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MINISTRY OF AGRICULTURE

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**DE-RISKING, INCLUSION AND VALUE ENHANCEMENT OF
PASTORAL ECONOMIES IN THE HORN OF AFRICA PROJECT**

RESETTLEMENT FRAMEWORK (RF)

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ABBREVIATIONS AND ACRONYMS

CAPP	Cluster Area Project Personnel
DRIVE	De-Risking Inclusion and Value Enhancement of Pastoral Economies Project
ESA	Ethiopian Standard Agency
ESMF	Environmental and Social Management Framework
ESS	Environmental Safeguards Specialist
FPSC	Federal Project Steering Committee
FPTC	Federal Project Technical Committee
GBVS	Gender-Based Violence Specialist
GoE	Government of Ethiopia
GN	Guiding Note
GRM	Grievance Redress Mechanism
HoA	Horn of Africa
KGRMC	Kebele Grievance Redress Management Committee
LRP	Livelihood Restoration Plan
MoA	Ministry of Agriculture
MoF	Ministry of Finance
MoILD	Ministry of Irrigation and Lowland Development
MoTRI	Ministry of Trade and Regional Integration
MoWSA	Ministry of Women and Social Affairs
PAPs	Project Affected Persons
RAP	Resettlement Action Plan
RP	Resettlement Plan
R/CGRMC	Regional/City Grievance Redress Management Committee
UCs	Underserved Communities
RPSC	Regional Project Steering Committee
RPTC	Regional Project Technical Committee
SSS	Social Safeguards Specialist
WB	World Bank
WPTF	Woreda Project Task Force
W/SGRMC	Woreda/Sub-city Grievance Redress Management Committee
WUA	Woreda or Urban Administration

EXECUTIVE SUMMARY

1. INTRODUCTION

Background

The De-Risking, Inclusion and Value Enhancement (DRIVE) of Pastoral Economies Project is part of the Horn of African Initiatives through Investment Project Financing of the World Bank. The proposed project is a regional project, and will cover Ethiopia, Djibouti, Kenya and Somalia. The preparation of this Resettlement Framework (RF) focuses on the part of the project in Ethiopia.

Objective of the Resettlement Framework

The general objective of the RF is to serve as a guideline to clarify resettlement principles, organizational arrangements, schedule, arrangement for financing the resettlement and procedures that govern the project-related land acquisition, valuation principles, and compensation procedures.

The Need for the Resettlement Framework of DRIVE Project

As set out in WB ESS5 paragraph 25, where the likely nature or magnitude of the land acquisition or restrictions on land use related to a project with potential to cause physical and/or economic displacement is unknown, the Borrower is required to develop a Resettlement Framework (RF) establishing the general principles and procedures compatible with the requirements of ESS5. Consistent with this provision, the detailed design for the DRIVE sub-components with potential involuntary resettlement are yet to be finalized and the preparation of a Resettlement Plan (RP) for those sub-components cannot be undertaken presently. This necessitates the preparation of RF.

Resettlement Framework Methodology

The preparation of this RF depends on both the primary and secondary methods of data collection. The primary data collection depends on relevant stakeholder (from federal to woreda level) and local community consultation. Desk review method profoundly consulted relevant secondary sources: DRIVE related documents, relevant national and WB policy documents, and available empirical studies were reviewed to substantiate the socio-economic baseline conditions of the project-affected communities and project target areas.

2. PROJECT DESCRIPITON

Project Objective

The development objective of the DRIVE project is to de-risk pastoralists in the Horn of Africa including Ethiopia by: (i) protecting them against drought with enhanced financial access and risk transfer; and (ii) linking them better to markets through trade facilitation and the mobilization of private capital in the livestock value chains.

Project Components and Component with Potential Resettlement Impacts

The project has two components. *Component 1* involves De-Risking and Financing. Through the activities (transfer pastoralists' drought risk to the insurant market, mobilize the capital of private (re)insurance companies, mobilize savings from pastoralists themselves) under this component, the project supports access to financial services to the pastoralist production group. No potential adverse resettlement impact is seen for Component 1. *Component 2* concerns Livestock Value Chains and Trade Facilitation. This component intends to connect pastoralists better to markets through undertaking three subprojects: upgrading quality infrastructure; trade facilitation and trade logistics; and providing seed capital to attract private investment in the livestock value chains. All three sub-components under Component 2 have potential risks and impacts of physical and economic displacement.

DRIVE Project Target Regions

The DRIVE project targets the four regional states in Ethiopia which the overwhelming majority (92%) of the pastoral communities occupy, namely Afar, Somali, and parts of Oromia and the Southern Nations, Nationalities and People's (SNNP).

Project Beneficiaries

The project targets two types of beneficiary. *The first group* includes pastoralists or agro-pastoralists in the four targeted regions identified above. But the target is limited to pastoralists in groups who have the capacity to become productive. *The second group* targets private investors in the livestock value chains that can lead to higher incomes for pastoral producers. This identifies the involvement of private and financial sector firms that bid for premium support, a large business window for women and a youth-owned enterprises window.

3. LEGAL AND INSTITUTIONAL FRAMEWORK

Applicable National Legislation

The government of Ethiopia has issued legislation applicable to DRIVE project-related land acquisition and involuntary resettlement. As set out in Article (8) of the *Constitution of Ethiopia*, the government has the power to expropriate private and communal property including land for the interest of public purposes subject to payment, in advance, of compensation 'commensurate' to the value of the property lost. Article (44), Sub-Article (2) recognizes the right to commensurate monetary or alternative means of compensation for the affected persons including relocation with adequate state assistance. Likewise, Proclamation No. 1161/2019 has set out details of legal provisions on decision and procedures to expropriation of land for public purpose, compensation, resettlement packages and complaints and appeal system. Regulation No. 472/2020 declares detail of legal provisions on compensation assessment and methods of asset valuation.

World Bank Policy

The World Bank's Environmental and Social Framework (ESF) contains Environmental and Social Standards (ESSs) which are required to ensure that programs/projects proposed for Bank

financing are designed and executed in an environmentally and socially sustainable manner. Out of the ten ESSs, all of them except ESS8 on Cultural Heritage are relevant and will be applicable for the DRIVE project. More importantly, ESS5 on Land Acquisition, Restriction on Land Use and Involuntary Resettlement, ESS7 on Sub-Saharan African Historically Undeserved and Traditional Local Communities (SSAHUTLCs) and ESS10 on Stakeholder Engagement and Information Disclosure set out the provisions with special relevance for this RF and subsequent resettlement plans and operations of the proposed DRIVE.

Policy Gap Analysis

Despite complementing one another, there are gaps and differences between the Ethiopian and WB's legal provisions on involuntary resettlement. One notable gap observed in the Ethiopian legal framework is related to the provision on informal occupants. The eligibility criteria as per the Ethiopian legislation exclude informal occupants while the eligibility criteria in ESS5 are inclusive of those who have no recognizable legal right or claim to the land or assets they occupy or use, while. The other major gap is that the Ethiopian legal framework lacks provisions on voluntary land donations, whereas the ESS5 has addressed it. To address the gaps and contradictions between the Ethiopian and WB's legal provisions, the DRIVE RF applies the one that provides and guarantees greatest benefit to the Project Affected Persons (PAPs).

Implementation Arrangements for RF

The main Implementing Agency involved in the implementation of the RF will be the Ministry of Agriculture (MoA) and Ministry of Trade and Regional Integration (MoTRI). MoA and MoTRI will collaborate to jointly implement the activities of the Component 2 of the project, while the MoA will be the lead coordinator of overall implementation. That is, the Project Implementing Unit (PIU) in the MoA will be responsible for the day-to-day implementation of project's overall ESMPs. Besides, the PIU will closely work with the relevant implementing arrangements for RF at the region (Regional States, Regional Cabinet, and Regional Grievance Redress Management Committee), woreda (Woreda Administration and Woreda Grievance Redress Management Committee) and local community level (Kebele Administration, Kebele Grievance Redress Management Committee and Community Resettlement Committee).

4. STAKEHOLDER CONSULTATION

Consultation during the Preparation of the RF

Stakeholder consultation to prepare the RF was conducted from November 10, 2021 to January 15, 2022. Accordingly, about 18 environmental and social experts and 8 top officials from federal to woreda level organizations have been consulted through individual interviews. Likewise, three wider community consultations were held: the first was in Tsamy Woreda from SNNPR with 26 participants, the second in Harakalo Woreda from Oromia Region with 12 participants, and the third in Dubti Woreda from Afar Region with 14 participants. To capture the views and concerns of all segments in the community the selection of the participants in each community consultation composed clan leaders, elders, community representatives, representative of women and youth.

The views and concerns raised by the participants on the RF

The participants in the community consultations shared the view that the project's interventions, through activities of Component 1 and Component 2, can have multiple economic benefits to the local community including improve pastoralists' financial literacy and entrepreneurial skills, access to market, and income. However, the participants have raised serious concerns as well on the adverse impacts of involuntary resettlement associated with the implementation of the activities in Component 2 focusing on what procedures of project-related land acquisition, compensation and method of property valuation; and grievance redress mechanism will be applied. Responses were given referring on how the RF will address on each of the concerns raised and consensus was made accordingly.

5. SOCIO-ECONOMIC BASELINE CONDITIONS

The Situation of Basic Infrastructure and Access to Social Services

The Ethiopian government identified the project intervention areas as Developing Regions because of the lack or poor basic infrastructure (main road connecting local areas with major towns/market centers and feeder roads connecting rural kebeles to main road) and access to social services (drinking water, health, education, electricity and telephone networks). The situation on all measures is the lowest in the project intervention areas as compared to national averages.

Socio-Cultural Baseline Conditions

In all the project intervention areas, the customary cultural, social, political and economic systems and institutions prevail as distinct from the mainstream societies in the country: self-identification to common ancestors and territories; the *clan system* is the main form of social as well as political organization with the authority or collective decision making at the hands of the clan leaders and councils of elders; long-standing indigenous community institutions; land and natural resources are subject to traditional ownership or under customary use or occupation; indigenous resource management system; and a mobile pastoral system.

6. POTENTIAL ADVERSE RESETTELEMENT IMPACTS

Adverse Impacts

The process of land acquisition for the activities of the s-components under Component 2 may cause economic as well as physical displacement. Economic displacement may involve: the loss of agricultural, residential and commercial lands and assets on it; restriction on access to, and use of, natural resources; and cut off people's mutual cooperation and social capital. Physical displacement may include: (a) the relocation of the PAPs to new environments where their productive skills are less applicable; and (b) the weakening of social networks and kin groups. Further, the disadvantaged and vulnerable groups—such as women, the elderly, people with disabilities, and minority groups—may suffer disproportionate adverse impacts from economic and physical displacement owing to their special needs or low relative position in the society. Yet, as the entire lives of Historically Underserved Communities (HUC) are inextricably linked to

the land on which they live and the natural resources on which they depend, they suffer disproportionate adverse impacts from involuntary economic and physical displacement.

Proposed Mitigation Measures

A site-specific Resettlement Plan (RP) or Livelihood Restoration Plan (LRP) will be prepared for any sub-components resulting in economic or physical displacement that includes compensation measures that allow the affected persons or groups to improve, or at least restore, their incomes or livelihoods. To this end, payment of compensation alone may not be sufficient. Thus, a RP or LRP will be implemented in conjunction with other resettlement packages. While the RP or LRP designs special measures to mitigate the disproportionate resettlement adverse impacts, a distinct resettlement and livelihood restoration plan (HUCP) will address the disproportionate adverse impacts of involuntary resettlement to HUCs.

7. RP PREPARATION, REVIEW AND APPROVAL

The RP screening process involves gathering information about land ownership, structures and uses of the land that would be directly affected (either temporarily or permanently) due to sub-components related land acquisition. Then, the MoA or designated specialist consultants will prepare the site-specific RP or LRP and submit the draft RP or LRP to the Bank for review. The plan will be approved only after the Bank review feedback and comments are incorporated for the required contents and standards set out in the applicable ESSs which will be re-checked by the Bank.

8. AFFECTED ASSETS AND VALUATION PROCEDURES

Valuation is the means of market comparison or estimated amount for which the property should exchange. In this RF, the basic goal of property valuation is to provide a measure of the utility derived through the access to and control of property. Both the Ethiopian (Regulation No. 472/2020) and WB's (ESS5) legal provision set out the same method of asset valuation to guide the RF for the DRIVE project: that is, replacement cost. It is defined as a method of valuation yielding compensation sufficient to replace lost assets, plus necessary transaction costs associated with asset replacement. Accordingly, the RF specified the method of calculation of replacement costs for different types of assets that may be affected due to project-related land acquisition including agricultural land or pasture land, land in urban areas, houses and other structures, and loss of access to natural resources.

9. ELIGIBILITY CRITERIA FOR AFFECTED PERSONS

Eligibility is the definition of displaced persons and criteria for determining their inclusion or exclusion for compensation and other resettlement assistance. The eligibility criteria in the DRIVE project apply the Ethiopian Proclamation No. 1161/2019 and WB ESS5. In both, affected persons may be classified as persons: (a) who have formal legal rights to land or assets; and (b) who do not have formal legal rights to land or assets, but have a claim to land or assets that is recognized or recognizable under national law. However, the Ethiopian law has no provision on informal occupants. In this case, the RF adheres to ESS5 which includes those who have no recognizable legal right or claim to the land or assets they occupy or use.

10. GRIEVANCE REDRESS MECHANISM (GRM)

The Project applies the provisions in Proclamation No. 1161/2019, ESS5 and ESS10 that require an appropriate and accessible GRM as early as possible in the project development to address specific concerns about compensation, relocation, or livelihood restoration measures that may be raised by the PAPs (or others) in a timely fashion.

11. IMPLEMENTATION SCHEDULE, BUDGET AND ARRANGEMENTS FOR FUDNDING

The resettlement plan provides the implementation schedule indicating how the resettlement activities are linked to the implementation of the sub-components activities; target dates for start and completion of resettlement; timetables for transfer of completed civil works to PAPs; and adequate and reasonable notice for all affected persons prior to the scheduled date of eviction. The RP preparation and implementation costs, including cost of compensation will be considered an integral part of the project cost and will be contributed as a counterpart fund by the Government of Ethiopia in particular participating regions with technical support of the PIU.

12. INFORMATION DISCLOSURE PLAN

As set out in ESS10 and indicated in the SEP of the DRIVE, the planning and implementation of the RP engage with, and provide enough information to stakeholders throughout the project lifecycle, in a manner appropriate to the nature of their interests and scale of the adverse resettlement impacts associated with project-related land acquisition.

13. MONITORING AND EVALUATION OF IMPACTS

M&E is a process to be taken to oversee the implementation of RP from its initial stage to its final stage of completion. M&E needs to look into the extent to which all the details indicated in the RP document are implemented. Challenges encountered in the implementation of RP and processes passed through are recorded to provide immediate responses, and also to be used to enhance the implementation of the RP.

1. INTRODUCTION

1.1 Background

The De-Risking, Inclusion and Value Enhancement of Pastoral Economies Project (DRIVE) is part of the Horn of African Initiative through Investment Project Financing of the World Bank (WB). The proposed project is a regional project and will cover four countries, namely: Ethiopia, Djibouti, Kenya and Somalia. In Ethiopia, the project will be implemented jointly by the Ministry of Agriculture (MoA) and Ministry of Trade and Regional Integration (MoTRI).

Pastoral areas in Ethiopia cover nearly two-third (61%) of the land area of the country. Pastoral economy supports about 15% of the total population or about 14 million people. The overwhelming majority (92%) of the pastoral communities in Ethiopia live in four regions, namely: Afar, Somali, and parts of Oromia and the Southern Nations, Nationalities and People's (SNNPR). The remaining (8%) live in Gambella, Benishangul and Tigray regions.

Like in other countries of the Horn of Africa (HoA) included in the DRIVE project, pastoral areas in Ethiopia are exposed to disasters, amplified by climate change, and recurrent severe droughts. These are the key factors to poverty and conflicts in the pastoral economies in the country. In particular, recurring droughts degrade rangelands, deplete livestock, and lead to underinvestment. Conversely, pastoralists have generally coped with recurring drought by increasing herd size which in turn resulted in rangeland degradation. As a result, in Ethiopia, about 29 percent of the total land area is classified as degraded. Such degradation is caused by growing population numbers, overexploitation of land for economic development, and climate change. The cumulative impact is underinvestment which significantly lowers pastoral productivity in Ethiopia that holds pastoralists in a poverty trap.

To resolve these challenges, MoTRI & MoA have prioritized and designed interventions on improving livestock infrastructure, improving tracking and traceability, and diversifying destination markets for Ethiopian exports. The Livestock Master Plan of Ethiopia also plans to strengthen the quarantine and inspection systems to reduce the risk of introducing and disseminating livestock diseases through the export route. A livestock quarantine facility is an isolation spaces where livestock are inspected for diseases, medicated, cleaned, protected from other diseases, fed, standardized, certified and are made ready for their journey to next stages of the value chain. Well-developed quarantine and certification systems that comply with international standards and meet requirements of importing countries are critical infrastructure for live animal exports.

To formalize live animals export through the main corridors, Ethiopia is constructing five quarantine centers in Mille (Afar), Mettema, Humera, Jigjiga and Almhar. According to MoA, in 2020/21, a very small number of cattle has been exported through facilities related to the Jigjiga quarantine center while 1042 sheep/goat and 778 camels have been exported through Mille. MoA has signed Public Private Partnership (PPP) agreement with a private sector company for the operation and management of the Mille quarantine center and intends to replicate this arrangement to Jigjiga quarantine center in the Somali region of Ethiopia. Therefore, the proposed DRIVE project intends to reverse the aforesaid key trends of the pastoralist economies in Ethiopia.¹ To this end, the WB will provide credit to the Federal Democratic Republic of Ethiopia (FDRE) in the amount of US\$115 million.

1.2 Objectives of the Resettlement Framework (RF)

The general objective of the RF is to serve as a guideline to clarify resettlement principles, organizational arrangements, schedules, arrangements for financing the resettlement and procedures that govern the project-related land acquisition, valuation principles, and compensation procedures. To this end, the RF has the following specific objectives:

- establish the foundation to clarify resettlement principles, organizational arrangements, schedules, and arrangements for financing the involuntary resettlement;
- To provide the guidelines that govern the acquisition of land and/or asset loss, valuation principles, compensation procedures, and grievance handling systems;
- To define the eligibility criteria for the identification of Project Affected Persons (PAPs) and entitlements for compensation and other resettlement assistance;
- Describe the consultation procedures and participatory approaches involving PAPs and other key stakeholders in the planning, implementation and follow-up of the resettlement project activities;
- Describe implementation and monitoring arrangements; and
- Provide procedures for filing grievances and resolving disputes.

1.3 Principles of Resettlement Framework for DRIVE Project

This RF is guided by the following set of policy principles:

- Involuntary resettlement and land acquisition will be avoided where feasible, or minimized, by exploring all viable alternatives.
- Where involuntary resettlement and land acquisition is unavoidable:
 - a) Resettlement and compensation activities will be conceived and executed as sustainable development programs;

¹ De-Risking, Inclusion and Value Enhancement of Pastoral Economies in the Horn of Africa Project Appraisal Document.

- b) Displaced and compensated persons will be meaningfully consulted and have opportunities to participate in planning and implementing resettlement and compensation programs; and
 - c) Displaced and compensated persons will be assisted in their efforts to improve their livelihoods and standards of living or at least to restore them.
- The RF seeks to ensure that affected communities are meaningfully consulted, have participated in the planning and implementation process, adequately compensated to the extent that the pre-displacement incomes have been at least restored or improved and the process is fair and transparent.

The RF is therefore prepared to guide and govern the sub-components selected for financing and sets out the elements that will entail involuntary resettlement, which will not be known during the project appraisal. It ensures that any possible adverse impacts or proposed project activities are addressed through appropriate mitigation measures in particular, against potential risks.

1.4 Scope of the Resettlement Framework

The RF for the DRIVE project is prepared for all the sub-components under Component 2 whose exact nature and locations are not yet known and the scope and scale of resettlement aspects cannot be determined as a result. With this in mind, the preparation of the RF is delimited to the four regional states proposed as project areas in Ethiopia, namely: Somali, Afar, and parts of Oromia and SNNPR.

The major scope of work attained in this assignment includes:

- The relevant WB and Ethiopian policies have been thoroughly reviewed;
- Identified the key institutions and stakeholders authorized to carryout project-related land acquisition activities along with their respective mandates, roles and responsibilities;
- Review the draft ESMF and annexed Environmental and Social Management Instruments and prepare the Entitlement Matrix (EM) and outline of the Livelihood Restoration Plan (LRP) procedure for the DRIVE project. Also, the scope includes the preparation of the outline for site specific Resettlement Plan (RP);
- Reviewed existing grievance redress mechanisms (GRM), community based and/or mandated by law and application of the same in practice and suggest improvements to be implemented to comply with WB guidelines and Ethiopian legislative framework;
- Identified underserved communities (project-affected pastoral groups) and potentially disadvantaged or vulnerable individuals or groups that might be disproportionately affected by involuntary resettlement and propose mitigation measures accordingly; and
- Designed Grievance Redress Mechanism (GRM) of the project that is appropriate and accessible for all PAPs.

1.5 The Rational for the Resettlement Framework of DRIVE Project

As set out in WB ESS5 paragraph 25, where the likely nature or magnitude of the land acquisition or restrictions on land use related to a project with potential to cause physical and/or economic displacement is unknown, the Borrower is required to develop a Resettlement Framework (RF) establishing the general principles and procedures compatible with the ESS5. As stated earlier, the DRIVE project in Ethiopia proposes to finance sub-components with potential involuntary physical and economic displacement. But, the detailed design for the sub-components is yet to be finalized and the preparation of a Resettlement Plan (RAP) for those sub-components with potential involuntary resettlement cannot be undertaken presently. This necessitates the preparation of Resettlement Framework for the DRIVE project to guide in screening sub-components, carrying out census and socio-economic surveys and the preparation of RAP, wherever required. Therefore, this RF is prepared with the elaboration of the part of the project in Ethiopia.

1.6 Resettlement Framework Methodology

The preparation of this RF depends on both the primary and secondary methods of data collection. The following sub-sections provide further description of the resettlement framework methodology.

1.6.1 Desk review

The preparation of the RF profoundly reviewed related studies and documents. First, DRIVE related documents including PAD and draft ESMF were reviewed to obtain detailed information about the project. Second, relevant national and WB policy documents were reviewed to guide the proposed principles and procedures in the RF. Third, as DRIVE intends to complement existing interventions on pastoral production systems, previous WB supported pastoral development programs including the Pastoral Community Development Program (PCDP), the Regional Pastoral Livelihood Resilience Program (RPLRP) and the Productive Safety Net Program (PSNP) were reviewed to obtain information on the socio-economic conditions of the project areas. Finally, available empirical studies were reviewed to substantiate the socio-economic conditions of the project-affected communities and project target areas.

1.6.2 Stakeholder consultation

The collection of primary data through stakeholder consultation comprised two groups of people. The first group includes senior expertise and top management of the project implementing entities from federal to woreda level. About 18 experts and 8 top officials have been consulted through individual interviews conducted from December 8 to 17. Table 2 presents stakeholder consultation participants disaggregated by administrative level, organization, position and sex of the key informant.

1.6.3 Community Consultation

The second group includes members of the project-affected communities. Three wider community consultations were held. The first was held on 14th of December, 2021 in South Omo Zone Banna-Tsamy Woreda Mokach Kebele (SNNPR). The second community consultation was held on 18th of December, 2021 in Borena Zone Harakalo Woreda Germedu Sirba Kebele (Oromia region) and 12 participants took part. The third community consultation was held on December 16, 2021 in Zone 1 Dubuti Woreda (Afar region) where 14 participants took part in the consultation. Community consultation was held with the HUCs: The participants in each community consultation composed of clan leaders, elders, community representatives, representative of women and youth. Selected pictures of the participants and attendance sheet are annexed (see **Annex 12**). Attempts to organize community consultation in Somali region were unsuccessful due to serious security problem and drought resulted in famine throughout the region. However, effort was made to include the views of the local community through interviewing community representatives.

1.6.4 Procedures in sampling the Woredas

The selection of the sample woredas from the target regions was made taking into account: (a) the priority and design interventions areas of the MoA and MoTRI for improving livestock infrastructure, tracking and traceability, and diversifying destination markets for Ethiopian exports highlighted in Section 1.1 above; and (b) sub-components requiring land acquisition with potential involuntary resettlement as discussed under the Section 2.3 below. Table 3 presents number of participants of community consultation disaggregated by the selected Woredas.

Dubti Woreda was selected from Afar the region as it is located along one of the major Ethiopian livestock-export corridors, the Mile-Djibouti Trade Route, prioritized for the DRIVE project interventions. Banna-Tsamy Woreda was chosen from the SNNPR given that it is located

in the area with huge potential of livestock production in the region prioritized for the export market. Harakalo Woreda was selected from Oromia region for its location alongside the Moyale-Mombasa livestock export route. For both interests of the DRIVE project stated just before, therefore, the sample of these woredas can represent the interest of other pastoral areas in the respective target regions for the purpose of the RF. Furthermore, to represent the interest of various groups in the community, the participants in each community consultation composed of clan leaders, elders, community representatives, and representatives of women and youth.

2. PROJECT DESCRIPTION

The proposed project is a regional project and will cover four countries, namely: Ethiopia, Djibouti, Kenya and Somalia. In Ethiopia, the project will be implemented by the Ministry of Agriculture (MoA). The sub-sections to follow provide an overview of the project description.

2.1 Project Development Objective

The development objective of the DRIVE project is to de-risk pastoralists in the Horn of Africa including Ethiopia by: (i) protecting them against drought with enhanced financial access and risk transfer; and (ii) linking them better to markets through trade facilitation and the mobilization of private capital in the livestock value chains.

2.2 Project Components

The proposed project has two components. *Component 1 refers to De-Risk and Financing.* This component will involve scale up financial protection for pastoralists through de-risk pastoral groups from drought risk with a package of financial services that facilitate their connections to markets. To meet the needs of the pastoralists and provide cost-effective protection, the best financial products would be a mix of insurance and banking (savings and credit) products. Once de-risked from drought shocks and integrated into the value chains (through component 2), pastoralist groups will be better placed to access credit to expand their productive capacity. To achieve this, the major activities under Component 1 include:

- Support access to financial service to the pastoralist production group. This will involve two major interventions: first, transfer pastoralists' drought risk to the insurance market and mobilize the capital of private (re)insurance companies (local and international) on the total sum insured; and second, mobilize savings from pastoralists themselves that could be invested in other types of business, thus achieving income diversification and increasing their access to credit.
- Improve financial inclusion of pastoral communities with awareness creation and financial literacy activities. Awareness creation and financial education are necessary to

ensure that pastoralists are aware of how the insurance works and what to expect and to build trust in index insurance among pastoral communities.

- Outreach activities to women and youth to address the gender gaps and limited opportunities for access to financial service.

Component 2 involves Livestock Value Chains and Trade Facilitation. The Component 2 aims to better connect pastoralists to market, attract private investment into the value chains and facilitate the regional livestock trade. The component 2 in Ethiopia focuses on three national livestock trade routes (Mile-Galafi-Djibouti, Ethiopia-Kenya-Moyale, and Jijjiga-Togo Wajjale-Hargessa-Berbera corridors) and on the two value chains of live animals and livestock products. As described in the PAD, livestock exports in Ethiopia faces various constraints along the aforesaid export corridors. That is because the livestock value chain is highly dominated by middlemen who export livestock through informal channels into major destination markets in the Middle East. Besides, livestock exports in Ethiopia face major challenges including informal trade, under/over invoicing, poor transportation logistics, poor production and sourcing, poor quality assurance, lack of traceability, and price management. To address these problems, the support to the livestock value chains and trade facilitation will undertake activities that center on three sub-components: i) upgrading quality infrastructure and capacity building; ii) facilitation of regional livestock trade; and iii) support for local productive capacities in connection with the regional livestock corridor.

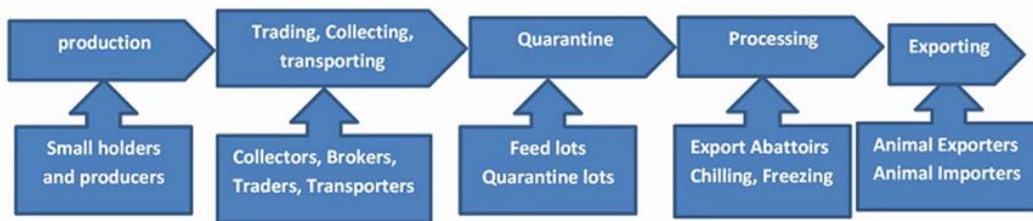


Figure 1: Steps in the Livestock Value chains (Meat and Live Animals)

2.3 Sub-components Potentially Require Land Acquisition

As recognized in ESS5, project-related land acquisition and/or restrictions on land use can have adverse impacts on communities and persons. The adverse impacts of DRIVE project-related land acquisition and/or restrictions on land use are anticipated as *physical displacement* (relocation, loss of residential land, or loss of shelter), *economic displacement* (loss of land, assets, or access to assets leading to loss of income sources or other means of livelihood), or both. Based on the finding of the ESMF, no potential risks of land acquisition and resettlement are identified for the project activities under De-Risk and Financing (Component 1). Whereas, the implementation of all the three sub-components under the Livestock Value Chains and

Trade Facilitation (Component 2) will require land acquisition with anticipated adverse impacts of involuntary resettlement on the project affected communities in general or individual households in particular.

Sub-component 2.1: Upgrading quality infrastructure: This will involve the construction of livestock quarantine centers in different livestock export routes in Ethiopia including the Jigjiga-Berbera and Mile-Djibouti trade routes. Also, the activities in this subcomponent will support livestock labs, testing centers, and veterinary clinics built by private companies inside or in the vicinity of livestock export quarantine centers. The implementation of each of these activities necessarily requires acquisition of large land size that may involve the expropriation of private, communal land, restriction on land use or all.

Sub-component 2.2: Facilitation of regional livestock trade: This will support live animal exporters, upgrading or construction of new abattoirs and feasibility study for the construction of livestock export transfer stations or rest stops. The process of land acquisition for each of these project activities will necessitates the expropriation of private, communal land, restriction on land use or all.

Sub-component 2.3: Seed capital to private investors in livestock sector: This will support value chains livestock productions by private investors and business enterprises including large-scale animal fattening for live animal export, large-scale modern fodder production, and the production of grass-fed red meat, livestock processing industry. Like the other two sub-components stated before, the implementation of each of these activities requires acquisition of large land size that may involve the expropriation of private, communal land, restriction on land use or all.

Thus, to manage any adverse impacts due to land acquisition for the aforesaid sub-components, the descriptions of the DRIVE RF in the sub-sections to follow provide a guide to valuation procedures as per the Ethiopian legal framework (Proclamation No. 1161/2019 and Regulation No. 472/2020) and the WB ESS5.

2.4 DRIVE Project Target Regions

The DRIVE project targets the four regional states in Ethiopia where the overwhelming majority (92%) of the pastoral communities occupy, namely: Afar, Somali, and parts of Oromia and the Southern Nations, Nationalities and People's (SNNP). The Afar as an ethnic group occupies Afar Regional State. The region is located in north-eastern Ethiopia sharing an international border with Eritrea and Djibouti while bordering Somali region in the south-east and Amhara region in the west. The area occupied by the Afar pastoral communities is part of the Awash-Mille-Djibouti highway, one of the three international livestock trade-routes proposed in the DRIVE project. Having a total area of 100,860 km², the region is the fourth largest in Ethiopia. It is

divided into 5 zones and 30 districts (*woredas*). The DRIVE project targets the pastoralists in the entire region.

The Somali pastoralists live in the Somali regional state located in the eastern and southeastern lowlands of Ethiopia. It borders the Republic of Djibouti in the north, the Somali republic in the east, the Oromia region from south to northwest, and the Afar region in the north and northeast. The total land area of the region is about 327,000 km², equivalent to 30% of the national land area. It is divided into nine sub-regional administrative zones that include the Shinile, Jijiga, Fike, Dege-Habur, Warder, Koraha, Gode, Afder and Liben zones. The Somali pastoral communities are located along the Jijiga-Berbera trade-route the second route proposed in the DRIVE project for the intervention through the livestock value chains and trade facilitation (MoWIE 2017).² Like the case for Afar, the DRIVE project targets the pastoralists in the entire region.

Unlike the Afar and Somali regions, the DRIVE project covers parts of Oromia (Borena, Guji and West Guji zones) and SNNP (South Omo zone) regional states where pastoralists and agopastoralists are living than targeting for the entire region. The Borena pastoral communities are living in the Borana zone. It is among the 20 administrative Zones in Oromia regional state.

The SNNPRS is where more than 50 different ethnic groups are living. About 80 percent of the population in the region lives in the highland areas (an area representing 40 percent of the regional land holding) and predominantly subsist based on agricultural production. While the remaining 20 percent of the population live in the arid and semi-arid areas (an area representing 60 percent of the regional land surface) and primarily earn their livelihood based on pastoral activities (Yohannes et. al, 2005).³ Despite occupying in other zones and special woredas, the pastoral communities in SNNPR are concentrated in the South Omo zone. It is bordered on the south by Kenya, on the west by Bench Maji, on the northwest by Keficho Shekicho, on the northeast by the Dirashe and Konso Special Woredas, and on the east by the Oromia Region. Typical about South Omo zone as compared to other project target areas is the existence of 14 different pastoral groups. These ethnic groups comprise Ari, Banna, Hamer, Dasenech, Nyangatom, Kara, Mursi, Bodi, Tsemay, Male, Arbore, Dime, Bacha, and Kwegu.

2.5 Project Beneficiaries

² EFDR Ministry of Water, Irrigation and Electricity. (2017). Ground Water Evaluation and Assessment Project of Borena Area. Addis Ababa: MoWIE.

³Yohannes et.al. (2005). Addressing Pastoralist Conflicts in Ethiopia. Africa Peace Forum Report.

The project targets two types of beneficiary. *The first group* includes pastoralists or agro-pastoralists that live in the arid and semi-arid areas of the Somali, Afar, Oromia and SNNP regions where 92% of the pastoral communities exist. But the DRIVE project will target pastoralists in groups who have the capacity to become productive. *The second group* targets private investors in the livestock value chains that can lead to higher incomes for pastoral producers. This identifies the involvement of private and financial sector firms that bid for premium support, large business window and women and youth-owned enterprises window.

3. LEGAL AND INSTITUTIONAL FRAMEWORK

To determine the legal and institutional framework for the design and implementation of the proposed mitigation measures in the RF, this section presents the review of the national and WB policies, guidelines and legislation relevant to the DRIVE project's resettlement aspects.

3.1 Applicable National Legislations

The Federal Democratic Republic of Ethiopia has formulated policies and proclamations adapted by the Regional States over the last three decades or so. The most relevant to the subject matter under discussion are assessed as follows.

3.1.1 *The Constitution of the FDRE*

According to Article (40) of the 1995 Constitution of the EDRF, every Ethiopian has the right to the ownership of private property. This right includes the right to acquire, to use and, in a manner compatible with the rights of other citizens, to dispose of such property by sale or bequest or transfer. However, this right can be limited or modified by law where "public purpose" so demands. The Constitution also states that every Ethiopian shall have the right to the immovable property he/she builds, and to the permanent improvements he/she brings about, on land by his/her labor or capital including the right to alienate, bequeath and where the right of use expires, remove his/her property, transfer his/her title or claim compensation for it (Article 40(7)). The Constitution further stipulates that the government has the power to expropriate private property for public purposes subject to payment, in advance, of compensation 'commensurate' to the value of the property (Article 8).

The Constitution of the FDRE recognizes resettlement and rehabilitation as the civic rights of the citizens. Article (44), Sub-Article (2) has a clause stating that: "All persons who have been displaced or whose livelihoods have been adversely affected as a result of state programs have the right to commensurate monetary or alternative means of compensation, including

relocation with adequate state assistance.” This is the basis for the compensation procedures and the legal framework for the resettlement and rehabilitation policy framework of Ethiopia.

3.1.2 Proclamation No. 1161/2019

The FDRE Peoples Representative Council has recently rectified Proclamation No.1161/2019 that deals with “Expropriation of Land for Public Purposes, Payments of Compensation and Resettlement of Displaced People”, and replaced Proclamation No. 455/2005 that has been in practice for the last fifteen years. The new Proclamation has included different provisions but the most notable one are related to displacement compensation and the compensation to communal land holders. In relation to displacement compensation it has replaced the provision as “where equivalent substitute land is not available, the land holder 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” (Article 13 (1) (b & c). Another notable inclusion in Proclamation No. 1161/2019 which is not incorporated in the previous Proclamation No. 455/2005 concerns displacement compensation for communal landholding. Proclamation No. 1161/2019 obliges the Regional States and City Administrations (Addis Ababa and Dire Dawa) 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)).

Article 19, Sub-Article (1-2) stated: “Any person who received an order of expropriation of his landholding; or who has an interest or claim on the property to be expropriated may file an application within 30 days to the Complaint Hearing Body. While Article (19), Sub-Article (2) described on how such Complaint Hearing Body is established. As asserted in Article (20), Sub-Articles (1): “A party who is aggrieved with decision give shall file an appeal to the Appeal Hearing Council within 30 (thirty) days of the receipt of the written notice of the decision thereof. If the party feels that his grievance is unresolved by the Appeal Hearing Council, he have the right to appeal to the Regional High Court within 30 days of the receipt of the decision in writing (Article (20), Sub-Article (2)) Further legal details of the Expropriation of Land for Public Purpose, Payments of Compensation and Resettlement of Displaced People (Proclamation No. 1161/2019) are given in **Annex 2**.

3.1.3 Regulation No. 472/2020

The valuation methods in Proclamation No. 1161/2019 have recently been revised in the Council of Ministers Regulation No. 472/2020 replacing the previous Regulation No. 135/2007. The new Regulation provides details of property valuation and compensation methods.

Accordingly, Article 13 (1-10) of the Regulation has set out the valuation formula to be used to compensate for the affected properties and crops as follows:

1. *Compensation for building* = Current building cost + permanent improvement cost.
2. *Compensation for Fence* = unit price of fence in meter square /meter cube X total size of the fence in meter square /meter cube.
3. *Compensation for relocated property* = cost of removal + cost of loading/offloading + cost of transport + cost of installation or and connection.
4. *Compensation for crops* = area per hectare x current market value of crop per quintal production per hectare in quintal + cost of permanent improvement on land.
5. *Compensation for ripe perennial crops* = yield of perennial crop from a single plant /legs in kilogram x the number of plats legs + cost incurred to grow perennial crops with the current +cost of permanent improvement on land.
6. *Compensation for unripe perennial crops* = number of plant legs X cost incurred to grow
7. *Compensation for fruitless trees* = (large trees in number X Local current price of one tree +(medium tree in number X local current price of one tree)+(small tree in number x local current price of one tree) +(number of seedling/unripe tree x local current price of one seedling unripe tree)+cost of permanent improvement on land.
8. *Compensation for protected grass* = area covered by the grass with square meter x yield of grass with current local per meter square +cost of permanent improvement on land
9. *For rural land holder who does not receive replacement farm land displacement compensation* = annual income x 15
10. *For rural land holder who is not granted a replacement farm land and is temporarily removed developmental compensation* = Temporary land lease rate per hectare x Annual income per year.

For further legal reference, details of the Regulation No. 472/2020 on compensation assessment, valuation formula, support for displaced people, and resettlement package are provided in **Annex 3**.

3.1.4 Policies and Legislations of the Project Target Regional States

As provided in the Federal Rural Land Administration and Land Use Proclamation No.456/2005, the respective project target Regional States issued policies and legislations concerning resettlement matters involving pastoralists and agro-pastoralists. In general, it is reviewed that the policies, proclamations, and regulations of the Regional Governments are an exact replica of those of the Federal Government. Thus, the effort to formulate regional land related policies/proclamations adds no new things on the management of involuntary resettlement. For instance, the Proclamation No. 128/2013 of the Somali Regional State re-emphasizes that the ownership of the right of the pastoralists to use the rural land is exclusively confirmed in the Constitution of Federal Democratic Republic of Ethiopia. Likewise, the contention of the Somali Regional Government to establish a land administration system and legal framework is to reinforce the procedures, compensation and packages of resettlement due to the expropriation of land for public purposes.

The Afar Regional State Land Use and Management Proclamation No. 49/2009 reaffirm that individuals and communities can lose land use rights if the land is to be used for higher public purposes and the procedures of expropriation and compensation for the displaced persons or communities are strictly put in place as provided in the Federal Proclamation No. 456/2005 (Articles (12, 15, and 18). The Oromia Regional State Land Use and Management Proclamation No. 147/2009 allow the expropriation of individual and communal land for public purposes. However, as stated in Articles (8-11), the land is taken only after prior notice to the holder and payment of fair compensation as stipulated in the Federal Proclamation No. 456/2005. Compared to the project target regions mentioned above, the SNNPR Proclamation No. 110/2007 is different. The Proclamation focuses mainly on peasants; provisions concerning pastoralists and agro-pastoralists are scattered, implying that the proclamation lacks focus on pastoralists' land issues.

3.2 Applicable World Bank Policy

The World Bank Environmental and Social Policy for Investment Project Financing sets out the requirements that the Bank must follow regarding projects it supports through Investment Project Financing. The World Bank's Environmental and Social Framework (ESF) provides Environmental and Social Standards (ESSs) which are designed to ensure that programs/projects proposed for Bank financing are designed and executed in an environmentally and socially sustainable manner. Out of the ten ESSs, all of them except the ESS8 on Cultural Heritage are relevant and will be applicable for the DRIVE project.

More importantly, the ESS5 on Land Acquisition, Restriction on Land Use and Involuntary Resettlement is especially relevant for this RF and subsequent resettlement plans and operations of the proposed DRIVE, as well as ESS10 on Stakeholder Engagement and Information Disclosure, ESS 1 on Assessment and Management of Environmental and Social Risks and Impacts) and ESS 7 on Sub-Saharan African Historically Underserved and Traditional Local Communities (SSAHUTLCs) are also significant. The main aspects of WB ESS5, ESS7 and ESS10 are directly linked to this RF and, therefore, they are discussed in more details below.

3.2.1 ESS5: Land Acquisition, Restriction on Land Use and Involuntary Resettlement

ESS5 (paragraph 2) recognizes that physical and economic displacement may give rise to severe economic, social and environmental risks: production systems may be dismantled; people face impoverishment if their productive resources or other income sources are lost; people may be relocated to environments where their productive skills are less applicable and the competition for resources greater; community institutions and social networks may be weakened; kin groups may be dispersed; and cultural identity, traditional authority, and the potential for mutual help may be diminished or lost. For these reasons, the WB policy asserts, involuntary resettlement should be avoided. Where involuntary resettlement is unavoidable, it will be minimized and appropriate measures to mitigate adverse impacts on displaced persons (and on host communities receiving displaced persons) will be carefully planned and implemented.

According to the WB policy, for projects it finances, when project-related land acquisition or restrictions on land use (whether permanent or temporary) cannot be avoided, the Borrower will offer affected persons compensation at replacement cost, and other assistance as may be necessary to help them improve or at least restore their standards of living or livelihoods, subject to the provisions of paragraphs 26 through 36 of ESS5. Though further applicability will be established during the environmental and social assessment described in ESS1, the scope of the entitlement of the involuntary resettlement is provided in ESS5 (paragraphs 4 through 9) while the eligibility classification and resettlement procedures are set out in paragraphs 10 through 18. Yet, assessment procedures and compensation terms for physical displacement is provided in paragraph 26 through 32 and for economic displacement in paragraphs 33 through 36. The minimum contents of the Resettlement Plan are annexed with this RF (**Annex 4**).

3.2.2 ESS7: Indigenous Peoples/Sub-Saharan Historically Underserved Traditional Local Communities (IP/SSAHUTLCs)

ESS7 sets out the need to recognize the differential impacts of involuntary resettlement from project-related land acquisition on the life of the IP/SSAHUTLCs. It asserts that IP/SSAHUTLCs have identities and aspirations that are distinct from mainstream groups in national societies and often are disadvantaged by traditional models of development. In many instances, they are among the most economically marginalized and vulnerable segments of the population. Their economic, social, and legal status frequently limits their capacity to defend their rights to, and interests in, land, territories and natural and cultural resources, and may restrict their ability to participate in and benefit from development projects. In many cases, they do not receive equitable access to project benefits, or benefits are not devised or delivered in a form that is culturally appropriate (paragraph 3).

For this reason, in ESS7 paragraph 26, the WB policy set out additional provision exclusive to IP/SSAHUTLCs. It states that IP/SSAHUTLCs may be particularly vulnerable to the loss of, alienation from or exploitation of their land and access to natural and cultural resources. In recognition of this differential vulnerability, in addition to the aforesaid General Requirements stated in ESS5, the Borrower will require to obtain the Free Prior Informed Consent (FPIC) of the project-affected IP/SSAHUTLCs in circumstances in which project-related land acquisition will: (a) have adverse impacts on land and natural resources subject to traditional ownership or under customary use or occupation; (b) cause relocation of IP/SSAHUTLCs from land and natural resources subject to traditional ownership or under customary use or occupation; or (c) have significant impacts on IP/SSAHUTLCs' cultural heritage that is material to their identity and/or cultural, ceremonial, or spiritual aspects.

3.2.3 ESS10: Stakeholder Engagement and Information Disclosure

ESS10 recognizes the importance of open and transparent engagement between the project implementing agencies (MoA and MoTRI) and project stakeholders as an essential element of good project management practice. To this end, for any project-related environmental and social impacts, stakeholder engagement needs to be an inclusive process conducted throughout the project life cycle. However, in the case of projects involving involuntary resettlement and

IP/SSHSTLCs, the provision of the ESS10 set out the requirement of the special disclosure and consultation procedures including:

- The project implementing agencies (MoA and MoTRI) require to engage with stakeholders throughout the project life cycle, commencing such engagement as early as possible by disclosing the nature and scale of impacts (potential positive as well as negative impacts) of the proposed project. Project information is disclosed in relevant local languages and in a manner that is accessible and culturally appropriate, taking into account any specific needs of groups that may be differentially or disproportionately affected by the project or groups of the population with specific information needs (such as, disability, literacy, gender, mobility, differences in language or accessibility).
- The nature, scope, and frequency of stakeholder engagement will be proportionate to the nature and scale of the project and its potential risks and impacts.
- Stakeholder engagement is the continuing and iterative process by which the MoA and MoTRI identify, communicate, and facilitate a two-way dialogue with the people affected due to project-related land acquisition. The aim of consultations is to engage in a meaningful dialogue with the project affected individuals or communities to discuss their concerns and receive input for the preparation of the appropriate mitigation plans.
- The MoA and MoTRI require identification of those project-affected parties (individuals or groups) who, because of their particular circumstances, may be disadvantaged or vulnerable. Accordingly, the preparation of the RF gathers different concerns and priorities about project impacts, mitigation mechanisms, and benefits. In particular, the stakeholder engagement plan describes the measures that will be used to remove obstacles to participation, and how the views of differently affected individuals or groups will be captured.

3.3 Comparison of the Ethiopian Legal Framework with World Bank ESS5

As reviewed in the preceding sections, the Ethiopian and WB's legal frameworks complement each other on many grounds. For instance: both cover objectives and principles of land acquisition and involuntary resettlement; and the assessment procedures and valuation methods of both depend on replacement cost. Nevertheless, there are gaps and differences as well between the Ethiopian and WB's legal provisions on involuntary resettlement. One notable gap observed in the Ethiopian legal framework is related to the provision on voluntary land donations, whereas the ESS5 has addressed it. The other gap is related to entitlements for payment where, according to the Ethiopian legal framework, the rights to compensation are essentially based on the right of ownership which limits the rights of non-formal occupants like slum dwellers and tenants while the WB's provision addresses the limitation. This RF will adhere to the Ethiopian legal framework as reviewed above and the WB ESS5 and ESS7 in its recommendations. In case of gaps and contradictions between the two sets of provisions, the instrument that provides and guarantees greatest benefit to the PAPs will prevail. Table 1 summarizes comparison of the Ethiopian legal framework with the WB ESS5 on key dimensions.

Table 1: Comparison of the Ethiopian Legal Framework with World Bank's ESS5 on Key Resettlement Themes

Theme	Ethiopian legal framework	WB ESS5	Gap filling measures
Policy objective	<p>The constitution of Ethiopia and Proclamation No 1161/2019 give power to Woreda or urban administrations to expropriate rural or urban landholdings for public purpose where it believes that it should be used for a better development. Article 12(5) states that the cost of removing, transporting, and erecting the property shall be paid as compensation.</p>	<p>In comparison, ESS5 requires that:</p> <ul style="list-style-type: none"> -Involuntary resettlement should be avoided wherever possible or minimized by exploring alternatives. -Displaced persons should be assisted in improving livelihoods etc. or at least restoring them to previous levels. -Avoid forced eviction -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 -Resettlement activities are planned and implemented with appropriate disclosure of information, meaningful consultation and the informed participation of those affected. 	<p>In the DRIVE RF, the WB's ESS5 overall objectives shall be applied to avoid forced eviction; avoid or minimize involuntary resettlement and to ensure meaning full consultation and appropriate disclosure of information throughout the process.</p>
Project-affected squatters or illegal settlers	<p>Ethiopian law does not make any specific accommodation for squatters or illegal settlers, other than recognition of some use-rights, such as when settlers can claim rights to the land; according to the Proclamation No. 1161/2019 Article 21 (2) ``where Land is under illegally occupied, the Woreda or Urban Administration may takeover of the land after removing the property, demolishing building on the land``.</p>	<p>Whereas, the applicability of the WB ESS5 extends to those PAPs who have no recognizable legal right or claim to the land or assets they occupy or use (paragraph 10 (c)).</p>	<p>The DRIVE RF applies those involuntary displacement benefit packages provided in the WB's ESS5.</p>
Project-affected IP/SSAHUTLCs	<p>The Ethiopian legal framework has no specific provision that recognize the differential adverse impacts on the life of the project-affected IP/SSAHUTLCs caused due to project-related land acquisition.</p>	<p>In contrast, the WB policy set out additional provision exclusive to the project-affected IP/SSAHUTLCs. It states that IP/SSAHUTLCs may be particularly vulnerable to the loss of, alienation from or exploitation of their land and access to natural and cultural resources. In recognition of this differential vulnerability, in addition to the</p>	<p>This RF applies the WB ESS7 that set out the differential resettlement measures for the project-affected IP/SSAHUTLCs.</p>

Theme	Ethiopian legal framework	WB ESS5	Gap filling measures
		General Requirements stated in ESS5, ESS7 (paragraph 26) requires the Borrower to obtain the Free Prior Informed Consent (FPIC) of the project-affected IP/SSAHUTLCs in circumstances in which project-related land acquisition will: (a) have adverse impacts on land and natural resources subject to traditional ownership or under customary use or occupation; (b) cause relocation of IP/SSAHUTLCs from land and natural resources subject to traditional ownership or under customary use or occupation; or (c) have significant impacts on IP/SSAHUTLCs' cultural heritage that is material to their identity and/or cultural, ceremonial, or spiritual aspects.	
Project-affected marginalized and vulnerable groups	Ethiopian law makes no specific accommodations for potentially vulnerable groups such as women, children, the elderly, the landless, people with disability, and those living under the poverty line.	In comparison, the WB ESS5 recognizes that these groups are at highest risk to experience negative effects due to resettlement, and should receive special consideration during the preparation of a resettlement policy framework to assure that they can maintain at least the same standard of living after displacement takes place (GN12.4)	The differential resettlement mitigation measures in the WB ESS5 will prevail in the DRIVE RF.
Responsibilities of the project	Article 5 of Proclamation No.1161/2019 sets out the responsibilities of the implementing agency requiring them to gather data on the land needed and works, and send this to the appropriate officials for permission. It also requires them to pay compensation to affected landholders	-According to ESS5 (paragraphs 20 and 22), the borrower is responsible for conducting a census and preparing, implementing, and monitoring the appropriate resettlement instrument. -Also, the WB policy requires the Borrower to establish effective procedures to monitor and evaluate the implementation of the plan and will take corrective action as necessary during the implementation of the RAP to achieve the objectives of the ESS5 (paragraph 23).	As per the World Bank requirements, project processes included screening, a census, and the development of a plan, management of compensation payments and monitoring and evaluation of success. It must also include proper consultation with the affected parties through the process.
Resettlement instruments	The Proclamation No. 1161/2019, Article 16 (1,2,&3) states establishing fund for compensation payment and rehabilitation, developing resettlement packages that enable displaced people to sustainably resettle and shall have the duty to resettle	Requires a resettlement instrument in form of a resettlement action plan, Resettlement Framework or livelihood restoration plan (in case of economic displacement).	-This RF together with the status, detailing the persons and property affected and any additional plans for livelihood restoration prepared by the MoA and MoTRI shall together form the equivalent of a resettlement

Theme	Ethiopian legal framework	WB ESS5	Gap filling measures
	the People displaced on the basis of the resettlement package and allocated budget.		<p>plan/livelihood restoration plan for the DRIVE project.</p> <p>-Based on WB ESS5, a Resettlement Action Plan should be prepared for any sub-components that result in physical or economic displacement. MoA and MoTRI undertaking projects that entail land acquisition that require physical displacement of people will prepare a LRP. The scope and level of detail of the RAP will vary with the magnitude of displacement and the complexity of the measures required to mitigating adverse impacts. In all cases, the RP and LRP will describe the manner in which the objectives of ESS5 will be achieved.</p>
Cut-off date	The Proclamation No.1161/2019 stated that properties added after the expropriation notification is given to the land holders are not compensated. The Ethiopian legal framework lack clarity on the point.	Unlike the Ethiopian legal framework, the WB ESS5 provides clear provision: Persons occupying the program area after the cut-off date are not eligible for compensation and/or resettlement assistance. Similarly, fixed assets established after the cutoff date are not eligible for compensation.	Cut-off date should be set and communicated properly with all key stakeholders including PAPs and apply whenever needed
Consultation and disclosure of information	Article 92 of the constitution provides - People have the right to full consultation and to the expression of views-in the planning and implementation of environmental policies and projects that affect them. This does not explicitly specify consultation with affected persons through the process and no requirement of document disclosure.	However, the WB policy is clear on the point. That is, ESS5 requires that affected communities be consulted regarding project implementation, opportunity to participate, implement, and monitor resettlement activities.	The project as per the ESS 10 shall ensure adequate, inclusive and participatory consultation is implemented and all project documents are publicly disclosed.
Compensation	-According to Proclamation No.1161/2019, compensation for payment of improvement to land shall be	As per the WB ESS5: -Replacement cost is defined as a method of valuation yielding compensation sufficient to replace assets, plus	The WB requirements and the new Ethiopian proclamation for compensation must be followed as per

Theme	Ethiopian legal framework	WB ESS5	Gap filling measures
	<p>equal to the current value of the capital and labor expended on the land. For relocation of the property on the land, the cost of removing, transporting, and erecting, the property shall be paid as compensation (Article 12, sub-articles1-5). -Depreciation value of the properties could not be considered during payment of compensation. The Proclamation further states, the amount of compensation for property on the land shall cover the cost of replacing the property anew. Likewise, the minimum compensation payable to a housing unit might 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 or City Administration (Article (12), Sub-Article (6)).</p>	<p>necessary transaction costs associated with asset replacement.</p> <p>-Where functioning markets exist, replacement cost is the market value as established through independent and competent real estate valuation, plus transaction costs. Where functioning markets do not exist, replacement cost may be determined through alternative means, such as calculation of output value for land or productive assets, or the undepreciated value of replacement material and labor for construction of structures or other fixed assets, plus transaction costs. In all instances where physical displacement results in loss of shelter, replacement cost must at least be sufficient to enable purchase or construction of housing that meets acceptable minimum community standards of quality and safety.</p> <p>-The valuation method for determining replacement cost should be documented and included in relevant resettlement planning documents.</p>	<p>WB ESS5 and Proclamation No. 1161/2019. Thus, HoA-RECORD project will follow the compensation procedure for the lost assets at full replacement cost, which is in line with the provisions stated in the ESS5 [Paragraph 29 and footnote #22) and the Proclamation (Article 12 (2)), and in so doing meet replacement cost standard or exceed the market value (which would be lower if the asset has been subject to depreciation).</p>
Timing of compensation payments	<p>Proclamation No. 1161/2019 (Article 9, Sub-Article (1-3)) indicated the Responsibility of the land requiring body shall submit to the City or Woreda administration and the decision that shows the size and exact location of the land and to be expropriated at least one year before the commencement of the project and pay the money required for compensation and resettlement to the respective City or Woreda Administration.</p>	<p>As per the WB ESS5 (GN23), compensation for lost land and assets shall be paid prior to the client taking possession of this land or assets and where possible people shall have been resettled at, their new sites and moving allowances paid to them.</p>	<p>-Payment of compensation and support for displaced person should always be effected before the land is handed over, as per the requirements of WB ESS5 and Proclamation No. 1161/2019 of the Ethiopian government.</p> <p>-To ensure that all compensations are paid prior to possession of the expropriated property, DRIVE project shall institute accessible, objective, systematic and empowered grievance management mechanisms.</p>

3.4 Implementation Arrangements for the RF

3.3.1 Ministry of Agriculture (MoA) and Ministry of Trade and Regional Integration (MoTRI)

The main Agencies involved in the implementation of the RF will be the MoA and MoTRI. These Ministerial Organizations have been implementing several WB financed national projects such as the Productive Safety Net (I-V) for years. Thus, they have Project Implementing Units (PIU) responsible for the day-to-day implementation of project ESMPs and they will continue to use the existing PIUs for the implementation of the DRIVE RF. However, the existing PIUs need to be strengthened with qualified staff and resources. This requires staffing the PIU with experienced Environmental Safeguards Specialist, Social Safeguards Specialist, Gender-Based Violence Specialist (GBVS), Security Risk Management Specialist (SRMS), and Procurement Specialists (PS).

The PIU, which the MoA and MoTRI jointly establish, will have overall responsibility for the implementation of the DRIVE Project and will act as the central institutional arrangement in the MoA and MoTRI responsible for holding all information relevant to the RF and subsequent RAPs. The specific responsibilities of the PIU related DRIVE RF include:

- Closely work with the relevant implementing arrangements at the federal, regional, woreda and local community level as describe earlier.
- Closely working with and oversees the RP preparation team or designate group of expert consultants. For each individual or household affected by the sub-components activities, the RP preparation team or designated group of expert consultants will complete a Compensation Report containing necessary personal information on the PAPs and their household members; their total land holdings; inventory of assets affected; and demographic and socio-economic information for monitoring of impacts. This information will be documented in a Report, and ideally should be witnessed by an independent or locally acceptable body or Community Resettlement Committee (RC) or Asset Valuation Committee (AVC). CRC or AVC will compose of Kebele leader, DRIVE Project Focal Person, local elders (clan leaders, religious leaders), representative of the project-affected persons, and representative of the disadvantaged or vulnerable groups. The major tasks of the CRC or AVC is to check those project affected persons who want to make unfair advantage of compensation through over-reporting of assets lost or those who unfairly treated in the compensation assessment. One possible way of doing so is through witnessing or validating the report of the inventory of assets affected which the RP preparation team or designate group of expert consultants produced for the resettlement compensation. Besides, the CRC or AVC will have the following responsibilities:
- Explain all types of compensation to the PAPs. These refer especially to the basis for valuing the land and other assets.

- Once the PAPs are appropriately informed and consensus is made on method of asset valuation, the PIU will produce a Contract or Agreement that lists all property and assets being acquired by the sub-component and the types of compensation selected.
- Manage of the RP and LRP implementation, budget allocation, coordination and monitoring and evaluation. Monitor the restoration of services/utilities affected by the construction works, such as water supply and power supply.

3.3.2 Regional level

Regional States: As per Proclamation 1161/2019 (Article 19 (1) and (2)), the main responsibilities of the regional states shall include: (a) establish fund for compensation payment and rehabilitation; (b) develop resettlement packages that enable displaced people to sustainably resettle; and (c) provide political and administrative support for the implementation of the RP and LRP.

Regional Cabinet: As per the Proclamation No. 1161/2019, the Regional Cabinet is the highest regional decision making body with regards project-related land acquisition. A woreda or an urban administration as an agent of the government, can expropriate rural or urban land holdings for public purpose. However, the procedures of the land expropriation must be determined based on the plan and approved by an appropriate federal body or Regional Cabinet.

Regional Grievance Redress Management Committee (RGRMC): The RGRMC is the highest appeal hearing body before the grievance referred to the formal court option. The members of the RGRMC shall be composed of the representative from the Region or City Council, DRIVE Focal Person, representatives from beneficiaries, elders, traditional and religious institutions, youth and women groups and officer from the Regional/City Labor and Social Affair Office. The RGRMC will collect unresolved complaints from the Woreda Grievance Redress Management Committee (WGRMC), serious review the decision by the WGRMC and make possible efforts to resolve the complaints.

3.3.3 Woreda level

Woreda or Urban Administration (WUA): According to Proclamation No. 1161/2019, the WUA acts as an agent of the government to expropriate rural or urban land holdings for public purpose where the Regional Cabinet approves that it can be used for a better development project to be carried out by public entities, private investors or other organs with payment of compensation. As set out in the same Proclamation, any holder who has been served with an expropriation order should handover the land to the WUA within ninety days from the date of payment of compensation. Besides, the WUA has the following responsibilities:

- The Woreda or Urban Administration Office in the project will have a major role and responsibility in the planning and implementation of the resettlement activities. The woreda administrations will be the main contact and is also responsible to facilitate the relocation of PAPs and work closely with the Regional States, PIU, and FAPP.

- Establishing Resettlement and Implementation Committee and the Property valuation committees.
- Coordinating the valuation process and facilitate compensation for PAP.
- Facilitating land for land compensation.
- Facilitating the relocation sites and the restoration of services.
- Maintain data of properties removed from expropriated land.

Woreda Grievance Redress Management Committee (WGRMC): The members of the WGRMC shall be composed of representative of the Woreda/Sub-city Council, DRIVE Focal Person, elected person from beneficiaries (sub-components participants), representatives from elder groups and religious institutions, representatives from youth and women groups, and social worker from the Woreda/Sub-city Women and Social Affairs Office. The W/SGRMC shall review the decision by the KGRMC and make decision on the cases of the complaints. At every step of decision making, the WGRMC is closely working with the local Community Resettlement Committee or Asset Valuation Committee that discussed above.

3.3.4 Kebele level

Kebele Administration: Kebele administrations provide advice on the fairness in relocation process and valuation of compensation and coordinate on the support to be made for vulnerable groups. They work closely with woreda resettlement/compensation committee and property valuation committee. Kebele administration has the direct contact with PAPs and the focal point to address the problems issues to be raised by PAPs.

Kebele Grievance Redress Management Committee (KGRMC): This venue will help to resolve issues and complaints of affected person at the earliest point to make the process faster and cost effective. If the complaint not resolved, the project affected person shall be advised to present his/her complaints to the next level of Appeal Hearing Body, that is, the WGRMC. The members of the KGRMC shall include the Kebele administration or council member, the DRIVE Focal Person, persons represented from the sub-components beneficiaries (participants), elected community elders, members of local youth and women groups, and social worker from the Labor and Social Affairs Office.

3.3.5 Local community level

In DRIVE RF, the principle of subsidiary which retains decisions at the lowest appropriate level underpins the institutional arrangements for the practice of the social safeguards and implementation of the resettlement plan.

Community Resettlement Committee (CRC): The CRC members consist of local elders, religious leaders, and representatives of women and youth. The CRC will be part of the property

inventory and valuation process. Besides, the CRC will serve as the advisory body from planning through the implementation of the resettlement plan. Also, the CRC will play the responsibility to mediate between the project implementing agency and project affected communities and persons in cases of disagreement in the process of implementing the RPs. Furthermore, the CRC will assume the responsibility of monitoring the implementation of RPs by the community.

Project affected communities and persons: The Borrower will engage with affected communities and persons including host communities, through the process of stakeholder engagement described in ESS10. Decision-making processes related to resettlement and livelihood restoration will include options and alternatives from which project affected communities and persons may choose. Disclosure of relevant information and meaningful participation of affected communities and persons will take place during the consideration of alternative project designs and thereafter throughout the planning, implementation, monitoring, and evaluation of the compensation process, livelihood restoration activities, and relocation process.

3.3.6 Collaboration with other responsible agencies or sub-national jurisdictions

The MoA and MoTRI will establish means of collaboration between the agency or entity responsible for project implementation and any other governmental agencies, sub-national jurisdictions or entities that are responsible for any aspects of land acquisition, resettlement planning, or provision of necessary assistance. In addition, where the capacity of other responsible agencies is limited, the MoA will actively support resettlement planning, implementation, and monitoring. If the procedures or standards of other responsible agencies do not meet the relevant requirements of this ESS, the Borrower will prepare supplemental arrangements or provisions for inclusion in the resettlement plan to address identified shortcomings.

4 GENERAL INSTITUTIONAL AND IMPLEMENTING ARRANGEMENTS OF THE PROJECT

As already introduced, the implementation of the DRIVE project will cover wide geographic areas comprising four target regions (Somali, Afar, Oromia and SNNPR) and the various woreda administrations under the respective regions. This means that the implementation of the project will bring together a network of stakeholders from federal to woreda level of structure. It is therefore necessary to establish clarity in regard to their roles and responsibilities as describe below.

4.1 The Leading Implementing Agencies

The MoA and MoTRI are jointly responsible as the lead implementing agencies. In particular, the two Ministries are responsible for the implementation of the activities under Component 2. MoA and MoTRI will be responsible for the overall coordination and management of the DRIVE project in general and RF in particular. The implementation of the DRIVE project necessitates multi-sectoral engagement involving other line Ministries including the Ministry of Finance (MoF), Ministry of Irrigation and Lowland Development (MoILD), Federal Environmental Protection Authority, Ministry of Women and Social Affairs (MoWSA) and Ethiopian Standard Agency (ESA). Hence, the MoA and MoTRI will take the lead for the inter-coordination among these line Ministries and Organizations.

4.2 Federal Level

The MoA and MoTRI will be responsible to establish and maintain the federal level institutional and implementation arrangements for the project ESMF and RF. The intended federal level implementing arrangements are Federal Project Steering Committee (FPSC) and Federal Project Technical Committee (FPTC). The FPSC comprises the Minister of the respective line Ministries as the member while the members of the FPTC include the Director/Senior Expert from the relevant Directorate from the line Ministries/Organizations specified above. The FPSC has a responsibility to oversee the implementation of the Environmental and Social Management Plan (ESMP) including RF and facilitate inter-agency coordination for its effective performance. Whereas, the FPTC is responsible for: (a) the regular technical review of the environmental and social performance of the project compliance with the project ESMPs; and (b) address the challenges facing in this regard; and (c) take environmental and social issues that need high-level management support to their respective Minister/Organization for prompt and effective solution.

4.3 Regional Level

Similar to the arrangements at Federal level, the DRIVE project will involve the parallel institutions at regional level (specified earlier) in the overall coordination for the implementation of the Project's ESMPs including RF. The Bureau of Agriculture and Bureau of Trade in the respective target regions will take the lead in the coordination of the inter-organizations involving in the implementation of the project at the regional. Also, it will take the leading responsibility to establish the Regional Project Steering Committee (RPSC) and Regional Project Technical Committee (RPTC). The constituency and role of the RPSC and RPTC resemble the FPSC and FPTC but at the regional level.

4.4 Woreda Level

The MoA and MoTRI will hire Cluster Area Project Personnel (CAPP) comprising competent Environmental Safeguards Specialist, Social Safeguards Specialist and GBV Specialist that base the project office at the respective regions but coordinate and oversee the overall implementation of the ESMPs across the Project Operation Areas (POAs) in their respective regions. The number of the CAPP will depend on the number of POAs in the respective target regions. The CAPP will closely work with the PIU, RPSC, RPTC and Woreda Project Task Force (WPTS).

Woreda Agricultural Office and Woreda Trade Office will take the leading role for the overall coordination and implementation of the project's ESMPs including the RF. Besides, the two Woreda Offices will be responsible to establish and closely work with Woreda Project Task Force (WPTF) comprising the Heads and Experts from the relevant line Woreda Offices as the member. The WPTF will closely work with Cluster Area Project Personnel (CAPP) to oversee the day-to-day E&S performance of the project as compliance with the ESMPs specified in this ESCP.

5 STAKEHOLDER CONSULTATION

5.1 General

Consultation with the affected parties should be the beginning of a participatory process for designing and implementing projects. Early initiation of meaningful community engagement enables affected households, communities, and other stakeholders to fully understand the implications of resettlement for their lives and to actively participate in the associated planning processes. In line with this, the 1995 Constitution of Ethiopia and Proclamation No. 1161/2019 recognize that citizens have a right to full consultation and expression of their views in the planning and implementation of environmental policies and projects that directly affect them. Likewise, the WB ESS5 requires the Borrower to engage with affected communities (economically and/or physically displaced persons) and host communities. Other stakeholders may include any governmental agencies or other parties responsible for approving and/or delivering resettlement-related plans and assistance (Paragraph 12).

Paragraph 22 of ESS10 states that meaningful consultation is a two-way process, that: (a) begins early in the project planning process to gather initial views on the project proposal and inform project design; (b) continues on an ongoing basis; (c) is based on the prior disclosure and dissemination of relevant, transparent, objective, meaningful, and easily accessible information in a time frame that enables meaningful consultations with stakeholders in a culturally appropriate format, in relevant local language(s) and understandable to stakeholders; (d) considers and responds to feedback; (e) supports active and inclusive engagement with project-affected parties; (f) is free of external manipulation, interference, coercion, discrimination, and intimidation; and (g) is documented and disclosed by the Borrower.

Additional provisions apply to consultations with impacted Historically Underserved Communities (HUCs) in accordance with ESS7, while the Ethiopian legal framework lacks such special considerations. Accordingly, Paragraph 24 asserts that HUCs may be particularly vulnerable to the loss of, alienation from, or exploitation of their land and access to natural and cultural resources. In recognition of this vulnerability, in addition to the General Requirements of ESS5 and those set out in ESSs 1 and 10, the Borrower will obtain the Free Prior Informed and Consent (FPIC) of the affected HUCS in circumstances in which the project will: (a) have adverse impacts on land and natural resources subject to traditional ownership or under customary use or occupation; (b) cause relocation of HUCS from land and natural resources subject to traditional ownership or under customary use or occupation; or (c) Have significant impacts on HUCSs' heritage that is material to the their identity and/or cultural, ceremonial, or spiritual aspects.

5.2 Consultation during the Preparation of the RF

Stakeholder consultation to prepare the RF was conducted from November 10, 2021 to January 15, 2022. The consultations covered various stakeholders from federal to local community

level. Accordingly, about 18 environmental and social experts and 8 top officials from different federal to woreda level organizations have been consulted through individual interview from December 8 to 17. Table 2 presents stakeholder consultation participants disaggregated by administrative level, organization, position and sex of the key informant.

Table 2: Stakeholder Consultation Participants Disaggregated by Administrative Level and Sex

Administrative Level	Name of Organization	Position of the Key Informant	Sex	
			Male = 23	Female = 3
Federal	Ministry of Trade and Regional Integration	Environmental Safeguards Specialist	X	
		Social Safeguards Specialist	X	
		Advisor of the Minister	X	
		Livestock Production and Market Directorate Director	X	
	Ministry of Women and Social Affairs (MoWSA)	Strategic Administration Directorate Director	X	
		Women Empowerment Team Leader	X	
		Advisor of the Minister		X
	Ministry of Agriculture (MoA)	PIU Social Safeguards Specialist	X	
		PIU Environment Safeguards Specialist	X	
		Natural Resource Management Expertise		X
Meat and Dairy Industry Institute	Women, Children and Youth Director	X		
	Environmental Engineer and Researcher	X		
Regional	Oromia Region Agricultural Bureau	Pastoral Development Sector Head	X	
		Senior Environmentalist	X	
	Oromia Region Environmental Protection Authority	Senior Environmentalist	X	
	SNNPR Agricultural Bureau	Socio-economic Specialist	X	
		Environmental Expert		X
	SNNPR Trade and Market Bureau	Livestock Directorate Director	X	
		Environmental Specialist	X	
		Acting Head of the Bureau	X	
	Afar Region Agricultural Bureau	Head of the Bureau	X	
		Environmental Specialist	X	
	Somali Region Trade and Market Bureau	Head of the Bureau	X	
Trade and Market Expert		X		
Woreda	Bena-Tsemay Woreda, South Omo Zone, SNNPR	Agricultural Extension Worker	X	
	Adola Woreda, Borena Zone,	Agricultural Extension Worker	X	

	Oromia Region		
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Likewise, three community consultations were held. The first was held on the 14th of December, 2021 in South Omo Zone Banna-Tsamy Woreda Mokach Kebele (SNNPR). The Second community consultation was held on the 18th of December, 2021 in Borena Zone Harakalo Woreda Germedu Sirba Kebele (Oromia region). The third community consultation was held on December 16, 2021 in Zone 1 Dubuti Woreda (Afar region). Community consultation was held with different segments of the HUCs: The participants in each community consultation composed of clan leaders, elders, community representatives, representative of women and youth. Table 3 presents number of participants of community consultation disaggregated by the sampled Woredas.

Table 3: Number of Participants of Community Consultation Disaggregated by the Sampled Woredas

<i>Region</i>	<i>Sex</i>		<i>Total</i>
	<i>Male</i>	<i>Female</i>	
SNNPR South Omo Zone Banna-Tsamy Woreda Mokach Kebele	20	6	26
Oromia Region Borena Zone Harakalo Woreda Germedu Sirba Kebele	9	3	12
Afar Region Zone 1 Dubuti Woreda	10	4	14
Total	39	13	52

5.3 Summary views and concerns raised by the participants on the RF

Before directly going to community consultation, participants were introduced with the nature and scale of the proposed project focusing on the activities under Component 1 and Component 2 of the project. This was followed by description of the potential positive and negative impacts associating with the undertaking of the activities of the project. Finally, the participants in the community consultation were let to express their views and concerns. The views and concerns raised are summarized into the following key points.

The participants in community consultations shared the view that the project can benefit the local community in multiple ways: (a) the interventions through Component 1 can improve the knowledge of the pastoralists on financial literacy, entrepreneurial skills and access to credit and saving services; and (b) the undertaking of the activities under component 1 can benefit the local pastoralists and agro-pastoralists through increase of access to market (creation of market networks), improve access to quality infrastructure services (such as animal health services), employment opportunities and increase of household income.

However, community consultation participants raised a serious concern about the risks and adverse impacts of involuntary displacement (physical and economic) due to project-related land acquisition. In particularly, the concerns of the participants focus on: what procedures of project-related land acquisition will be followed; how the eligibility criteria are set; what kind of compensation will be provided for the affected persons; what kind of procedures of

compensation will be followed; and how the disputes involving assessment of asset loss and compensation will be addressed. Accordingly, responses were given that:

- The procedures of project-related land acquisition strictly adhere to the national legal framework and World Bank's Environmental and Social Framework: project-related land acquisition shall not use forced eviction; land expropriation is allowed after the appropriate federal and regional administration assess whether the expropriated land is directly related to the proposed project activities and whether the expropriation of land brings better development for the public at large; and land expropriation takes place after disclosure of relevant project-related information to the affected individuals or communities.
- Depending on the nature and scale of the impacts of the involuntary resettlement, project's compensation payment will follow different forms including land replacement strategies, cash compensation, in-kind compensation, resettlement assistance or a combination of these.
- Compensation procedures follow the provision of information about compensation standards, formulas, and rates in a transparent manner to the affected persons or communities, displacement will not take place before payments of compensation, compensation for lost assets is calculated at replacement cost.
- Resettlement planning will provide displaced persons with opportunities to participate in development of the plan and implementation of activities intended to improve, or at least restore, their standards of living.
- The project will establish strong and accessible (structure from community to regional level) Grievance Redress Mechanism to manage disputes and disagreement on resettlement procedures and compensation. Participants were given the awareness that if grievance is unresolved through project's GRM the affected persons have the right to appeal to the formal court system.

Disadvantaged and vulnerable individuals and groups (including women, the elderly, people with disability, and pastoral communities) have raised their concern on how the project will address their special social and economic barriers with differential adverse impacts of the project-induced involuntary resettlement. Response was given that the RF of the project will incorporate the differential mitigation measures for the disadvantaged and vulnerable individuals and groups as set out in the national legal provisions and World Bank's ESF. These include but not limited to differential measures for active engagement in the planning and implementation of the RP and differential resettlement compensation measures for the advantaged and vulnerable individuals and groups. Furthermore, HUCS or pastoral communities were explained that the project requires obtaining Free, Prior and Informed Consent (FPIC) of the affected pastoral communities in circumstances in which project-related land acquisition or restriction on land use have adverse impacts on land and natural resources subject to their traditional ownership or under customary use or occupation.

Finally, consensus was made with the participants that: (a) awareness is created on the potential risks and adverse impacts due to project-induced involuntary resettlement; (b) any

project activity with the risk of physical or economic displacement shall not be commenced without the preparation of appropriate resettlement action plan and active engagement of the displaced persons in the planning, implementation and monitoring of resettlement mitigation measures; and (c) the need to incorporate the above mentioned concerns of the project-affected individuals and groups in the preparation of the RF. Accordingly, the views and concerns of the consultation participants are incorporated in the preparation of this RF. More specifically, the views and concerns of the consultation participants are used as inputs for the sections on implementation arrangement for RF; RP preparation, review and approval; affected assets and valuation procedures; eligibility criteria of the affected persons; and grievance redress mechanism.

6 SOCIO-ECONOMIC BASELINE CONDITIONS OF THE PROJECT TARGET REGIONS

As it understood in the Ethiopian context, pastoralism is not only a means of livelihood, it is a comprehensive way of life that encompasses the environmental, socio-cultural, economic and political organizations of the people who live this way. This part of the RF focuses on the environmental and social baseline conditions of the project target areas.

6.1 The Situation of Basic Infrastructure and Access to Social Services

The Ethiopian government identified the project target areas (Afar, Somali, parts (Borena-Guji areas) of Oromia and part (South Omo Zone) of SNNP) as Developing Regions because of the lack of, or poor, basic infrastructure and access to social services that historically create inequalities in these regions as compared to the national averages (CSA 2011). The following descriptions highlight on the situation of basic infrastructure and social services in the project intervention areas.

6.1.1 Access to drinking water

As the standards set by the Ethiopian Demographic and Health Survey (EDHS), increasing household access to safe drinking water is a long-standing development goal that Ethiopia and other countries have adopted. This includes a number of indicators that are useful in monitoring household access to improved drinking water sources. First, the source of drinking water is an indicator of whether it is suitable for drinking or not. Sources that can and cannot provide water suitable for drinking is identified as improved sources and unimproved sources, respectively. Improved sources include piped into dwelling yard/plot, piped to neighbor, public tap/standpipe, tubewell/borehole, protected dug well, protected spring, and bottled water, Unimproved sources of water include unprotected dug well, unprotected spring, tanker truck, and surface water (EDHS 2016). Based on this standard, the Ethiopian Demographic and Health Survey (2016) assessed the situation of household access to drinking water for Ethiopia disaggregated by regions. Accordingly, as compared to the national average 65%, the percentage of household access to improved drinking water is exceptionally low for all the project intervention areas: only 19% in Somali and 20.3% in Afar regions. Despite the situation of Borena-Guji and South Omo areas is not indicated in the EDHS, the study by Ministry of Water, Irrigation and Energy (2019) revealed the percentage of household access to improved drinking water is 21% in Borena-Guju areas while it is 18% percent in South Omo area.

6.1.2 Access to Health Services

As per the Ethiopian Demographic and Health Survey (2016), household access to health services is measured in multiple ways including the following ones. The first is access to maternal health care as indicated by antenatal care, delivery care, and postnatal care for the mother and obstetrical fistula. When assessed in terms of this dimension of health access, the Afar region has the highest deprivation rate with 80% of the households have no access as

compared to the other regions in Ethiopia. The situation in Somali region revealed the second in Ethiopia with 78% of the households have no access to maternal health care services (EDHS 2016).

Second, infant and child mortality rates are among the basic indicators of a country's health access situation and quality of life. The 2016 Ethiopian Demographic and Health Survey Report show that under-five mortality rate and the infant mortality rates are by far the highest for the project intervention areas. Moreover, it is worrisome that during the past ten years while at national level early childhood mortality rates are decreasing these rates are increasing in the project intervention areas. For instance, in Afar region, the infant mortality rate is increasing fast from 64 deaths per 1,000 births in 2011 to 81 deaths per 1,000 births in 2016. Likewise, the infant mortality rate for Somali region is increasing from 74 deaths per 1,000 births in 2011 to 86 deaths per 1,000 births in 2016.

Third, as assessed in terms of child health and nutrition, the situation of health status shows a serious challenge for the project intervention areas as compared to the national average. Afar region has a particular challenge with wasting and underweight in children who are under five years old. Fourteen percent of children under five are wasted, which is the second highest prevalence in Ethiopia after Somali region. Thirty-two percent of children are underweight in Afar region, which is the highest prevalence in Ethiopia (EDHS 2016).

6.1.3 Education

There is a huge challenge in the project intervention areas with the school enrolment of students at pre-primary, primary and secondary levels. As shown in Education Statistics Annual Abstract 2018/19, on a positive note, the Gross Enrollment Ratio (GER) and Net Enrollment Ratio (NER) for all levels have shown slight improvements for the project intervention areas over the last ten years. However, as the same document further reveals, both the GER and NER for pre-primary education in the project intervention areas is the lowest as compared to any other region in Ethiopia. The Somali region with 10.5 percent and 5 percent and Afar with 12.9 percent and 5.8 percent, are the first and second lowest in the country, respectively. These are far from the national GER target of 80 percent by 2020. In 2018/19, the GER and the NER for Afar primary schools stood at 57 percent and 46 percent, respectively. Over the same period, the GER and the NER for Somali primary schools stood at 52 percent and 41 percent, respectively. Yet, in all the project intervention areas, there is differential school enrolment based on gender. For example, as per Education Statistics Annual Abstract 2018/19, the Gender Parity Index (GPI) for Somali primary schools is 1.34 meaning there are more boys enrolled than girls.

Even in areas with relatively good access to education, the rate of school dropouts is high for all the project intervention areas. For instance, as reported in the Educational Statistics Annual

Abstract 2018/19, the survival rate to grade 5—the percent of students who completed the first cycle of primary education—for Somali and Afar was only 26 percent and 29 percent in 2016/17, respectively, this is by far the lowest in Ethiopia. The report further revealed that school dropout rates in the project intervention areas are generally higher in higher grades and for girls. The main reasons reported for student school dropout include: (i) food shortages often due to droughts, (ii) mobility of pastoral households, and (iii) households' limited capacity to cover costs for sending their children to nearby towns where there are schools especially beyond 8th grade.

6.1.5 Access to electricity

As reported by the Ministry of Water, Irrigation and Energy (2019), the situation in Ethiopia in general shows that over 95% of households continue to rely on biomass fuels for cooking which results in a high risks to health: air pollution from the use of biomass fuels for cooking is the largest single environmental risk factor for premature death in Ethiopia. The same report further reveals that, in Ethiopia, access to electricity is sharply differ between the rural and urban areas with the access is almost limited to urban and pre-urban areas of the country. Even then, access to electricity is not the same for the urban in pastoral and non-pastoral areas with the former basically lacking basic infrastructure for connecting households to electric power.

6.1.6 Road infrastructure

As reported in the Ethiopian Road Administration Annual Report of 2020, the road networks in the project intervention areas are very poor both quantitatively (length of the road) and quality. Apart from some trunk and link roads, the project intervention areas are very inaccessible. For instance, the feeder road that connects rural Kebeles and Woreda towns is basically lacking. Consequently, public transportation services across rural Kebeles and Woredas is a common problem in the project intervention areas which seriously impedes market accessible for the local pastoralists and agro-pastoralists. Besides poor road infrastructure, the lack of sufficient regulatory and technical capacity to oversee the reconstruction and preservation of the road infrastructure is a critical problem for the access to transportation service across the project intervention areas.

6.2 Socio-economic baseline conditions

6.2.1 Demographic characteristic

According to the 2007 population and housing census, the demographic distribution of the project target areas is stated as follows. The Somali regional state had a total population of 4,439,147 of which 2,468,784 were male and the remaining 1,970,363 female. The total population in Afar region was 1,411,092 comprising 786,338 male and 624,754 female. Though covering a large geographic area, Borena zone is sparsely populated with only 966,467 total population, 489,001 male and 477,466 female. South Omo zone had a total population of 755,673 out of which 288,638 male and 289,035 female.

6.2.2 Historically Underserved Communities(HUCs)

The usage of the term IP/SSAHUTLCs in the WB's ESMF is not preferred by the Government of Ethiopia (GoE). Instead, the GoE prefers the term Historically Underserved Communities (HUCs) and this usage is maintained in the RF document. All the project target pastoral communities satisfy the defining criteria of the WB provided under ESS7 (paragraph 8 and 9). They all represent a distinct social and cultural group possessing the following characteristics in varying degrees: (a) self-identification as members of a distinct indigenous social and cultural group and recognition of this identity by others; (b) collective attachment to geographically distinct habitats, ancestral territories, or areas of seasonal use or occupation, as well as to the natural resources in these areas; (c) customary cultural, economic, social, or political institutions that are distinct or separate from those of the mainstream society or culture; and (d) a distinct language or dialect, often different from the official language or languages of the country or region in which they reside.

6.2.3 Social and political organization

In all the project target areas, the *clan system* is the main form of social as well as political (as relates to the form of collective decision-making) organization. In such social groups, clan leaders and councils of elders are representatives of a community who negotiate on crucial matters such as land and natural resources (Bamlaku 2019).⁴ Hence, *collective identity* is understood to apply to groups or communities rather than individuals. *The clan*, a group of extended families, is the most important political and social unit. Traditionally, the clan as a social organization serves as a nucleus for administration and co-operation to conduct social activities among clan members. Clan kinship is very strong. Issues that affect members of a clan are discussed and decided collectively under the guidance and leadership of clan leaders. In times of great difficulties (e.g. times of drought, when a family is endangered by external attack, etc) individual families seek and gain support from their clan kinsmen (Yadesse and Yonas 2018).⁵

6.2.4 Indigenous community institutions

All the pastoral communities in the project areas are known for having well established indigenous community institutions passing from generation to generation. The *Gadaa institution* in the Borena and Guji pastoral communities provides a legendary case in point. It is an indigenous institution through which the community administered, defended their territory, maintained and developed their economy. It is a comprehensive and self-sufficient system that influences people's day-to-day life. *Gadaa* is a system of socio-cultural organization based on age-grade of the male members of the community that succeeds each other every 8 years in assuming economic, political, military and social responsibilities accordingly.

⁴Bamlaku Tadesse (2019). "Ethiopia: The Roles of the Council of Elders (Menguddo)" in Gumma Customary Institution of Conflict Resolution. DOI:10.24193/csq.26.3 Published First Online: 05/01/2019

⁵Tadesse Barhe and Yonas Adaye. (2018). The Impact of Local Conflict on Regional Stability. https://www.files.ethz.ch/isn/123909/2007_05_01_Afar.pdf

The Afar pastoralists have long established traditional institutions for land management. When deciding to migrate, the Afar rely on three traditional institutions—the *Edo*, *Dagu*, and *Adda*—to make land assessments and forecast the weather. The *Edo* are traditional rangeland scouts who travel ahead to evaluate a potential area using indigenous knowledge of the land passed down through generations of the Afar. *Dagu* is a strict social convention that requires friends or strangers to exchange detailed news with one another in passing or on meeting. The last institution is the *Adda*, who are the traditional administration and make decisions based on information from the *Edo* and *Dagu*. The community's needs are placed first, and the *Adda* will take into consideration a variety of factors for migration, from timing, duration, and routes to the planning of festivities, marriages, and the selling of livestock (Mulubrhan 2020).⁶

The Somali pastoralists' indigenous institutions are based on clan ties where the clan chief called *Ugaz* plays ultimate role in resource management, conflict resolution or prevention, and political and administrative matters of the community. Below *Ugaz*, in the hierarchy of leadership, there are elders who deal with issues related to the daily lives of the community at village level or *Reeri*. *Ugaz* position is inheritable, but sub-clan leaders called *Kaba kabil*, compete for it and elders decide who should take the leadership position. *Gurti* is also another institution that brings together representatives of different clans or sub-clans to resolve issues related to territories of clans and to mediate conflicts.⁷

6.2.5 Land tenure system

The customary law prevails in the land tenure system among the pastoralists and agro-pastoralists in the project intervention areas. Common to project-affected communities is that land cannot be owned or claimed exclusively either by an individual or as a family holding, nor can it be sold. Instead, land and natural resources are communal property belonging to the clan members. Clan leaders and council of elders are the traditional authorities entrusted with the power to control access to and use of land and natural resources (Tenaw 2016).⁸ This means, for the pastoral communities in the project target areas, *collective attachment* signifies that the groups generally consider their lands and resources to be collective assets. It also signifies that these groups' economies, modes of production, social organization, and cultural and spiritual circumstances are generally linked to particular territories and natural resources. The concept of collective attachment refers to geographically distinct habitats or ancestral territories, or areas of seasonal use or occupation and the natural resources therein.

⁶Mulubrhan Balehegn. (2020). Afar Traditional Institutions for Land Management, retrieved on April 26, from www.afsafrica.org

⁷International Union for Conservation of Nature. (2006). Pastoralism as a Conservation Strategy: Ethiopia Country Study. Addis Ababa: IUCN.

⁸Tenaw, Z. (2016). "Constraints of Pastoral and Agro-Pastoral Livelihood Diversification in Eastern Ethiopia: The Case of Mieso District, Oromia Regional State," *International Journal of Sciences Basic and Applied Research*, 26 (3): 267-274.

6.2.6 Indigenous resource use and management system

In all the communities in the project target areas, the traditional knowledge has been the most stable and meticulously organized system that governs access and management of the basic resources, particularly water and grazing land. For example, among the Borena and Guji pastoral communities, the *Gadaa* system is well known. Because access to water and grazing land is central to pastoral livelihoods, the *Gadaa system has the* rules that strictly govern the use and management of these resources (Odhiambo 2012).⁹

6.2.7 Livelihood Strategies of Pastoral Communities

The Somali, Afar, Borena, Guji and the various ethnic groups in the South Omo are predominantly pure pastoralists. Ethiopia is endowed with significant livestock resources and holds the largest livestock population in Africa, estimated at around 60 million cattle, 60 million sheep and goats, 4.5 million camels, 10 million bee and 7.2 million equines.

6.2.8 Gender and GBV

The socio-economic baseline conditions reveals that the roles of men and women in the culture of the project target communities are often different from those in the mainstream groups, and that women have frequently been marginalized both within their own communities and as a result of external development interventions such as the proposed DRIVE project, and may have specific needs as a result. Given this general gender inequality in the project target areas, there are obvious sources of GBV including the following ones.

Patriarchal system: The socio-economic and cultures of all the project target communities are dominated by the patriarchal system. Given the situation of the project target communities, patriarchy is understood as a system of socio-economic structures and practices in which men control/dominate, oppress, exploit and exclude women (Cordon et.al 2018)¹⁰ Thus, the long standing patriarchal system in the pastoral communities in DRIVE project areas may discriminate against women and girls during community engagement or in benefiting from the project services. Women and girls' exclusion from subprojects preparation and implementation can result in project services that either ignores, or exacerbates, women and girls' risks of GBV/SEA/SH in the project-affected communities.

Ineffective enforcement of laws and policies: Ethiopia has many laws in place at all levels of the legal system that guarantee equal rights and prohibit most forms of gender-based violence

⁹Odhiambo, M. (2012). Impact of conflict on pastoral communities' resilience in the horn of Africa. Addis Ababa: Oromia National Regional State

¹⁰ Cordon et.al Systematic (2018). Literature Review of Gender-Based Violence in Ethiopia : Magnitude, Policies, and Interventions. <https://2ed20v44ucst1ujckp24w1ks-wpengine.netdna-ssl.com/wp-content/uploads/2018>

(GBV), including SEA, SH, female genital mutilation (FGM), child marriage, most forms of rape, and some intimate partner violence (IPV). However, for many reasons, including the often-discordant levels of the formal and informal legal system, the general culture of acceptance of GBV, the poor training of law enforcement and judges, and the lack of institutional support behind the enforcement of the bans, the policies are widely ineffective at preventing GBV. In particular, the situation is worse in the project target areas as compared to the national level (CSA 2016).¹¹

For the above mentioned key reasons, therefore, the extent of GBV based on socio-cultural and economic power differentials is higher for the pastoral communities in DRIVE project areas as compared to the national level. More importantly, more than 95% of SEA/SE remains unreported for legal support or any other intervention (CSA 2016).

6.2.9 Disadvantaged and vulnerable groups

Given the socio-cultural and economic exclusions of the project targeting pastoral communities, disadvantaged groups such as women, children, people with disabilities, the elderly, youth, and minority groups are often the most likely to experience poverty, excluded from the development process or differentially adversely affected by the development interventions. The socio-cultural and economic structural exclusions are reflected in different ways. The first way is expressed as discrimination, prejudice, harassment or violence against them which can impact their ability to access or be equally benefited from development interventions. The other way is lack of equal access to key economic resources such as land and assets. These two ways interact with one another in reinforcing disproportionate adverse impacts of development intervention on the aforesaid disadvantaged and vulnerable groups (Davies and Bennett 2017).¹² Similarly, a study by CSA (2016) shows that disadvantaged and vulnerable groups such as women, people with disabilities and the elderly are the most underserved social groups in all the project target areas as it is reflected in their relatively high illiteracy, limited opportunities for skill development, and lower participation in economic and political activities.

¹¹ Central Statistics Agency (CSA). 2016. Ethiopian Demographic and Health Survey. Addis Ababa: CSA.

¹² Davies, Jonathan and Bennett, Richard. (2017). Livelihood Adaptation to Risk: Constraints and Opportunities for Pastoral Development in Ethiopia. *Journal of Development Studies*, Vol. 43 (3): 490-511.

7 POTENTIAL SOCIAL IMPACTS

7.1 Potential Positive Social Impacts of the Project in General

- Increase in income of the local pastoralists and agro-pastoralists resulting from DRIVE project interventions: improve the knowledge of the pastoralists on financial literacy and entrepreneurial skills to commence a new or develop the family livestock business already at hand; and addresses local pastoralists' weak and dysfunctional linkages to the livestock value chain to make grass-fed meat production attain its full potential income generation.
- Increase of access to market for the local livestock producers through the DRIVE project interventions: improve the access of local livestock producers to quality infrastructure and transpiration logistic services for the compliance of the standard of export markets, identification and development of local livestock value chains for entering new export markets, and creation of market networks between the local livestock producers and international buyers.
- Benefits to the vulnerable groups such as women, youth and pastoral households. For instance, the project promotes for the equal opportunity of women through its financial education and outreach programs (under Component 1) that address the existing gender gaps in the project target communities. Likewise, the seed capital (under Component 2) gives special consideration to pastoral households, women and youth excluded from access to formal credit service.
- Encourage pastoralists to build up savings to address moderate drought years, and to invest in a drought index insurance product providing protection for severe drought years.
- Provide rapid insurance payouts at the onset of a drought, which are faster than humanitarian assistance and allow pastoralists to keep their animals alive. Enable the use of satellite technology that monitors the conditions of pasture on the ground such that when the level of pasture falls below a certain level, the insurance payout is triggered automatically, and pastoralists receive payouts directly through mobile money.
- Promote business activities with significant impact for the women's economic empowerment in the pastoral and agro-pastoral areas. Increase of women's income through intervention of milk value chain which the women in the pastoral areas engage in as the main actors: women's access to seed capital from the DRIVE project and facilitation of access to credit from financial institutions, scale-up of such businesses and provide jobs and increase of income for the local women.
- Increase the knowledge of the pastoral and agro-pastoral households' financial literacy for better household saving habit and income management for productive economic activities.

7.2 Potential Adverse Resettlement Impacts of the DRIVE Project

No adverse impact of involuntary resettlement is expected in association with the implementation of the activities under the Component 1. But the activities of all the three sub-components (upgrading quality infrastructure; facilitation of transportation logistics and regional livestock trade; and seed capital to private investors in livestock sector) under Component 2 require land acquisition with potential risks and adverse impacts from the associating involuntary resettlement. The potential risks and adverse impacts are discussed below.

7.2.1 Economic displacement

The process of land acquisition for the activities of the sub-components under Component 2 may cause economic displacement with different risks and adverse impacts for the affected persons or community. First, economic displacement may involve the loss of agricultural, residential and commercial lands and assets on it. Second, the project-related land acquisition may limit access to and use of other resources including communal property and natural resources such as water sources, forests, and grazing land. Third, involuntary economic displacement may cause the loss of the comparative economic advantages associated with the location of the agricultural, residential and commercial lands dispossessed. Fourth, involuntary economic displacement would cut off people's mutual cooperation and social capital with vital roles in making a day-to-day economic living. Fifth, women, children, and other vulnerable groups may suffer a disproportionate adverse economic risks and impacts. Sixth, forced displacement may put an economic pressure for the receiving communities as well, for example, through competing for limited economic opportunities such as job opportunity. The cumulative impacts of these economic displacements will be the loss of the primary means of earning and, thus, impoverishment of the displaced individual or people.

In addition, the project areas are endowed with parks having vital economic values for the local communities. The Awash National Parks in Afar Region (and part of this park is located in Somali Region) and Omo National Park in South Omo Zone are among these parks with vital economic values to the local communities. Therefore, the project-related land acquisition may have restrictions on access to legally designated parks and protected areas.

7.2.2 Physical displacement

Project-related land acquisition or restrictions on land use may cause the physical displacement or relocation of individuals or groups into a new residential site or environment. The risks and adverse impacts of the involuntary physical displacement may take different forms including: (a) the project affected persons or communities may be relocated to environments where their productive skills are less applicable and the competition for resources is greater; (b) social networks may be weakened and kin groups may be dispersed; and (c) cultural identity, traditional authority, and the potential for mutual help may be diminished or lost.

7.2.3 Differential adverse impacts to Historically Underserved Communities (HUCs)

HUCs are inextricably linked to the land on which they live and the natural resources on which they depend. Therefore, they may be differentially affected if their land is taken or their access to resources is restricted for the purposes of the project. For the HUCs, the risks and adverse impacts of project related involuntary resettlement go beyond the economic understanding: (a) HUCs' means of livelihood (mobile pastoralism) cannot be possible if they are relocated from collective land under traditional ownership or customary use and, thus, their economic production systems may be dismantled; (b) HUCs' generally lack the necessary economic skills to survive if relocated to a different living environment; and (c) as their collective social and political practices are attached to land, the relocation of the HUCs may cause the loss of the cultural expression that are material to their collective identity, traditional authority system and indigenous community institutions.

7.2.4 Disproportionate adverse impacts to the disadvantaged or vulnerable

Given to their unequal social and economic position in the community, the economic and physical displacement owing to involuntary resettlement from the project-related land acquisition many have disproportionate adverse impacts on the disadvantaged or vulnerable individuals and groups such as women, the poor, the elderly, people with disabilities and minority groups. These are: (a) economic displacement bring extra burden that worsen the already weak economic affordability of the disadvantaged and vulnerable individuals and groups; (b) the disadvantaged and vulnerable individuals and groups cannot afford the necessarily labour demands or the financial cost of hiring labour workers in preparing the new agricultural land for production; and (c) the physical displacement may require differential costs for the disadvantaged and vulnerable owing to their special needs (e.g., mobility impairment) .

7.3 Proposed Resettlement Mitigation Measures

Site-specific Resettlement Plan (RP) or Livelihood Restoration Plan (LRP) will be prepared for any sub-component that results in economic or physical displacement. The scope of the plan depends on the magnitude of displacement and complexity of the measures required to mitigate adverse impacts. In any case, the mitigation plan by the project implementing agencies (MoA and MoTRI) need to includes compensation measures that allow the affected persons or groups to improve, or at least restore, their incomes or livelihoods. However, the preparation of this RF assumes, it is important to keep in mind that payment of compensation alone may not be sufficient to address the range of impacts on the livelihoods of the affected persons or groups that displacement can cause. Hence, the proposed compensation measures in this RF need to be applied in conjunction with other resettlement packages (as proposed in Table 4 below) for the restoration or improvement of the livelihood of the affected persons.

Table 4: Proposed Resettlement Mitigation Measures

Resettlement Risk	Proposed Mitigation Measures	Timeframe	Responsible Body
Economic Displacement	<p><i>For land-based livelihoods:</i></p> <p>a) Economically displaced persons with land-based livelihoods (e.g., farming) will be offered replacement land with a combination of productive potential, location advantages, and other factors at least equivalent to that being lost.</p> <p>b) If it is demonstrated that replacement land or resources are unavailable, the RP or LRP will facilitate economically displaced persons options for alternative income earning opportunities, such as credit facilities, skills training, business start-up assistance, employment opportunities (whether in the project or otherwise), or cash assistance additional to compensation for assets.</p>	Before landholding handover/before commencing any sub-component requiring land acquisition	PIU, Regional States, Regional Cabinet, Woreda/Urban Administration, Kebele Administration, Partner Organizations (GOs and NGOs)
	<p><i>For natural resource-based livelihoods:</i> For persons whose livelihoods are natural resource-based and where project-related restrictions on access to the resource are envisaged, the RP or LRP measure provide access to alternative resources with equivalent livelihood-earning potential and accessibility.</p> <p>A process framework is prepared for sub-projects that may cause restrictions in access to natural resources in legally designated parks and protected areas. The purpose of the process framework is to establish a process by which members of potentially affected communities participate in design of the sub-projects with adverse impact, determination of measures necessary to achieve the objectives of the RF, and implementation and monitoring of the RF.</p>	Before commencing any sub-component requiring land acquisition	PIU, Regional States, Regional Cabinet, Woreda Administration, Kebele Administration
	<p><i>For enterprise-based livelihoods:</i> In cases where land acquisition or restrictions on land use affect commercial enterprises, affected business owners will be compensated for the cost of identifying a viable alternative location; for lost net income during the period of transition; for the cost of the transfer and reinstallation of the plant, machinery, or other equipment; and for reestablishing commercial activities.</p>	Before commencing any sub-component requiring land acquisition	PIU, Regional States, Woreda Administration, Kebele Administration
	<p><i>For wage-based livelihoods:</i></p> <p>a) The livelihood restoration measures for the wage earners in the affected</p>	Before commencing any sub-component	PIU, Regional States, Woreda Administration,

Resettlement Risk	Proposed Mitigation Measures	Timeframe	Responsible Body
	<p>households and communities include skills training and job placement, provisions made in contracts with project contractors for temporary or longer term employment offer to the affected wage earners, and small-scale credit to finance startup enterprises.</p> <p>b) Wage earners whose income is interrupted during physical displacement receive resettlement assistance that covers these and related costs.</p> <p>c) Consideration is given to the ability of the affected wage earners to continue to access their place(s) of work during and after resettlement; if this ability is impaired, then mitigation measures are implemented to ensure continuity and avoid a net loss in welfare for affected households and communities.</p>	requiring land acquisition	Kebele Administration
	<p><i>Support for alternative livelihoods:</i> For all other categories of economically displaced persons, the livelihood restoration measure supports for alternative livelihoods such as arrangements for obtaining employment or for establishing a business, provision of relevant supplemental assistance including skills training, credit, licenses or permits.</p>	Throughout project implementation	PIU, Regional States, Woreda/Urban Administration, Kebele Administration, Partner Organizations (GOs and NGOs)
	Establish accessible, inclusive and effective GRM that timely address grievances and complaints of the affected persons or communities related to economic displacement.	Throughout project implementation	PIU, RGRMC, WGRMC, KGRMC, KGRMC, CRC, Court Option
Loss of Assets (such as houses and other structures)	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, transfer taxes, and moving costs.	Before commencing any sub-component that affects assets	PIU, Regional States, Woreda Administration, Kebele Administration
	Provide displaced persons with opportunities to participate in deciding relocation site and offer displaced persons choices among feasible resettlement options.	Before commencing any sub-component requiring land acquisition	PIU, Regional States, Woreda/Urban Administration, Kebele Administration, Community-Resettlement Committee
Physical	Select relocation sites for which a combination of productive potential, locational advantages, and other factors is better or at least comparable to the	Before commencing any sub-component	PIU, Regional States, Regional Cabinet,

Resettlement Risk	Proposed Mitigation Measures	Timeframe	Responsible Body
Displacement	advantages of the old sites.	requiring land acquisition	Woreda/Urban Administration, Kebele Administration, Community Resettlement Committee
	Provision of adequate housing considering the following key resettlement measures: a) Adequate housing options are those that allow access to employment options, markets, and other means of livelihood such as agricultural fields, as well as basic infrastructure and services, such as water, electricity, sanitation, health care, and education, depending on the local context. b) Replacement housing, as appropriate, be of sufficient quality to protect inhabitants from weather conditions and environmental hazards and provide for their physical safety. c) Housing structures should provide adequate space, taking into account household size	Before commencing any sub-component requiring land acquisition	PIU, Regional States, Regional Cabinet, Woreda/Urban Administration, Kebele Administration, Community Resettlement Committee
	New resettlement sites will offer living conditions at least equivalent to those previously enjoyed, or consistent with prevailing minimum codes or standards (such as availability of basic services), whichever set of standards is higher.	Throughout project implementation	PIU, Regional States, Regional Cabinet, Woreda/Urban Administration, Kebele Administration, Partner GOs and NGOs
	The displaced persons' preferences with respect to relocating in preexisting communities and groups are respected wherever possible.	Before commencing any sub-component requiring land acquisition	PIU, Regional States, Regional Cabinet, Woreda/Urban Administration, Kebele Administration,
	Providing transitional assistance such as transportation and labour for relocation of household members and their possessions (or business equipment and inventory).	Just before relocation	PIU, Regional States, Regional
	Legal arrangements for regularizing tenure and transferring titles to those resettled, including provision of security of tenure.	Within six months after relocation	PIU, Regional States, Regional Cabinet,

Resettlement Risk	Proposed Mitigation Measures	Timeframe	Responsible Body
			Woreda/Urban Administration, Kebele Administration,
	Consideration of opportunities to improve local living standards by supplemental investment through establishment of project benefit-sharing arrangements in infrastructure, facilities or services.	Throughout the project implementation	PIU, Project Contractors, Regional States, Regional Cabinet, Woreda/Urban Administration, Partner GOs and NGOs
	Measures to mitigate the impact of planned relocation sites on any host communities, including: <ul style="list-style-type: none"> a) Engaging with the host communities and local governments on the preparation and implementation of the RP or LRP. b) Augment basic services such as education, water, and health in host communities to meet increased demands upon them, or to make them at least comparable to services available within planned relocation sites. c) Arrangements (e.g. establishing the councils of elders with members composed from both groups) for identifying and addressing any conflict that may arise between those resettled and host communities. 	Begins before commencing any sub-component requiring land acquisition and continues throughout the project implementation	
	Establish accessible, inclusive and effective GRM that timely address grievances and complaints of the affected persons or communities related to physical displacement	Throughout project implementation	PIU, RGRMC, WGRMC, KGRMC, KGRMC, CRC, Court Option
	Engaging appropriate specialists to provide technical advice and assistance to the HUCs regarding what special rights they have (as set out in the application national laws and World Bank's ESS7) for informed consent in the planning and implementation of the RP or LRP.	Begins before commencing any sub-component requiring land acquisition and continues throughout the project implementation	MoA and MoTRI
Differential	A Targeted Social Assessment (TSA) is conducted to understanding the relative	Before commencing	PIU or hiring independent

Resettlement Risk	Proposed Mitigation Measures	Timeframe	Responsible Body
adverse impacts to Historically Underserved Communities	vulnerabilities of the project affected HUCs and how the project in general and involuntary resettlement due to project related land acquisition affect their lives. On the basis of the findings of the TSA, prepare a distinct resettlement or livelihood restoration plan or Historically Underserved Community Plan. Accordingly, the resettlement or livelihood restoration measures are devised tailored to the distinct social and economic needs of the project affected HUCs.	any sub-component requiring land acquisition	competent consultants as decided by the MoA and MoTRI
	The MoA and MoTRI will not proceed with the implementation of any sub-component causing the involuntary resettlement of the project affected HUCs unless Free Prior and Informed Consent (FPIC) has been obtained. Besides the findings of the Targeted Social Assessment, inputs from the conclusion of the FPIC process are used to devise the resettlement or livelihood restoration measures tailored to the special vulnerability of the project affected HUCs.	Begins before commencing any sub-component requiring land acquisition and continues throughout the project implementation	PIU, hired independent competent consultants
	Prepare the grievance mechanism that is culturally appropriate, accessible and proportionate to the potential risks and impacts of the project related land acquisition. Thus, grievances of involving resettlement or livelihood restoration measures are addressed promptly for effective achievement of the RP or LRP.	Throughout project implementation	PIU, RGRMC, WGRMC, KGRMC, KGRMC, CRC, Court Option
Disproportionate adverse impacts to disadvantaged and vulnerable groups	<i>Differential measures to mitigate economic displacement:</i> As warranted, the RP or LRP provides special assistance to the affected disadvantaged or vulnerable groups such as household headed by women, elderly, people with disabilities, and the sick include but not limited to: <ul style="list-style-type: none"> a) Incorporate their perspectives and special interests into all aspects of the RP or LRP planning and implementation. b) Covering labour cost for the physical preparation of the new farmland given as compensation. c) Providing agricultural inputs such as seeds and fertilizer at least for the first growing season in the new farmland. d) Priority in job opportunities. e) Facilitate access to credit services. 	Begins before commencing any sub-component requiring land acquisition and continues throughout the project implementation	PIU, Project Contractors, Regional States, Regional Cabinet, Woreda/Urban Administration, Partner GOs and NGOs

Resettlement Risk	Proposed Mitigation Measures	Timeframe	Responsible Body
	<p>Differential measures to mitigate physical displacement:</p> <ul style="list-style-type: none"> a) The RP or LRP applies additional measures as may be necessary for the disadvantaged and vulnerable groups during physical relocation, particularly pregnant women, children, the elderly, and the disabled. b) Differential assistance may include but not limited to: (a) cash allowances that compensate the affected persons disadvantaged or vulnerable individuals or groups for the inconvenience associated with physical relocation; (b) defray the expenses of relocating to a new location, such as moving and lost workdays; and (c) housing design that reflects the special needs (the problem of physical mobility) of persons with disabilities. 	<p>Before commencing any sub-component requiring land acquisition</p>	<p>PIU, Project Contractors, Regional States, Regional Cabinet, Woreda/Urban Administration, Partner GOs and NGOs</p>

Table 5: Entitlement Matrix

Land and Assets	Types of Impact	Person(s) Affected	Compensation/Entitlement/Benefits
Agricultural land	Partial loss of farmland, i.e., less than 20% of landholding affected and land remains economically viable 0.5 ha threshold	Farmer/title holder	Cash compensation for the harvest or product from the affected land or asset, equivalent to fifteen times (fifteen years) the highest annual income s/he generated during the last three years preceding the expropriation of the land. Depreciation and salvage value does not be deducted, PAPs are allowed to salvage materials and all cash compensation is based on prevailing/current market rates(i.e., any applicable transaction cost shall be covered).
		Tenant/ lease holder 1 and above years duration of lease	Cash compensation for the harvest or product from the affected land or asset, equivalent to fifteen times (fifteen years) the highest annual income s/he generated during the last three years preceding the expropriation of the land. Depreciation and salvage value does not be deducted, PAPs are allowed to salvage materials and all cash compensation is based on prevailing/current market rates.
	Loss of farmland greater than 20% of landholding lost	Farmer/ Title holder	<ul style="list-style-type: none"> • Cash compensation for the harvest or product from the affected land or asset, equivalent to fifteen times (fifteen years) the highest annual income s/he generated during the last three years preceding the expropriation of the land where equivalent substitute land is not available. Depreciation and salvage value will not be deducted, PAPs will be allowed to salvage materials and all cash compensation will be at prevailing/current market rates. • Replacement land of same value of land lost and at location acceptable to PAPs where feasible. • Land for land replacement will be in terms of a new parcel of land of equivalent size and productivity with a secure tenure status at areas/ location acceptable to PAPs. Transfer of the land to PAPs shall be free of taxes, registration, and other costs. Where equivalent substitute land is given, the landholder shall be paid a one-year compensation equivalent to the highest income s/he annually used to generate in the last three years preceding the expropriation of the land. • Transfer of the land to the PAP shall be free of taxes, registration, and other costs. • Relocation assistance (costs of shifting + assistance in reestablishing economic trees + allowance up to a maximum of 12 months while short- term crops mature)
		Tenant/Lease holder	<ul style="list-style-type: none"> • Cash compensation equivalent to fifteen times (fifteen years) the highest annual income s/he generated during the last three years preceding the expropriation of the land (i.e., with 1 and above years of lease). • Relocation assistance (costs of shifting + assistance in reestablishing economic trees + allowance up to a maximum of 12 months while short- term crops mature)
Grazing land	PAPs land used for grazing partially affected; remaining area sufficient for continued use-	Title holder/farmer	Cash compensation for protected grasses on affected land for fifteen years. The amount of compensation for protected grass shall be determined based on the productivity of the land and the current market price of the grass per square meter as outlined in the Council of Ministers Regulation No. 472/2020
		Renter/Lease holder	Cash compensation for protected grasses on affected land. The amount of compensation for protected grass shall be determined on the basis of

Land and Assets	Types of Impact	Person(s) Affected	Compensation/Entitlement/Benefits
	20% and 0.5 ha threshold		the productivity of the land and the current market price of the grass per square meter
	PAPs land used for grazing severely affected; remaining area insufficient for use	Title holder/ farmer	<ul style="list-style-type: none"> • Cash compensation for protected grasses on affected land for fifteen years. The amount of compensation for protected grass shall be determined on the basis of the productivity of the land and the current market price of the grass per square meter. • Replacement land of same value of land lost and at location acceptable to PAPs where feasible. Land for land replacement will be provided in terms of a new parcel of land of equivalent size and market potential with a secured tenure status at an available location that is acceptable to the PAP. • Transfer of the land to the PAP shall be free of taxes, registration, and other costs. • Relocation assistance (costs of shifting + assistance in reestablishing economic trees + allowance up to a maximum of 12 months while short- term crops mature)
		Renter/Lease holder	Cash compensation for protected grasses on affected land. The amount of compensation for protected grass shall be determined on the basis of the productivity of the land and the current market price of the grass per square meter
Commercial Land	Land used for business partially affected; remaining land viable for business purpose	Title holder/ business owner	Land for land replacement could be the best option where feasible or cash compensation for affected land, taking into account replacement cost for the lost property and viable business. Opportunity cost compensation equivalent to land plus 5% of net annual income based on tax records for previous year (or tax records from comparable business, or estimates where such records do not exist).
		Business owner is lease holder	<ul style="list-style-type: none"> •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) •Relocation assistance (costs of shifting) •Assistance in rental/ lease of alternative land/ property to reestablish the business
	Assets used for business severely affected; remaining assets become insufficient for business purposes	Title holder/business owner	<ul style="list-style-type: none"> • Land for land replacement or compensation in cash according to PAPs choice; cash compensation to take into account replacement values. Land for land replacement will be provided in terms of a new parcel of land of equivalent size and market potential with a secured tenure status at an available location, which is acceptable to the PAP. • Transfer of the land to the PAP shall be free of taxes, registration, and other costs. • Relocation assistance (costs of shifting + allowance) • Opportunity cost compensation equivalent to 6 months net income based on tax records for previous year (or tax records from comparable business, or estimates)
		Business person is lease holder	<ul style="list-style-type: none"> • 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)

Land and Assets	Types of Impact	Person(s) Affected	Compensation/Entitlement/Benefits
			<ul style="list-style-type: none"> Assistance in rental/ lease of alternative land/ property (for a maximum of 6 months) to re-establish the business.
Residential Land	Land used for residence partially affected; remaining land viable for present use	Title holder	Cash compensation at full replacement cost for affected assets situated on land without factoring depression
		Rental/lease holder	Cash compensation equivalent to 10% or affected %of lease/ rental fee for the remaining period of rental/ lease agreement (written)
	Land used for residence severely affected; remaining land insufficient for use	Title holder	<ul style="list-style-type: none"> Cash compensation at full replacement cost without factoring depreciation or replacement land of same value of land lost and at location acceptable to PAPs where feasible 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 (i.e., which is acceptable by the PAPs)with adequate physical and social infrastructure systems as well as secured tenure status. When the affected holding is larger than the relocation plot, cash compensation to cover the difference in value will be provided Transfer of the land by government to the PAP shall be free of taxes, registration, and other costs. Relocation assistance (costs of shifting + assistance in reestablishing economic trees + allowance up to a maximum of 12 months while short- term crops mature)
		Rental/lease holder	<ul style="list-style-type: none"> Refund of any lease/ rental fees paid for time/ use after date of removal A residential house shall be given for two years free of charge until he constructs his residential housing or displacement compensation equal to two-year housing rentals estimated on the basis of the rental market comparable to the house of the displaced. Cash compensation equivalent to 3 months of lease/ rental fee Assistance in rental/ lease of alternative land/ property equivalent to the expropriated land in standard and size Compensation for the breakup of their social ties and moral damage they suffer as result of the expropriation. Relocation assistance,(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. Relocation assistance (costs of shifting + assistance in reestablishing economic trees + allowance up to a maximum of 12 months while short- term crops mature)
Buildings and structures	Structures are partially affected; remaining structures viable for continued use	Owner	Cash compensation for affected building and other fixed assets, taking into account Replacement costs of structures and materials. In addition, Cash assistance to cover costs of restoration of the remaining structure
		Rental/lease holder	Cash compensation for affected assets, taking into account replacement costs for assets and materials (verifiable improvements to the property by the tenant). Disturbance compensation equivalent to two months rental costs

Land and Assets	Types of Impact	Person(s) Affected	Compensation/Entitlement/Benefits
	Structures severely affected; remaining structures not suitable for continued use	Owner	<ul style="list-style-type: none"> • Cash compensation, taking into account replacement costs for structures and materials, for entire structure and other fixed assets without consideration of the depreciation costs, or alternative structure of equal or better size and quality in an available location, which is acceptable to the PAP. • Right to salvage materials without deduction from compensation • Relocation assistance (costs of shifting + allowance) • Rehabilitation assistance if required (assistance with job placement, skills training)
		Rental/lease holder	<ul style="list-style-type: none"> • Cash compensation for affected assets, taking into account at replacement cost for materials (verifiable improvements to the property by the tenant) • Relocation assistance (costs of shifting + allowance equivalent to four months rental costs) • Assistance to help find alternative rental arrangements • Rehabilitation assistance if required (assistance with job placement, skills training)
		Squatter/informal dweller	<ul style="list-style-type: none"> • Cash compensation for affected structures without consideration of depreciation costs, taking into account replacement cost of the lost structure. • Right to salvage materials without deduction from compensation • Relocation assistance (costs of shifting + assistance to find alternative secure accommodation preferably in the community of residence through involvement of the program) • Assistance in lieu of land compensation sufficient to provide such persons with an opportunity to reestablish their livelihood elsewhere. • Rehabilitation assistance if required assistance with job placement, skills training.
		Street vendor (informal without title or lease to the stall or shop)	<ul style="list-style-type: none"> • Opportunity cost compensation equivalent to 2 months net income based on tax records for previous year (or tax records from comparable business, or estimates), or the relocation allowance, whichever is higher. • Relocation assistance (costs of shifting) • Assistance to obtain alternative site to re-establish the business.
Standing crops	Crops affected by land acquisition or temporary acquisition	PAP (owner, tenant, or squatter)	<ul style="list-style-type: none"> • If the crop is not harvested, the compensation payable will be based on the amount of produce available and/or the amount of produce that the produce could produce if the crop had arrived. The cost of the property owner's deduction will be deducted until the crop or vegetable is harvested. • Revenue from crop surplus will be determined based on current market prices of the leftover produce. • If one crop is produced more than once in a year, the amount of the crop per year will be the sum of the produce produced during the year. <p>Crop Revenue = (area of the land per hectare x current market price of crop per Quintal x yield from 1hectare per Quintal) Revenue from surplus crop product = (area of the land per hectare x yield from 1hectare per Quintal x current market price surplus of crop pro</p>

Land and Assets	Types of Impact	Person(s) Affected	Compensation/Entitlement/Benefits
Trees or Perennial Plants	Trees or perennial plants lost	Title holder/farmer/ rental	Cash compensation at full replacement cost based on type, age and productive value of affected trees
Temporary land acquisition	Temporary acquisition	PAP (whether owner, renters, or squatter)	Cash compensation at full replacement cost for any affected assets for that temporal time period plus compensation for loss of income during the period and it is also similar for renters
Communal land	Lost benefit and livelihood from use of communal land	Member of the community using communal land	Cash compensation based on the use of the communal land; or the lost benefits and livelihoods of displaced people as well as its benefit to the community Members of the community using the communal land should be identified and shall be compensated the lost benefit and livelihoods which were originally obtained from the communal land Private and communal property on the expropriated communal land shall be identified and included on the compensation package whenever appropriate
Impacts on Fence	Fence	Owners	<ol style="list-style-type: none"> 1. Fence compensation is calculated by calculating the price of the existing square meter or cubic meter required to build a new fence that is equivalent to the fenced fence. 2. If the construction material of the fence cannot be estimated per square meter or cubic meter, it can be calculated at a single price. 3. Based on number 1, it is possible that the reimbursement shall be made as the property to be relocated shall be payable. 4. If there are walls and fences with better technology, if the owner wants to take them, the compensation will be reimbursed based on the compensation calculation of the property. <p><i>Fence Compensation = amount of fence in square/cubic meter x single price of fence per square/cubic meter</i></p>
Impacts on breakup of social ties and moral damage	breakup of social ties and moral damage	PAP (Individual/HH / Group)	<ul style="list-style-type: none"> -Compensation for termination of social ties and compensation for psychological damage will be paid only once. -Compensation for termination of social networking and compensation for psychological damage may be paid from a sum of 25,000 to 60 thousand birr; -Discontinuation of social ties and compensation for psychological damage is paid to displaced PAPs who are settling 5 km or more away from their original place of residence. -If the survivors of a neighborhood are excluded from their possession, they may be compensated for by the disruption of social ties and psychological compensation if approved by concerned government bodies. -The Directives of the psychology shall determine the time and place for the formation of social networks.
Graveyards	Relocation of graveyard	PAPs (families) of the deceased family members	<ul style="list-style-type: none"> •Compensate fully for the relocation of the graveyard that covers all the expenses of removal of the gravestones, preparing another burial ground, relocation/reburial and all the religious or cultural ceremonial expenses. •The owner of the burial ground shall be clearly notified on the prescribed time to vacate the burial ground. •If the cemetery owner does not raise the cemetery within the

Land and Assets	Types of Impact	Person(s) Affected	Compensation/Entitlement/Benefits
			<p>timeframe provided, the body that cleared the ground may be properly lifted and placed in an alternate location.</p> <ul style="list-style-type: none"> •There shall be no compensation for psychological damage in respect of the cemetery, but need process of agreement to move through and respectful process with family, witness participation. <p><i>Cemetery compensation= cost of corpse pick up+ burial ground preparation cost+ cost of corpse transfer and relocation+ cost of religious and cultural ceremonies.</i></p>
Assistance for vulnerable Groups	Disproportion impact due to age, sex, disability, etc.	Vulnerable people to be screened from the PAPs	<ul style="list-style-type: none"> •Special measures for effective participation, compensation, assistance and livelihood restoration will be defined in the RP. This is to ensure food security during this transitional period. Additional assistance will also be offered to particularly vulnerable individuals and households during and after relocation. •Additional support (in addition to the entitled compensation and relocation allowance) to support during relocation and restoration of livelihood).Such support could be in terms of labour during the reconstruction of affected houses, or in terms of money to cover expenses associated to failure of using his/her labour to rehabilitate or adjust at the relocated area. Furthermore, they should be linked to assistance programs and networks.
Utilities	Relocation of utilities	Those accessing the services of the utilities (schools, health centers, water, electric, etc.)	Utilities to be reestablished in the affected area; provision of similar temporary services until full resumption (especially water service) under the new arrangement.
Relocation and Shifting	Forced to relocate or shift	All Affected Households	Relocation allowance includes cost associated with re -establishing residential houses, mobility costs and other ancillary costs (labour, transport, land clearing and labeling and other relevant costs etc.)
Livelihood	Loss of livelihood or source of income	Households for LR support	<ul style="list-style-type: none"> •Livelihood restoration measures will be planned and provided supplementary to the compensation paid for lost assets. To restore or improve their income level and livelihood; and ensure an improved standard of living or foster development benefits. •Depending on the severity of impact on the livelihoods of the affected households, livelihood restoration interventions will be designed to ensure that affected persons are not worse off in the end, and if possible have improved livelihoods and standards of living. Measures will be designed in close consultation with PAPs and stakeholders at different levels (Woreda to Federal). The RP document will provide further details on the planned livelihood restoration measures once the impacts on household’ s livelihoods are assessed and appropriate support measures identified. MoA will assist in the provision of materials, training for alternative livelihood options, provision of crop seeds and seedlings for economic trees, etc as per the requirement of WB ESS5, and this RF framework. The LRP will be fully integrated in and implemented as part of the RP. •The alleviation of economic displacement will be considered complete when affected persons or communities have received compensation and other assistance as per the requirements of the World BankESS5, and

Land and Assets	Types of Impact	Person(s) Affected	Compensation/Entitlement/Benefits
			are believed to have been provided with adequate opportunity to reestablish their livelihoods. Thus, for better management and positive comprehensive outcome; LRP will be integrated with RP during its preparation and implementation.
Impact on Grass	Loss of grasses	Owners or users of pasture affected by the Project	<p>-If the grass on the land being cleared is ready to be harvested, it may be collected at the time specified by the developer. The cost of picking up the grass should be covered.</p> <p>-If the site is urgently needed and there is not enough time to harvest the grass, the estimate of the grass is calculated at the current local market price and compensation</p> <p><i>Compensation of Grass = area coverage of the grass with meter square x the yield of grass with current local price per meter square.</i></p>
Impact on Pastoralists	Disproportion impact due to poor development, discrimination and disaster vulnerability, etc.	Vulnerable pastoral and agro-pastoral individuals and groups	<ul style="list-style-type: none"> • Special measures for effective participation, compensation, assistance and livelihood restoration will be defined in the RP. This is to ensure food security during this transitional period. Additional assistance will also be offered to particularly vulnerable individuals and households during and after relocation. • Additional support (in addition to the entitled compensation and relocation allowance) to support during relocation and restoration of livelihood). Such support could be in terms of labour during the reconstruction of affected houses, or in terms of money to cover expenses associated to failure of using his/her labour to rehabilitate or adjust at the relocated area. Furthermore, they should be linked to assistance programs and networks. • Assistance in the compensation payment procedure (e.g. specifically explain the process and procedures, make sure that documents are well understood); • Assistance in the post payment period to secure the compensation money and reduce risks of misuse/robbery; • Assistance in moving: providing vehicle, driver and assistance at the moving stage, assist the person in identifying his/her resettlement plot; • Assistance in building: providing materials, workforce, or building houses; • Assistance during the post-resettlement period, particularly if the solidarity networks that the vulnerable person was relying on have been affected: food support, health monitoring, etc; and • Health care if required at critical periods, particularly the moving and transition periods

8 RP PREPARATION, REVIEW, AND APPROVAL

As described earlier, the implementation of all three sub-components under Component 2 (2.1 upgrading quality infrastructure, 2.2 facilitation of regional livestock trade, and 2.3 seed capital to private investors in the livestock sector) will cause the resettlement of the PAPs. Land acquisition and/or restrictions on land use due to the implementation of these sub-components may cause physical displacement (relocation, loss of residential land, or loss of shelter), economic displacement (loss of land, assets, or access to assets leading to loss of income sources or other means of livelihood) or both. Therefore, as provided in ESS5 (paragraph 12), the implementation of the DRIVE project will require preparation of Resettlement Plans (RPs).

The Borrower will demonstrate that involuntary land acquisition or restrictions on land use are limited to direct project requirements for clearly specified project purposes within a clearly specified period of time. First and foremost, the Borrower will consider feasible alternative project designs to avoid or minimize land acquisition or restrictions on land use, especially where this would result in physical or economic displacement, while balancing environmental, social, and financial costs and benefits, and paying particular attention to gender impacts and impacts on the poor and vulnerable. If avoiding displacement (physical or economic) is impossible, the Borrower will develop a plan that covers, at a minimum, the applicable requirements of the ESS5 regardless of the number of people affected. The plan will be designed to mitigate the negative impacts of displacement and, as warranted, to identify development opportunities. It will include a resettlement budget and implementation schedule, and establish the entitlements of all categories of affected persons (including host communities). Accordingly, the RP preparation, review and approval will involve the following key undertakings.

8.1 RP during Project Identification

The initial step in the RP preparation involves identification of the sub-component activities. The RP during the sub-component identification will undertake the following key tasks.

8.1.1 Screening process

During the screening phase, gathering information about land ownership, structures and uses of the land that would be directly affected (either temporarily or permanently) due to the land acquisition of the three sub-components identified above might be involved. This information shall be verified by a qualified consultant who shall provide written and enumerate all economic, residential or other ownerships and uses of the land that might be affected, along with an estimation of the number of people affected by this type of impact.

This same phase should also include conducting introductory meetings with communities including the PAPs and vulnerable groups in order to inform them about their rights and entitlements. The screening of the sub-components process steps are indicated both in the ESIA and ESMF of the project. Besides, a standard screening template must be used (see *Annex 3*).

8.1.2 Conducting the socio-economic census survey

Following the identification of the project activities, which may require involuntary resettlement, the next step will be to prepare a socio-economic assessment in which baseline data is collected within the target areas of the project. This would analyze the essence of the impacts; the socio-economic and cultural environment, local institutions, social risks, overall land holdings and assets affected, as well as indicators that will ensure that people impacted by the project at least restore or, preferably, enhance their former quality of life.

The information will be collected from the PAPs and related household members or dependents. Such information will be documented in writing, used to prepare the RP and to assess the necessary compensation and assistance for each person/household affected. The scope of requirements and level of detail of the resettlement plan vary with the magnitude and complexity of resettlement. The plan is based on up-to-date and reliable information about (a) the proposed project and its potential impacts on the displaced persons and other adversely affected groups, (b) appropriate and feasible mitigation measures, and (c) the legal and institutional arrangements required for effective implementation of resettlement measures. The preparation of the RP will be based on the standard template as annexed to this RF (see Annex 4).

8.2 RP Review and Submission

After the MoA/MoTRI or Consultant completes the RP for the sub-component with the impact, it shall be submitted to the WB for review and clearance. Following WB review and feedback, the MoA/MoTRI will submit review and approval to the Bank and if further adjustments are required, MoA/MoTRI will revise, review and resubmit for the Bank approval. The RP must consider the magnitude of the impacts of the sub-component on the PAPs and prepare for Bank approval in a manner consistent with this framework before acquiring the land for the implementation of the sub-components with the resettlement impacts. The resettlement and compensation plans must include appropriate mitigation measures to ensure that the displaced persons are:

- Informed about their options and rights pertaining to resettlement and compensation;
- Consulted on, offered choices among, and provided with technically and economically feasible resettlement and compensation alternatives;
- Provided prompt and effective compensation at full replacement cost for losses of assets and access, attributable to the project; and,

- Enabled to restore livelihoods, but preferably, to improve upon their pre-project living standards and conditions.

8.3 RP Project Implementation and Procedures

The RP project implementation requires the Borrower will not resort to forced evictions of affected persons. *Forced eviction* is defined as the permanent or temporary removal against the will of individuals, families, and/or communities from the homes and/or land which they occupy without the provision of basic infrastructure and services if relocation is in a new site, and provision and access to appropriate forms of legal and other protection including all applicable procedures and principles in the DRIVE RF. Besides, the following are the key points for due attention.

8.3.1 Cut-off date

The cut-off date should be adequately communicated to the people and to the local officials while conducting the household census and consultations. Thus, any person who constructs a house or a structure in the right-of-way after the cut-off date will not be eligible for compensation. Compensation shall not be paid for any structures erected, or crops and trees planted, after the cutoff date. Cultivating land and constructing structures in project affected areas after the cut-off date shall and will not be eligible for compensation or subsidies.

Proclamation No. 1161/2019 article 8 states the relevant government office to consult land holders who are to be displaced at least one year before they should handover their holdings. Nevertheless, land holders who are to be displaced may be consulted on the type; benefits and general process of the project in less than one year if the Government decides that the land is required urgently for investment.

The cutoff date will be officially published and communicated to the public. Moreover, the date will be disseminated throughout the project area at regular intervals in written and (as appropriate) non-written forms and in relevant local languages. Further, the date will be adequately communicated with the community and the local officials through formal meetings as well as during conducting household surveys.

8.3.2 Due process

Due process is understood to include the following types of procedural protections: (a) adequate and reasonable notice for all affected persons prior to the scheduled date of eviction; (b) information on the proposed evictions, and, where applicable, on the alternative purpose for which the land or housing is to be used, to be made available in reasonable time to all those

affected; (c) especially where groups of people are involved, government officials or their representatives as well, if requested, impartial observers to be present during an eviction; (d) all persons carrying out the eviction are to be properly identified; and (e) evictions are not to take place in inclement weather or at night, or during festivals or holidays unless the affected persons consent otherwise; and (f) the resettlement plan should provide an implementation schedule indicating how the resettlement activities are linked to the implementation of the overall project.

8.3.3 Steps in the implementation process

The implementation of project activities with potential physical and/or economic displacement will not commence until specific resettlement plan as describe above has been finalized and approved by the World Bank. Following the approval of the RP, the process of implementation will follow the following steps. However, the comprehensiveness of these steps depends on the nature and extent of resettlement required.

8.3.3.1 Step 1: Consultation and Participatory Processes

A participatory approach is adopted to initiate the compensation process. The consultations must start during the planning stages when the technical designs are being developed, and at the land selection/screening stage. The process, therefore, seeks the involvement of PAPs throughout the Census Study for identifying eligible PAPs and throughout the RP preparation process.

8.3.3.2 Step 2: Disclosure and notification

All eligible PAPs are informed about the DRIVE project sub-component with the adverse resettlement impacts and the RP process. A cut-off date is established as part of determining PAPs eligibility. In special cases where there are no clearly identifiable owners or users of the land or asset, the RP team must notify the respective local authorities and leaders. A “triangulation” of information (affected persons, community leaders and representatives, and other government agency, land valuation expert) may help to identify eligible PAPs. The RP must notify PAPs about the established cut-off date and its significance. PAPs must be notified both in written and by verbal notification delivered in the presence of all the relevant stakeholders.

8.3.3.3 Step 3: Documentation and verification of land and other assets

The GoE authorities at both Woreda and local community levels; community elders and leaders; will arrange meetings with PAPs to discuss the compensation and valuation process. For each individual or household affected by the sub-component, the RP preparation team will complete a Compensation Report containing necessary personal information on the PAPs and their

household members, their total land holdings, inventory of assets affected, and demographic and socio-economic information for monitoring of impacts. This information will be documented in a Report, and ideally should be witnessed by an independent or locally acceptable body (e.g., Resettlement Committee). The Reports will be regularly updated and monitored as provided in Annex 6 in this RF.

8.3.3.4 Step 4: Compensation and valuation

All types of compensation will be clearly explained to the individual and households involved. These refer especially to the basis for valuing the land and other assets. Once such valuation is established, the PIU in the MoA/MoTRI will produce a Contract or Agreement that lists all property and assets being acquired by the sub-component and the types of compensation selected. These options include in-kind (e.g., replacement housing) and cash compensation. All compensation should occur in the presence of the affected persons and community leaders.

Acquired assets will be compensated at replacement cost, and in calculating replacement cost, depreciation of structures and assets is not taken into account, nor is the value of materials salvaged by the PAP from an asset (e.g., building materials, the pump from a well, etc.) acquired under a community project deducted from the compensation amount. For houses and other structures, the replacement value, if provided as cash compensation, is the market costs of materials to build a similar or better structure than the one affected, plus costs of labor/contractors, and the cost of any registration and transfer taxes. For agricultural land, the replacement cost is the pre-project or pre-displacement (whichever is higher) market value of land that is of equal size, or use plus the cost of any registration and transfer taxes. Displaced persons/families will receive relocation assistance to cover (i) the costs of moving to their new location, and (ii) an allowance equal to the local average costs of living during a two month transition period to resettle in their new location of residence or business.

8.3.3.5 Step 5: Compensation payment

PAP payment: Compensation must be prompt or paid within a reasonable time. In any case, the eligible PAPs (that has been determined to be identified as eligible for compensation) should receive the compensation payment prior to eviction or project implementation. The payment should be made in accordance with the Ethiopian legal framework (Proclamation No. 1161/2019 and Regulation No. 472/2020) and WB's ESF (ESS5) as reviewed in detail in this RF.

Community Payments: Although most subprojects do not normally take land and other assets belonging to a community (such as a community center, school, or sacred site), if this occurs in a subproject, the community (as a whole) will be compensated. This compensation will be in the form of reconstruction of the facility (in case of damages) or replacement at least the same

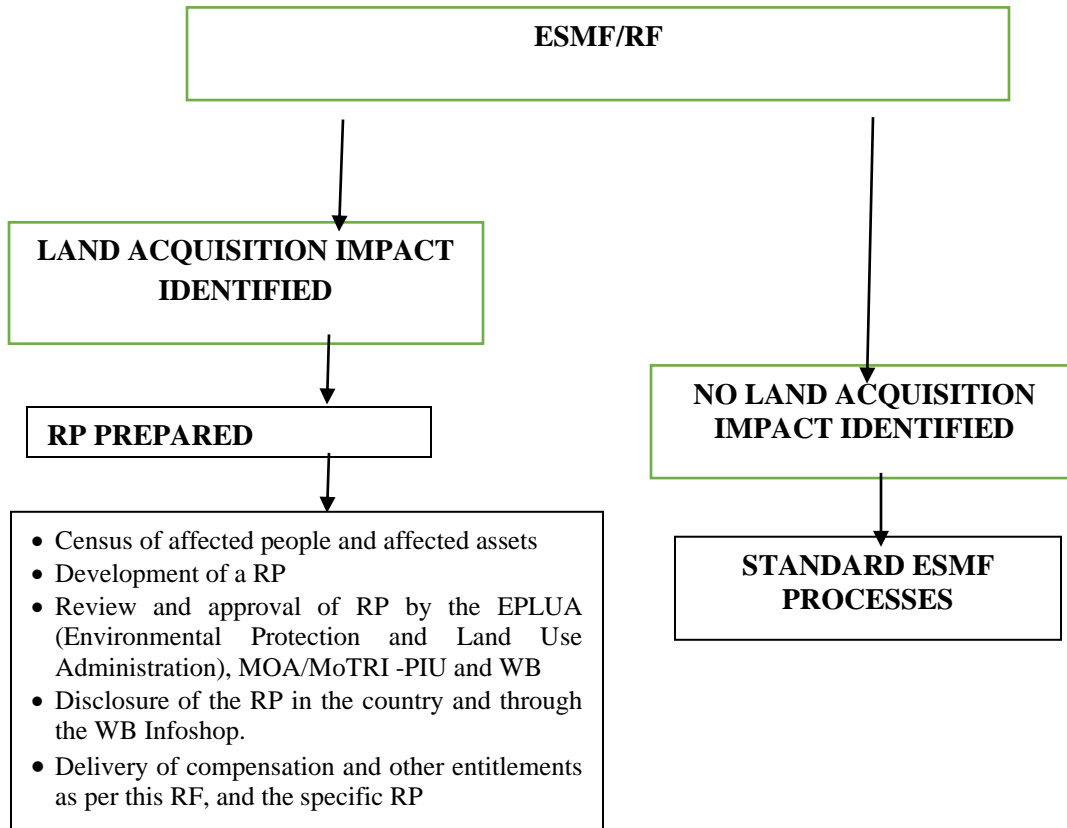


Figure 2: Resettlement Framework

standard or equivalent or better standard required by local planning regulation. Examples of community compensation are expansion of grazing grounds; rehabilitation of school buildings, public toilets, health facilities; installation of wells or pumps; creation of market places; and reconstruction of community roads.

In difficult circumstances: In certain cases there may be significant difficulties related to the payment of compensation to particular affected persons, for example, where repeated efforts to contact absentee owners have failed, where project affected persons have rejected compensation that has been offered to them in accordance with the approved plan, or where competing claims to the ownership of lands or assets are subject to lengthy legal proceedings. On an exceptional basis, with prior agreement of the Bank, and where the Borrower demonstrates that all reasonable efforts to resolve such matters have been taken, the Borrower may deposit compensation funds as required by the plan (plus a reasonable additional amount for contingencies) into an interest-bearing escrow or other deposit account and proceed with the relevant project activities. Compensation placed in escrow will be made available to eligible persons in a timely manner as issues are resolved.

8.3.3.6 Step 6: Land handover

As provided in the Ethiopian Proclamation No. 1161/2019 (Article 4) any holder who has been served with an expropriation order should handover the land to the Woreda or urban administration within ninety (90) days from the date of payment of compensation or, if the expropriatee refuses to receive the payment, from the date of deposit of the compensation in a bank account as described above in the name of the Woreda or urban administration as may be appropriate. As further stated in the same Article, the expropriatee should have the possibility of rejecting the compensation payment while undergo the due GRM or legal due process.

8.4 Special Restoration Measures for Vulnerable Groups/PAPs

Despite the DRIVE project has positive impacts in various aspects, often it is the poor and marginalized and vulnerable groups of people such as women with small children, people with disabilities, female headed households, the elderly and the sick who are required to resettle as a result of project-relative land acquisition. Owing to the differential adverse resettlement impacts for these groups of people/PAPs on the one hand and lack of provisions in the Ethiopian legal framework to account for such disproportionate adverse impacts on the other, the DRIVE project RF essentially recommends that the preparation of the RP should design special restoration measures for these groups of people.

Thus, the DRIVE project depending on the types and scale of the impact of the sub-components, during RP preparation, will conduct vulnerable groups/PAPs identification and their need assessment study and produce vulnerable group support plan with detail implementation plan. Accordingly, the PIU at the MoA and participating Woreda and City Administrations will be the main responsible bodies for the implementation of the activities listed below:

- Ensure the existence of joint property title for spouse and husband during resettlement compensation settlement;
- Deposit women's cash compensation in individual bank accounts in their names during resettlement planning;
- Deposit cash compensation on joint Bank accounts in the names of a husband and wife during resettlement planning;
- Provide livelihood training to women's groups organized in Micro and Small Enterprises (MSEs) with special attention to female headed households;
- Special attention will be given to the impact of resettlement on women and other vulnerable groups during monitoring and evaluation of the RP. The income restoration measures will also target the vulnerable persons to ensure that they are reasonably assisted to overcome potential economic shock from the project and maintain the quality of life not less than their pre-project state.
- In the case of physically displaced persons, the elderly and the sick, the Borrower will provide arrangements to allow them to obtain adequate housing with security of

tenure. Where these vulnerable groups own structures, the Borrower will compensate them for the loss of assets other than land, such as dwellings and other improvements to the land, at a replacement cost. Based on consultation with such vulnerable groups of people/PAPs, the Borrower will provide relocation assistance in lieu of compensation for land sufficient for them to restore their standards of living at an adequate alternative site.

- In such circumstances, the calculation of replacement cost defined in this RF establishes a minimum standard that should enable the purchase or construction of housing that meets acceptable minimum community standards of quality and safety, even though the house being replaced may have been substandard.

Identification of vulnerable people and identification of the cause and impacts of their vulnerability, preferably through an identification mechanism devised with, and implemented by the beneficiary community; this step is critical because often vulnerable people do not participate in community meetings, and their disability/vulnerability may remain unknown. To address the problem, hence, assistance may take the following forms, depending upon vulnerable persons' requests and needs:

- Assistance in the compensation payment procedure (e.g., specifically explain the process and procedures, make sure that documents are well understood);
- Assistance in the post payment period to secure the compensation money and reduce risks of misuse/robbery;
- Assistance in moving: providing vehicle, driver and assistance at the moving stage, assist the person in identifying his/her resettlement plot;
- Assistance in building: providing materials, workforce, or building houses;
- Assistance during the post-resettlement period, particularly if the solidarity networks that the vulnerable person was relying on have been affected: food support, health monitoring, etc; and
- Health care if required at critical periods, particularly the moving and transition periods.

9 AFFECTED ASSETS AND VALUATION PROCEDURES

9.1 Organizational Procedures for Delivery Entitlements

Organizational procedures for granting entitlements demonstrate the procedures to be followed when granting PAPs entitlement. As set out in the Ethiopian Proclamation No. 1161/2019 and World Bank ESS5 regarding involuntary resettlement, the DRIVE project implementing agency (MoA/MoTRI) should promote organizational procedures for the provision of entitlements.

According to proclamation No. 1161/2019, a Woreda or an urban administration as an agent of the government, can expropriate rural or urban land holdings for public purpose where it believes that it can be used for a better development project to be carried out by public entities, private investors or other organs with payment of compensation. However, the procedures of the land expropriation must be determined based on the plan and approved by an appropriate federal body or by the Regional, or the Council of the Lower Governors. If the appropriate federal body or region Cabinet questions the public interest of the land to be released, the Woreda or City Administration shall discuss the information obtained about the development with stakeholders and the owners. This is done before deciding whether the land should be released for public use, and the decision to allow the land to be released for public use may be upheld or amended based on the agreement during the discussion. Thus, the regions, Woreda or City Administrations will provide and facilitate all administrative and organizational procedures for the delivery of entitlements for PAPs in consultation with the MoA and Local Resettlement Committee.

9.2 Method of Asset Valuation

Valuation is the means of market comparison or estimated amount for which the property should exchange. The basic goal of property valuation is to provide a measure of the utility derived through the access to and control of property. The Ethiopian legal provision states that the methods employed to estimate the value of the property expropriated are not different from those that adopted in other market valuations. That is, main rule for the assessment of compensation for the property expropriated is the market value (Proclamation No. 1161/2019 Article 2(8)).

Both the Ethiopian legal framework (Proclamation No. 1161/2019 and Regulation No. 472/2020), and WB ESS5, set out the same method of asset valuation to guide the RF for the DRIVE project. That is, the replacement cost. It is defined as a method of valuation yielding compensation sufficient to replace assets, plus necessary transaction costs associated with asset replacement. Where functioning markets exist, replacement cost is the market value as established through independent and competent real estate valuation, plus transaction costs. Where functioning markets do not exist, replacement cost may be determined through alternative means, such as calculation of output value for land or productive assets, or the undepreciated value of replacement material and labor for construction of structures or other fixed assets, plus transaction costs.

In all instances where physical displacement results in loss of shelter, replacement cost must at least be sufficient to enable purchase or construction of housing that meets acceptable minimum community standards of quality and safety. Further, the valuation method for determining replacement cost should be documented and included in relevant resettlement planning documents. Transaction costs include administrative charges, registration or title fees, reasonable moving expenses, and any similar costs imposed on affected persons. To ensure compensation at replacement cost, planned compensation rates may require updating in project areas where inflation is high or the period of time between calculation of compensation rates and delivery of compensation is extensive.

9.3 Replacement Cost Approach

Replacement cost makes a number of guidelines. First, the compensation of lost assets and properties is based on the willingness of owners of a resource to give up their rights to that resource. Though serving public interest gets priority compared to group or individual interests; consensus and negotiation needs to be reached with the PAPs with regards the willing to give land for the required sub-components. Second, information about compensation standards, formulas, and rates should be provided in a transparent and consistent manner. Where compensation for land or assets (including crops) is calculated according to formulas or rates set out in documents prepared by the Borrower, these are made available and explained to affected persons. It is also important to ensure that rates are applied consistently. Third, with regard to land and assets, the calculation of replacement costs takes into account the following:

- a) *Agricultural (including fallow) land or pastureland*: Land of equal productive use or potential, located in the vicinity of the affected land or the new housing site, plus the cost of preparation to levels similar to or better than those of the affected land, and transaction costs such as registration and transfer taxes or customary fees.
- b) *Land in urban areas*: The market value of land of equivalent area and use, with similar or improved infrastructure and services, preferably located in the vicinity of the affected land, plus transaction costs such as registration and transfer taxes.
- c) *Houses and other structures* (including public structures such as schools, clinics, and religious buildings): 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, transfer taxes, and moving costs.
- d) *Loss of access to natural resources*: The market value of the natural resources, which may include, among others, wild medicinal plants, firewood, and other non-timber forest products, meat, or fish. However, cash compensation is seldom an effective way of compensating for lost access to natural resources—as discussed in the guidance associated with ESS5 paragraphs 16 and 33 and 36. Thus, the Borrower needs to assess means to provide, or facilitate access to, similar resources elsewhere, taking into account the impacts at the alternative location, providing cash compensation only when it can be demonstrated that no feasible alternative measures are available.

10 ELIGIBILITY CRITERIA FOR AFFECTED PERSONS

Avoidance is the preferred approach in accordance with the mitigation hierarchy in ESS1. It is especially important to avoid physical or economic displacement of those socially or economically vulnerable to hardship as a result. When land acquisition or restrictions on land use (whether permanent or temporary) cannot be avoided, the Borrower will offer affected persons compensation at replacement cost, and other assistance as may be necessary to help them improve or at least restore their standards of living or livelihoods, subject to the provisions of paragraph 26 through 36 of ESS5. The purpose of deciding on eligibility requirements in the RF is to ensure that PAPs experiencing a complete or partial loss of land, crops, trees, and other properties or access to natural resources are specifically identified and recognized as eligible for any kind of assistance.

10.1 Eligibility Criteria

Eligibility is the definition of displaced persons and criteria for determining their inclusion or exclusion for compensation and other resettlement assistance, including relevant cut-off dates. The GoE has issued the legal frameworks. The eligibility for compensation is recognized in Article 44(2) of the 1995 Constitution. Further, the new Proclamation No. 1161/2019 is provided to address the public's concern on the previous Proclamation No. 455/2005. The new proclamation has included many changes in provisions including the provision of livelihood restoration of PAPs beyond compensation of the lost asset and property. According to Article 2 (3) *and* Article 12-14 *of the proclamation*, compensation is paid to those who have legally occupied the land and those who have property on such land developed through their labour and capital. As per these provisions, the lawful occupants are expected to produce evidence for their legal landholding. The most important evidence for this could be the landholding certificate.

However, these GoE legal documents only have provisions for those who have legal title and do not give any legal entitlement for the squatters and informal settlers. In this and other related discrepancies between the WB's Policy and National Legislations, the project will be implemented as per the ESS5. Paragraph 10 defines three categories of affected persons who are eligible for coverage under ESS5. While people in all three categories are entitled to assistance of some sort under ESS5, the nature of that assistance may vary, as subsequent paragraphs of ESS5 make clear.

10.1.1 Category A

Affected persons who have formal legal rights to land or assets are those who have formal documentation under national law to prove their rights, or are specifically recognized in national law as not requiring documentation. In the simplest case, an area is registered in the name of individuals or communities. In other cases, persons may have a lease on the land and therefore have legal rights. The implementation of the DRIVE project anticipates the affected persons in this category include farming households, urban households, and business owners.

10.1.2 Category B

Affected persons who do not have formal legal rights to land or assets, but who have a recognized or recognizable claim under national law can fall into a number of groups. They may have been using the land for generations without formal documentation under customary or traditional tenure arrangements that are accepted by the community and recognized by national law. In other cases, they may have never been provided formal title or their documents may be incomplete or lost. They may have a claim for adverse possession if they have occupied land for a certain period of time as defined by national law, without the formal owner contesting the occupation. In such cases, national law often has legal procedures by which such claims can become recognized.

10.1.3 Category C

Affected persons who have no recognizable legal right or claim to the land or assets they occupy or use are eligible for assistance under ESS5. These can be seasonal resource users, such as herders, grazers, fishers, or hunters (although if the rights of such users are recognized by national law, they may fall into category (a) or (b)). They can also be persons occupying land in violation of applicable laws. Affected persons in these groups are not eligible for compensation for land, but are eligible for resettlement and livelihood assistance and compensation for assets.

As per the above stated eligibility classifications, the environmental and social assessment of the DRIVE project will conduct a census survey to identify the persons who will be affected by the project, establish an inventory of land and assets to be affected, determine who will be eligible for compensation and assistance. The social assessment will also address the claims of communities or groups who, for valid reasons, may not be present in the project area during the time of the census, such as seasonal resource users.

10.2 Scope of the Entitlement in the DRIVE Project

The applicability of the ESS5 will be established during the DRIVE project's environmental and social assessment described in ESS1. In general, the scope of the entitlement applies to permanent or temporary physical and economic displacement resulting from the three sub-components related land acquisition or restrictions on land use.

10.2.1 Physical displacement

Physical displacement refers to the relocation, loss of residential land or loss of shelter of the affected persons in association with the DRIVE project-related land acquisition. Article 25 of the Ethiopian Proclamation No. 1161/2019 states the need to compensate physical displacement due to land acquisition for projects concerning the public benefits.

Likewise, WB provisions specific to physical displacement are set out in ESS5. The requirements are described in Paragraphs 26 through 30 as follow:

- In the case of physical displacement, the MoA and MoTRI will develop a plan that covers, at a minimum, the applicable requirements of the ESS5 regardless of the number of people

affected. The plan will be designed to mitigate the negative impacts of displacement and, as warranted, to identify development opportunities. It will include a resettlement budget and implementation schedule, and establish the entitlements of all categories of affected persons (including host communities). Particular attention will be paid to gender aspects and the needs of the poor and the vulnerable. Also, the MoA will document all transactions to acquire land rights, provision of compensation, and other assistance associated with relocation activities.

- If people living in the project area are required to move to another location, the MoA and MoTRI will: (a) offer displaced persons choices among feasible resettlement options, including adequate replacement housing or cash compensation; and (b) provide relocation assistance suited to the needs of each group of displaced persons. New resettlement sites will offer living conditions at least equivalent to those previously enjoyed, or consistent with prevailing minimum codes or standards, whichever set of standards is higher. If new resettlement sites are to be prepared, host communities will be consulted regarding planning options, and resettlement plans will ensure continued access, at least at existing levels or standards, for host communities to facilities and services. The displaced persons' preferences with respect to relocating in preexisting communities and groups will be respected wherever possible. Existing social and cultural institutions of the displaced persons and any host communities will be respected.
- In the case of physically displaced persons under ESS5 Paragraph 10 (a) or (b), the MoA and MoTRI will offer the choice of replacement property of equal or higher value, with security of tenure, equivalent or better characteristics, and advantages of location, or cash compensation at replacement cost. Compensation in kind should be considered in lieu of cash.
- In the case of physically displaced persons under the ESS5 Paragraph 10 (c). Accordingly, the MoA and MoTRI will provide arrangements to scatter and informal occupants to allow them to obtain adequate housing with security of tenure. Where these displaced persons own structures, the Borrower will compensate them for the loss of assets other than land, such as dwellings and other improvements to the land, at replacement cost. Besides, based on consultation with such displaced persons, the MoA and MoTRI will provide relocation assistance in lieu of compensation for land sufficient for them to restore their standards of living at an adequate alternative site.

10.2.2 Economic displacement

Economic displacement refers to the loss of land, assets, or access to assets leading to loss of income sources or other means of livelihood resulting from the DRIVE project-related land acquisition or restrictions on land use. For economic displacement caused due to the implementation of the DRIVE project, the Ethiopian legislation requires MoA and MoTRI to adhere to the resettlement compensation as set out in the Proclamation No. 1161/2019 Article 4(2), Article 13 (3a) and Article 25(2). Hence, MoA and MoTRI will develop a Livelihood Restoration Plan to compensate affected persons and/or communities and offer associating assistances.

WB ESS5 includes specific provisions related to economic displacement. The provisions are described as follows:

- In the case of the DRIVE sub-components affecting livelihoods or income generation, the Borrower's plan will include measures to allow affected persons to improve, or at least restore, their incomes or livelihoods. The plan will establish the entitlements of affected persons and/or communities, paying particular attention to gender aspects and the needs of vulnerable segments of communities, and will ensure that these are provided in a transparent, consistent, and equitable manner. Also, the plan will incorporate arrangements to monitor the effectiveness of livelihood measures during implementation, as well as evaluation once implementation is completed (Paragraph 33).
- Economically displaced persons who face loss of assets or access to assets will be compensated for such loss at replacement cost. Details on the types of compensation for economic displacement are provided in Paragraph 34 (a-c).
- Economically displaced persons will be provided opportunities to improve, or at least restore, their means of income-earning capacity, production levels, and standards of living. Further details are set out in Paragraph 35 (a-c).
- Transitional support 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 (Paragraph 36).

As both recognized in Ethiopian Proclamation No. 1161/2019 (Article 13 and Article 25) and WB ESS5 Paragraph 35 (a), the types of compensation apply in the DRIVE RP depend on whether: (a) the lost means of livelihood are land-based or not; and (b) individually or communally owned. The term "land-based" includes agricultural land, livelihood activities such as rotational cropping and grazing of livestock, and the harvesting of natural resources. In view of this, the types of compensation payment will involve the following.

10.2.2.1 Replacement land

The Ethiopian Proclamation No 1161/2019 (Article 13) states that for persons whose lost livelihood is land-based compensation payment should be in replacement land. Likewise, as per WB ESS5 (Paragraph 14), where livelihoods of displaced persons are land-based, the Borrower will offer the displaced persons an option for replacement land rather than in cash compensation, unless it can be demonstrated to the Bank's satisfaction that equivalent replacement land is unavailable. Both, the cited Ethiopian and WB provision underscore that the replacement land should have a combination of productive potential, locational advantages, and other factors at least equivalent to that being lost. However, cash compensation or (in the case of displaced persons under paragraph 10(c)) resettlement assistance in lieu of compensation for land is offered to those people who do not wish to continue their land-based livelihoods or who prefer to purchase land on their own.

Compensation for land in urban areas will adhere to ESS5 (GP12.1c). That is, the market value of land of equivalent area and use, with similar or improved infrastructure and services,

preferably located in the vicinity of the affected land, plus transaction costs such as registration and transfer taxes.

10.2.2.2 Community compensation

The Ethiopian Proclamation No 1161/2019 (Article 13) states that compensation for communal landholding should be in replacement land. But, the Proclamation lacks further specification on the valuation method and manner of payment for permanent and temporary livelihood loss from communal land ownership. In contrast, the WB ESS5 provides a clear statement in this regard. That is, where land is collectively owned, the Borrower will offer the displaced community and persons an option for replacement land (Paragraph 14). Yet, as per ESS5 Paragraph 35 (b), where restrictions on land use and access to natural resources that cause a community or groups within a community to lose access to resource usage where they have traditional or customary tenure, or recognizable usage rights MoA will requires to implement to either allow continued access to affected resources or to provide access to alternative resources with equivalent livelihood-earning potential and accessibility. Where common property resources are affected, benefits and compensation associated with restrictions on natural resource usage may be collective in nature.

10.2.2.3 Cash compensation

Cash compensation is considered for none land-based loss of property and assets including houses, structures like fences, fixed improvements, and business. Cash compensation will apply the principle of replacement cost: A method of valuation yielding compensation sufficient to replace asses plus the necessary transaction costs associated with asset replacement.

10.2.2.4 In-kind compensation

When payment of cash compensation is considered, the ability of the affected persons or population to utilize cash to restore standards of living is assessed. For example, short-term consumption of cash compensation can sometimes result in hardship for subsistence-based economies or poorer households. In such cases, provision of in-kind compensation (for example, livestock or other moveable/transferable property) or vouchers earmarked for specific types of goods and services may be more appropriate. In either case whether cash, in-kind compensation, or some combination is provided the MoA should consider the possibility of providing training or other guidance to recipients to help them make effective use of what they receive.

10.2.3 Project entitlement exclusion criteria

The entitlement exclusion criteria in the DRIVE project will be determined as par the WB ESS5 (Paragraphs 5 through 9). Accordingly, these are described as follow.

10.2.3.1 Claims after cut-off date

The scope of the entitlement in the DRIVE RF will not apply to settlements and fixed structures built after the cut-off date. The cut-off date for determining eligibility for compensation or other assistance is intended to help prevent encroachment by opportunistic settlers. It is most

effective when it is well communicated, documented, and disseminated, including by providing clear demarcation of areas designated for resettlement. Individuals taking up residence in, or use of, the project area after the cut-off date are not eligible for compensation or resettlement assistance. Similarly, the loss of fixed assets (such as built structures, fruit trees, and woodlots) built or planted after the cut-off date is not compensated, except where it can be demonstrated that such post-cut-off date improvements were needed to maintain the livelihoods of the affected person during the period between the cut-off date and displacement.

10.2.3.2 Voluntary land donation

The scope of the eligibility criteria for the RF will not include as far as DRIVE sub-components related land acquisition through voluntary donation. There are situations in which people are willing to donate a portion of their land for project purposes for no compensation or reduced compensation. Also, voluntary land donations may involve some monetary or nonmonetary benefits or incentives provided to the land donor by the project or by community members benefiting from a project. Both can be broadly classified as a voluntary land donation, because the transfer of assets takes place without payment of compensation at replacement value. However, the ceding of a property by an owner requires he or she is: (a) appropriately informed; and (b) can exercise free will. Appropriately informed means that the owner has all available information regarding the proposed activity and its impacts on: land requirements, alternative activity sites, and his or her rights to compensation. The owner has also been provided with sufficient time to consider his or her disposition of the property, and has knowingly rejected the right to renege on his or her decision. Free will means that the owner can reject the proposal to give up his or her land, because, for example, there are viable alternatives available to the project or where no viable alternatives are available, the donation is to the benefit of the owner.

10.2.3.3 Incomes or livelihoods with no direct relation to the project

The scope of the eligibility criteria in the DRIVE RF does not apply to impacts on incomes or livelihoods that are not a direct result of land acquisition or land use restrictions imposed by the project. Rather, such impacts will be addressed in accordance with ESS1.

10.2.3.4 Legally recorded market transactions

The scope of the entitlement in the DRIVE RF will not apply to voluntary, legally recorded market transactions in which the seller is given a genuine opportunity to retain the land and to refuse to sell it, and is fully informed about available choices and their implications. However, where such voluntary land transactions may result in the displacement of persons, other than the seller, who occupy, use or claim rights to the land in question, the entitlement eligibility stated in the preceding section will apply.

10.2.3.5 Compensation for temporary economic loss

Regarding compensation, for temporary losses, Proclamation No. 1161/2019, Article 13 (2a-e) states that:

- a) A rural landholder whose landholding has been provisionally expropriated shall be paid displacement compensation for lost income based on the highest annual income secured during the last three years preceding the expropriation of the land until repossession of the land.
- b) Displacement compensation paid under paragraph (a) of this Sub-article shall take in to consideration the amount of additional time necessary for the land to regain its productivity which shall be determined by the surrounding Agricultural Institution.
- c) If the land fails to serve as before, it shall be considered as expropriated permanently and pursuant to Sub-article (a), either a displacement compensation or substitute land shall be given to the land holder.
- d) The displacement compensation paid for temporary expropriation under Sub-article (a), shall be deducted from payment of compensation paid for the land considered as permanently expropriated and the difference shall be paid to the landholder. The payment may not account for transitional losses. In this case, a better practice will be adopted which is in favor of the PAPs.
- e) Displacement compensation for temporary expropriation shall not in any way exceed to the amount of compensation payable to permanent displaced compensation.

10.3 Relocation Options

The DRIVE RF proposes that the project affected persons would ideally be moved to their own land holdings or to areas not more than 5Kms away from the location in which they lived: This can help them maintaining their social fabric while reducing the socio-economic integration with the host-community. Alternative relocation site options are those that allow access to employment options, markets, and other means of livelihood such as agricultural fields, as well as basic infrastructure and services, such as water, electricity, sanitation, health care, and education, depending on the local context. In any case, the RP will resolve the residential parcel condition and be enforced with the full involvement of the project affected persons and the community. In any case, the RP will tackle the residential parcel requirement and will be enforced by offering relocation options:

- **Option 1:** The project affected persons can choose to relocate themselves, be compensated for their structures and associated assistance; or
- **Option 2:** On the appropriate site (i.e., sites will be offered), the Project Implementing Unit in the MoA could resettle the project affected persons.

11 GRIEVANCE REDRESS MECHANISM (GRM)

The Borrower will ensure that a grievance mechanism for the project is in place, in accordance with ESS10 as early as possible in project development, to address specific concerns about compensation, relocation, or livelihood restoration measures raised by displaced persons (or others) in a timely fashion. Where possible, such grievance mechanisms will utilize existing formal or informal grievance mechanisms suitable for project purposes, supplemented as needed with project-specific arrangements designed to resolve disputes in an impartial manner. This section provides the guidelines for the GRM in the designing and implementation of the resettlement plan in the DRIVE project.

11.1 Project-Specific Grievance Redress Mechanism (GRM)

Regardless of scale, involuntary resettlement from the implementation of the DRIVE project may give rise to grievances among affected households and communities on issues ranging from rates of compensation and eligibility criteria to the location of resettlement sites and the quality of services at those sites. Hence, project-specific grievance redress mechanism will be established/strengthened to allow PAPs to complain about any decision or activities regarding inclusion in the census, eligibility and temporary or permanent loss of their land, assets or sources of income and their compensation. The scope of the DRIVE project grievance mechanism will depend on the magnitude and complexity of the sub-components and displacement involved.

The project will ensure that the Grievance Mechanism is gender-sensitive during committee formation and implementation. It will ensure that women are represented in the GRM committee and the GRM equally address grievances received from men and women as well as vulnerable groups. However, it is important to note that grievance redress procedure of the Project does not replace existing legal processes. Based on consensus, the procedures will seek to resolve issues quickly in order to expedite the receipt of entitlements, without resorting to expensive and time-consuming legal actions.

The project level grievance mechanism is disclosed and explained to affected communities as early as possible and on a regular basis throughout the project cycle. The grievance mechanism is available at no cost, and it is important that it be easily accessible, with special attention paid to accessibility for disadvantaged and vulnerable individuals or groups.

11.2 Potential Grievances/Disputes in the DRIVE Project

Grievance procedures are required to ensure that PAPs are able to present complaints or concerns, without cost, and with the assurance of a timely and satisfactory resolution of the issue. Grievances will be actively managed and tracked to ensure that appropriate resolution and actions are taken. A clear time schedule will be defined for resolving grievances, ensuring that they are addressed in an appropriate and timely manner, with corrective actions being implemented, and the complainant will be informed of the outcome.

Under the DRIVE project, grievances and dispute may arise in the course of the implementation of sub-components involving involuntary resettlement. The reasons, among others, may be related to the following issues:

- (i) Targeting for project beneficiaries;
- (ii) Valuation of assets and compensation;
- (iii) Disagreement on plot boundaries, either between the affected person and the expropriation agency or between two neighbors;
- (iv) Disputed ownership of a given asset (two or more affected people claim that the affected asset is theirs);
- (v) Successions, divorces, and other family issues resulting in disputed ownership or disputed shares between inheritors or family members;
- (vi) Where affected people opt for a resettlement-based option, disagreement on the resettlement package (the location of the resettlement site does not suit them, proposed housing or resettlement plot characteristics, or agricultural potential are not adequate in their view) may arise;
- (vii) Gender related issues including Gender Based Violence (GBV); and
- (viii) Disputed ownership of businesses and business-related assets (quite usually, the owner and the operator of a business may be distinct individuals, which give rise to dispute in the event of compensation).

11.3 Institutional Setup and GRM Procedure for DRIVE

Grievance procedures are required to ensure that PAPs can present complaints or concerns, without cost, and with the assurance of a timely and satisfactory resolution of the issue. Grievances will be actively managed and tracked to ensure that appropriate resolutions and actions are taken. A well-organized and well-functioning grievance redressing system is an essential and necessary mechanism to provide remedies to grievances presented by project-affected people early enough to avoid unnecessary project implementation delays and obstructions.

To this end, the Ethiopian Proclamation No. 1161/2019 has a provision on the institutional setup for the GRM involving involuntary resettlement. As stated in Article 18 (1) “Regional States, Addis Ababa and Dire Dawa City Administrations shall establish Complaint Hearing Body and Appeal Hearing Council which shall have jurisdiction to entertain grievances arising from decisions under this Proclamation”. Under sub-article (2), Regional States, Addis Ababa and Dire Dawa City Administrations may establish Complaint Hearing Body and Appeals Hearing Council at the local Kebele, Woreda/Sub-city and Regional/City level. The provision under Article 18 (3) of the Proclamation describes the structure, powers and duties of the Complaint Hearing Body and Appeal Hearing Council as follow.

11.3.1 Kebele Grievance Redress Management Community (KGRMC)

The members of the KGRMC shall include the Kebele administration or council member, the DRIVE Focal Person at the kebele level, persons represented from the sub-component beneficiaries (participants), elected community elders, members of local youth and women groups, and a social worker from the Women and Social Affairs Office. This venue will help to resolve issues and complaints of affected person at the earliest point to make the process faster and cost-effective. If the complaint not resolved, the project affected person shall be advised to present his/her complaints to the next level of Appeal Hearing Body, that is, the Woreda/Sub-city Grievance Redress Management Committee (W/SGRMC).

11.3.2 Woreda/Sub-city Grievance Redress Management Committee (W/SGRMC)

The members of the W/SGRMC shall be composed of representatives of the Woreda/Sub-city Council, DRIVE Focal Person at the woreda level, elected person from beneficiaries (sub-component participants), representatives from elder groups and religious institutions, representatives from youth and women groups, and social worker from the Woreda/Sub-city Women and Social Affairs Office. The W/SGRMC shall review the decision by the KGRMC and make decision on the cases of the complaints. In events where aggrieved party not satisfied with the resolution made by the W/SGRMC, he or she shall be referred to the next level, that is, Regional/City Grievance Redress Management Committee (R/CGRMC) for re-consideration of the resolution by the W/SGRMC.

11.3.3 Regional/City Grievance Redress Management Committee (R/CGRMC)

The members of the R/CGRMC shall be composed of the representative from the Region or City Council, DRIVE Focal Person at the regional level, representatives from beneficiaries, elders, traditional and religious institutions, youth and women groups and officer from the Regional/City Women and Social Affairs Office. The R/CGRMC will seriously review the decision by the W/SGRMC to resolve the received complaints and, thus, make all the possible efforts to satisfy the grieved party. But, in an event of dissatisfaction, the party with complains can have the right to resort to the court system.

11.3.4 Court Option

The project-specific GRM will not prevent the rights of the project-affected party with complaints. In events where the grievance is not resolved by the R/CGRMC at the Regional/City level, then the affected party shall be advised to take the cases to the regular court system. This would also assist in creating an alternative space for project-affected parties who would

otherwise not be able to voice out their concerns through the established DRIVE GRM structure for fear of reprisals despite repeated assurances of protection.

The GRM for the DRIVE project is complementary to other existing formal grievance redress mechanisms within the legal and administrative structures including Police, Anti-Corruption Office, and Human Rights Commission. Project affected parties shall also be informed about the existing legal and formal mechanisms and be allowed to make use of them wherever they find it necessary. Also, the GRM of the DRIVE will use existing informal or traditional conflict resolution mechanisms where possible.

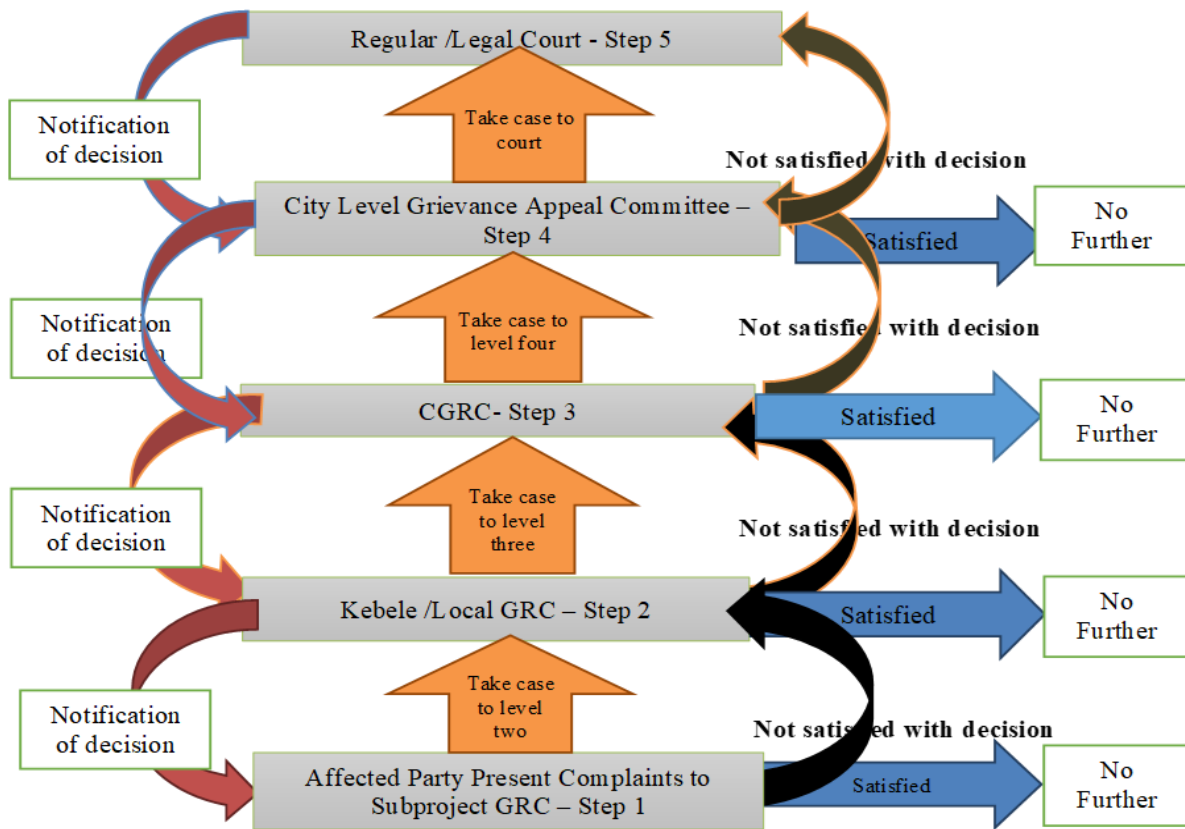


Figure 3: Schematic Diagram for Grievance Redress Mechanism Arrangement

11.4 Timing of the GRM

11.4.1 Complaints

Proclamation No. 1161/2019, Article 19 (1) regarding complaints states that, “Any person who received an order of expropriation of his landholding; or who has an interest or claim on the property to be expropriated may file an application within 30 (thirty) days of service of the

order to the Complaint Hearing Body”. Further, sub-article 2 indicates that after investigating the complaint submitted to it, the complaint hearing body, shall make its decisions within 30 (thirty) days of the filing of the application and notify in written to the parties.

11.4.2 Appeal

Article 20 (1) of Proclamation No. 1161/2019, states that “A party who is aggrieved with the decision given under Article 19 sub-article 1 of this proclamation shall file an appeal to the Appeal Hearing Council within 30 (thirty) days of the receipt of the written notice of the decision thereof.” Under sub-article 2, *“The party who is dissatisfied with the decision has the right to continue his claim; however, for the continuance of the development, he has to surrender his land holdings, but it should be met with interim compensation arrangements.”* Moreover, under sub-article 3 of the proclamation *“If the land holder faces economic loss due to the expropriation and is unable to file an appeal, the government shall arrange for free legal services.”*

11.4.3 Takeover

As per the Proclamation No. 1161/2019 Article 19 Sub-article (1): “If the person who received an order of evacuation of his landholding filed a Complaint application as per this Proclamation, the Woreda or City administration may take over the land only where:

- The appeal is affirmed as per Article 19 Sub-article (1) of this Proclamation and failed to make an appeal on that decision; or
- The landholder failed to make an appeal as per Article 20 sub-article 2 of this proclamation.”

11.5 Steps in the GRM

The grievance process will be simple and administered as far as possible at the local levels to facilitate access, flexibility and ensure transparency. Complaints will be received at the KGRMC in writing or orally and will be filled in a Grievance Registration Form (see Annex 5). The steps for grievance redress are as follows:

11.5.1 First Step

Registration of the grievances with the Grievance Resolution Committee at the Kebele level as discussed above. The KGRMC will seek to eliminate nuisance claims and engage with legitimate claimants endeavoring to reconcile the aggrieved PAP concern or depending upon the issue to negotiate for a resolution. Where the complaint and grievance cannot be resolved by the committee, the complaint is referred to the W/SGRMC. The DRIVE GRM will provide multiple options for submission of grievances by project-affected persons in order to minimize barriers that may prevent others from forwarding their issues. These channels include the following:

- a) *In person* This may be verbal or written submissions done at any time through face to face interactions with members of committees, program officials, local administration structures.
- b) *Grievance box*: Grievance boxes placed in strategic places of project implementation sites or communities where project affected parties would drop in their grievances at any time. These will also be made available at pay-points when payments being delivered.
- c) *Phone Call or SMS*: This will be at project affected parties own discretion and capability. Where possible, details of relevant immediate contact persons in the project area shall be made available.

11.5.2 Second Step

The W/SGRMC receives grievance forwarded by the KGRMC concerning the aggrieved party to negotiate and forward possible resolution. The W/SGRMC having heard the concern, the meeting will respond to the aggrieved party within one week of the date of the meeting. If consensus not reached, the case will be referred to the R/CGRMC.

11.5.3 Third Step

The R/CGRMC will collect complaints from the W/SGRM. The R/CGRMC will serious review the decision by the W/SGRMC to resolve the received complaints and, thus, make all the possible efforts to satisfy the grieved party. But, in an event of the dissatisfaction, the party with complains will be referred to the next level as stated in step four below.

11.5.4 Fourth Step

The project-specific GRM will not prevent the rights of the project affected party with complaints. In events where the grievance is not resolved by the R/CGRMC, then, the grieved party has the right to resort to the regular court system.

11.5.5 Final Step

Expropriation of land will be used as a last in cases where project affected persons have rejected compensation that has been offered to them in accordance with the approved plan, or where competing claims to the ownership of lands or assets are subject to lengthy legal proceedings. On an exceptional basis, with prior agreement of the Bank, and where the Borrower demonstrates that all reasonable efforts to resolve such matters have been taken, the Borrower may deposit compensation funds as required by the plan (plus a reasonable additional amount for contingencies) into an interest-bearing escrow or other deposit account and proceed with the relevant project activities. Compensation placed in escrow will be made available to eligible persons in a timely manner as issues are resolved.

11.6 World Bank Group Grievance Redress Service

According to World Bank Grievance Redress, communities and individuals who believe they are adversely affected by a Bank-supported project may submit complaints to existing project-level grievance redress mechanisms or the Bank's Grievance Redress Service (GRS). The GRS ensures that complaints received are promptly reviewed to address project-related concerns and impacts. Project affected communities and individuals may submit their complaint to the Bank's Independent Inspection Panel, which determines whether harm occurred, or could occur, because of the Bank's noncompliance with its policies and procedures. Complaints may be submitted at any time after concerns have been brought directly to the Bank's attention and Bank Management has been given an opportunity to respond. For information on how to submit complaints to the Bank's corporate GRS, see <http://www.worldbank.org/GRS>, and Bank's Inspection Panel, see www.inspectionpanel.org. The Bank's GRS will be shared with the project affected community as part of project information disclosure. Considering the very low literacy level of the project affected communities to access the Bank's GRS through website, the GRM provide alternative means including but not limited to posting the phone number of the Bank's GRS and Inspection Panel at the Country Office on community notice board.

11.7 Capacity Building Trainings for GRM Committee

The same GRM described above is used to address issues of GBV/SEA involving project related land acquisition and associating involuntary economic and physical displacement. However, on GBV/SEA, there is need to ensure that GRM procedures and mechanisms for reporting allegations of GBV/SEA are known to all GRM Focal Persons. And most importantly to fulfill the role of addressing GBV, focal persons should be trained (and/or have previous knowledge and experience) on GBV Guiding Principles including those of confidentiality and safety of complaints/survivors, on the survivor-centred approach. This set of skills will help GRM Focal Persons to support the quality of the complaint mechanism, while at the same time ensuring the adherence to GBV Guiding Principles and a survivor-centred approach, including right to safety, respect, and confidentiality, of the complaint intake and management. Likewise, the GRM in RP or LRP provide awareness raising trainings for the project affected women and communities on the principles, procedures and mechanisms of reporting allegations of GBV/SEA involving project related land acquisition and associating involuntary economic and physical displacement. Furthermore, GRM Focal Persons and project affected women and communities will be provided with adequate information to use the GBV Action Plan of the project.

12 IMPLEMENTATION SCHEDULE, BUDGET AND ARRANGEMENTS FOR FUNDING

12.1 Implementation Schedule

It is essential that the timeframes and action plans associated with the RPs are linked to the sub-component implementation schedule and that has to be agreed with the PAPs. In particular, The RP implementation schedule should pay due attention to the following key issues:

- The implementation of project activities with potential physical and/or economic displacement will not commence until specific resettlement plan as describe above has been finalized and approved by the World Bank.
- The resettlement plan should provide implementation schedule indicating how the resettlement activities are linked to the implementation of the sub-component activities.
- Target dates for start and completion of the resettlement;
- Timetables for transfer of completed civil works to PAPs;
- Adequate and reasonable notice for all affected persons prior to the scheduled date of eviction;
- information on the proposed evictions, and, where applicable, on the alternative purpose for which the land or housing is to be used, to be made available in reasonable time to all those affected;
- Evictions are not to take place in inclement weather or at night, or during festivals or holidays unless the affected persons consent otherwise; and
- Dates of possession of land that PAPs are using must be after transfer date for completed civil works to PAPs and for payments of all compensation.

12.2 Proposed RF Implementation Budget

It is not possible to provide an estimated budget for the total cost of resettlement that may be associated with the implementation of the sub-components at this stage. Thus, costs related to the required mitigation measures for the three sub-components under Component 2 with potential adverse impacts due resettlement are not set out in the RF budget proposed here. These will be assessed and internalized by beneficiary institutions as part of the overall subproject cost. It is extremely difficult to estimate the proportion of project costs that can be expected to be devoted to mitigation measures. However, a rough rule of thumb is that they should be expected to cost between 2% and 5% of the total project cost. Table 6 provides indicated outline of a RP budget.

Table 6: Indicative Outline of a RP Budget

Description	Unit	Quantity	Estimated Cost		Responsible Agency
			Unit Cost	Total	
Asset acquisition					
Land					
Structure					
Crops and economic trees					
Community infrastructure					
Land Acquisition and Preparation					
Land					
Structures					
Crops areas and others					
Community infrastructure					
Relocation					
Transfer of possessions					
Installation costs					
Economic Rehabilitation					
Training					
Capital Investments					
Technical Assistance					
Monitoring					
Number	Item	Costs	Assumptions		
1	Compensation for loss of Land	/hectare	For land acquisition purposes, based on Ethiopian average market cost, or from similar projects		
2	Compensation for loss of Crops	/hectare of farm lost	Includes costs of labor invested and average of highest price of staple food crops and Ethiopian market prices		
3	Compensation for loss of access to pastoralists	If applicable	Those affected would be provided with shared access, or alternate routes (decision agreed through consultation and participation of all)		
4	Compensation for loss of access to fishing resources.	If applicable	Data provided from the revised socioeconomic study will determine market values of catch, fish products etc.		
5	Compensation for Buildings	If applicable	This compensation may be in-kind or cash. Costs for basic housing needs should include		

	and Structures		ventilated pit latrines, outside kitchen, and storage.
6	Compensation for Trees	/year/tree	Includes costs of labor invested and average of highest price of trees (and tree products) and Ethiopian market Prices
7	Cost of Relocation Assistance/Expenses	/household	This cost reflects the moving and transportation allowance
8	Cost of Restoration of Individual Income		Assumed to be higher than the GDP/capita in Ethiopia
9	Cost of Restoration of Household Income		These costs reflect the livelihood restoration program of the RP
10	Cost of Training Farmers, pastoralists and other PAPs		This is a mitigation measure involving capacity building and involves PAPs and affected communities
11	Cost of establishing/operating GRMs.		These costs reflect the GRMs established and operated

12.3 Arrangements for Funding

RP preparation and implementation costs, including cost of compensation, will be considered an integral part of the Project cost and will be contributed as a counterpart fund by the Government of Ethiopia, in particular participating regions with technical support of the PIU at the MoA. Mitigation costs and compensation for physical and economic displacement can be significant; therefore, potential costs are estimated early in the project design phase and integrated into project design and development. Early assessment of these costs is important to determine the relative costs and viability of alternative project designs, technologies, or sites. The assessment of resettlement costs at an early stage of project development takes into account the level of uncertainty involved, and should build in contingencies, as appropriate. This is particularly the case in for the resettlement impacts of the DRIVE project in urban areas where resettlement costs are likely to increase significantly over time. Resettlement cost estimates and contingencies can then be adjusted during project design and implementation. Resettlement plans and budgets should be prepared in tandem with other project design aspects, while a range of designs is still being assessed and considered.

The World Bank loan under the DRIVE sub-components will not be used to finance compensation or for resettlement purposes. Therefore, compensation and land acquisition for

resettlement sites (if any) will be fully funded by the GoE and the DRIVE project target regions. An indicative RP budget outline can be found in **Annex 10**.

13 INFORMATION DISCLOSURE PLAN

As set out in ESS10 and indicated in the SEP of the DRIVE, the project will continue to engage with, and provide enough information to, stakeholders throughout the life cycle of the project in a manner appropriate to the nature of their interests and the potential environmental and social risks and impacts of the project.

Public disclosure of the RF/RPs has to be made to PAPs and other stakeholders for review and comments on entitlement measures and other issues in the implementation of the RF. The purpose of the disclosure is to receive comments and suggestions from PAPs and incorporate appropriate suggestions.

This Resettlement Framework will be disclosed in a form, manner and language comprehensible to PAPs and at a place accessible to the potential PAPs and other stakeholders for review and comments on entitlement measures. The IPU in the MoA will disclose and post this RF in the websites of the MoA. Comments and critiques made on the RF by community and other stakeholders will be taken for consideration. A half day workshop will be held in the project area for potential PAPs, stakeholders, representatives of civil societies, local leaders with the objective of disclosing the RF.

For literate people such as local political officials and other stakeholder and local level project focal persons means of information disclosure include making the hard copies of the relevant documents available at the Woreda and Kebele Office, MoA/MoTRI's website, Social Media and other suitable platforms. Whereas, for the local communities, the information will be disclosed in relevant local languages and in a manner that is accessible, culturally appropriate and tailored to the low level of literacy of the project affected communities and special needs of the disadvantaged and vulnerable groups. Accordingly, the formats to disclose project information including the RF and RP/LRP include various appropriate avenues: tradition means of information exchange such as *Degu* in Afar pastoralists, community radio, community meetings, posting nontechnical summaries on community public notice boards, distribution of project leaflets, pamphlets and posters, television, and other channels that are suitable in the local context. Similarly, the means of information disclosure will take into account any specific needs of groups that may be differentially or disproportionately affected by the project or groups of the population with specific information needs including translation of project information into Braille for blind people, use of sign language for the deaf, and assisting interpreter for minority groups who cannot the language of the local community.

14 MONITORING AND EVALUATION OF IMPACTS

World Bank ESS5 specifies that the RF should review arrangements for participatory monitoring of project activities as they relate to (beneficial and adverse) impacts on persons within the project impact area, and for monitoring the effectiveness of measures taken to improve (or at minimum restore) incomes, livelihoods and living standards. The monitoring and evaluation of the RF will adhere to this provision of the Bank.

M&E is a process to be taken to oversee the implementation of RP from its initial stage to its final stage of completion. M&E needs to look into the extent to which all the details indicated in the RP document are implemented. Challenges encountered in the implementation of RP and processes passed through are recorded to provide immediate responses, and also to be used to enhance the implementation of the RP.

14.1 Internal Monitoring and Evaluation

Even though detailed activities of M&E of the implementation of RP could be carried on a continuous basis, the major issues of focus of monitoring the implementation of RP need to be on the following once; and these are:

Formation of Compensation and Valuation Committees for Inventories of Properties/Assets would be Affected: Inventory of properties/assets would be affected need to be taken by committees established based on Proclamation No. 1161 /2019 and Council of Ministers Regulation 472/2020. The establishment of such Committees according to the Proclamation and Regulation required fulfilling their duties and responsibilities; and also needing to be monitored by all concerned organizations that include the IPU in the MoA, Woreda Administration and funding organization.

Provision of trainings to Compensation and Valuation Committees: Prior to the commencement of taking inventories of properties/assets that would be affected due to the undertaking of the DRIVE sub-component sub-components with potential resettlement, adequate trainings on purpose of taking the inventories of properties/assets and how to take inventories of all assets/properties in consultation with and full participation of the PAPs should be given. Preparations to take the required inventories have to be made, trainings have to be given to those who would be engaged in taking inventories etc., and all these should be properly monitored and immediate action to minimize the gap that could be created. The schedule set for taking inventory of the properties/assets also needs to be monitored by specialists.

Taking inventories of properties/assets would be affected: As indicated above, taking inventories of properties/assets would be affected need to be taken properly to avoid grievances that could be raised due to missing of properties/assets recording, lack of taking

considerations in qualities and quantities, size of properties/assets in terms trees and tree fruits, age, farmland management, etc., and monitoring if all would be affected are properly recorded and presented for valuation professionals/institution or committee.

Valuation of properties/assets would be affected: When valuation is carried, it needs to be properly monitored and checked if it is in compliance with Proclamation No.1161/2019 and Council of Ministers Regulation No 472/2020. Valuation for buildings, fences, annual crops, perennial crops, trees, protected grass, permanent improvement of rural land, relocated property, etc need to be checked if properly done based on format given in the regulation of Council of Ministers and National Proclamation. Monitoring the time frame set for the valuation process is also important to be checked.

Approval of Aggregated amount of Compensation to be paid and Solicitation of the budget: After appropriate valuation is made, it is expected that an aggregated amount of compensation to pay for PAPs would be determined. Approval of the estimated amount of compensation to be paid and solicitation of the budget has to be made within the timeframe set. This also needs monitoring of process to be effective within the given time. Once, all the process of inventory taking of the properties/assets would be affected, valuation, approval of the estimated budget for compensation payment and its solicitation is made on time, compensation payment to PAPs would be effective on time. Monitoring of all the processes indicated above have to be made and after that compensation payment becomes effective.

In the process of compensation payment, fulfilment of prerequisites like eligibility certificate for ownership of farmland, presence of both spouses that would be affected, and others who have legal rights for compensation could be mandatory. Adequate arrangements and orientation on payment process of compensations should be made, and this also needs to be closely monitored. Payment of compensation and settlement of any grievances/disputes that may arise determines the cut-off date for acquisition of land, and this has to be made based on Proclamation No.1161/2019 and Regulation No.472/2020.

Valuation of Compensation for Non-title Holders: World Bank ESS5 entitles compensation for assets to all affected individuals regardless of landholding rights to land titles (including squatter settlements). Thus, the ESS5 includes additional groups who are eligible for compensation for loss of land and assets on the land notably those who have no recognizable right or claim to the land or assets occupy or use [see ESS5 paragraph 10 (c)].

Land preparation and construction of new houses of PAPs with adequate support: Right after compensation payment for PAPs become effective, land preparation for construction of residence houses outside of the influence of the DRIVE project area would be started and need to be completed within the time framework set as indicated in this RF. Total of four months are estimated for construction of new residence houses to be established in each rural Kebele from which residence houses would be removed due to the undertaking of the three sub-components of DRIVE. In addition to compensation payment to be made for reconstruction of

the would be demolished houses by the project, allowances and transporting costs for materials, and labour mobilization if required were considered and all these and other support to be made have to monitored so that construction of the new residence houses completed within the time scheduled.

Livelihood Restoration and Improvement Programme Implementation: Livelihood restoration and improvement programme interventions that would contribute to a development of better living standard for PAPs is identified above. Furthermore, the livelihood restoration activities will be developed following an extensive consultation with the affected PAPs. For the implementation of such development interventions, regular monitoring is required and this has to be made on time. The above issues and others related to checking the achievement of the acquisition of land and resettlement process against the planned time schedule, ensuring channels of communication and consultations at all levels including all the Woreda Administrations, target regions, PAPs and other concerned stakeholders in the implementation of RP need to be monitored all the way through; and these need to be oversee by the PIU in the MoA.

Reporting: The Project Contractor will prepare all required reports and submits to the Monitoring Consultant. The Monitoring Consultant in connection with the performance of the project works will prepare monthly, quarterly and annual progress reports and finally the completion report and submit to the PIU The PIU will submit the progress reports on regular basis and the completion report to the funding organization as per the agreement to be made. The progress reports will outline any problems encountered (administrative, technical or financial) and give recommendations on how these problems may be overcome. The reports (quarterly, annual and completion) will be prepared in hard and soft copies to the Employer on the format prepared by the Monitoring consultants and as approved by the PIU. This will be ensured through implementation of continues monitoring, and periodic performance audit and evaluation in line with ESMF and overall project M&E program.

14.2 External Monitoring and Evaluation

External M&E could also be carried out to measure outputs and impacts of resettlement. An independent consultant is required who would be hired to carry out M&E of the RP and audit the implementation of the RP and environmental and social impact mitigation (ESIM) measures/ Management Plan. The consultant could start conduct monitoring and evaluation of the implementation of the RP prior to the start-up of the construction works and then could continue to monitor the progress of implementation of the RP and mitigation measures Plan.

Part of the monitoring process of RP could be an integral part of RP implementation process, that include overseeing of the restoration and livelihood promotion process of PAPs. It could be taken as part of a compliance monitoring of the different activities outlined to be implemented in the RP and to check to the extent the recommendations are implemented.

An independent consultant (social scientist) could be hired to conduct an independent monitoring and evaluation of RP and environmental and social mitigation measures implementations on a continuous base till the sub-components are completed or to make follow up on the process of implementation of the RP and environmental and social mitigation measures. The same procedure will be employed in relation to the implementation of the LRP.

Table 7: Tentative implementation time framework taking into consideration of appropriate months depending on crop seasons (Ploughing, harvesting, slack period and preparation for farming)

Step by step schedule	Timeframe to be implemented
Formation of Committees in all the project-affected Woredas area to be engaged in taking of inventories of properties/assets would be affected	Formation of committees who would be engaged in taking inventories of properties/assets would be affected in the case of farmland areas need to be done by December 2022.
Provision of trainings to Committees those who would be engaged in taking inventories of properties/assets would be affected and Valuation Committees	It is appropriate time to provide trainings to those who be engaged in taking inventories of properties/assets that would be affected and also for those who would be engaged in valuation of the properties. The duration taken is two month and it could be handled within two month in all the project-affected Woredas.
Taking inventories of properties/assets would be affected due to the project construction works.	The appropriate time for pastoralists, agro-pastoralists, and farmers to participate and get to know about the inventories of the properties/assets taken for compensation payment. (Open time). Crops are usually on the farmland and it right time to take inventories of the properties would be affected.
Valuation of properties/assets would be affected due to the undertaking of the three sub-components in Component 2	Valuation of the properties/assets affected would be made. (Open time). Three months may be enough for estimation of valuation and making the final
Approval of aggregated amount of Birr to be paid as Compensation for PAPs	(three months) are estimated to be appropriate(Open time)
Solicitation of budget for Compensation payment	Open time when to pay compensation(three months for solicitation) budget to paid as compensation for PAPs
Provision of capacity building training for RF implementers and payment of Compensation for PAPs	(Two months but as to when it is open) both for training RF Implementers and paying compensation for PAPs are estimated.

Step by step schedule	Timeframe to be implemented
Land preparation and construction of new residence houses of PAPs with adequate support	Four months are estimated for the implementation of construction of new residence houses.
Preparation of PAPs to move into the new residence houses and provision of support	(open time when to move) PAPs are expected to move to their new residence houses.
Livelihood restoration and improvement programme implementation	Throughout the life cycle of the project, Livelihood Restoration and Improvement Programme Implementation will be carried out along the life span of DRIVE project.
Monitoring and Evaluation of RF	Throughout RP implementation

14.3 Indicators of DRIVE Project Impacts

A number of objectively verifiable indicators (OVIs) shall be used to monitor the impacts of the compensation and resettlement activities. These indicators will be targeted at quantitatively measuring the physical and socio-economic status of the PAPs, to determine and guide improvement in their social wellbeing. Therefore, monitoring indicators to be used for the RP will have to be developed to respond to specific site conditions. As a general guide, the following Table 8 provides a set of indicators which can be used.

Table 8: Types of Verifiable Indicators

Item	Auditable Criteria
Number of PAPs whose compensation (and valuation) is not completed	Changes (+/-) in PAPs conditions during transition process
Number of sub-components unable to settle compensation after two years	Changes (+/-) in PAPs income and livelihood conditions
Number of grievances filed	Quality of grievances or disputes resolved (qualitative)
Number of grievances resolved	Number of grievances resolved within the shortest possible timeframe.
Number of PAPs receiving a LRP	Changes (+/-) in affected households income levels
Pre-project production versus present production levels (crops for crops, land for land)	Equal or improved production per affected household/homestead

14.3.1 Indicators to determine status of affected people

A number of indicators would be used in order to determine the status of affected people (land being used compared to before, standard of house compared to before, level of participation in project activities compared to before, how many people have access to road and market compared to before, transportation standards, etc). Therefore, the resettlement and compensation plans will set two major socio-economic goals by which to evaluate its success:

- Affected individuals, households, and communities are able to maintain their pre-project standard of living, and even improve on it; and
- The local communities remain supportive of the project.

14.3.2 Indicators to measure RP performance

In order to assess whether these goals are met, the resettlement and compensation plans will indicate parameters to be monitored, institute monitoring milestones and provide resources necessary to carry out the monitoring activities. For example the following parameters and verifiable indicators will be used to measure the resettlement and compensation plans performance:

- Questionnaire data will be entered into a database for comparative analysis at all levels of Local Governments.
- Each individual will have a compensation dossier recording his or her initial situation, all subsequent project taking of assets/improvements, and compensation agreed upon and received.
- The Local Governments will maintain a complete database on every individual impacted by the sub-components land use requirements including relocation/resettlement and compensation, land impacts or damages.
- Percentage of individuals selecting cash or a combination of cash and in kind compensation
- Proposed use of payments
- The number of contentious cases out of the total cases
- The number of grievances and time and quality of resolution
- Ability of individuals and families to re-establish their pre-displacement activities, land and crops or other alternative incomes
- Mining and agricultural productivity of new lands
- Number of impacted locals employed by the civil works contractors
- Seasonal or inter-annual fluctuation on key foodstuffs
- General relations between the project and the local communities

14.3.3 Indicators to monitor and evaluate implementation of RPs

Financial records will be maintained by the Local Governments and the executing agencies to permit calculation of the final cost of resettlement and compensation per individual or household. Each individual eligible for receiving compensation will have a dossier containing:

- Individual bio-data information,
- Number of people he/she claims as household dependents
- Amount of land available to the individual or household when the dossier is opened. Additional information will be acquired for individuals eligible for resettlement/compensation: (i) level of income and of production; (ii) inventory of material assets and improvements in land, and (iii) debts.

14.3.4 Completion Audit

The monitoring requirement include a completion audit. The key objectives of a completion audit are to: (a) evaluate whether the implementation of the RPs complies with the requirements of the national legislations and ESS5 as specified in the RF/RP; (b) evaluate whether MoA and MoTRI efforts to restore the livelihoods and living standards of the affected individuals and groups have been successful. The completion audit measures whether the livelihoods and living standards of the affected individuals and groups meet or exceed those enjoyed prior to displacement, and if that is not the case, what additional measures, if any, are needed to help improve, or at least restore, livelihoods and living standards; and (c) verify that all physical inputs committed to in the resettlement plans have been delivered, and all agreed services have been provided. For all sub-components with significant involuntary resettlement impacts, the MoA and MoTRI will commission an external completion audit of the RPs when all mitigation measures have been substantially completed. The completion audit will be undertaken by competent professionals.

ANNEXES

Annex 1: Glossary of Terms

Census: A field survey carried out to identify and determine the number of Project Affected Persons (PAPs) or Displaced Persons (DPs) as a result of land acquisition and related impacts. The census provides the basic information necessary for determining eligibility for compensation, resettlement, and other measures emanating from consultations with affected communities and the local government institutions.

Compensation: The payment in kind, cash or other assets given in exchange for the acquisition of land including fixed assets, is called compensation. These include other impacts resulting from activities to rehabilitate or cushion the impacts from displacement.

Cutoff Date: The cut-off date is the date set once census and all detailed asset inventory of persons affected within the DRIVE project area boundaries have been completed. This is the date on and beyond which any person whose land is occupied for DRIVE project, will not be eligible for compensation.

Economic Displacement: *Economic displacement* refers to the loss of land, assets, or access to assets leading to loss of income sources or other means of livelihood resulting from the DRIVE project-related land acquisition or restrictions on land use.

Grievance Mechanism: The RF contains a grievance mechanism based on policies and procedures that are designed to ensure that the complaints or disputes about any aspect of the land acquisition, compensation, resettlement, and rehabilitation process, etc. are being addressed. This mechanism includes a procedure for filing of complaints and a process for dispute resolution within an acceptable time period.

Implementation Schedule: The RF contains an implementation schedule that outlines the time frame for planning, implementation, and monitoring and evaluation of the RPs for sub-component sub-components, if applicable.

Involuntary resettlement: Resettlement is considered involuntary when DRIVE project affected persons or communities do not have the right to refuse land acquisition or restrictions on land use that result in displacement.

IP/HUCs: It is used to refer exclusively to a distinct social and cultural group possessing the following characteristics in varying degrees: (a) self-identification as members of a distinct social and cultural group and recognition of this identity by others; (b) collective attachment to geographically distinct habitats, ancestral territories, or areas of seasonal use or occupation, as well as to the natural resources in these areas; (c) customary cultural, economic, social, or political institutions that are distinct or separate from those of the mainstream society or

culture; and (d) a distinct language or dialect, often different from the official language or languages of the country.

Land: Land refers to all types of agricultural and/or non-agricultural land and any structures thereon whether temporary or permanent and which may be acquired by the project.

Land acquisition: Land acquisition refers to all methods of obtaining land for the DRIVE project activities, which may include outright purchase, expropriation of property, and acquisition of access rights, such as easements or rights of way. Land acquisition for the purpose of the DRIVE project may also include: (a) acquisition of unoccupied or unutilized land whether or not the landholder relies upon such land for income or livelihood purposes; (b) repossession of public land that is used or occupied by individuals or households; and (c) project impacts that result in land being submerged or otherwise rendered unusable or inaccessible. "Land" includes anything growing on or permanently affixed to land, such as crops, buildings and other improvements, and appurtenant water bodies.

Project affected persons (PAPs) or Displaced Persons (DPs): Project affected persons (PAPs) or Displaced Persons (DPs) are persons affected by land and other assets loss as a result of the implementation of the DRIVE project activities. These person(s) are affected because they may lose, be denied, or be restricted access to economic assets; lose shelter, income sources, or means of livelihood. These persons are affected whether or not they will move to another location. Most often, the term DPs applies to those who are physically relocated. These people may have their: standard of living adversely affected, whether or not the Displaced Person will move to another location ; lose right, title, interest in any houses, land (including premises, agricultural and grazing land) or any other fixed or movable assets acquired or possessed, lose access to productive assets or any means of livelihood.

Project Impacts: Impacts on the people living and working in the DRIVE project-affected areas, including the surrounding and host communities are assessed as part of the overall evaluation of the project.

Project Implementing Unit (PIU): Some projects make use of project implementing units (PIUs), which are generally separate units within the project recipient's agency. The PIU is often composed of full-time staff devoted to implementing the project, and have been encouraged to have separate teams with environment and social specialists who can carry out the activities, for example, as outlined in the RF or RP.

Rehabilitation Assistance: Rehabilitation assistance is the provision of development assistance in addition to Assistance compensation such as livelihood support, credit facilities, training, or job opportunities, needed to assist PAPs or DPs restore their livelihoods.

Replacement Cost: Replacement cost refers to the amount sufficient to cover full recovery of lost assets and related transaction costs. The cost should be based on Market rate (commercial rate) according to Ethiopian laws for sale of land or property. It is normally calculated based on a willing buyer-willing seller basis, but also applies in Ethiopia to acceptable market valuation or from an assessment from the Land Commission and government value.

Resettlement Plan (RP): The RP is a resettlement instrument (document) to be prepared when sub-component locations are identified. In such cases, land acquisition leads to physical displacement of persons, and/or loss of shelter, and /or loss of livelihoods and/or loss denial or restriction of access to economic resources. RPs are prepared by the implementing agency and contain specific and legal binding requirements to resettle and compensate the affected people before project implementation.

Resettlement Assistance: Resettlement assistance refers to activities that are usually provided during, and immediately after, relocation, such as moving allowances, residential housing, or rentals or other assistance to make the transition smoother for affected households.

Resettlement Framework (RF): The RF is an instrument to be used throughout the project's implementation. The RF sets out the objectives and principles, organizational arrangements, and funding mechanisms for any resettlement, that may be necessary during implementation. The RF guides the preparation of Resettlement Plans (RPs), as needed, for sub-components.

Restrictions on land use: Restrictions on land use refers to limitations or prohibitions on the use of agricultural, residential, commercial, or other land that is directly introduced and put into effect as part of the implementation of the DRIVE project. These may include restrictions on access to legally designated parks and protected areas, restrictions on access to other common property resources, restrictions on land use within utility easements, or safety zones.

Rights and Entitlements: Rights and entitlements are defined for PAPs and DPs (with the cut-off date) and cover those losing businesses, jobs, and income. These include options for land-for-land or cash compensation. Options regarding community and individual resettlement, and provisions and entitlements to be provided for each affected community or household will be determined and explained, usually in an entitlement matrix.

Security of tenure: Security of tenure means that resettled individuals or communities are resettled to a site that they can legally occupy, where they are protected from the risk of eviction and where the tenure rights provided to them are socially and culturally appropriate.

Social ties discontinuance and moral damage compensation means the payment to be made to displaced people for the breakup of social ties and moral damage suffered

Annex 2: Summary of Expropriation of Land as Provided in Proclamation No. 1161/2019

Dimensions	Description
Decision and Procedure to Expropriation of land for Public Purpose	<p>Proclamation No.1161/2019, on Article 5, Sub-Articles (1), (2), (3), (4), and (5) set procedures to expropriate land and responsible organ to give decision on expropriation of land for projects intends for public purpose. Article (5) Sub-Article (1) of Article 5 states that the appropriate Federal Authority, or a Regional, Addis Ababa, Dire Dawa, cabinet shall decide on expropriation of land on the basis of an approved land use plan; or master plan; and whether the expropriated land directly or indirectly brings better development for the public. Sub-Article (2) of the referred Article stipulates: <i>“The budget necessary to cover the costs of compensation and resettlement and the responsible body that shall cover these costs shall be made clear at the time when expropriation for public purpose is decided.”</i> In the case of making decision on landholding expropriation for public purpose within the jurisdiction of a Woreda or a City Administration, a Woreda or a City Administration can only made such decisions if they may be delegated by a Regional and City Administrations (Addis Ababa and Dire Dawa).</p> <p>Article (9), Sub-articles (1-3) provides details of the responsibility of the land requiring body that shall submit to the City or Woreda administration. Likewise, it states the decision that shows the size and exact location of the land to be expropriated should be communicated at least one year before the commencement of the project. More to the point, <i>“If the land expropriation for public purpose, the implementing agency shall pay money required for compensation and resettlement to the city or Woreda administration, when it is decided that compensation and resettlement payment shall be made to the displaced people”</i>. It is made clear in the Proclamation that people who are displaced and who lost their income shall be beneficiaries of the resettlement package if they do not own shares from the investment.</p>
Power to clear landholdings	<p>Regarding the power to clear landholding, the Proclamation states: <i>“The City or Woreda Administration has the power to order evacuation and takeover the land decided to be expropriated for public purpose”</i> (Article (5), Sub-Article (2)).</p>
Landholding handover	<p>Article 8 of the Proclamation provides the procedures for handover of landholding expropriated for public purpose. Among the different procedures set out in the Article includes the need to collect landholding rights and conduct inventory, amount and size of all compensable properties from displaced people or their legal representatives whose landholdings are determined to be expropriated should be carried out; and calculation, determination on the amount to paid for compensation and other related right have to be made as indicated on Sub-Article 1(d). Further, unless the government needs the land urgently, landholders who are to be displaced shall be consulted at least one year prior to handover and shall be paid compensation or provided substitute land before displacement (Sub-Article (1a)).</p> <p>Landholders or their agents whose landholding is to be expropriated shall submit landholding certificates or other proofs that shows their holding rights to the Urban or Rural Land Administration Office on the time schedule of the office. Notifying the landholder or his agent is made in writing to handover the land expropriated with the description of the amount of compensation the landholder to be paid; and/or the size and location of the land or house in kind compensation. The landholder who is served with notice to hand over his land holding shall take the compensation and replacement plot or house with in thirty (30) days of notice. If he fails to comply with the order within the prescribed time, the compensation payment shall be deposited in the closed bank account of the City or Woreda administration. The landholder may be forced to handover the land within 120 days of payment of compensation (cash or kind), or after the cash is deposited in the bank. If there is no property or crop on the expropriated land, the landholder shall handover with in thirty - (30) - days of notice (Article 8, sub-article 1-7). Where the land expropriated is under illegal occupation, the occupant shall be evacuated without claim for compensation within thirty (30) days of notice (Article, 8, sub-article 8).</p>
Compensation	<p>As set out in Article (9), Sub-Articles (1-3) and Article (12) Sub-Article (1-5): (a) depreciation value of the properties could not be considered during payment of compensation; (b) the amount of compensation for property on the land shall cover the cost of replacing the property anew;</p>

	<p>(c) 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 or City Administration; (d) compensation for payment of improvement to land shall be equal to the current value of the capital and labor expended on the land; and (e) for relocation of the property on the land, the cost of removing, transporting, and erecting, the property shall be paid as compensation.</p> <p>As per Article (13), Sub-Article (1a-e) of the Proclamation, a household who is to be permanently displaced shall get an equivalent substitute land and one year land holding income compensation calculated by the current price which is equivalent to the highest annual income he generated in the last three years preceding to the expropriation of the land. For permanent land acquisition and in times equivalent 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 to the expropriation of the land. The highest annual income registered in the preceding three years will be the major point of reference and this amount will be multiplied by fifteen times. In addition to cash compensation, displaced people shall be compensated for the breakup of their social ties and moral damage they suffer that resulted from the expropriation of their land.</p> <p>A household whose landholding has been provisionally expropriated shall be paid displacement compensation for lost income based on the highest annual income secured during the last three years preceding the expropriation of the land until the repossession of the land. Moreover, the compensation paid shall take into consideration the amount of additional time necessary for the land to regain its productivity, which shall be determined by the surrounding agricultural institution (Article (13), Sub-Article (2a & b)).</p> <p>Article 12 of Proclamation No. 1161/2019 provides details of the compensation payment for the replacement of property loss. Accordingly:</p> <ol style="list-style-type: none"> 1) The landholder whose land is expropriated shall be paid compensation for the property on land and the permanent improvement made on the land; 2) The amount of compensation for the property on land shall cover, the cost of replacing the property anew; 3) 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 on the basis of the objective conditions of each Regional State, Addis Ababa and Dire Dawa Administration; 4) Compensation for permanent improvement to land shall be equal to the current value of capital and labor expended on the land; 5) 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; and these indicates compensation payment to be made for loss of properties; and 6) Valuation methods to determine compensation for various properties and detail prescriptions applicable thereto are provided in Regulation No. 472/2020, under Article (13-15).
Resettlement package	<p>Under Article 16 (sub-article 2), the Proclamation mandates the responsible bodies to establish a resettlement package for the affected persons as follows: “Regional states, Addis Ababa, and Dire Dawa, shall develop resettlement packages that may enable displaced people to sustainably resettle”. The Proclamation gives the affected community the right to purchase shares from the investment. Furthermore, as indicated in Sub-Article (4) of the referred Article, the regional States and City administrations shall establish a fund for compensation payment and rehabilitation.</p>
Complaints and Appeal	<p>Article 19, Sub-Article (1-2) sated: “Any person who received an order of expropriation of his landholding; or who has an interest or claim on the property to be expropriated may file an application within 30 days of service of the order to the Complaint Hearing Body. While Article (19), Sub-Article (2) described on how such Complaint Hearing Body is established.</p> <p>As asserted in Article (20), Sub-Articles (1): “A party who is aggrieved with decision give shall file an appeal to the Appeal Hearing Council within 30(thirty) days of the receipt of the written notice of the decision thereof. If the party feels that his grievance is unresolved by the Appeal Hearing Council, he have the right to appeal to the Regional High Court within 30 days of the receipt of the decision in writing (Article (20), Sub-Article (2))</p>

Annex 3 : Summary of the Resettlement Dimensions (REGULATION No. 472/2020R)

Dimension	Description
Compensation Assessment	Compensation for Building (Article 16): The amount of compensation for a building shall be determined based on the current cost price of construction materials of the demolished building and current labour cost, Article 16 [sub article 1 (a)]. It shall include also current cost for constructing floor tiles of the compound, septic tank and other structures attached to the building and the estimated cost of demolishing, lifting, reconstructing, installing and connecting utility lines of the building, Article 16 [sub article 1 (b)]. The amount of compensation for a building shall be determined based on the current market price per square meter for a similar building or current cost of constructing a comparable building, Article 16 [sub article 1 (c)].
	Compensation for fences: The amount of compensation for a fence shall be determined by calculating the cost of existing square meter or meter cube needed to rebuild a similar fence with the demolished fence or by producing a single value if the construction material of the fence cannot be estimated per square meter (Article 17).
	Compensation for property to be Relocated (Article 18): The amount of compensation for a relocated property shall be determined by computing the estimated costs of labour, material and transport to be incurred at market value for removing, transferring and installing the property.
	Compensation for Crops (Article 19): If the crop or vegetable is not harvested, the amount of compensation payable will be based on the amount of produce available and the market value that the produce could produce if the crop or vegetable were harvested (sub-article 3). Compensation for crop surplus will be determined based on the current market price of the leftover produce (sub-article 5). If one crop is produced more than once in one year, the amount of the crop produced during the year will be the sum of the produce produced during the year(sub-article 6).
	Compensation for perennial crops (Article 20): Where the perennial crop is ripe when the land is expropriated, the owner may collect the fruit within a prescribed time and where the owner fails to collect the production within the specified time, he shall be compensated for the production .Where the land is urgently required and the owner is not given adequate time to collect the production, he shall be compensated the market price of one year production based on the average yield of similar perennial crop production in the area. The cost incurred to grow the perennial crop shall be calculated on the basis of the local market and shall be paid. Input costs incurred along a given year’s production costs like; costs for fertilizer, seed, chemicals, labor and technologies will be included.
	Compensation for fruitless trees (Article 21): The amount of compensation for trees shall be determined on the basis of the level of growth of the tree, and the current local price per cubic meter or per unit. The owner of trees may, instead of compensation, cut and collect the trees within the period fixed. Input costs incurred along a given year’s production costs like; costs for fertilizer, seed, chemicals, labor and technologies will be included.
	Compensation for protected grass (Article 22): The amount of compensation for protected grass shall be determined on the basis of the productivity of the land and the current local market price of the grass per square meter.
	Compensation for licensed miner (Article 23): The compensation shall be paid for the landholder by a licensed miner shall be determined based on mining law (sub-article 1) and compensation shall not be paid for a miner who holds land without a license(sub-article 2).
	Compensation for Burial-ground (Article 24): The amount of compensation for a burial-ground shall be determined by the estimating costs to be incurred for removing the gravestones, preparing another burial-ground, transferring and relocating the corpse and for conducting religious and cultural ceremonies in relation to the process.
	Compensation for rural land (Article 25): The amount of annual production of the three years of production shall be calculated at the present rate before the rural owner is removed.
	Compensation for permanently displace rural land holder (Article 26): Where substitute land to be given to the expropriated land holder and where the residential or commercial building of the holder is to demolished, he shall be given freely a comparable house for two years or a two year estimated rental

Dimension	Description
	<p>value for his demolished houses a resettlement compensation. Where a substitute house is to be given to the displaced house owner, he shall be paid a one-year rent as resettlement compensation.</p> <p>Compensation for permanently displaced urban landholder (Article 28): Where substitute land to be given to the displaced urban landholder, and where the property is residential or commercial building, a comparable building shall be given for two years free of charge or he shall be entitled to a two years rental based on the demolished building and current price.</p> <p>Compensation for severed social relationship and moral damage (Article 30): The amount of compensation for severed social relationship and moral damage shall be 25,000- 60,000. The amount of money is a lump sum one. All PAPs are not entitled, but those who are severely affected and who needs to reestablish their livelihood through social and moral support. An objective assessment will be carried out to identify the actual beneficiaries of this support scheme.</p>
Valuation Formula [Article 13(1-6)]	<p>Compensation for building= Current building cost + permanent improvement cost</p> <p>Compensation for Fence = unit price of fence in meter square /meter cube X total size of the fence in meter square /meter cube</p> <p>Compensation for relocated property= cost of removal + cost of loading/offloading + cost of transport +cost of installation or and connection</p> <p>Compensation for crops= area per hectare x current market value of crop per quintal production per hectare in quintal +cost of permanent improvement on land</p> <p>Compensation for ripe perennial crops=yield of perennial crop from a single plant /legs in kilogram x the number of plats legs + cost incurred to grow perennial crops with the current +cost of permanent improvement on land</p> <p>Compensation for unripe perennial crops= number of plant legs X cost incurred to grow</p> <p>Compensation for fruitless trees=(large trees in number X Local current price of one tree +(medium tree in number X local current price of one tree)+(small tree in number x local current price of one tree)+(number of seedling/unripe tree x local current price of one seedling unripe tree)+cost of permanent improvement on land</p> <p>Compensation for protected grass= area covered by the grass with square meter x yield of grass with current local per meter square +cost of permanent improvement on land</p> <p>Burial Ground compensation=cost of corpse pickup burial ground preparation cost +cost of corpse transport and relocation +cost of religious and cultural ceremonies</p> <p>For rural land holder who does not receive replacement farm land displacement compensation= annual income x15</p>
	<p>For rural land holder who is not granted a replacement farm land and is temporarily removed developmental compensation= Temporary land lease rate per hectare x Annual income per year</p>
Support for Displaced People	<p>Support for displaced rural landholders shall be determined by directive that shall be issued by regional slates. Two years house rent shall be paid to displaced urban land holders and support unit they build new house where they are given substitute land</p>
Providing Substitute Land or Housing- Article 33 (1-2)	<p>Where the displaced are elderly and people with disabilities, they shall be given substitute lands in accessible and convenience areas as much as practical. Substitute housing shall be provided where substitute land is not given and the displaced pays the full price at once</p>
Resettlement Package-Article 35	<p>Resettlement package: This package shall contain residential housing, livelihood option ,social services like road, health clinic, schools religious site, training counseling and credit access etc.</p>

Annex 4: Resettlement Plan

The scope of requirements and level of detail of the resettlement plan vary with the magnitude and complexity of resettlement. The plan is based on up-to-date and reliable information about (a) the proposed project and its potential impacts on the displaced persons and other adversely affected groups, (b) appropriate and feasible mitigation measures, and (c) the legal and institutional arrangements required for effective implementation of resettlement measures.

Minimum Elements of a Resettlement Plan

1. Description of the project. General description of the project and identification of the project area.
2. Potential impacts. Identification of:
 - a) The project components or activities that give rise to displacement, explaining why the selected land must be acquired for use within the time frame of the project;
 - b) The zone of impact of such components or activities;
 - c) The scope and scale of land acquisition and impacts on structures and other fixed assets;
 - d) Any project-imposed restrictions on use of, or access to, land or natural resources;
 - e) Alternatives considered to avoid or minimize displacement and why those were rejected; and
 - f) The mechanisms established to minimize displacement, to the extent possible, during project implementation.
3. *Objectives*. The main objectives of the resettlement program.
4. *Census survey and baseline socioeconomic studies*. The findings of a household-level census identifying and enumerating affected persons and with the involvement of affected persons, surveying land, structures, and other fixed assets to be affected by the project. The census survey also serves other essential functions:
 - a) Identifying characteristics of displaced households, including a description of production systems,
 - b) 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;
 - c) Information on vulnerable groups or persons for whom special provisions may have to be made;
 - d) Identifying public or community infrastructure, property or services that may be affected;
 - e) Providing a basis for the design of, and budgeting for, the resettlement program;
 - f) In conjunction with establishment of a cut-off date, providing a basis for excluding ineligible people from compensation and resettlement assistance; and

- g) Establishing baseline conditions for monitoring and evaluation purposes. As the Bank may deem relevant, additional studies on the following subjects may be required to supplement or inform the census survey:
 - h) Land tenure and transfer systems, including an inventory of common property natural resources from which people derive their livelihoods and sustenance, nontitle-based usufruct systems (including fishing, grazing, or use of forest areas) governed by local recognized land allocation mechanisms, and any issues raised by different tenure systems in the project area;
 - i) The patterns of social interaction in the affected communities, including social networks and social support systems, and how they will be affected by the project; and
 - j) Social and cultural characteristics of displaced communities, including a description of formal and informal institutions (e.g., community organizations, ritual groups, nongovernmental organizations (NGOs)) that may be relevant to the consultation strategy and to designing and implementing the resettlement activities.
5. *Legal framework.* The findings of an analysis of the legal framework, covering:
- a) The scope of the power of compulsory acquisition and imposition of land use restriction and the nature of compensation associated with it, in terms of both the valuation methodology and the timing of payment;
 - b) The applicable legal and administrative procedures, including a description of the remedies available to displaced persons in the judicial process and the normal time frame for such procedures, and any available grievance redress mechanisms that may be relevant to the project;
 - c) Laws and regulations relating to the agencies responsible for implementing resettlement activities; and
 - d) Gaps, if any, between local laws and practices covering compulsory acquisition, imposition of land use restrictions and provision of resettlement measures and ESS5, and the mechanisms to bridge such gaps.
6. *Institutional framework.* The findings of an analysis of the institutional framework covering:
- a) The identification of agencies responsible for resettlement activities and NGOs/CSOs that may have a role in project implementation, including providing support for displaced persons;
 - b) An assessment of the institutional capacity of such agencies and NGOs/CSOs; and
 - c) Any steps that are proposed to enhance the institutional capacity of agencies and NGOs/CSOs responsible for resettlement implementation.
7. *Eligibility.* Definition of displaced persons and criteria for determining their eligibility for compensation and other resettlement assistance, including relevant cut-off dates.
8. *Valuation of and compensation for losses.* The methodology to be used in valuing losses to determine their replacement cost; and a description of the proposed types and levels of

compensation for land, natural resources, and other assets under local law and such supplementary measures as are necessary to achieve replacement cost for them.

9. *Community participation.* Involvement of displaced persons (including host communities, where relevant):
 - a) A description of the strategy for consultation with, and participation of, displaced persons in the design and implementation of the resettlement activities;
 - b) A summary of the views expressed and how these views were taken into account in preparing the resettlement plan;
 - c) A review of the resettlement alternatives presented and the choices made by displaced persons regarding options available to them; and
 - d) Institutionalized arrangements by which displaced people can communicate their concerns to project authorities throughout planning and implementation, and measures to ensure that such vulnerable groups as Indigenous Peoples, ethnic minorities, the landless, and women are adequately represented.
10. *Implementation schedule.* An implementation schedule providing anticipated dates for displacement, and estimated initiation and completion dates for all resettlement plan activities. The schedule should indicate how the resettlement activities are linked to the implementation of the overall project.
11. *Costs and budget.* Tables showing categorized cost estimates for all resettlement activities, including allowances for inflation, population growth, and other contingencies; timetables for expenditures; sources of funds; and arrangements for timely flow of funds, and funding for resettlement, if any, in areas outside the jurisdiction of the implementing agencies.
12. *Grievance redress mechanism.* The plan describes affordable and accessible procedures for third party settlement of disputes arising from displacement or resettlement; such grievance mechanisms should take into account the availability of judicial recourse and community and traditional dispute settlement mechanisms.
13. *Monitoring and evaluation.* Arrangements for monitoring of displacement and resettlement activities by the implementing agency, supplemented by third-party monitors as considered appropriate by the Bank, to ensure complete and objective information; performance monitoring indicators to measure inputs, outputs, and outcomes for resettlement activities; involvement of the displaced persons in the monitoring process; evaluation of results for a reasonable period after all resettlement activities have been completed; using the results of resettlement monitoring to guide subsequent implementation.
14. *Arrangements for adaptive management.* The plan should include provisions for adapting resettlement implementation in response to unanticipated changes in project conditions, or unanticipated obstacles to achieving satisfactory resettlement outcomes.

Additional Planning Requirements Where Resettlement Involves Physical Displacement

When project circumstances require the physical relocation of residents (or businesses), resettlement plans require additional information and planning elements. Additional requirements include:

15. *Transitional assistance.* The plan describes assistance to be provided for relocation of household members and their possessions (or business equipment and inventory). The plan describes any additional assistance to be provided for households choosing cash compensation and securing their own replacement housing, including construction of new housing. If planned relocation sites (for residences or businesses) are not ready for occupancy at the time of physical displacement, the plan establishes a transitional allowance sufficient to meet temporary rental expenses and other costs until occupancy is available.
16. *Site selection, site preparation, and relocation.* When planned relocation sites are to be prepared, the resettlement plan describes the alternative relocation sites considered and explains sites selected, covering:
 - a) Institutional and technical arrangements for identifying and preparing relocation sites, whether rural or urban, for which a combination of productive potential, locational advantages, and other factors is better or 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;
 - b) Identification and consideration of opportunities to improve local living standards by supplemental investment (or through establishment of project benefit-sharing arrangements) in infrastructure, facilities, or services;
 - c) Any measures necessary to prevent land speculation or influx of ineligible persons at the selected sites;
 - d) Procedures for physical relocation under the project, including timetables for site preparation and transfer; and
 - e) Legal arrangements for regularizing tenure and transferring titles to those resettled, including provision of security of tenure for those previously lacking full legal rights to land or structures.
17. *Housing, infrastructure, and social services.* Plans to provide (or to finance local community provision of) housing, infrastructure (e.g., water supply, feeder roads), and social services (e.g., schools, health services); plans to maintain or provide a comparable level of services to host populations; any necessary site development, engineering, and architectural designs for these facilities.
18. *Environmental protection and management.* A description of the boundaries of the planned relocation sites; and 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).

19. *Consultation on relocation arrangements.* The plan describes methods of consultation with physically displaced persons on their preferences regarding relocation alternatives available to them, including, as relevant, choices related to forms of compensation and transitional assistance, to relocating as individual households, families, or with preexisting communities or kinship groups, to sustaining existing patterns of group organization, and for relocation of, or retaining access to, cultural property (e.g., places of worship, pilgrimage centers, cemeteries).
20. *Integration with host populations.* Measures to mitigate the impact of planned relocation sites 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 in support of planned relocation sites;
 - c) Arrangements for identifying and addressing any conflict that may arise between those resettled and host communities; and
 - d) Any measures necessary to augment services (e.g., education, water, health, and production services) in host communities to meet increased demands upon them, or to make them at least comparable to services available within planned relocation sites.

Additional Planning Requirements Where Resettlement Involves Economic Displacement

If land acquisition or restrictions on use of, or access to, land or natural resources may cause significant economic displacement, arrangements to provide displaced persons with sufficient opportunity to improve, or at least restore, their livelihoods are also incorporated into the resettlement plan, or into a separate livelihoods improvement plan. These include:

21. *Direct land replacement.* For those with agricultural livelihoods, the resettlement plan provides for an option to receive replacement land of equivalent productive value, or demonstrates that sufficient land of equivalent value is unavailable. Where replacement land is available, the plan describes methods and timing for its allocation to displaced persons.
22. *Loss of access to land or resources.* For those whose livelihood is affected by loss of land or resource use or access, including common property resources, the resettlement plan describes means to obtain substitutes or alternative resources, or otherwise provides support for alternative livelihoods.
23. *Support for alternative livelihoods.* For all other categories of economically displaced persons, the resettlement plan describes feasible arrangements for obtaining employment or for establishing a business, including provision of relevant supplemental assistance

including skills training, credit, licenses or permits, or specialized equipment. As warranted, livelihood planning provides special assistance to women, minorities, or vulnerable groups who may be disadvantaged in securing alternative livelihoods.

24. *Consideration of economic development opportunities.* The resettlement plan identifies and assesses any feasible opportunities to promote improved livelihoods as a result of resettlement processes. This may include, for example, preferential project employment arrangements, support for development of specialized products or markets, preferential commercial zoning and trading arrangements, or other measures. Where relevant, the plan should also assess the feasibility of prospects for financial distributions to communities, or directly to displaced persons, through establishment of project-based benefit-sharing arrangements.
25. *Transitional support.* The resettlement plan provides transitional support to those whose livelihoods will be disrupted. This may include payment for lost crops and lost natural resources, payment of lost profits for businesses, or payment of lost wages for employees affected by business relocation. The plan provides that the transitional support continues for the duration of the transition period.

Annex 5: ESMF AND RF Screening Form Template

Type of DRIVE Sub-component:

Location (include map/sketch) (e.g., region, district)

Type of Activity: (e.g. new construction, rehabilitation, periodic maintenance)

Estimated Cost in Birr:

Proposed Date of Works Commencement:

Technical Drawing and Specifications Reviewed: Yes/No

This report is to be kept short and concise.

1. Site Selection

Physical data:	<i>Yes/No answers and bullet lists preferred except where descriptive detail is essential.</i>
Site area in ha	
Extension of or changes to existing alignment	
Any existing property to transfer to project	
Any existing property to transfer to project	

Any existing property to transfer to project

2. Impact identification and Classification

When considering the location of the DRIVE subproject, rate the sensitivity of the proposed site in the following table according to the given criteria. Higher ratings do not necessarily mean that a site is unsuitable – it indicates a real risk of causing adverse impacts involving resettlement and compensation. The following table should be used as a reference.

Issues	Site sensitivity		
	Low	Medium	High
Involuntary Resettlement	Low population density; dispersed population; legal tenure is well-defined; well-defined water rights	Medium population density; mixed ownership and land tenure; well-defined water rights	High population density; major towns and villages; low-income families and/or illegal ownership of land; communal properties; unclear water rights

3. Checklist of Impacts

DRIVE sub-components	Potential for Adverse Impacts
-----------------------------	--------------------------------------

	None	Low	Medium	High	Unknown
Economic or physical resettlement required					
New settlement pressures created					
Other (specify)					

4. Potential Adverse Impacts on Pastoral and Agro-Pastoral Communities

Potential Adverse Social Impacts:	<i>Yes/No answers and bullet lists preferred except where descriptive detail is essential.</i>
Will activity entail restriction of access of to Pastoral and agro-pastoral communities to lands and related natural resources	<input type="checkbox"/> YES <input type="checkbox"/> NO If yes exclude from Project
Will activity entail commercial development of natural and cultural resources critical to Pastoral and agro-pastoral communities	<input type="checkbox"/> YES <input type="checkbox"/> NO If yes state clearly how benefits will be maximized for IPs?
Will activity entail physical relocation of to Pastoral and agro-pastoral communities? <input type="checkbox"/> YES <input type="checkbox"/> NO If yes exclude from project	<input type="checkbox"/> YES <input type="checkbox"/> NO If yes exclude from Project

5. Detailed Questions

Public participation/information requirements: <i>Yes/No answers and bullet lists preferred except where descriptive detail is essential.</i>	
Does the proposal require, under national or local laws, the public to be informed, consulted or involved?	
Has consultation been completed?	
Indicate the time frame of any outstanding consultation process.	
<i>Refer to relevant legislative acts in Ethiopia.</i>	
Land and resettlement: <i>Yes/No answers and bullet lists preferred except where descriptive detail is essential</i>	
What is the likelihood of land purchase for the woreda/town/city investment project?	
How will the woreda/town/city go about land purchase?	
Will people's livelihoods be affected in any way, therefore requiring some form of compensation?	
Will people need to be displaced, and therefore require compensation and resettlement assistance?	
Are the relevant authorities aware of the need for a Resettlement Process, involving a census, valuation, consultation, compensation, evaluation and monitoring?	
What level or type of compensation is planned?	
Who will monitor actual payments?	

Refer to the Resettlement Framework

6. Actions

Actions:	
List outstanding actions to be cleared before woreda/town/city investment project appraisal.	
<i>Approval/rejection If the proposal is rejected for environmental reasons, should the subproject be reconsidered, and what additional data would be required for reconsideration?</i>	

Recommendations:

Requires RP is to be submitted on date.....

Requires Census and Land Inventory to be submitted on date.....

Does not require further environmental or social studies.....

Reviewer: Name..... Signature

Annex 6: Census Survey and Land Asset Inventory

1. Socio-economic Household Datasheet of DRIVE Project PAPs

Name of Interviewer	Signature	Date
1.		
Name of Supervisor		
1.		
Name of Head of Extended Family:		
Number of Nuclear Families in Extended Residential Group (including household of head of extended family)		
Region: _____; Zone: _____; Woreda: _____; Kebele: _____; Sub-Kebele: _____; Site/Village: _____		
Level of education	a. No formal education b. Non-formal education (read & write, traditional education) c. Elementary School (Grades 1 to 6) d. Junior Secondary (Grade 7 & 8) e. Senior Secondary (Grades 9 to 10) f. Preparatory (10+1 and 10+ 2) g. Certificate or Diploma (Grade 10 + 1 or 2 Years) h. First Degree or equivalent i. Second Degree and Above	(_____)
What is your household's livelihood?	1. Pastoralist ¹³ 2. Agro pastoralist ¹⁴ 3. Other (specify)	(_____)
What are the main sources of income of your household?	a. Salary/Wage Employment (Civil Service, NGO, ...etc) b. Self-employed (Merchant, Mason, Carpenter, ... etc) c. Petty Trade (Market stall, grain, food stuff, local liquor) Remittance	(_____)

¹³**Pastoralists:** people who derive at least 50% of their living from animals that graze mainly naturally occurring vegetation and who follow a transhumance way of life.

¹⁴**Agro-pastoralists:** people whose livestock contribute less than 50% to household income, who have a substantial interest in cropping or agricultural related source of income such as trading in livestock, and who maintain a partial transhumance.

	d. Casual Labour e. Unemployed f. Farmer (Smallholder), Indicate size of landholding (ha) g. Livestock production (meat, milk, poultry etc) h. Support from family i. Renting house j. Other (Specify)	
Number of rooms (excluding kitchen, toilet and bathroom)	Construction type a. earth, b. tin, c. bamboo, d. cement, e. mixed, f. bricks, g. other, specify	(_____)
Household assets	a. Sewing machine b. Radio/TV c. Phone (mobile or land line) d. Motorcycle or scooter e. Bicycle f. Three wheeler/rickshaw/van (non-motorized/ cart) g. Car/van (motorized) h. Other specify	(_____)
Farm assets	a. 2-Wheel tractor and accessories b. 4-wheel tractor and accessories c. Insecticide/pesticide sprayers d. Water pump e. Tube well/Agro well f. Poultry (other animals) shed g. Other specify	(_____)

2. Land Asset Inventory for DRIVE project Investment Sub-component Affected People

A. General Information about Project Component:	
Type/brief description of component	
Site location	
Total amount of land (community assets expropriated) required for subproject (m ²)	
When was site selected?	

Why was this site selected, and why is this amount of land necessary?	
Attach land plan or map	
Type/brief description of component	
Type of cultural/historical/archaeological heritage	

B. Information on Each Land Acquisition/Expropriation:	
Identification number	
Ownership (private, Municipal or Treasury)	
Name and address of registered owners	
Gender (Male/Female)	
Type of Ethnic/racial	
Ethnic Minority (if yes, describe)	
Educational Level	
Primary occupation	
Monthly Income	
Location of job/business (within or outside the acquired land)	
Total size of plot (m ²)	
Amount of plot required (m ²)/% taken	
Expropriation status (if complete, give date of completion)	
Compensation amount (estimated or actual)	
If municipal or state land, are private individuals living on it?	
If municipal or state land, are private individuals using it for economic gain (cropping, grazing, fruit trees)?	
Will structures (houses, shops, utility buildings) or fixed assets (fences, wells, etc.) be affected? If so, list all structures and assets by purpose, name of owner or user, size (m ²), and compensation amounts (actual or estimated).	

C. Information about Affected People:	
If houses (legally owned or occupied by squatters) are to be demolished, how many families reside there, and how many people are in each family?	
Are residents owners or tenants or squatters?	

If shops are to be demolished, how many people are paid employees?	
Do any of the affected people (owners, tenants, family members) need special assistance? If so, how many (by category: elderly living alone, blind, physically disabled, mentally impaired, or other such as??)? What special assistance will be provided?	

D. Temporary Impacts:	
Identify all plots of land that must be used temporarily during the construction phase, but which will not be permanently expropriated.	
Describe compensation or other assistance negotiated with the owner for temporary use.	
Describe measures taken to ensure that land is returned to original or improved condition after temporary use is complete.	

E. Consultation:	
Description of Consultation undertaken with Project Affected People –PAPs (land and asset owners, people using the premises for businesses, squatters etc. ?	
Public notification (means of notification ex. Workshops, radio announcement, public notices in the site, etc.)	
Who was invited?	
Who attended it?	
What kind of Contact information was provided?	
Issues raised during consultations	
What procedures agreed were agreed on as next steps?	
What Information was collected about the PAPs (affected households, business etc.	
How and when were the PAPs notified?	
Who met with the PAPs?	
How many meetings were held and which phase?? did they reach?	

F. Grievance Procedures:	
Place and address to register grievance/complaints (e.g. , which office number or address was given or was there a phone line established, etc)	
Advertised—public awareness of the process	
Which Project level person (s) were designated to follow-up on the resolution of the grievances?	
Consultative Grievances group/committee including community /municipality members, local authorities to review the negotiation process	
Court/payment for court process	

Total number of people affected by the land acquisition plan (sum of all categories above) and use attachment, if needed	
---	--

Reviewed By (Name and Title) _____

Signature _____

Annex 7: Sample Grievance and Resolution Form

Complaint Form		
Complaint Number		Copies to forward to:
Name of the Recorder		(Original)Receiver Party
Region/ULG/Kebele		(Copy)Responsible Party
Date		
Information about the Complainant		
Name:		
Telephone Number		
Address		
Kebele/Community		
Region/ULG		
Signature of Complainant		
Description of the Complaint:		
<p>-----</p> <p>-----</p> <p>-----</p> <p>-----</p> <p>-----</p>		

Annex 8: Sample Table of Contents for Consultation Report

1. Introduction

1.1 Project Description

1.2 Applicable Laws, Regulations, and Policies to Public Engagement

1.3 Project Lenders

2. Stakeholder Analysis

2.1 Areas of Influence/Stakeholders

2.2 Description of Stakeholders

3. Stakeholder Engagement

3.1 Previous Consultation Activities

3.2 Implemented Community Engagement Activities

3.3 Project Sponsor’s Community Engagement Plan

3.3.1 Phase 1 – Initial Stakeholder Consultation

3.3.2 Phase 2 – Release of the RAP Terms of Reference

3.3.3 Phase 3 – Release of RAP Consultation Report

4. Summary of Key Issues

5. Future Consultation Events

5.1 Phase 4 – Release of the RAP

5.2 Phase 5 – Ongoing Project Communications

6. Disclosure

Plan Tables

Table 2.1: Consultation Activity Summary

Table 3.1: Initial Government Agency Consultations

Table 3.2: Summary of NGO Meetings

Table 3.3: Sub-County Committee Composition

Table 3.4: Summary of Community Discussions

Table 3.5: Local Community Comments

Table 4.1: Summary of Key Issues and Responses

Table 5.1: Summary of Future Consultation Activities per Stakeholder Group

Template for Table on Consultation Activity Summary

Location and communities Represented	Meeting Dates	Attendees	Discussion Summary
Example:			

Annex 9: Indicative Outline of A RP Budget

Description	Unit	Quantity	Estimated Cost		Agency Responsible
			Unit Cost	Total	
1. Asset acquisition					
1.1. Land					
1.2. Structure					
1.3. Crops and economic trees					
1.4. Community infrastructure					
2. Land Acquisition and Preparation					
2.1. Land					
2.2. Structure					
2.3. Crops and economic trees					
2.4. Community infrastructure					
2.5. Relocation					
2.6. Transfer of possessions					
2.7. Installation costs					
2.8. Economic Rehabilitation					
2.9. Training					
2.10. Capital Investments					
2.11. Technical Assistance					
2.12. Monitoring					
2.13. Contingency					
#	Item	Costs	Assumptions		
1	Compensation for loss of Land	/hectare	For land acquisition purposes, based on Ethiopian average market cost, or from similar projects		
2	Compensation for loss of Land	/hectare	For land acquisition purposes, based on Ethiopian average market cost, or from similar projects		
3	Compensation for loss of Land	/hectare	For land acquisition purposes, based on Ethiopian average market cost, or from similar projects		
4	Compensation for loss of Land	/hectare	For land acquisition purposes, based on Ethiopian average market cost, or from similar projects		
5	Compensation for loss of Land	/hectare	For land acquisition purposes, based on Ethiopian average market cost, or from similar projects		
6	Compensation for loss of Land	/hectare	For land acquisition purposes, based on Ethiopian average market cost, or from similar projects		
7	Compensation for loss of Land	/hectare	For land acquisition purposes, based on Ethiopian average market cost, or from similar projects		
8	Compensation for	/hectare	For land acquisition purposes, based on Ethiopian		

	loss of Land		average market cost, or from similar projects
9	Compensation for loss of Land	/hectare	For land acquisition purposes, based on Ethiopian average market cost, or from similar projects
10	Compensation for loss of Land	/hectare	For land acquisition purposes, based on Ethiopian average market cost, or from similar projects

Annex 10: Compensation Agreement Template

Compensation Agreement Form	
Project name	
Project component	
Type of sub-component	
Agreement Number	
Name of the Recorder	
Regional/Woreda/Kebele	
Date	
Information about the Compensation	
Name	
Telephone number	
Address	
Kebele/community	
Region/Woreda	
Signature of the PAP	
Signature of the authorized person	
Date	
Description of the Compensation:	
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Annex 11: List of Stakeholders Consulted

A. Federal Level Stakeholders

Ministry of Women and Social Affairs

- Alemu Seid, Strategic Administration Directorate Director, phone number 0947722424
- Minyamir Yitayew, Women Empowerment Team Leader, phone number 0940096401
- Zebder Bogale, Advisor of the Minister, phone number 0911820155

Ministry of Agriculture

- Fetlework Belete, Natural Resource Directorate, Senior Environmental Expertise, phone number 0921920354

Ministry of Finance

- Andinet, International Financial Institution Cooperation Directorate, Senior Economist and DRIVE Project Technical Committee Member, phone number 0933869787

Ministry of Trade and Regional Integration

- Gizaw, Advisor of the Minister, phone number 0912422129
- Desnet, Livestock Production and Market Directorate Director, phone number 0914747564
- Tamirat, Environmental Safeguards Specialist, phone number 0911373982
- Teshome, Social Safeguards Specialist, phone number 0911289563

Meat and Dairy Industry Institute

- Addisu Mesfin, Women, Children and Youth Director, phone number 0912021906
- Maru Kemal, Environmental Engineer and Researcher, phone number 0912311231

B. Regional Level Stakeholders

Oromia Region Agricultural Bureau

- Tolera Debela, Pastoral Development Sector Head, phone number 0911775059
- Ahimed Mohammed, Pastoral Development Sector Senior Veterinarian, phone number 0913119365/0911065495

- Mengistu Asrat, Pastoral Development Sector Senior Environmentalist, phone number 0911971015

Oromia Region Environmental Protection Authority

- Fikadu Legessa, Environmentalist, phone number 0913277583

SNNPPRS Agricultural Bureau

- Siefedin, Socio-economic Specialist, phone number 0934724165

SNNPPRS Trade and Market Bureau

- Anbese, Livestock Directorate Director, phone number 0926105856
- Esayas, Head of the Bureau, phone number 0919116512

Afar Region Agricultural Bureau

- Ibrahim, Head of the Bureau, phone number 0911973633
- Mohammed, Environmental Specialist

Somali Regional State Trade and Market Bureau

- Mohammed Osuman, Head of the Bureau, phone number 0915224182
- Wondesson Teferi, Trade and Market Expert, phone number 0912971855

C. Local Level Stakeholders

- Minalu Bekele, Agricultural Extension Worker, Bena-Tsemay Woreda (SNNPRS), Phone Number 0986095416
- Wogene Alebachew, Agricultural Extension Worker, Adola Woreda (Oromia Region), Phone Number 0978871577

Annex 12: Community Consultation Attendance Sheet and Sample Photos

Drive Project Environmental and Social management(ESMF) Stakeholder Community Consultation
participant attendance

Zone: South Omo Tinka
Woreda: Bend Tsemay
Kebelle: MOKACH

No	Name of participant	organization	Position	phone	Email	Signature
1	Ato Desta Deika		elders	0916695329	-	[Signature]
2	w/ro Nuro Jobay		household		-	[Signature]
3	w/ro Romda daut		"	092834672	-	[Signature]
4	w/ro Abebach Alembo		"	0979872386	-	[Signature]
5	w/ro Abeyash bank		"	0994159582	-	[Signature]
6	w/ro Azebe demesa		NA	0977949001	-	[Signature]
7	w/ro Emenet berachew		household	0965501163	-	[Signature]
8	w/ro Wotkesh Siyis		"	0900987813	-	[Signature]
10	w/ro Kef2 kebede		"	0925707545	-	[Signature]
11	Ato Mendro yoyso		elders		-	[Signature]
12	Ato B2ako Aae2			0968451892	-	[Signature]
13	Ato Shalo Aie2			0955980461	-	[Signature]
14	Ato Mary2be2 A3ka			0994305942	-	[Signature]
15	Ato Doy2d2 ent2		elders	0979808285	-	[Signature]
16	w/ro Metsha B220		household		-	[Signature]
17	w/ro Astare yoro		women		-	[Signature]
18	w/ro Am2y2ch A3ka			0934762083	-	[Signature]
19	Ato Dey2d2 Ent2			0926104754	-	[Signature]
20	Ato Makenen Sofa		women	0921253584	-	[Signature]
21	w/ro Mary2d2 A3ka		leaders	0944593305	-	[Signature]
22	Ato B2n2ko B2ke		household		-	[Signature]
23	Ato T2y2eg2d2 Am2nd2		household		-	[Signature]
24	Ato Buzz2yu Aft2nd2		leaders		-	[Signature]
25	w/ro Asel2che demesa		leaders		-	[Signature]
26	Ato Makenen Sofa		"		-	[Signature]





Photo A: Community Consultation in South Omo Zone Banna-Tsamy Woreda Mokach Kebele (SNNPR).



Photo B: Community Consultation in Borena Zone Harakalo Woreda Germedu Sirba Kebele (Oromia region)

Annex 13: Sample Minutes of Community Consultation

Lunnas 09/04/2010

Sa'attii 3:00

Iddoo Galma Balchinsaa

Jandaa : Maani Hawasaa pirijsokiti qorannoo
(Chapter for Ethiopia) dhiibbaa Naannoo fi Hawasaa
molee Hirmattoota Argamanii

1. Obbo Wogane Alabachow ---- Walitti qabe
2. " Wogam Asaffoo ---- Ojeessa dhiibba Naannoo fi Ma
3. " Taddasa Baaisoo --- Ojeessa Beeylade
4. " Banata / ---- Dargaggoo keessaa
5. Addee Abebechi Zayado ---- Duberttoota keessa
6. Obbo Iwinatu Alamirawii ---- Hawasaa keessaa
7. Obbo Gobana Dubee ---- Abbottii qabeemaa
8. Obbo Tadesa Shifora ---- jarsaa biyyaa
9. Obbo Tesfeyee Baaisoo --- Mana Amanta
10. Obbo Jarsaa Anekor ---- Raamee miidhamu
11. " Gemechu Bon ---
12. Daniel malka

Maani balchinsaa - Yaadaa ka'umsa quddeetii barreeffameen Yaadaa Kaasuu dhaan
ii itti Xiyyeeffachu

- 1 - Risk mgt Waligabate Corraa hojii du
2. misooma Beeylade Xiyyeeffachu
 - ijarsaa quddisuu
 - Beekamoota keenuu
 - misooma Beeylade
 - Baajota ka'umsa keenuu

- o Tadessaa Shiferaa (jarsaa biyyaa kaessaa)
 - Pirojeektiti Murteessa fi barbaachiisa dha.
 - Hoji misooma Beeylada haala qilleensa gaarii qabina.
 - Misooma Beeylada fayyadota fudde qaba (carraa hoji uumuu, gatii dabalu fi k.k.f)
- o Gobanna Dimee (Abbaa qabeemaa fi Adaaduree)
 - qabaa fiddugaleessa gochuu murteessa
 - gatii farsgabbeessuu
 - Hawaasa fayyadama Bu'aa hoii (ditee hoii)
 - lafaa raktoo hin qabuu
 - haala miya'a jira.
 - dhiibbaa Naannoo (dhangale'oo fi goga) haala ammayyaa gaggeessuu
 - teknioloji haaraa fayyadama gochaa (qorichaa, nyaata beeylada)
 - Addeaa fursannoo fonyeessuu danda'aa
 - Pirojeektiti dhufu isaa murteessa fi barbaachiisaa
- o Tesfayee Bariisoo (Mane Amantaa)
 - Haala miya'a qabina. barbaachiisa dha.
 - Qorannoo jalqaba itiyoppiyaa murteessa dha.
- o Hayilee Galgalloo (Darqaggo)
 - Carraa hoji darqaggo uumuu dha -
 - dhiibbaa Naannoo Bosonaa Uumuu danda'aa
 - dinagdee hawaasaa dabalaa
 - gatii hoii fursullina rakwetema.
 - Carraa lafaa hangina uumuu danda'aa
 - dhangeale'oo fi goga Pirojeektiti dhiibba Naannoo fi hawaasa