrangements aimed at identifying and mitigating adverse social impacts induced by the project's activities. Baseline surveys, valuation of properties and payment of compensation are will be effected ahead of the commencement of works. All PAPs will be consulted in the process with respect to the instance affecting them and requiring compensation; whether in the context of resettlement / compensation or in the context of mitigating project related social impacts and other issues pertinent to the project or sub-project.

#### Preparation of a Resettlement Plan (RP)



The preparation of a RP will be done by the relevant IAs, hiring independent consultant, in consultation with the affected parties, particularly in relation to the cutoff date for eligibility, disturbances to livelihoods and income-earning activities, methods of valuation, compensation payments, potential assistance and timeframes.

#### **Contents of RP.**

1. Identification of project impacts and affected populations.
2. Legal framework for land acquisition and compensation.
3. Compensation framework.
4. Description of resettlement assistance, restoration of livelihood activities and entitlement matrix.
5. Detailed budget and implementation schedule.
6. Description of organizational responsibilities.
7. Framework for public consultation, participation, and development planning.
8. The implementation schedule and training/capacity building plan.
9. Conducting census and income and asset survey of all PAPs.
10. Description of impacts backed by quantification and measurement unit of its effect on the PAP.
11. Description of provisions for complaints and appeals.
12. Framework for monitoring, evaluation, and reporting.

The full description of the RP are attached in this RF in Annex 4 ., The level of detail and extent of the RP must be proportionate to the extent of the resettlement impact. If the resettlement activities be minor (e.g. a very small percentage of a person's land and livelihood is being required affected), a relatively simple will be required. Where the resettlement impact is more major The crucial aspect of a RP process is that a specific and auditable process has been followed that is appropriate to the impacts and allows for consultation throughout the process.

### **7.3 Census, Baseline Survey and Socio-Economic study**

Preparation of the resettlement plan will entail undertaking a baseline survey consisting of a census of all affected persons (100% of affected persons) and impacted assets and the socio-economic conditions. The census and socio-economic study would identify socio-economic data of potentially affected individuals and households, identify vulnerable groups (e.g., children, the elderly, female headed households, widows, widowers, etc.), impacts on public and community infrastructure, services. This will help the project to determine the magnitude of impact, the type and scope of RP to be prepared, who will be eligible for assistance early enough in the project cycle. Data and information on household economies and identification of all impacts will be necessary in the socio-economic assessment that will serve as base for subsequent monitoring and evaluation purposes.

### **7.4 Cut-off Date**

The objective of the cut-off date is to establish a deadline for determining eligibility for compensation and other assistance intended to help prevent encroachment by opportunistic persons or group. In accordance with ESS 5 and for each sub-project activities under the EIDRMP, a cut-off date will be determined and made public to project affected persons, considering the implementation schedule of the sub-project to avoid potential rent-seeking or influx of people who may want to take advantage of the process. To ensure consistency with WB standards, the cut-off date should be the date of the completion date of the inventory of assets/properties. Persons with no legally recognizable rights often referred to as “squatters” will be entitled to project assistance if they are in occupation on the affected property before the cut-off date. However, persons who encroach on the area after the cut-off date are not entitled to compensation or any other form of resettlement assistance.

## 7.5 Eligibility Criteria and Entitlement

Table 4 Eligibility Criteria and Entitlement

Affected Assets	Type of impact	Entitled units	Eligibility criteria	Entitlement
Land	Permanent loss of land	Landholder or (individual, family, community)	Holder of the affected plot of land under Ethiopian law including customary laws	<p>-In-kind compensation (land to land) for land-based livelihood displacement at a suitable location with better advantage to the previous land</p> <p>-Cash compensation equivalent to replacement value determined by relevant government regulations where primary livelihood is not land based and where there is satisfactory demonstration of lack of adequate land or strong preference by the PAP.</p> <p>Transfer of the land to PAPs shall be free of taxes, registration, and other costs.</p> <p>Relocation assistance (costs of shifting + assistance in establishing economic trees +allowance up to a maximum of 12 months while short- term crops mature)-</p> <p>-Land replacement for community Lands or if unavailable, compensation be paid to the community with their full consultation and participation.</p>

Affected Assets	Type of impact	Entitled units	Eligibility criteria	Entitlement
		Tenant/Lease holder	Lease holder	<p>Cash compensation equivalent to fifteen 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 leaser should be consulted.</p> <p>Relocation assistance (costs of shifting + assistance in reestablishing economic trees + allowance up to a maximum of 12 months while short- term crops mature) Relocation assistance (costs of shifting + allowance).</p>
	Temporary occupation of land	Landholder or with user right (individual, family, community)	holds the affected plot of land under Ethiopian laws including customary	<p>Compensation (in cash or kind) for the period of occupation based on terms of occupancy as agreed among the parties.</p> <p>Compensation for loss of crops or assets on the land during the period of occupancy at full replacement cost.</p>
Commercial land/land used for business	Land partially Affected	Title Holder	Title holder	<p>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).</p>
		Business owner is Lease holder	Lease holder	<p>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)</p>

Affected Assets	Type of impact	Entitled units	Eligibility criteria	Entitlement
	Land fully or partially affected with the remaining rendered not sufficient for use	Title holder/business owner		<p>Land for land replacement or compensation in cash according to PAP's choice. Land for land replacement - 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.</p> <p>Transfer of the land to the PAP shall be free of taxes, registration, and other costs. Relocation assistance (costs of shifting + allowance)</p> <p>Opportunity cost compensation equivalent to 2 months net income based on tax records for previous year (or tax records from comparable business, or estimates)</p>
		Business owner is lease holder	Lease holder	<p>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.</p> <p>Relocation assistance (costs of shifting) 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	Title holder	<p>Land for land replacement or compensation in cash according to PAP's choice. Land for land replacement shall be of minimum plot of acceptable size under the zoning law/ s or a plot of equivalent size, whichever is larger, in either the community or a nearby resettlement area with adequate physical and social infrastructure systems as well as secured tenure status. When the affected holding is larger than the relocation plot, cash</p>

Affected Assets	Type of impact	Entitled units	Eligibility criteria	Entitlement
				compensation to cover the difference in value. Transfer of the land to the PAP shall be free of taxes, registration, and other costs. Relocation assistance (costs of shifting + allowance)
	Land and assets used for residence severely affected Remaining area insufficient for	Rental/lease holder	Renter/lease holder	Refund of any lease/ rental fees paid for time/ use after date of removal Cash compensation equivalent to 3months of lease/ rental fee Assistance in rental/ lease of alternative land/ property Relocation assistance (costs of shifting + allowance)
Crops (food/cash crops and economic trees inclusive)	Destruction of or damage to standing crops on land acquired,  Temporarily acquired or easement	Owner or Farmer	Have grown the affected crop  (regardless of whether plot holder or not)	<p><b>Crops:</b> Cash compensation equivalent to ten times the average annual income s/he secured during the last five years preceding the expropriation of the land.</p> <p><b>Trees:</b> Cash compensation based on type, age and productive value of affected trees plus 10% premium</p> <p><b>Temporary acquisition</b></p> <p>Cash compensation for any assets affected (e. g. boundary fences demolished; trees removed)</p>
Structures	Destruction of immovable structures	Owner	Owens affected structure	<p><b>Full destruction/remaining structure unusable</b></p> <ul style="list-style-type: none"> <li>• Compensation at full replacement cost of structure or alternative structure of equal or better size and quality in location acceptable to PAP.</li> <li>• Cost of moving (e.g., persons/ goods in the structure under or belonging to owner)</li> </ul>

Affected Assets	Type of impact	Entitled units	Eligibility criteria	Entitlement
				<ul style="list-style-type: none"> <li>Rehabilitation assistance if required (assistance with job placement, skills training)</li> <li>Right to salvage materials without deduction from compensation</li> </ul> <p><b>Partial destruction/remaining structure certified as usable</b></p> <p>Cash compensation for affected building and other fixed assets Cash assistance to cover costs of restoration of the remaining structure</p>
		Occupant	Live in or use the affected structure on rental basis (Occupant different from owner)	<p><b>Full destruction/remaining structure unusable</b></p> <p>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)</p> <p><b>Partial destruction/remaining structure certified as usable</b></p> <p>Cash compensation for affected assets (verifiable improvements to the property by the tenant).</p>

Affected Assets	Type of impact	Entitled units	Eligibility criteria	Entitlement
				Disturbance compensation/allowance equivalent to two months rental costs
Partially affected structure	Part of an immovable structure is damaged	Title Holder	Owns affected structure	<p>Compensation at full replacement cost for the affected structure remaining standing if it is professionally determined that the remaining structure is safe and usable by relevant authority. If the structure is determined unusable and unsafe compensation at full replacement cost of the whole structure should be paid.</p> <p>Disturbance allowance equivalent to two months rental cost.</p>
		Squatters and street vendors	Squatter/informal dweller/with no recognizable rights	<p>Cash compensation for affected structure without depreciation Right to salvage materials without deduction from compensation.</p> <p>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).</p> <p>Rehabilitation assistance if required assistance with job placement, skills training)</p>



Affected Assets	Type of impact	Entitled units	Eligibility criteria	Entitlement
		Street vendor	With no 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 reestablish the business
Structures	Temporary acquisition of legal or non-legal	Occupants	Both with title or no title	Compensation for acquisition of asset based on prior negotiation with occupants, proper restoration of structures to pre-acquisition status.
Community structures	Include damage or destruction of community structures.	community	Community	Full repair of damage to pre-damage status and full replacement of structure
Livelihoods	Agriculture - destruction of economic or cash crop	Farmer	Use affected land for farming as livelihood sources (emphasis on perennial crops. Annual crops can be harvested prior to land entry or destruction)	Cash compensation for any temporary loss of income or livelihood incurred as a result of the project during the transition period (period required to reestablish farm elsewhere).

Affected Assets	Type of impact	Entitled units	Eligibility criteria	Entitlement
	Business	Business owner (may be distinct from owner of structure where business takes place)	Operate a business on Project affected land, regardless of the land ownership situation (includes squatters)	<ul style="list-style-type: none"> <li>Cash compensation of temporary loss of income or livelihood incurred because of the Project during the period required to reestablish the business to pre-project conditions</li> <li>Provide alternative resources with equivalent livelihood-earning potential and accessibility.</li> <li>Disturbance allowance equivalent to 2 months business income.</li> </ul>
	Use of communal resources such as livestock grazing rounds (or involuntary restrictions to community assets)	User of such resources (can be individuals or communities) including vulnerable groups	Use communal resources as an element of livelihood	<ul style="list-style-type: none"> <li>Assistance in identifying and accessing similar resources elsewhere possible</li> <li>Cash compensation of temporary loss of income incurred because of the Project during the period required to access similar resources elsewhere/period required to provide alternative livelihood assistance</li> <li>Provide livelihood assistance (access to loans, training etc.)</li> <li></li> </ul>
Loss of livelihood for Vulnerable households and Underserved communities	Loss of livelihood by vulnerable individual PAPs or households and Underserved group who will be exposed for economic shocks	Underserved group and Vulnerable PAPs or HHs including FHHs, disabled,		Provide special resettlement assistances for vulnerable and Underserved groups throughout the implementation of resettlement program. Design a strategy to safeguard the livelihood of vulnerable groups in sustainable manner. LRP will be prepared for mitigation of loss of livelihood.

Affected Assets	Type of impact	Entitled units	Eligibility criteria	Entitlement
	or impoverishments.	elderly etc.		
Cultural heritage resources (e. g. sacred site).	Relocation or removal of cultural heritage resource	Owner (individual or community	Avoid any impact on cultural resources and where it is impossible sse or pay homage to cultural heritage resource/ sacred site	Avoid any impact on cultural heritage resources by finding alternative locations. If impact is unavoidable, ensure successful relocation or removal of cultural resource/ sacred site in close consultation with key stakeholders and in accordance with Chance Find procedures prescribed under the ESMF.

The Socio-economic studies to be undertaken in the preparation of the RP will clearly define for each project component the specific category of people likely to be affected. During these studies special attention will be paid to these groups by identifying their needs so that (i) they are individually consulted and given the opportunity (i.e. not left out) to participate in the project activities, (ii) that their resettlement and compensation is designed to improve their pre-project livelihood (iii) special attention is paid to monitor them to ensure that their pre-project livelihood is indeed improved upon (iv) they are given technical and financial assistance if they wish to make use of the grievance mechanisms of the project and (v) decisions concerning them are made in the shortest possible time.

## **7.6 Vulnerable Groups and Vulnerable Persons**

Vulnerable groups are usually disadvantaged in processes involving land acquisition especially due to the complicated paperwork involved. The ESMF and gender assessment for IDRMP identified categories of vulnerable groups that require special attention.

**Women:** According to the preliminary findings of the gender assessment, key gender gaps in DRM are: (i) women and girls face higher risks after a natural disaster takes place, partly because of their limited voice and agency; (ii) women often do not have the income and means to effectively respond to disaster and reduce their exposure and vulnerability, which, in turn, affects their capacity to cope with future shocks; and (iii) women lack access to early warning, as these are often issued in public places, while women spend most of their time at home for childcare and other household chores.

**Pastoralists and Agro-pastoralists:** Historically, pastoral and agro-pastoral groups used to be the most underserved communities in Ethiopia. An estimated eight to ten million people, 10% of the country's total population practice pastoralism as their predominant mode of survival across the lowlands of Ethiopia. The rangelands where pastoral practices are extensively carried out represent two-third of the total national land area. Several agropastoral communities reside within the project areas covering Afar, SNNPR and Oromia.

**Unemployed and Underemployed Rural Youth:** In the local setting of these Project areas (in Upper Awash Sub-Basin, RVLB and Omo-Gibe Basin) identified as unemployed rural youths are boys and girls who are out of work, not being able to find jobs in the farming villages to earn their own income and support themselves. Most are out of school forced to quit school at secondary or preparatory levels because of various challenges. Other groups of youth are young men and women who have returned to their natal villages to live with their families, not finding work in the urban areas after graduating from technical and vocational colleges or institutions of higher learning.

On the other hand, underemployed rural youths refer to young villagers dependent on their families and without their own source of income. For this reason, they engage in livestock husbandry and crop production as part of the labor force in the household. Due to continued land fragmentation, the range of household tasks does not engage them to the fullest extent of their time and energies.

Occupational minorities: Occupational minorities inhabiting in the Project areas are potters, smiths, weavers, tanners and carpenters, who have been historically despised and marginalized because of their occupation. As a result of this, they used to be excluded for generations from mainstream social and economic development activities including access to land. Although significant social integration has taken place over the decades, some occupational groups continue to suffer from some forms of discrimination.

As a result, this resettlement process will extend recognition and support to all vulnerable groups including orphans, female-headed households, small scale female farmers, elderly persons, non-literate, people living with disabilities and people living with HIV/AIDS in the process for land acquisition, compensation, consultation, and other important activities to ensure their inclusion and participation.

#### **7.6.1      *Specific Measures for Assisting Vulnerable Groups:***

Support income generation and skills development: Vulnerable people should be identified and provided with special assistance through consultations to identify their specific needs. Support in the form of agricultural inputs such as seeds and fertilizer will be provided based on needs. Vulnerable women and young unemployed should be assisted to organize into small groups and be supported to establish group enterprises and income generation activities. The project will facilitate support to access finances and capacity building for these groups. Support for young people to access skills training will increase their chances of their group businesses.

Supporting production and marketing of special products of marginalized groups: The project will assist in potters, smiths, weavers, tanners and carpenters to improve their skills, and marketing of their products in consultation other stakeholders.

Access to social services: The project will support access to health and education services for most vulnerable groups in collaboration with stakeholders. These may include covering cost of accessing health and education services, assist with transportation costs and ensuring their needs are prioritized in service provision. The project will prioritize vulnerable groups in employment and other project related services.

Other assistance for vulnerable groups includes the following:

- Assistance in the compensation payment procedure (e.g. specifically explain the process and procedures, make sure that documents are well understood) and provide assistance in the post payment period to secure the compensation money and reduce risks of misuse/robbery;

Assistance in moving where physical relocation is required: providing vehicle, driver and assistance at the moving stage, assist the person in identifying his/her resettlement plot; as well as providing assistance in building of houses by providing materials and work force. The need of vulnerable groups will also be prioritized in cases of compensation payments, livelihood restoration activities and other resettlement related activities.

assist in providing agricultural inputs such as seeds and fertilizers.

## **7.7 Asset Valuation and Compensation**

The purpose of valuation is to assess the overall compensation payable as part of the assessment of resettlement related issues under the IDRMP. The scope of the valuation covers land, structures and crops, economic trees pastureland, water and fishery and other natural resources on the project sites to be affected. Temporary losses of income or disruptions to livelihoods are considered as far as it may be appropriate for payment of compensation for the period of disruption of land, structures, livelihood, and businesses.

### **7.7.1 Valuation Procedures**

#### **Identification and Categorization of Loss and Impact**

Project Affected Persons will be identified by the types of losses they suffer or the impact of the project on them. Project personnel will:

a) Ensure that identification and categorization of the likely loss or impact is undertaken during the planning and design stages of each sub-project.

b) Establish the magnitude and coverage of impacts early in the project planning to justify the resettlement instrument to adopt. General categorization of losses will be done to reflect

extent of loss in terms of the following:

- Permanent or temporary loss.
- Full or partial loss
- Minimal or significant Loss.

c) Determine specific losses or impacts to reflect the exact nature of loss whether visible and tangible or intangible and categorize into the following losses:

- Physical loss of assets which will be determined by assessing the interest or right to ownership, occupation and possession
- Loss of income, loss of livelihood and opportunities to employment
- Impacts arising from disturbance/disruptions.

### **7.7.2 Basis of Valuation:**

To ensure that during the project implementation any person displaced by land acquisition will be provided full replacement cost of lost structures and are able to rebuild or replace their structures without difficulties. Ensure all categories of users, including those without certificate/occupiers, are covered in all relevant types of affected assets.

**Agricultural Land:** There are no active market for land in Ethiopia and valuation for land will be based on productive potential of agricultural or commercial land of equivalent size and location. Land to land compensation is the preferred option. Land includes communal land.

**Residential land:** Provision of replacement for urban and rural land is made by directive issued at regional/ city level. Valuation for residential land will include location advantage, availability

of land close to current location and access to services and utilities and the minimum replacement land should be equivalent size or minimum plot of acceptable size under the zoning laws. When the affected holding is larger than the relocation plot, valuation of residential land will be based on the specific guidelines of regional governments. Valuation should also include the cost of access to water and other services.

**Structures:** The full Replacement Cost Approach (RCA) will be adopted for the valuation of the structures. It involves the cost of purchasing or building a replacement structure, with an area, quality, and location similar to or better than those of the affected structure; or of repairing a partially affected structure, including labor and contractors' fees; and transaction costs, such as registration, and moving costs. For the purpose of this valuation, the affected assets/structures will not be taxed or depreciated in line with the ESS 5 requirements.

**Partially affected structure:** valuation and compensation method to be used for partial impact should consider both the cost of maintaining the damage on standing structure and full replacement cost for the impacted structure. Replacement cost should consider replacement of any utility and service lines affected by the impact.

**Perennial Crops:** Cash compensation for crops, economic trees and pastures will be based on Council Of Ministers Regulation No 135/2007. Compensation for crops includes type of crop, costs of labor invested and average of highest price of staple food crops and market prices for the region based on most current/updated data plus 10% premium. The valuation will ensure that the rates fully compensate the labor and equipment invested in the crop cultivation. Valuation will be undertaken by the technical committee of the environmental protection and land administration office. Cash compensation based on type, age and productive value of affected trees plus 10% premium

Cash compensation for standing perennial crops will be calculated by multiplying the amount of potential harvest multiplied by the current market price of the crops plus 10% premium. Where feasible the farmer can harvest the standing crops in lieu of compensation. This will include compensation to cover all costs invested on the standing crops. Where feasible farmers will be given time to harvest their crops in lieu of compensation.

**Economic Trees/pastures:** The Cash compensation for trees including fruit trees considers the age and productive value of affected trees place 10% premium. Market Value will be adopted for affected economic trees under the project. The enumeration of trees will involve taking census of the affected crops (either by counting or area) and applying rates approved by the relevant land administration office. Valuation rates to be applied under the IDRMP will ensure that the rates compensate for the labor and equipment invested in the crop cultivation as well as adjust to reflect the number of years after replanting before such trees can begin to fruit or generate income to ensure that the rates are in harmony with the full replacement cost requirements.

**Compensation for animal fodder/grass:** The amount of cash compensation will be calculated on the basis of productivity of the land and the current market price for fodder per square meter plus

10% premium. Where possible the owner will be allowed to harvest the fodder in lieu of compensation.

Valuation and cash compensation of loss for economic activities: Compensation for loss of income from economic activities will be based on average monthly income that is derived from declared average income (tax declaration) from the preceding year. In the absence of documentation, compensation will be based on average estimate of monthly income of similar businesses. A 10% of income loss will be included as disturbance allowance.

Transportation assistance: Compensation to cover cost of transportation will be based on the average cost of transportation including loading, unloading.

Livelihood/economic displacement – Replacement Cost will be used to allow affected persons to improve, or at least restore, their incomes or livelihoods. Restriction in use of land occurs that affects the income and livelihood of persons (blocked access to water affecting irrigation or fishery activities). In such cases, compensation will be based on average monthly income generated from the livelihood/economic activities for the duration of project impact and a 10% disturbance allowance. measures will be implemented to either allow continued access to affected resources or to provide access to alternative resources with equivalent livelihood-earning potential and accessibility or cash assistance additional to compensation for any assets that may be impacted.

Transitional assistance: Cash assistance will be provided as necessary to all economically displaced persons, based on a reasonable estimate of the time required to restore their income-earning capacity, production levels, and standards of living.

Temporary acquisition of legal and illegal structures under type of impacts: Where land or asset is temporarily needed for sub project activities, compensation will be based on negotiation with owner. The project will fully restore the temporary acquired structure and land and handover to the owner within the agreed time frame. Any extension of use of land or structure by project will require re-negotiation or penalty. Such temporary arrangements will be based on written contracts between the project/contractor and the asset or property owner.

The valuation will estimate compensation rates for loss of land and other assets including building/structure compensation rates based on full replacement cost without depreciation. Key points which the valuation will take care of are as follows:

- Collection of all relevant primary and secondary data on the affected property during final detailed valuation inspection and referencing to serve as basis for assessment of loss.
- A comprehensive primary database for monitoring, evaluation and audit



*Table 5 Some Relevant Data to be Captured by the Valuers*

<b>Some relevant data to be captured by the Valuers</b>
<p>1. Land:</p> <ul style="list-style-type: none"> <li>– Capture location details of the land</li> <li>– Identify the boundaries of the area/section of the land to be affected</li> <li>– Take detailed measurement of the land area to be affected along the affected boundaries.</li> </ul>
<p>2. Buildings (Immovable Structures):</p> <ul style="list-style-type: none"> <li>- Photograph all affected immovable properties</li> <li>- Detailed internal measurement of buildings, shops and structures will be done.</li> <li>- Collate property details which will include noting accommodation details, constructional details of affected parts and external works (fence walls, gates, pavements) affected owner's details etc.</li> </ul>
<p>3. Temporary Structures (Movable Properties)</p> <ul style="list-style-type: none"> <li>- Collate data on temporary structures by categorizing temporary structures based on constructional</li> <li>- details (wall materials, affixed to concrete slabs or not), size of structure and use of structure</li> <li>- (business/residential) and type of business.</li> </ul>
<p>4. Intangible Assets (loss/impact arising from disturbance)</p> <ul style="list-style-type: none"> <li>- Obtain relevant data on households affected (tenants, owners, relatives), apprentices/trainees and determine intangible loss on households, business and livelihoods</li> <li>- The Social Specialist of the project will ensure that PAPs make informed decision by assisting in outlining and evaluating their options during consultations.</li> </ul>

The overall aim is to:

- At a minimum restore, but preferably improve, the pre-project living standards of affected people.
- PAPs should be given appropriate options to choose a form of impact compensation which best suits their needs.
- Offer development opportunities for PAPs.
- PAP should benefit directly from Project benefits.

### **7.7.3 Communal Land Holdings**

Valuation of displacement compensation for communal landholding shall be based on the use of the communal land; or the lost benefits and livelihood of the displaced People. Compensation will be for all the members of the community using the communal land and will include compensation for, private and communal property on the expropriated communal land. All identified community members will be entitled to compensation (cash or kind) for communal property on communal land and will be determined in close consultation with community members.

#### *7.7.4 Mining Licensee*

Where extractive mining site is expropriated pursuant to the provisions of the Proclamation, the compensation due to the licensee shall be determined by the relevant mining law.

- Workers and employees, including farm laborers and informal sector workers:
- Temporary loss of employment requires compensation for wages during the transition.
- In case of permanent job loss, for those who are unlikely to have a reasonable opportunity for re-employment (at equal or higher wages), the Project will make a good effort to identify alternative jobs or take other rehabilitation measures to allow them to restore their incomes. Workers not assured of alternative employment will be given the equivalent of one year's wages.
- If employment disruption, whether permanent or temporary as a result of Project impact, is assessed to result in workers to be unlikely to be reemployed the Project should assist with a transition allowance equivalent to lost wages for the assessed duration of unemployment.

#### *7.7.5 Compensation for Burial-Ground and Cultural Heritage Resources*

This is estimated based on the cost of removing the gravestones, preparing new burial ground, transferring, and relocating the corpse and for conducting religious and cultural ceremonies in relation thereto. The project is committed to no loss of cultural heritage resources. Experiences in flood protection have managed to ensure that cultural activities conducted near the rivers and under trees and other significant sites have been preserved and access maintained through design solutions

#### *7.7.6 Access to Services and Essential Resources:*

- Impeded access is defined as barriers caused by Project components that obstruct local people's usual movements, across rivers or along pathways, thus curtailing their economic and social interactions and access to services and facilities.
- If access to water, other natural resources or services is disrupted as a result of Project activities, alternative sources/access will be facilitated by the Contractor whether on a temporary or permanent basis.
- If community buildings/facilities, such as schools or clinics, are affected by a project, they will be repaired to at least their previous condition, or replaced in areas identified in consultation with affected communities and the relevant authorities.

Consultation and coordination will occur between government ministries regarding any impacts that a project may have on government assets.

## 7.8 Valuation Responsibility

The Woreda Environmental Protection and Land Administration offices in rural areas is responsible for implementation of land acquisition based on directives and guidelines issued by Regional Bureaus of Agriculture. The technical committees in the Woreda administrations will be requested to value affected assets/properties based on the full replacement cost principle (which includes transaction cost such as labor and transport costs). The proclamation 1161/2019 allows for certified private valuers may also be engaged where available. Valuation committee should include persons with expertise in valuation and the committee should have adequate capacity (time and resources) to conduct the valuation as per the RF. The project should provide support to ensure that valuation is conducted as per the requirements of the RF.

## 8. Procedures for Delivery of Entitlements

Compensation to PAPS will follow the following principles:

- Compensation shall be paid prior to physical and economic displacement.
- Compensation will be at full replacement cost using the current market value plus transaction cost or more.
- Project affected persons will be notified and given adequate time to salvage any useful assets before total demolition by the project.

The procedure for delivery of entitlements will be detailed in each RP and the Project will ensure the following procedures are followed:

- a) Full payment of compensation is carried out before possession of acquired sites
- b) Land/Asset Valuation Committee communicates the amount to be paid to the acquiring agency and the Lands Bureau will ensure that the amounts are fair and adequate.
- c) IDRP and the relevant Woreda resettlement and compensation committee formally makes an offer to affected persons and allow persons to accept or reject offer and seek redress under the grievance procedures established
- d) Payments are made to the affected person personally by the finance officer and in the presence of Land/Asset Valuation Committee and an independent witness of the affected person. It is advisable that in the case of Households, payment should be made to the head of the household and the spouse (as culturally appropriate). This will apply if to female heads of households.
- e) Cheques shall be the preferred and first mode of payment; however, other forms of payment including bank draft or cash may considered depending on availability and accessibility of bank. The mode of payment should be explained to the PAPS.
- f) Proper receipts are issued, and copies given to the affected person, and the relevant offices including the project owner.

- g) Comprehensive Reports on payment made are submitted for review by the project and valuation committee
- h) In-kind compensation will be provided in the form of materials required to re-erect affected structures at no less than the existing standard of the asset being displaced by the project. Such in kind compensation will be made prior to the destruction of the pre-project assets, such that no loss of shelter and/or income-generating activities occurs as result of the project.

## 9. Mechanism for Voluntary Donation of Land (VLD): Procedure and Records

IDRMP project will be implemented in some of the agro-pastoral areas with customary land administration where VLD for public investment projects is a common practice. However, VLD can also be open to abuse and coercion with potential adverse impacts if such donations are not properly planned, consulted and documented, and when they involve vulnerable and disadvantaged groups. Clear guidelines is therefore needed VLD practices to mitigate any adverse impacts.

VLD is acceptable when it is done based on informed consent and understanding the power of choice (or the decline donation). The informed consent and option of not donating should be documented. Other VLD principles are outlined below to ensure that donations are indeed voluntary, that the donor is the legitimate owner of such lands, and that the donor is fully informed of the purpose of the donation and of the implications of donating the property. If the land is donated on a conditional basis, the terms and conditions for the temporary use of the property must be clearly documented. Each instance of VLD in a sub-project must be documented. This requires written notification indicating the location and amount of land that is donated and its intended use and a formal statement of donation, establishing informed consent and signed by each owner or user involved. Taxes to be paid by the land donor for registration of the land transfer, if applicable, should be covered in full by the project proponent.

The project proponent will in all instances of VLD compile a report of the of the process as well as associated records and documents and forward a copy to the World Bank prior to commencement of civil works as required. (See Annex 6 for Voluntary Land Donation form)

### 9.1 Voluntary Land Donation principles

1. The infrastructure must not be site specific
2. The impacts must be minor, that is, involve no more than 10 percent of the area of any holding and require no physical relocation
3. The land required to meet technical project criteria must be identified by the affected community, not by line agencies or project authorities (nonetheless, technical authorities can help ensure that the land is appropriate for project purposes and that the project will produce no health or environmental safety hazards).
4. Verification (e.g., witnessed statements) of the voluntary nature of land donations must be obtained from *each* person donating land.
5. If any loss of income or physical displacement is envisaged, verification of voluntary acceptance of community-devised mitigatory measures must be obtained from those expected to be adversely affected.
6. Any portion of donated land that is not used for its agreed purpose is returned to the donor.

7. Impacts of proposed activities on donated land must be fully explained to the donor.
8. The potential donor is aware that refusal is an option, and that right of refusal is specified in the donation document the donor will sign.
9. The act of donation is undertaken without coercion, manipulation, or any form of pressure on the part of the developer, the public or traditional authorities.
10. The land in question must be free of squatters, encroachers, or other claims or encumbrances
11. Land to be donated is free from any dispute on ownership, squatters, encroachers; and
12. Grievance mechanisms must be available.

## 10. Physical Displacement and relocation plan

EIDRMP sub project activities for flood risk reduction may cause the physical displacement and relocation of residents and businesses from the land they occupy. Physical displacement is one of the most severe consequences of project implementation with adverse economic, social and psychological impacts. In such occurrences, detailed plan on the relocation should be prepared as part of the RP.

the RP should ensure that Physically displaced should be given:

- 1) feasible resettlement options including adequate replacement housing or cash compensation
- 2) relocation assistance suited to the needs of each group of displaced persons
- 3) relocation sites should be equivalent to previous living conditions and meet the prevailing minimum codes or standards
- 4) both displaced and host communities need to be consulted
- 5) displaced persons preferences in relocating in pre-existing communities and groups will be respected
- 6) relocated persons are assisted during transition
- 7) measures are taken to ensure smooth integration with host communities ensured.

A relocation plan will be developed in close consultation with relocated households and should allocate sufficient budget and implementation schedule and establish entitlements of relocated and host communities. Special attention should be given to gender aspects and vulnerable groups. The project will document all transactions to acquire land rights, provision of compensation and other assistance with relocation activities.

Additional measures to be included for physical relocation plan

**Relocation Assistance:** The RP should describe the assistance to be provided for relocation of households and their possessions (or businesses, equipment, and inventory). Where resettlement sites are not ready, the RP should describe the transitional allowances that will cover the temporary rental expenses and other costs until occupancy is available

**Site Selection, site preparation and relocation:** The process will require proper planning and coordination and the RP should outline the institutional and technical arrangements for identifying and preparing relocation sites (rural or urban) considering the following key aspects a) productive potential, location advantage, and other advantages compared to previous location and the time needed to acquire land and other resources b) considering supplemental resources for improving local conditions such as improvements in infrastructure, facilities and services c) measures to prevent land speculation and influx of people d) outlining procedures for relocation, timetable for site preparation and transfer e) regularizing tenure, transferring titles and security of tenure for those who lack full legal rights to land.

Site selection in the context of EIDRMP should consider the differentiated land uses as well as competition over land between agro pastoral livelihood and farming. Other socio-cultural considerations are critical in selection of sites for relocation. Consultation with communities, and community leaders of both relocated and host communities is critical to ensure that relocation sites are acceptable by all parties.

**Housing, Infrastructure and Social Services:** The relocation plan should map the availability of basic social services and other infrastructure in the new relocation sites taking into account the level of services available for the host communities. Site plan for development, engineering and architectural designs for facilities should be made in close consultation with relocated and host communities.

**Consultation on relocation arrangements:** Clear and accessible communication is required on relocation plans, the options of affected households, their preferences for assistance and transitional arrangements, sustaining existing patterns of group organizations, for relocation of or retaining access to cultural and values (worship places, pilgrimage centers)

**Integration with host community:** Consultation with host communities and local stakeholders is important for smooth relocation process. Arrangements for payments for land or other provisions for the relocation site need to be clarified. Consultation with host communities, community leaders and local authorities is critical in identifying potential conflicts and mechanisms for addressing them any measures to improve the conditions of social services to meet increased demand and make them comparable to services in relocation sites.

## **11. Economic Displacement and Income and Livelihood Restoration Plan**

The paramount principle of ESS 5 is that where people are affected by land take, the aim of resettlement must be that they should be “no worse-off if not better off” after the resettlement has taken place and resettlement should be considered as a development opportunity to improve the lives of poor people.

Livelihood restoration is required for people who are physically displaced as well as those whose livelihood is adversely affected by loss of land. Livelihood planning will seek to allow affected persons to improve or at least restore their incomes or livelihoods. Depending on the scale, the livelihood restoration plan could be a standalone document or form part of the RP.

Economically and physically displaced PAPs in addition to the compensation entitlements described should be supported to ensure that their income and livelihood are restored. The livelihood restoration should be prepared as part of the RP or as a standalone document.

A livelihood restoration plan may include preferential project employment arrangements, development of income earning group or individual activities, facilitation of credit, skills development for employment opportunities, or project-based benefit sharing arrangements that could benefit project affected persons and wider community.

Livelihood restoration plans should ensure inclusion and equitable benefit of vulnerable groups including women, young people.

The resettlement plan with livelihood restoration will entail description of livelihood baseline, establish the entitlement of affected persons paying attention to gender aspects and needs of vulnerable sections of PAPs.

The plan will evaluate measures or opportunities under the project to allow for continued access to affected resources or to provide access to alternative resources with equivalent livelihood earning potential and accessibility.

The plan will ensure that, assessment and establishment of entitlement are conducted in a transparent, consistent, and equitable manner. The plan will incorporate budget, timelines for implementation and arrangements to monitor the effectiveness of livelihood measures during implementation, as well as evaluation once implementation is completed.

The mitigation of livelihood displacement will be considered complete when the completion audit concludes that affected persons have received all the assistance for which they are eligible and have been provided with adequate opportunity to reestablish their livelihoods.

Any compensation for resettlement or loss of assets, relocation and income and livelihood restoration due to EIDRMP will be funded by the project owner and will comply with the financial arrangements agreed upon at project appraisal. Responsibility for establishing and maintaining acceptable financial management arrangements for the project will be handled by the Ministry of Water and Energy.



## 12. Specific Measures for Vulnerable Groups

Despite the Project has a positive impact on the vulnerable people and women in various aspects, impacts related to gender and other sources of vulnerability requires the development of appropriate approaches. Vulnerable groups including historically disadvantaged communities (such as pastoral communities), landless and daily laborers, occupational categories, unemployed young people, women (female headed households) and persons with disabilities are likely to be adversely affected by project activities. Specific measures are therefore necessary be taken to mitigate adverse impacts on vulnerable groups.

The project will undertake the following measures to ensure that women and other vulnerable groups are not put in a disadvantage.

Identifying the vulnerable groups and their needs: The project will identify vulnerable members of the community through social assessment and inclusive and participatory consultation to be conducted during preparation of RP. Identification of vulnerable groups in a specific area will require consultation with relevant stakeholders such as the local women and social affairs offices, health and education offices as well as community leaders and non-governmental organizations. .

Meaningful and participatory consultation process should be conducted with historically disadvantaged vulnerable groups to identify the project impacts and the specific needs and measures to mitigate adverse impacts. Consultations should take into account the need to use local language understandable the groups, mobility constraints, cultural considerations. and understanding that sSome cultures may restrict limit the participation of some groups. Time and place of consultation should not be an obstacle for stop participation of women and persons with disability.

Household gender dynamics may affect whether how women could benefit from mitigation actions. , that sSome project impact such as physical relocation may affect women more due to loss of social support systems to perform their social roles. Relocations may also increase the risk of GBV and affect access to vital services for persons with disabilities.

The following specific procedures will be followed for Historically Underserved Communities meeting the requirements of ESS7:

Consultations involving historically underserved communities should include communities representative bodies and organizations ( council of elders or village council or chieftains and other community members. Sufficient time should be given for the consultations and communities should be given the opportunity to participate in the design of specific project activities to mitigate the adverse impact of sub project activities.

Historically underserved Communities may not possess legal title to land as defined by national law, their use of the land, including seasonal or cyclical use, for their livelihoods, or for cultural,

ceremonial, and spiritual purposes that define their identity and community, can often be substantiated and documented.

Depending on scale of impact, the project will conduct assessment and produce vulnerable groups support plan with detailed budget and implementation schedule. The Ministry of Water and Energy and participating Woredas are the main responsible bodies for implementation of such plan.

If sub project activities cause loss of customary land, cause relocation of underserved communities or cause alienation from the natural and cultural resources of underserved communities a free, informed and prior consultation (FIPC) is required .

This process of economic and social dislocation could, and often **does, exacerbate existing gender disparities and inequalities**. In many societies, women do not enjoy land and property rights, or enjoy them only on paper. They have lower levels of education than do men, work in the informal sector, experience restricted mobility, and carry responsibilities for meeting basic needs such as water, fuel, and fodder. Hence, economic, and social disruption may result in greater hardships for women than for men.

In all situations of change, affected persons - individually and as a community - are differentially impacted. Gender is an important factor in determining differential impact. Typically, the focus of resettlement planning is at the household level. Failure to understand intrahousehold dynamics is more likely to adversely affect women than men. At the policy and institutional level, inherent societal biases may preclude women from benefiting from opportunities provided through the project. Gender issues in resettlement cannot be adequately addressed unless rights and equity concerns are identified, confronted, and tackled.

## **12.1 Gender Issues in Resettlement**

- *Lack of landownership and property rights denies women equal access to compensation.*

In most projects, compensation, resettlement, and rehabilitation are based on legal ownership of land and property. In many societies, women may not have legal rights to land and property, even though they may have enjoyed user rights or been dependent on them. Hence, they are not eligible for compensation and other benefits that may be available.

- *Restoration of livelihood and income is equally important to women and men.*

Women are largely engaged in the informal sector—gathering forest produce, working in the fields, or selling produce. Women’s economic activities can be an important source of income for households. Dislocation can result in loss of livelihood, adding to women’s economic hardships. Therefore, it is important to enumerate women’s economic activities in planning and executing resettlement programs. Low levels of training and education among women limit the choice of alternatives packages may include compensation opportunities for alternative occupations. Choices for exploring alternatives and livelihood options for women are limited because of their

low levels of skills, education, and exposure. Planning for occupational and livelihood options for women is crucial.

*Existing intra-household gender disparities may become aggravated.*

Gender disparities that already exist in society and within the family tend to become aggravated in situations of involuntary displacement, rendering women and children, especially female children, vulnerable. This may manifest itself in greater morbidity or violence or fall in nutritional status. Equity in intra-household distribution of resources should not be assumed.

*Involuntary dislocation could increase the burden on women.*

Generally, women are responsible for food, fuel, and fodder in the family. Often, fuel and fodder can become scarce because of negative environmental effects on natural resources like forest, water, and land. This can have direct impact on women because they are responsible for gathering fuel and fodder. Unless this impact is addressed in resettlement planning and execution, it could result in women spending more time and resources accessing these basic needs. Also, loss of grazing areas could result in sale of livestock.

*Restricted mobility and limited exposure affect women's ability to adjust.*

Being less mobile than men, women's universe is more restricted. Hence, they have limited ability to cope with and adjust to new situations and environments.

*Social impact of dislocation tends to affect women more than men.*

Breakdown of community and other social networks as a direct result of dislocation can affect women more than men because women rely and depend on community and other social networks for emotional and practical support, such as taking care of children. Dislocation can be traumatic if these networks break down.

*Increased risk of Gender Based Violence because of displacement.*

Alcoholism, prostitution, and gambling resulting from displacement affect the lives and status of women. Women are sometimes forced to face new forms of violence, such as sexual abuse and prostitution. Gender disparities embedded in social practice and tradition render women vulnerable to sexual and physical violence.

The project will undertake the following measures to ensure that women and other vulnerable groups are not put in a disadvantage. Based on social assessments conducted for the project activities and considering the cultural specificities and sensitivities on gender issues the project could consider the following to ensure that women and other vulnerable groups are not put in a disadvantage.

The following steps

- Ensure representation and presence of women from different socio-economic groups in all meetings
- Ensure that meetings/consultations are organized at a time when women find it convenient to attend, so that maximum participation can be ensured.

- Take care to ensure that the venue for meetings is based on discussions with the women so they can feel free and uninhibited in their discussions.
- Involve women in the compensation process for affected persons
- Consider female facilitators or work through women's groups or networks - formal or informal
- Consider separate meetings for women.
- Ensure women's involvement in preparation and review of resettlement plans.
- It is important that women's associations are vested with authority, both within their communities and within wider regional and state processes. This will pre-empt situations where women are more tokens in decision-making processes.
- Ensure women's involvement and participation in implementation and monitoring and ensure documentation of the participatory exercise.
- Work with women's rights organizations in the project area

During implementation of EIDRMP and sub-projects, PAPs will need to be compensated, in accordance with this RF and subsequent RPs before commencement of civil works. Proper timing and coordination of the civil works shall ensure that no affected persons will be displaced (economically or physically) due to civil works activity, before compensation is paid and before any project activity can begin.

## 13. Stakeholder Engagement, Public Consultation and Disclosure Procedure

Public consultation/participation is a continuous process which identifies and discusses the key issues and impacts of the proposed project by the stakeholders. The main objective of the public consultation is to consult the community about the proposed sub-project activities to get their support throughout the implementation of the project. Consultations will be conducted in accordance with ESS10 and the project's SEP.

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 will target a) the public at large in influence; b) the affected communities in the proposed sub-project activities.

Different methods can be used for public consultation such as interviews, questionnaires and focus group discussions, community meetings, and public hearings. The public consultations 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. The focal person for the project at Woreda level and the relevant Woreda offices along with respective stakeholders 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
- The resettlement plan and various degrees of project impact
  - Details of entitlements under the resettlement plan, 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 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 they shall attempt to ensure that all vulnerable groups and women understand the process and that their needs are specifically taken into consideration.

Participatory consultation process with vulnerable groups should be conducted with due attention to need to use local language understandable the groups, mobility constraints, cultural considerations. Some cultures may restrict the participation of some groups. Time and place of consultation should not be an obstacle for participation of women and persons with disability.

Similarly household gender dynamics may affect whether women could benefit from mitigation actions. Some project impact such as physical relocation may affect women more due to loss of social support systems to perform their social roles. Relocations may also increase the risk of GBV and affect access to vital services for persons with disabilities.

#### 14.1 Free Prior Informed Consultation (FPIC) with Vulnerable groups meeting requirements of ESS 7:

The following procedure is proposed to ensure free prior and informed consent when conducting consultation with historically underserved communities that WB ESS 7 applies

Prior and Informed Consent (FPIC), refers to the process, under certain specific circumstances set out below, whereby Vulnerable Groups, will be consulted in good faith based on sufficient and timely information concerning the benefits and disadvantages of a project and how the anticipated activities occur. Consent refers to the collective support of affected VGs for the project activities that affect them, reached through a culturally appropriate process. It may exist even if some individuals or groups object to such project activities. FPIC does not require unanimity and may be achieved even when individuals or groups within or among affected VGs explicitly disagree.

FPIC would be applied when subprojects: a) have adverse impacts on land and natural resources subject to traditional ownership or under customary use or occupation; b) cause relocation of VGs from land and natural resources subject to traditional ownership or under customary use or occupation; or c) have significant impacts on the cultural heritage of VGs that is material to their identity and/or cultural, ceremonial, or spiritual aspects of their lives.<sup>3</sup> Where applicable, FPIC applies to project design, implementation arrangements and expected outcomes related to risks and impacts on the affected VGs. It builds on and expands the process of meaningful consultation that should be established through good faith negotiation between Program and the VGs.

The Project will document: (i) the mutually accepted process to carry out good faith negotiations that has been agreed by the Borrower and the VGs; and (ii) the outcome of the good faith negotiations between the Borrower and VGs, including all agreements reached as well as dissenting views. . Where applicable, FPIC will be conducted at each stage of the program, particularly during the initial stages of the Program to incorporate VGs views and support.

The participatory stakeholder's engagement and, where applicable, the FPIC results will determine whether to proceed with a respective sub-project or not. In case it is agreed to proceed, the following are documented by the project: a. The findings of the stakeholder engagements; b. Where applicable, the process of FPIC with the affected VG communities. This would include additional measures, such as project design modification, to address adverse effects on the VGs and to provide them with culturally appropriate project benefits; c. Recommendations for an FPIC process with PAPs and participation by VGs during project implementation, monitoring, and evaluation; and d. Any formal agreements reached with VGs. The Consultation process will document the community general assembly minutes with attendance lists and VG members' lists, photographic evidence and minutes of other meetings and/or back-to office reports

### **13.1 Objectives of the Public Consultations**

The main objective of the public consultation is to consult the community about the proposed sub-project activities 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, 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.

## **13.2 Consultation and Participation Process**

Land taking, Relocation, or compensating people requires communication and dialogue with the stakeholders. Consultation commences from early planning and identification stage. Following the completion of the design or the design review of the sub projects and screening, potentially affected PAPs will be consulted individually and in groups depending on the context. The consultation and participation process will include four phases: i) data collection; ii) preparation and planning of operations; iii) implementation ; 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.

### **13.2.1 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. 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, community leaders and community organizations and other concerned bodies as required. The project focal person at Kebele/ Woreda will be present.

The meetings will ensure inclusiveness of vulnerable groups and women and that meetings are conducted in accessible language and in culturally acceptable manner.

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 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:

- Scope of anticipated project impacts (potentially affected land and property and other social impacts)
- The timing and duration of project impact -both permanent and temporary
- 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 gaps of community leaders, PAPs and Wereda and authorities, and technicians will be developed through the workshops.

### **13.2.2 Data Collection Phase**

In the data collection phase, the following organizations and groups at Kebele/Woreda are identified as key actors for its implementation.

- The Water and Energy office
- Agriculture and natural resources/
- rural land administration
- Livestock and Fisheries Office.
- Women and social affairs office
- Disaster risk management office
- Kebele/Woreda 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 Woreda 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 EIDRMP sites will be informed about actions to be 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.

### **13.2.3 Implementation Phase**



As stipulated in the Ethiopian legal framework and the ESS (presented in this RF), development projects should not impoverish the people within the project areas. Rather, the PAPs should gain from the projects. The Woreda/Kebele administrations, and other relevant bodies will conduct the execution of the expropriation/compensation activities. PAPs will be consulted about the compensation arrangements prepared. On this basis, therefore, the pertinent Woredas or regional entities 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 Office
- The Regional/Zonal/woreda Rural Land Administration office
- Woreda Water and Energy office
- Woreda Disaster Risk Management
- The woreda finance and Economic Cooperation office
- Woreda Women and Social Affairs 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 MoA, BOA, and other relevant Bureau will take part in follow-up, support and monitoring and evaluation aspects.

## **14. Consultations with Project Affected Communities**

Consultations were conducted with project affected persons in December 2021 in Bello Kebele, Sebetta Hawas Woreda, Finfine Special Zone of. Consultation was held recently (March 2022) with project affected communities in two adjacent/contiguous kebeles (Gora Leman of Bora Woreda, 64 and Gogeti Goro of Liben Chiquala Woreda, 25) in Eastern Shoa Zone of Oromia Region and an area that is part of the Awash Valley Basin. . The main purpose of the consultations was to asses: a)whether flood vulnerable communities have information about the project 2) if there is community support for the planned activities b) what concerns, and issues exist regarding the project c) and any recommendations that should be considered. ( See annex 7 for list of participants)

The residents explained their vulnerability to flood and the adverse impacts it continued to have on their communities in the form of loss of lives, farmland, structures and property since the 1970s. During those time, the main cause of flooding was the overflow of the river to the surrounding plain areas. In recent decades however, the river Awash often breaks out of its natural course and floods much wider area than it used to making the flooding pattern unpredictable.

Agricultural and horticulture crops are destroyed in the communities in the two kebeles, and despite the availability of land for cultivation, they have become increasingly dependent on buying food from the market. However, with the rising cost of living, many are forced to rely on food hand out from government.

PAPs explained the multiple loss they suffer. Flooding causes damage to farms, structures, furniture and household items. PAPs are expected to pay taxes for land even though they are unable to cultivate it due to flooding. They mentioned that while they have adequate cultivable land in the kebeles, the flooding stopped them from producing their own food and rely instead on buying from the market. The rise in cost of food means that they do not have enough to provide for their families.

The vulnerable groups in the area include women, elderly and persons with disability as well as farm workers. The mobility constraints by women and other vulnerable groups means they are unable to move to safe places and stay with families during flooding. The women explained that they take the animals and their children to higher grounds and leave them there without sufficient food and fodder until the flood recedes. They also mentioned that sudden flooding destroys

farms and vital assets of the poor such as livestock, furniture and other household materials. The recovery from impact of flooding is slow for vulnerable households. In the past few years, government has started constructing dikes and other flood protection structures to reduce risks of flooding. However, due to poor planning, the flood protection structures are left incomplete. Poor timing of construction activities, inadequate allocation of budget for construction and maintenance and poor quality of construction are main causes for continued flood vulnerability of communities. The PAPs mentioned that the poor quality of constructions created a false sense of safety among the community and the poor construction has made flooding patterns increasingly unpredictable causing sever damages to farms and structures.

Communities in the two kebeles are aware that the flood protection structures and dikes will require land, and that communal and individual land will be impacted. The women and the community members consulted are hopeful that the construction of dikes and other structures will enable them to produce three or four times a year in the remaining land and compensate for the loss. Due to availability of land in the kebles, the average land holding per household is reasonably high (ranging from minimum 1.25 ha to 4 ha), and the impact on land for subproject activities is expected to be limited, as compared to the loss they suffer as result of not having the envisaged flood control investment structures. The PAPs also suggested that where the impact happens to be significant, the affected households can and should be compensated of their loss by making arrangements through allocations from communal lands available in the respective communities.

The consultation with PAPs on the proposed project activities highlighted some of the adverse impacts on the livelihood of youth groups who are engaged in sand extraction for sell from the Awash River, access to water for irrigation and animal watering, loss of fertile land for farming due to loss of silt accumulation caused by flooding, the loss of communal land for grazing and pressure on services due to labor migration from surrounding areas.



The project may adversely impact on sand extraction activities in the riverbanks by young people in the two kebeles. There is an ongoing consultation with the youth groups to mitigate the potential impact by allocating communal land that is not being used due to flooding. The protection of flood while enabling to expand cultivable land and harvesting three to four times a year, flooding also provides fertile soil in the form of silt accumulation. Flood protection activity could result in reduction of productivity of land over the years as the accumulation of silt after flooding reduces the fertility of the soil. Increased use of compost and fertilizer is expected to mitigate this impact and improve soil fertility.

Access to water for irrigation and animal watering may be affected by the construction of dikes and structures. Although this could be a problem, the participants suggested that rump like a structure be built to allow for animal watering. Similarly, participants suggested that water pumps and hand dug wells can be used for irrigation.

Project affected persons mentioned that the construction of dikes could impact some of the communal land that is used by neighboring communities as grazing land. The PAPs mentioned that consultation was conducted in the past with these communities and alternative grazing land are being identified. The expected increase in agricultural production in the area and increased investment is expected to attract labor from surrounding areas. The PAPs also mentioned due to flooding the social services such as schools and health posts are located far from the communities (e.g., the nearest school is 5 kms away from Bora Kebele). The PAPs mentioned that the project will improve their access to social services as the government will be able to build the health posts and schools. The communities will be able to effectively use their communal land for such and other purposes.



The project affected persons mentioned that important cultural and ritual practices conducted under trees and the river banks (e.g. the annual Irrecha customary blessing and thanks giving ritual,) can be impacted by the construction of dikes and other structures. The PAPs, based on previous experiences, suggested that areas dedicated for cultural practices should be preserved and provisions should be made during construction to ensure access to the water for conducting the Irrecha ceremony and other cultural practices.



#### Recommendations:

The lack of integrated planning and management of flood: Communities in living in flood risk zone of the Upper Awash attributed part of the cause of flood vulnerability to the low participation of communities in the upper catchment areas in soil and water conservation programs. There is low level of awareness and poor planning on the part of communities in upper catchment area are less impacted by flood. There is a need to have an integrated approach to flood risk management where the flood protection activities in lower and upper catchment areas are planned and implemented in a coordinated manner. The farmers believe that flood control measure should start from downstream and should progress upstream on a planned matter.

Poor quality of construction of structures for flood protection: Based on their experiences, communities expressed the poor quality of construction of physical and non-physical flood protection structures, lack of supervision on quality of work as well as absence of planned and timely maintenance of these structures and general lack of ownership of such physical infrastructure and soil and water protection activities have exposed communities to flood vulnerabilities.

**Gaps in Community Consultation:** There was also a general feeling of lack of proper and on-going consultation with communities and that consultations are seen as one-time events. The participants underscored the need for adequate consultation to get consent for land donation as in the context of limited availability of communal land for construction purposes. Where land acquisition is necessary, compensation payments should be completed prior to land take.

**Uncoordinated and ineffective response to flood risks:** Communities expressed frustration on the reactive nature of government offices to flood risks and the delays in releasing the necessary budget and material resources to reduce the damages that flooding cause. There are no good plans in place for early warning. Timing for flood prevention activities do not take into account the flooding events and post flooding actions to reduce damage or to mitigate are inadequate.

### Summary of Consultations with Afar communities

In the context of challenges in access some communities in lower Awash sub basin area, consultation in Afar was conducted in Amibara Woreda, Keb Buri and Sidaha Fagi Kebeles. A total of 40 project affected persons (35 male and 15 female) and 30 participants from Sidaha Fagi kebele (25 male and 5 female) took part in the consultation. The main findings are summarized below:

Basic services like water, health, education and access to basic infrastructures are the major concerns in underserved low land regions like Afar. The major demand of the participants is access to water supply for human, livestock animals; small scale irrigation and water for pasture and crop cultivation. Basic social services such as health service for human, livestock animals' health and preventing animal disease are also critical issues in the region. Health facilities for human are not fully functional and they have a serious shortage of drugs and devices that enable them to deliver appropriate and standardized health service. Both gender based violence (sexual assault, abduction and rape) and harmful traditional practices (Genital Mutilation, early marriage and inheritance marriage) are common in Afar.

Community members are well aware of the potential impact of sub project activities in terms of possible land acquisition or restriction of access to communal use natural resources. When compared to the challenges faced in accessing basic services, in sustaining livelihood and adverse environmental impacts they are currently facing, 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, the approach should be with thorough discussion with community, elders, religious leaders/fathers, clan leaders and indigenous institutions before starting implementation of such activities and there should be participatory community consultation when project begins implementation. There will be no involuntary donation of land or any coercion to give up communal or individual land. This particularly important in Afar region where most of land are communally owned and managed by the clan.

No one can exploit Communal land without the permission of the Clan. In the case where land used by individuals is needed for project activities, the community has culture to compensate the

affected people in other forms (other than in cash) such as goats, camels, sheep, etc. the risk of elite capture and/or different interest groups including traditional authority structures in influencing community's prioritization and manipulation of subprojects as well as the need for careful design of consultations with all clans (both the smaller and larger dominant clans) present in project areas to avoid potential conflicts during implementation. Consultation should take into consideration the pattern of mobile pastoralism or migration of humans and their livestock to ensure that these underserved communities adequately benefit from project implementation.

The participation of women in the discussions were limited and separate sessions were held to understand their concerns. Regarding access to land, entitlement and property right of women is limited. Overall, there is awareness of government policies and legislations regarding women's equality in general and their legal land (and property) right. Yet, a few think that these policies and laws are not effective in practice. The co-existence of local customary practices and formal laws seems to have compromised the realization of women's rights as illustrated in legislations and policy documents.

#### Stakeholder Consultation with Government Agencies

Consultation was also conducted with key stakeholders for ESMF/RF preparation. The main stakeholder consulted included key personnel from the Federal level project implementing agencies of Ministry of Water and Energy List. (See Annex 8)

#### Summary of findings

The stakeholders agree on the benefits of the project to protect local population from flood causing displacement, loss of life, livestock and property. The project interventions will protect communities from flood disasters while improving the use of water resources for agriculture, sustainable water supply for small irrigation, and livestock that in turn results in improving the income, employment, livelihood and standard of living of the population in the Basins.

Some of the risks associated with the project highlighted include a) increased risk of flooding problem in downstream areas as the dike is expected to protect water in the river course resulting in the increase of the volume of the river b) obstructing human and livestock movement across the river owing to the increase in the volume of the river mainly in downstream areas c) obstructing access to the traditional communal pasturelands causing scarcity of grazing and bruising resources on which the livestock heavily rely, as the dike may block the river water flowing out and inundate the areas around d) adverse impact on traditional small irrigation schemes along the river courses due to construction of certain structures such as dikes.

The consultations have pointed to important measures that need to be taken during planning implementation of sub project activities. These include well prepared and organized consultation of potentially affected communities and other stakeholders on sub project activities to ensure concerns are properly integrated in the design of the sub projects as well as in the preparation of social and environmental mitigation plan. Secondly, there should be a strong system of monitoring the implementation of risk mitigation measures both by internal resources of the implementing

agency as well as with external agency given the severity of potential risks associated with project activities.

## 15. Institutional Responsibilities for The Implementation Of RF/RP

The implementation of the RF and the subsequent development and implementation of RP consistent with RF is the responsibility of the PIU and the social development specialist in the PIU.

To ensure the success of the resettlement plan requires an appropriate institutional framework both at agency and field levels. It is therefore important to identify as early as possible in project preparation the appropriate agencies to be mandated to carry out the various activities set out in the RF.

### 15.1 The National Project Coordination (NPCU)

The PMU/NPC under the ministry of Water and Energy is responsible for the overall planning, implementation, and monitoring of the RF. The Ministry of Water and Energy shall have oversight role and overall responsibility. The PMU/NPC will assign well qualified Environmental and Social Specialists within the NPC to be responsible for all the social and environmental management of EIDRMP including the implementation of the RF and the project grievance mechanism for resettlement

*Planning and implementation:* The NPC Environmental and Social Specialists will be responsible for providing oversight on screening, for conducting Environmental and Social Impact Assessments, and preparation of Environmental Management Plans / Resettlement Plans and other risk management plans.

- The Social Specialist will ensure that the principles of avoiding or minimizing relocation and resettlement is considered in developing sub-projects.

Ensure that land acquisition process is initiated where it is required, and resettlement plans are prepared consistent with the RF

- Ensure that bidding documents contain environmental and social clauses and that contractors fully implement those clauses

Develop TOR for preparation of specific risk mitigation instruments, monitor the quality of work of consultant and review reports to be submitted for PMO and World Bank for approval.

Support Woreda resettlement committees and Woreda administration for implementing ‘accountability, transparency and fairness’ as stated in the Federal law of land acquisition 1161/2019 are implemented.

Work with local compensation and valuation committees to ensure qualified valuers are assigned in the committees and support their work (e.g., providing copies of available guidelines, proclamations and regulations related to land)

*Communication:* Ensure RF documents are disclosed on website of MoWE in Basin offices, woreda offices and other agencies as needed

Ensure the executive summary of the RF is translated in local languages and kept in Woreda offices and shared with communities

*Monitoring and Supervision:* Conducting site visits and monitor implementation of RF and RP consistent with Bank Environmental and Social Standards and national environmental laws and regulations are periodically carried out.

*Training:* Organize training for focal persons in Basin Offices, Woreda resettlement, compensation and valuation committees on RF, on participatory consultation, monitoring, grievance mechanism, gender issues in resettlement and others.

## **15.2 Basin Offices**

The Basin offices are important links between the PMU/NPC and the local communities. The three Basin offices will designate social and environmental focal persons for effective monitoring and implementation of RF.

- The focal persons will ensure community and stakeholder consultation is conducted in appropriate manner, ensure inclusiveness of the, ensure that the guidelines for voluntary land donation are followed, implemented, and documented as per the requirements of the RF.
- Work with the local community particularly the elders to prevent disputes and when they occur use the traditional mechanisms to resolve them.
- The social focal persons will support sub project screening and assessments and development of appropriate resettlement instruments outlined in the RF
- The social focal persons will communicate regularly and work closely with local administration and community leaders, elders, women and youth groups as well as contractors and other stakeholders in sub project sites and ensure the smooth implementation
- Conduct regular site monitoring of implementation of mitigation measures designed to reduce or minimize the negative social and economic impacts generated by project.
- Organize awareness raising and training on Grievance Mechanisms to ensure its functionality
- Collect data and prepare monthly report on progress regarding implementation of RF and RPs as appropriate to the NPC.



- Participate in the training and sensitization of beneficiaries to enhance understanding of the national laws on social safeguards and World Bank Environmental and Social Standard and risk mitigation instruments

Summary of Key Activities and Roles and Responsibilities for Planning, Implementation and monitoring of Resettlement.

No.	Activities	Responsibility
1	Setting a cut-off date for compensation eligibility	PIU in consultation with PAPs
2	Identifying affected groups and individuals that are eligible for compensation;	PIU in consultation with local stakeholders and community
3	Conducting socio-economic study/census;	PIU
4	Consulting with these groups and individuals	PIU
5	Identifying and assessing resulting impacts on people, assets and livelihoods;	PIU in consultation with local stakeholders
6	Conducting a valuation exercise	Valuation committee
7	Compensating and resettling the PAPs;	Woreda Land administration, in consultation with PIU and local stakeholders
8	Providing compensation and resettlement assistance completion report prior to commencement of civil works;	Woreda land administration
9	Conducting internal and external monitoring activities	PIU

### 15.3 Capacity Building

The implementing agency, MoWE as well as the Sub-Basin offices under the ministry do not have the required level of awareness, commitment and experience in managing environmental and social risks that meet the standards of the World Bank. Some of the implementing agencies are relatively new (NDRMC), some are under restructuring (e.g., Basin Development Agency is now part of the Ministry of Water and Energy) and others such as Sub- Basin offices including the proposed PMU and NPC are not yet in place. The consultation has made it clear that environmental and social risk management is a critical gap in the current condition in the various implementing agencies. In this regard, a team of qualified Environmental and Social specialists should be established in the NPC as soon as possible and focal persons identified in Sub-basin offices to closely monitor the implementation of ESMF/RF.

Ensuring full compliance with the policy standards of the government and the World Bank would require detailed operational and monitoring guideline for managing both social and environmental risks. This needs to be complemented with successive capacity building training on environmental and social risk management for all levels of implementing agencies. With the provision of such

capacity building support, PCUs and the safeguard specialists will be better placed to maintain quality standards of the technical advice they provide, the vetting/screening of proposals, as well as in the execution and monitoring of approved sub-projects.

Besides, in relation to the description of budget allocations and sources, it is necessary to clearly define in the appropriate project expenditures for safeguard-related costs for trainings, supervision, technical assistance, the conduct of sub-project specific environment and social assessments, and mitigation measures.

In addition, stakeholder consultation participants noted that external consultants deployed on competitive basis should carry out an assessment of compliance with safeguard issues as part project impact evaluation. Besides, unannounced random field monitoring visits are important to carry out an objective follow-up and observation of project implementation status. Such type of field monitoring can inform all those concerned about the facts on the ground that they may not always obtain in regular reporting formats that are normally filled in and submitted as reporting requirements.

As part of the capacity building component, EIDRMP will need to organize staff trainings in wide ranging aspect of environmental and social safeguards, the development of the required instruments, implementation and monitoring of compliance, and reporting.

In the implementation of RF it will be necessary for various institutional actors and other implementing of the RF and the resettlement plans to have training sessions on ESS 5 and on the risk mitigation instruments procedures and content of resettlement framework and resettlement plans to enhance their capacities. This will require the organization of training workshops which could be attended by representatives of various institutions involved in the implementation of RFs or RPs at the various levels. Such training shall be conducted in the in the framework of the overall capacity building plan for the implementation of the ESMF. Proposed training activities and budget are provided under section below (chapter 24) .

#### **15.4 Public Disclosure Plan**

The Basin Development Authority under the Ministry of Water and Energy will make copies of the RF available in selected public places (possibly at National and Regional relevant government offices) for information and comments. The Proposed project activities will be announced through different forms of media. The announcement will include a brief description of the programme, references as to where and when the RF can be viewed, duration of the display period, and contact information for comments.

For meaningful consultations between the project owner and local NGOs the Basin Development Authority shall provide a relevant material in a timely manner prior to consultation and in a form and language that are understandable and accessible to the groups being consulted.

Following the public consultation, all comments and briefs will be analyzed and report will be published and made available to the relevant stakeholder's and to interested bodies upon request.

In line with this, the RF will be available at the relevant institutions at all levels and be publicly disclosed both in the relevant country offices and at the World Bank's website. Copies of consultation reports should be made accessible through communications/public relation sections of relevant sector line ministries, radio announcement and press releases.

Any RP and other environmental and social risk management instruments that will be prepared for the proposed project activities under the project will also needed to be disclosed to the public. Copies of RP should be made available to communities and interested parties in accessible locations through local government authorities, (e.g., Woreda offices). Similarly, copies of the RP should also be provided to the implementing agencies. This will ensure record keeping of all activities implemented under the RPs and ensure that third party audits, if required, have adequate information when undertaking annual environmental and social audits at a later stage of project completion.

### **15.5 Disclosure of documentation related to the SECAP process**

The World Bank policy on the disclosure of documents adopted the principle of "presumption of full disclosure" The sharing of draft and final ESIA's and RPs and other relevant documents with programme and project stakeholders and interested parties will be subject to the above-mentioned principle. As such, the documents will be disclosed, when available, in a timely manner prior to project appraisal at the quality assurance stage on World Bank Website and in an accessible place or at the project-affected area, in a form and language understandable to project-affected parties and other stakeholders, for the purposes of keeping them informed and providing them meaningful feedback about the project.

## **16. Grievance Redress Mechanism**

### **16.1 World Bank Grievance Redress Service**

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 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, because 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](http://www.inspectionpanel.org).

EIDRMP sub project activities will be identified and designed in close consultation with communities and local governments since they are the primary beneficiaries of the project. Consultation forums and stakeholder meetings provide opportunities for clear communication of project and procedures, identify pertinent issues and redress complaints informally. The ESMF/RF ensure that potential environmental and social risks associated with sub project activities are avoided or minimized and mitigated . Activities are screened and checked for negative impacts using checklists prepared for the same purpose and corrective measures are taken.

Sub project activities may require land acquisition that could cause loss of assets, economic and physical displacement that could generate issues and grievances. The potential grievances that could be raised include the following:

- Mistakes related to identification and disagreements on boundaries between affected individual(s) and specifying their land parcels and associated development.
- Inventory mistakes made during census survey as well as inadequate valuation of properties
- Disagreements on plot/asset valuation.
- Disputed ownership of a given asset (two or more affected individual(s) claim on the same).
- Where affected individual(s) opt for a resettlement-based option, disagreement on the resettlement package (the location of the resettlement site does not suit them).

## **16.2 A project wide Grievance Mechanism (GM):**

Recognizing that formal legal mechanisms for grievance redress could be lengthy and acrimonious procedures EIDRMP will establish a grievance redress mechanism under the NPC. This will be instituted and will cover grievances related to project implementation compensation and resettlement. The Social Specialist in the NPC will be the focal person for filing grievances. The GM committee with representatives from the Federal Steering Committee (FSC) will handle grievances. Grievances will be received through a multi-channel grievance uptake including through telephone, e mails, social media as well as in person or in writing.

The GM will provide for anonymous reporting in ways that will ensure confidentiality and anonymity of complainants. This will largely create an enabling environment to allow for grievances to be raised by project affected persons without fear of victimization. The GM will ensure transparency and accountability in the handling of grievances related to eligibility, entitlements, measurement of asset, valuation, and other issues to people affected by the project.

The project will, through public media, website and other communications disseminate the contact details of the grievance focal person at NPC. The scope of the issues to be addressed in EIDRMP Grievance Mechanism (GM) will be all complaints arising from EIDRMP activity implementations. Any person within the project areas who has complaints regarding the activities of the EIDRMP subprojects during preparation, design, implementation and operation phases shall have access to the Mechanism. Multiple channels including phone, e mail, WhatsApp, Telegram, and other social media, in writing and in person will be used to file complaints.

The social development specialist at PMU/NPC should work closely with the grievance redress committees at various levels to redress grievances. Where the complainant is not satisfied with the decision of the Woreda Grievance Appeal Committee could submit complaints to the PMU which will designate a committee to review and make decisions. The decision of the designated grievance committee of the PMU will be final.

34. Grievance mechanism is established for the project should be culturally appropriate and accessible to affected Historically Underserved Communities, and takes into account the availability of judicial recourse and customary dispute settlement mechanisms among Historically Underserved Traditional Local Communities.

### **16.3 Local level Grievance Mechanism**

First Level: Considering the local situations, communication, and transport issues, kebele level grievance committees will be established. The committee will be the first point of entry for grievance at local level. The committee will be established with representation of local affected communities, women, and community leaders.

Following proper assessment, exiting cultural institutions for conflict resolution and grievance redress that are well respected by communities will be appropriately oriented and trained to serve as alternatives for handling first level grievances. Experience of projects implemented in agricultural and agropastoral communities have shown the important role that these institutions could play in mediation, negotiation and in addressing grievances.

Second Level: When decisions made over complaints submitted at the kebele level grievances are deemed if disputed by the aggrieved can be submitted to a grievance committee that will be established at the Woreda level. The committee will have a representation from communities in project area and Woreda level offices of land administration, water and energy office, finance office, Women and Social Affairs.

Third Level: After the complainant disputes the decision received by the Woreda Grievance Committee, the case can be submitted to the Woreda Appeal Committee that is chaired by the Woreda Administrator. The decision of the Appeal committee will be final, but case can be further pursued through formal legal procedures through the courts. To enhance ease of access, complainant may submit complaints in writing or otherwise at any level of the grievance structure including through the project grievance focal persons. However, the grievance redress procedures will follow the steps outlined below.

#### **16.3.1 Communication of Grievance Mechanism:**

EIDRMP in collaboration with project stakeholders at Woreda and Kebele levels will ensure that project grievance mechanisms and kebele and Woreda grievance committees are well popularized and disseminated (through project brochures and notice boards) to local communities, offices and public places.

The Land laws and regulations of Ethiopia provide two channels for grievance redress, one administrative and one legal. In the first instance, aggrieved person not satisfied with any of the

procedures, measurement, valuation, compensation or relocation may appeal to the grievance redress at the Woreda level and dissatisfied with the first grievance mechanism, the individual can appeal the decision to an appeal committee established at Woreda levels. If the decision of the appeal committee is not acceptable, the individual can resort to legal recourse to the Courts as a last option for resolution of the matter.

*Table 6 Grievance Mechanism- Steps and Time Frame*

<b>Grievance Levels</b>	<b>Steps</b>
<b>Kebele Level Grievance Investigation and Resolution Process</b>	Step 1. Complaint Form will be completed by any interested person or complainant and submitted to the focal person of kebele grievance committee
	Step 2: The Kebele Grievance Redress Committee register, review, investigate and resolve the matter within three days from the date of application is received.
	Step 3: The decision is provided in written form to the complainant. (All meetings/discussions will be recorded, documented and copies of the minutes will be sent to Woreda watershed team).
	Step 4: Based on the decision made, the project resettlement, compensation, and valuation committees as relevant will act accordingly.
	Step 5: If the complainant is not satisfied by the response given by the kebele grievance committee or if no response is received from the committee within seven days following the submission of complaint, the complainant can appeal to the traditional grievance redress institution (where such is assessed feasible and appropriate)
<b>Grievance Investigation and Resolution Process (GIRP) at the Traditional grievance redress institution Level</b>	Step 1: Appeal form will be completed by any interested person or complainant and submitted to designated focal person of traditional grievance redress institution
	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 Woreda level grievance Mechanism
<b>Woreda Level Grievance Investigation and Resolution Process</b>	Woreda grievance committee is designated by the Woreda administration and includes the head of Woreda administration, the head of Woreda land administration, head of woreda finance office and community representative.
	Step 1: Appeal form will be completed by any interested persons or complainant and submitted to EIDRMP focal person at Woreda Water and Energy Office.
	Step 2: Based on the appeal or complaint received from complainant, the EIDRMP focal person at

	<p>Woreda Water Office records the issues in the registry, assess the appeal or the grievance and will organize meeting(s) for a woreda steering committee.</p> <p>Step 3: The woreda steering committee will review the decision given at kebele 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 compliant. 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.</p>
<b>Woreda Appeals Committee</b>	<p>Step1: The Woreda Appeal committee will review the decisions of the Woreda Grievance committee and endorse it or if the appeal is considered valid, the appeal committee will make decisions accordingly and notify the complainant in two weeks (14 days) of receiving the appeal or complaint. The decision of the Woreda Appeals Committee will be final. Further complaints will be channeled through the formal legal procedures and the court.</p>



## **16.4 Grievance Redress Procedure and grievance management**

### **1 Reception and registration:**

PAP files complaints or grievances about any aspect of the resettlement project verbally, in writing or through a representative in accessible local language.

The complaint of the PAP is recorded by the grievance committee at kebele/woreda/ with the name of the complainant, address and location information, the nature of the grievance and the resolution desired.

Grievance made acknowledged within 48 hours of receipt by an official authorized to receive grievances

### **2 Resolution**

All grievances referred to the appropriate party for resolution and resolution made within seven days after receipt of grievance.

- If additional information is needed, project management can authorize additional seven days for resolution.
- Results of grievances disclosed to the griever in writing with an explanation of the basis of the decision.
- The resolution of the grievances will be handled by the “Social and Environmental Specialist” with the support of the Local Authorities and

### **3 Appeals**

- Complainants dissatisfied with the response to their grievance may file an appeal to Woreda appeal committee
- There will be no further redress available outside the resettlement project. In such cases, grievances would need to be pursued

**4 Monitoring** During project implementation and for at least 3 months following the completion of the project, monthly reports will be prepared by the project social focal person regarding the number and nature of grievances filed and made available to project management.

Procedure for managing grievances should be as follows:

1. Each person responsible at its own level (kebele/cultural mediation, Woreda Resettlement Committee, Woreda appeals committee) should disseminate their contact including phone number for in person or SMS complaints.
2. The EIDRMP/PMU social development officer/s will be liaison with PAPs in collaboration with the local government representative to ensure objectivity in the grievance process.
3. Any informal grievances will also be documented

## **16.5 Grievance log and response time**

The process of grievance redress will start with registration of the grievance/s to be addressed, for reference purposes and to enable progress updates of the cases. Thus, a Grievance Form will be completed by the person affected by the project affected person.

The grievance Log Form/Log should contain a record of the person responsible for an individual complaint, and records dates for the date the complaint was reported; date information on proposed corrective action sent to complainant (if appropriate), the date the complaint was closed out and the date response was sent to complainant. (see Annex 89grievance Log)

## **16.6 Gender Based Violence Related GM**

Regarding complaints related to Gender-Based Violence (GBV), sexual exploitation and abuse, the Woreda Women and Children Affairs office, which is legally mandated will be the first level referral pathway. The project will allocate resources for awareness creation on this GBV GM. The Woreda Women and Children Affairs Office will be provided with capacity building and orientation on the basic principles of GBV case management encompassing confidentiality, non-judgmental, service referrals for survivors, etc. The office will have a working procedure regarding the standards for services, referral, data collection, maintaining the best interest of the survivor.

## **17. Monitoring and Evaluation of RF**

### **17.1 Monitoring**

Monitoring is a continuing process throughout the life of the proposed sub- projects and investments under EIDRMP from installation and construction phase up to operation and decommissioning phase. The objective of monitoring is to track progress toward restoring PAPs living standards to pre-project level or better and to allow the implementing agency to take corrective actions if necessary.

The project will closely monitor the magnitude of impact of project activities on land , displacement, livelihood, access and use of resources and income. Quarterly progress reports on the identification and acquisition of land, progress in the compensation of PAPs and the level of their participation in project activities. These reports will be compiled by the respective Sub-Basin Offices and submitted to PMU/MoWE.

The RF/RP reports should include but not limited to the following relevant gender disaggregated data and information:

- Number of individuals relocated/resettled (in addition to households)
- Number of vulnerable people assisted:
- Type of support provided during the transition period
- Livelihoods compared to before
- Number of sub-projects requiring land acquisition
- Number of sub-projects requiring preparation of a RP,
- Number of sub-projects for which land was donated voluntarily and the documents relating to list of households who donated land and size of land donated
- Number of households and individuals physically or economically displaced by each sub-project, number of households resettled
- 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),
- Number of Relocation and livelihood restoration plans developed and implemented
- Number and type of grievances redress applications, type of grievance made, and manner of resolution; and
- Key issues that have been raised during monitoring and addressed
- Number of Consultations conducted with communities and stakeholders and key concerns and issues raised in relation to RP
- Number and type of capacity building training conducted in RF, Consultation, social assessment and other related topics

## **17.2 Evaluation**

Based on the comprehensive quarterly and annual monitoring and reviews, an end-of-project evaluation will take place, going into more details with some of the issues raised in the annual reviews and the impact of the capacity development activities. The evaluation will be performed to evaluate relevance, effectiveness, efficiency, impact, and sustainability of the project. The RF evaluation will focus on establishing whether the efforts to restore the living standards of the affected population have been properly designed and executed.

The following are the objectives of the evaluation:

- General assessment of the compliance of the implementation of the Resettlement with general objectives and methods as set in this document
- Assessment of the compliance of the implementation of the Resettlement Plans with laws, regulations and Social Standards and particularly ESS5
- Assessment of the consultation procedures that took place at individual and community level, together with the project and the relevant government agencies at various levels
- Assessment of fair, adequate and prompt compensation as they have been implemented
- Evaluation of the impact of the compensation on income and standard of living
- Identification of actions, as part of the on-going monitoring, to improve the positive impact of the program and mitigate its possible negative impact if any

Preferably the evaluation should take place after all RF activities have been completed including development initiatives, but before the financial commitments to the program are finished. This will allow the flexibility to undertake any corrective action that the auditors may recommend before the project is completed.

*Evaluation Indicators*

Similarly, the evaluation indicators are also summarized below:

The number of populations that would be affected, number of stakeholder engagement conducted and duration.

The numbers of PAPs relocated and numbers un-relocated based on initial estimates.

The number of compensations disbursed by type/ category of PAP, including the ability to comply with the terms of compensation contained in the RP.

% or number of grievances received, number resolved, and number left unresolved and why?

% or number of potential adverse impacts identified, number resolved, when?

•% or number of PAPs compensated and % or number that have regained their incomes activities

### **17.3 Completion Audit**

An audit will be carried out to determine whether the efforts to restore the living standards of the affected population have been properly designed and executed. This completion audit will verify that all physical inputs earmarked in the RP have been delivered and all services provided. The audit will also evaluate if the mitigation actions prescribed in the RP have had the desired effect. The baseline conditions of the affected parties before the relocation will be used as a measure against their socio-economic status after the resettlement.

To be effective, the completion audit will take place after all RP activities have been completed including development initiatives, but before the completion of financial commitments to the programme. This will allow for flexibility to undertake any corrective action that the auditors may recommend before the project is completed.

## **18. Budget**

Any cost associated with resettlement is an upfront investment and integral to the Project management. All restorative activities and compensation identified as part of RF process must be completed prior to commencement of civil works. EIDRMP will ensure budget for all screening, management and supervision associated with RF and RP implementation. The screening activities required under this RF may be carried out by the environmental and social specialists of the implementing agencies as part of existing budget allocation. Supervision of the implementation will be carried out by the PMU and budget for supervision and monitoring should be allocated in the project. No civil works will commence till such a time that resettlement impact has been screened and fully compensated. The budget required for RF implementation is related to capacity building needs of PMU/NPC, PCU, Sub-basin offices and other stakeholders in the implementation of the RP. The table should present costs associated with preparing the RAF and subsequent RPs. Please ensure the table includes: RF preparation; subproject screening activities; preparation of census, socio-economic study and RPs; monitoring RP implementation.

*Table 7 Tentative Budget*

<b>No.</b>	<b>Description</b>	<b>Budget (USD)</b>
<b>1.</b>	RF preparation	4,000
<b>2.</b>	Sub project screening activities	5,000
<b>3.</b>	Preparation of census	7,000
<b>4.</b>	Preparation of socio economic study and RPs	10,000
<b>5.</b>	Monitoring RP implementation	6000
<b>6.</b>	Total	32,000

### Annex 1: Involuntary Resettlement Screening Form

Impact	Yes Known	Yes	No	Indication of Scope
Is the proposed sub-project undertaking likely to involve land acquisition?				
Does the land in question have to be compulsorily acquired?				
Are the sites for land acquisition known?				
What is the ownership status of the land?				
Are non-titled persons present?				
Will tenants, lessees, share farmers, or other third party users be affected?				
Will there be loss of housing?				
will the loss be temporary or permanent?				

<b>Will there be loss of crops, trees, pasture, and other fixed assets?</b>				
<b>Will there be loss of incomes and livelihoods?</b>				
<b>will the loss be temporary or permanent?</b>				
<b>Will restriction to use of facilities, services, or resources be caused?</b>				
<b>will the loss be temporary or permanent?</b>				
<b>Will there be loss of businesses or enterprises?</b>				
<b>will the loss be temporary or permanent?</b>				
<b>Will any social or economic activities be affected by land use related changes?</b>				
<b>Will the effect be temporary or permanent?</b>				



<b>Will the involuntary resettlement be conducted in accordance with World Bank Standard?</b>				
<b>Does the government executing agency have sufficient skilled resources for resettlement planning and implementation capacity?</b>				
<b>Are training and capacity-building required prior to resettlement planning and implementation?</b>				

## **Annex- 2: Resettlement Plan Socio-Economic Survey Sample Questionnaire**

### **1 Interview Details**

Interviewer Name		Date of Interview	
Name of Respondent		Relationship to Landowner	
District		County	
Constituency		Ward	
Division		Location	
Sub-location		Village Name	
Plot Number		GPS Location	
Address		Mobile Number	

**Is this plot, land or parcel affected by the main canal?**

**1. Yes**

**2. No**

### **2. Details of the Household**

2.1 Name of household member	2.2 Status 1. Household head 2. Spouse 3. Son 4. Daughter 5. Other relatives 6. Adopted	2.3 Sex 1. Male 2. Female	2.4 Year of Birth	2.5 Marital Status 1. Married Monogamy 2. Married Polygamy 3. Single 4. Divorced 5. Widowed	2.6 Education Level 1. None 2. Nursery 3. Primary 4. Secondary 5. College/Technical school 6. University	2.7 Occupation 1. Farmer 2. Civil Servant 3. Teacher 4. Trader 5. Fisher 6. Other (specify)	2.8 Vulnerable 1. Yes 2. No	2.9 Vulnerability (if 2.8 is yes) e.g. Widowed, Disabled Physically or Mentally etc. (Ulemavu wowote)
1								
2								
3								
4								
5								
6								
7								

### 3. Land and dwelling

3.1 Do you own this land? 1. Yes 2. No *{If Yes, go to 3.3}*

3.2 If No, in whose name is this land registered? \_\_\_\_\_

3.3 How many years have you been living here? \_\_\_\_\_ 3.4 How did you acquire this land?

1. Inheritance 2. Purchase 3. Other, Please specify \_\_\_\_\_

3.5 When did you acquire this land? \_\_\_\_\_

3.6 What ownership documents do you have? 1. Title deed 2. Allotment letter 3.

Other, Please specify \_\_\_\_\_

3.7 What is the land registration number? \_\_\_\_\_

3.8 What is the size of this land (acres)? \_\_\_\_\_

3.9 Do you own land anywhere else? 1. Yes 2. No *{If No, go to 3.11}*

3.10 If Yes, please specify

Where (Village)	Size (acres)	Ownership documents	Land Registration Number	Year of acquisition

*{3.11 Walk along and determine}*

3.11 How many meters (using steps where 1 step = 1 meter) of the land will be covered by the secondary canal?

\_\_meters.

3.12 Note the main features on the secondary canal's corridor (20m wide) as follows

Name of trees								
Number								
Name of crops								

3.13 Are there any graves on the secondary canal's path? 1. Yes (If Yes, How many) \_\_\_\_\_ 2. No

3.14 Are there any sites of importance or cultural value on the secondary canal's path? 1. Yes 2. No

If Yes please provide the name and use of the sites \_\_\_\_\_

3.15 How many structures (buildings) belong to this household? \_\_\_\_\_

3.16 How many of this household's structures will be relocated/affected as result of the construction of the secondary canal? \_\_\_\_\_

*{3.16 Is the number of structures that lie on the secondary canal's path} {If there are no affected structures go to 3.18}*

3.17 If there any structures affected in 3.16 please provide the following information for the affected structures

*{INFORM ESF TEAM MEMBER TO TAKE PHOTOS OF THE STRUCTURE AND TELL THEM THE QUESTIONNAIRE NUMBER}*

Use of the structure (house)	Owner	Approximate size in meters		Year constructed	Building materials			Photo number
		Length	Width		Floor	Walling	Roofing	


*Building materials: {1. Mud block} {2. Mud block with plaster} {3. Concrete blocks} {4. Clay (burnt) bricks} {5. Reeds, thatch, sticks} {6. Plastic} {7. Tin iron sheets} {8. Bricks} {9. Stone}*

3.18 Would you be willing to give up part of your land for the project if necessary? 1. Yes 2. No

3.19 Would you be willing to be resettled as a result of the project if necessary? 1. Yes 2. No.

*{If Yes go to 3.21, If No go to 3.20}* 3.20 If No, please state why?

---

*{If No in 3.19 and 3.20 the reason for choosing No is filled in 3.20 go to 3.24}* 3.21 If Yes in 3.19, where would you like to be resettled?

i. Within the same land ii. In the same community area

iii. The resettlement location does not matter

iv. Another area of my choice, (please specify)\_\_\_\_\_

3.22 What is the distance to this new site? \_\_\_\_\_

3.23 Which way would you like to resettle? 1. With community/family members 2. Without community/family members

3.23 If you were relocated/displaced, how would you like to be compensated for the following and how much?

Item for compensation	Preferred mode of compensation	Amount or acreage	Others (Specify here)
Land	1.Land 2. Cash 3. Both		
Houses/Structures	1.Houses 2. Cash 3. Both		
Relocation costs	1.Transport 2. Cash 3. Both		
Livelihoods	1.Training 2. Cash 3.		
	Other		
Others, (Specify) ( <i>Any other losses</i> )			

3.25 What kind of assistance regarding resettlement and rehabilitation do you suggest for the Project Implementation Authority?

*{Usaidizi gani anaona anaweza pewa kumsaidia kuhama na wenye huu mradi}* \_\_\_\_\_

3.26 What opportunities for income generation do you see after resettlement? *{Matarajio ya kiuchumi zinazoweza kumletea manufaa baada ya*

*kuhama}* \_\_\_\_\_

#### 4. Income and livelihoods

4.1 What are the income sources for this household? *{Please give an estimate on period of time} {kwa muda sana sana wa mwezi}*

Source	Income (Amount) and time period <i>{convert item to shillings and seasons to the respondent's season in months}</i>
i.	
ii.	
iii.	

4.2 What is the total expenditure (KSHS) of this household for the following activities? *{On a time period}* *{kwa muda sana sana wa mwezi}*

Item	Amount and time period <i>{e.g xxx shillings per day or xxx shillings per month}</i>
i.Food	
ii.Education	
iii.Health	
iv.Others (specify)	
v.Others (specify)	

## 5. Access to Services

### 5.1 Where do you go for each of the following services?

Currently	In case you were relocated to your preferred site
-----------	---



Service		Name	Distance (KM)	Name	Distance (KM)
General	Specific				
Health	Clinic/Chemist				
	Dispensary				
	Health centre				
	Hospital				
Education <i>{If more than one child specify the space at the bottom of this page}</i>	ECD				
	Primary				
	Secondary				
	Polytechnic				
Water	Portable				
	Animals				
	Irrigation				
Energy source	Paraffin				
	Firewood				
	Other (please specify)				
Church					

Sports					
Shops/Market					
Busstop					
Other services					

## 6. Agriculture

6.1 Does your homestead currently have access to arable land that you use for cultivation? 1. Yes 2. No *{If No go to 6.3}*

6.2 If yes in 6.1, please explain the following for each land used for cultivation

	Field 1	Field 2	Field 3	Field 4
Terms of use (owned, leased, squatting, communal etc)				
Location of the field (village)				
Size (acres)				
What crops do you cultivate on this land				

6.3 Currently, do you practice irrigated farming? 1. Yes 2. No If yes, where?

---

6.4 Does this household keep livestock? 1. Yes 2. No *{If No go to section 7}*

6.5 If Yes, Please list the types and numbers of each livestock kept.

Cattle \_\_, Goats \_\_, Pigs \_\_, Rabbits \_\_, Chicken \_\_, Ducks \_\_

6.6 Will your grazing grounds be affected by the secondary canal? 1. Yes 2. No *{If No go to section 7}*

6.7 If Yes, Please explain

how?\_\_\_\_\_

## 7. Social networks 7.1 Which community do you come from?

7.2 Is there any member of this household who is a member of a welfare society, self-help group or Community based organization?  
1. Yes 2. No

7.3 If Yes, please give the names of the organization(s) each member is in and the following information, *{If No in 7.2 Skip 7.3}*

Name of Household member	Organization of affiliation	Position in the organization	Activities of the organization	How do you think relocation would affect the member's participation in the organization and the organization's activities?

## 8. Impacts of the resettlement

8.1 What do you see as the impacts/effects *{athari}*, if part of your land/houses is displaced by the secondary canal?

8.2 If you were relocated to another site, what challenges do you think you will face in the new settlement? For each challenge, what measures would you want to be put in place or implemented to help you cope?

Challenge	Measures to help you cope with the challenge or impacts
i	
Ii	
Iii	
Iv	

8.3 What social dynamics (or aspects of this society/community/household) do you think are likely to hinder or facilitate the effectiveness of this resettlement and compensation?

### Annex 3: Household Census Survey Sample

#### Household Profile:

**Household Reference:**\_\_\_\_\_

**Location:**\_\_\_\_\_ **Regional State:**\_\_\_\_\_ **Woreda/Urban:**\_\_\_\_\_ **Kebele:**\_\_\_\_\_

**Reference of Affected Asset:**

**Type: Structure Plot Crop Tree Fodder**

**Reference of Affected Asset Sheet**

**Household Information:**

**Head: of household Name:**\_\_\_\_\_ **Sex:**\_\_\_\_\_

**Age:**\_\_\_\_\_ **Identity Document:**\_\_\_\_\_

**Type:** \_\_\_\_\_ **Number:**\_\_\_\_\_

**Occupation:** \_\_\_\_\_

**Member of Household:**

**Household Interview**

Name & Surname	Relationship to Head of Family	Sex		Place of Birth	Age	Marital Status	Residence Tenure	Ethnic Group	Religion	Educational Level	Occupation	Income Earner		Monthly Income
		M	F									Yes	No	

1.														
2.														
3.														
4.														
5.														
6.														
7.														

Relation to Head of Family: 1 HoH; 2 Spouse of HoH ; 3 Child of HoH; 4 Spouse of child of HoH; 5 Grandchild of HoH; 6 Parent of HoH; 7 Other (specify); 0 No Answer.

Marital Status: 1 Married; 2 Widowed; 3 Divorced; 4 Unmarried; 0 No Answer.

Residential Status: 1 PRP (Permanent Resident); 2 RA (Resident absent); 3 Member of nonresident HH; 4 Visitor; 5 Other (specify); 0 No Answer.

Occupations: -

Principle Occupation: 1 Farmer; 2 Shepherd; 3 Household; 4 Merchant; 5 Religious leader, teacher; 6 Artisan; 7 Transport; 8 Unemployed; 9 other (specify); 0 No Answer Secondary Occupations: idem.

Educational Level: 1 Illiterate; 2 Three years or less; 3 Primary School; 4 Secondary School; 5 Technical School; 6 Degree and above 7. Religious School; 0 No Answer

**Religion: 1 Christian (specify denomination); 2 Muslim; 3 Other (specify); 0 No Answer**

**Socio-Economic Information:**

Occupations:

Head of Household:

Other members of Household:

Number: Occupation:

Number: Occupation:

Number: Occupation:

Number: Occupation:

Total Estimated Household monthly Cash Income:

Education level of Household Members:

Number: Level:

Number: Level:

Number: Level: Number: Level: Project Impact:

**Assessment of the Impact of the Loss of the Affected Asset on Household's Livelihood:**

**Proposed Compensation or Resettlement Package**

**Household's Wishes**

**Proposed Package**

**Proposed Livelihood Restoration Package:**

**Household's Wishes**

**Proposed Package**



## **ANNEX 4 - Full Description of Resettlement Plan**

The scope and level of detail of the RP will vary depending on the magnitude and complexity of resettlement or displacement. The RP 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 RP covers elements that are specific to the project context. A broad outline of the RP, as applied to sub-projects covered under a RF includes, but is not limited to, the following:

### ***1. Description of the Sub-project***

General description of the sub-project activities that will cause displacement and the efforts made to reduce the number of people affected. Description of the sites and services currently available and their distance from the site should be done.

### ***2. Potential Impacts- the RP will discuss positive and negative impacts in detail.***

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.

### ***3. Objectives***

The main objectives of the resettlement program as these apply to the sub-project.

### ***4. Socio-economic Study***

The findings of socio-economic studies to be conducted in the early stages of subproject 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 RP 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 RP 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-titlebased 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.

## ***5. 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 RP 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 RP activities in the subprojects, 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.

## ***6. Institutional Framework***

The institutional framework governing RP implementation generally covers:

a. Agencies and offices responsible for resettlement activities and civil society groups like

NGOs that may have a role in RP implementation;

b. Institutional capacities of these agencies, offices, and civil society groups in carrying out

## **7. RP implementation, monitoring, and evaluation.**

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

## ***8. Eligibility***

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

## ***9. 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).

## ***9. 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.

#### ***10. 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.

#### ***11. 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.

#### ***12. 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).

#### ***13. Stakeholder Consultations and 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:

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

## **Annex 5. : Guidelines for Voluntary Land Donations (VLD)**

### **1.Background**

The following are guidelines for voluntary land donations (VLD) for the Integrated Disaster Risk Management Project (EIDRMP) The project may require VLD for subproject activities proposed under component 2.1. 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.

### **2.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.
- PAPs will be informed about the existence of a project GM to air their complaints on the VLD process and VLD itself.

### **3.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.

#### **4.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.
- 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 XX for Example of required contents of a form to be used at the community level for documenting voluntary land donations).

#### **5.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 checklist to be used for assessment and monitoring of VLD**

1. Has the legitimate landowner 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 landowner 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 landowners 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 landowners 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?

### **Example of required contents of a VLD form to be used at the community level**

*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 (including whether temporary or permanent)
9.	Responsibilities of the land Donor as well as RLLP
10.	Names and dated signatures of landowner (and spouse if possible), of head of village, and of witnesses
11.	Designation of record keeping procedures (ex: Kebele Administration offices, Woreda Office of Water/project focal office, etc.)
12.	Designation of disclosure procedures (ex: Notification on community information board, in community media, or Woreda focal office, etc.)
13.	Designation of applicable grievance mechanism(s)

#### Template for VLD (Amharic)

**በፈቃደኝነት መሬት መስጫ**

**ቅጽ**

**ክልል..... ወረዳ ..... ቀበሌ**

**..... መንደር**

**.....**

**ማኅበረሰብ-መሰረተኛ የሕግ ማስፈጸሚያ .....**

**.....**

**አኔ/እኛ.....**

**የሚከተለውን መሬት ለህዝብ ጥቅም ከላይ ለተገለጸው**

**ለ IDRMP ለሚሰራው የማህበረሰብ ስራ አይነት እንዲውል በፈቃደኝነት**

**መስጠቴን/መስጠታችንን አረጋግጣለሁ/እናረጋግጣለን።**

**የመሬቱ/**

**የንብረቱ ይዞታ መግለጫ**

**የቦታውን አቀማመጥ የሚያሳይ ካርታ (እን**

**ዳስፈላጊነቱ ተጨማሪ ካለ ይያያዝ)፡**

**ደግሞም፡**

**1. ያበረከትነዉ የመሬት ይዞታ/ንብረት ካለን ይዞታ ከ10% የማይበልጥ መሆኑን**

**2. ህብረተሰቡ የተሰጠዉ መሬት ለሚሰራዉ ሥራ/ፕሮጀክት አስፈላጊ መሆኑን መለየቱንና መርካቱን**

**3. ተበረከተዉ መሬት ህገወጥ ቦታ አለመሆኑንና ሌሎች ይህን ሥራ ከሚያግዱ ሁኔታዎች የነጻ መሆኑን**

**4. የሚሰራዉ ሥራ የተለየ ቦታ የሚፈልግ ሆኖ ሳይሆን ይህን ቦታ ለመስጠትም ሆነ ላለመስጠት የኔ/ የኛ ነጻ ምርጫ መሆኑን ይህን ቦታ (መሬት) ይዞታ በመስጠቴ/**

**ታችን የሚደርስብኝ/ ን ኪሳራ በሚከተሉት ሁኔታዎች የምካስ/ንካስ መሆኑን አረጋግጣለሁ/እናረጋግጣለን፡**

**5.1 ከሥራዉ/ፕሮጀክቱ በምናገኘዉ ጥቅም (ምልክት ይደረግ፡.....)፣**

**ወይም**

**5.2 በተለዋጭ በተሰጠኝ/ ን የመሬት ይዞታ፣ የመሬት ይዞታ ማረጋገጫ ወረቀት ይያያዝ (ካለ)፡**

**(ምልክት ይደረግ፡.....)**

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

7. ህብረተሰቡ የሚሰራውን ሥራ/ፕሮጀክት በባለቤትነት እንዲጠቀመው ሙሉ በሙሉ ፈቃደኛ/ፈቃደኞች መሆኑን/መሆናችንን አረጋግጣለሁ/እናረጋግጣለን።I

ፊርማ (ሰጪው) ..... ስም: ..... ቀን: .....

ፊርማ (ጠበቅ/ባል) .....ስም:

.....ቀን: ..... ፊርማ .....ስም:

.....ቀን: .....

(ምስክር: የወረዳውየተፈጥሮሀብትባለሙያ)

ፊርማ .....ስም: .....ቀን: .....

(ምስክር: የልማትጣቢያሠራተኛ)

ፊርማ .....ስም: .....ቀን: .....

(ምስክር: የወረዳውየገጠርመሬትአስተዳደርባለሙያ)

ከላይ የተገለጸውን ማረጋገጫ በትክክል ማየቴንና በተበረከተው የመሬት ይዞታ ላይ የሚሰራው ስራ ሲጠናቀቅ አገልግሎቴና አስተዳደሩሙ ሉበሙሉ ለማህበረሰቡ የተበረከተ መሆኑንና

ለዚህምምስክርመሆኔንበፊርማዬአረጋግጣለሁ።

የቀበሌውየመሬትአስተዳደርኮሚቴሰብሳቢ,.....

ቀበሌ..... የቀበሌውማህተምይደረግበታል

## Annex 6: List of Project Affected Persons Consulted

No.	Source Document	Local communities consulted /kebele
1.	Federal Democratic Republic of Ethiopia Awash Basin Authority Feasibility and Detail Design of Upper Awash Integrated Flood Management Project – Final Environmental and Social Impact Assessment Report February	Bora Leman, Dado and Melima Beri Lefesa Liben Gadula, Bogote Goro, Bantu Alito Jigdu Meda, Ando Kuncho, Kersa Bombe Awsh Bello, Dibu, Golel eKilta Mulu Sate
2.	Feasibility Study and Detail Design of Awash River Flood Protection and Control Project Section 3. Sectoral Studies Volume - 13 Socio-Economy Study Final Report November, 2017 Ethiopian	<b>Amibara Woreda</b> Siada Fege, Ebile, Melka Werer Town, Ambesh Gidero Angelile <b>Gelealo (Bure Mudayitu)</b> Bida Foro, Gaferem, Debel, Kodae <b>Dulessa-</b> Bolehamo (with clan leaders) <b>Gewane-</b> Gebeya Abora, Gelelaabora, Yigile, Bira Foro <b>Dubti-</b> Debelena Haliberi, Gurmudalena, Geyidero, Behiyale, Bebedetana Korile <b>Assayita</b> Galifege, Berga, Mamule, Hinile, Handeg <b>Afambo-</b> Alosobolo, Humedoyita, Mego
	Feasibility Study and Detail Design of Upper Awash Integrated Flood Management Project Resettlement Plan (RP) Study Draft Study Report June, 2021 Ethiopian	<b>Ejersa Lafto</b> Gulele Kiltu, Sebeta Hawas, Awash Belo <b>Bora</b> Lefesa Germeji <b>Dawo</b> Kersa Bombe <b>Illu</b> Bantu Alito <b>Liben Chukala</b> Liben Gadula
	Feasibility and Detail Design Of Upper Awash Integrated Flood Management Project Socio-Economy Study Final Report February, 2020 Ethiopian	<b>Bora</b> Doda Adera <b>Dawo</b> Kersa Bombi <b>Ejersa Lefo</b> Golele Kiltu <b>Dibu</b> Ejera



No	Name	Sex	Woreda	Kebele	Signature
1	Dabale Gata	M	Bora	Goro	Leiman
2	Dabale Gata	M	21	21	21
3	Dabale Fole	M	21	21	21
4	Dureza Yadi	M	21	21	21
5	Abu Fole	M	21	21	21
6	Alamu Joldo	M	21	21	21
7	Oda Oarso	M	21	21	21
8	Oda Kumbi	M	21	21	21
9	Nebo Boru	M	21	21	21
10	Karake Tuke	M	21	21	21
11	Abu Kumbi	M	21	21	21
12	Hambase Shambu	M	21	21	21
13	Danye Abu	M	21	21	21
14	Malke Kote	M	21	21	21
15	Dabale Gata	M	21	21	21
16	Talila Kote	M	21	21	21
17	Gade Adho	M	21	21	21
18	Ayantu Abelu	F	21	21	21
19	Xinfaye Yari	F	21	21	21
20	Cadi Belcha	F	21	21	21
21	Batele Wanto	F	21	21	21
22	Boke Buti	M	21	21	21
23	Dabale Fitale	M	21	21	21
24	Shallo Senxa	M	21	21	21
25	Shale Bora	M	21	21	21
26	Tolosa Tufa	M	21	21	21
27	Dama Dadli	M	21	21	21
28	Badho Hoka	M	21	21	21
29	Dabale Hoka	M	21	21	21
30	Tola Shamo	M	21	21	21
31	Bashada Iamir	M	21	21	21
32	Dapu Badhoso	M	21	21	21
33	Maquso Dabale	M	21	21	21
34	Bulchi Roba	M	21	21	21
35	Badho Roba	M	Liben	Chirwal	Gugel
36	Faniso Danvo	M	21	21	21
37	Danye Kuabi	M	21	21	21
38	Lami Bate	M	21	21	21
39	Boru Dabale	M	21	21	21
40	Bala Oadho	M	21	21	21
41	Bera Medhoso	M	21	21	21
42	Qadru mardhosa	M			



Attendance for Community Consultation					
No	Name	Sex	Woreda	Kebele	Signature
			Bora	Gora	
43	Dani Tole	M	21	25	
44	Ayano Dani	M	21	25	
45	Fayisa Dabale	M	22	21	
46	Bitra Dagasa	M	21	21	
47	Alari Dabale	M	22	21	
48	Ximpete Dhaki	F	21	21	
49	Caleta Ienjiso	M	21	21	
50	Matile Borsa	F	21	21	
51	Sabru Gobam	F	21	21	
52	Mitko Gobam	F	21	21	
53	Morni Shallo	F	21	21	
54	Ayano Melki	M	21	21	
55	Crabre Melki	M	21	21	
56	Melki Safaye	F	21	21	
57	Ayano Trechu	M	21	21	
58	Korcho Dabale	M	21	21	
59	Dabale Raso	M	21	21	
60	Caleta Trechu	M	21	21	
61	Abu Ienjiso	M	21	21	
62	Caleta Ienjiso	M	21	21	
63	Crabre Abi	F	21	21	
64	Faye shako	F	21	21	
65	Kurto Dabale	M	21	21	
66	Abate 22	21	21	21	
67	Abate Roba	21	21	21	
68	Roba Koji	21	21	21	
69	Masaru Tolale	21	21	21	
70	Tolale Oebale	21	21	21	
71	Bose Dadhi	21	21	21	
72	Shugxi Bose	21	21	21	
73	Roba Kongori	21	BORA	Gatakinda	
74	Tima Roba	21	21	21	
75	Fayisa Caleta	21	21	21	
76	Crabre HEPHO	21	21	21	
77	Crabre Borsa	21	21	21	
78	Bastadu Crabre	21	21	21	
79	Melki Crabre	21	21	21	
80	Amarii Abbee	M	21	21	
81	Dhaab-7 Jannaa	21	21	21	
82	Ayyaango Abbee	M	21	21	
83	Dhaab-7 Borsa	M	21	21	
84	Badmo Koolaa	M	21	21	





## Stakeholder Consultation Document for Resettlement Framework

### Notes on Stakeholder Consultation

**Date** 8/3/2014 E.C  
**Place of meeting** Awash Belo Kebele (Teji Woreda)  
**Time of meeting** 3. 00-7.00

#### Name of Participants

- **M.r Tequam** Environmental Consultant
- **D.r Ayalew** Social consultant
- **M.r Getu Robi** Social focal point
- **M.r Bekele Bezuwork** Environmental focal point
- **M.r Fitum Kebedom** Resettlement focal point

**Including 11 household community Govt official representatives**

#### Purpose of meeting

- The purpose of the meeting is to consult potentially impacted residents about the impact and risk of implementation of Integrated Disaster Risk management project on Teji flood plain.

#### Agenda and Topic Discussed

- Consultation on the potential impact and mitigation measure of the implementation of integrated disaster risk management project on the surrounding resident of Teji.

Around 11 household's representatives from different social groups of the community participated in the consultation processes. Government officials, women and youth representatives and religious elders those who are among the participants in the consultation.

Main issues raised	Proposed measures
<b>Consultation with local communities</b>	
Poor quality of construction of flood protection infrastructure	Construction schedule will be properly planned and executed
Infrastructure blocking access to water supply, gravity irrigation	Bridge should be considered in the design for human, animal, and goods transportation

Quality of construction activities are compromised because of the rush to complete before flooding season and timely maintenance	Proper scheduling of construction activities considering the rainy season
Based on past experiences, resettlement sites were not suitable and do not meet the needs of communities and houses built are not appropriate for the weather and living conditions. Resettlement sites are located far from basic services.	Resettlement sites should be selected with participation of communities and clan leaders and basic infrastructure and services should be provided
Irrigation schemes and infrastructure may block movement of people, animals and goods.	Specific designs will ensure that impact is avoided or minimized
Flood protection would adversely affect the watering of pastureland, filling of shallow hand dug wells, recharging of ground water,	Specific designs will ensure that impact is avoided or minimized
Livelihood of sand extractors will be adversely affected due to construction of dykes	Specific designs will ensure that impact is avoided or minimized
Land acquisition and compensation issues	Impact on land is limited and compensation will be according to the applicable rules and regulations
Project might cause flooding in downstream areas	Specific design will assess both upstream and downstream impacts
Improved health services due to the adverse effect of flooding on health	Project will work with relevant office to reduce health risks

In general, the consulted participant perceived, implementation of Integrated Disaster Risk Management Project around Teji flood plain area will increase positive social and environmental impact on the community of project implemented area.

## Annex 8: Sample Grievance form -Grievance Mechanism

(To be made available in all local languages)

Date:_____
Place of Registration:_____
Mode of Communication (e.g., note/letter, email, verbal/telephone):
Name _____
Gender _____
Age _____
Home Address Woreda_____Kebele_____ Village_____
Phone/Email _____
Individual/authority to whom complaint was submitted:_____

Complaint/Suggestion/Comment/Question: \_\_\_\_\_

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Please provide the details (who, what, where and how) of your grievance below:

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If included as attachment/note/letter, please tick here: \_\_\_\_\_

Nature of Resolution Sought: \_\_\_\_\_

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How would you like your concerns/issues to be resolved?

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Contact details for update/feedback

How do you want us to reach you for feedback or update on your comment/grievance?

Means of Disclosure

FOR OFFICIAL USE ONLY

Registered	by:	(Name	of	Official	registering	grievance)
<hr/>						
Reviewed	by	(Name/Positions	of	Official(s)	reviewing	grievance)
<hr/>						
<hr/>						
Action Taken: <hr/>						
Whether Action Taken Disclosed [ <input type="checkbox"/> ] Yes [ <input type="checkbox"/> ] No						
If Yes, Date Action Disclosed <hr/>						

## Annex 9: Glossary of Terms Used

TERMS	
<b>Affected Family</b>	All members of a household residing under one roof and operating as a single economic unit, who are adversely affected by the project, or any of its components. It may consist of a single nuclear family or an extended family group
<b>Affected Person/People</b>	Any person affected socially and economically by World Bank assisted investment projects caused by a) relocation or loss of shelter; b) loss of assets or access to assets loss of income sources or means of livelihood, whether the affected persons must move to another location; or c) the involuntary restriction or access to legally designated parks and protected areas results in adverse impacts on the livelihood of the displaced persons
<b>Associated Projects</b>	Means any subprojects or activities which are directly related to the planned Project Improvement in the project locations
<b>Census</b>	Means a field survey carried out to identify and determine the number of Project Affected Persons (PAPs), their assets, and potential impacts, in accordance with the procedures, satisfactory to the relevant government authorities, and the World Bank Safeguard Policies. The meaning of the word shall also embrace the criteria for eligibility for compensation, resettlement and other measures, emanating from consultations with affected communities and the Local Leaders.
<b>Compensation</b>	Payment in cash or in kind of the replacement cost of the acquired assets.
<b>Compensation Value</b>	The amount to be paid to the leaseholder which is calculated as an amount which is above the gross current replacement cost, including the costs for the inconvenience caused to the leaseholders by relocation, and to enable the same leaseholders to build slightly better houses than what they currently occupy
<b>Cut-off date</b>	Means the date after which people will not be considered eligible for compensation. In case of land acquisition, the cut-off date for the titleholders is Section 4 of the Land Acquisition Act, 1984. But in case of where people lack title, it is the beginning date of the census survey to be undertaken by the Implementing Agency for the impact assessment, to avoid an influx of outsiders
<b>Detailed Measurement Survey</b>	Means the detailed inventory of losses that is completed after detailed design and marking of project boundaries on the ground

<b>Encroacher</b>	Someone who has illegally expanded, or extended the outer limit of his private premises beyond the approved building line or agricultural land and has occupied public space beyond his/her plot or agricultural land
<b>Entitlement</b>	Range of measures comprising compensation, income restoration, transfer assistance, income substitution, and relocation which are due to affected people, depending on the nature of their losses, to restore their economic and social base.
<b>Gender Equity</b>	Recognition of both genders in the provision of entitlements, treatment and other measures under the Social Management Action Plan or Resettlement Action Plan
<b>Improvements</b>	Structures constructed (dwelling unit, fence, waiting sheds, utilities, community facilities, stores, warehouses etc.) and crop plants planted by the person, household, institution or organization
<b>Income Restoration</b>	Re-establishing income sources and livelihoods of people affected
<b>Involuntary Land Acquisition</b>	Is the taking of land by government or other government agencies for compensation, for the purposes of a public project against the will of the landowner. The landowner may be left with the right to negotiate the amount of compensation proposed. This includes land or assets for which the owner enjoys uncontested customary right
<b>Involuntary Resettlement</b>	The unavoidable displacement of people and/or impact on their livelihood, assets and common property resulting from development projects that create the need for rebuilding their livelihood, sources of income and asset bases.
<b>Land</b>	Refers to agricultural and/or non-agricultural land and any structures thereon whether temporary or permanent and which may be required for the Project.
<b>Land Acquisition</b>	The process whereby a person is compelled by a government agency to alienate all or part of the land a person owns or possesses to the ownership and possession of the government agency for public purpose in return for a consideration.
<b>Land Expropriation</b>	Process whereby a public authority, usually by offering compensation, requires a person, household, or community to relinquish rights to land that it occupies or otherwise uses

<b>Land holders</b>	Holders of land with or without trees, crops or structures affixed to the land with clear title in government records. In some exceptional cases, a person who owns land/s within the project-affected areas regardless of proof of such ownership will also be entitled, provided that such ownership will also be entitled, provided that such ownership is recognized under law.
<b>Non-titled Holder</b>	means those who have no recognizable rights or claims to the land that they are occupying and includes people using private or state land without permission, permit or grant
<b>Rehabilitation</b>	Re-establishing incomes, livelihoods, living and integration with social systems
<b>Rehabilitation Assistance</b>	means the provision of development assistance in addition to compensation such as land preparation, credit facilities, training, or job opportunities, needed to enable project affected persons to improve their living standards, income earning capacity and production levels; or at least maintain them at pre-project levels
<b>Relocation</b>	Rebuilding housing, asset including productive land, and public infrastructure in another location
<b>Replacement Cost for Agricultural Land</b>	means the pre-project or pre-displacement, whichever is higher, value of land of equal productive potential or use located in the vicinity of the affected land, plus the costs of: a) preparing the land to levels similar to those of the affected land; b) any registration, transfer taxes and other associated fees
<b>Replacement Value/cost</b>	<p>The full market value of the assets lost as a result of the project, plus transaction costs. Regarding land and structure, replacement costs can be defined as follows:</p> <ul style="list-style-type: none"> <li>• Land in urban areas – the market value of land of equal size and use, with similar or improved public infrastructure facilities and services, preferably located in the vicinity of the affected land, plus the cost of any registration and transfer taxes.</li> <li>• Household and public structures – the cost of purchasing or building a new structure, with an area and quality similar to, or better than, those of the affected structure; or, of repairing a partially affected structure, including labour and contractor's fees and any registration and transfer taxes.</li> </ul> <p>In determining the replacement cost, depreciation of the asset and the value of salvage materials are not taken into account, nor is the value of benefits to be derived from the project deducted from the valuation of the affected asset.</p>



<b>Resettlement</b>	A process to assist the displaced people and communities to replace their lost land, houses, assets and restore access to assets and services, and improve their socioeconomic and cultural conditions. It includes settlement of displaced people on buildable land or houses/apartments in the same locality with barrier-free access to basic amenities
<b>Cut-off Date</b>	is the date of commencement of the census of PAPs within the project area boundaries. This is the date on and beyond which any person whose land is occupied for project use, will not be eligible for compensation.
<b>Resettlement Action Plan</b>	The document in which a project sponsor or other responsible entity specifies the procedures that it will follow and the actions that it will take to mitigate adverse effects, compensate losses, and provide development benefits to persons and communities affected by an investment project
<b>Resettlement Assistance</b>	Support provided to people who are physically displaced by a project. Assistance may include transportation, food, shelter, and social services that are provided to affected people during their relocation. Assistance may also include cash allowances that compensate and defray the expenses of a transition to a new locale, such as moving expenses and lost workdays.
<b>Resettlement Policy Framework</b>	Resettlement Policy Framework is a resettlement document to be prepared if the extent and location of resettlement cannot be known at appraisal because the project has multiple components or if the final design (as in this case) is determined at a later stage. The Resettlement Policy Framework establishes resettlement objectives and principles, organizational arrangements, and funding mechanisms for any resettlement operation that may be necessary during project implementation. The framework assesses the institutional capability to design, implement, and oversee resettlement operations. When during project implementation the extent of resettlement in any subproject becomes known, a Resettlement Action Plan (or an abbreviated Resettlement Action Plan, depending on the scale and severity of impacts) is prepared prior to commencement of civil works.
<b>Squatter</b>	Someone who has occupied public or private land, developed structures on it and put such land into residential, agricultural or commercial use without obtaining development permission and formal title under law.
<b>Stakeholders</b>	All individuals, groups, organisations and institutions interested in and potentially affected or benefitted by a project having the ability to influence a project.

<b>Public Involvement</b>	The dialogue encompassing consultation and communication between a project proponent and the public. It includes dissemination, solicitation and presentation of information
<b>Tenants and Lessees</b>	Occupants that have legally taken any land or properties or both on rent or lease for a specific period with registered papers recording agreed terms and conditions as permitted under law.
<b>Vulnerable Persons</b>	Persons who, by virtue of gender, ethnicity, age, might suffer disproportionately from resettlement effects, such as the very old, the physically or mentally handicapped, the poor below the poverty line, widows, women-headed household and socially isolated

### Annex-10: Resettlement Plan Implementation verification Form

S/N	Indicators	Target	Status	Achievements	Remarks
1	Govt. land transfer (ha)				
2	Verification of identified PAPs completed (No.)				
3	New PAPs added, if any (who could not be enumerated at the time of survey)				
4	Consultations held with regard to RAP (dissemination of information, awareness generation, entitlements, HIV/ AIDS, GRM, etc) - No.				
5	Leaflets, containing salient features of RAP, hand bills, fliers and other awareness materials distributed (No.)				
6	Measurement of structures likely to be affected completed (No.)				
7	Date of formation of Woreda Resettlement Committee				
8	Meetings held by Woreda Resettlement Committee for fixing the replacement cost (No.)				
9	Valuation of affected properties completed (No.)				
10	Micro plan submitted for Title Holders (THs) for approval (No.)				
11	Identity cum entitlement card issued to PAPs (No.)				
12	Consultations held with local community regarding relocation or rehabilitation of communal land resources (No.)				
13	Estimate submitted for relocation/rehabilitation of communal land resources for approval				
14	Agency to carryout relocation/rehabilitation of communal land resources as agreed by the project authority				
15	R&R assistances disbursed to PAPs (THs. No.)				

16	16 PAPs re-established their shops/ business (No.)				
17	17 PAPs covered under income generation schemes (No.)				
18	18 PAPs provided training for alternate livelihood (No.)				
19	Communal land resources relocated/ rehabilitated (No.)				
20	Grievance/ complaints brought to GRC for redressal (No.)				
21	GRC meeting held and cases resolved (No.)				
22	Various channels of GRM used by category (No.)				
23	Consultation meetings held by Land Administration and Social Safeguards Experts of Project Coordination Unit (PCU) (No.)				