



---

*Identifying Gaps and Capacity Needs for  
Environmental and Social Impact  
Assessment in Afar National Regional  
State Report*

---



MARCH 2021

## *Table of Contents*

Acronyms and Abbreviations .....	ii
Executive Summary .....	iv
1. Introduction .....	1
1.1.  Description .....	1
1.2.  Objectives of the Design .....	2
1.2.1.  Overall Objective .....	2
1.2.2.  Specific Objectives .....	2
1.3.  Scope of the Assessment .....	2
2. Policy and Legal Framework .....	4
2.1.  Political structure of the Federal Republic and Republic of Eritrea .....	4
2.2.  The Agency and Regional State Responsibility .....	4
2.3.  Legal and Administrative Frameworks .....	5
2.3.1.  Environmental Policy and Councils Change Commission .....	5
2.3.2.  ERCA's Environmental Protection & Rural Land Use, Soil & Administration Bureau .....	6
2.4.  Environmental policy of Eritrea .....	6
2.5.  Investment policy .....	6
2.6.  Disaster Risk Management Policy .....	7
2.7.  Pastor's Development Policy .....	10
2.8.  ANRA DDM Services, Disaster Risk Management Strategy (2020 - 2022) .....	9
2.9.  ERCA's Strategy .....	10
2.10.  Environmental and Social Safeguards Framework (ESSF) .....	10
2.11.  Proclamations, guidelines, and directives .....	13
2.11.1.  Environmental Impact Assessment Proclamation No. 299/2002 .....	13
2.11.2.  Environmental policy and legal proclamation No. 308/2002 .....	14
2.11.3.  National and Regional State EIA regulation No. 20/2004 .....	17
2.11.4.  IDP's Best Practice Implementation Guidelines .....	12
2.11.5.  Rural Service Reformation .....	15
2.11.6.  ANRA Rural Land Use & Administration Reg. No. 35/19/2011 .....	15
3.  General Methodology and approach .....	17
3.1.  Data Collection Techniques and Tools .....	17
3.2.  Desk review .....	18
3.3.  Key informant interview .....	18

2.4	Focus group discussion .....	15
2.5	Sampling and sample size .....	16
2.6	Data processing, analysis, and quality Management .....	16
4.	Analysis of Awareness and Findings and Discussions .....	17
4.1	Awareness concerning existing environmental Policy and Legal Frameworks .....	17
4.2	Availability of Environmental Policy and Legal Frameworks .....	18
4.3	Existence of context policies, strategies, regulations, and directives .....	18
4.4	EIA Process .....	20
4.4.1	Environmental Screening .....	20
4.4.2	Public consultation .....	21
4.4.3	EIA Approval and Decision-making process .....	22
4.5	Human resource capacity .....	22
4.6	Technical capacity and Competence .....	23
4.7	Challenges for the Applicability of the EIA in the Region .....	24
5.	Chapter Five: Conclusion and Recommendations .....	26
5.1	Conclusion .....	26
5.2	Recommendations .....	27
6.	References .....	28
7.	Annexes .....	29
7.1	Key Informant Interview Questionnaire for the Government Structure at the region .....	30
7.2	Key Informant Interview Questionnaire for government structures at worksite .....	34
7.3	Focus Group Discussion Guiding Questions .....	37

## Lists of Figures

Figure 1. Awareness of Govt experts on the environmental and Legal frameworks .....	17
Figure 2. Awareness of the legal framework .....	18
Figure 3. Availability of environmental policy and legal framework .....	18
Figure 4. Decision-making policy towards coastal and wetland resources .....	18
Figure 5. Availability and Accessibility of screening tool .....	19
Figure 6. Participation of public and stakeholders .....	21
Figure 7. Perceived expertise relevance of the Staff .....	21
Figure 8. Technical Capacity of EPICT Bureau .....	22
Figure 9. Priorities of the Challenges that Affect application of EIA .....	24

## List of Tables

Table 1. Roles and Responsibility of Institutions and Stakeholders in EIA Process .....	20
Table 2. Human Resources of Sectors involved in EIA Process .....	23

## *Acronyms and Abbreviations*

ARCS	: Asia Regional Regional Slow
ARCT	: After Rain Rehabilitation Project
DAVAO	: Bureau of Fisheries, Agriculture and Natural Resources Development
DRRM	: Disaster Readiness and Resilience
DRRGE	: Climate Resilient Green Economy
DRA	: Disaster Risk Reduction
DRAI	: Disaster Risk Management
CCA	: Climate Change Adaptation
CR	: Climate Resilient
DFGCR	: Environmental, Historical and Climate Change Commission
EFMD/FA	: Environmental, Historical and Climate Change Commission
EIA	: Environmental Impact Assessment
EISA	: Environmental and Social Impact Assessment
ESMP	: Environmental and Social Safeguard Framework
FDRR	: Federal Democratic Republic of Philippines
FGD	: Focus Group Discussion
GE	: Green Economy
GeE	: Investment of Education
GLP	: Growth and Transformation Plan
IRM	: Integrated Risk Management
KIL	: Key Informant Interview
MOA	: Ministry of Agriculture
NAP	: National Adaptation Plan
NRM	: Natural Resource Management
STR	: Strategy Through Risk

## Executive Summary

The purpose of the study was to assess the Environmental and Social Impact of project activities in NRM sector as well as identification of capacity gaps of the involved actors in undertaking the Environmental and Social Impacts Assessment while planning and implementation of project activities in NRM sector in ACR Region of Regional State. The scope of the assessment was covering the legal, Social and Environmental Impact Assessment (EIA) and (MIA) and (MRS) including the roles and responsibilities of the stakeholders as well as assess the current EIA regulations, the capacity gaps of government bodies in conducting EIA in the region were identified. The development of integrated Risk Management EIA processes and tools have been tested for suitability and applicability for GIZ SOR project activities (e.g. NRM activities) in the project site.

The approach of the research was participatory and qualitative in a way that to better fit the needs and interests of the concerned bodies. The data sources for the gap and capacity needs assessment were primary and secondary sources. The data collection methods were desk review, questionnaire survey, Key Informant Interview (KII), Focus Group Discussions (FGD) and Observation for which questionnaires, KII Guide, FGD (for in-depth discussion) guides were developed.

The findings the gap and capacity needs were assessed and identified in terms of understanding the environmental policy and legal framework, availability of the EIA tools, the existing human resources, technical expertise and awareness and coordination, factors that affecting effective execution of the EIA principles and procedures on the projects being executed in the region. The main research finding included that environmental impact assessment guideline, environmental impact assessment objective and regional level and administrative availability. In terms of the level of the awareness of the government experts on the Environmental Policy and Legal Frameworks, 12.5% have low awareness, 26.25% are low awareness, 36.25% are medium awareness and 24.4% have high awareness of the policy and legal framework.

The findings indicate that disaster risk management strategy and regional emergency plan highly consider the pastoral community concerns. Lack of an Environmental Impact Assessment Guideline and Directive, Climate Resilient Green Economy Strategy fully considered the pastoral community contexts. Regarding the public consultation, 60% of the respondents considered that the public and the stakeholders are consulted depending on the nature of a project activities to be implemented in their locality, whereas 20% of the respondents expressed that the public always consulted before implementing activities of the project.

The human resources gaps and capacity needs have been assessed to obtain the relevance of their technical expertise in with different sectors. Consequently, only 37% of experts are assigned to their field of professional, whereas 63% of the staffs have been assigned to irrelevant positions.

The findings also detected some challenges in applying the EIA principles and procedures in the projects being implemented in the region, which include;

1. Unavailability of environmental policy and legal framework (environmental tools) that is in the region concerned.
2. Scarcity of the budget to effectively apply and execute EIA principles and procedures on the projects.
3. Low awareness of the investors' responsibilities and safety issues on the importance of EIA.
4. Limited capacity of the competent authority (PRC/UP/other experts).
5. Weak law enforcement mechanisms.

### 5. Lack of coordination and collaboration among the sectors in applying EIA principles and procedure

Here, it has been observed that there are gaps in both awareness and availability of environmental policy and legal frameworks, generalist and sector policy instruments as well as limited public consultation, limited participation, and involvement of the stakeholders. In view of the following actions have been suggested:

1. As the awareness of the government officials, the academia, and the stakeholders about the environmental policy and legal frameworks, it is necessary to inform and involve all the government sectors, experts, the community, and all the stakeholders through well-organized capacity development training at all administrative levels.
2. The availability of the environmental policy instruments has been mentioned as one of the challenges in executing the EIA procedure. Hence, it needs to avail the relevant policy documents and to facilitate in effectively utilizing them.
3. Lack of practical contextualized policy instruments in the region was identified as the gap. Therefore, the instruments should be developed and revised in a way to consider the generalist level, local, and environmental.
4. The high quality of the human government services to the extent to EIA procedure is direct indicator of the capacity of the government. Job capacity building training should be provided continuously as well as respecting in equipment, facilities, skills, and other attributes to complete.
5. Enhancing the coordination and collaboration among the sectors for the joint planning, monitoring, and evaluation of projects as well as sharing of information resources is important to establish a functioning forum at the local level that help in our gap identification and to have the commencement of project could best stakeholders participation in all the project steps.

# Strengthening Drought Resilience

## I. Introduction

### 1.1 Background

The Strengthening Drought Resilience (SDR) Programme increases the drought resilience of poor communities, which expands their options for production through improved pasture management, enhanced water management in the village, animal health care, seed preparation and storage. It is implemented in Afar and Somali Region together with the lead executing agency the Ministry of Agriculture (MoA) with the Natural Resources Management (NRM) Directorate. At the regional level, the respective agriculture offices work in close-perspective at the district and village level to prepare in the implementation.

The SDR Project is a sub-project (ASS) of the project "NRM für die Region Afar und Somali" (for Food Security under the umbrella of a special initiative launched by the German Government's GIZ/Wandl (Wandlberger) (GIZ/Wandl) in cooperation with the Ministry of Agriculture and Rural Development, AGDP's objectives and indicators are closely aligned. It is also an integral part of the Strengthening Drought Resilience (SDR) Programme and cooperate closely with the counterpart agencies in Afar and Somali Region.

Activities are carried out in the Afar Region of Ethiopia in eight target Woredas (Dalle, Chifra, Kawa, Zowa, Guina, Yala, Tera, and Kuni) located in the administrative Zones 1 and 4. In the Region of the Bureau of Livestock, Agriculture and Natural Resources Development (BoL/AND) and Environment, Forestry and Land Use Administration (BoLE/AF) Bureau as well as their offices/departments. At Woreda and Kebele level are involved in project activities.

Activities are mainly based on participatory and family planning. Partners in the planning process are owners from the Woreda and Kebele administration as well as the local communities. Generally, the expertise for social and environmental impact assessments of the involved sectors at various administrative levels are limited to project financed and implemented projects on social structure as well as the environment.

At a wider level, the MoA and the SDR programme are supporting the Capacity Development for Strengthening Drought Resilience (CDSDR-III) is looking into systemic capacity development with partner structures and system strengthening especially at the national and regional level, including the active involvement for dry valley rehabilitation in semi-arid areas of Ethiopia, particularly in Afar and Somali Region.

On the local level, the programme is a part of public and private stakeholders working in the field of Rural Development Forum (RDFF) and Water Management Systems (WMS) as well as the local communities and the purpose of the activities are to:

- i) Strengthen institutionalised communities,
- ii) Enhance food security and
- iii) Create opportunities to local government.

This supports a link to the capacity of local governments to maintain social and state financial impact assessment that helps to identify safe and un-safe activities in the field level. The state, regional government staff, research staff, and GIZ field officers will have to adapt to the different levels of capabilities and methods of use for proper selection of activities.

## 1.2 Objectives of the Assignment

### 1.2.1 Overall Objective

The overall objective of the assignment was to assess the Environmental and Social Impacts of project activities in the GIZ/SOR projects with a focus on the capacity needs of the involved persons in conducting the Environmental and Social Impact Assessment during planning and implementation of project activities in NRW, in particular in the National Regional State.

### 1.2.2 Specific Objectives

- To identify the capacity needs of the project managers and their staff in the regional and state levels in conducting ESIA.
- To identify the environmental and social impact assessment of project activities according to the German Government, ESIA standards of the GIZ/SOR and of possible adjusted national laws in NRW especially the past and current.

### 1.3 Scope of the Assignment

The general overview on the legal, social and environmental impact assessment handbook in the National Regional State (NRW) including the roles and responsibilities of the stakeholders as well as the current ESIA experiences, the capacity needs of government personnel in conducting ESIA in the regional level were identified. The newly developed in project ESR Management ESIA processes and tools have been tested for suitability and applicability on GIZ/SOR project areas (e.g. NRM activities) at one project site.

Therefore, the consultant has undertaken the following activities:

- Identified gaps and capacity needs in the legal framework of Social and Environmental Impact Assessment in the National Regional State.
- Identified the roles and responsibilities of stakeholders in conducting Social and Environmental Impact Assessment as well as the approach of the Environmental and Social Impact Assessment.
- Identified gaps and limitations of the existing tools (especially Social and Environmental Impact Assessment) in particular for activities of the GIZ/SOR project, especially for NRM in a particular environment (e.g. in the area of the project area).
- Tested the applicability of the Social and Environmental Impact Assessment in the regional GIZ/SOR project site in collaboration with main stakeholders (e.g. ESR/EA local people, etc.). The test results feed into the gap analysis and the capacity needs assessment.
- Validated the findings on the field level via interviews in ECLUA (e.g. 2014/15).

The results of the gap analysis and the recommendations were discussed with the main stakeholders in the regional level. The lessons learnt in the applicability of tools and guidelines were taken into consideration. The specific risk factors, potential sub-issue, Transboundary change adopted by, and mitigation effects, recommendations were documented.



\*) **Interim phase of the assignment**

**Key messages of the Social and Environmental Impact Assessment:**

- Kick-Off Meeting was held with EPLDJA and the CIZ SDC programme management to clarify and discuss interests, concerns, and deliverables, especially stakeholders engaged in the process, location of the assessment, the scope of the assignment as well as the method, and the detailed content of the deliverables
- Familiarized with the regional laws and regulation of social and environmental impact assessments, specifically of approval processes, roles, and responsibilities
- All the necessary laws and regulations related to S&EIA in Cambodia and specifically in the Kampong Speu were identified.
- Familiarized with the existing Environmental and Social Management Policies specifically for use in road infrastructure
- Well understood and familiarized with the activities for ERM measures intended to be implemented by CIZ SDC in the area.
- Agreed to conduct Environmental Assessment in the project site considering the necessary steps including the stakeholder identification with EPLDJA of the CIZ SDC project.
- A credibility, quantitative and qualitative were prepared for the assessment in close coordination with the CIZ SDC team and shared with the stakeholders before the start of the mission

**\*) Executive Social and Environmental Impact Assessment on site of the project sites**

**Key messages of social and environmental impact assessment:**

- A Kick-Off meeting was organized with all the stakeholders on the process and the role of the study, the mission, as well as the roles and responsibilities of each stakeholder. The assessment tool, uses are listed.
- All necessary information was collected for a reliable social and environmental impact assessment. Recommendations and mitigation measures as well as the gaps and needs were assessed and identified taking into consideration the specific risk factors, potential adverse effects, climate change adaptation, and mitigation effects.
- The assessment was conducted according to the approved mission, leaving open space to comply with the needs and questions of the group.
- All the consultation forms, site of participants were filled and the participation list (signed) provided by CIZ SDC in all meetings.

\*) Final Social and Environmental Impact Assessment Report (draft) was prepared and shared with the stakeholders for their comments and approval.

# Chapter VIII - Review of Policy and Legal Frameworks

## 2. Policy and Legal Frameworks

### 2.1 The constitution of the Federal Democratic Republic of Ethiopia

The 1994 Constitution of the Federal Democratic Republic of Ethiopia contains provisions that support the enactment of EIA legislation. In this regard, it stipulates that the design and implementation of development programs and projects in the country shall not damage or destroy the environment, and recognizes the right of the people to be consulted and express their views on the planning and implementation of environmental policies and projects that affect them (Art. 92). Besides, the constitution recognizes the right of citizens to be consulted and informed, and where they are displaced or their livelihoods have been adversely affected by the development projects undertaken by the government, it grants them the right to be consulted, to have alternative compensation, resettlement or other with adequate state assistance (Art. 40). These provisions provide several mechanisms of access for the development and implementation of environmental EIA projects.

Article 40: The Right to Development and development peoples' right to:

- Improved living standards and sustainable development; and
- Participate in national development and, in particular, to consult with, request policies and projects affecting their community

Article 40: Environmental Rights, all persons:

- the right to a clean and healthy environment; and
- Where they have been displaced or whose livelihoods have been adversely affected as a result of state projects, the right to appropriate compensation and the national or local compensation, including access to and adequate state assistance?

Article 92: Environmental objectives and identification:

- The Government shall endeavor to ensure that all Ethiopians live in a clean and healthy environment;
- The design and implementation of projects shall not damage or destroy the environment;
- Legislative, executive, judicial and the professional offices in the planning and execution of national and local projects that affect their livelihood;
- The Government and citizens shall have the duty to protect the environment;
- Assisting hand under the leadership of the Ethiopian people and the government to provide the quality of development;
- Guarantees the equality of development;
- Maintains an improved world peace.

## 2.2 The Afar National Regional State Constitution

The 2009 draft constitution of the Afar National Regional State contains provisions that protect the consideration of environment and social impact assessment (ESIA) as a key planning development process and objective. The constitution stipulates that the state will implement an infrastructure development program and projects that the legislature should not authorize without the consent, and recognition, of the right of the people to be consulted and to give their views on the planning and implementation of policies and projects that affect them (Art. 41). The constitution recognizes the right of all persons to live in a clean and healthy environment, and, when their environment has been adversely affected by the development projects undertaken by the regional government, the right to go to court to sue the necessary or financial compensation, including relocation with adequate regional government assistance (Art. 42). These provisions provide a constitutional basis for the development and implementation of an effective ESIAs process. In this regard, the articles of the constitution that deal with the environment and social issues:

Article 41: The Right to Development, all persons

- In the region have the right to improve their living and sustainable development
- In the region have the right to participate in the national development positively to be benefited in policies and projects that affect their communities
- The overall objective of the development activity in the region is to satisfy the basic needs of the residents of the region.

Article 42: The Right to Healthy Environment, all persons

- In the region have the right to live in a clean and healthy environment
- Who have been displaced or whose lives have been adversely affected as a result of regional government projects have the right to an adequate monetary or alternative means of compensation, including relocation with adequate regional government assistance

The Constitution of the Afar National Regional State, Article 34 (1) provides that women have the right to acquire, inherit, control, use, and transfer property, the usual local use and administration policy also included the women in the region the same. In particular, they have equal rights with men concerning the acquisition, administration and control of land. They shall also enjoy equal treatment in the inheritance of property.

## 2.3 Institutional and Administrative Responsibilities

### 2.3.1 Environment, Forests and Climate Change Commission

The Environment, Forests and Climate Change Commission (ECCC) (Proclamation No. 295/2007) established the institutions and entities for the regulation of the environment. The Commission is headed by the Attorney General, which is currently referred to as the Regional Environment Agency, and the National Environmental Unit.

The Environmental Forests and Climate Change Commission (ECCC) is the lead federal environmental agency to formulate policies, strategies, laws and standards to ensure social and economic development according to the country's sustainable development agenda and the safety of the environment (Art. 3). The regulation of ECCC is one of the key responsibilities of the ECCC.

In this regard, EPCO is responsible for establishing a system of environmental policy for public and private projects as well as on environmental policies, strategies, laws, and programs. Additionally, it is responsible for developing a directive that identifies categories of projects likely to have a negative impact and that requires ERIA and for issuing guidelines that direct the preparation and content of ERIA study reports (Proclamation No. 255/2002, Art. 6 & 7). Besides, the EPCO is responsible for enforcing the ERIA study reports on projects subject to federal financing, providing or sponsored and supporting a study to assess inter-regional impacts. The EPCO is also responsible for advising and regulating the implementation of such projects. Moreover, EPCO is responsible for giving technical support pertaining to environmental management and protection to regional States and various institutions.

### 2.3.2 ANRES Environmental Protection, Rural Land Use, and Administration Bureau

The Environmental Protection Bureau (Establishment Proclamation (Proclamation No. 29/2002)) requires regional states to establish and designate their own regional environmental agencies. According to the ANRES Environmental Protection and Rural Land Use Administration Bureau have been established with the responsibility of overseeing the formulation, implementation, monitoring, and revision of regional environmental policy and for enforcement of regulation, protection, and regulation (Art. 9).

ANRES EPRUA Bureau is required to review and evaluate the ERIA study reports on projects that are licensed and planned to be executed in the region by the government, such as private sectors as well as development partners as the ERIA proclamation No. 255/2002 gives these responsibilities to these local environmental agencies. ANRES EPRUA Bureau is also responsible for regular compliance monitoring of all projects implemented in the region and enforcing and regulating the implementation of such projects.

### 2.4 Environmental policy of Ethiopia

The Environmental Policy (EPE) of the Federal Democratic Republic of Ethiopia was approved by the Council of Ministers in April 1994 to provide overall guidance on the conservation and sustainable utilization of the country's environmental resources in general. The overall objectives of the environmental policy is to promote the sustainable social and economic development of the country through better environmental management, and utilization of the natural resources of the country, among the specific objectives, the environmental policy seeks to achieve are: ensuring the conservation, development and sustainable use of essential ecological processes and life support systems, biological diversity and the socio-cultural heritage; and the empowerment and participation of the people in environmental management.

### 2.5 Investment policy

Investing in an enterprise is a privilege of private individuals and/or organizations or businesses or groups of them upgrade a business that already exists. Legislation often seeks to regulate investment to promote private capital investment, especially by encouraging the participation of foreigners in the national economy. In Ethiopia, investment has become an important economic activity with a significant effect on the country's economic and national development of the country. It should be integrated with the national legal framework to investment.

The issuance of an investment license provides an opportunity for ERIA. According to the Investment Proclamation (Proclamation No. 279/2002), investment administration is operated under supervision of a service of a legal firm to investment administration. The application form requires the applicant to

prevailing information relating to the status of the applicant, the yield of the intended investment activity, the investment capacity in investment area (regional only), the kind and size of intended production activity, and the number of jobs the investment will create. Apart from these, the application filing does not require the presentation of an ESEA survey information relevant to the environmental impact of the intended investment request. Investment area with ESEA investment projects within a matter of days or a month, submission of a properly completed application form available by local district named sectoral institutions of the local competent and semi-local agency/sections, requesting for necessary support and follow-up on the implementation of business/sector project proceeding with relevant laws of the country.

Business Licensing Proclamation No. 64290, Article 24(3) of the Investment Proclamation No. 497005 in effect since article 19(2) of the Commercial Registration and Trade Licensing Proclamation No. 64290, which makes the presentational submission from environmental agencies a requisite for issuance of business license. The Investment Proclamation No. 497005 creates a liability for investment activities to begin before going through an ESEA, thereby rendering the ESEA non-binding. In other words, the current process for issuing investment licenses does not force investors to comply with the ESEA requirement. Last attempt to legislate on the structure, or investment who are exempt from ESEA, requires a joint to assess damage and to improve environment and natural resources.

2.6 Disaster Risk Management Policy

The Government of Ethiopia has established a comprehensive DRM policy, based on lessons learned from past experiences. These include the necessity of a multi-faceted approach grounded in a deep understanding of specific disaster risks and its socio-economic, and vulnerability; emphasis on prevention, mitigation, preparedness, and post-disaster relief and capacity building; decentralization of resources and functions; a clear delineation of DRM responsibilities supported by the capacity for legal enforcement and a high degree of accountability.

The new DRM policy provides the direction for the kind of DRM system envisaged for Ethiopia in the future. Such a system is based on an enabling policy environment and strategic initiatives in organizational structures with appropriate and formalized roles and responsibilities at federal, regional, and woreda levels. Hence, improved vertical coordination for decision-making and an effective DRM system, processes, and procedures is expected.

Furthermore, the system is based on an understanding of disaster risks; an effective and targeted information flows for decision-making and financial mobility; preparedness, preparedness, enabling appropriate and timely available relief and assistance; an effective implementation capacity; ensuring disaster delivery; and on mechanisms for learning, review and future risk planning and decision-making. The Government of Ethiopia has adopted a comprehensive DRM policy, based on lessons learned from Ethiopia's experience. These include the necessity of a multi-faceted approach grounded in a deep understanding of specific disaster risks, and its socio-economic and vulnerability; emphasis on prevention, mitigation, preparedness, and post-disaster relief and capacity building; decentralization of resources and functions; a clear delineation of DRM responsibilities supported by the capacity for legal enforcement and a high degree of accountability.

The new DRM policy provides the direction for the kind of DRM system envisaged for Ethiopia in the future. Such a system is based on an enabling policy environment and strategic initiatives in organizational structures with appropriate and formalized roles and responsibilities at federal, regional, and woreda

levels, horizontal and vertical coordination among districts, including the Federal Office (DOF) agencies, water users, and practitioners and staff.

Furthermore, the system is based on an understanding of diverse views, a "flexible" and targeted information flow for local-level working and for community DOF, an accurate responsiveness, ensuring appropriate and timely availability of key resources, an effective information system, a strong network of key staff, an increased focus for learning lessons and feeding into planning and decision-making.

### 2.7 Pastoral Development Policy

Pastoral Development Policy and Strategy envisages seeing a pastoralist community that is resilient to man-made and natural disasters; that has an improved and healthy and livable environment and infrastructure; where democracy and good governance are ensured; and peaceful and inclusive development is realized. The main objective of the policy is to realize sustainably improved livelihood of pastoralists through integrated development that is centered on the animal resources, natural and spiritual, and culture and gender advantages of the pastoral people.

Although the pastoralists comprise 42% of the Ethiopian population, they occupy 60% of the arable land in Ethiopia, they have been marginalized and neglected for years. The pastoral people have been per se a peculiar way of life and life in a peculiar environment. However, the pastoralist and herding system, if developed in positive, free, and sustainable manner to effectively meet the very fragile environment in taking the pastoral people's way of life and ecology into account, has the ability to bringing sustainable development. The major focus and space of the pastoralist is their livestock wealth. Large ruminant in the vast landscape dimension of mobility. The main objective of the Pastoral Development Policy and Strategy is therefore the livestock resource and improving livestock production and create a basis for future to raising draft cattle livestock and livestock processing.

The policy objectives are as follows:

1. Improving the livelihood standard and income of mobile pastoralists through increasing animal production and productivity.

Aiming at improving the livelihood standard and income of mobile pastoralists through a number of plans and projects and the response of the state through the surface and ground water development and increasing animal production and productivity, stimulating and commercializing competitive advantages and potential as well as ensuring their participation and benefit in the social and economic development sector.

2. Conduct Voluntary Community Programs to Improve the Income Sources and Living Standards of People Living in the Pastoral Areas

In order that the pastoralists with available resources and abilities (environment, livestock, etc.) can improve their livelihoods, the improvement centers that are well planned and well designed in advance, and strengthening activities that will help improve the livelihood of pastoralists and improve their livelihood through some realization and diversification of pastoral livelihood.

These strategies of the Policy have been described in detail in the document, as to what they mean and how they could be implemented and their implementation will be done through the policy through the national vision of wanting to become a middle-income developing country.

Thus, the guiding principles (goals) of production and way of life; are based on the livestock wealth which is the major livelihood source of pastoralists, and the ecology, the two major policy pillars,

whereas the human line for sustainable and absolute development have been delineated. Besides, basic contents for policy pillars and main policy strategies, three important development sectoral policy boxes together with their implementation strategies have been presented.

## 2.8 ANRS IRM-Sensitive Disaster Risk Management Strategy (2020 – 2024)

The ANRS has developed IRM sensitive DRM strategy that aims to establish integrated, flexible, and efficient DRM system in the region, which entails reduction of potential natural and human-made disaster risk impact by both risks and vulnerability reduction of the assets controlled by the government legislative and planning sustainable development. The strategy document outlines activities for the reduction of natural and man-made disasters, risks, and the challenges faced by the region and defines the main DRM policy directions. Disaster Risk Management strategies and activities contribute to the reduction of disaster risks as well as the negative impacts of disasters and attainment of sustainable development and poverty alleviation by facilitating the integration of disaster risk management activities into development.

The Regional IRM sensitive DRM strategy is one of the important components of the regional final strategy and implementation process. The Integrated DRM system will be oriented for the creation of a resilient and work-environment and sustainable development of the region, and its sensitivity for fostering disaster risk resilient community, climate change risk-capable community, and climate change smart landscape. Thus, the strategy is developed as guide and action framework for disaster risk management implementation in the region.

The specific objectives set out by the regional IRM DRM strategy are:

- To inform the legal and institutional basis for the efficient Integrated Risk Management planning and implementation;
- To establish strategic Integrated Disaster Risk Management (IDRM) plans in the governmental, non-governmental, DM agencies, and private sectors through multi-stakeholder participatory approach including community participation at all levels;
- To strengthen links with OCHA, DRR, and Development in recognizing the role of ecosystem management and restoration;
- To develop and enhance long-term capacities, including coordinated implementation mechanisms both at regional and local levels to support the implementation of the Zifiroya DRM policy and Strategy to build the resilience against the natural and compound hazards;
- To strengthen DRM institutional frameworks and capacities at regional and local levels for maintaining, implementing, and coordinating Integrated Risk Management strategies and programs to build resilience against compound hazards;
- To establish holistic approach for policy development, strategic measures, from design and implementation of disaster preparedness, response and recovery programs;
- To mobilize resources, including professional skills or contribute to the implementation of programs and projects on DRR;
- To achieve a comprehensive, all-hazard, all-sectors approach by achieving the right balance of prevention, preparedness, mitigation, response and recovery;
- To promote a transparent, systematic and consistent approach to integrated disaster risk assessment and management.

- To develop a database and information exchange system in line with change, 700,000 of us require regional and worldwide objectives, regional, and local levels.

## 2.9 CBRE Strategy

The Government of Ethiopia also area a strategic economic growth in 2011 that envisages enabling the national business and investment to multiply by the year 2025 through a Climate Resilient and Green economic development pathway. To realize the vision of becoming a Carbon neutral and low-carbon country by 2050, Ethiopia has designed a Climate Resilient Green Economy (CRGE) strategy that clearly defines the path towards meeting green economic targets. The strategy has three mutually reinforcing objectives: increasing economic development & growth; achievement & avoidance of future possible negative impacts and building resilience to eliminate negative impacts.

The CRGE initiative follows a sectoral approach and has identified and prioritized more than 50 initiatives, which will help the country achieve its development goal while limiting GHG emissions to 16-18 Mt CO<sub>2</sub>e by 2030, which is less than 250 Mt CO<sub>2</sub>e that is estimated under the current development strategy. But it is important to note that the members of this strategy offer a responsibility to achieve its economic development goals sustainably, to represent the multi-stakeholders economic development to give a resource-efficient way to overcome the potential conflict between economic growth and limiting climate change.

CRGE has two major components: the Green Economy (GE) and Climate Resilient (CR) that focus on low carbon and green growth, economic development and protecting green economy in growth line in the adverse effects of extreme climate events (resilience to climate change) respectively.

### 2.10 Environmental and Social Safeguard framework (ESSF)

Environmental and Social Safeguard Framework (ESSF) is a tool used to manage potential adverse impacts of a project through risk assessment, a set of methodologies, procedures and measures to facilitate adequate environmental and social safeguards (risk and impact management) across the CRGE initiative funded by the Facility. The purpose of the ESSF is to contribute to the achievement of the CRGE objectives by enabling the CRGE coordinating and implementing entities to adequately address environmental and social considerations in all stages of CRGE investment. The ESSF guides the formulation and implementation of the CRGE initiatives in a socially and environmentally sound and socially acceptable manner to help end poverty and sustain growth.

The ESSF provides an enabling mechanism to the CRGE to meet environmental and social spending requirements associated with investments financed through the CRGE Facility. It defines roles, responsibilities, institutional frameworks, and provides procedures to avoid, minimize, and/or mitigate direct, indirect and potential environmental and social risks and impacts that may arise from any CRGE activities. It also identifies and assesses potential risks to the public consultation and grievance redress mechanisms documents as well as references of possible practices.

### 2.11 Proclamations, guidelines, and directives

#### 2.11.1 Environmental Impact Assessment Proclamation No. 209/2003

In order to achieve sustainable development, it is essential to increase environmental concerns into development activities, programs, policies, etc. Environmental impact assessment and other environmental management tools facilitates the industrial principles of sustainable development approach in all aspects.



Proclamation 599-2007 was primarily to making environmental impact assessment (EIA) mandatory for a category of projects specified under administrative law. It is the authority whether such projects be open to public or private. The proclamation is a preventive tool and a backbone for monitoring and legislating environmental, economic, cultural, and social consequences. It is a decision-making process in a manner that promotes sustainable development.

The authority issued several categories regarding categories of projects to environmental impact assessment. The proclamation describes a policy strategy, program, laws, or an international agreement as a public instrument and directs the authority to issue guidelines affirmatively identifying certain categories of the public instrument as likely to have significant environmental impact.

The problem to be resolved, among others:

- Specified categories of projects to be subjected to EIA and receive an authorization from the authority (mainly from Environment, Forest and Climate Change Council) prior to the commencement of any activities prior to commencing implementation of the project.
- Licensing agencies to ensure that the requisite conditions are met before they permit prior to issuing an authorization permit, a license, or operation license for a work permit to a specified project.
- The authority or the relevant regional environmental agencies may exempt from environmental impact assessment projects with insignificant environmental impact.
- The relevant agency may suspend or cancel the license that has already been issued when the environmental authorization.

The duties of the agencies described in the proclamation must undertake a due diligence environmental impact assessment, identify the likely adverse impacts, incorporate the means of their prevention and mitigate the environmental impact study report completed by the assessing documents to the authority or the relevant regional environmental agency must submit an environmental impact study report to the authority or the relevant regional environmental agency for review. The proclamation also directs the authorities and the relevant regional environmental agencies on how to deal with an environmental impact assessment report they receive. Thus, in evaluating the report by taking into account any public comment and expert opinion, the authority or the relevant regional environmental agency must do one of the following:

- Approve the project without condition and issue authorization if satisfied that the project may not cause any significant project-related environmental impacts.
- Approve the project and issue authorization with conditions that must be met in order to reduce or avoid impact to insignificant impacts or that have no relationship to project if the negative impacts can be satisfactorily avoided.

#### 2.11.2 Environmental pollution control proclamation No 300/2012

Proclamation No 300/2012 on Environmental Pollution Control primarily aims to ensure the right of citizens to a healthy environment and to impose obligations to protect the environment of the country. The proclamation is based on the principle that each citizen has the right to access a healthy environment on equal and the obligation to protect the environment. The main goal is to protect the environment, the management of hazardous waste, municipal waste, the establishment of environmental quality standards for air, water, and soil and monitoring of pollution. The proclamation also addresses noise

and vibration as so-called noise and air pollution and it seeks to reduce pollution levels by providing the transportation alternative ways level, taking into account the settlement patterns.

In general, the Environmental protection basis from which the relevant authority in all countries applicable to EU applies can be considered, while sanctioning violation of laws should be as minimum by punishable offences. Furthermore, the competent authority (the current Ministry of Environment, Forest and Climate Change) under the Regional Environmental Authority to assign environmental inspectors with the following responsibilities of controlling environmental pollution. In order to ensure implementation of environmental standards and related requirements, instances belonging to the authority (the current Environment, Forest and Climate Change Commission) or the relevant regional environmental agency are empowered by the European to enter, occupy, be restricted or bound using any land or premises at any time of the day. Such wide powers, emanating from the precautionary, are given to environmental inspectors to ensure that their intention is protected or determined from pollution to safeguard and promote the wellbeing of human health as well as to maintain the high and the aesthetic value of nature.

#### 2.11.3. **Alban National Regional State (NRA) Regulation № 09/2012**

According to the regulation (NRA regulation № 09/2012), the review shall be conducted prior to initiation of any project or strategic action that requires environmental assessment without environmental clearance from the Authority or the relevant Regional Environmental Agency. However, when the Authority or the relevant Regional Environmental Agency believes that the possible impacts of the proposed socio-economic development initiatives are insignificant, it may decide not to require the concerned project to conduct an environmental assessment.

The regulation also expresses that the financial institution local or international (Foreign) has the role in a State region that approve or allow bodies or projects to have land or investment incentive shall, prior to granting the loan or credit, including the budget or providing or issuing the land or incentive for any state or private development initiative that requires an environmental assessment, ensure that the Authority or the relevant Regional Environmental Agency has structured its implementation. In addition, it declares that the financing authority appointed and any other body or institution involved in operating license or review the authority shall comply with the authority with respect to the proposed action for which an environmental assessment may be required unless the application for a license or review is successful. It provides the financial clearance or approval and review of performance by the appropriate environmental agency.

#### 2.11.4. **EU's Specific EIA Implementation Guidelines**

EU's environmental implementation guideline was developed by the National Regulatory Unit in 2020. The purpose of the guideline is to integrate risk management, environmental justice, Environmental and Social Impact Assessment and digital for projects that (1) are Environmental Priority in different and the local Administration Department, which of government sector, practitioners as well as the developer or partners in the region to provide the necessary guidance on how to fulfill the requirements set by the national and EU's EIA procedures while managing investment development proposals. The Guideline is also intended to provide guidance in the region with the EIA process, including competent authorities, financing institutions and the public at large. The guideline is developed to serve as a key instrument in the decision-making process for various authorities by providing users (applicant, financial, governmental and social) with a clear and concise information on the various with the anticipation of the future environmental change aspects including other national level

impacts. This guidance is useful guidance for identifying impacts and designing mitigation measures and monitoring requirements for both the projects to be implemented in the region and also for deciding if project guidance on how to explicitly integrate risk reduction, climate change adaptation, and mitigation ecosystem management and restoration into the development plans and projects.

#### 2.11.5 Rural Land-use Proclamation

According to the Constitution of the FDRE (1994), all land in Ethiopia is owned by the people. This indicates that land can only be leased rather than bought and sold. In July 2006, the Government of Ethiopia has issued a new proclamation entitled, "Proclamation on provision for the temporary use of land for public purposes and agricultural investment" (proclamation No. 456/2005 and Proclamation No. 466/2005 which is Federal Proclamation on Land Administration and Use Administration No. 456/2005 also declares that the government shall lease for some of rural lands may change communal holdings to private holdings as may be necessary. The federal and regional governments have a key role to play in managing the land investment process.

The Constitution also guarantees to people whose livelihoods are affected by pastoralists. Berhane has the right to decide as well as the protection against expropriation from their possession (Article 40.5) Article 40.8, also states that "where priority may be considered for public use subject to payment in advance of expropriation commensurate to the value of the property".

#### 2.11.6 ANRS Rural Land Use and Administration regulation No.04/2011

The Rural Land Use and Administration regulation No.04/2011 states the rights and duties of the people protection of the land and identified natural resources in the region through implementing a system of land administration in order to contribute to the improvement of the life of the people of the region. The right to ownership of the rural land is vested in the state and the people, and the particular local agricultural parameters in the region have the right to obtain land that of change and the protection against expropriation from their possession. Similarly, pastoralists in the region have the right to free range for grazing and cultivation as well as the right not to be displaced from their own lands.

The regulation has vested the pastoralists the right to equal use right on communal holding, which includes the right to equal distribution of grazing water, food items, forestry resources, and any other products from the communal holdings.

ANRS Rural Land Use and Administration Regulation No.04/2011 article 5 (4) states that the regional state shall provide appropriate supports for implementation of traditional practices in order to help to ensure conservation and people on all natural resource degradation and utilize forest regeneration sustainable utilization of the traditional on communal holdings available grazing or other uses.

# Chapter Three – Methodology and Approaches of the Assessment

## 3. General Methodology and approach

The paradigm of the research is anticipatory and inclusive in a way that the research process is influenced fully on numerous studies. The research is led and coordinated by experts of delivering a good social and environmental impact assessment, following the methodology of the EIA standard of the ERM system and has identified gaps and capacity needs of the gap to set a system, including stakeholders involved. In the process of the assessment, the EIA report, the participatory approach, was deployed, including the participatory process, participatory data comprehensive information and data from different samples and studies. The qualitative research methodology was deployed to gather information, experience, and data from the government and partner organizations, local administration, program objectives, and existing studies by using a participatory approach.

The data was collected from primary and secondary sources. The primary data collection was conducted through key informant interviews with the Regional Bureau of Livestock, Agriculture and Natural Resource Development (RAL & NR) and Environmental Protection and Rural Land Use Administration (EPRLUA) as well as their offices, Woreda and Kebele levels, focus group discussions with the local community representative, Woreda and Kebele Administrations, as well as via observation of the physical environment and socio-economic dynamism in the region.

The primary data was collected by using appropriate data collection tools and techniques developed by the consultant in a way that the data has been triangulated and compared with the data from the secondary sources. It also laid emphasis on qualitative data that is directly observed in a direct, visible, or particular business.

The consulting firm leads and coordinated the process by developing a clear framework of implementation and processes to conduct an Assessment of Issues of social context & identification of qualitative and quantitative methodologies will be employed with a focus on qualitative approach based on the existing secondary data and primary information collected from the key stakeholders through key informant interviews.

Data was collected from both primary and secondary sources. The primary data collection was primarily focusing also on the validation of the generated outcomes through interviews and focus group discussions with key stakeholders.

### 3.1 Data Collection Techniques and Tools

The gaps and needs assessment was based on two sources of data namely, primary and secondary. Combinations of quantitative and qualitative research approaches were employed to have an in-depth understanding of the issues at hand. First and foremost, the primary data was collected from both local community and government sector in the targeted region. The data collection method used desk review, qualitative survey, Key Informant Interview (KI), Focus Group Discussion (FGD), and Observation (in which, participatory, FGD, KI, FGD Guiding questions and Checklist are

identified. Specific case studies will be developed by issues around in detail within each targeted area and targeted organizations through interviews.

Another key aspect of the package environmental impact assessment is the measurement of changes the intervention is vital in the targeted beneficiaries by applying the most rigorous impact assessment project methods (having been identified). Through our firm will develop a full-scale and comprehensive impact assessment methodology including questionnaire and surveys at different levels. Additionally, relevant secondary data in relation to the subject at hand from diverse sources will also be collected, examined, and analyzed.

### 3.2 Desk review

The consultant conducted a review of basic literature, government documents published and unpublished research papers related to the assignment. The documents reviewed include Constitution of the Government of Ethiopia, Constitution of Afar Regional State, Environmental Policy of Ethiopia, Agriculture policy, Environmental and Social Safeguards Framework, Strategic Environmental Assessment Guidelines, State responsibility policies, Agriculture policy, Industrial Development Policy, and Strategic Market Efficiency and Integration Policy, Financial Access Policy, Livestock Rearing, Wildlife Conservation Strategy and process policy, and all Inter-organizational standards of Environment, Public Health, National and Regional FFA Guidelines, Labor Policy, National HIV/AIDS Strategy, private sector investment plans, Gender Policy, GTP I and GTP II strategy, DRR Policy and Strategy, National Adaptation Plan of Ethiopia (NAP-Ethiopia), and Afar National Regional State adaptation plan, and any other relevant legislations (if any) that may be deemed important to the assignment.

### 3.3 Key informant interviews

The consultant conducted key informant interviews with experts from Afar National Regional State government staff (DRRM director and Region Bureau of Livestock, Agriculture and Natural Resource Development (DOLARN); and Environmental Protection and Rural Development Administration (EPRI (FA) as well as other offices at Afar state and Federal levels, other experts (see above) and information. Thus, the information was collected using purposive sampling techniques and based on the interview questions developed by the consultant for the purpose; relevant government institutions, non-governmental organizations, and private agencies in the area. The data collected and analyzed primary information that will be derived from the interview (interviewees) on their existing policies, strategies, proclamations and other key practices, as well as how these policies and strategies are impacting the livelihoods of the pastoral community. Post-hoc analysis of climate change adaptation options will be conducted to identify the legal and policy frameworks that hinder the effective implementation of the DRRM strategy.

### 3.4 Focus group discussion

Large and small focus group discussions with different categories of stakeholders were conducted at the district and regional levels. The discussions were conducted with different social groups (elderly, women, and youth) in appropriate places in order to make the discussion with all of them without any restriction. The discussions were facilitated in the local languages so that the participants can fully reflect their feelings and opinions. The facilitator was hired from the region who has similar past experience in

Recovering smaller events and activities stands the local language, culture, and norms. The size of one group was on average 12 participants.

### 3.5 Sampling and sample size

The recruitment, when time and resources are well aware that sample size is decisive for the quantitative description method, which was established either by using statistics for cluster sampling designs. We expect that the margin of error in a sample size still depends on the assignment of subjects and the intended degree of accuracy and representativeness. For this specific case, general guidelines apply to a statistical sampling method. From 2-3 focus groups was selected from relevant sources and selected as for the key informant in sites. In this case, the purposive sampling method will be used. This was because the direct factors and organizations were selected by the community for the focus groups and selected for the focus groups and organized to be conducted by the local informant with a clear focus on defining important information, which is essential to the development of the focus group discussion. In the focus group, the community-based organization will be used they were given a list of questions to discuss in a group. The focus group findings and important information from each group will be reported. A list of focus group questions is essential to be done 12 participants, as a guide for the focus group discussion.

### 3.6 Data processing, analysis, and quality Management

Exploratory, descriptive, analysis, and a limited number of data analysis were employed. The data collected. The data was collected from the survey through both quantitative and qualitative questionnaires. In this case, questionnaires were helpful in maximizing the amount of information from the research sources, concentrated and analyzed by the local software technology, such as Statistical Package for the Social Science (SPSS) and SAS to produce simplified outputs from the assessment impacts and transfer policy recommendations. The data was collected from secondary sources were carefully analyzed through a thematic approach, especially for the qualitative part of the report, and used to supplement the survey, FGDs, and the key informant interviews.

Regarding the data collection management, the team leader was selected based on the experiences and academic merits and managed the overall data collection process and built the theoretical framework of the social and assessment of impact assessment, particularly on the view of implementing responses to good, white, pink, and well-being pillars impacts.

Key informant interviews were applied to collect primary data through focus group discussion surveys were conducted in a local village. Sources of data, occurrence of change, occurrence of legal condition status. In the project such as review of documents, review of technical process, and review of some relevant documents and advisory reports and workshop reports. The national laws, regulations, and ministerial or local government of issues of national Land Governance will be reviewed.

Thus, an intermethod triangulation technique was deployed in situations in which two or more methods of different methodological origin and/or nature were employed to increase validity and rigor. The triangulation technique was intended to offer a cross-sectional view of the issue in question and improve the quality of the findings.

Finally, data collected through an interview, focus group discussion and questionnaire, which are aligned the objectives and the overall purpose of the assessment. The relevant findings have been drawn, conclusions and recommendations were stated.

## Chapter Four – Analysis of Assessment Findings and Discussions

### Findings and Discussions

#### 4. Analysis of Assessment Findings and Discussions

##### 4.1 Awareness of the Existing Environmental Policy and Legal Framework

The assessment's core objective is to identify how far the national government sector aware of the existing environmental policy and legal framework (to be understood and considered in any development initiative). The interview was conducted with 30 stakeholders in regional and woreda levels. According to the responses of the government sector, 80% and 60% of them have medium awareness of environmental policy and Environmental Impact Assessment procedures, respectively. In a similar fashion, 60% of the respondents have a high level of awareness of the Climate Resilient Green Economy Strategy (CRGE) and Regional Adaptation Plan (RAP) (Figure 4). This indicates that the CRGE strategy and Regional adaptation plan are well realized with the sector at the regional and woreda levels. However, on the local level, the other government departments and legal frameworks, which have some importance in ensuring sustainable development, as well as environmental sustainability are unfamiliar with the government sectors.



Figure 4: Awareness of the existing environmental framework

In general, when we consider the respondents' responses, the majority of respondents about the policy and legal framework (60% of the respondents have awareness of the policy and legal framework to some extent. As indicated in the Figure 4), in terms of the level of the awareness of the government sectors on the Environmental Policy and Legal framework, 10.0% have no awareness at all, 20.0% have low awareness, 60.0% have medium awareness and 10.0% have a high awareness of the policy and legal framework.

In this regard, awareness raising activities must be implemented through the level of awareness of the regional and woreda level government sectors as well as the stakeholders in general to ensure that better managing the environmental issues and economic development.



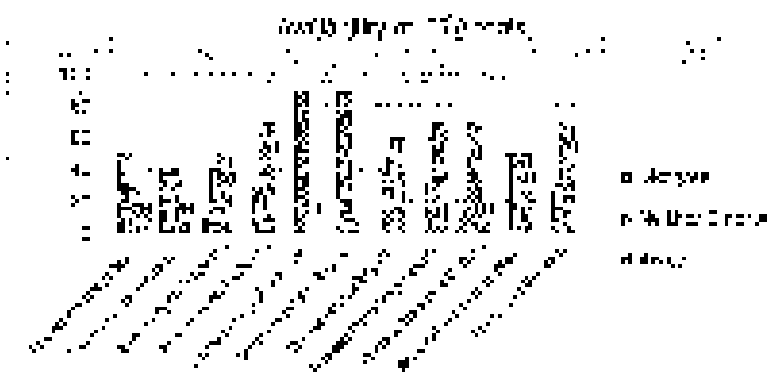
Figure 4. Availability of the Assessment Tools

#### 4.3 Availability of Environmental and Social Impact assessment tools

Availability of the environmental and social impact assessment tools is very vital in determining awareness, executing EIA, and decision-making processes of the projects. This was examined and Social Impact Assessment tools were compared with national policies such as the national EIA proclamation, environmental pollution control proclamation, EIA guideline and directive as well as the regional proclamations, regulations, and guidelines relating to the environment. The assessment was carried out to figure out the availability of these policy tools at the regional and ward levels, so that the government relevant sectors and officials were interviewed.

According to the responses of the interviewed experts and government officials of Afar National Regional State, environmental impact assessment guidelines, and a social impact assessment directives, and regional rural land use and administration are available. However, as indicated in figure (3) there are some ERIA tools missing at the regional and ward levels that support the environmental impact assessment process of the projects.

According to the assessment finding, environmental impact assessment guidelines, disaster risk management, rural land use, and planning, urbanization and regional development plan, a guideline, environmental policy, environmental strategy, and a social impact assessment proclamation, environmental pollution control proclamation, Environmental and Social Screening guidelines and conditions, issued in sectors at the regional and ward levels. Hence, the availability of these policy documents at the regional and ward levels in the government sectors is very important as they are used as reference and guidance in undertaking any development initiatives.





### 1.3 Pastoralist context policies, strategies, proclamations, regulations, and directives

Ethiopia's pastoralist community consists of about 10 million people and occupies 61% of the land (and 68% of the total population). The contribution of pastoralism to national Gross Domestic Product (GDP) is estimated to be 46-50% (Giday Chuma 2018; Berhane, 2008<sup>2</sup>). However, despite the contribution and expectations of pastoral livelihood systems, pastoralists have suffered from marginalization (economic, social, and political) and exclusion from policy and decision-making processes.

The assessment tried to identify whether the policy and legal frameworks consider the pastoralist matters (livelihood, culture, and environment). Existing policies and strategies at the mandate of the federal government, the regional governments' proclamations and directives are derived from the federal government policy and strategy.

The responses illustrated that the land use proclamations of the regional governments<sup>3</sup> in the last six or seven years of the federal policy and strategy are mainly concentrated on issues like forest, development, policies have focused more on water improvement and livestock health facilities and less on water for human and rangeland management. The impact on rangeland pastoralism and its broader natural resources sector is not taken into account for a holistic co-existence of pastoralism and the environment. However, recently some strategies are being made in different states that policy frameworks consider the pastoralism systems.

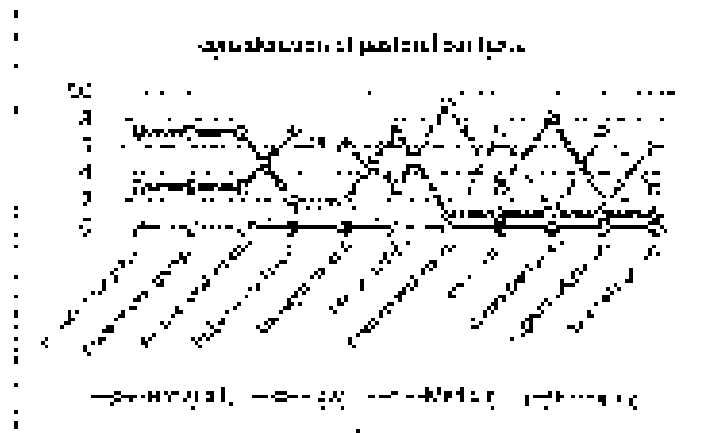


Figure 2. Equations of policy framework considered Pastoral context

The study figure (a) depicts that the existing policy, strategy and regulatory proclamation, highly considered the pastoral community context. The regional Environmental Impact Assessment Guide line and directive, Climate Resilient Green economy strategy fairly recognized the pastoral livelihood interests.

The respondents described that most of the existing environmental legal frameworks are a direct copy of the federal frameworks or with a slight modification or it, which can not sufficiently recognize

<sup>2</sup> <http://www.ethiopianpastoralists.org/ethiopian-pastoralists-2014-report/>

<sup>3</sup> <http://www.ethiopianpastoralists.org/ethiopian-pastoralists-2014-report/>

an indispensable part of the national economy and political development system. Due to this, most of the policy frameworks are not in a position to adequately anticipate the impacts or potentials on the national community and environment.

The opinion of the three respondents recommended that the regional government should design and develop particular centralized governmental, directives, and guidelines, otherwise it is impossible to have a centralized environmental legal framework across the country. Besides, the respondents expressed their concern to realize that there are no efforts to improve the situation. According to the respondents, recent efforts are underway to restructure the existing environmental legal framework in the AFD region context. To mention some the IIA guideline and IIRMS policy and strategy of the Afdar region is recently completed.

#### 4.4 IIRMS Process

An environmental and social impact assessment (ESIA) is a process of identifying the consequences of proposed actions to ensure that environmental implications are duly considered in decision making<sup>1</sup>. By providing information on the consequences, environmental impact assessment facilitates informed decision making based on social, environmental and economic risk management considerations. The aim of ESIA is to identify any negative and social impacts that would result in harm to local people and their environment. Hence, the development initiatives will go through ESIA process<sup>2</sup> needed to protect the stakeholders' development, environmental, and social components.

The environmental and social impact assessment (ESIA) is conducted by a multidisciplinary team and multi-stakeholders to ensure that environmental considerations are included in decisions regarding projects that may impact development. An ESIA is recognized as a tool that promotes sustainable development through the identification of impacts arising from major activities, including policy, plans, programs, and/or projects having likely significant environmental impacts.

The government under respondents' efforts were raised as the development projects to fill and pass through ESIA processes. If the respondents have explained that some projects pass through the ESIA process depends on their nature and types.

#### 4.4.1 Environmental Screening

Environmental Screening is a systematic assessment and identification of the potential environmental and socio-economic impacts of a proposed project<sup>3</sup>. Environmental Screening involves determining whether an ESIA study is required for a particular development activity, which depends on the significance of the project's potential positive and/or negative impacts.

The response of the respondents screening is done by the project developers using a set of criteria and standards determined by the AFRA stream. The environmental screening tools used for the screening of project activities are with the ESIA guidelines and criteria, which consist of the lists of scheduled and prohibited activities. However, the availability and accessibility of the screening tools are limited at the local level to be used by the projects and all subjects while developing the ESIA documents.

The finding of the research shows that the respondents are not aware of the availability and accessibility of the screening tools. As illustrated in figure (5), 83% of them reported that the difficulty in accessing the availability and accessibility of the tools. The respondents believe that the projects should pass through a thorough multi-stakeholders screening processes before their implementation but the reality on the ground is

<sup>1</sup> [www.eia.chad.gov](http://www.eia.chad.gov) for the procedure of environmental assessment in Chad (http://pdf)

<sup>2</sup> [www.afra.gov](http://www.afra.gov) and [www.afra.gov](http://www.afra.gov) 2010, page 10, 2020

not only time, reports less thoroughly, provides better quality government projects and not subject of

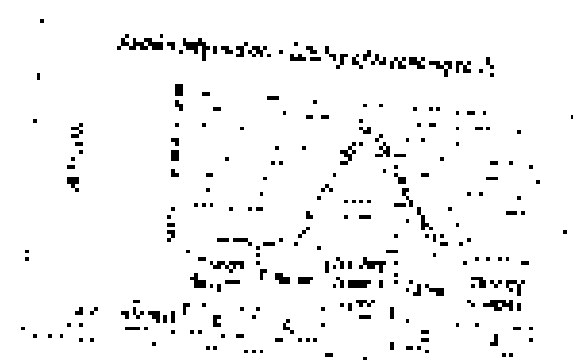


Figure 1: Community support and government approval

### 1.4.2 Public consultation

According to the EIA Act, Article 103, citizens have the right to full consultation and expression of their views on the implementation of environmental policies and projects for public utility. The law also requires local government to do project site selection, design and planning processes as well as the review and assessment decision-making processes. It also states the responsibility of the project. The respondents replied that public consultation is required as part of the EIA process depending on the sensitivity of the site location, type and scale of the project, the technology used, multiple land use considerations.

The national government and various experts and officials were asked whether the local government and stakeholders were consulted before the implementation of projects in their locality. As indicated in Figure (5), 60% of the respondents indicated that the public and the stakeholders are sometimes consulted depending on the nature of projects intended to be implemented in their locality, whereas 40% of the respondents indicated that the public is always consulted before the implementation of the project.

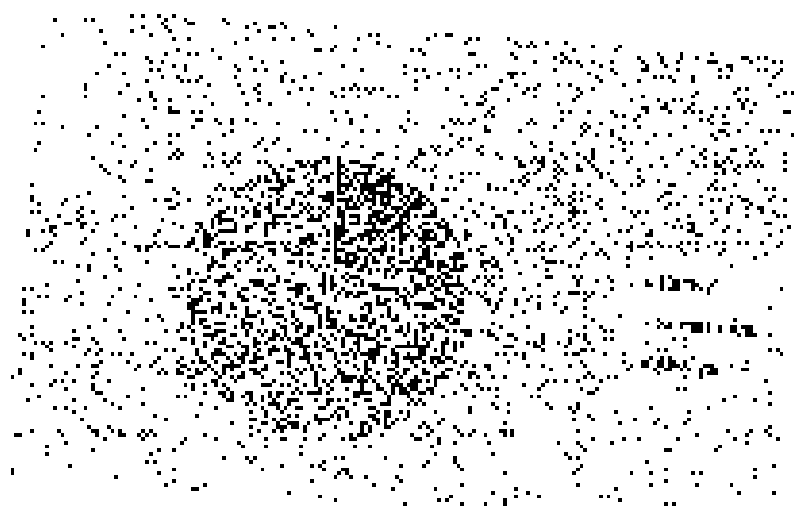


Figure 5: Public participation in local government

The finding showed that workers and voluntary groups participate in the processes of project, but developing a strategic relationship is a challenge. It is also noted that the project fits with their interest and addresses their problems, but ensure the sustainability of the projects.

In this regard, community representatives (elderly, women, and the youth groups) were asked if they were consulted and have any consent of the ongoing investment projects in their locality. The community groups responded that none of them were consulted for their consent and interests. Some people, especially conductors of community consultation, believe the implementation of their projects, according to the responses of the community while EIA, the participation of the women and youths in consultation about the projects and decision-making processes of the development projects is very limited.

#### 4.4.3 EIA Approval and Decision-making process

Decision making and approval of the EIA report is a process that culminates in a final decision as to whether an investment proposal should be accepted or not and determines the applicable conditions. It involves choosing between alternative courses of action, weighing the benefits and costs, and making tradeoffs among a range of considerations.

After the EIA report is thoroughly reviewed by the technical team of municipalities, then it is submitted to the municipal council of project area agency for decision and approval. It is explained that the review process is undertaken by the multidisciplinary team. The responsible institution for the decision-making process of the EIA of projects in the Afar National Regional State is the Environmental Protection and Rural Land Use and Land Administration Bureau.

The EIAITC (Human Resource) responsible to train municipal officials on the EIA Awards manual will fill the procedural and technical guidelines required for the purpose; for the public, especially affected communities, be given the meanings, opportunity in the EIA process; that means, competence, and qualification criteria in relation to doing the assessment, testing, drafting and final stages of decision-making.

As far as the roles and responsibilities of the government sector are concerned, Trade and Industry Bureau is leading single institution as it is most important sector that is engaged in the

#### Table 1: Roles and Responsibilities of Institutions and Stakeholders in EIA Process

1. EIAITC	Human Resource	Responsible to train municipal officials on the EIA Awards manual
2. EIAITC	Technical	Responsible to fill the procedural and technical guidelines required for the purpose
3. EIAITC	Public	Responsible to give the meanings, opportunity in the EIA process
4. EIAITC	Competence	Responsible to ensure that municipal officials have the necessary competence
5. EIAITC	Qualification	Responsible to ensure that municipal officials have the necessary qualification
6. EIAITC	Criteria	Responsible to ensure that municipal officials have the necessary criteria
7. EIAITC	Assessment	Responsible to ensure that municipal officials have the necessary assessment
8. EIAITC	Testing	Responsible to ensure that municipal officials have the necessary testing
9. EIAITC	Drafting	Responsible to ensure that municipal officials have the necessary drafting
10. EIAITC	Final	Responsible to ensure that municipal officials have the necessary final

As indicated in table (1), Environment and Land Use and Administration Bureau are responsible for the review and approval of EIA reports. Besides, the investment commission and its the responsibility of reviewing investment licenses and approval of EIA reports.

#### 4.5 Human resource capacities

The assessment is done on identifying the existing human resource capacities of the state that are involved in the EIA process. The assessment, with respect to the human resource capacity shows that the government is not consisting of adequate number of staff to effectively execute the EIA process at different levels in the region. Although the number of staff's working in the state is one of the sectors

... have made, not sufficient to effectively control a market oriented on their comparative sectors. The study has identified that all the sectors have insufficient human resources so that unable to effectively manage their responsibilities.

The report also has expressed that the estimated from the limited budget of the region is not sufficient to buy the necessary and/or other resources available for the region of educationally trained personnel. Thus, the working force will be at the lowest level under the circumstances. It requires additional human resources.

Table 2: Human Resources of Sector assigned to ESIA Process

Sl. No.	Sector	Technical	Administrative	Total
1	Environment	1	1	2
2	Water	1	1	2
3	Air Quality	1	1	2
4	Land Use	1	1	2
5	Soil	1	1	2
6	Other	1	1	2

The report also examines the existing human resource capability in terms of the relevance of their scientific background in these sectors. The findings then state that only 20% of the staff are assigned to their field of profession, only 50% of the staff have been assigned to important positions.



Figure 2: Technical Resources Available in Sectors

#### 4.6 Technical Capacity of the Competent Authority

The Competent Authority is required to provide a process as well as guiding the whole processes of the ESIA under National Regulation Stage (NRS) in the Environmental Protection Act (Kajallego) and Environmental Protection Act (ESIA) 1996. The study report tried to identify the existing capacities of the competent authority, the Environmental Protection Act (ESIA) and the ESIA Act. The study also tried to identify whether the ESIA process under the technical capacities in the ESIA reports and officials' guide the ESIA processes in the region. In this regard, the study found that the capacity of the ESIA team is low at the regional and national levels. However, the assessment report is that the capacity of the regional level is medium. The study report also identified the ESIA reports submitted to the national level (Figure 2).

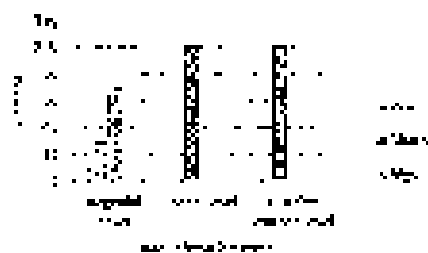


Figure 9. Number of respondents by level of EIA implementation

#### 4.7 Challenges for the Applicability of the EIA in the Region

To address the main mandate and work of part of the investment and development projects, it emphasizes the importance of environmental protection in EIA implementation in order of the projects to enhance the positive impacts and minimize the adverse impacts. To successfully implement the EIA process, the Government of Ethiopia is issued the EIA proclamation (2007/2010) and EIA guideline, identifying regional status as also appropriate to be issued in regard to environmental issues. Due to the responses from EFFORD, the AFRIS EIA and EIA proclamation (2007/2010) issued in 2016 and the EIA implementation guideline was developed at the regional level in 2020. The regional sectors are expected to refer and use the national EIA proclamation, 2007/2010, regional EIA proclamation (2020/2) and EIA implementation guideline as well as the federal guideline and standards for the screening, scoring, and approval of investment and project proposals intended to be executed in the region.

However, there are some challenges in applying the EIA principles and procedures to the projects being implemented in the region. The respondents prioritized the major challenges as indicated in figure 10.

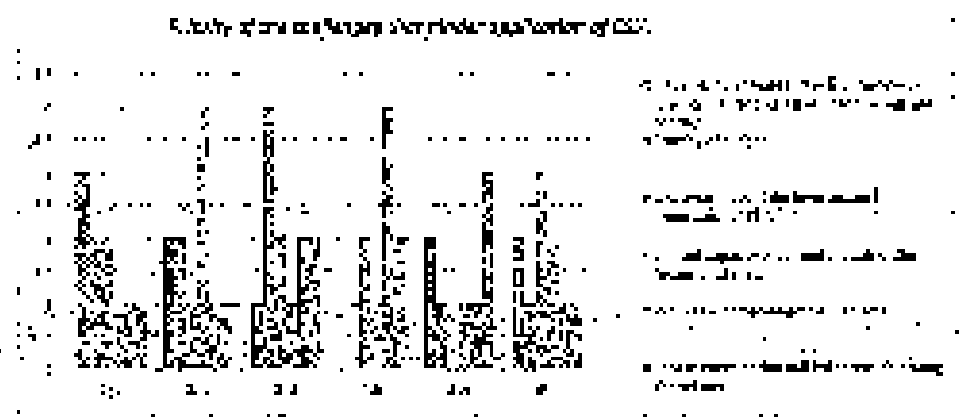


Figure 10. Priority of the challenges that hinder application of EIA

The main challenges that hinder the application of the EIA principles and procedures are listed below as prioritized by the respondents.

1. Unavailability of environmental policy and legal framework of governments' made that EIA be regional issues.

2. Strategy of the budget to effectively apply and exercise ESIAs principles and procedures on the projects
3. Lack of awareness of the involved people who are stakeholders and the purpose of ESIAs
4. The limited capacity of the competent authority (the ECU Bureau / experts)
5. Weak law enforcement / free access
6. Lack of coordination and collaboration among the sectors in applying ESIAs principles and procedures

## 7. Chapter Five: Conclusion and Recommendations

### a. Conclusion

The overall objective of this assignment was to assess and identify the gaps and capacity needs of the government sectors in applying the EIA principles and procedures on projects being implemented in the region. In this respect, the gaps and capacity needs were assessed and identified in terms of understanding the environmental policy and legal framework, availability of the EIA tools, the existing human resources, technical, sensitive and relevant, and identifying of factors for attaining effective exercising of the EIA by all tiers of government on the projects being executed in the region.

In its quest for understanding and awareness of the government sectors about the environmental policy and the legislative works, most of the respondents replied that they have low awareness of the policy instruments and legal framework. The awareness of the local community including the government sectors and the proponents in applying the EIA principles and procedures is very low. The availability of the policy instruments and legal frameworks available to the respondents have been identified as very limited. However, majority of respondents do develop particular level of awareness and government contextualized policy and legal frameworks, including policy that fill the direct copies of the federal policies in their areas in that they fail to consider needs of the localities.

The existing human resources, training and the professional experience in the field were insufficient and irrelevant respectively. In this regard, the responsibilities of government sectors and the proponents involved in the projects have capacity limitations in undertaking EIA. Environmental screening, identification and assessment of impacts as well as monitoring and follow up of the stated mitigation measures for the anticipated adverse impacts on the environment and social components due to the projects.

Conducting public consultation while the design of the projects and selection of project sites are very instrumental for the sustainability of the projects. Besides, participation and involvement of the local community and stakeholders during planning, implementation, decision making, and monitoring of the projects were raised as the key factors for the projects.

However, despite the fact that the participation and involvement of the local community and the stakeholders in the projects' lifecycle is weak, the participation of the women and youths in consultation and decision making processes of their development projects are severely limited.

In this regard, the major bottle necks that have been affecting the application of the EIA principles are summarized as identified and prioritized. There are the lists of the major bottle necks identified and their respective severity of the EIA procedures in the region:

1. Inapplicability of environmental policy and legal framework (governmental level) to the regional context;
2. Lack of the budget to effectively apply and exercise EIA principle and procedures on the projects;
3. Low awareness of the investors' proponents and stakeholders on the importance of EIA;
4. The limited availability of the equipment and materials (BSCLU Durban, context);
5. Weak law enforcement, enforcement; and
6. Lack of coordination and collaboration among the sectors in applying EIA principles and procedures.



## b. Recommendations

According to the gaps and capacity needs identified as well as the identified and prioritized needs/challenges during the assessment, the following recommendations have been forwarded for action:

1. As the awareness of non-government sectors on the process and the stakeholders about the environmental policy and legal framework is limited, it is necessary to enhance awareness of the government workers, experts, the community, and all the stakeholders through well-organized capacity development trainings at all administrative levels giving priority for the relevant government workers/experts and government officials.
2. The unavailability of the environmental policy instruments has been one of the challenges in searching the EIA instruments. Hence, it needs to revise the relevant policy documents and to coordinate with them in order to effectively utilizing them.
  1. Lack of pastured contextualized policy instruments in the region were identified as the gaps. Therefore, the documents should be developed and revised in a way to consider the past/present/future of the region area.
  2. Limited capacity of the relevant government sectors to undertake the EIA processes, in order to address the capabilities of the experts, sufficient capacity building trainings should be provided which includes well as supporting the officials with materials such as computers.
  3. Increasing the coordination and collaboration among the sectors for the joint planning, monitoring, and evaluation of projects as well as sharing of information. Besides, it is expected to establish public hearing platforms at the local level that help to engage public sector institutions, the environmental NGOs and local stakeholders' participation in all the project stages.

## 6. References

400. 2023. Environmental Assessment guidelines
- UNEP, 2014. *Guide to the Integration of Climate Change Adaptation into the Environmental Impact Assessment (EIA) Process*
- World Bank, 2012. *World Bank Environmental Classification System (ECA) 2009*. September. *The Integration of Natural Hazards into the Environmental Impact Assessment (EIA) Process*. *World Bank*, Washington, DC, USA.
- UNEP, 2004. *Environmental Impact Assessment Methodology: A Practical Approach for the Assessment of Environmental Effects and Impacts (EIA/EA) Guidelines*. *Geneva*
- EIA, 2011. *Environmental Impact Assessment: A guide for the field practice*
- ESRP, 2013. *Environmental Impact Assessment of Projects*
- ESRP, 2013. *Environmental Impact Assessment Procedures. Vol. 1:2013-137*. *Baku, Azerbaijan*
- ESRP, 2013. *Environmental Impact Assessment Procedures. Vol. 2:2013-138*. *Baku, Azerbaijan*
- ESRP, 2013. *Environmental Impact Assessment. Volume 1:2013-138*. *Baku, Azerbaijan*
- ESRP, 2013. *Environmental Impact Assessment. Volume 2:2013-138*. *Baku, Azerbaijan*
- UNEP, 2011. *Handbook for Environmental Policy and Planning*. *Baku, Azerbaijan*
- UNEP, 2011. *Handbook for Environmental Policy and Planning, Volume 1: Integrated with Development*. *Baku, Azerbaijan*
- UNEP, 2011. *Handbook for Environmental Policy and Planning, Volume 2: Integrated with Development*. *Baku, Azerbaijan*
- UNEP, 2011. *Handbook for Environmental Policy and Planning, Volume 3: Integrated with Development*. *Baku, Azerbaijan*
- UNEP, 2011. *Handbook for Environmental Policy and Planning, Volume 4: Integrated with Development*. *Baku, Azerbaijan*
- UNEP, 2011. *Handbook for Environmental Policy and Planning, Volume 5: Integrated with Development*. *Baku, Azerbaijan*
- UNEP, 2011. *Handbook for Environmental Policy and Planning, Volume 6: Integrated with Development*. *Baku, Azerbaijan*
- UNEP, 2011. *Handbook for Environmental Policy and Planning, Volume 7: Integrated with Development*. *Baku, Azerbaijan*
- UNEP, 2011. *Handbook for Environmental Policy and Planning, Volume 8: Integrated with Development*. *Baku, Azerbaijan*
- UNEP, 2011. *Handbook for Environmental Policy and Planning, Volume 9: Integrated with Development*. *Baku, Azerbaijan*
- UNEP, 2011. *Handbook for Environmental Policy and Planning, Volume 10: Integrated with Development*. *Baku, Azerbaijan*
- UNEP, 2011. *Handbook for Environmental Policy and Planning, Volume 11: Integrated with Development*. *Baku, Azerbaijan*
- UNEP, 2011. *Handbook for Environmental Policy and Planning, Volume 12: Integrated with Development*. *Baku, Azerbaijan*
- UNEP, 2011. *Handbook for Environmental Policy and Planning, Volume 13: Integrated with Development*. *Baku, Azerbaijan*
- UNEP, 2011. *Handbook for Environmental Policy and Planning, Volume 14: Integrated with Development*. *Baku, Azerbaijan*
- UNEP, 2011. *Handbook for Environmental Policy and Planning, Volume 15: Integrated with Development*. *Baku, Azerbaijan*
- UNEP, 2011. *Handbook for Environmental Policy and Planning, Volume 16: Integrated with Development*. *Baku, Azerbaijan*
- UNEP, 2011. *Handbook for Environmental Policy and Planning, Volume 17: Integrated with Development*. *Baku, Azerbaijan*
- UNEP, 2011. *Handbook for Environmental Policy and Planning, Volume 18: Integrated with Development*. *Baku, Azerbaijan*
- UNEP, 2011. *Handbook for Environmental Policy and Planning, Volume 19: Integrated with Development*. *Baku, Azerbaijan*
- UNEP, 2011. *Handbook for Environmental Policy and Planning, Volume 20: Integrated with Development*. *Baku, Azerbaijan*

## 7. Annexes

### a. Key Informant Interview Questionnaire for the Government Sectors of the Region

#### Key Informant Interview Questions for Government Officials/Experts

The key informant interview questions are designed to identify the gaps and capacity needs of the Government (sectors of the region), central and municipal levels those who are involved in the environmental and Social Impact Assessment process. The interview questions are developed to collect information from the regional, central and local government officials and experts as well as from the GIZ project site professional/expert on gaps and capacity needs of the sectors in conducting Environmental and Social Impact Assessment of projects planned in the region.

Key Informant Name	_____	Full Name	_____
Region	_____		
City	_____	Date	_____
Workshop	_____	Started time	_____
Institution/Sector	_____		
Position/Designation	_____		

#### 1. Policy Documents

1. How well do you aware of the existing national policies and strategies? (It varies under your level of awareness.)

Policy/Strategy	Very Well	Low	Medium	High
Environmental Policy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Environmental Impact Assessment (EIA) Regulation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Environmental Impact Assessment Guideline	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Environmental Pollution Information	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Environmental and Social Legislation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
National Disaster Risk Management Policy and Strategy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Climate Resilience Green Economy Strategy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
National Adaptation Plan (NAP)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Regional Development Policy and Strategy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

2. Which of the following the government has issued at the regional level with the following? (tick in that apply)

Doc	Issued	Not Issued	Agree
1	Environmental Policy	<input type="checkbox"/>	<input type="checkbox"/>
2	Environmental Strategy	<input type="checkbox"/>	<input type="checkbox"/>
3	Environmental Impact Assessment Regulation	<input type="checkbox"/>	<input type="checkbox"/>

1	Environmental Impact Assessment Ordinance			
2	Environmental Impact Assessment Ordinance (EIA) Regulations			
3	Environmental Protection Ordinance			
4	Environmental Impact Assessment Ordinance (EIA) Regulations			
5	Disaster Risk Management Strategy			
6	Climate Resilience (Low Emission Scenario)			
7	Regional Adaptation Plan			
8	Regional Land Use and Administration Regulation			

3. Are there any other policies with the existing environmental legal frameworks?

Source of Similarity	Assessment Criteria	Similarity Degree

4. What other existing policy/legal frameworks have you used in deciding implementation of the project in the region?

-----  
 -----  
 -----

5. What criteria have you considered when selecting a site for project implementation? What is your justification?

-----  
 -----  
 -----

6. How far the existing environmental legal frameworks consider the particular community targeted?

No.	Legal Framework	Absent	Low	Medium	High
1	Environmental Policy				
2	Environmental Policy				
3	Environmental Impact Assessment Ordinance				
4	Environmental Impact Assessment Ordinance: Enforcement of the local safeguard				
5	Environmental Pollution Prevention				
6	Environmental Impact Assessment Ordinance				
7	Disaster Risk Management Strategy				
8	Climate Resilience (Low Emission Scenario)				
9	Regional Adaptation Plan				
10	Regional Land Use and Administration Regulation				

7. Which of the environmental legal frameworks have you been using for decision-making?

8. The existing environmental legal frameworks are forward looking, are they? (Yes/No)

No  Yes

9. Explain your reason for the above answer

10. Does a public participation regional level environmental and social impact assessment guidelines?

11. Does the Afar region have regional level environmental and social Safeguards guidelines? (Yes/No)

12. Decision making and approval

13. Which institution is responsible for the decision making and approval of projects to be implemented in the specific area in the region?

14. How do you decide on making a decision? Describe the process

15. Do local community members (civil society, women, youth, persons with disabilities) have a voice in community decision making processes?

No  Yes

16. Women and vulnerable groups actively participating in the development of project, your region share

No  Yes

17. Write the reasons you answer

iii. Equity and roles

18. What are the roles and responsibilities of the following sectors in the ESIA process? (Yes/No)

Civil society  Academia  Private sector  Government

2	EPLUA Bureau		
3	Investment commission		
4	Agriculture & pasture development		
5	Programs/project owner		
6	Consulting firm		

18. The main reasons in favor of the cases of consultants' involvement in the ESIAs process?

No.	Institution	Essence	Required
1	Costs and return		
2	EPLUA Bureau		
3	Investment commission		
4	Agriculture & pasture development		
5	Programs/project owner		
6	Consulting firm		

19. How do you judge the responses of the respondents regarding impact of "more trust"

Strongly involved	To a lesser	Neither	Relevant	Strongly relevant

20. Briefly explain your answer

21. What are the capabilities of respondents to conduct a ESIAs process and guide the process?

No.	Adm. Institution level	Level of expertise		
		Low	Medium	High
1	Regional level			
2	Zonal level			
3	District/county level			

22. What are your requirements to improve the quality of the ESIAs?

23. What are the capabilities of these impacts to identify the a) approval of the ESIAs process?

No.	Adm. Institution level	Level of expertise		
		Low	Medium	High
1	Regional level			
2	Zonal level			
3	District/county level			

24. Were the project's environmental impacts fully assessed?

iii. NEPA process

25. Do the project's plans through implementation of a rearing process between the implementation of

Strongly disagree  Disagree  Neither Agree or Disagree  Agree  Strongly Agree

26. What environmental screening tools have been used for the zoning of project activities?

27. Are the screening tools available and accessible to all users for use during the project?

Strongly disagree  Disagree  Neither Agree or Disagree  Agree  Strongly Agree

28. How often Environmental and social impact assessment is conducted in the region?

<input type="checkbox"/> Multi-disciplinary team	<input type="checkbox"/> Strongly disagree	<input type="checkbox"/> Disagree	<input type="checkbox"/> Neither Agree or Disagree	<input type="checkbox"/> Agree	<input type="checkbox"/> Strongly Agree
<input type="checkbox"/> Fragmented project owner	<input type="checkbox"/> Strongly disagree	<input type="checkbox"/> Disagree	<input type="checkbox"/> Neither Agree or Disagree	<input type="checkbox"/> Agree	<input type="checkbox"/> Strongly Agree
<input type="checkbox"/> Individual project	<input type="checkbox"/> Strongly disagree	<input type="checkbox"/> Disagree	<input type="checkbox"/> Neither Agree or Disagree	<input type="checkbox"/> Agree	<input type="checkbox"/> Strongly Agree
<input type="checkbox"/> Licensed Consultant	<input type="checkbox"/> Strongly disagree	<input type="checkbox"/> Disagree	<input type="checkbox"/> Neither Agree or Disagree	<input type="checkbox"/> Agree	<input type="checkbox"/> Strongly Agree
<input type="checkbox"/> Not known	<input type="checkbox"/> Strongly disagree	<input type="checkbox"/> Disagree	<input type="checkbox"/> Neither Agree or Disagree	<input type="checkbox"/> Agree	<input type="checkbox"/> Strongly Agree

29. How often the Environmental and social impact assessment report review is conducted?

<input type="checkbox"/> Multi-disciplinary team	<input type="checkbox"/> Strongly disagree	<input type="checkbox"/> Disagree	<input type="checkbox"/> Neither Agree or Disagree	<input type="checkbox"/> Agree	<input type="checkbox"/> Strongly Agree
<input type="checkbox"/> Fragmented project owner	<input type="checkbox"/> Strongly disagree	<input type="checkbox"/> Disagree	<input type="checkbox"/> Neither Agree or Disagree	<input type="checkbox"/> Agree	<input type="checkbox"/> Strongly Agree
<input type="checkbox"/> Individual project	<input type="checkbox"/> Strongly disagree	<input type="checkbox"/> Disagree	<input type="checkbox"/> Neither Agree or Disagree	<input type="checkbox"/> Agree	<input type="checkbox"/> Strongly Agree
<input type="checkbox"/> Licensed Consultant	<input type="checkbox"/> Strongly disagree	<input type="checkbox"/> Disagree	<input type="checkbox"/> Neither Agree or Disagree	<input type="checkbox"/> Agree	<input type="checkbox"/> Strongly Agree
<input type="checkbox"/> Not known	<input type="checkbox"/> Strongly disagree	<input type="checkbox"/> Disagree	<input type="checkbox"/> Neither Agree or Disagree	<input type="checkbox"/> Agree	<input type="checkbox"/> Strongly Agree

30. Do you think the report results?

31. Do the skills have changed on the project's life cycle period in the project?

Strongly disagree  Disagree  Neither Agree or Disagree  Agree  Strongly Agree

17. Are the projects monitored to confirm whether the stated mitigation actions and institutional arrangements are being implemented as planned, and if so, how are they implemented, according to?

Disagree  Neither/Don't know  Agree

18. Why? .....

19. What are the main conditions to improve project monitoring processes? .....

20. What are the challenges for the applicability of PSAs in the region? (rank them from 1 to 10, 1 = 1<sup>st</sup> and priority requirement, 10 = 10<sup>th</sup> or the least priority)

Challenges	Rank
Disagreement and lack of political framework through central ministry and Parliament	
Lack of budget	
Low awareness of the systems and the importance of PSA	
Limited Capacity of competent authorities (technical staff)	
Weak law enforcement mechanisms	
Lack of coordination and collaboration among ministries	

### b. Key Informant Interview Questionnaire for government sectors at Morona

#### Part II. Key Informant Interview Questionnaire for your GIZ Project that is covered PSMA

This key informant interview questionnaire is designed to generate the institutional and social impact assessment on one of the selected GIZ projects. This interview questionnaire will explore the existing institutional and the expected project impacts on the selected projects. The questionnaire will be distributed to the regional, regional, and provincial government officials and experts as well as from the GIZ project staff members who are involved in the project area of province and the region in general.

Key informant name	Facilitator name
Region	
Sex	DOB
Workplace	Started year
Institutional sector	
Position/Designation	

1. What are the institutional issues are existing in the project's areas?



1. What are the sensitive ecosystems that exist in the region?
  - \_\_\_\_\_
  - \_\_\_\_\_
  - \_\_\_\_\_
2. What are the protected areas and other features (including those of local significance), including the dominant floral and fauna, as well as the presence of any threatened species or species of unknown distribution, in the area?
  - \_\_\_\_\_
  - \_\_\_\_\_
  - \_\_\_\_\_
3. What are the national practices and policies and the national resources protection in the region?
  - \_\_\_\_\_
  - \_\_\_\_\_
  - \_\_\_\_\_
4. What natural resources, sites, buildings and other landmarks or features exist in the area?
  - \_\_\_\_\_
  - \_\_\_\_\_
  - \_\_\_\_\_
5. What are the major livelihoods of the local community? Please list them in their order.
  - \_\_\_\_\_
  - \_\_\_\_\_
  - \_\_\_\_\_
6. What major disasters frequently occur in the region? Please list them in their order of frequency.
  - \_\_\_\_\_
  - \_\_\_\_\_
  - \_\_\_\_\_
7. What are the rivers of the region?
  - \_\_\_\_\_
  - \_\_\_\_\_
  - \_\_\_\_\_
8. What is the area at risk because of these rivers?
  - \_\_\_\_\_
  - \_\_\_\_\_
  - \_\_\_\_\_

10. Who is the most at risk of a disaster strike? Any group within a community (e.g. farmers, women, elderly, illiterate people, people with disabilities) why?

11. How vulnerable is at least the livelihoods of the local community in this area?

12. How does climate change influence disaster risk?

13. What is going on in a local village and existing for the disaster?

14. What disaster risk reduction practices have been used? and in the past 10 years?

15. Does the women have a DRR profile and plans? how it was developed?

16. Do development projects minimize vulnerability to the DRR profile and plans while preparation of the plans?

Strongly disagree	Disagree	Neither/Neutral	Agree	Strongly agree
-------------------	----------	-----------------	-------	----------------

17. Are these development projects programs being implemented in this area other than this project (for piloting) through National (DRR) Program, etc? please list them if any.

18. What is the number of targeted beneficiaries in 2017 (age 17+)?

Male	Female	Total

19. How do you assess the project's potential to have a positive impact on the environment, its culture and social fabric, and of the people in the catchment region?

Insufficient	Insufficient	Very Significant
-----	-----	-----

20. If the adverse impact is significant and strongly significant, what mitigation measures do you suggest to reduce or avoid/minimize the adverse impacts?

-----

-----

-----

21. What are the expected major project impacts?

No.	Area	Positive Effect	Negative Effect	Mitigation measures
1	Natural resources Culture and socio Economic	+	-	
2				
3				
4				
5				

22. What is the overall feeling of the local community towards the project? Briefly explain the reason.

-----

-----

-----

### c. Focus Group Discussion Guiding Questions

#### Focus Group Discussion for Community Groups

These guiding questions are designed to conduct baseline social and cultural assessments on one of the selected CHZ project sites and the expected impacts of the project on the local people's lives. The guiding questions are intended to gather baseline information of the area from the local social groups, elders, women, and youths and also expected positive impacts on the village resources, the sustainability of culture and social norms.

The focus group discussion will be used to generate a baseline social and cultural profile of the perception and attitudes of the community.

Region			Facilitator's name		
Province			Date (dd/mm/yyyy)		
Woreda			Discussion schedule		
Sub-kebele			Discussion area		
Villages					
SN	Name of FGD Participants	Sex	Age	Occupation	Remark
1					
2					
3					
4					
5					
6					
7					
8					
9					
10					
11					
12					

**Guiding Questions for Focus Group Discussion**

1. What major natural disasters are existing in your locality?
2. What are the prevailing natural disasters in your village with frequency?
3. What is the most eventful and the most frequent disaster in your locality?
4. What are the major frequency of hazardous events in your locality? Please put in the order of their frequency.
5. If you are asked to describe the most severe disaster, what is the disaster, and what is the common trend of the hazards?
6. What are the causes of the hazard in (5)?
7. What are the coping mechanisms of the community to the hazard? What are the major frequency appearing hazards in your locality? Please put in the order of their frequency.
8. What are the trends of rainfall and snowfall in your locality for the last 10 years?
9. What are the adaptation mechanisms of the community to the hazard?

10. What are the local livelihoods of the community in your area?
11. Are there any projects going on in your locality? If yes, list the types of the projects.
12. How far the projects from environmental sensitive areas? Protected areas, cultural sites, wetlands.
13. What are the feelings of the local community towards the projects in your area?
14. Do you get any support from the friends of the local community? How?
15. Do the project has and impact on the of the project stakeholder organization present in your area?
16. Do the projects have impacts (negative or positive impact) on:
  - The environment and natural resources (provide further information using what, how, and why)
  - The livelihood of the local community (provide further information using what, how, and why)
  - Resources of the local community (provide further information using what, how, and why)
  - Culture, tradition, and norms of the local community (provide further information using what, how, and why)
17. What are the projects implemented in the area will the cooperation of the local community?
18. How and when is the participation of the local community in the projects? provide the information on the type of gender, age, occupation as well as the stage of the investment project during design, plan, and implementation.
19. What is your opinion and feeling towards the investment of projects going on in your locality?
20. What do you see in need improving and modifying the social equity of the investment when results in your area?



