



**The Federal Democratic Republic of Ethiopia
Ethiopia Forest Development
Oromia Environment Protection Authority**

**Oromia Forested Landscape Program –
Emission Reduction Project
(P151294)**

**Environmental and Social Management Framework
(ESMF)**

Updated

**August 2022
ADDIS ABABA**

List of Acronyms

A/R	Afforestation/Reforestation
AAA	Analytic and Advisory Services
AGP	Agricultural Growth Project
BioCF	Bio Carbon Fund
BoA	Bureau of Agriculture
BoFED	Bureau of Finance and Economic Development
BoWE	Bureau of Water and Energy
BSM	Benefit Sharing Mechanism
CBOs	Community Based Organizations
CC	Commune Centers
CDP	Commune Development Program
CRGE	Climate Resilient Green Economy
CSA	Central Statistics Authority
DAs	Development Agents
DD	Deforestation and forest Degradation
E & S	Environment and Social
EA	Environmental Assessment
EFD	Ethiopian Forest Development
EPA	Environmental Protection Authority
ER	Emission Reduction
ERPA	Emissions Reduction Purchase Agreement
ESCP	Environmental and Social Commitment Plan
ESF	Environmental and Social Framework
ESIA	Environmental and Social Impact Assessment
ESMF	Environmental and Social Management Framework
ESMP	Environmental and Social Management Plan
ESRM	Environmental and Social Risk Management
ESS	Environmental and Social Standards
EWCA	Ethiopia Wildlife Conservation Authority
FCPF	Forest Carbon Partnership Facility
FDRE	Federal Democratic Republic of Ethiopia
FEPA	Federal Environmental Protection Authority
FGD	Focus Group Discussion
FM	Financial Management
FRL	Forest Reference Level
GDP	Growth Domestic Product
GHG	Greenhouse gas
GoE	Government of Ethiopia
GRM	Grievance Redress Mechanism
GTP	Growth and Transformation Plan
ICS	Improved Cook Stoves
IFC	International Finance Corporation
ILUP	Integrated Land Use Plan
IPM	Integrated Pest Management
JICA	Japan International Cooperation Agency
LUPT	Land-use Planning Team
LMP	Labor Management Procedures
M & E	Monitoring and Evaluation
FEPA	Federal Environmental Protection Authority
MoA	Ministry of Agriculture
MoF	Ministry of Finance
MoI	Ministry of Industry
MoM	Ministry of Mines
MoTL	Ministry of Transport and Logistics
MoU	Memorandum of Understanding
MRV	Monitoring, Reporting and Verification
NGOs	Non-Governmental Organizations
ORS	Oromia Regional State

NTFPs	Non-Timber Forest Products
OEPA	Oromia Environment Protection Authority
OFLP	Oromia Forested Landscape Program
OFWE	Oromia Forest and Wildlife Enterprise
OP/BP	Operational Policy/Bank Procedure
ORCU	Oromia REDD+ Coordination Unit
ORSC	Oromia REDD+ Steering Committee
PA	Program Activities
PAD	Program Appraisal Document
PCR	Physical Cultural Resources
PF	Process Framework
PFM	Participatory Forest Management
PIM	Project Implementation Manual
PP	Procurement Plan
PSNP	Productive Safety Net Program
PY	Program Year
RAP	Resettlement Action Plan
REDD	Reducing Emissions from Deforestation and Forest Degradation
RPF	Resettlement Policy Framework
SA	Social Assessment
SDP	Social Development Plan
SEP	Stakeholder Engagement Plan
SESA	Strategic Environmental and Social Assessment
TA	Technical Assistance
TOR	Terms of Reference
TWG	Technical Working Group
UNCBD	United Nations Convention on Biological Diversity
UNCCD	United Nations Convention to Combat Desertification
UNFCCC	United Nations Framework Convention on Climate Change
WB	World Bank
WoA	Woreda Office Agriculture
WoEP	Woreda Office of Environment, Protection
WoWE	Woreda Office of Water and Energy
ZoEP	Zone office of Environment Protection

Table of Contents

List of Acronyms	ii
Executive Summary	viii
Chapter 1: Introduction.....	1
1.1 Overview of the Oromia Forested Landscape Program Emission Reduction Project (OFLP-ERP).....	1
1.2 Purpose and Objectives of the ESMF	2
1.3. Methods of the ESMF Updating	3
1.3.1 Review of Program Related Documents	3
1.3.2 Review of Relevant Policies, Laws and Proclamations, Environmental and Social Assessment Guidelines.....	3
1.3.3 Stakeholders and community consultations	3
1.3.4. Consultation Approaches.....	5
1.4. Organization of the Report.....	5
1.5. Disclosure of the ESMF	5
Chapter 2: Project Description	6
2.1. Project Components	6
2.2. OFLP-ERP Institutional and Implementation Arrangements	10
2.3. Project Activities Identification and Planning Process	13
2.4. Environmental and Social Baseline Conditions	14
2.4.1. Environmental Context and Baseline Conditions.....	14
2.4.2. Social Baseline Conditions.....	17
Chapter 3: Administrative, Policy and Regulatory Framework for Environmental and Social Management	22
3.1. The FDRE Constitution.....	22
3.2. The Second Growth and Transformation Plan (GTP-II) and Climate Resilient Green Economy Strategy (CRGE).....	22
3.3. Oromia Regional State Constitution.....	23
3.4. Environmental Policy of Ethiopia	23
3.5. Forest Development, Conservation and Utilization Policy and Strategy.....	23
3.6. Rural Development Policy and Strategies	23
3.7. Ethiopian Water Resources Management Policy (1999).....	24
3.8. Energy Policy	24
3.9. Biodiversity Conservation and Research Policy	24
3.10. National Biodiversity Strategy and Action Plan (2005)	24
3.11. Proclamations and Environmental Guidelines	25
3.11.1. Proclamations and Regulations	25
3.11.2. Environmental and social impact assessment guidelines.....	30
3.12. Relevant and applicable international conventions.....	31
3.12.1. Multilateral Environmental Conventions	31
3.11.2 Multilateral Social Conventions	32
3.13. World Bank's Environmental and Social Standards applicable to the -ERP	33
Chapter 4: Potential Environmental and Social Impacts and Mitigation Measures	40
4.1 Positive Environmental and Social Impacts	40
4.2 Potential Negative Environmental and Social Impacts and Mitigation Measures	42
Chapter 5: Stakeholder Consultation, Disclosure	57
5.1. Stakeholder consultation plan.....	57
5.1.1. Objectives and principles of consultations	57
5.2. Disclosure	58
5.3. Stakeholders and Community Consultations related to the proposed project.....	59

5.3.1. Introduction	59
5.3.2. Objective of the stakeholder consultation and community.....	59
5.3.3. Summary of findings from the stakeholders and community consultations.....	59
5.3.4. General level of awareness and understanding on Climate Change and OFLP-ERP	
60	
Chapter 6: Environmental and Social Management Process and Procedures	74
6.1. Sub-project screening Guiding principles.....	74
6.2. Screening Procedures.....	74
6.2.1. Step (i): Eligibility check (Guidance for the DAs)	75
6.2.2. Step (ii): Screening of ERP activities that require special attention and environmental and social concerns (Guidance for WoEPA).....	76
6.2.3. Step (iii): Notification of ERP activities of Environmental and Social Concern: Guidance for the Woreda Administrators (Council) and ORCU	78
6.2.4. Step (iv): Review of notified ERP activities: Guidance for the OEPA.....	78
6.2.5. Step (v): Conducting an ESIA: Guidance for the WoEPA	78
6.2.6. Step (vi): Reviewing the ESIA Report: Guidance for the OEPA	79
Chapter 8: Implementation, Supervision, Monitoring and reporting.....	87
8.1. Implementation and process monitoring	87
8.2. Results monitoring	89
Chapter 9: Capacity Building and Training.....	90
Chapter 10: Implementation cost of the ESMF.....	93
11.1. Environmental and Social Audit.....	94
11.2. Environmental and Social Due Diligence for Retroactive Carbon Accounting	94
Annexes.....	96
Annex 1: ERP activity eligibility checklist for DAs at the Kebele level (form 1)	96
Annex 2: Screening checklist for ERP activities needing special attention (form 2)- Guidance for WoEPA focal person.....	97
Annex 3: Screening checklist for ERP activities of environmental concern (form 3)- Guidance for WoEPA focal person.....	97
Annex 4: Suggested ESMP format for ERP activities/subprojects	100
I. Guideline for Integrated Pest Management Plan-Elements of an Integrated Pest Management (IPM) Plan.....	100
II. OFLP-ERP activities involving any form of involuntary resettlement	102
Annex 6: Suggested Terms of Reference for OFLP-ERP Activities Requiring an ESIA	103
Annex 7: Guiding Principles for the Consultation and Participation Process.....	106
Annex 8: Suggested Template for Environmental & Social Management Plan Compliance Monitoring.....	107
Annex 9: Sample Grievance and Resolution form	108
Annex 10: Gender-Based Violence (GBV) Risk Assessment and Prevention and Response Action Plan.....	109
Annex 10.1: Code of Conduct (CoC) for Contractors' SEA/SH prevention and Response	125
Annex 11: List of ESMF Stakeholder and Community Consultation Participants	128
Annex 12. Environmental and Social Due Diligence Guideline for Retroactive Carbon Accounting for OFLP-ERP (P151294)	152
ANNEX 13: CHANCE FIND PROCEDURES.....	155

List of Tables

Table 1: Summary of Roles and Responsibilities of Institutions involved in OFLP.....	22
Table 2: Summary of Forest Types in Oromia Regional State.....	30
Table 3: Environmental and social benefits.....	46
Table 4: Environmental and Social Risks and Mitigation Measures.....	53
Table 5: Checklist for sub-project eligibility screening at Keble level by DAs.....	64
Table 6: Screening program activities requiring special attention.....	65
Table 7: Checklist for screening program activities of environmental and social concern.....	65
Table 8: Checklist of potential impacts and level of adversity for sub-project screening.....	66
Table 9: Menu of proposed capacity building trainings and schedules.....	71
Table 10: Estimated budget for capacity building and safeguards due diligence.....	76

List of Figures

Figure 1: OFLP as a “Scale-up Engine”	8
Figure 2: OFLP Preparation and Implementation Timeline.....	9
Figure 3: OFLP Institutional Set-up: Accountability and Decision-making.....	28
Figure 4: Flow of the Environmental and Social Management Process.....	70

Executive Summary

REDD+¹ is part of a national strategy, referred to as Climate Resilient Green Economy (CRGE) strategy that aims at the main sectors of the economy to develop an environmentally sustainable and climate resilient economy, which aims to bring the country at middle income status with net zero emission by 2025. In line with this, Ethiopia Forest Development (EFD) is coordinating the forest management in the country. As part of the national REDD+ readiness process, the Oromia Regional State has been given priority and selected to implement the first pilot jurisdictional REDD+ program in the country, as it accounts most of Ethiopia's forest resources. Therefore, the Environmental and Social Management Framework (ESMF) for the Oromia Forested Landscape Program-Emission Reduction Project (OFLP-ERP) has been updated based on the relevant national and Oromia regional state environmental and social and institutional policies and legal frameworks, and the World Bank's Environmental and Social Framework.

OFLP-ERP has two components: Component 1. Purchase of Emission Reduction and distribution following the Benefit Sharing Plan and Component 2: Comprehensive Measurement, reporting and verification (MRV) system and program management including Safeguards Management system. The OFLP-ERP will be supported by a legal agreement of Emission Reductions Purchase Agreement (ERPA) of up to US\$15 million during a first phase based on the emission reduction credits (ERCs) generated by the forest sector. These funds will be channeled to GoE as a verified emission reduction payment. The payment will be available once the Project achieves, verifies, and reports on results regarding reduced emissions. The ER payments will be distributed according to a BSP and used primarily to ensure sustainability of land use interventions, as well as to scale up actions in other geographical areas within Oromia. Therefore, this ESMF will be used mainly to address environmental and social risks and impacts arising from the implementation of the Project activities to be financed under Components one and two as per the Government of Ethiopia's environmental and social policies and legal frameworks and the World Bank's Environmental and Social Framework (ESF) requirements.

The purpose of the Environmental and Social Management Framework (ESMF) is to provide guiding principles for assessment and management of environmental and social aspects of the Project activities to be financed under the OFLP-ERP. It will help to systematically identify, predict, and evaluate beneficial and adverse environmental and social risks and impacts of the Project activities, designing enhancement measures for beneficial impacts, and implement mitigating measures for adverse impacts. Therefore, the objectives of the ESMF for the OFLP-ERP are to determine the training and capacity building needs; to establish the budget required to implement the ESMF requirement; establish clear procedures and methodologies for the environmental and social assessment, review, approval and implementation of investments to be financed under the Project; specify appropriate roles and responsibilities, and outline the necessary reporting procedures for managing and monitoring environmental and social concerns related to the Project activities.

The ESMF has been updated by collecting primary and secondary data as well as compiling information through extensive review of Project documents, environmental policies, laws, regulations, proclamations and guidelines at the federal and regional levels. It has also used the main findings from stakeholder and community consultations with line ministries, Oromia State stakeholders found at different administrative levels, the National REDD+ Secretariat, Oromia REDD+ Coordination Unit among others. Moreover, Woreda and Kebele level consultations,

¹ REDD+ stands for countries' efforts to reduce emissions from deforestation and forest degradation, and foster conservation, sustainable management of forests, and enhancement of forest carbon stocks (www.forestcarbonpartnership.org).

including forest dependent communities, were held in 9 selected woredas and 14 kebeles with 239 people (168 men and 71 women) in the region (see Annex 11). The criteria for selection of the woredas among other things include security, GRM implementation, hotspots of deforestation and forest degradation, REDD+ implementation potential, leakage, forest types (diversity), plantation site, social and cultural diversity of the forest communities with respect to their forest management and utilization practices.

The environmental and social management process starts with the program activity planning process beginning from the identification of Project activities (mainly related to Component 1 activities) by local communities based on their needs and priorities through a participatory planning process, technical support from development agents (DAs) and woreda experts. The DAs at the Kebele level will screen eligibility of program activities against pre-set eligibility criteria. The Oromia REDD+ Coordination Unit (through OFLP safeguards coordinators, OFLP woreda coordinators and woreda land use planning team (LUPT)) will ensure and document such procedures are properly followed. The program activity plan will then be sent to the OFLP Woreda Coordinator, Woreda LUPT and Woreda Office of Environmental Protection Authority (WoEPA). Woreda LUPT, including experts from the WoEPA, will screen the program activities and pass recommendations if any design modifications are required. The Woreda Administrators/Council will then approve plans based on the decision of WoEPA and recommendations of Woreda LUPT. After approval, the plan document is referred to the Oromia REDD+ Coordination Unit (ORCU) with all the accompanying environmental and social screening documents. If program activities of any significant environmental concerns are included, then the plan document will be directed to the attention of the Oromia Environment Protection Authority (OEPA). The OEPA will make decisions if an Environmental and Social Assessment (ESIA) is required for those Project activities/subprojects. Based on ESIA outcomes, the OEPA will recommend modifying the design, preparing environmental and social management plan to mitigate adverse impacts, or reject/disapprove the Project activities/subprojects.

OFLP-ERP will operate in a changing and fragile environment with complex social relationships and limited capacity and expertise within the government structures to deal with both social and environmental risks and to properly implement and document ESRM instruments. The risk mitigation measures will rely on carefully designed ESRM instruments (such as LMP, SEP, ESCP, Security Management Plan, SESA, ESMF, RPF and PF), and capacity building measures to strengthen implementation capacity of the implementing agency, and reinforced by a dedicated environmental and social risk management (ESRM) activities under Component 2. Further, monitoring of the ESMF implementation and backstopping support on technical issues will be provided by the ORCU, Oromia REDD+ Technical Working Group and Woreda Land Use Planning Teams. The implementation of the ESMF including capacity building and implementation of mitigation measures would require an estimated budget of USD 291,500.

Chapter 1: Introduction

1.1 Overview of the Oromia Forested Landscape Program Emission Reduction Project (OFLP-ERP)

Ethiopia was selected as a REDD+ country participant in the FCPF in 2008. Based on the development of REDD+ Preparation Proposal (R-PP) and later its implementation (officially launched on January 15, 2013, and finalized in 2018), the Government of Ethiopia (GoE) has taken key institutional and policy measures. The main ones include the re-establishment of the Ministry of Environment, Forest and Climate Change (as per the Proclamation No.916/2015) although re-structured recently into Federal Environmental Protection Authority (EPA) and Ethiopian Forest Development (EFD), the revision of Forest Policy and Proclamation, and developing a national REDD+ Strategy and ESRM instruments², among others. REDD+ is part of a national strategy, referred to as Climate Resilient Green Economy (CRGE) strategy that aims at the main sectors of the economy to develop an environmentally sustainable and climate resilient economy, which is ambitiously aimed at bringing the country to a middle-income status with net zero emission by 2025. The CRGE Strategy targets 7 million hectares (ha) for forest expansion. GTP-2 Goal 15 aimed to: “Protect, restore and promote sustainable use of terrestrial ecosystems by managing forests, combating desertification, and halting and reversing land degradation and halt biodiversity loss.” Ethiopia considers REDD+ as an opportunity and viable source of sustainable finance for investment in sustainable forest management, forest conservation, and forest restoration to enhance multiple benefits of forests. In line with this, EFD is coordinating the forest management, including the REDD+ program in the country.

The OFLP is a nationally prioritized strategic pilot program that has been under implementation since 2017. The jurisdictional OFLP is being implemented to enhance enabling conditions and to draw lessons for a successful transition from a recipient executed trust fund grant ending in 2022 towards a results-based emission reduction payment agreement yet to be negotiated and signed for the period until 2029. Through this successful piloting, Ethiopia is now completing the enabling environment and the enabling investments and moving to results-based funding mechanism. The Oromia Forested Landscape Program- Emission Reduction Project (OFLP-ERP) will pay for ER results generated across Oromia. Thus, the OFLP-ERP is expected to provide financial incentives to support sustainable forest management, conservation, restoration and investment, which, in turn, enhance environmental, social and economic benefits in Oromia National Regional State (ORS). The OFLP-ERP also helps Ethiopia to achieve its national ambition for green growth, as articulated in the Second Growth and Transformation Plan (GTP-2), the Climate Resilient Green Economy (CRGE) Strategy and the recent Ten-Year Perspective Development Plan (10YPD). Through making payments to the OFLP-ERP Entity for measured, reported, and verified Emissions Reductions (ER) from reduced deforestation, forest degradation, and the enhancement of forest carbon stocks (REDD+) achieved throughout the jurisdiction of Oromia, the Project will support to distribute ER payments in accordance with an agreed benefit-sharing plan (BSP) and used primarily to ensure the sustainability of land use interventions, as well as to scale up action in other geographical areas within Oromia. This climate financing will be channeled through an Emission Reduction Payment Agreement (ERPA) to be signed between the Federal Democratic Republic of Ethiopia (FDRE) and the World Bank. The ERPA payments are then further distributed on the basis of the agreed BSP. The envelope for these payments could grow as the OFLP scope expands (starting from its second phase) to other eligible sectors beyond forests such as agriculture, including livestock, and generates results as other ER buyers show interest

² The National REDD+ safeguards instruments include Strategic Environmental and Social Assessment (SESA), Environmental and Social Safeguards Framework (ESMF), Resettlement Policy Framework (RPF), and Process Framework (PF).

in the OFLP-ERP. As the carbon financing of the Oromia Forested Landscape Program has migrated to the new World Bank Environmental and Social Framework (WB-ESF), the existing environmental and social risk and impacts management (ESRM) instruments such as the SESA, ESMF, PF and RPF are updated. Besides, new ESRM instruments such as the ESCP, SEP, LMP, and Security Management Plan are prepared to meet the requirements of the new WB Environmental and Social Framework (ESF).

This ESMF is updated as per the WB ESF in order to address the environmental and social issues of the OFLP-ERP. The revision is made based on the OFLP-ERP design document, the environmental and social risk management instruments and other relevant national and regional environmental and social policies and legal frameworks.

1.2 Purpose and Objectives of the ESMF

The purpose of the environmental and social management of the framework (ESMF) is to provide the guiding principles for assessment and management of environmental and social aspects of the program activities to be financed under the OFLP-ERP. The OFLP-ERP Environmental and Social Management Framework will be implemented as per the following five key principles:

- Allow comprehensive consultation of the communities in the identification and planning of project activities/subproject types in their localities depending on their prioritized challenges;
- Provide support to communities to develop their sub-project application to avoid or minimize environmental and social safeguards concerns;
- Provide support to regulatory institutions to review applications and determine if additional, more detailed environmental or social planning is required before applications can be approved;
- Provide support to communities, local authorities and extension teams in carrying out their respective roles by funding training, information resources and technical assistance; and
- Provide fund by assessing compliance, learning lessons, training impacts, and improving future performance, as well as assessing the occurrence of potential cumulative impacts due to project funded and other development activities.

The general objective of the ESMF is to guide on how to systematically identify, predict, and evaluate beneficial and adverse environmental and social impacts of the Project activities, designing enhancement measures for beneficial impacts, and implement mitigating measures for adverse impacts. The specific locations and details of the Project activities are not identified at this stage and their impacts cannot be determined until ER payments are made and planning is started by local level implementing stakeholders, including forest dependent communities.

The specific objectives are as follows:

- To establish clear procedures and methodologies for the environmental and social assessment, review, approval and implementation of investments to be financed under the Project;
- To specify appropriate roles and responsibilities, and outline the necessary reporting procedures, for managing and monitoring environmental and social concerns related to program activities;
- Provide guideline for preparing the environmental and social mitigation plans to address the adverse impacts;
- To determine the training and capacity building needs; and

- To establish the budget required to implement the ESMF requirement.

1.3. Methods of the ESMF Updating

1.3.1 Review of Program Related Documents

The OFLP-Grant Financing-PAD (P156475), the OFLP-ERP-PAD (P151294), existing legal and institutional framework, the World Bank Environmental and Social Framework (ESF), the Benefit Sharing Plan (BSP), the ten years perspective development plan (10YPD), the Climate Resilient and Green Economy (CRGE) Strategy, the Grievance Redress Mechanism (GRM), the Cancun principles, regional policies and proclamations, and the existing OFLP E&S instruments were reviewed to gather information on and to understand the Project components and sub-components, the potential environmental and social risks and impacts and proposed mitigation measures, and the institutional arrangement for the implementation of the Project.

1.3.2 Review of Relevant Policies, Laws and Proclamations, Environmental and Social Assessment Guidelines

A thorough review of the relevant environmental management policies, proclamations, and guidelines both at the federal and regional level was conducted to provide the existing national legal framework to enable considering the identification, evaluation and management of the environmental and social risks and impacts associated with the implementation of the program activities. These include *Proclamation, No. 295/2002; Proclamation No.916/ 2015 Proclamation No. 299/2002; Proclamation No. 300/2002; Proclamation (No. 542/2007); Proclamation, No. 197/2000; etc. (See section 3).*

The World Bank's new Environmental and Social Framework (ESF) has standardized, harmonized and transformed the World Bank's safeguard policies into a more broadly systematized but simplified environmental and social standards. The applicable E&S standards to the OFLP-ERP are reviewed and described how these standards are applied in assessing the E&S risks and impacts, and how they are managed within the provisions of the applicable standards. The ESF also requires borrowers to prepare new ESRM instruments including ESCP, SEP, LMP, and Security Management Plan. These instruments are prepared in accordance with the WB ESF and GoE's relevant environmental and social policies and legal frameworks.

1.3.3 Stakeholders and community consultations

Consultation with Project Preparation team: the consultants made a number of consultative meetings with the Project preparation team members at the ORCU and discussed detailed activities of the Project components and sub-components, the institutional arrangement for the implementation of the OFLP-ERP, the new World Bank ESF ESSs, the BSP, and other ERP instruments (ESMF, SESA, PF, RPF, LMP, SEP, LMP, & SMP), the monitoring of ESRM implementation and lessons learned, capacity building needs and technical backstopping to OFLP-ERP lead facilitators, OFLP-ERP safeguards coordinators and OFLP-ERP Woreda coordinators during the implementation of the ESMF.

Consultation with the National REDD+ Secretariat, Federal EPA, and the Oromia Land Bureau (OLB): the consultations were held with the National REDD+ Coordinator, Oromia REDD+ Project Coordinator, Environmental Safeguards Specialist, Social Safeguards Specialist, and Land Use Expert of the Oromia Land Bureau on applicable federal and regional environmental policies and legal frameworks. In addition, their views on the proposed Project and its anticipated impacts, mitigation measures, the environmental and social management

process at the regional level and the roles of the different Project partners at the Woreda and Kebele levels were discussed.

Stakeholder consultations: stakeholder consultations were held at the regional, zonal and woreda levels. The participants were representatives drawn from different government institutions, civil society, private sector and other regional states including:

- (1) Federal institutions such as EPA, MoF, MoA, MoWE, NRS/EFD and EWCA;
- (2) Oromia regional state institutions such as OFWE, OAB, OWEB, OLB, local governments and other public institutions that would either directly implement ERP and/or benefit from it;
- (3) Regional states that could learn from ERP as they advance their own forest programs and/or REDD+ pilots;
- (4) Community-based organizations and NGOs delivering services to farmers;
- (5) Private sector entities involved in providing services such as inputs and extension or in commercial endeavors such as coffee and other forest products.
- (6) Civil society at different levels; and
- (7) Communities, forest dwellers and users, farmers, herders, cooperatives, and water users who would benefit from ERP interventions directly or downstream.

The discussion themes during the stakeholder consultations included the following:

- (1) Briefing and description of the program;
- (2) Introduction of the new World Bank Environmental and Social Framework and ESSs (the applicable standards) in the OFLP-ERP (ESSs1-10, except ESS9);
- (3) Contribution of stakeholders during the implementation of OFLP-grant and anticipated potential role in OFLP-ERP (providing strategic and technical support) in implementing the new ESRM tools);
- (4) The role of NRS and the Federal MRV task force;
- (5) Capacity building to institutions and experts involved in the implementation of OFLP-ERP; and
- (6) Challenges and lessons drawn from the implementation of the OFLP-grant.

The community consultation was conducted using focus group discussions, key informant interviews and household interviews. The community consultations were conducted with the objective of creating sufficient awareness on the project activities, creating transparency and opportunities for inclusive participation, thereby to guarantee strong community support to the project, and to identify potential E&S risks, impacts and to propose mitigation measures for the adverse impacts. A total of 49 community consultations were done in 9 zones, 9 Woredas, and in 14 Kebeles with 239 people (71 women and 168 men) drawn from the youth, forest dependent and underserved community members (Annex 11). All the consultations at community level have been carried out after obtaining the consent of all participants (See Annex 11 for further information).

1.3.4. Consultation Approaches

The federal and region level consultations were held by the consultants in collaboration with the ORCU team. The Woreda and community level consultations were conducted and facilitated by the ORCU team of environmental and social safeguard experts. The various consultations in sample Woredas were conducted from February 13 to April 16, 2022. The consultations covered 9 Woredas, 14 kebeles and reaching 168 men and 71 Women. Consultations were conducted with stakeholders at different levels, communities in focus group discussions and individual interviews to garner broad community support.

1.4. Organization of the Report

The main body of this document is structured into ten chapters. Chapter One addresses overview of OFLP-ERP, the objectives of the ESMF and the methods used in to prepare this ESMF. Chapter Two describes Program target beneficiary the components and sub-components of OFLP, the institutional arrangements for the implementation of OFLP-ERP, the program planning process, the environmental and social context of the program intervention areas. Chapter Three elaborates the legal, policy and regulatory issues relevant to the ESMF implementation, relevant/applicable environmental and social multilateral conventions to Which Ethiopia, and the World Bank Environmental and Social Standards applicable by OFLP-ERP. Chapter Four examines the potential positive and negative impacts of the project and the mitigation measures. Chapter Five focuses on the guiding principles, the procedures and the environmental management process, the major steps in the review process and institutions involved at the different levels. Chapter six presents relevant topics for capacity building trainings, the target beneficiaries and duration of trainings and other backstopping activities. Chapter Seven contains the roles of relevant institutions in the implementation and monitoring of mitigation measures (process and results monitoring). Chapter Eight explains about Grievance redress mechanism. Chapter nine describes: the implementation, supervision and monitoring as well as environmental and social auditing/review. Chapter ten covers the budget for capacity building and implementation of the ESMF as well as for mitigation measures.

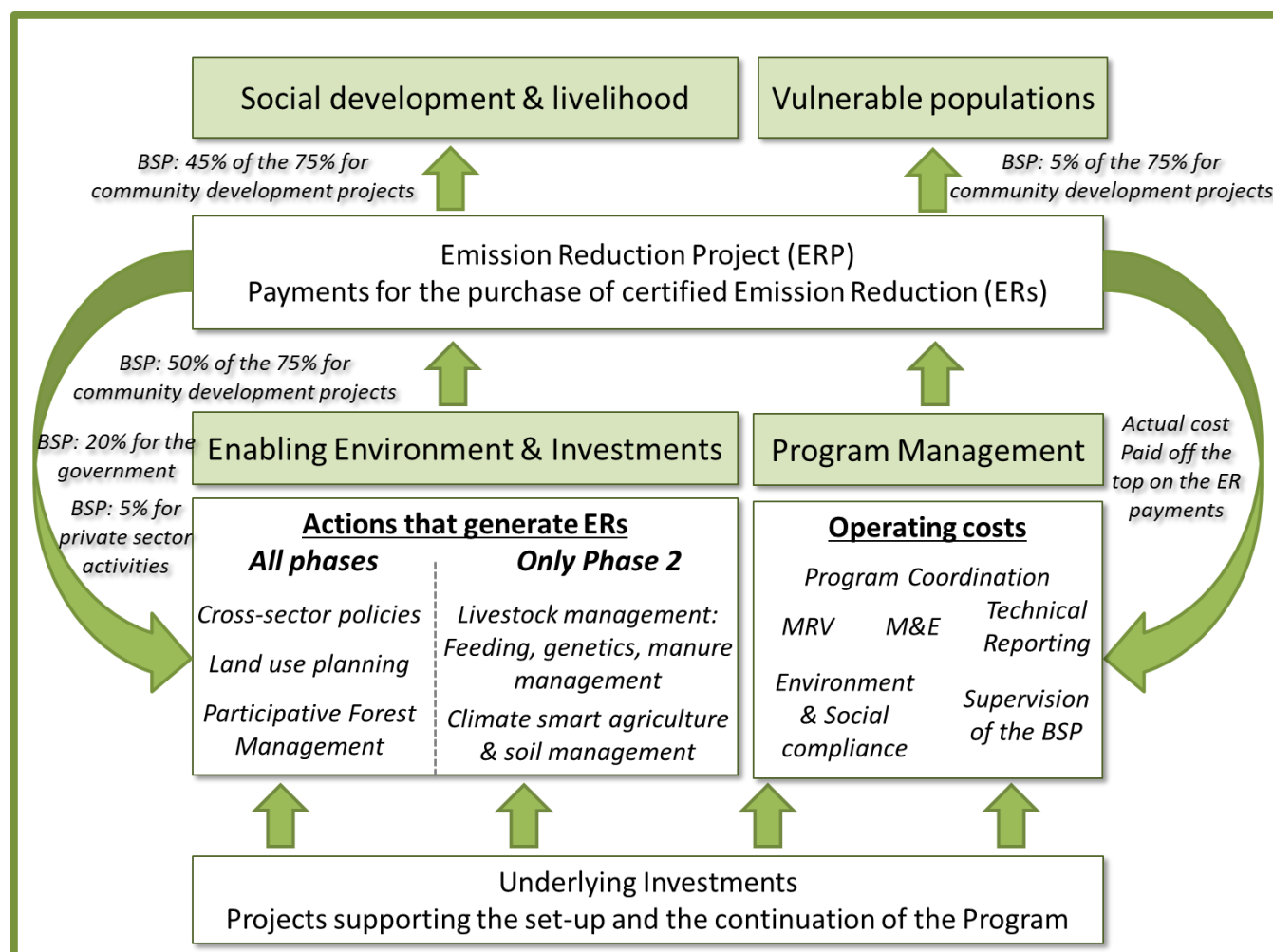
1.5. Disclosure of ESMF

Because of COVID-19 and the government's restriction on social gatherings, it is not allowed to have meeting more than four persons; hence, the framework documents are not publicly disclosed. However, using the ministry website and other means of communications (using emails, distributing the soft copies, and printing the hard copies) it will be disclosed after approval. Publishing the executive summary of the document in widely read local newspapers in appropriate form, manner and language are other appropriate means of communication for disclosing. Disclosure of the document is not planned until after it is approved. ESMF is a living document, and any comments received on the approved version will be taken into account in the next revision.

Chapter 2: Project Description

While resources for the initial investments are provided by a set of projects, it is expected that a large portion of payments through the BSP will also help sustain the generation of ERs throughout the lifetime of the Project and even after. The rest of the payments will be used for Social Development and for the benefits of vulnerable and underserved communities. In addition, the ER payments will cover a portion of the Project operating costs and coordination, which are taken off the top. The figures below summarize the principles of the Project.

Figure 1: Overview of the OFLP-ERP



2.1. Project Components

The OFLP-ERP has two components:

Component 1: Purchase of Emission Reduction and distribution following the Benefit Sharing Plan. This component includes the purchase of the ERCs coming from the sound management of landscape as well as the distribution of the net revenues according to the BSP.

Sub-component 1.1: Payment for Emission Reduction Credits This sub-component represents the payments for up to US\$60 million (including options and future phases) for verified carbon performance paid within a period of up to December 31, 2029. These payments will be

available once the program achieves, verifies, and reports on results with regard to reduced emissions. This climate financing will be channeled through an ERPA to be signed between the FDRE and the Bank.

While the expectation for OFLP is to generate up to \$60 million ERCs, the World Bank initially commits to purchase up to \$10 million during a first phase based on the ERCs generated by the forest sector. This is due to the fact that the baseline for the emissions related to enteric fermentation as well as emission baseline under the forest degradation have not yet been defined. For this reason, the initial legal agreement for the ER payments will only cover a portion of the full envelope and the remaining portion will appear as a funding gap.

The volume of ERs will be determined based on the comparison between the baseline and the volume given in the monitoring report that will specify the amount of emissions during a specific period. This monitoring report will use ISFL-approved methodologies as described in the ERPD as well as the data generated by the MRV system. After verification by a third party, the ERCs will be issued, accounted in the national system as relevant, registered in the FCPF/BioCF/ISFL registry (CATS –Carbon Assets Tracking System) and transferred to the buyer. The estimated disbursement schedule for the purchase of ERs is presented below.

Given the uncertainty related to the implementation of the underlying activities, ER purchase has been set with two modalities: (i) contract ERs (about \$40m), which represents the value of ERC that the Bank as a trustee and implementing agency of the ISFL, will commit to purchase if they are produced from the jurisdiction of Oromia in multiple phases. As per the ERPA, the government may still decide to keep the ERCs or sell them to another buyer for a higher price; (ii) option ERs (about \$20m), which represents ERCs that the Bank may decide to purchase, at its own discretion, if there are ERCs generated beyond the contract ERs.

Sub-component 1.2: Distribution of ER payments as per a BSP

The BSP was prepared through a highly participatory process. The BSP provides an operational solution for disbursing the performance-based ER payments equitably, effectively, and efficiently. It is guided by these principles (I.e., equity, efficiency and transparency), and defines the subcategories of beneficiaries, monitoring provisions, as well as the processes for the distribution of benefits (eligibility criteria, allocation procedures, and flow of funds). It was designed by the FDRE during early OFLP Grant implementation period through a robust consultation process held statewide including with potential Community beneficiaries.

A total of about 32 different potential activities for investment using the emission reduction payments were identified on different discussions with community across Oromia. The long list of investment options identified during the community consultations were sorted into the three subcategories: 45% would be invested on social development and livelihood improvement activities, 50% will be invested on land use and related activities that generate more ERs. And the remaining 5% of the share received is dedicated to serve underserved social groups in the form of revolving fund. This will serve poor households or individuals and youths in the communities get their share from ER benefits. These later groups of investments should be designed carefully not to result in negative impacts, i.e., emission increase rather than reduction.

Component 2: Comprehensive Measurement, reporting and verification (MRV) system and program management including Safeguards Management system

This component is expected to provide financing for specific enabling environment activities such

as (i) the finalization of the MRV system development, capacity building training on ER monitoring for the livestock sector and (ii) the operating cost related to the program management until the government receives the 1st ERC payment. Those activities can be financed by dedicated grants as well as, in the future, a contribution from the ERC payments.

Sub-component 2.1: Program Management including safeguards and communication

This subcomponent will support operation of the Oromia REDD+ coordination unit and equipment. These costs include: the time of ORCU staff (program coordinator, safeguards specialists, MRV specialists), equipment related with the OFLP execution, operational costs for the coordination unit (Safeguards supervision, field missions, MRV activity monitoring...), as well as any other operating cost as deemed necessary for the successful implementation of the program – including institutional capacity strengthening of the project implementing structures. The operating cost also includes the expenses associated with the standard administrative activities such as budgeting and planning, procurement and FM, annual audits, environmental risks management and coordination meetings at Regional or national level. In addition, it will also finance the expenses related to the Monitoring and evaluation (M&E), communication and knowledge management including: (a) meetings of the review/piloting committees; (b) implementation of the M&E framework; (c) communication and knowledge sharing; (d) planning and dissemination workshops; (e) impact assessment, midterm review, and completion evaluations.

This subcomponent can be financed using two modalities:

- Following the arrangements described in the BSP, a portion of the ERC payments will be dedicated to the program operating costs; however, the first carbon payment may not be expected before about six months after the end of the first verification, creating a gap between the end of OFLP-grant and the first carbon payment.
- To fill the budget gap to support ORCU and the program management, a grant will be provided until at least a year after the end of the first verification period. Once the payment for the first ERC purchase is received by the government of Ethiopia, this component will continue to be financed from the ER payment until the end of ERPA period following the arrangement described in the benefit sharing plan.

Sub-component 2.2: Improvement of the Comprehensive Measurement, Reporting and Verification system

As the requirements are not met for two *eligible* subcategories out of six, action plans have been established in order to improve the MRV system. This subcomponent will support the design, improvements and operation of the MRV – in particular for measuring the livestock / Enteric fermentation, for which a dedicated grant will be provided.

Improvement on the MRV for land-use change (deforestation and reforestation). This MRV system is already operational for phase one and is expected to continue for phase 2. However, following the current requirements of the ISFL methodology, the ER Program design may have to be updated during the program implementation. In that case, updates on the baseline might be needed during the project lifetime. In that case, the additional work would be financed either by the ERCs payments from the previous monitoring phases or by external funds.

Improvement on the MRV for forest degradation (forestland remaining forestland). A work plan to improve data and methods for this subcategory “forestland remaining forestland” has been agreed between FAO, the Norwegian Embassy and the US Silva Carbon program. The technical approach will likely involve the use of advanced image analysis algorithms, including BFast and Continuous Degradation Detection (CODED), to track changes between classes within the forestland-remaining-forestland subcategory. The agreed workplan will improve data collection on forest-remaining-forest by the end of 2023, but additional work may be needed. In that case, the additional work would be financed either by the ERCs payments from the previous monitoring phases or by external funds.

Improvement on the MRV for livestock management (enteric fermentation). For the purpose of improving methods and data on enteric fermentation and to build livestock sector carbon measuring, reporting, and verification (MRV) systems in general, this subcomponent will provide a grant to finance capacity development in GHG inventory, emission reduction monitoring and reporting, and related skills both at the national and regional levels across the participating institutions. Sampling and laboratory analysis of feed and manure will also be funded to improve GHG emission factors. This grant will build on MRV development efforts implemented since 2018, aiming to develop GHG inventory tools for the livestock sector, identify data gaps, formulate data improvement plans, and develop data acquisition tools and protocols to address identified gaps.

The key activities to be financed under this grant are the following:

- *Acquisition of MRV equipment:* these could include special-purpose computers (desktop and laptops), servers, tablets, GPS, and other data-gathering instruments for the fieldwork.
- *A series of capacity building training programs on livestock GHG data gathering, analysis, and reporting,* using the expertise of specialized training institutions, livestock research organizations, and others, as appropriate
- *Sampling and laboratory analysis of feed and manure samples* to assess parameters related to the quantification of GHG emission; and
- *Supervision and monitoring of livestock emission reduction* by national and regional MRV personnel trained for this purpose, data analysis and reporting – until 2028.

The OFLP program supports GoE to strategically mobilize, coordinate, and scale up funding from diverse sources. The success of the OFLP and the achievement of the GoE broader forest, land-use, and climate ambitions depends on the OFLP’s ability to leverage financial resources from existing and future REDD+ related initiatives (e.g., the BioCF ISFL, Nespresso-East Africa Coffee Project, Bale Mountains Eco-regional REDD+ Project, REJFMA-SW Ethiopia II Project, SLMP, PSNP, RLLP, AGP, CALM) and the private sector including the International Finance Corporation (IFC) initiative (TechnoServe), the CRGE facility and bilateral supports, private investments.

2.2. OFLP-ERP Institutional and Implementation Arrangements

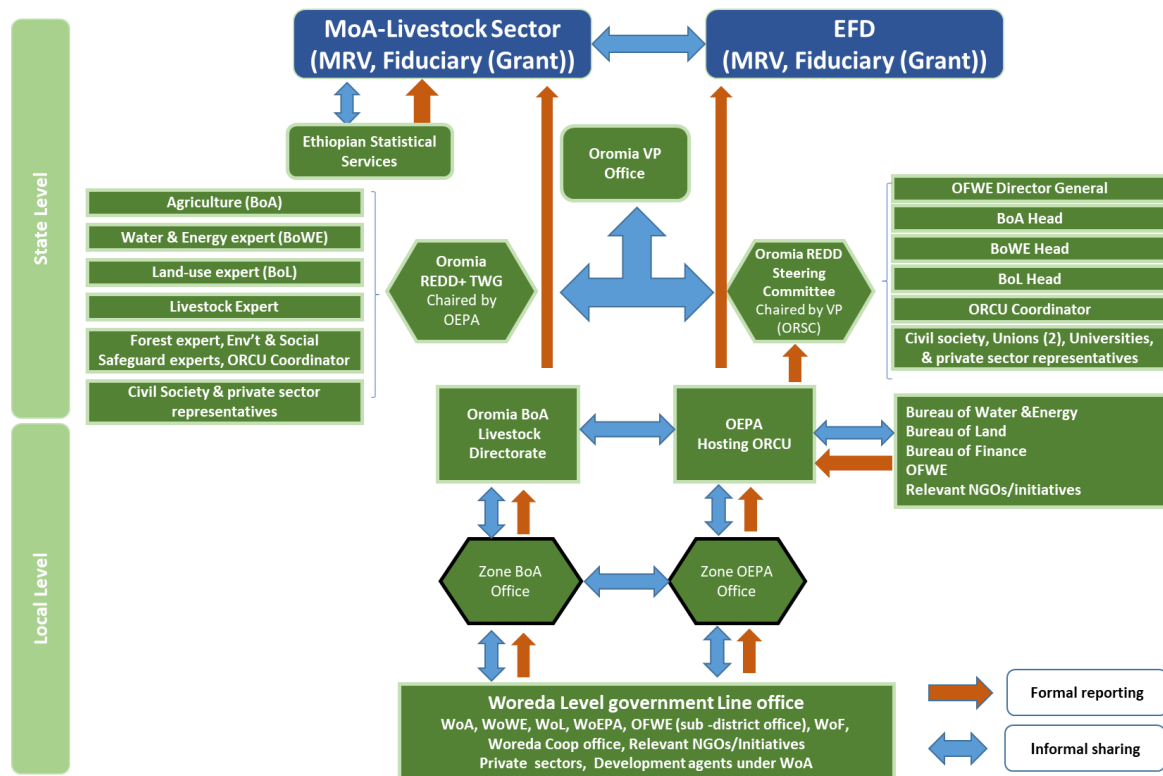


Fig. 2. Institutional Arrangements – ERP level

The OFLP is the programmatic umbrella and coordination platform for multi-sector, multi-partner intervention in Oromia. It is coordinating all relevant agriculture-forested landscape related initiatives in the region. The grant OFLP institutional arrangement for ESRM implementation relies on existing Government institutions both at the federal and Oromia National Regional State (encompassing all concerned regional institutions up to kebele administration office) levels with discrete accountabilities and decision-making roles based on existing mandates. The Ethiopian Forest Development (EFD), and the Oromia Regional Environment Protection Authority (OEPA) and its corresponding zonal and woreda offices through their environmental and social impact assessment experts and woreda focal persons, will continue to play a lead role at all administrative levels during the ERPA period. The OFLP grant supports the placement of OFLP safeguards personnel (two E&S specialists at the regional level and six OFLP safeguards coordinators at the zone/cluster levels) and capacity strengthening (training, awareness and technical support) for safeguards monitoring and management in the OFLP carbon accounting area. Also, there are 3 OFLP lead facilitators (at zonal/cluster level) and 38 OFLP woreda coordinators (at woreda level) who provide technical support on grant OFLP implementation, including safeguards management up to December 2022. In addition, a functional grievance Redress mechanism (GRM), comprising a total of 5006 grievance redress committees (GRCs), has been established during the grant OFLP period throughout the Oromia region and will be strengthened and continued to serve during the ERPA period.

Thus, as a strategic multi-sectoral Government program utilizing diverse financing sources and

partner support to scale up action, the OFLP's ER institutional arrangement is anchored in the following principles: (i) the institutional set-up would be based on existing federal and state Government structures; (ii) clear institutional roles, responsibilities and procedures based on existing institutional mandates; (iii) extensive multi-sectoral coordination to plan and implement related projects, activities and policies critical for OFLP's success; and (iv) coordinating and leveraging selected associated initiatives (financed by the WBG and/or others). Accordingly, the key institutions are described below.

The Ministry of Finance (MoF) at federal level will sign the ERPA and take the overall fiduciary responsibility. MoF will receive funds from the ERC purchase based on verified ER amount achieved by the OFLP-ERP at the end of each ERPA phase and distribute ER benefits according to the BSP.

EFD will oversee the overall technical and policy dimensions of the program at the Federal level and OEPA will have the oversight responsibility for the OFLP-ERP in subsequent phases in the jurisdiction in Oromia National Regional State. OEPA was set up by Proclamation 199/2016 on July 20, 2016 (as amended recently by regional regulation no. 242/2021) and is officially mandated to oversee the forest sector in Oromia.

The Oromia REDD+ Coordination Unit (ORCU) is the implementing unit for OFLP, tasked with the Program day-to-day technical and administrative management including ER monitoring, reporting and Safeguards activity supervision to ensure the program's compliance with the ESF instruments. While ORCU reports administratively to the OEPA, it seeks strategic and tactical guidance from the Oromia Regional State Vice President, given the multi-sector nature of OFLP and land use challenges in the regional state.

The ORCU and OEPA will be supported by the EFD which will carry out an oversight role in particular on MRV, safeguards, financial management and procurement. The regional state's multi-sector REDD+ Steering Committee and Technical Working Group will provide strategic guidance and technical inputs, respectively, to guide OFLP ERP implementation. The OEPA and sector bureaus including the Oromia Agriculture Bureau (OAB), Livestock and Fisheries Resources Development Agency (LFRDA), Oromia Water and Energy Bureau (OWEB), Oromia Land Bureau (OLB) and Oromia Forest and Wildlife Enterprise (OFWE) will be supporting the OFLP-ERP implementation and coordinate activities on the ground through their decentralized staff, particularly those activities potentially conducive to produce more ER financed from own sources or from ER proceeds. In addition, OEPA will, in the near-term, rely on development agents (DAs) under the authority of the OAB and OLB to implement investment activities on the ground until such time as OEPA has its own core of DAs in place. OFWE has a similar structure with local extension agents with experience in participatory forest management (PFM), but OFWE does not follow the woreda structure and instead follows its own district structure based on its forest concessions. Specific activities to be implemented by the OEPA, OFWE and relevant bureaus will be defined with specific accountabilities, including lead and supporting roles and budgets, in the joint annual work program and budget and joint procurement plan.

At regional state level, joint work planning, budget formulation and reporting for the OFLP ER and forest related policy development/harmonization will take place with the involvement (as

needed) of the Executive level of Oromia Regional State, the OEPA, OFWE, all relevant bureaus, and others as relevant, with the ORCU serving as the OFLP secretariat at the OEPA.

At the zone level, OFLP safeguards coordinators are overseeing the safeguards work of the OFLP woreda coordinators and ensure that environmental and social risk managements are implemented according to the OFLP environmental and social risk management instruments. Also, OFLP lead facilitators (at zonal level) hosted by selected zone offices of the OEPA, will providing technical and operational support to OFLP woreda coordinators and OFLP safeguards coordinators to ensure satisfactory implementation.

At the woreda level, each woreda administration office together with a combination of woreda sector experts and development agents under them, who are already implementing a range of sector programs and operations, will support on different activities. OFLP woreda coordinators are hosted by selected woreda offices of OEPA to: (a) reinforce woreda capacity to coordinate implementation of OFLP activities, related projects and operations, (b) lead implementation of activities directly funded by OFLP financing, and (c) support fiduciary aspects of OFLP ER including ESRM, activity reporting, financial management and procurement.

Overall, to preclude and manage Environmental and Social risk, a robust safeguards system has been already established in the OFLP grant period and will continue to be strengthened during the ERPA period to ensure that the program's citizen engagement, equitable sharing of program benefits, GRM, and safeguard risk management steps are sustained beyond the grant period; and the FDRE will allocate adequate resources (human and financial) for ESRM implementation/due diligence.

2.3. *Project Activities Identification and Planning Process*

From the successive consultations conducted on the BSP preparation at community level, communities have already identified investment options for use of the ER revenues. Accordingly, the benefits will be invested on activities/projects that will ensure communal or collective benefits as well as generate further additional ERs. The list of investment options identified during the community consultations fall into the two categories as shown in Table 3 above (i.e., activities that generate additional ERs and Social development/livelihood). Once the share of the community is known, detailed action plan on the potential uses need to be prepared by the community with the facilitation of Woreda level OEPA office and development agents with technical support from the regional OEPA/ORCU. The action plan will be evaluated and approved by Woreda OFLP Steering Committee. The potential of the action plans in ER (e.g. measured in area of A/R), number of beneficiaries and sustainability of the planned actions can be possible criteria to compare among different action plans presented. The amount of benefit received may not match the development need of the community. Hence, the community, with the support of concerned offices and partners, need to prioritize where and how to invest based on needs and amount of share received. The community could also opt investing in projects that serve the wider community, including communities beyond a single Kebele. Under such circumstances, shares of multiple communities can be pooled together for the investment but through a participatory dialogue and negotiation. Such investments need to be facilitated and assisted by Woreda level experts and NGOs working in the implementation areas.

The program implementation is split following the various segments:

- i. **The underlying activities** are coordinated by ORCU but executed by various projects and programs. The regional state's multi-sector REDD+ Steering Committee and Technical Working Group established during the grant implementation period, will continue providing strategic guidance and technical inputs, respectively, to guide OFLP ER program implementation. The OEPA and sector bureaus including the Bureau of Agriculture (BoA), Bureau of Water and Energy Resources Development (BoWERD), Bureau of Land (BoL) and OFWE will be supporting the ER program implementation and coordinating activities on the ground through their decentralized staff, particularly those activities that are potentially contributing to produce more ER and are financed from own sources or from ER proceeds.
- ii. **The carbon accounting and performance verification:** EFD will lead the overall MRV undertakings of the ER Program through its dedicated MRV Unit, including collection of regional level ER performance data, analyzing the same and reporting to the WB/ISFL.; EFD is Ethiopia's Coordinating Entity for MRV from land use sector through its MRV Directorate. The MRV Directorate collects and reports GHG inventory data (land use sector) and undertakes MRV tasks working in collaboration with federal and regional institutions. The OFLP-ERP will follow the same ER monitoring approach and use the same MRV institutional arrangement established at national level. Table 4 illustrates the details of MRV institutional arrangement for Oromia Forested Landscape ER Program.
- iii. **The activities financed by the BSP:** The ER proceeds received as RBP will be shared among beneficiaries eligible for sharing: 20 percent for the governments (Federal and Regional), 5% to the private sector and 75% for community development projects. ER proceeds fund disbursement is to follow "Channel 1 fund transfer system". The Ministry of Finance (MoF) receives the RBP in an independent account and keeps the

3% performance buffer for risk management and deducts the operational cost. ORCU/OEPA officially communicates the Regional Bureau of Finance (BoF) detailing the share of all eligible beneficiaries from the net payment as per the OFLP monitoring result. Accordingly, BoF transmits this disbursement request to MoF. Then MoF transfers the share of federal government to the account of EFD and the remaining net benefit and the operational cost to Oromia BoF. The BoF, based on proportion of allocated shares and decision of the OFLP Steering Committee will disburse ER proceeds downward to OEPA, woreda finance offices, FMCs and to the private sector accounts as appropriate.

- iv. **The activities financed by the Grants.** As part of the OFLP-ERP, two grants will be provided.
- a. The first one, for a total amount of \$750,000, will support the program management including (i) the coordination among the various projects supporting the underlying activities, (ii) the cost associated with the reporting on carbon and non-carbon benefits (coordination meeting, compiling the data, etc...), (iii) the dialog with the federal and regional institutions involved in the program as well as (iv) the support for three MRV, two MRV Assistants and four OFLP safeguard specialist (two in Social, two for Environment).. It will ensure that the Environmental and Social system is in place and effective to identify and mitigate the impacts of the underlying activities. This grant will be managed by ORCU.
 - b. The second grant (\$1.2m) will support the design and operationalization of the MRV system set-up for the emissions related to Livestock management. This will include activities to be implemented under the leadership of the Livestock Unit of MoA and its subsidiary within the Oromia Bureau of Agriculture (OBoA), as well as activities to be implemented in support of the National MRV Unit for land use sectors in EFD. The fiduciary responsibility for this grant will be set at MoA's Livestock Unit, which will transfer the required budget according to agreed work plans to the other entities.

2.4. Environmental and Social Baseline Conditions

2.4.1. Environmental Context and Baseline Conditions

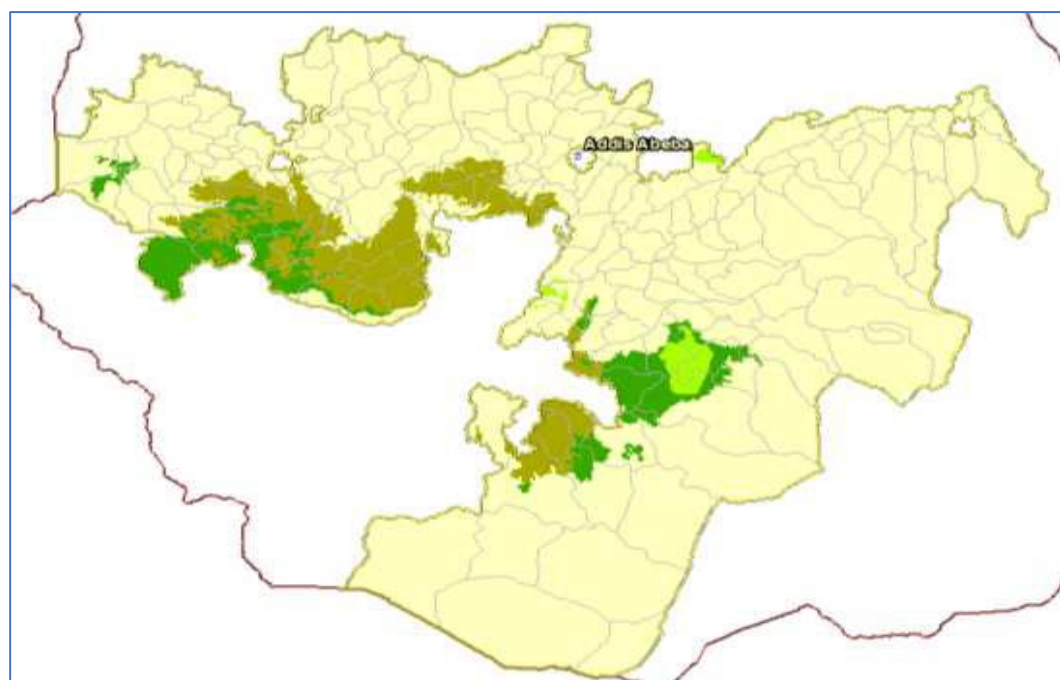
The OFLP-ERP geographic boundary would be all forests in Oromia. The region is located between 3024'20"-10023'26" N latitudes and 34007'37"-42058'51" E longitudes. The Oromia national regional state is bordered with all regions except with Tigray region. It is the largest region in terms of area (about 30 million ha) and population over 30 million. Agriculture, livestock, and services constitute the dominant economic sectors of the region. More than 88% of the population of the region makes a living from the land in rural areas (i.e., agriculture including livestock). The region is also home for the largest livestock population in Ethiopia, 24.4million (CSA, 2018³). Overall, poverty rate in Oromia has decreased from 28.7% in 2011 to rate of 23.9% in 2016 (WB, 2020⁴

³ CSA (2018) Agricultural sample survey 2017/18, Volume II report on livestock & livestock Characteristics (Private peasant holding)

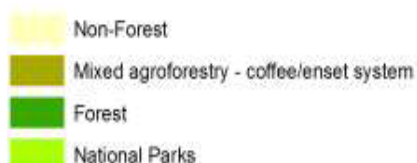
⁴ Ethiopia Poverty Assessment Report, the WB, 2020

Forest cover of the region is estimated approximately at 9 million ha in total (Oromia FRL, 2018)⁵. According to the national forest definition⁶ and classification of forests (Table 4), most of Oromia’s rural woredas possess some amount of forest cover within their borders⁷. Most of Oromia’s high forest (moist montane forests) (Table 5) is found in the Bale landscape in the southeast and the Jimma/Wollega/Ilubabor landscape in the west. Bale serves as the water tower for Ethiopia’s eastern dry lands in Oromia and the Ethiopian Somali Regional State as well as for the Federal Republic of Somalia, drought-vulnerable arid areas where mobile pastoralism is the predominant livelihood system. Oromia harbors globally important biodiversity with endangered endemic species such as the Ethiopian wolf (*Canis simensis*) and the Mountain Nyala (*Tragelaphus buxtoni*). Oromia’s western forests are home to endemic coffee (*Coffea arabica*) that has high potential as export commodity item and harboring wild varieties of the species within. Furthermore, the forest and non-forest coverage in Oromia regional state is depicted below (see figure 3)

Figure 3: Forest and non-forest coverage in Oromia regional state



Key:



Source: Strategy options for the Oromia Forested Landscape Project (2014)

⁵ Calculated using Ethiopia’s Forest Reference Emissions Level Submission to the UNFCCC. (3rd version, December 2016, not publicly available yet).

⁶The Forest Sector Management at Federal EPA defines forests in Ethiopia as ‘Land spanning at least 0.5 ha covered by trees (including bamboo) attaining a height of at least 2m and a canopy cover of at least 20% or trees with the potential to reach these thresholds in situ in due course’

⁷ Most of the rural woredas have at least 5 ha of forest (2013 EMA map).

Biome	Vegetation type	Approximate portion of 6.5 M ha total forest (%)	Approximate tCO ₂ e per ha
Moist Afromontane	<ul style="list-style-type: none"> Moist evergreen afro-montane Forest Transitional rain forest 	14 %	494
Dry Afromontane	<ul style="list-style-type: none"> Dry evergreen afro-montane forest Grassland complex Afro-alpine vegetation Ericaceus Belt 	25 %	277
<i>Combretum-terminalia</i>	<ul style="list-style-type: none"> Combretum-terminalia woodland Wooded Grassland 	13 %	189
<i>Acacia-commiphora</i>	<ul style="list-style-type: none"> Acacia-commiphora woodland Bushland; Acacia wooded grassland Desert and semi-desert-scrubland 	48 %	92

Table 4: Summary of biomes (forest vegetation types) in Oromia Regional State

Forest loss and degradation are increasing in Oromia. Deforestation in Oromia has been particularly intense in zones⁸ in the west (West Wollega, Qeleme Wollega, and Ilu Aba Bora) and east (Bale and Guji). Data have shown that throughout Oromia, 372,184 ha of forest was lost between 2000 and 2013 or around 28,630 ha per year. This has resulted in over 76 million tons of CO₂ equivalent emitted into the atmosphere over this period, or around 6 million tons annually (calculated from Ethiopia's FRL submission to the UNFCCC).⁹ At the same time, the historic afforestation/reforestation (A/R) rate is almost 3668 ha per year, leading to an annual atmospheric removal of 755,901 tCO₂e.¹⁰

Deforestation and forest degradation in Oromia are driven primarily by small-scale conversions for agricultural expansion as well as wood extraction for firewood and charcoal purposes. Subsistence agriculture is the main economic activity throughout Oromia, with farmers cultivating diverse crops such as barley, wheat, beans, potatoes, and cabbage in highlands and bananas, maize, and teff in lowlands. Extraction of fuel wood is a driver of degradation throughout Ethiopia. Firewood is the primary source of energy for 94 percent of Ethiopia's population and the most important forest product consumed in Ethiopia, with the total consumption exceeding 116 million m³ in 2013. The majority of firewood is produced from natural forests, including woodlands and shrub lands, and current firewood demand is estimated to significantly exceed the sustainable yield potential of the remaining forest areas.¹¹ Indirect drivers include inadequate development and implementation of land-use plans, weak cross-sectoral policy and investment coordination, population growth and migration into forested areas, as well as road expansion.

The average erosion rate for agricultural land has been estimated at about 40 t/ha but there is wide variation between different parts of the region and between production systems¹². Several factors contributing to erosion include rugged topography with steep slopes and a thin soil layer accelerated by increased agricultural activities; and high amount of rainfall concentrated in a

⁸ Zones are administrative units in Ethiopia. Regional states are divided into zones, which are subdivided into woredas and then kebeles.

⁹ The Federal Democratic Republic of Ethiopia. (2016). Ethiopia's Forest Reference Level Submission to the UNFCCC January 2016. Retrieved from: http://redd.unfccc.int/files/2016_submission_frel_ethiopia.pdf

¹⁰ All figures are calculated based on Ethiopia's January 2016 Forest Reference Level Submission to the UNFCCC. Retrieved from: http://redd.unfccc.int/files/2016_submission_frel_ethiopia.pdf

¹¹ Unique. 2015. *Ethiopia Forest Sector Review*. Technical Report, Addis Ababa.

¹² OFLP Emission Reduction Program Document (ERPD), 2021

limited period during the year, which also contributes to erosion as rainfall intensity is a more important factor which has been exacerbated by traditional cultivation practices in which land is tilled before and left bare and loose during the main rainy season. Loss of forest and other vegetation cover over time due to population pressure and expansion of farmland has also contributed greatly to enhance erosion rates over a large part of the region.

The total sum of absolute emissions (minus removals) of the Oromia National Regional State by category and sub-category for Land Use, Land Use Cover and Forestry (LULUCF) and agriculture sectors (AFOLU) from 2008 to 2017 (ERPD, 2021) is estimated at 771,756 ktCO₂-eq (772 MtCO₂-eq); the yearly average absolute emission for the same period being estimated at 85,750 ktCO₂-eq (85 MtCO₂-eq). Methane (CH₄) and nitrous oxide (N₂O) are the primary greenhouse gases emitted because of agricultural activities. High methane emission occurs mainly as a result of enteric fermentation, whereas agricultural soil management contributes with nitrous oxide (N₂O) emission. Domestic livestock is the major source of CH₄ emissions from agriculture, both from enteric fermentation and manure management.

Climate and Meteorology: Meteorological data including rainfall, maximum and minimum temperatures, relative humidity, wind speed and sunshine hours are collected from the National Meteorological Agency (NMA). The available meteorological stations in and around the program areas have recordings of different measurements of climatic parameters and their recording periods.

Vegetation: Vegetation types of the low land areas of the country have almost similarities in general. The ERP program Woredas of the low land areas of the Oromia National Regional State especially have similar vegetation types although the coverage of the project areas varies from dense to scarce with abundant acacia species. Data obtained from natural resource sections of the Woredas indicate that the major vegetation types of the areas are *Acacia tortillis*, *Acacia nilotica*, *Acacia Senegal*, *Acacia tortortais*, *Basuallia hildebrati*, *Erewia bicolor*, *Erewia tembensis*, *Erewia villosa*, *pappea cagensis*, *Salvador presica*, *Boscia angustifolia*, *Rhas natalensi*, *Dobera glabra*, etc.

Spatial Coverage: The spatial coverage of the proposed Oromia National Regional State Emission Reduction Program (ERP) includes the entire Oromia, one of the ten regional states (including Sidama region) under the Federal Democratic Republic of Ethiopia. Oromia shares a boundary with almost every region except for Tigray. It is the largest region in terms of area (about 32 million ha) and population over 30 million. Agriculture, livestock and service constitute the dominant economic sectors of the region.

Land Use and Land Cover: The major land use and land cover includes cultivated land by annual and perennial crops, cultivable land, forest lands, bush and shrubs, grazing land, water bodies, waste lands and others.

2.4.2. Social Baseline Conditions

The social baseline conditions which have implications to the implementation of the OFLP-ER, such as community structures which are useful for establishing benefit sharing mechanisms etc, have been described below.

Demographic, Ethnic and Religious Features: The population in the Oromia regional state is estimated to be 35 million given that each year the population increases by approximately 1.1 million. The rural population of the state accounts for 89.5% of the total. More than 88% of the human population of the region makes a living from the land in rural areas. The demographic figures show almost a 50:50 ratio of men and women dominated by more than 50 % young and

dynamic population group (CSA, 2013, BoFED, 2013). Oromia is home for more than 88 % of the ethnic Oromo whereas the remaining 12 % belongs to different ethnic groups (Amhara, Hadiya, Sidama, etc). Eighty percent of the people of Oromia live in rural areas while 13 % reside in urban areas (CSA, 2007). According to the 2007¹³ census, of the total residents of the Oromia Regional State, 47.5 % were Muslim/Islam, 30.4% Orthodox Christian, 17.7 % Protestant, 3 % Traditional, and 0.5 Catholic (0.5 %).

Oromo People, Culture, and Identity: The Oromo People have rich culture and a well-developed age-based system upon which the religious, political, economic and social life of the people are organized. Among others, the *Gada* system which organizes Oromo society into age groups and rotates leadership in every eight years is a remarkable egalitarian democracy. The *Gada* institution is still functional in different parts of Oromia in general and Borena zone in particular and works very well along with the modern administration. In the system, elders are considered to be wiser and responsible for teaching, resolving conflicts, and nurturing Oromo culture. The system helps to exercise democracy, participatory government and leadership.

The Oromo people have several subgroups that vary in their cultural outlooks and livelihoods, although most of them speak the East-Cushitic language Affaan Oromoo (Oromo language). Many of the Oromo groups, including the Arsi, Borana and Guji, have developed distinct sub-identities. Broadly speaking, however, there are five main groups of Oromo:

The Western Oromo live mainly in the Wollega area and are settled agriculturists. Many have been converted to evangelical churches and other Christian sects by missionary churches.

The Northern Oromo live in Shoa (and some areas of Wollo in the Amhara region), and they are more integrated into the Amhara cultural sphere than other Oromo. The Northern Oromo are generally bilingual (speak both Amharic and Oromiffa), and most of them follow Orthodox Christianity. Some pockets of Oromo are also found as far north as Tigray.

The Southern Oromo consist of smaller sub-groups without regional cohesion. Many are pastoralists and have an agro-pastoralist lifestyle.

The Eastern Oromo live in the Harerge area and in the towns of Harar and Dire Dawa. They have strong links to the Arab world through ancient trade routes and the practice of Islam.

The fifth Oromo grouping is the Borana, considered by many to be the ‘original’ Oromo. They live in the southernmost part of Oromia. Pastoralism is a significant socio-economic sector in the Borena area.

Most Vulnerable and Underserved Groups in Oromia: Basic principles regarding vulnerable peoples are stated in the Constitution of the Federal Democratic Republic of Ethiopia and various proclamations, where the most comprehensive is the Social Protection Policy, approved by the Council of Ministers in December 2014. As per the different social assessments conducted by the Government of Ethiopia (GoE) as part of the World Bank’s Safeguards requirement in Oromia region, the underserved and vulnerable groups comprise, among others, *women in male-headed and female-headed households, Polygamous households, pastoral and agro-pastoral groups, unemployed rural youth, most vulnerable community members (such as orphans, pregnant and lactating mothers, elderly households, people living with HIV and AIDS), and occupational minorities (such as craft worker, potters, smiths, wood workers, tanners, weavers and basket weaving).*

Socio-economic: Agriculture is the dominant sector of the economy in the Oromia region. The sector provides foodstuffs, industrial raw materials, generates employment for about 89 percent of the economically active population, accounts for the largest share (more than 90%) of the export items and constitutes the largest proportion of the Regional Gross Domestic Products. For instance, in 2002 Ethiopian Fiscal Year, the Regional Gross Domestic Product growth (GDP at constant basic price) was estimated to be 9.5%. The agriculture sector contributed the lion share accounting for

¹³ This is the latest data with breakdowns on the religious composition of the population of Oromia.

about 66.4% of the total Regional GDP. Service and industry sectors took 23.3 and 10.3% respectively (OBF, 2013). Though sedentary agriculture is the main source of livelihood for the majority of the rural population in the Oromia region, pastoralism and agro-pastoralism livelihood system is common in low land areas. There are 33 pastoral and agro-pastoral woredas in the region, distributed in 6 zones (Borana, Guji, Bale, East Hararghe, East Shewa and West Hararghe). The pastoral and agro-pastoral areas of the region cover about 152,170 km².

Local Authorities: The smallest administrative level in the Oromia regional state is the kebele, which is under the responsibility of the woreda. The woreda is run by a woreda administrator. Like the structure at federal level, each woreda also has an elected council. On top of the woredas, each regional State is divided into zones. The authority at the zone level is the zonal administrator. There is also a council for which members are elected for a 3-year term. It is possible to consult with local authorities at each of these administrative levels. In Oromia region, there is a Bureau of Women and Social Affairs to which one can report matters relevant to employment. The Regional Bureaus have their representations at the zone and woreda levels.

Food Security and Livelihoods: Oromia is also home for the most productive rural landscapes in Ethiopia. Apart from the forest, agriculture, livestock and settlement mosaics are the dominant characteristic feature of these landscapes. The Oromia region is also home for the largest livestock population in Ethiopia (24.4million) CSA, 2018.¹⁴ Over 90% of the population in the Oromia region live in rural areas, where agriculture is the main source of livelihood for the majority of the people. The main agricultural crops include maize, teff, wheat, barley, peas, bean and various types of oil seeds. Coffee is the main cash crop in the region. Oromia accounts for 51.2% of the crop production, 45.1% of the area under the above-mentioned crops and 44% of the total livestock population of Ethiopia. The communities of most Woreda are pastoralists. More than 90% of the inhabitants of the most Woredas are pastoralists while few of the pastoralists who have access to water sources have started practicing crop farming in which maize is the dominant. Based on assessment made, the top economic and livelihood bases of the urban population are petty trade and crop production or farming while for rural populations' pastoral and agro pastoralist mode life. The supplementary economic activities of the communities are mining like Gold, sand and stone and also selling of milk and honey production. However, the practice of unsustainable management of land resources in Oromia has resulted in changes in land use and affects the livelihoods and welfare of the local community. The Awash River is the longest river inside Ethiopia and a source of great agro-industrial and hydroelectric power. The lakes in this region have immense potential for recreation and fishery development.

Access and Provision of Social Services in Oromia

Health: There are 3 levels of health facilities that could be considered for individuals:

- In every kebele, health posts exist that provide outreach services, including preventative and referral services. The health posts serve as a link between the community and the higher-level health facilities. Minor diseases are also treated at the health posts by health extension workers.
- At the woreda level, health centres exist that provide comprehensive primary health services both preventative and curative, in-patient and out-patient services. The health centres also provide vaccination and psychosocial support. However, not all health centres have psychiatric nurses. Services are provided by general practitioners and public health officers.
- At the zone level, one can access the General Hospital to which patients needing surgery or obstetrical care, including other specialized care, are referred.

¹⁴ CSA (2018) Agricultural sample survey 2017/18, Volume II report on livestock & livestock Characteristics (Private peasant holding)

Payment at public health facilities is affordable. A consultation at a public health facility is between 5 - 20 ETB. An average cost for treatment at outpatient level is between 150 - 200 ETB. It is advisable that each person with a chronic medical condition that needs continuation of the treatment returns with a 3-month supply of medicines. These conditions include among others tuberculosis, HIV, hypertension, diabetes, asthma and mental disability. The continued treatment can be done through the available services at the health centres. Services at private clinics are much more expensive than at public health facilities. Given the poor quality of services in some private clinics in the regions, it is advisable to use public facilities.

WASH: More than 24 woredas in the Oromia region benefit from the Government's efforts with the support of UNICEF's WASH programme to improve access to water in Oromia. This is part of the overall progress in WASH in Ethiopia, where 57 per cent of the population now relies on improved water supply sources such as water taps or hand pumps rather than unprotected and risky sources such as rivers and streams. The increased access to clean and safe water has benefitted children in Ethiopia significantly, contributing to the reduction of under-five child mortality by two-thirds and a significant reduction in child stunting.¹⁵

Education: Primary and secondary education is under the responsibility of the regional Education Bureaus. In each woreda, there is an Education Office that oversees the overall management of education. There are primary and secondary schools in each woreda in Ethiopia. Enrolment for primary and secondary education is free of charge, however, parents need to cover the cost of educational materials and uniforms. In the Oromia region, the main instruction language is Oromo from grade 1 to grade 4. English is introduced in the curriculum as the teaching language starting from grade 5.

From grade 12, if a student does not meet the Government's threshold to enroll into University, he or she is oriented to a vocational skills training centre, which is curriculum-based. The student can obtain a certificate after one year of study and a diploma after three years. As far as tertiary education is concerned, certificates obtained while in asylum have to go through the equivalency mechanism to be valid in Ethiopia; as holders of foreign higher education certificates do not automatically qualify for admission to Ethiopian higher education programmes. In this regard, affected students need to get equivalency assessment or verification of foreign certificate through the Higher Education Relevance and Quality Agency (HERQA), the responsible agency. Students can be placed at any of the universities in the country, as long as they get the placement from the Ministry of Education (MoE) after completion of grade 12 and scoring of the minimum grade points average established by the MoE or through special placement exams.

Shelter: In remote rural areas, the type of housing is a traditional cylindrical, single-cell house constructed from finely attached branches and small trees, then clad with mud and fitted with a conical roof made of grass thatch. In the towns and cities, houses are usually walled constructions fitted with corrugated iron sheet roofing. Communities, whose main activity is cattle breeding, have seminomadic migration patterns that relate to the rain and greener pastures for their livestock. They usually do not build permanent structures in the landscape but merely temporary shelters.

Banking Service: The Commercial Bank of Ethiopia (CBE) has 37 branches in Arsi, 28 in Bale, 03 in Burayu, 29 in East Hararghe, 32 in East Showa, 30 in Jimma and 15 in West Hararghe and at the woreda level. There is also the Oromia International Bank that operates in almost all areas of return in the Oromia region. This micro-finance institution provides money transfer services and the use of mobile money is foreseen in the near future.

Social Protection Services in Oromia

Persons with Special Needs: Should they have particular concerns, persons with specific needs can report to the Regional Bureau of Women, Children's and Youth Affairs that deals with specific matters relating to women, children and youth. They can also access the representations of the Bureau in their zones and woredas.

¹⁵ <https://unicefethiopia.org/category/ethiopia-2/oromia/page/2/>

Child Protection: Birth certification is done at the woreda level, where parents have to declare the birth of their child at the INVEA. Issues related to the protection of children, children's rights, etc. are dealt with by the Bureau for Women, Children and Youth Affairs and its divisions at the zone and woreda levels.

Sexual and Gender Based Violence: Due to East Shewa and Arsi being close to Addis Ababa, survivors can access one of the three (3) One-Stop-Centres in Addis Ababa that provide a comprehensive response to SGBV. In Oromia, there are One-Stop-Centres in Adama, Jimma and Shashemene towns. One-Stop-Centres are usually located in government hospitals; these centres are public structures, where a survivor can report a SGBV incident and receive an adequate response, including medical, legal, psychosocial and safe space services. In locations, where there are no One-Stop-Centres, survivors can approach the Bureau of Women, Children's and Youth Affairs at the zone level as the main point of entry for reporting SGBV and child protection incidents. The One-Stop-Centre is a public service and is free of charge.

Social Cohesion: There are reports on resurgent inter-communal clashes, often along ethnic lines, spilling over from other regional states into the Oromia regional state and/or arising within the Oromia region itself. This negatively impacts the fragile cohesion existing in those locations. Community leaders and elders assemble at the kebele under the chairmanship of the kebele administration and conduct mediation to resolve problems. If the mediation fails, the issue is brought to the attention of the woreda administrator and his council. If not resolved, the matter is escalated to the zonal and regional level.

Access to Justice: On federal matters, regional judicial bodies carry the functions of federal bodies by delegation. They have three layers as in Addis Ababa: the first instance, the High Court and the Supreme Court. There are also Sharia courts in the Oromia region, but referral of case to these courts is optional. The competency of the Sharia courts is limited to personal and civil matters.

Law Enforcement: People have unhindered access to the Police, which is the first port of call for reporting security incidents. Uniformed police solve minor disputes and conflict over farmland, water and pastures and other communal assets. As law enforcement agents, they maintain law and order and in the woredas and kebeles.

Chapter 3: Administrative, Policy and Regulatory Framework for Environmental and Social Management

3.1. The FDRE Constitution

The Proclamation of the Constitution of the Federal Democratic Republic of Ethiopia (Proclamation No 1/1995) has a special article on sustainable development, natural resource and the environment. For instance, Article 40 of the Constitution proclaims that land and natural resources are commonly owned by the people of Ethiopia and shall not be subject to sale or other means of exchange. It stipulates the rights of Ethiopian farmers and pastoralists to obtain land for cultivation and for free grazing without payment and the protection against eviction from their possession. Further, Article 43 explains about people's right in development while Article 44 Sub Article 1, Article 51 & 52 focus on natural resource governance, and Article 92 focus on the environment. Article 43 satisfactorily stresses the people's right to improved living standards and to sustainable development, and consultation and participation regarding matters that may affect their wellbeing. Article 44 Sub Article 1 states that "All persons have the right to live in a clean and healthy environment." Furthermore, concerning compensation to Project Affected Persons (PAPs), Sub Article 2 stresses that: "All persons who have been adversely affected or whose rights have been adversely affected as a result of state programs have the right to commensurate monetary or alternative means of compensation, including relocation with adequate state assistance." Article 51 (5) gives authorization to the federal government to enact laws for the utilization and conservation of land and other natural resources, while Art. 52 (2) (d) authorizes the regional states to administer land and other natural resources in accordance with federal laws. Article 92(3) focuses on public consultation and participation by stressing that "People have the right to full consultation and to the expression of views in the planning and implementation of environmental policies or projects that affect them directly." Article 92(4) states that Government and citizens shall have the duty to protect the environment.

Regarding social sustainability and development, the Constitution underlines that the declared principles of the GoE is revolutionary democracy, which is based on the twin pillars: respect for diverse collective identities (nationalities), and respect for individual rights (citizens). The Constitution also guarantees equitable access by all Ethiopian people to public goods and services. Articles 14, 29, 31, 35, 39, 40, 41 and 43 provide the core principles and frameworks for subsequent proclamations on issues related with social development.

3.2. The Second Growth and Transformation Plan (GTP-II) and Climate Resilient Green Economy Strategy (CRGE)

The GTP-II and the CRGE strategies prioritize attainment of middle-income status by 2025 and, through the CRGE Strategy, achievement of this by taking low carbon, resilient, green growth actions. Both strategies emphasize agriculture and forestry, which the CRGE Strategy reports would "contribute around 45 and 25 percent, respectively, to projected greenhouse gas (GHG) emission levels by 2030 under business-as-usual assumptions, and together account for around 80 percent of the total abatement potential." The GTP-2 aimed to "increase socioeconomic and ecological benefits of forests through improved forestry development, conservation and utilization", and targeted about 5 million hectares of additional forest cover during the GTP-2 period (2016-2020), in line with the CRGE ambition. In this regard, the CRGE strategy was mainstreamed into the Second Growth and Transformation Plan (GTP II) for the 2015-2020 period. Ethiopia has also updated its NDC building on the 10YDP and with extensive review and participation of relevant stakeholders Very recently (July 2021), covering the period between 2020 and 2030 through building upon several national climate and development policy initiatives including the first NDC, the CRGE mid-term review, the emerging 2050 Long Term Low Emission Development Strategy (LT-LEDS), the Green

Legacy Initiative, and Ethiopia's 10YDP which considers CRGE as one of its strategic pillars for the period 2020-2030.

3.3. Oromia Regional State Constitution

The Oromia Regional State (ORS) has its own constitutions upholding the FRDE Constitution in its entirety and constituting its regional particulars. The ORS Constitution has addressed land and natural resources management and environmental protection as stated below.

- The Regional Government is entrusted to administer land and natural resources in the name of the people and deploy for the common benefit of the same;
- The Regional Government and all citizens of the Region are responsible for the conservation of natural resources and the environment; and
- Concerned communities shall be given opportunity to express their opinions in the formulation and implementation of policies in relation to the environment.

3.4. Environmental Policy of Ethiopia

The environmental policy of Ethiopia, approved in 1997, is aimed at guiding sustainable social and economic development of the country through the conservation and sustainable utilization of the natural, man-made and cultural resources and the environment at large. The policy lists specific objectives encompassing wide range of environmental issues to be addressed through the adoption of the policy. It also provides overarching environmental guiding principles to be adopted to harmonize the environmental elements in sectoral and cross sectoral policies. The policy includes ten sectoral environmental policies (such as (i) Soil Husbandry and Sustainable Agriculture; (ii) Forests, Woodlands and Trees; (iii) Genetic, Species and Ecosystem Biodiversity; (iv) Water Resources; (v) Energy Resources; (vi) Human Settlement, Urban Environment and Environmental Health; (vii) Control Of Hazardous Materials and Pollution from Industrial Waste; (viii) Atmospheric Pollution and Climate Change; and (ix) Cultural and Natural Heritage); and ten cross-sectoral environmental policies (such as Pollution and the Environment; Community Participation and the Environment; Social and Gender Issues; and Environmental Impact Assessment).

3.5. Forest Development, Conservation and Utilization Policy and Strategy

The main objective of the Forest Development, Conservation and Utilization Policy and Strategy is to conserve and develop forest resources properly so that there could be sustainable supply of forest products to the society (hence satisfying the demand) and contribute to the development of the national economy. It also encourages public and private sectors to participate in forest development; improving productivity of forests; and also improving, replicating and distributing suitable tree species. It gives due emphasis and precedence for local community in the development of forest resources. It stresses the participation of local communities in the management of, and sharing of benefits from, State forests. Therefore, the policy framework gives procedures for proper implementation of REDD+ safeguard instrument specially in participating the local community and forest dependent community.

3.6. Rural Development Policy and Strategies

Agriculture Development led Industrialization's core principle is that increased agricultural productivity is the engine for both agricultural and industrial growth. That is, through the use of Green Revolution technologies the low productivity of traditional Ethiopian farming systems would be substantially improved. It is aimed at transforming the country's economy into a well-developed and prospered one. This agricultural policy and strategies is based on the objective

realities of the country and its prime objective is to accelerate agricultural production and productivity at all levels.

The Agriculture Development led Industrialization is reflected in the Rural Development Strategy (2001) which further stresses the role of increased agricultural production as the basis for the country's development. The strategy is driven by the quest for ensuring food security and enhancing rural employment opportunities. The Strategy is made up of eight building blocks; namely: Technology generation and dissemination; Food security, including resettlement and water harvesting; Agricultural extension and vocational training; Agricultural marketing (of inputs and outputs); Rural finance; Development of cooperatives; Rural transport; and Rural land administration and management.

In most of the above building blocks, environmental considerations are included in an implicit manner. Explicit consideration is rather given to the need to sustain production through use of appropriate technologies, development of tailored extensions and trainings to agro-ecological zones, and sustainable land management and land use.

3.7. Ethiopian Water Resources Management Policy (1999)

The overall goal of the Policy is to enhance and promote all national efforts towards the efficient, equitable and optimum utilization of the available Water Resources of Ethiopia for significant socioeconomic development on sustainable basis. The Policy aims to ensure access to water for everyone fairly and in a sustainable manner, protect water resources and sources, and promote cooperation for the management of river basins. The Policy also requires water resources schemes and projects to have Environmental Impact Assessment and Evaluation.

3.8. Energy Policy

The Policy provides general direction wherein, among others, expansion of forests and agro-forestry is needed to accelerate economic development of the country. Other policy areas that are given due attention include energy saving. It is one of the policy areas where improvement of saving mechanisms for energy production, transportation and utilization shall be devised. Following this policy, different programs were designed and are being implemented.

3.9. Biodiversity Conservation and Research Policy

The Policy was approved in 1998 and it provides policy guidance towards the effective conservation, rational development and sustainable utilization of the country's biodiversity. The policy objectives accentuate public participation in biodiversity conservation, development and utilization, and also ensure that communities share from the benefit accrued from the utilization of the genetic resources and their traditional knowledge. The policy consists of comprehensive provisions on the conservation and sustainable utilization of biodiversity, and it underlines the requirements for implementers to adopt during planning and operational phase of projects and for those projects engaged in biological resource utilization to follow ESIA procedures. Besides the Policy, the National Biodiversity Strategy and Action Plan provides guidance towards the effective conservation, rational development and sustainable utilization of the country's biodiversity. It also encourages and supports public participation in the conservation, development and use of biological resources.

3.10. National Biodiversity Strategy and Action Plan (2005)

The National Biodiversity Strategic and Action Plan (NBSAP) of Ethiopia was issued in December 2005 with the overall goal establishing of effective systems that ensure the

conservation and sustainable use of the biodiversity of the country, that provide for the equitable sharing of the costs and benefits arising therefrom, and that contribute to the well-being and security of the nation (IBC, 2005).

NBSAP defines the current status of, pressures on, options for, and priority action to ensure the conservation, sustainable use, and equitable share of benefits accrued from the use of biological diversity of Ethiopia. The NBSAP is prepared to serve as a roadmap for supporting the environmental component on Ethiopia's journey to sustainable development being as member parties of the CBD.

The strategy recognizes that successful conservation shall be achieved by changing human attitudes, use regimes and promoting collaborative management. The policy boldly acknowledges collaborative management of the biodiversity (natural resources) but never exclusive management by either communities or governments. The policy states the need for the mutual understanding between the government and communities with the government recognizing the interests and rights of local communities, while communities recognize that such management to be part of a larger political and environmental framework.

3.11. Proclamations and Environmental Guidelines

3.11.1. Proclamations and Regulations

Environmental Protection Organs Establishment Proclamation, No. 295/2002

The objective of the Proclamation (No. 295/2002) to establish a system that fosters coordinated but differentiated responsibilities among environmental protection agencies at federal and regional levels as well as sector environmental units so as to foster sustainable use of environmental resources, thereby avoiding possible conflicts of interests and duplication of efforts.

Although the former Environmental Protection Authority had been upgraded to a Ministry level (MEF) by the Proclamation No. 803/2013 now it is restructured back to the original Federal Environment Protection Authority in September 2021; and the duties and responsibilities of the federal environmental protection authority.

Sectoral Environmental Units: Every competent agency (line ministry) is required by the Proclamation No. 295/2002 to establish or designate an environmental unit that shall be responsible for coordination and follow up so that the activities of the competent agency are in harmony with this Proclamation and with other environmental protection requirements. Accordingly, some sectoral agencies (such as MoA, MoT, and MoM) have established environmental units to deal with environmental issues and CRGE.

Regional Environmental Protection Agencies (REPAs): The Proclamation No. 295/2002 decrees that each national regional state shall establish an independent regional environmental agency or designate an existing agency that shall, based on the Ethiopian Environmental Policy and Conservation Strategy and ensuring public participation in the decision-making process. REPAs are responsible for:

- coordinating the formulation, implementation, review and revision of regional conservation strategies;
- environmental monitoring, protection and regulation;

- Ensuring the implementation of federal environmental standards or, as may be appropriate, and issue and implement their own no less stringent standards; and
- Preparing reports on the respective state of the environment and sustainable development of their respective states and submits the same to the Authority.

Definition of Powers and Duties of the Executive Organs Proclamation No.916/ 2015

The Proclamation redefines the mandates of several federal government agencies including that of the Federal Environment Protection Authority. The responsibilities include, among others:

- environmental impact assessment or strategic environmental assessment on social and economic development policies, strategies, laws, programs and projects set by the government or the private sector;
- prepare a mechanism that promotes social, economic and environmental justice and channel the major part of benefit derived thereof to the affected communities to reduce emissions of greenhouse gases that would otherwise have resulted from deforestation and forest degradation;
- coordinate actions on soliciting the resources required for building a climate resilient green economy in all sectors and at all Regional levels; as well as provide capacity building support and advisory services;
- establish a system for evaluating and decision making, in accordance with the Environmental Impact Assessment Proclamation, the impacts of implementation of investment programs and projects on environment prior to approvals of their implementation by the concerned sectoral licensing organs or the concerned regional organs;
- prepare programs and directives for the synergistic implementation and follow up of environmental agreements ratified by Ethiopia pertaining to the natural resources base, desertification, forests, hazardous chemicals, industrial wastes and anthropogenic environmental hazards with the objective of avoiding overlaps, wastage of resources and gaps during their implementation in all sectors and at all governance levels;
- take part in the negotiations of international environmental and climate change agreements and, as appropriate, initiate a process of their ratification; play key role in coordinating the nationwide responses to the agreements; and
- formulate environmental safety policies and laws on the production, importation, management and utilization of hazardous substances or wastes, as well as on the development of genetically modified organisms and the importation, handling and utilization of genetically modified organisms or alien species, and ensure their implementation.

The Proclamation also envisages the development of environmental cost-benefit analysis and formulates an accounting system to be integrated in development plans and investment programs.

Environmental Impact Assessment Proclamation No. 299/2002

This Proclamation clearly indicates that major development programs, plans and projects of the private or public enterprises shall be subjected to Environmental Impact Assessment study before their approval for implementation. This means that Environmental Impact Assessment is a proactive (not reactive) tool used to predict and manage the environmental effects of a proposed development activity during its design, construction, operation or an ongoing industry as a result of its modification.

The proclamation also provides a legal base for the effective means of harmonizing and integrating environmental, economic, cultural and social considerations in to the planning and

decision making processes there by promoting sustainable development. Further, it serves as a basic instrument in bringing about administrative transparency and accountability, to involve the public and the communities in particular, in the planning and execution of development programs that may affect them and their environment.

The objective of undertaking the assessment study is to ensure the impacts of a development project and the incorporated mitigating measures for the adverse significant impacts, and policy programs are adequately considered while decisions are put into effect.

As per the procedures in the Proclamation, a proponent is required to undertake a timely environmental impact assessment, assess the possible adverse impacts of the proposed project, and propose the means of mitigation, and shall submit the study report to the relevant body (Federal or regional EPA) for review and decision. It is also a requirement that ESIA reports be prepared by an expert that meet the requirements specified under any directive issued by the Authority (regional/federal).

The regional environmental agency in each region shall be responsible for the evaluation and authorization or any environmental impact study report and the monitoring of its implementation if the project is not subject to licensing, execution and supervision by a federal agency and if it is unlikely to produce trans-regional impact.

Environmental Pollution Control Proclamation No. 300/2002

This Proclamation is aimed at eliminating or, when not possible, to mitigate pollution as an undesirable consequence or social and economic development activities. It also states that the protection of the environment and safeguarding of human health, as well as the maintaining of biota and the aesthetic value of nature are the duty and responsibility of all citizens. It further considers other important issues such as control of pollution; management of hazardous waste, chemical and radioactive substances; the importance and need to respect environmental standards; and punitive and incentive measures.

Forest Development, Conservation and Utilization Proclamation (No. 1065/2018)

The Proclamation was issued in January, 2018 for the sustainable development, conservation and utilization of forests in order to address effects of climate change, preventing soil erosion, desertification and loss of biodiversity, sustain agricultural productivity, ensure food security and enhance other benefits from forest developments. It applies to private, community, association and state-owned forests. For each sort of ownership, the proclamation, stipulates the rights and obligations in forest developments.

It also provides incentives in forest development by the private and community ownerships. A provision with specific implication to the ERP involves the following. During program implementation, the government through relevant bodies will make sure to:

- Protect the forest from invasive species, pests and diseases; and apply curative measures in case of occurrence of same;
- Protect the forest resources from natural and man-made disasters;
- Conserve and administer any protected forest; and
- Rehabilitate and protect development plans on forest lands.

Regulation for Wildlife Development, Conservation and Utilization (Regulation no. 163/2008)

Regulation no. 163/2008 on the Wildlife Development, Conservation and Utilization was by Council of Ministries in 2008. The regulation gives room for the community to manage and utilize wildlife conservation outside protected areas that is not administered either by the government or private concessionaire.

Article 5(3b) states that persons who were inhabitants of wildlife reserve prior to the date of its establishment, to continue residing therein and article 5 (4) states that persons authorized to reside in a wildlife reserve shall have the right to cultivate their land plots without expanding, to allow their domestic animals graze and water, and to undertake bee keeping therein. But when the organ administering the wildlife reserve wishes to further develop the area, the inhabitants may be resettled elsewhere.

Rural Land Administration and Use Proclamation, No.456/2005

The main aim of the Proclamation is to conserve and develop natural resources in rural areas by promoting sustainable land use practices. In order to encourage farmers and pastoralists to implement measures to guard against soil erosion, the Proclamation introduces a Rural Land Holding Certificate, which provides a level of security of tenure. The MoA is tasked with implementing the Proclamation by providing support and co-coordinating the activities of the regional governments. Regional governments have an obligation to establish a competent organization to implement the rural land administration and land use law. Accordingly, the Oromia BL is responsible for rural land administration. The Proclamation states that if a land, that has already been registered, is to be acquired for public works or for investment, compensation commensurate with the improvements made to the land shall be paid to the land use holder or substitute land shall be offered. The most relevant provision of the Proclamation regarding the government's effort to increase forest cover is Article 13. The title of this Article reads as: Land use planning and proper use of sloppy, gulley and wetlands. Article 13(6) states that rural lands with slope of more than 60%, shall not be used for farming and free grazing; they shall be used for development of trees, perennial plants and forage production. As land use plan is one of the strategic agenda that is going to be implemented in REDD+ implementation phase, the Proclamation will help reduce risk and enhance the benefit related to land use planning.

Proclamation No. 1161/2019: Expropriation of Land for Public Purposes, Payments of Compensation and Resettlement of Displaced People:

The FDRE House of People's Representatives has recently rectified Proclamation No.1161/2019 that deals with "Expropriation of Land for Public Purposes, Payments of Compensation and Resettlement of Displaced People", and replaced the previously active legislation on the matter, i.e., Expropriation of Land and Compensation Proclamation No. 455/2005. The new Proclamation gives priority rights to develop Land for the Landholders when the capacity of the Landholders to develop the land as per the approved land use plan; urban structural plan; or development master plan is presented. It states, "Landholders whose holdings are within the area prescribed to be redeveloped shall have priority rights to develop their lands according to the plan either individually or in a group" (Article 7, sub-article 1-2).

The new Land expropriation, compensation payment and resettlement Proclamation, compared with the Proclamation No. 455/2005, has improved a number of issues related to compensation and resettlement, among others, the major improvements are:

- ✓ Number of years for permanent loss of farmland has increased from ten (10) years into fifteen (15) years;
- ✓ The number of consecutive years of productivity of crops and price considered for compensation estimate is reduced from five (5) to three (3) years of which the best productivity and price of the three (3) years is to be considered;
- ✓ Time limit for the landholder to whom compensation is not paid after estimation, can use the land for former purpose is added in the new proclamation (Article 3, sub-article a, b and C);
- ✓ Number of days of notice for illegal holders is set to be thirty (30) days (Article 8);
- ✓ Displaced People shall be compensated for the breakup of their social ties and moral damage they suffer as a result of the expropriation (Article 4e); and

Provision on resettlement packages that enable displaced people to sustainably resettle (Article 16, sub-article 2)

Regulation for Payment of Compensation for Property Situated on Landholding Expropriated for Public Purposes (Regulation No. 472/2020)

Assets will be broken down into components to assess value (Regulation No. 472/2020). Components for building costs include cost per square meter. Crops are subdivided into crops and perennial crops, and calculated based on yield per square meter of land multiplied by price per kilogram. Trees could be cut and used by owner plus payment of compensation for loss of continued income. The cost of machinery, labour for improvement, and any infrastructure as part of the improvement will be compensated based on current costs. Property relocation is based on the cost to relocate property given that it is not damaged while being moved plus cost of installation and/or connection. The amount of compensation for loss of land that is used for grazing or production of grass is based on the area of land and the current price per square meter plus cost of permanent improvement on land.

Further, assets will be classified as movable and immovable. For movable assets, compensation will be paid for inconvenience and other transition costs (Regulation No. 472/2020 Article 18(1)). Urban immovable assets include residential houses, business installations, institutional structures, stores, fences and public service providing installation. In rural areas, they include seasonal crops, perennial fruit trees, timber trees and other cash crops.

In addition to compensation according to Regulation No. 472/2020, a displacement compensation shall be paid equivalent to fifteen times the average annual income he/she secured during the five years preceding the expropriation of the land (Regulation No. 472/2020 Article 26).

Access to Genetic Resources and Community Knowledge and Community Rights Proclamation No. 482/2006

This proclamation appreciates the historical contribution of the people of Ethiopia made to the conservation, development and sustainable utilization of biodiversity resources and further acknowledge their contribution to the international and regional commitments the country

ratified (such as CBD) to conserve the natural resources as well as reputed the right of the community regarding the genetic resources (such as African Model Law on Community, Farmers' and Plant Breeders' Right and Access to Biological Resources).

The right of the community to access the genetic resource, benefit sharing, and use rights are given in article 7, 8 and 9 respectively. The proclamation states that the community has the right to refuse consent to the utilization of genetic resource when they believe that the intended access will be detrimental to the integrity of their cultural or natural heritages or even can withdraw for the same reason on consent they gave earlier. It is indicated that the state and communities shall have a fair and equitable benefit sharing arising out of the utilization of genetic resources and community knowledge accessed.

Ethiopian Water Resources Management Proclamation, No. 197/2000

The Proclamation is decreed to ensure that the water resources of the country are protected and utilized for the highest social and economic benefits of the people of Ethiopia, to follow up and supervise that they are duly conserved, ensure that harmful effects of water are prevented, and that the management of water resources is carried out properly. It proclaims that all water resources of the country are the common property of the Ethiopian people and the state. It addresses general principles of water use and management, inventory of water resources, professional engagement in water resource management and supply. Articles 24 and 25 of the Proclamation also clearly indicate the requirements on water bank management and prevention of harmful effects on water resources.

3.11.2. Environmental and social impact assessment guidelines

The former FEPA has prepared series of environmental and social impact assessment guidelines for the different sectors outlining the key issues, principles, procedures and processes to be adopted and adhered to avoid and/or mitigate potentially negative environmental and social impacts during project planning, implementation and operation by government, public and private entities. Some of the guidelines are generic and applicable in different sectors and there are also sector specific guidelines prepared for key environmental and social issues to adhere during the ESIA analysis in those specific sectors.

Environmental Impact Assessment Guideline, May, 2000

This Guideline provides the policy and legislative framework, the general ESIA process and key sectoral environmental issues, standards and recommendations for environmental management in key sectors such as agriculture, industry, transport, tannery, dams and reservoirs, mining, textiles, irrigation, hydropower and resettlement projects.

Environmental and Social Management Plan Preparation Guideline, Nov. 2004

The guideline provides the essential components to be covered in any environmental management plan (e.g., identified impacts, mitigation measures, monitoring, capacity building, etc.) and structured formats for mitigation measures, monitoring and institutional arrangements.

Similar guidelines for the different sectors include the following:

- *Environmental and Social Impact Assessment Guidelines for Dams and Reservoirs, 2004*

- *Environmental Impact Assessment Guideline for Fertilizer, 2004*
- *Guidelines for Social, Environmental and Ecological Impact Assessment and Environmental Hygiene in Settlement Areas, 2004*
- *Environmental Impact Assessment Guidelines on Irrigation, 2004*
- *Integrated Environmental and Social Impact Assessment Guidelines Livestock and Rangeland Management, 2004*
- *Environmental Impact Assessment Guideline for Mineral and Petroleum Operation Projects, December 2003*
- *Environmental Impact Assessment Guideline on Pesticides, May 2004*
- *Environmental Impact Assessment Guidelines on Road and Railway, 2004*
- *Environmental Impact Assessment Guidelines on Forestry, 2004*

A Directive Issued to Determine Projects Subject to Environmental Impact Assessment, Directive No.1/ 2008

The directive was issued to identify and list out those investment projects subject to mandatory Environmental Impact Assessment. The regions are entitled to issue similar directive to their own specific cases based on this directive. List of project types requiring EIA are provided in this directive.

3.12. Relevant and applicable international conventions

Ethiopia is a party to a number of Multilateral Environmental and Social Agreements (MESAs). Many of the principles and provisions in these conventions have been well addressed in the national environmental and social policies and regulations.

3.12.1. Multilateral Environmental Conventions

Some of the main MEAs (such as UNFCCC, UNCCD, and UNCBD) are briefly stated below. United Nations Framework Convention on Climate Change (UNFCCC): Ethiopia has ratified the Convention by Proclamation No. 97/1994 on May 2/1994. This Convention takes into account the fact that climate change has trans-boundary impacts. Its basic objective is to provide for agreed limits regarding the release of greenhouse gases into the atmosphere and to prevent the occurrence or minimizes the impact of climate change. OFLP will have a positive contribution to the objective of with the UNFCCC through enhancing carbon sequestration and reducing greenhouse gas emissions.

The United Nations Convention to Combat Desertification: Ethiopia has ratified the Convention by Proclamation No. 80/1997. The objective of the Convention is to combat desertification and mitigate the effects of droughts in countries experiencing serious drought and/or desertification, particularly in Africa. As OFLP-ER will have significant contribution to reduce land degradation (including deforestation and forest degradation) as well as vulnerability to adverse impacts of climate change, it will contribute directly or indirectly to the objective of the Convention.

United Nations Convention on Biological Diversity (UNCBD): Ethiopia has ratified this Convention by Proclamation No. 98/94, on May 31, 1994. The Convention has three goals: (i) the conservation of biodiversity; (ii) the sustainable use of the components of biodiversity; and (iii) the fair and equitable sharing of the benefits arising from the use of genetic resources. OFLP will have significant contribution to the attainment of the UNCBD objectives as well.

Convention on International Trade in the Endangered Species of Fauna and Flora (CITES): It provides an international umbrella for management and control of trade in endangered fauna

and flora. Its aim is to ensure that international trade in specimens of wild animals and plants does not threaten their survival. It is initiated because of the crosses borders nature of the trade in wild animals and plants which necessitates international cooperation to safeguard certain species from over-exploitation. CITES provides a framework to be respected by each Party, which has to adopt its own domestic legislation to ensure that CITES is implemented at the national level. Ethiopia ratified the convention in 1989.

The Stockholm Convention on Persistent Organic Pollutants: Ethiopia has ratified this Convention by Ethiopia by Proclamation No. 279/2002, on July 2, 2002. The Convention aims to ban the use of persistent organic pollutants (POPS).

The Rotterdam Convention: Ethiopia has ratified this Convention by Ethiopia by Proclamation No. 278/2002, on July 2, 2002. This Convention relates to prior informed consent in the context of international trade in specific hazardous industrial chemicals and pesticides.

The Great Green Wall Initiative of the Sahara and the Sahel was conceived as a sound initiative towards ensuring sustainable environmental management to African countries. It is anticipated that it could help in strengthening efforts made to arrest loss of biodiversity, control desert encroachment, and improve resilience of the local community to climate change impacts. The GGWSSI is an initiative with a broader target of increasing food security; reduce poverty by diversifying livelihood opportunities through climate resilient development approaches. This initiative was emerged to protect the expansion of the Sahara Desert via planting a wall of trees which stretches from Dakar to Djibouti with a width of 15 kilometers and a length of up to 7000 kilometers. The wall envisioned by 11 African countries (Burkina Faso, Djibouti, Eritrea, Ethiopia, Mali, Mauritania, Niger, Nigeria, Senegal, Sudan and Chad) on the southern border of the Sahara, and their international partners, is aimed at preventing the expansion of the Sahara Desert into the Sahel. Ethiopia ratified the “Convention related to the Creation of The Pan African Agency of the Great Green Wall Ratification Proclamation No. 842/2014” in July 2014.

3.11.2 Multilateral Social Conventions

International Covenant on Economic, Social and Cultural Rights: (adopted in 1966 and come in to force in 1976, ratified by Ethiopia in 1993): The Covenant together with the International Covenant on Civil and Political Rights and the Universal Declaration on Human Rights make up the International Bill of Rights. It addresses such fundamental rights as the right to fair conditions of employment, the right to social security, the right to food, clothing and housing, and the right to culture.

United Nations Declaration on the Rights of Indigenous Peoples (adopted in by the United Nations General Assembly in 2007): It provides general issues on indigenous peoples right to the full enjoyment, as a collective or as individuals, of all human rights and fundamental freedoms as recognized in the Charter of the United Nations, the Universal Declaration of Human Rights and international human rights law. It establishes minimum standards to protect the individual and collective rights of indigenous peoples. Although Ethiopia has not yet ratified the convention, it has affirmatively voted to the declaration.

United Nations Convention on the Rights of the Child (UNCRC): the UNCRC was adopted by the General Assembly in 1989 and Ethiopia ratified the Convention in 1991. The Convention premised on the idea of the "best interests of the child," and the Convention's four main principles are: (1) non-discrimination; (2) devotion to the best interests of the child; (3) the right to life, survival and development; and (4) respect for the views of the child.

United Nations Convention on the Elimination of Discrimination against Women (CEDAW): it was adopted by the General Assembly in 1979 and ratified by Ethiopia in 1981. The Convention establishes that discrimination against and inequality faced by women violates human rights principles. It calls on States Parties to actively remedy discrimination against women in several key areas such as marriage, employment, education and religion.

3.13. World Bank's Environmental and Social Standards applicable to the -ERP

The World Bank Environmental and Social Framework (ESF), which was launched in 2018 and is under implementation since 2019, has standardized, harmonized and transformed the World Bank's safeguard policies into a more broadly systematized but simplified social and environmental standards. The ESF provides more flexible and transparent approach to the borrower in order to improve the management of environmental and social risks and impacts resulting from project activities. The ESF is centered at ensuring sustainability of development outcomes. The ESF has improved a broader and systematic coverage of the environmental and social risks (in a simplified structure for monitoring and evaluation), with improved transparency, public participation, inclusiveness and non-discrimination, accountability, and expanded roles for grievance redress mechanisms. Besides, the ESF harmonizes the Bank's Environmental and social protections with those of other development institutions. The ESF consists of ten Environmental and Social Standards (ESSs) that Borrowers will have to comply with in order to manage the risks and impacts of a project and to improve their environmental and social performance. The new ESF requires preparing new ESRM instruments such as the ESCP, SEP and LMP for investment projects such as the OFLP-ERP. Hence, this ESMF is updated as per the new ESF of the World Bank. Among the ten ESSs, except for ESS9, all the other ESSs are applicable to the OFLP-ERP and they are described below.

ESS1: Assessment and Management of Environmental and Social Risks and Impacts

The ESS 1 requires Borrower to undertake assessment and management of environmental and social risks and impacts. This standard aims at identifying, evaluating and managing the E&S risks and impacts, and adopting a mitigation mechanism to avoid, minimize or reduce risks and impacts to acceptable levels, where not possible, compensate or offset them when technically and financially feasible, utilizing national environmental and social institutions, systems, laws, regulations and procedures in the assessment, development and implementation of projects, and promoting improved environmental and social performance, in such a way that recognizes and enhances the capacity of the borrower. The OFLP-ERP will be implemented in the entire region and the E&S risks emanate from the fragile environment with the complex social relationships in the intervention areas, from inadequate enforcement in natural resources management and inadequate cross-sectoral coordination. Besides, the fragility in security situation in the country along with instability in some parts of the Oromia region, mainly in the western Wollega cluster zone, could also adversely affect the OFLP ERP and implementation of the ESRM activities. The sub-project activities to be financed by the BSP related to distribution of ER payments include maintenance of schools, clinics and roads, and bee keeping and cattle fattening activities, among others. Accordingly, the potential environmental risks and impacts include community and occupational health and safety issues; soil disturbances; disturbance of environmentally sensitive areas; contamination/pollution of soil and water resources due to the use of agrochemicals, including pesticides, in nursery and agroforestry sites; and environmental (dusts, greenhouse gas emissions and/or noise) problems related to small-scale infrastructure (e.g. livelihoods supporting activities; etc.) construction and maintenance activities and ER payment activities. There are also potential risks of reversals and displacements/leakages (due to inadequate enforcement/coordination) under the ERP which may impact biodiversity and

forest dependent livelihoods, which will, in turn, cause pollution and harm to local communities. Thus, the OFLP-ERP's E&S risk rating (ESRR) is substantial. The project's ESRR classification is based on the info provided below (as per ESS1), which will be applicable for subprojects during implementation as well.

Category	Definition
High Risk	Projects encompassing sub-project or activities with potential significant adverse environmental or social risks and impacts that are diverse, irreversible, or unprecedented. Examples of these activities includes project affecting highly sensitive ecosystems services, project with large resettlements components, projects with serious occupational and health risks, projects which poses serious socio-economic concerns
Substantial Risk	The Project may not be as complex as High-Risk Projects, its environmental and social scale and impact may be smaller (large to medium) and the location may not be in such a highly sensitive area, and some risks and impacts may be significant. Potential risks and impacts are likely to be mostly temporary, predictable and/or reversible. Adverse social impacts of the Project, and the associated mitigation measures, may give rise to a limited degree of social conflict, harm or risks to human security. Mitigatory and/or compensatory measures may be designed more readily and be more reliable than those of High-Risk Projects. There is medium to low probability of serious adverse effects to human health and/or the environment (e.g., due to accidents, toxic waste disposal, etc.), and there are known and reliable mechanisms available to prevent or minimize such incidents.
Moderate risk	The potential adverse risks and impacts on human populations and/or the environment are not likely to be significant. This is because the Project is not complex and/or large, does not involve activities that have a high potential for harming people or the environment, and is located away from environmentally or socially sensitive areas. Potential risks and impacts and issues are predictable and expected to be temporary and/or reversible; low in magnitude; site specific, without likelihood of impacts beyond the actual footprint of the Project; low probability of serious adverse effects to human health and/or the environment; and reversible and readily addressed through mitigation measures. Examples of these projects include small scale agricultural initiative, school's construction, forest management activities, low emission energy project.
Low risks	Projects with activities with minimal or negligible or no adverse environmental and social risks and or/ impacts. Example of these projects or activities include education and training, public broad casting, health and family planning, monitoring programmes, and advisory services projects. These Projects, with few or no adverse risks and impacts and issues, do not require further ES assessment following the initial screening.

Overall, the environmental risks and impacts of the OFLP-ERP are mostly site-specific, temporary, and reversible as the activities (implemented under OFLP grant, REDD+ Investment Project (RIP), the two legacy REDD+ projects, and the Green Legacy Initiative) that will generate ERs are being safeguarded through the OFLP E&S instruments and will be sustained and monitored during this ERPA phase. If additional activities that will generate emissions reductions are identified, they will be required to comply with the umbrella OFLP E&S risk management requirements. In any case, the underlying programs and projects are not financed by OFLP-ERP, which is exclusively limited to the purchase of the ERCs.

ESS 2: Labor and Working Conditions

The ESS2 recognizes the importance of employment creation and income generation in the pursuit of poverty reduction and inclusive economic growth. It requires borrowers to promote sound worker-management relationships and enhance the development benefits of a project by treating workers in the project fairly and providing safe and healthy working conditions. The objectives of the ESS2 are:

- To promote safety and health at work;
- To promote the fair treatment, non-discrimination and equal opportunity of project workers;

- To protect project workers, including vulnerable workers such as women, persons with disabilities, children (of working age, in accordance with this ESS) and migrant workers, contracted workers, community workers and primary supply workers, as appropriate;
- To prevent the use of all forms of forced labor and child labor;
- To support the principles of freedom of association and collective bargaining of project workers in a manner consistent with national law; and
- To provide project workers with accessible means to raise workplace concerns.

The ESS2 requires the Borrower to develop and implement written labor management procedure (LMP) that is designed to manage worker-management relationship during the implementation of the program. These procedures will set out the way in which project workers will be managed, in accordance with the provisions of national laws and this ESS2. The OFLP-ERP employs and deploys project workers at the program office, zonal and Woreda offices and engages expert consultants, contractors, temporary workers, community workers from different segments of society. The LMP will be used to manage labor related risks and to promote sound worker management relationships during the implementation of the OFLP-ERP.

Private contractors will comply with the national labor proclamation (proc.No.1156/2019) and this ESS2 requirements, which clearly spells out the (i) terms and conditions of employment; (ii) measures to ensure non-discrimination and equal opportunity; (iii) provisions to form workers' organizations; and (iv) prevention of child and forced labor.

The LMP in general will have to incorporate key aspects of conditions that will effectively address labor related risks. These include the following:

- Conditions of services;
- Code of conduct;
- Occupational, health and safety (OHS) measures;
- Covid-19 prevention measures;
- Prevention of child and forced labor;
- Emergency preparedness and response;
- Grievance redress mechanism for project workers;
- Training of project workers on key issues including OHS and GBV prevention; and
- Management of labor influx.

Requirements applicable to contractors and subcontractors shall be specified in each Sub-project specific contract document as part of the ESMP to be developed for each Sub-Project in accordance with the ESMF to address labor risks, including (but not limited to) requiring signature of and training on Code of Conduct, occupational, health and safety (OHS) measures, prevention of child and forced labor; emergency preparedness and response, grievance redress mechanism (GRM) for Project workers, training of Project workers on key issues including OHS and GBV prevention, and management of labor influx, and Covid-19 prevention and control. The ORCU shall adopt and implement appropriate measures of protection and assistance to address the vulnerabilities of Project workers, including specific groups of workers, such as women, people with disabilities, and any other disadvantaged groups in accordance with ESS2.

ESS3: Resource Efficiency and Pollution Prevention and Management

The ESS3 recognizes that economic activity and urbanization often generate pollution to air, water, and land, and consume finite resources that may threaten people, ecosystem services and

the environment at the local, regional, and global levels. The current and projected atmospheric concentration of greenhouse gases (GHG) threatens the welfare of current and future generations. At the same time, more efficient and effective resource use, pollution prevention and GHG emission avoidance, and mitigation technologies and practices have become more accessible and achievable. ESS3 has the following objectives:

- To promote the sustainable use of resources, including energy, water and raw materials;
- To avoid or minimize adverse impacts on human health and the environment by avoiding or minimizing pollution from project activities;
- To avoid or minimize project-related emissions of short and long-lived climate pollutants;
- To avoid or minimize generation of hazardous and non-hazardous waste; and
- To minimize and manage the risks and impacts associated with pesticide use.

The OFLP-ERP sub-project activities (financed as per the BSP) specifically those related to Component 1 may cause contamination/pollution of soil and water resources due to the use of agrochemicals, including pesticides, in nursery and agroforestry/tree planting activities; and environmental (dusts, greenhouse gas emissions and/or noise) problems related to small-scale infrastructure (e.g. livelihoods supporting activities; etc.) liquid and solid waste from construction and maintenance activities and ER payment activities. Generally, the ER distribution related activities are not expected to generate hazardous and non-hazardous E-waste. However, where such wastes are likely to be generated, it shall be avoided, or minimized and/or mitigated as per project specific ESMP/ESIA, by applying relevant measures and procedures including E&S screening proportionate to the nature and characteristics of sub-project activities. The generation and disposal of e-waste shall comply with the requirements in the existing national and regional legislations/guidelines on the handling and management of such wastes in compliance with this ESS3 requirement.

ESS 4: Community Health and Safety

The ESS4 recognizes that project activities, equipment, and infrastructure can increase community exposure to risks and impacts. In addition, communities that are already subjected to impacts from climate change may also experience an acceleration or intensification of impacts due to project activities. ESS4 addresses the health, safety, and security risks and impacts on project-affected communities and the corresponding responsibility of Borrowers to avoid or minimize such risks and impacts, with particular attention to people who, because of their particular circumstances, may be vulnerable. Generally, ESS4 has the following objectives:

- To anticipate and avoid adverse impacts on the health and safety of project-affected communities during the project life cycle from both routine and non-routine circumstances;
- To promote quality and safety, and considerations relating to climate change, in the design and construction of infrastructure, including dams;
- To avoid or minimize community exposure to project-related traffic and road safety risks, diseases and hazardous materials;
- To have in place effective measures to address emergency events; and
- To ensure that the safeguarding of personnel and property is carried out in a manner that avoids or minimizes risks to the project-affected communities.

The OFLP-ERP sub-project activities potentially cause community and health risks. Forest dependent communities, project affected people, and people in the surroundings of forest

project areas may increase the use of agrochemicals such as herbicides and insecticides, in agroforestry and agricultural intensification activities. The ESS requires safe, effective and environmentally sound pest management. Thus, appropriate pest management measures such as IPM approaches, including biological control of pests, cultural practices, and use of crop varieties that are resistant or tolerant to pests should be used. Inline with the standards outlined in the ESS3, the overall IPM process involves; (a) managing pests (keeping them below economically damaging levels) rather than seeking to eradicate them; (b) integrating multiple methods (relying, to the extent possible, on nonchemical measures) to keep pest populations low; and (c) selecting and applying pesticides, when they have to be used in a way that minimizes adverse effects on beneficial organisms, humans, and the environment. An ESMP will be prepared indicated in the sample in Annex 6.

Community health risks may also be considered due to traffic and movement of vehicles, influx of casual workers, contract workers in search of jobs construction and rehabilitation projects activities areas. Project affected people and local communities, project workers could be exposed to increased gender-based violence, sexual exploitation and abuse, sexual harassment, spread of COVID-19 and other STDs.

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

The ESS5 recognizes that project-related land acquisition and restrictions on land use can have adverse impacts on communities and persons. Project-related land acquisition or restrictions on land use may cause physical displacement (relocation, loss of residential land or loss of shelter), economic displacement (loss of land, assets or access to assets, leading to loss of income sources or other means of livelihood), or both. The impacts caused by such risks are referred as involuntary resettlement. Resettlement is considered involuntary when affected persons or communities do not have the right to refuse land acquisition or restrictions on land use that result in displacement.

The OFLP-ERP activities may induce minor level of land acquisition and /or restriction of access to legally designated parks, protected areas, or forest management/reforestation areas. When possible, project activities must avoid land acquisition and severe restriction that jeopardizes people's livelihoods. When not possible to avoid, appropriate mitigation measures must be laid out in a separate resettlement framework (RF) and process framework (PF) in order to minimize, reduce and mitigate risks, or provide compensatory measures according to relevant national laws and consistent with this ESS5.

ESS6: Biodiversity Conservation and Sustainable Management of Living Natural Resources

The ESS6 recognizes that protecting and conserving biodiversity and sustainably managing living natural resources are fundamental to sustainable development. Biodiversity is defined as the variability among living organisms from all sources including, inter alia, terrestrial, marine and other aquatic ecosystems and the ecological complexes of which they are a part; this includes diversity within species, between species, and of ecosystems. Biodiversity often underpins ecosystem services valued by humans. Impacts on biodiversity can therefore often adversely affect the delivery of ecosystem services.

ESS6 recognizes the importance of maintaining core ecological functions of habitats, including forests, and the biodiversity they support. Habitat is defined as a terrestrial, freshwater, or marine geographical unit or airway that supports assemblages of living organisms and their interactions with the non-living environment. All habitats support complexities of living organisms and vary in terms of species diversity, abundance and importance.

This ESS also addresses sustainable management of primary production and harvesting of living natural resources. ESS6 recognizes the need to consider the livelihood of project-affected parties, including Indigenous Peoples, who's access to, or use of, biodiversity or living natural resources may be affected by a project. The potential, positive role of project affected parties, including Indigenous Peoples, in biodiversity conservation and sustainable management of living natural resources is also considered. The objectives of ESS6 include:

- To protect and conserve biodiversity and habitats;
- To apply the mitigation hierarchy and the precautionary approach in the design and implementation of projects that could have an impact on biodiversity;
- To promote the sustainable management of living natural resources; and
- To support livelihoods of local communities, including Indigenous Peoples, and inclusive economic development, through the adoption of practices that integrate conservation needs and development priorities.

The OFLP-ER is expected to have significant positive impacts on natural habitats and forests, as it will support the maintenance and rehabilitation of forest areas and their function; and local communities will be involved in design, implementation and monitoring of ERP activities. Activities that involve the significant conversion or degradation of critical natural habitats will not be supported. The ERP activities will be screened and impacts will be avoided on natural habitats using appropriate preventive and mitigation measures identified through E&S screening. site specific environmental and social management plans with mitigation measures will be prepared to avoid or reduce such impacts. If there are ERP activities likely to cause significant conversions of forests, they will not be financed under the OFLP-ERP.

ESS7: Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities

The ESS7 ensures that the development process fosters full respect for the human rights, dignity, aspirations, identity, culture, and natural resource-based livelihoods of Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities. This standard is aimed at avoiding adverse impacts of projects on Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities, or when avoidance is not possible, to minimize, mitigate and/or compensate for such impacts. In Ethiopia, "Indigenous Peoples" is referred as Underserved and Vulnerable Groups. The RF included a social assessment to identify the vulnerable and underserved groups in the OFLP-ERP that meet the ESS7 requirements and mitigate any adverse impacts as well as ensure they benefit from the program in a sustainable manner.

The findings of the assessment and a detailed summary of the main issues raised by the beneficiaries during the consultation process, used in fostering free, prior, and broad community support, and provision of grievance redress, benefit sharing, monitoring and proposed solutions are incorporated in consultation summary. The identified mitigation actions have been incorporated in the Program as a Social Development Plan. The Social Development Plan (SDP) is the operational equivalent of the World Bank ESS7 - Indigenous Peoples Plan. The SDP for the OFLP-ER is prepared based on the stakeholder and community consultations. The SDP sets out the measures to ensure that: (a) underserved and vulnerable groups affected by the project receive culturally appropriate social and economic benefits, and (b) any potential adverse effects are avoided, minimized, mitigated, and/or compensated. For those communities' categorized as underserved and vulnerable groups, it is important to conduct meaningful, timely, and appropriate consultations.

ESS8: Cultural Heritage

The ESS8 recognizes that cultural heritage provides continuity in tangible and intangible forms between the past, present and future. People identify with cultural heritage as a reflection and expression of their constantly evolving values, beliefs, knowledge and traditions. Cultural heritage, in its many manifestations, is important as a source of valuable scientific and historical information, as an economic and social asset for development, and as an integral part of people's cultural identity and practice. ESS8 sets out measures designed to protect cultural heritage throughout the project life cycle.

The main objectives of ESS8 include:

- To protect cultural heritage from the adverse impacts of project activities and support its preservation;
- To address cultural heritage as an integral aspect of sustainable development;
- To promote meaningful consultation with stakeholders regarding cultural heritage; and
- To promote the equitable sharing of benefits from the use of cultural heritage.

The OFLP-ERP sub-project activities are most likely to encounter tangible and intangible cultural heritages in some of the intervention areas (including high forest areas, biosphere reserves, and parks). Hence, the ESS8 is applicable to the sub-projects and requires avoiding or mitigating adverse impacts from development projects on physical cultural resources. Project activities should not affect or damage physical cultural assets, movable or immovable objects, archaeological and historical sites, historic urban areas, sacred sites, grave yards, burial sites, structures, paleontological, historical, architectural, religious, aesthetic, or others that have unique natural, social and cultural significance. Therefore, sub-project activities:

- Will be carried out only in areas selected through a consultative process that includes prior informed consent of local communities;
- Will undergo proper screening and public consultations, engagement of cultural or religious leaders, local authorities need to be conducted before decision on Program activities is made.
- Project activities with potential significant adverse impacts on a known cultural heritage site will be eliminated through the ESMF screening process; and
- Based on the results of project activities screening, site-specific ESSs instruments (ESIAs/ESMPs), including ESS8 requirements (accommodating chance finds procedure (see Annex 13) if there is an encounter unexpectedly with cultural heritage artefacts during implementation) will be prepared, implemented and monitored during the ERP implementation.

ESS 10: Stakeholder Engagement and Information Disclosure

According to the ESS 10 Guidance Note, “stakeholders” are defined as “individuals or groups who (a) Are affected or likely to be affected by the project (project-affected parties); and (b) May have an interest in the project (other interested parties).” *may be* because of the project location, its characteristics, its impacts, or matters related to public interest. The ESS10 is relevant to OFLP-ERP program and stakeholder engagement and information disclosure is a priority for planning, implementing and ensuring sustainability of the proposed program. The OFLP-ERP has several stakeholders from the federal to the local communities, who are affected by the sub-project activities, i.e., local communities and/or government organizations, the private sector, civil society organizations, local administration, religious groups, academic and research institutes, traditional associations, etc. Thus, stakeholder engagement process is a requirement from the project preparation to implementation, monitoring and evaluation cycle.

The ESS10 requires to prepare a stakeholder engagement plan, information disclosure and grievance redress mechanism for project affected people.

Chapter 4: Potential Environmental and Social Impacts and Mitigation Measures

4.1 Positive Environmental and Social Impacts

Emission reduction:

The OFLP-ERP is mainly expected to promote emission reduction through the underlying/planned actions and measures which address the drivers of deforestation and forest degradation and generate benefits for local communities through the adoption of sustainable and productive land uses and improved forest management. Increasing forest cover and enhancing forest biomass conservation activities maximize sequestration and reduce emission from deforestation.

Financial benefits:

The OFLP-ERP is designed to generation revenues and to provide financial incentives to support sustainable forest management, conservation, and restoration, which in turn enhance environmental, social and economic benefits. Through making payments to the Program Entity for measured, reported, and verified Emissions Reductions (ER) from reduced deforestation, forest degradation, and the enhancement of forest carbon stocks (REDD+) achieved throughout the jurisdiction of Oromia, the ERP will support to distribute ER payments in accordance with an agreed benefit-sharing plan (BSP) and used primarily to ensure the sustainability of land use interventions, as well as to scale up action in other geographical areas within the region.

Reducing social exclusion of vulnerable groups:

In addition, the OFLP-ERP is anticipated to have positive impacts on vulnerable and historically underserved groups and systematically excluded these groups through better forest governance, more inclusive decision making, and improvement of the livelihoods of people with small land holdings through income generating activities based on the criteria outlined in the BSP.

Employment creation and income diversification:

The sub-project activities create job opportunities for the local communities living in the target or adjacent areas. Particularly, the vulnerable groups (youth and women) will have the chance to be employed during the implementation of the project activities. During project implementation, women and girls will have improved income through petty trades to project employees involved in the construction and other activities.

Improvements in local livelihoods:

The sub-project activities will create market opportunity for local communities to supply inputs/raw materials to contractors during construction and rehabilitation of social services centres. Such activities will create additional opportunities to local communities to generate income and diversify sources of livelihoods.

Enhanced biodiversity conservation:

The OFLP-ERP in general provides a wider range of interrelated co-benefits in biodiversity conservation, climate change adaptation, and ecosystem services, social and broader economic benefits. Forest dwellers and forest dependent communities, including downstream users, are highly dependent forest ecosystems and other natural resources for their livelihoods. The presence of such benefits enables the OFLP-ERP to have more beneficial impacts than the carbon benefits. The ER benefits play a catalytic role to ensure the sustainability and multiplier effects of the Program.

Promoting green growth:

The OFLP-ERP will also benefit the country to achieve its national ambition for green growth, as articulated in the GTP-2, the CRGE strategy and the recent Ten-Year Perspective Development Plan specifically related to REDD+.

Scaling up the positive impacts:

The climate financing will be channeled through an ERPA signed with the World Bank. The ERPA payments will further be distributed to beneficiary communities to support their livelihoods and improve the social and environmental services. The ER could also grow as the OFLP scope expands starting from the second phase to other eligible sectors beyond forests such as agriculture, including livestock, and generates results and as other ER buyers show interest in the OFLP. This will further benefit the environment and other significant number of beneficiary communities in the intervention landscapes of the region.

Reduces Land Degradation:

ERP improves land-use and management practices, such as low-emissions agriculture, agroforestry and ecosystem conservation and restoration. ERP promotes sustainable land-use planning, and this contributes to different health benefits and disaster prevention in the intervention areas. ERP's implementation approach is guided by counterbalancing responses to land degradation, it intends to ensure that degradation in a certain biome or land category is balanced with restoration actions in the same biome or land category (e.g., restore forests with forests and grasslands with grasslands). In this case, ERP is capitalizing on Sustainable Land Management initiatives and other related projects and is contributing to avoid, reduce or reverse land degradation. Restoration combats land degradation and desertification by reducing soil erosion, stabilizing soils and maintaining soil-nutrient cycling. In addition, goods and services derived from forest and terrestrial ecosystems can potentially reduce vulnerability of resource-dependent populations to impacts of land degradation and enhance their resilience to climate change. In addition, desertification, and the associated loss of vegetation, causes biodiversity loss and contributes to climate change through reduced carbon sequestration.

Reduced Possible Risks of changes in physical and chemical properties of soil:

ERP improves the physical properties of soil like; improving infiltration rate, water-holding capacity, permeability, aeration, plasticity and nutrient-supplying ability, are influenced by the size, proportion, arrangement and mineral position of the soil particles. On the other hand, the ERP plays a vital role on maintaining the decent chemical properties of soil. Though the nature of the soil textures (*clay, sandy clay, silty clay, clay loam, sandy clay loam, silty clay loam, loam, sandy loam, silt loam, silt, loamy sand and sand*) and the colloids may differ, the cumulative effect of the ERP helps to maintain or improve the chemical properties of the soil.

Enhanced ecosystem sustainability:

ERP has a significant positive impact on biodiversity conservation and restoration, livelihoods and the preservation and recovery of a broad range of ecosystem services provided by forests. These benefits are very much interlinked and can have an impact well beyond the boundaries of the forest itself. On the one hand this underlines the high potential impact and significance of ERP, but also the massive damage that deforestation and forest degradation can cause on multiple levels and scales. By attracting revenues from carbon sequestration, ERP contributes to the conservation and enhancement of forest ecosystem services for which no market or other funding of this scale yet exists. In turn, these forest ecosystem services contribute to achieving multiple Sustainable Development Goals and targets across the 2030 Agenda. Design requirements, standards and guidance have been developed to ensure that climate and other impacts of ERP projects are real, additional and remain intact for the long term. Additionally, ERP includes safeguards to ensure that unintended leakage is accounted for and local communities including underserved peoples are engaged and included. Thus, ERP offers a large, fast, and cost-effective means of reducing emissions while at the same time creating substantial net positive social and environmental benefits.

Non- carbon benefits:

ERP will contribute in reducing deforestation by protecting and improving the livelihoods of forest-dependent communities, and the protection of ecosystem services, including: biodiversity, improved water quality, soil fertility, flood and erosion control, and habitats of the animals within the forest catchment areas. Another key expected benefit of the ERP is improved forest governance which will lead to reduced land conflict, and to an improved investment climate. Priority non-carbon benefits are those that are a direct outcome of reduced deforestation, such as the preservation of ecosystem services; and those that are aligned with government and local priorities and are therefore integral to the program design, such as those linked to improved forest governance and livelihoods.

4.2 Potential Negative Environmental and Social Impacts and Mitigation Measures

Some of the OFLP-ERP activities under Component 1 (activities used to generate ERs and Social development/livelihood improvement) may have localized but less sensitive, site specific and perhaps reversible environmental and social impacts if appropriate screening is not done and if such impacts are not considered with regard to their locations or in the design of ERP activities. The activities could potentially include construction or rehabilitation of social service structures and activities used to generate ERs to be funded from ER payments.

The potential environmental risks and impacts include community and occupational health and safety issues; soil disturbances; disturbance of environmentally sensitive areas due to contamination/pollution of soil and water resources related to the use of agrochemicals, including pesticides, in nursery and agroforestry activities; and environmental (dusts, greenhouse gas emissions and/or noise) problems related to small-scale infrastructure(e.g. livelihoods supporting activities; etc.) construction and maintenance activities (schools/clinics/roads) and ER payment activities. There are also potential risks of reversals and displacements/leakages (due to inadequate enforcement/coordination) under the ER Program which may impact biodiversity and forest dependent livelihoods, which will, in turn, cause pollution and harm to local communities. The environmental impact of the program can be manifested in terms of loss and/or damage of physical and cultural resources; community and occupational health and safety related impacts; contamination and pollution; leakages or

displacements and reversals; natural habitats and biodiversity impacts; soil erosion; soil and water pollution; solid waste contamination and air pollution.

Besides, if the potential negative social risks and impacts are not managed by taking proactive measures, the state-wide implementation of OFLP-ERP involving multiple sectors may involve activities that have a potential for harming people. Due to the implementation of the ERP under changing and fragile environment with complex social relationships, the ERP will likely cause substantial social risks, concerns and impacts. This is partly due to the inadequate enforcement in natural resources management including forests, and inadequate cross-sectoral coordination. Thus, if all the safeguards instruments are not utilized properly and if the program staffs and government entity along with the community, the program may cause substantial risks. The potential social risks and impacts due to the project activities under component 1 related to land use activities for ERs and small-scaled construction/maintenances for social development activities may result in impacts related to land acquisition including inadequate consultation and inclusive participation, restriction of access to natural resources, involuntary resettlement and loss of livelihoods. As the project will be implemented throughout the jurisdiction of Oromia regional state, its intervention may also put impact on those historically underserved (SSAHUTLCs) people including the forest-dependent and/or semi/pastoralist communities, as well as other vulnerable and marginalized groups (VMGs) in the region. Thus, there could be likelihood of social exclusion of targeting beneficiaries from participation in project opportunities (e.g. ER payment) and elite capture of the benefits exclusion of some stakeholders, particularly of those historically underserved communities and other VMGs including women, unemployed youth, elderly, disabled persons, resource poor individuals, ethnic minorities, forest-dependent communities, etc. The OFLP being operating in a changing and fragile environment with complex social relationships, the project might exacerbate or create likely social concerns related to inter-tribal conflicts and other forms of disputes, land tenure security issues, forced eviction, elite captures, labour conditions and issues related to labor influx including violence against children (VAC), Sexual Exploitation and Abuse and Sexual Harassment (SEA/SH) and other forms of Gender-Based Violence (GBV), other issues related to Community Health and Safety such as transmission of communicable disease such as Sexually Transmitted Diseases (STDs), HIV/AIDS, and COVID-19, etc. In addition, inadequate awareness and capacity to manage relevant social issues such as forced and child labour, grievance redress mechanism, lack of gender sensitive instruments and so on; weak capacity and expertise within the government structures to deal with both social and environmental risks to properly implement ESRM instruments including weak multi-sectoral coordination may exacerbate the potential social risks.

In addition, there may be adverse environmental and social impacts, in relation to benefit sharing. Some of the potential adverse impacts include; gaps between expected benefit and actual benefit packages, increase the dependency of the community on external support and it can a source of corruption for community members and other stakeholders. On the other hand, the conversion of farming and grazing land to forest can pressurize the resource utilization and land use plan of the intervention areas. Despite the existence of the BSP, grievances may arise at different administrative levels of the region in relation to benefits and other issues of OFLP-ERP. The existing project-level GRM will be strengthened to effectively function in addressing any grievances and concerns related to the project overall activities throughout the region.

Social concerns related to the existence of underserved and vulnerable groups:

Underserved and vulnerable groups (UVGs) and other communities with traditional links to forests are users and managers of their forest-related traditional lands and/ or resources. They

depend on the forests for their subsistence and livelihoods; i.e., for collecting food, medicine, and fuel wood, but also for the maintenance of their culture. UVGs have often conserved and sustainably managed the forests for a long time and therefore could greatly contribute to reducing emissions from deforestation and forest degradation. They have often gained specific knowledge and practices through generations and embedded them in their culture and daily forest management. Forest dependent UVGs have an intricate relationship with forests and view forests in a more holistic way. Forests are among others also of great cultural and spiritual significance for them. Talking about forests solely in terms of carbon or emissions reductions does not make much sense to them. UVGs have often a sense of stewardship and specific knowledge for the management of their traditional lands, and it can be a cost-effective option to invest in their capacity building to enhance the conservation and livelihoods outcomes of such management whenever needed. Thus, some of the risks can be; 1) increased value of forest might lead to increased interest in forest land and consequently land grabbing and displacement of UVGs, 2) fear that if the government is compensated to protect forests, it may in consequence reinforce centralized top-down management and prevent UVGs from practicing their own traditional forest management and agro-forestry activities, which could be wrongly considered as drivers of deforestation, thus undermining UVGs rights and practice of their traditional livelihoods, 3) State and NGO zoning of forests without information and participation of forest dwellers, 4) sudden policy and law changes which may further harm UVGs if they do not participate, 5) Potential increase of conflicts – due to competing claims on ERP compensation with others, as well as conflicts among UVGs, and 6) Cultural impacts through restrictions to ERP areas and increased external influence.

Mitigation Mechanism:

- Strengthening the management of social issues at the program level, including screening of risks as guided by the Social Development Plan (SDP);
- Strengthening community engagement and consultations;
- Strengthening the ERP's communication and information dissemination strategy;
- Ensuring accessibility of the GRM as well as other appropriate/ trusted local channels for filing complaints and/or grievances;
- Development of participatory community mapping processes;
- Capacity strengthening to government as well as private sector entities on community engagement, dispute settlement and consultations; and
- Training and coaching to community mediators and paralegals.
- Screen sub-projects in conformity with the requirements of the ESS6
- Conduct careful and suitable site selection through a participatory process for sub-component infrastructures
- Apply site specific ESRM instrument (ESIA/ESMP) to avoid, minimize, reduce and mitigate E&S risks and impacts
- Ensure the negative impacts are dealt with an appropriate ESMP
- Ensure there are no sensitive fauna and flora species within and around the construction area
- Conduct planting and re-vegetation of sites to compensate loss of trees and vegetation
- Prioritize and minimize impacts on indigenous trees of importance, avoid cutting of mother trees
- Comply with the national laws, guidelines and standards on the protection of sacred sites, cultural and heritage sites and areas of historical significance
- Make sure construction/maintenance sites are selected as per existing standards and procedures for site selection with full compliance to ESIA/ESMP guidelines

- Design of the infrastructure should provide sufficient drainage management options so that erosion cannot take place.
- Construction/maintenance should be done in the dry season
- Open sites for material mining should be properly closed before abandoning them
- Avoid or minimize vegetation clearance, excavation and inappropriate disposal of soil
- Dump sites or cart away sites should be prepared
- Conduct reshaping and rehabilitation of excavated sites
-

Lack of Awareness, Management Capacity and Participation:

Lack of awareness, management capacity and participation, particularly from among stakeholders at field level, was apparent in SESA exercises at the site-level. This becomes an important risk to address especially considering that most of ERP components require strong support from the field level such as

Components 1 and 2. The ERP also necessitates government capacity in strategic engagement with key stakeholders to ensure that the GHG emission reduction consideration outweighs the economic consideration. Strategic engagement with relevant key stakeholders that pay attention to the emission reduction in their activities will need to be also strengthened as part of the mitigation actions.

Mitigation Mechanisms:

- ToRs for Component 2 grant financed activities (Comprehensive Measurement, Reporting and Verification (MRV) system and OFLP-ERP management including Safeguards Management system) will integrate the principles and objectives of relevant the ESSs and GoE's policies and legal frameworks to ensure that activities and outputs are consistent with the WB ESF and GoE requirements
- Capacity building for Kebele governments and facilitators in participatory village planning processes;
- Regulatory support for the use of Kebele funds to support the ERP;
- Facilitating participatory mapping of Kebele boundaries (especially in areas with history of conflicts and/or disputes)
- Community capacity building (led by ORCU) on good agricultural practices, provisions of affordable technology, and technical support for sustainable business development;
- Strengthening community engagement and consultations;
- Tailoring delivery and approach for training based on local contexts; and
- Technical facilitation for conservation partnership, including simplifying requirements for legal documentation.

Restriction of access to natural resources due to OFLP intervention might impose conflict among traditional seasonal migrant forest resource users including pastoralists:

There is potential for access restriction as concession holder permits have the legal right to limit access of local communities and/or HUTLCs entering the concession area. Access restriction may also imply on potential changes to the affected community's livelihood induced by economic displacement. Local communities in some project areas are known to collect timber and non-timber products from the forest areas. Restricting access to forest under the concession rights, will certainly bring some changes to the livelihoods and economic displacement of the affected communities.

Mitigation Mechanisms:

Strengthening the management of social issues at the program level, including screening of risks as guided by the ESRM tools, including the SDP, RF and PF for access restrictions and potential livelihoods displacement.

Gender Inequality and Social Exclusion:

Livelihood changes may impact the gender relations within households and require women to be more active in contributing to household income. In addition, women and other vulnerable and marginalized group may also experience limited participation in village planning development. This requires special attention to ensure that their voice, interests and needs are well addressed.

Mitigation mechanism:

In addressing gender and inclusive development issues particularly for the vulnerable groups and communities, the GoE acknowledges that mainstreaming gender and social inclusion are key to ensuring ERP sustainability. Such political commitments have been translated into legal and budget commitments with the issuance of relevant regulatory frameworks and adoption of gender responsive planning and budgeting, as stipulated in the national gender policy. The ERP seeks to mainstream gender-sensitive and inclusive development approaches to address gender and exclusion issues in the ERP. These include:

- (a) ascertaining the equal participation and active engagement of women as well as vulnerable and marginalized groups in the process of consultations and overall ERP implementation,
- (b) ensuring that the design and implementation of the ERP seek to promote “better off” conditions for women as well as vulnerable and marginalized groups, and
- (c) ensuring gender equality and social inclusion concerns are well addressed in the SDP to address Indigenous Peoples concerns as well as RF and PF to address resettlement and access restriction risks. A minimum standard for gender mainstreaming and social inclusion will be developed in consultation with all relevant stakeholders prior to ERP implementation.

Loss and/or Damage of Physical and Cultural Resources:

Physical cultural resources include movable and immovable objects, sites, buildings, and a group of buildings, natural facilities and landscapes that have archaeological, paleontological, historical, architectural, religious, aesthetic significance or other cultural properties. Studies of given undiscovered cultural sites are anticipated and as such it is considered that the ER efforts of improving spatial planning and sustainable alternatives for communities may have potential impacts to the physical and cultural resources in intervention areas.

Mitigation Mechanisms:

- The existing mechanism for protecting and restoring cultural heritage will be maintained and if necessary, further strengthened to ensure the protection and avoidance of degradation of physical cultural resources that may include forests themselves. Necessary measures to meet the provisions of ESS8 will be implemented through intensive engagement with potentially affected communities;
- Strengthening the capacity of the licensing process by inclusion of SDP results to protect physical cultural heritage;
- Strengthening dispute settlement through the GRM;
- ERP activities will be carried out only in areas selected, through a consultative process;
- ERP activities that have potential significant adverse impacts on a known cultural heritage site will be eliminated through the ESMF Screening process. Based on the result of

screening, site-specific ESSs instruments (ESIAs/ESMPs), including ESS8 requirements (accommodating chance finds procedure (see Annex 13) will be prepared, implemented. and monitored during the ERP implementation; and

- If there is an encounter unexpectedly with cultural heritage artefacts during implementation, chance finds procedure will apply.

Community and occupational health and safety issues:

Activities undertaken in all phases of the project may cause risks to workers' and community's health and safety. Project related incidents such as fire, structural collapse, flooding, earthquake, landslides, road accidents, exposure to workplace physical, chemical and biological hazards may pose risks to human health and safety for the worker and the community.

Mitigation Mechanisms:

- OFLP-ERP will develop and implement an Occupational and Community Health and Safety Plan in line with EHS Guidelines
- Ensure compliance with national OHS requirements and best practice;
- Provide appropriate PPE to all construction workers and enforce use;
- Develop agrochemical management plan describing handling, storage, use and disposal of all agrochemicals used on the schemes;
- Train beneficiaries in the handling, storage, application and disposal of all agrochemicals;

Impacts on habitats and biodiversity

Natural habitat loss and fragmentation as well as Biodiversity loss is accelerating because of unceasing human activity and land clearing for development projects. Biodiversity refers to the various plant and animals in an ecosystem which are usually beneficial to man. Project-related land acquisition and activities may have direct, indirect and cumulative risks and impacts on habitats and the biodiversity they support through:

- ***Conversion:*** These may include habitat loss, degradation and fragmentation; invasive alien species, overexploitation, hydrological changes, nutrient loading, pollution and incidental take, as well as projected climate change.
- ***Changes in ecosystem services:*** Project-related land acquisition, land use practices and operation of activities may adversely impacts on the vital ecosystem services (provisioning services, regulating services, cultural services, and supporting services) that are provided by the biodiversity and living natural resources to the project-affected communities.

Mitigation Mechanisms

- The project operation should be in line with the principle of the sustainable means of living natural resources and ecosystems.

- The implementation of the project activities should avoid the intentional introduction of invasive alien species.
- Based on the findings of the environmental and social assessment, the ESMF proposed diverse biodiversity management activities including site-specific habitat restoration, enhancement, or improved management; community benefit-sharing; livelihood restoration activities (to mitigate any negative socioeconomic impacts from newly restricted access to natural resources, in accordance with ESS5); and species-specific management interventions.
- Prohibitions or specific restrictions for project civil works contractors. These may cover prohibition of clearing or burning of natural vegetation; off-road driving; hunting and fishing; wildlife capture and plant collection; purchase of wildlife products; and/or free-roaming pets (which can harm or conflict with wildlife).
- Seasonal or time-of-day restrictions may also be needed to minimize adverse biodiversity impacts during construction or operation. Examples include limiting blasting or other noisy activities to the hours of the day when wildlife are least active; and timing of construction to prevent disturbance during the nesting season for birds of conservation interest

Contamination and Pollution:

The use of pesticides in production forest and/or social forestry (agroforestry) initiatives may potentially cause contamination of harmful substances to the environment that may lead to pollution of soil and ground/surface water. Likewise, there are possible adverse impacts from small scale civil/construction works causing potential pollution to soil and water bodies as result of poor waste management practices of ER activities (poor waste management handling, waste oil and other hazardous wastes)

Mitigation Mechanisms:

- Implementation of EHS guidelines on integrated waste management through ERP subprojects; and
- Implementation of EHS guidelines on waste management through ERP subprojects.

Leakages or Displacements and Reversals:

Leakages or displacements may emerge as risks are attributed mainly to governance risks (i.e., regulatory aspects) that cannot restrict the expansion of timber/mining concessions to compensate for resource allocation. Conventional practices (rather than the sustainable ones) in expansion areas of forest concessions may constitute the risk of leakages. Successes in reducing the mining and plantation industries' impacts on forests in project areas could lead to shifting carbon emissions to other areas. The risk of reversals describes the possibility of reversing climate benefits through the loss of forest carbon biomass, through a fire or pest outbreak that releases carbon back into the atmosphere. Reversals are sometimes categorized as "intentional vs. unintentional" referring to whether it was anthropogenic (i.e. induced by human activity, such as harvesting) or a natural disturbance. Reversals may be produced as the results of

governance risks such as lack of regulation enforcement to ensure sustainable forestry or plantation management, and lack of regulations on benefit sharing mechanism.

Mitigation Mechanism:

Enforcement of the existing policies such as forest policies and also more stringent procedure for licensing of activities in forest areas, especially for mining and estate crops. A systematic program of safety surveillance should maximize the likelihood that any developing conditions likely to cause failure would be found before it is too late. Surveillance will also help early detection of problems before they become major repair bills. As identified earlier typical problems (many of which are treatable if found early enough) are most likely to fall into leakage.

Inappropriate methods for property valuation and administration of resettlement assistances including compensation:

Mitigation Mechanism:

The E and S specialists should work in collaboration with the independent consultant, independent agency property valuation committee, and resettlement committee, and woreda administration in handling property valuation, resettlement assistance and compensation. A standard methodology must be used in valuing losses to determine their replacement cost; and a description of the proposed types and levels of compensation for land, natural resources, and other assets under local law and such supplementary measures as area necessary to achieve replacement cost for them.

Lack of awareness of the principle of voluntary land donation:

Mitigation Mechanism:

In the case of voluntary land donation, the owner shall have all available information regarding the proposed Project activity and its impacts, its land requirements, and its alternative activity sites, as well as his or her rights to compensation. The owner has also been provided with sufficient time to consider his or her disposition of the property, and has knowingly rejected the right to renege on his or her decision.

Limited capacity to assess, develop and implement site-specific land-acquisition plan or resettlement plan or livelihood restoration plan:

Mitigation Mechanism:

Where the capacity of other responsible agencies is limited, the Borrower will actively support resettlement planning, implementation, and monitoring. If the procedures or standards of other responsible agencies do not meet the relevant requirements of ESS 5, the Borrower will prepare supplemental arrangements or provisions for inclusion in the resettlement plan to address identified shortcomings. The plan will also specify financial responsibilities for each of the agencies involved, appropriate timing and sequencing for implementation steps, and coordination arrangements for addressing financial contingencies or responding to unforeseen circumstances.

Disproportionately impact groups who are historically underserved or mostly vulnerable due to their distinct livelihood strategies, ways of living and other socio-economic dynamics

Mitigation Mechanism:

For the HUTLCs, in additions to resettlement, compensation and LR packages the following additional mitigation mechanisms area required. Assistance in the compensation payment procedure, assistance in moving properties and identifying the resettlement plot, assistance in building activities, assistance during the post-resettlement period and enhancing social networking, and health care if required, particularly the moving and transition periods.

Overall, the client has updated ESMF (and other ESF instruments such as SESA including Social Development Plan (SDP), PF, RPF, Gender action plan (GAP), and BSP (all prepared under the OLFP grant financing), and also prepared new instruments including LMP, SEP, ESCP and Security Management Plan) as per the ESF requirements to manage potential environmental and social risks and impacts related to the OFLP-ERP. The ERP activities will therefore be screened for the possible environmental and social impacts through a participatory stakeholder consultation processes starting from the joint planning at the community level, designing appropriate mitigation measures to be prepared in a management plan. Hence, for activities that have environmental and social risks, a detailed site-specific E&S instruments (environmental and social management plan (ESMP)/environmental and social impact assessment (ESIA) as required) will be prepared to contain the adverse impacts and maximize beneficial impacts before the start of implementation of activities using the ESIA/ESMP guidelines and then implemented and monitored accordingly. The checklists of activities with potential negative impacts and possible mitigation measures, which are part of the ESMP/ESIA for the selected ERP activities, are shown in Annex 4. The potential negative impacts and mitigation measures are described in Table 6 below.

Table 6: Environmental and Social Risks and Mitigation Measures

Issues/Impact	Description	Risk level	Mitigation measures	Remark
Natural habitats and biodiversity	<ul style="list-style-type: none"> ✓ Some activities such as small scale construction and/or rehabilitation of social services centers (schools, health centers, etc...), access roads, climate smart agriculture, planting of agricultural crops reforestation/afforestation, will cause disturbance to natural vegetation, cultivated lands and areas of significant importance for nature and biodiversity conservation. ✓ Activities might affect important flora, fauna and soil micro-organisms affecting ecosystems' functions 	Low (L) - Moderate (M)/Substantial (S)	<ul style="list-style-type: none"> ✓ Screen sub-projects in conformity with the requirements of the ESS6 ✓ Conduct careful and suitable site selection through a participatory process for sub-component infrastructures ✓ Apply site specific ESRM instrument (ESIA/ESMP) to avoid, minimize, reduce and mitigate E&S risks and impacts ✓ Ensure the negative impacts are dealt with an appropriate ESMP ✓ Ensure there are no sensitive fauna and flora species within and around the construction area ✓ Conduct planting and re-vegetation of sites to compensate loss of trees and vegetation ✓ Prioritize and minimize impacts on indigenous trees of importance, avoid cutting of mother trees 	The chances are rare for such an impact unless the activities are located close to natural forest and uninhabited areas.
Cultural/ Historic heritage sites	<ul style="list-style-type: none"> ✓ Sub-project activities such as small scale construction sites or access roads may cross or fall in and around areas that have cultural/religious, historic and heritage values, which will cause negative impact on such heritages/sites 	M-S	<ul style="list-style-type: none"> ✓ Activities will be carried out only in areas selected, through a consultative process ✓ Comply with the national laws, guidelines and standards on the protection of sacred sites, cultural and heritage sites and areas of historical significance ✓ Activities will be screened and site-specific ESIA/ESMPs will be prepared, including ESS8 requirements (chance finds procedure- See Annex 13) ✓ Avoid or exclude activities that have adverse impact on historical, cultural and heritage values through screening process ✓ Conduct ESIA and identify areas of historical significance to avoid damage to such resources <p>If there is an encounter unexpectedly with cultural heritage artefacts during implementation, chance finds procedure will apply</p>	The construction and rehabilitation activities are light and may not cause serious impacts
Land acquisition, access restriction and involuntary resettlement	<ul style="list-style-type: none"> ✓ Sub-project activities may induce minor level of land acquisition and /or restriction of access to legally designated parks, protected areas, or forest management/reforestation areas; activities are not expected to cause displacement and involuntary resettlements 	Low(L)-Moderate (M)	<ul style="list-style-type: none"> ✓ Where possible, avoid or minimize involuntary land acquisition during sub-project implementation ✓ Where land acquisition is unavoidable, prepare and implement voluntary land donation guideline ✓ VLD should not occur if physical dislocation is implied ✓ In cases where access restrictions and economic losses occur, adopt and implement procedures outlined in the PF, and compensate PAPs in accordance with the ESS5 ✓ If involuntary resettlements are unavoidable, the principles outlined in the RF should be implemented. ✓ Based on the ESIA results, specific resettlement action plan (RAP) should be prepared and implement in accordance with ESS5, consistent with the RF 	This risk is low and may not likely to happen

Gender-based violence; Sexual exploitation and abuse, sexual harassment	<ul style="list-style-type: none"> ✓ Risks associated with presence of contract/construction workers and due to the high potential for labor influx ✓ Unemployed youth may be attracted to project sites in search of jobs and project benefits for their livelihoods. Hence, they will cause and be exposed to GBV and SEA/SH ✓ Women are likely to be exposed to sexual violence, abuse and exploitation, harassment from project workers 	M	<ul style="list-style-type: none"> ✓ ORCU and the OEPA shall ensure that site specific assessment of GBV/SEA/SH risks is conducted as part of the ESIA/ESMP and GBV action plan is prepared for prevention and response measures to be taken. ✓ A policy of zero-tolerance should be stated in worker engagements terms for sexual harassment, exploitation, and abuse within the workplace ✓ Apply a strict code of conduct to manage and administer measures to avoid or minimize GBV ✓ Assign a GBV specialist to manage the risks and to closely work with relevant institutions such as Woreda Women and Social Affairs Offices ✓ The OFLP-ERP should provide training for project implementers and beneficiaries on SEA, SH and GBV and its prevention ✓ Put in place accessible GRM and adopt a systematic monitoring and reporting system to ensure safe and ethical reporting to alert cases of GBV with adequate response. ✓ Prepare GBV management plan and implement ✓ Prepare a gender management plan and implement 	Due to High level of rural and urban unemployment, young works may be attracted construction project sites
Child labor	<ul style="list-style-type: none"> ✓ In construction works or other project activities, the risk of engaging child labor by contractors and other parties may be higher because of lack of awareness on the laws and proclamations of labor about child labor 	M	<ul style="list-style-type: none"> ✓ Adhere to the LMP of the OFLP-ERP for procedures ✓ Comply with the national labor law and ESS2 of the World Bank ESF ✓ Work in consultation with local authorities on engagement of young labor (15 years as a minimum age) if children are to be engaged in construction works. 	Children may find it easy to be employed
Influx of migrant workers and associated risks	<ul style="list-style-type: none"> ✓ Migrant Laborers may be attracted by small scale construction/rehabilitation works and may interact with local communities, increasing the chances of spreading communicable diseases, (HIV/AIDS and other STDs) and COVID-19. Migrant workers could be exposed to such diseases. 	M	<ul style="list-style-type: none"> ✓ Contractors should provide organizational code of conduct to contract workers ✓ Contract workers and local communities should be provided with training on awareness creation about HIV/AIDS and other STDs, communicable diseases; ✓ Cultural sensitization training should be given to workers on how to engage with local community; ✓ Provide guidelines on local culture, behavior and social life to workers 	Such risks are likely because of high rate of unemployment
Occupational Health and Safety	<ul style="list-style-type: none"> ✓ Construction and rehabilitation activities and other related sub-activities will have risks and impacts on the health and safety of project workers, contract workers due to unexpected accidents and/ unplanned events resulting from injuries, falls, fatal accidents, diseases both communicable and non-communicable, any related incidents 	M-S	<ul style="list-style-type: none"> ✓ Construction contractors should develop and implement occupational health and safety (OHS) measures ✓ Workers must be provided with personal protective equipment (PPE) and relevant training on the use, handling and maintenance of the PPE ✓ Enforce rules making use of PPEs as mandatory for the safety and health of workers. ✓ Provide and strictly implement government guidelines on COVID-19 protocols to prevent related risks ✓ Apply the World Bank's ESF Interim Note, Construction Civil Works COVID, and relevant international COVID 19 protocols/measures. 	Risks of communicable diseases are very high

			<ul style="list-style-type: none"> ✓ Conduct regular monitoring on OHS by ORCU ✓ Provide to all project workers on work place code of conduct 	
Security risk (conflicts)	<ul style="list-style-type: none"> ✓ There could be unexpected civil disturbances because of the on-going volatility of security conditions in some parts of the region, there is potential for social conflicts 	High	<ul style="list-style-type: none"> ✓ Based on the Security Risk Assessment and Management Plan for OFLP-ERP, conduct security risk assessment and incorporate security risk management and safety as part of site specific E&S instruments (ESIAs/ESMPs) and then implement and monitor them accordingly ✓ Collect timely information and share security updates/reports with staff and stakeholders 	Conflict areas are highly affected by this risk
Underserved communities & Vulnerable groups	<ul style="list-style-type: none"> ✓ Forest dependent communities, forest dwellers, socially disadvantaged groups, ✓ Resource poor and the vulnerable forest-dependent communities might be excluded ✓ underserved communities including occupational and ethnic/clan minorities (e.g., smiths, potters, tanners, and pastoralist women), likely to be highly marginalized due to discriminatory acts/social norms 	High	<ul style="list-style-type: none"> ✓ allocate certain proportion of ER (5 %) to support such groups as per the BSP ✓ Promote fair treatment, non-discrimination, and equal opportunity in development activities ✓ Ensure participation by preparing the SEP ✓ Culturally appropriate GRM as per the ESS10 ✓ Provide equal opportunity and strictly observe non-discrimination of vulnerable groups from any benefits ✓ Provide training and capacitate vulnerable groups to enable them develop livelihood strategies (organizing in small and medium enterprises) ✓ Due attention should be observed on the protection of vulnerable groups during implementation ✓ Exclude those activities that negatively impact underserved and vulnerable communities 	
Grievance redress mechanism	<ul style="list-style-type: none"> ✓ Oversight of the grievance redress mechanism ✓ Low awareness on GRM provisions and observations 	S	<ul style="list-style-type: none"> ✓ Strengthen and implement the existing GRM on handling of grievances PAPs ✓ Provide training to GRC members and communities on the provisions of the GRM 	
Weak capacity to implement ESRM	<ul style="list-style-type: none"> ✓ Government institutions may lack the required manpower, skills and knowledge to fully implement the ESRM 	M	<ul style="list-style-type: none"> ✓ Allocate budget for awareness and capacity building training ✓ Provide training on ESRMs and their implementation at all levels of government ✓ Building on existing knowledge on project design and implementation ✓ Strengthen safeguard information system at the regional level and synergize collection of information through hierarchy of management 	
Inadequate coordination among sector offices	<ul style="list-style-type: none"> ✓ Implementing Sector bureaus and partners may not smoothly coordinate the planning, implementation and monitoring of project activities at different levels 	M-S	<ul style="list-style-type: none"> ✓ Uphold the Signed MoU with the partners and adopt the communication and joint implementation provisions ✓ Work closely with the focal persons 	
Risk of social exclusion	<ul style="list-style-type: none"> ✓ Exclusion from PFM membership and accessing forest resources ✓ Resource poor and the vulnerable forest-dependent communities might be excluded 	M	<ul style="list-style-type: none"> ✓ Implement the principles of equal opportunity and non-discrimination as in the LMP and ESS2 ✓ Adhere to the benefit-sharing principles defined under the ERPD and the BSP ✓ Observe and uphold provisions in the GRM 	

	✓ Exclusion of PFM non-members from benefit sharing			
Gender bias	<ul style="list-style-type: none"> ✓ Operations may not be gender sensitive and women might be affected differentially ✓ Women may discriminated 	M	<ul style="list-style-type: none"> ✓ Implement the principles of equal opportunity and non-discrimination as in the LMP and ESS2 ✓ Prepare and implement a gender management plan that is acceptable to the WB ESS2 and ESS5 	
Risk of elite capture of benefits	<ul style="list-style-type: none"> ✓ Some stakeholders, particularly underserved members of the communities be excluded from membership of project activities and sharing of benefits by some advantaged groups 	M	<ul style="list-style-type: none"> ✓ Uphold the principles of the ESS6, the provisions therein ✓ Adhere to the benefit-sharing principles defined under the ERP and the BSP 	
Discrimination	<ul style="list-style-type: none"> ✓ Unfair wages to local labor and disadvantaged groups ✓ Discrimination of vulnerable groups during labor recruitment 	M	<ul style="list-style-type: none"> ✓ Facilitate affirmative actions for vulnerable group in employment opportunity; ✓ Provide awareness training to project staff on the labour law, civil servant proclamation ✓ Prepare labor management procedure (LMP) and implement ✓ Monitor proper implementation of the LMP 	
Soil erosion	<ul style="list-style-type: none"> ✓ Disturbance of soil through excavation, levelling, clearance of surface vegetation in construction sites will expose soil for water and wind erosion. ✓ Transport of goods, equipment and materials, clearing of access roads, openings for gravel and sand mining will make the top soil vulnerable to erosion. 	M	<ul style="list-style-type: none"> ✓ Make sure construction/maintenance sites are selected as per existing standards and procedures for site selection with full compliance to ESIA/ESMP guidelines ✓ Design of the infrastructure should provide sufficient drainage management options so that erosion cannot take place. ✓ Construction/maintenance should be done in the dry season ✓ Open sites for material mining should be properly closed before abandoning them ✓ Avoid or minimize vegetation clearance, excavation and inappropriate disposal of soil ✓ Dump sites or cart away sites should be prepared ✓ Conduct reshaping and rehabilitation of excavated sites 	Access roads construction and material mining will be main cause of erosion with an impact on food production.
Soil and water pollution	<ul style="list-style-type: none"> ✓ Use of agro-chemicals such as pesticides and herbicides, fertilizers, in activities used to nursey and agro-forestry activities, will cause soil contamination and pollution of water bodies 	M	<ul style="list-style-type: none"> ✓ Use biological methods to reduce impact of pests and weeds ✓ Conduct E&S screening and prepare ESIA/ESMP and implement mitigation measures and monitor them ✓ Prepare site-specific Integrated Pest Management plan as part of the ESIA/ESMP to avoid use of hazardous chemicals 	
Solid waste contamination	<ul style="list-style-type: none"> ✓ Construction leftover materials (cement bags, wrappings and packaging cardboards, wood pieces, concrete, paints, etc...) carelessly disposed 	M	<ul style="list-style-type: none"> ✓ Comply with environmental standards and national guidelines on handling and disposal of harmful waste substances from health facilities ✓ Use recommended waste collection, handling, transport and disposal methods ✓ Collect and dispose in legally permitted dump sites, landfills ✓ All contractors will be required to develop a waste management plan as per national guidelines, standards and as per the World 	.

			Bank's Environmental, Health, and Safety Guidelines.	
Air pollution	<ul style="list-style-type: none"> ✓ Construction/maintenance waste (paints, cement, saw dust, etc.) will affect the air quality and may cause air pollution. ✓ Generation of dust from construction/maintenance sites and vehicular emissions affects community settlements and causes deterioration in air quality 	L-M	<ul style="list-style-type: none"> ✓ Conduct ESIA/ESMP and adhere to the set standards ✓ To reduce dust, use appropriate construction site management guidelines (e.g., sprinkling the surface with water to minimize dust blow during construction and rehabilitation) ✓ Reduce movement of vehicles during rush hours, public events, schools hours ✓ Use manual labor to avoid use of machines for minor activities that can be done with human power ✓ Dust control and suppression measures including regular application of water on or near construction/maintenance sites, settlement areas ✓ Reduce dust generation by practicing traffic speed limits and by using water spray trucks ✓ Enforce and practice traffic speed limits 	There will not be serious emission problems except minor vehicular and fine particles into the atmosphere.
Noise pollution	<ul style="list-style-type: none"> ✓ Noise coming out from construction activities such as excavation, movement of vehicles and machinery are likely to cause noise pollution. ✓ The noise levels are expected to be much higher than the permissible decibel level in and around the project areas and construction sites affecting people living in close proximity to access roads and construction sites. 	M	<ul style="list-style-type: none"> ✓ Adhere to the environmental standards set by the relevant authority ✓ Reduce or avoid loud horns around residential areas and around clinics ✓ Reduce or avoid usage of machines for minor activities that can be done with human labor ✓ Apply or adhere to work place code of conduct for construction workers to reduce unwanted noise ✓ Minimized the movement of vehicles around residential and commercial areas ✓ Unavoidable noise causing activities should be restricted to the day-time and working hours ✓ Machine or equipment producing high levels of noise should be avoided or screened when working within close proximity to any sensitive noise receptors; ✓ Apply installation of portable barriers and fence off the construction site to isolate the sources of noise ✓ Switching off engines of machines and equipment when not in use to avoid noise emission; 	This is likely to happen but may not be avoided unless strict measures are applied
Construction site traffic and road safety	<ul style="list-style-type: none"> ✓ Construction traffic flow is likely to increase in the construction/maintenance sites and hence, increased traffic hazards/accidents to people and livestock. 	M	<ul style="list-style-type: none"> ✓ Conduct E&S screening and prepare ESIA/ESMP as required ✓ Apply traffic management guideline and plan ✓ Apply all required road safety measures including installing appropriate signs, signals and warnings ✓ Install traffic controllers in place during work hours ✓ Prepare and apply a traffic management plan detailing traffic control procedures, ✓ Train staff and personnel on traffic management procedures, travel speed limits and control measures; ✓ Minimize or avoid safety hazards and inconvenience to other road users, the may result from hauling vehicles, 	The impact may not be severe since constructions are light

Component 2 grant financed activities (Comprehensive Measurement, Reporting and Verification (MRV) system and OFLP-ERP management including Safeguards Management system)	✓	There could be direct/indirect environmental and/or social impacts related to the grant financed activities	M	✓	ToRs for Component 2 grant financed activities (Comprehensive Measurement, Reporting and Verification (MRV) system and OFLP-ERP management including Safeguards Management system) will integrate the principles and objectives of relevant the ESSs and GoE's policies and legal frameworks to ensure that activities and outputs are consistent with the WB ESF and GoE requirements	✓
---	---	---	---	---	--	---

Chapter 5: Stakeholder Consultation, Disclosure

For the effective identification and assessment of sub-project specific social and environmental impacts, implementation and monitoring of the respective mitigation or enhancement measures, continuous consultative processes are required. The OEPA/ORCU have the responsibility to ensure effective stakeholder consultations are conducted for the OFLP-ERP with relevant parties at national and regional levels to successfully achieve the project objectives and benefits.

5.1. Stakeholder consultation plan

Stakeholder consultation is a core element and regulatory requirement that must be adhered to environmental and social assessments including ESMF. As stated in Article 92 of the Constitution of the Federal Republic of Ethiopia, it is recognized that Citizens have a right to full consultation and to expression of views in the planning and implementation of environmental policies and projects that directly affect them. Moreover, disclosure of relevant information and undertaking consultation with persons and communities directly affected by any development project that entails displacement of people and loss of property is a constitutional right in Ethiopia.

Consultation is an important part of any environmental and social impact assessment processes as the environmental impact assessment proclamation (proclamation No.299/2002) requires that all environmental impact assessment studies undertake public consultation as part of the study. Relevant World Bank environmental and social standards (ESS10) also recognize the need and importance of consultation including free, prior and informed consent of the affected Indigenous Peoples (ESS7). Therefore, for identification and assessment of environmental and social impacts and risks and for successful implementation of mitigation measures a continuous stakeholder consultation is paramount important. This stakeholder consultation plan forms part of the ESMP. For details about stakeholder consultation, there is a separate Stakeholder Engagement Plan (SEP) prepared for the OFLP-ERP. This ESMF was prepared through consultations with stakeholders and communities at the regional, national and local levels.

5.1.1. Objectives and principles of consultations

The overall purpose of stakeholder consultation plan is to provide a framework for achieving effective stakeholder involvement and promoting greater awareness and understanding of issues so that the project will be carried out effectively within project period to the satisfaction of all concerned parties. Stakeholder consultations are specifically aimed to:

- Get necessary information that enables OEPA/ORCU to shape the project components and address environmental and social concerns taking into account the opinion/ suggestions of the stakeholders in the course of project implementation
- To get possible recommendations and implement them accordingly
- To create forum for interaction and discussion for OEPA/ORCU and participating institutions at different levels
- Finally, to ensure that the proposed project has broad community support, and that affected people endorse the proposed mitigation and management measures.

According to World Bank consultation guidelines, the major principles that make consultation process effective include the following:

- **Openness:** open to the input from stakeholders and stakeholder contributions will be taken into account.

- **Access to Information:** Stakeholders need access to all relevant information in advance. This principle applies to information on the consultation process as well as materials that would help stakeholders to provide informed opinions on the subject of consultation.
- **Accountability:** The input and feedback from each stakeholder is collated and assessed, shared back with stakeholders, and brought to the attention of decision makers.
- **Transparency:** Information is available to stakeholders about relevant aspects of the process, stakeholder engagement, stakeholder input, consultation outcomes, and how stakeholder input is used.
- **Visibility:** To reach all impacted groups, experts, and other relevant and interested stakeholders.

Consultations can be conducted in the following major forms:

Iterative Consultation: Plan ahead; consulting using basic principles of good practice; incorporate feedback; documenting the process and results of consultation; letting stakeholders consulted to know what has happened and what the next steps in the process will be (reporting back) are among the major iterative consultation process.

Informed Participation: Informed participation is a more intensive and active form of consultation. It involves a more in-depth exchange of views and information, leading to joint analysis and decision-making. This increased level of involvement tends to generate a shared sense of ownership in a process and its outcomes.

Consultation with Underserved Peoples: Underserved peoples are often among the most marginalized and vulnerable segments of a population. They can be subject to different types of risks and severity of impacts including loss of identity, culture, traditional lands, and natural resource-based livelihoods. Essential parts of preparation for the consultation process with underserved peoples include:

- Pre-consult
- Identify priority issues for consultation
- Give special care to cultural appropriateness
- Share responsibilities with government for disclosure and consultation

Gender Considerations: It is important to keep in mind that it is likely to affect men and women differently. In most societies, men and women play different roles within the private and public spheres. With these different and complex roles comes differential access to resources and finances, to contacts and relationships, to personal skills development, and to opportunity and power. Consulting primarily with men provides only half of the story. Partial information can lead to both risks and missed opportunities. For most companies, failing to consult adequately with women is not deliberate; rather it happens because engaging women in the consultation process usually requires awareness and concerted effort. The SEP for OFLP-ERP explicitly describes the process of engaging social groups in consultations.

5.2. Disclosure

The provision of access to relevant information for communities and other stakeholders helps them to understand risks, impacts and opportunities of the OFLP-ERP as per the WB ESF and ESS10. Thus, the updated ESMF for OFLP-ERP will be redisclosed by making copies available at the OEPA/ORCU office, relevant woreda offices, and OFLP-ERP/REDD+ website. The summary of potential social and environmental adverse effects of the project with mitigation measures will be disclosed on the OEPA/ORCU websites using Amharic and Afan Oromo languages as well. Besides, public disclosure will be made through billboard, banners, flyers,

local radios, and/or regional television channels etc. as required. Site specific ESIA/ESMP/RAP reports will also be disclosed by making copies available at OEPA/ORCU office, Project website, and relevant woreda offices. The Government will also authorize the World Bank to disclose this ESMF electronically through its external website

5.3. Stakeholders and Community Consultations related to the proposed project

5.3.1. Introduction

As per the ESS7 and ESS10 of the World Bank Environmental and Social Framework, and the SEP provisions, stakeholders and community consultations are key requirements for any planned development interventions financed by the World Bank. Stakeholders and community consultations are a method of ensuring a broad participation of key stakeholders and the local communities during project planning and implementation. Hence, the stakeholder and community consultations were fundamental to update the ESRM documents including this ESMF for the OFLP-ERP.

5.3.2. Objective of the stakeholder consultation and community

The overall objective of the consultations was to grasp stakeholders' and community's views and concerns over the planned OFLP-ERP interventions. The consultation meetings were organized mainly to serve two purposes: (1) to share project objectives and proposed project interventions with the target/identified stakeholders and communities, and (2) to consult the stakeholders and communities at selected implementation woredas about the project and to record their concern, particularly, in reference to the anticipated social and environmental risks and impacts of the proposed project interventions. Accordingly, stakeholders and communities have been engaged with the support from ORCU team and adequate information about the objectives and project components were provided. The participants during the consultation meetings have forwarded their views, concerns, and suggestions about the project.

5.3.3. Summary of findings from the stakeholders and community consultations

Stakeholder consultation was conducted as part of the participatory approach aimed at gaining good knowledge of the Environmental and social issues/risks associated with the project as perceived by the OFLP-ERP operation communities. Consultation meetings were facilitated mainly by the ORCU environmental and social safeguard cluster coordinators. The various consultations in sample Woredas of the Oromia Regional State were conducted from February 13 to April 16, 2022. The consultations covered 9 zones, 9 Woredas, 14 kebeles and reaching 168 men and 71 Women. Consultations were conducted with stakeholders at different levels, communities in focus group discussions and individual interviews. It was also aimed at exploring and soliciting feedback on the operational steps; land acquisition related issues, compensation, grievance redress mechanism, benefit sharing mechanism, and broader context of implementation arrangements. The consultation was believed to promote community ownership of the OFLP-ERP, enhance sustainability and seek their board support for the project implementation in Oromia regional state. Moreover, it provided opportunity for forest dependent communities to make contributions aimed at strengthening the development project while avoiding negative impacts as well as reducing possible conflicts. The consultations will remain open as an ongoing exercise throughout the life span of the ERP. Stakeholder and community consultation was conducted with federal and regional stakeholders and different community representatives

The community consultation and participation focused on three key agendas. These were:

- General discussion and information on concepts, causes, impacts and mitigation options of climate change;
- Drivers of deforestation and forest degradation in Oromia and strategic options to reverse the degradation process
- A brief introduction to the OFLP-ERP and the description of the project components and discussion on associated impacts/risks on people and the environment. The components discussed were the following:
 - i) **Component 1: Measurement, reporting, and verification (MRV) and payment of ERs generated by the project:** Deforestation and associated ERs within OFLP will be measured annually by the MRV unit. Measurement and reporting from the GoE to the BioCF Initiative for Sustainable Forest Landscapes (ISFL) will take place every year, starting in late 2022 and 2024, 2026, 2028 and 2030. The verification will take place every two years by a third party contracted by the World Bank following the submission of a monitoring report by the FDRE. Payments from the BioCF to the FDRE are expected to be made biannually upon verification of the ERs, or annually upon interim progress reports (as verification doesn't take place annually).
 - ii) **Component 2: Distribution of ER payments as per a BSP:** The BSP was prepared by the FDRE/BioCF through a highly participatory process. The BSP is guided by the principles of equity, efficiency, and transparency, and includes principles; categories of beneficiaries; processes for the distribution of benefits; and monitoring provisions, among other issues. The project will pay up to \$12 million for verified emissions reductions from the forest sector in the first phase of the Emission Reduction Purchase Agreement (ERPA) (i.e: Jan 2022- Dec 2023) and \$ 28 Million for emission reductions coming both from the forest and the livestock sector in the second phase (Jan 2024-Dec 2029). It is planned to sign the ERPA in this calendar year (2022).. The project has already prepared a *Benefit Sharing Plan*¹⁶ for the first phase, which has been consulted widely and has been through the Bank internal review.

5.3.4. General level of awareness and understanding on Climate Change and OFLP-ERP

The consultation gauged the level of understanding by stakeholders and the perception of climate change process, through identification of key signs in their respective localities. The consultation participants identified temperature increment, rainfall variability, increasing intensity of droughts, irrespective of the efforts diminishing agricultural productivity, clearly witnessing agro-ecological changes, increasing frequency of flooding and soil erosion. The community understands that OFLP-ERP will create an opportunity to set up small forest-friendly businesses and cooperatives that provide an income stream for the local community. They understand that benefit sharing will enhance local institution capacity building to address the challenges associated with open access to forest resource. The community members understand that OFLP-ERP will help the community by involving them through tree planting which in turn can serve as an alternative measure to supply wood for construction.

¹⁶ <https://documents.worldbank.org/en/publication/documents-reports/documentdetail/722771624985229961/benefit-sharing-plan-for-disbursing-result-based-payments-from-biocf-isfl-project>

As reduced deforestation resulting from targeted actions in the project areas could increase deforestation elsewhere, the project incorporates actions to reduce the risk of increased deforestation in the area immediately outside the project area, referred to as the project's "leakage" area. Conservation and development activities are designed to tackle the main drivers of deforestation in the leakage area and included the introduction of improved fuel efficient stoves, tree planting and improved crop-livestock management practices. During the interactive consultation and discussions, the participants identified the causes for climate change including, deforestation, agricultural expansion, population density, overgrazing and investment. Whereas, the impacts covered, diminishing water supply, declining agricultural productivity, flooding and higher risk of drought, health problem, and increasing social tension and conflicts. Communities and participants suggested potential mitigation options for climate change through the OFLP-ERP intervention. These include PFM, watershed management, continued consultation and awareness creation, introducing alternative energy sources, improving livelihoods through agro-forestry as prime mechanism.

Stakeholder and community consultation (see Annex 11 for the list of people stakeholders consulted) was conducted with federal and regional stakeholders and different community representatives.

Below is a summary of concerns/risks, along with suggested mitigation measures, raised during community consultation sessions.

A. Concerns and Views Raised, and Suggested Mitigation Mechanisms During Stakeholder and Community Consultation at East Wollega zone- Diga Woreda and Diga Kebele

Table 7: Summary of Consultation Conducted at East Wollega Zone

<i>Concerns and Views Raised</i>	<i>Suggested Mitigation Mechanisms</i>
1. Concerns raised	
I. East Wollega Zone-Oromia Region <ul style="list-style-type: none"> - As ERP suspends the communities trust on the program, government and sectors is going to be compromised and this may lead to conflict among the community and program implementing actors, - Complaint by the group who are excluded from benefiting in ERP - Gaps between expected benefit and actual benefit/payment - Conflict resulted due to the ownership claim of the community members and ERP - Lack of proper implementation approach may lead to deforestation (Zone EPA and NRM office experts) 	<ul style="list-style-type: none"> -Harnessing ERP activities as the proposed and properly communicating all community members about the benefits and components of the ERP -establishing appropriate MRV and safeguard system before the effective implementation of the ERP -Working on capacity building and the reinforcement of all the program activities -Maintaining effective institutional responsibility and developing accountability in benefit sharing mechanisms - The FDRE shall issue a proclamation/ regulation or guideline on ERPA and mechanisms of benefit sharing in order to reduce community distrust on government and other confrontations that may arise on government sectors
II. Diga Woreda-East Wollega Zone-Oromia Region <ul style="list-style-type: none"> - Land based competition and community conflict over resources allocation - Over expectation on benefit sharing and undermining benefits - Disagreement between community and forest management actors (Woreda EPA and Agriculture office experts) 	<ul style="list-style-type: none"> -Developing effective safeguard management system and implementing it at different levels -Conducting an intensive and continuous consultation on expected benefits and managing them properly -Developing formula on benefit sharing mechanism

	-Using traditional conflict resolution mechanism and properly using GRM to solve conflicts at their early stages
III. Diga Woreda-Diga Kebele-Community Consultation <ul style="list-style-type: none"> - Conflict of interest on forest management and expanding agriculture land, - As natural resources are common one, non-beneficiary groups from ERP raises ownership issues - Variation on the expected benefit and actual payment to the community may result in conflict and lack of trust on the government 	<ul style="list-style-type: none"> -Working on forest related livelihood activities to reduce the communities dependence on agriculture -Working on effective community consultation and capacity building activities

B. Concerns and Views Raised, and Suggested Mitigation Mechanisms During Stakeholder and Community Consultation at West Wollega zone- Gimbi Woreda and Lalisa Yasus Kebele

Table 8: Summary of Consultation Conducted at West Wollega Zone

Concerns and Views Raised	Suggested Mitigation Mechanisms
1.Concerns raised	
I. West Wollega Zone-Oromia Region <ul style="list-style-type: none"> - Competing interests on using land for agriculture and forest/plantation, - Conflict resulted due to the execution of benefit sharing activities among government and community and within different community members - Lack of proper implementation approach may lead to deforestation and degradation (Zone EPA and Agriculture office experts) 	<ul style="list-style-type: none"> -Conducting continuous community consultation and awareness raising sessions -Developing all rounded and effective safeguard management system and establishing practical and effective conflict management mechanism -Equitable share of benefits based on their contribution - Using a participatory approach along the life cycle of the program
II. Gimbi Woreda-West Wollega Zone-Oromia Region <ul style="list-style-type: none"> - Community dissatisfaction due to land acquisition and resettlement process - Over consumption of forest resources due to threat/fear they have on benefits from the ERP - Conflict on forest resources utilization (Woreda EPA and Agriculture office experts) 	<ul style="list-style-type: none"> -Primarily focusing on voluntary land donation and communal lands -Managing human interference in the wild life territories -Increasing forest benefits and alternative livelihood options -Working on program implementation related law enforcement and awareness creation sessions - Developing safeguard instruments and encouraging due diligence
III. Gimbi Woreda- West Wollega Zone-Oromia Region <ul style="list-style-type: none"> - Potential problems on ERP implementation 	<ul style="list-style-type: none"> -Working on awareness raising activities -Including financial support as part of delivering the benefits of the ERP - Promoting active forest based investment
IV. Gimbi Woreda-Lalisa Yasus Kebele-Community Consultation <ul style="list-style-type: none"> - Agro-forestry investment may lead to deforestation - Conflict among different communities due to natural resources utilization and benefit use competition 	<ul style="list-style-type: none"> -ERP should promote alternative livelihood options and mechanisms of diversifying them -Working on continuous awareness raising sessions - Developing and utilizing land use planning in a view of sustainable land management

C. Concerns and Views Raised, and Suggested Mitigation Mechanisms During Stakeholder and Community Consultation at Buno Bedele zone- Gachi and Bedele Woredas

Table 9: Summary of Consultation Conducted at Buno Bedele Zone

<i>Concerns and Views Raised</i>		<i>Suggested Mitigation Mechanisms</i>
I. Concerns raised		
I. Buno Bedele Zone-Oromia Region		
<ul style="list-style-type: none"> - Risk-Social conflict may arise between individuals or groups because of benefit sharing resulted dissatisfaction , - Concern-different land use types may be changed due to the newly introduced forest land use as a result of ERP (Zone EPA office head) - Social conflict (Zone Land Administration and use office representative) 		<ul style="list-style-type: none"> -establishing a responsible body at all levels to resolve social conflicts -A holistic and all rounded GRM needs to be established -Awareness raising sessions for implementing institutions and communities - Developing appropriate land use plan ((Zone EPA office head)) - Working on awareness raising and improving GRM practice (Zone Land Administration and use office representative)
II. Gachi Woreda-Buno Bedele Zone-Oromia Region		
<ul style="list-style-type: none"> - May lead to land use and other types of conflict (Woreda EPA Head) 		<ul style="list-style-type: none"> - Working on awareness raising and improving GRM practice - Improving follow-up and monitoring activities (Woreda EPA head)
III. Gachi Woreda-Buno Bedele Zone-Oromia Region		
<ul style="list-style-type: none"> - Conflict due to some gaps on benefit sharing - May cause change of other land use types in to forest (Woreda LAU Head) 		<ul style="list-style-type: none"> - Awareness raising in the process of benefit sharing, - Monitoring land use system changes as a result of ERP (Woreda LAU head)
IV. Secho Micael Kebele-Bedele Woreda-Community Consultation		
<ul style="list-style-type: none"> - Conflict among individuals or groups due to some gaps on benefit sharing - Farming and grazing lands may change in to forest land use type. 		<ul style="list-style-type: none"> - Awareness raising in the process of benefit sharing, - Strengthening GRM system for ERP.

D. Concerns and Views Raised, and Suggested Mitigation Mechanisms During Stakeholder and Community Consultation at Illibabor zone- Alle Woredas

Table 10: Summary of Consultation Conducted at Illibabor Zone

<i>Concerns and Views Raised</i>		<i>Suggested Mitigation Mechanisms</i>
I. Concerns raised		
I. Alle Woreda-Illibabor Zone-Oromia Region		
<ul style="list-style-type: none"> - Conflict among communities due to benefit sharing mechanism (Woreda EPA Head) 		<ul style="list-style-type: none"> - Improving follow-up and monitoring activities (Woreda EPA head)
V. Alle Woreda-Illibabor Zone-Oromia Region		
<ul style="list-style-type: none"> - Social conflict due to some gaps on benefit sharing (Woreda LAU Head) 		<ul style="list-style-type: none"> - Awareness raising in the process of benefit sharing, - Monitoring land use system changes as a result of ERP (Woreda LAU head)
VI. Janmeda Kebele-Alle Woreda-Community Consultation		
<ul style="list-style-type: none"> - Conflict among communities due to some gaps on benefit sharing 		<ul style="list-style-type: none"> - Awareness raising in the process of benefit sharing, - Effective law enforcement.

E. Concerns and Views Raised, and Suggested Mitigation Mechanisms During Stakeholder and Community Consultation at Jimma zone- Gomma Woredas

Table 11: Summary of Consultation Conducted at Jimma Zone

<i>Concerns and Views Raised</i>		<i>Suggested Mitigation Mechanisms</i>
1.Concerns raised		
J. Gomma Woreda-Jimma Zone-Oromia Region		
<ul style="list-style-type: none"> - Conflict among communities due to benefit sharing mechanism - Land use change from other types to forest land use type (Woreda EPA Head) 		<ul style="list-style-type: none"> - Awareness raising in the process of benefit sharing, - Improving the GRM system ERP - Improving the functionality of the GRC (Woreda EPA head)
II. Gomma Woreda-Jimma Zone-Oromia Region		
<ul style="list-style-type: none"> - Conflict among communities due to benefit sharing mechanism - Conversion of Farm Land use type to forest land use type (Woreda Agriculture-Office Representative) 		<ul style="list-style-type: none"> - Awareness raising in the process of benefit sharing, - Improving the GRM system ERP (Woreda Agriculture-Office Representative)
V. Genji Elibu Kebele-Gomma Woreda-Community Consultation		
<ul style="list-style-type: none"> - Conflict among communities due to some gaps on benefit sharing 		<ul style="list-style-type: none"> - Awareness raising in the process of benefit sharing, - Strengthening the existing GRM system.

F. Concerns and Views Raised, and Suggested Mitigation Mechanisms During Stakeholder and Community Consultation at Bale zone- Agaarfaa Woreda

Table 12: Summary of Consultation Conducted at Bale Zone

<i>Concerns and Views Raised</i>		<i>Suggested Mitigation Mechanisms</i>
1.Concerns raised		
I. Bale Zone-Oromia Region		
<ul style="list-style-type: none"> - Risk-Social conflict may arise between individuals or groups because of benefit sharing resulted dissatisfaction on the hand the community depends on external support and the communities outside of the project implementation area may claim ownership of the natural resources and this also can lead to another conflict ,(Zone EPA office head) 		<ul style="list-style-type: none"> -Capacity building and institutionalization of the principles of WB Environment and social safeguards on the implementation of the program, -Providing enough budget and logistics for the program staffs especially from the government side; as it stands the allocation is minimum or no budget at all ((Zone EPA office head))
II. Bale Zone-Oromia Region		
<ul style="list-style-type: none"> - Risk-Social conflict may arise between individuals or groups because of benefit sharing resulted dissatisfaction, - An increase the dependency of the community on the benefits of ERP - Access restriction on the natural resources utilization can be a source of competition for community members and other stakeholders (Zone Agriculture-Natural resources team leader and CSA expert) 		<ul style="list-style-type: none"> - Despite of having well established organization and man power, we are not able to deliver our responsibilities on environmental and social safeguards due to budget shortage (Zone Agriculture-Natural resources team leader and CSA expert)
III. Bale Zone-Oromia Region		
<ul style="list-style-type: none"> - Risk-Social conflict may arise between individuals or groups because of benefit sharing resulted dissatisfaction, - An increase the external dependency of the community on the benefits of ERP - It can a source of corruption for community members and other stakeholders (Zone Land Use and Administration- team leader) 		<ul style="list-style-type: none"> - Awareness raising on the process of benefit sharing between the government and the community -Intensive assessment on the community needs - Developing a detailed guideline on the management of benefits which is contextualized in line with the contexts of the local areas (Zone Land Use and Administration- team leader)
VI. Agaarfaa Woreda-Bale Zone-Oromia Region		
<ul style="list-style-type: none"> - It can increase dependency syndrome on the community - Gaps o the implementation of benefit sharing plan can lead to conflict among community members 		<ul style="list-style-type: none"> - Providing training to different stakeholders on ERP and benefit sharing management - Awareness raising sessions for the local communities on the process of benefit sharing among cooperatives and communities

<ul style="list-style-type: none"> - Some community may use the payment for un intended purpose (Woreda EPA- Head and expert) 	<ul style="list-style-type: none"> -Developing and implementing strong bylaw on how benefits are shared and managed (Woreda EPA- Head and expert)
VII. Agaarfaa Woreda-Bale Zone-Oromia Region <ul style="list-style-type: none"> - It can increase dependency of the community on external support - Gaps o the implementation of benefit sharing plan can lead to conflict among community members - Increase pressure on land for additional yields due to forest conservation (Woreda Agriculture- Head and expert) 	<ul style="list-style-type: none"> - Providing training to different stakeholders on ERP and benefit sharing management -Developing and implementing strong bylaw on how benefits are shared/distributed and managed (Woreda Agriculture- Head and expert)
VIII. Agaarfaa Woreda-Bale Zone-Oromia Region <ul style="list-style-type: none"> - It can increase dependency syndrome and corruption of the community on external support - Gaps o the implementation of benefit sharing plan can lead to conflict among community members - Restricting the expansion of agriculture production and land use expansion due to the increased ownership of the protected forest by the community (Woreda Land Administration and Use- Head and expert) 	<ul style="list-style-type: none"> - Awareness raising on the process of ERP and benefit sharing between the government and the community -Developing and implementing strong bylaw on how benefits are shared/distributed and managed (Woreda Land Administration and Use- Head and expert)
IX. Yemekona Chefa Kebele-Agaafraa Woreda-Community Consultation <ul style="list-style-type: none"> - Conflict among individuals or groups due to some gaps on benefit sharing - Increase the dependency of the community on external support - Farming and grazing lands may change in to forest land use type. - Conflict on the members of the CBO on the implementation of benefit sharing activities 	<ul style="list-style-type: none"> -Intensive training and capacity building support for community and the expert on how the ERP is implemented and identifying the relationships between community and CBOs -Strict follow-up on the implementation of equity based benefit sharing as per the BSP.
X. Yegalema Heabano Kebele-Agaafraa Woreda-Community Consultation <ul style="list-style-type: none"> - Conflict among individuals or groups due to some gaps on benefit sharing - Increase the dependency of the community on external support - Increase pressure on other areas due to the price increase in the forest products. 	<ul style="list-style-type: none"> -Intensive training and capacity building support for community and stakeholders on how the ERP is implemented and benefit sharing process -Increase the options for energy sources in order to reduce the pressure on the forest resources.

G. Concerns and Views Raised, and Suggested Mitigation Mechanisms During Stakeholder and Community Consultation at West Haraghe zone- Cirroo Woreda

Table 13: Summary of Consultation Conducted at West Hararghe Zone

<i>Concerns and Views Raised</i>	<i>Suggested Mitigation Mechanisms</i>
I.Concerns raised	
I. West Hararghe Zone-Oromia Region <ul style="list-style-type: none"> - Risk-Forced land acquisition - Involuntary resettlement and loss of business and assets - Compromising the rights of local community - Potential risk of soil erosion, and flooding' - Potential risk on biodiversity or potential for the introduction of invasive species in the intervention areas (Zone EPA office head) 	<ul style="list-style-type: none"> -Using participatory approach starting from planning , implementation and M and E of ERP, - organizing stakeholders and community at all levels of intervention, - Follow-up on plantation sites and planted species compatibility to minimize the risk of invasive species ((Zone EPA office head))
II. West Haraghe Zone-Oromia Region <ul style="list-style-type: none"> - Risk-deforestation due lack of clear boundary between farm land and forest, - Loss of asset during the establishment of plantation sites 	<ul style="list-style-type: none"> - Acknowledging and utilizing local knowledge and values of the community -Conducting intensive property/asset valuation for compensation purpose

<ul style="list-style-type: none"> - It can a source of corruption for community members and other stakeholders (Zone Land Use and Administration- team leader) 	<ul style="list-style-type: none"> - Special treatment of various forest dependent communities -Set clear criterion of ownership of land and other natural resources (Zone Land Use and Administration- team leader)
<p>III. Ciroo Woreda-West Haraghe Zone -Oromia Region</p> <ul style="list-style-type: none"> - Un intended impact like expansion of deforestation, - Delay on benefit sharing distribution - Role overlap among the staffs of different WB financed projects like; PSNP, CALM and other projects vis-à-vis the role of ORCU staffs - Low capacity of the hosting institutions at zone, woreda and kebele levels to execute activities and hence affects the effectiveness of program implementation (Woreda EPA- Head and expert) 	<ul style="list-style-type: none"> - Timely distribution of benefits to different stakeholders - Consultation and awareness raising sessions for technical and non-technical staffs at woreda level -Strengthening institutional capacity and structure of hosting institutions (Woreda EPA- Head and expert)
<p>IV. Ciroo Woreda-West Haraghe Zone -Oromia Region</p> <ul style="list-style-type: none"> - Conflict of interest between stakeholders and community members - Community dissatisfaction due to the miss-match between the community expectation and the actual payment/distribution of benefit - Program implementation miss-management may lead to land degradation and deforestation - Extensive climate change may lead to forest or wild fire (Woreda ANR- NR team leader) 	<ul style="list-style-type: none"> - Working on awareness raising activities for all stakeholders including the GRC -Reliable, good and efficient MRV system - Strengthening institutional capacity and structure of hosting and implementing institutions starting from Kebele to region levels (Woreda ANR- NR team leader)

H. Concerns and Views Raised, and Suggested Mitigation Mechanisms During Stakeholder and Community Consultation at East Haraghe zone- Dadar Woreda

Table 14: Summary of Consultation Conducted at East Hararghe Zone

<i>Concerns and Views Raised</i>	<i>Suggested Mitigation Mechanisms</i>
I.Concerns raised	
<p>I. East Hararghe Zone-Oromia Region</p> <ul style="list-style-type: none"> - Depending on few or one crop species during plantation and biodiversity loss - Poor program implementation may lead to deforestation and asset loss ,(Zone EPA office- unit head) 	<ul style="list-style-type: none"> -Using multiple species of plantation during tree plantation, -Conducting proper consultation of stakeholder before and during ERP implementation -Including appropriate property valuation estimation and compensation budget allocation (Zone EPA office- unit head)
<p>II. Dadar Woreda-East Hararghe Zone-Oromia Region</p> <ul style="list-style-type: none"> - Land acquisition related problems may occur (Woreda EPA- expert) 	<ul style="list-style-type: none"> - Including appropriate property valuation estimation and compensation budget allocation (Woreda EPA- expert)

J. Concerns and Views Raised, and Suggested Mitigation Mechanisms During Stakeholder and Community Consultation at Arsi zone- Shirkaa Woreda

Table 15: Summary of Consultation Conducted at Arsi Zone

<i>Concerns and Views Raised</i>	<i>Suggested Mitigation Mechanisms</i>
I.Concerns raised	
<p>I. Arsi Zone-Oromia Region</p> <ul style="list-style-type: none"> - The benefit sharing activities related gaps may lead to conflict among community members 	<ul style="list-style-type: none"> -Provide training for community and other relevant stakeholders on how the BSP is implemented or benefits are shared and managed

<ul style="list-style-type: none"> - It may increase the dependency of the local communities on the external support, (Zone EPA office- head and forest unit lead) 	<p>(Zone EPA office- head and forest unit lead)</p>
<p>II. Arsi Zone-Oromia Region</p> <ul style="list-style-type: none"> - Risk-Social conflict may arise between individuals or groups because of benefit sharing resulted dissatisfaction, (Zone Agriculture-Deputy Head) 	<ul style="list-style-type: none"> - Payments should be effected as per the BSP -Close follow up and monitoring on the overall implementation of ERP (Zone Agriculture-Deputy Head)
<p>III. Arsi Zone-Oromia Region</p> <ul style="list-style-type: none"> - Risk-Social conflict may arise between individuals or groups because of benefit sharing resulted dissatisfaction, - An increase the external dependency of the community on the benefits of ERP - It can a source of corruption for community members and other stakeholders (Zone Land Use and Administration- Deputy Head) 	<ul style="list-style-type: none"> - Awareness raising on the process of benefit sharing between the government and the community -Intensive assessment on the community needs - Developing a detailed guideline on the management of benefits which is contextualized in line with the contexts of the local areas (Zone Land Use and Administration- Deputy Head)
<p>IV. Shirkaa Woreda-Arsi Zone-Oromia Region</p> <ul style="list-style-type: none"> - Risk-Social conflict may arise between individuals or groups because of benefit sharing resulted dissatisfaction, - An increase the external dependency of the community on the benefits of ERP - It can a source of corruption for community members and other stakeholders (Woreda EPA- Head and expert) 	<ul style="list-style-type: none"> - Awareness raising on the process of benefit sharing between the government and the community -Developing and implementing strong bylaw on how benefits are shared and managed before initiating the CBOs activities (Woreda EPA- Head and expert)
<p>V. Shirkaa Woreda-Arsi Zone-Oromia Region</p> <ul style="list-style-type: none"> - It can increase dependency of the community on external support - Gaps o the implementation of benefit sharing plan can lead to conflict among community members - (Woreda Agriculture- Head and expert) 	<ul style="list-style-type: none"> - Awareness raising on the process of ERP implementation and benefit sharing between the government and the community -Capacity building to for CBOs and program implementers on how benefits are shared/distributed and managed (Woreda Agriculture- Head and expert)
<p>VI. Shirkaa Woreda-Arsi Zone-Oromia Region</p> <ul style="list-style-type: none"> - Risk-Social conflict may arise between individuals or groups because of benefit sharing resulted dissatisfaction, - An increase the external dependency of the community on the benefits of ERP - It can a source of corruption for community members and other stakeholders (Woreda Land Administration and Use- Head and expert) 	<ul style="list-style-type: none"> - Awareness raising on the process of benefit sharing between the government and the community -Developing and implementing strong bylaw on how benefits are shared and managed before initiating the CBOs activities -Supervision and follow-up to minimize corruption practices (Woreda Land Administration and Use-Head and expert)
<p>VII. Yeheala Mekana Kebele-Shirkaa Woreda-Community Consultation</p> <ul style="list-style-type: none"> - Conflict among individuals or groups due to some gaps on benefit sharing - Increase the dependency of the community on external support 	<ul style="list-style-type: none"> -Awareness raising on the process of benefit sharing between the government and the community -Strict follow-up on the implementation of equity based benefit sharing as per the BSP.
<p>VII. Solea Farqasaa Kebele-Shirkaa Woreda-Community Consultation</p> <ul style="list-style-type: none"> - Conflict among individuals or groups due to some gaps on benefit sharing - Increase the dependency of the community on external support 	<ul style="list-style-type: none"> --Awareness raising on the process of benefit sharing between the government and the community -Strict follow-up on the implementation of equity based benefit sharing as per the BSP.

Issues related to Land Tenure

There were no cases of land acquisition mentioned that resulted in involuntary resettlement in the selected consultation areas during this study. However, there were complaints by the local people that the forest land has been expanding into their farmlands in almost all kebeles those

visited during this consultation. In West Hararghe zone, Ciroo Woreda, however, community members reported that there were cases where some farmlands were mistakenly demarcated as forestland, which in principle restrict access for any form of use by the community and some of them corrected later through the intervention of the Woreda administration. Still many households from Madhichoo Lak/2 and Tayifea kebeles of Ciroo Woreda feel insecure about their farmlands already included in the demarcated state forestland during the boundary mapping. They claim that “the plots of land for which they have land certificates were designated as forest land” and hence, they are concerned that eventually the plots will be converted into forest lands.

Concerns related to GRM

GRM is localized and formal instrument to document, assess, evaluate and resolve complaints of project affected people during implementation. The instrument is essential to enhance transparency, fairness, and build stakeholder trust and confidence on the project activities. During the consultation, efforts were made to capture the experience on GRM implementation in the on-going OFLP-grant program. The discussion results showed that with a varying level of existence of the practice in place, there have not been filed cases or experience in the GRM implementation related to the OFLP-grant activities implementation in the visited Kebeles. Some of the community members who participated in the ESRM discussion explained no such system has been put in place by the program, may be due to absence of serious grievance cases. Instead, they expressed the role played by the indigenous institutions such as “*Jaarsumma/mangudumma*”, which is a traditional mechanism of conflict resolution through the mediation of selected elders on disputes and conflicts of any sort. Although the program GRM was shown on the structure, it was not operational or functional and people are not aware of it. However, based on the last mission six month report, 19 cases are registered in Nekemte, Liben, and SW clusters. 11 of them are resolved, and 8 cases are pending. Issues related to livelihoods intervention and A/R and PFM activities are the main cause of reported/registered grievance.

Besides, community members rely on and prefer to use the traditional/indigenous systems of dispute settlement, which is basically logical to use it as an alternative instrument of GRM for the programs. The consultation in the Alle, Gachi and Bedele Woredas of the IluAbba Bora Zone, *Jaarsumma* was emphasized as a very strong and largely acceptable mechanism of local disputes settlement. Whereas, *Iddir*, which is another form of traditional community association for times of death, was mentioned as a functioning instrument to strengthen *Jaarsumma* in some Kebeles of the three Woredas.

Participants also expressed that, although not designed as part of the GRM structures, often members file their complaints with the smaller structures of the local cooperative, the blocs, and when the complainants are not satisfied with the decision of the block committee, they will proceed to the executive committee of the Cooperative, and hierarchically to the Kebele administration and/or to the Woreda court if satisfactory solutions to grievances could not be achieved at the lower level structures.

Other traditional institutions related to resources management and conflict resolution

The Oromo people have age old traditional institutions of resource management, resource sharing and conflict resolution mechanisms embedded in their life. The Gadaa system, a complex customary administrative structure, is a social and political institution providing guidance on customary practice of the Oromo society to demarcate, among the pastoral

communities of Borana and Guji, dry and wet season grazing, with a set of specific rules and regulations. Such cyclical grazing and range management is compatible to the requirements of range ecology, keeps equilibrium of vegetation dynamics by minimizing overgrazing and depletion of water. It has strong unwritten customary regulations governing forest tenure, resource access, use and management. The Kallu is the religious institution of the Oromo. The Kallu also handles conflicts and provide adjudication to grievances.

The Arsi-Bale have well-instituted traditional range management systems (herd management, grazing areas, settlement stratification, management of water points, hierarchical cohort based responsibilities) most of which are designed for conflict prevention and peaceful coexistence. Their view on nature and environment are instituted in their customary laws not only to protect the natural environment and eco-system, but also to reduce conflicts that may arise on over utilization and rapid depletion of resources. The communities have a customary law that prohibits cutting trees without adequate reasons. Some trees are prohibited for their spiritual, economic, social and cultural values. The type of trees grown in specific areas is also an indication of the availability or shortage of ground water. The Gada system and rules allow cutting of trees only for fencing and building houses. Big trees should not be cut and only small branches are permitted for the construction of Barns. The Arsi's believe that trees have and sustain life.

Traditionally, there is an institution of *Jaarsumma/Mangudmma* (conflict resolution through the mediation of elders). In all the kebeles visited, *Jaarsumma* was stressed as the most effective traditional conflict resolution mechanism, which is not only active to date but also used by the government judiciary system to mediate complicated dispute cases between disputants from the same kebele or neighborhood. They also play important role in the establishment of cooperatives drawing on the wisdom of indigenous institutions that sustained natural resources conservation for several generations. They also play vital role in handling grievances on entitlements protected by *Godaantu*¹⁷ (Arsi and Bale) and *Goopo*¹⁸ (Ilu Abba Bora) systems and a range of issues that arise between people. The wide range of issues the Jaarsumma institution handles and the level of acceptance of its decisions by all parties and the acceptance it won from the official legal system were consistently reported across the kebeles visited for this study.

Godaantu and *Goopo* systems are used to strike a fair balance between access right and protection of the traditional user-right. Iddir—a voluntary self-help association – is also used to augment the effort of the Jaarsumma institution to handle grievances at the neighborhood levels.

Concern on Benefit Sharing and Unmet Expectations

Community expectation from the OFLP grant program was very high, which is now leading people to lose hope on what the government promised to deliver. In many community consultations held in OFLP area, people challenged the ESRM team saying, ‘where is the

¹⁷ Godaantuu “is a transhumance system of Oromo pastoralists, and key feature of traditional human use of forest based resources especially in the Bale/Arsi forested landscape. In this system, livestock, particularly cattle are sent to higher grazing grounds during the months when crops are growing in lower altitude areas or into the forest for shade during the dry season. When drought hits the pastoral and agro pastoral areas beneath the forests of Oromia, the people move to the forests with their livestock for grazing, watering and shelter seasonally. The accession of resources during the seasonal migration of pastoralists and agro-pastoralists is governed by the Gada system including, allocation of grazing, watering and shelter areas.... Godaantuu system is a customary natural resource use practice regulated by the traditional institution called Abbaa Ardaa. Abbaa Ardaa regulates the opening and closing dates for seasonal livestock grazing, use area and use patterns of grazing to avoid degradation of particular areas, and enable particular groups to control their grazing territory.”

¹⁸ Goopo system “is a forest (tree) tenure institution that grants first claimers an exclusive use right over a block of forest, usually for collection of forest coffee, hanging beehives and access to other non-timber forest products (NTFP). Once claimed, the forest block is de facto individual property, respected by fellow citizens of the area, and the owner has the right to exclude others. The system is prevalent in Western Ethiopia among people residing outside the forest, but historically have resources (bee hives, coffee, spices) paying service charges for keeping and ensuring access to people.”

money?’ They said, ‘we are tired of people, black and white, coming every now and then telling us to conserve the forest promising the money is coming.’ They said bitterly “we waited for too long”. Used the Oromo proverb ‘dubbiin soddaa afaan guutti malee garaa hin guttu’ (contextually, the would-be in laws’ negotiations for bride wealth payment before the conclusion of the marriage is attractive [fills the mouth], but never realized [but not the stomach]). They said ‘we have done our part, protecting the forest, it is the government which failed to deliver what it has promised. If people start going to bed empty stomach, then the forest is at risk’.

Regarding specific benefit sharing arrangement of carbon financing in OFLP program, the deal has been made between OFWE on behalf of the government and cooperatives on behalf of the community, that if the carbon financing proposal/plan materializes, from the emission reduction (ER) payments, out of the total payment 75% will be channeled for the community while the remaining 25% will go to the federal government (5%), regional government (15%) and private sector (5%). The program has already established cooperatives, designating forest boundaries, etc. in the kebeles of the intervention woredas and set the MRV system. The CSOs running these sub-programs are playing a catalyst role in realizing sustainable use of natural forest resources through participatory forest management using donor funds and there is nothing that they get in cash from the emission reduction payment.

5.3.4. Summary of general concerns

- ✓ ERP may suspend the communities trust on the project, government and sectors is going to be compromised and this may lead to conflict among the community and project implementing actors.
- ✓ Complaint by the group who are excluded from benefiting in OFLP-ERP
- ✓ Gaps between expected benefit and actual benefit/payment
- ✓ Conflict resulted due to the ownership claim of the community members and OFLP-ERP
- ✓ Lack of proper implementation approach may lead to deforestation
- ✓ Land based competition and community conflict over resources allocation
- ✓ Over expectation on benefit sharing and undermining benefits
- ✓ Disagreement between community and forest management actors
- ✓ Conflict of interest on forest management and expanding agriculture land,
- ✓ Variation on the expected benefit and actual payment to the community may result in conflict and lack of trust on the government
- ✓ Conversion of Farm Land use type to forest land use type
- ✓ An increase the dependency of the community on the benefits of OFLP-ERP
- ✓ Access restriction on the natural resources utilization can be a source of competition for community members and other stakeholders
- ✓ It can a source of corruption for community members and other stakeholders
- ✓ Increase pressure on land for additional yields due to forest conservation
- ✓ Conflict on the members of the CBO on the implementation of benefit sharing activities
- ✓ Increase pressure on other areas due to the price increase in the forest products.
- ✓ Forced land acquisition
- ✓ Involuntary resettlement and loss of business and assets
- ✓ Compromising the rights of local community
- ✓ Potential risk of soil erosion, and flooding’
- ✓ Potential risk on biodiversity or potential for the introduction of invasive species in the intervention areas
- ✓ Deforestation due lack of clear boundary between farm land and forest,
- ✓ Loss of asset during the establishment of plantation sites
- ✓ Un intended impact like expansion of deforestation,

- ✓ Delay on benefit sharing distribution
- ✓ Role overlap among the staffs of different WB financed projects like; PSNP, CALM and other projects vis-à-vis the role of ORCU staffs
- ✓ Low capacity of the hosting institutions at zone, woreda and kebele levels to execute activities and hence affects the effectiveness of project implementation
- ✓ Depending on few or one crop species during plantation and biodiversity loss

5.3.3. Take-on from the consultations and recommendations

- ✓ Mainstreaming ERP Programs into government's long term development plans and strategies ensures sustainability.
- ✓ Multi-stakeholder consultation and local level capacity building is critical to ensures program relevance and to get buy-in from Program stakeholders.
- ✓ Coordination of existing ERP relevant investments could reduce the amount of actual investment required for implementing ERP.
- ✓ A strong cross-sectoral coordination is crucial to deliver ERP.
- ✓ Focusing on non-carbon benefits during community consultations can help manage expectations.
- ✓ It is important to issue certificate of forest title deed to organized forest beneficiaries to overcome the long-standing sense of insecurity by communal resource management group. Certificate of forest title deed and forest management plan is, particularly required for patches of forest outside forest priority areas. Improving the overall information system about forest tenure rights is crucial to enhance the overall forest tenure governance system in Oromia.
- ✓ Address the critical challenges related to lack of clear forest boundary and criteria to enroll cooperative members. The traditional forest tenure rights held by local community and other groups as customary tenure systems need to be officially recognized and clearly aligned with the statutory framework. This include amending the existing legal framework to recognize customary use rights and traditional institutions like Gedda system as entity to be involved in natural resource management.
- ✓ It is necessary to develop a comprehensive guideline that supports multiple rights to co-exist on the same plot of forest land.
- ✓ Government should devise alternative mechanisms for non-cooperative members such as unemployed youth and those who have lost their customary access due to the establishment of the new system. Alternative mechanisms to consider include encouraging value addition and value chain development where members and non-members are effectively linked in the commodity chains of legally harvested forest products. Further comprehensive study is also recommended to identify feasible alternative livelihood strategies for landless and unemployed youth living in and around forested areas in Oromia.
- ✓ Encourage and strengthen community level alternative dispute resolutions through arbitration that reduce costs and enable community members to use their time for other productive purpose. It also requires revision of legal framework that recognizes and enforces decisions and agreements made through community level arbitration.
- ✓ When revising the legal framework, it should establish clear procedures to build the capacity of community-based tenure dispute resolution bodies by training expertise in alternative dispute resolution, providing legal materials and working space. For example, the capacity building efforts for the community-based dispute resolution bodies can be strengthened by linking with the legal aid centers established by various universities in the country to provide legal support for poor and vulnerable groups.
- ✓ During forest concession allocation and operation, it is crucial to conduct and publicly disclose social and environmental impact assessments, establish equitable social agreements

with local communities, put in place appropriate avoidance and mitigation measures, regular monitoring, reporting, and take corrective measures when negative social or environmental impacts are detected.

- ✓ Improving the functionality of the GRC /Strengthening the functioning capacity of GRM systems that address local grievances and to operate in tandem with local institutions when designing and implementing the OFLP-ERP related sub-activities, particularly for those with potential social and environmental impacts.
- ✓ Accurate and up-to-date information and records that contain comprehensive legal and spatial information about forest concession and their operations should be maintained centrally both at regional state and federal level and should be freely accessible by the public.
- ✓ Capacity building for Kebele governments and facilitators in participatory village planning processes;
- ✓ Regulatory support for the use of Kebele funds to support the ERP;
- ✓ Facilitating participatory mapping of Kebele boundaries (especially in areas with history of conflicts and/or disputes);
- ✓ Community capacity building (led by ORCU) on good agricultural practices, provisions of affordable technology, and technical support for sustainable business development;
- ✓ Strengthening community engagement and consultations;
- ✓ Tailoring delivery and approach for training based on local contexts;
- ✓ Technical facilitation for conservation partnership, including simplifying requirements for legal documentation;
- ✓ Strengthening the capacity of the licensing process by inclusion of SDP results to protect physical cultural heritage;
- ✓ Strengthening the capacity of the licensing process by inclusion of Physical Cultural Resources Management Plan of the ESMF;
- ✓ Strengthening dispute settlement by inclusion of biodiversity management framework and/or physical cultural resources management plan into the process.
- ✓ Ensure compliance with national OHS requirements and best practice;
- ✓ Provide appropriate PPE to all construction workers and enforce use;
- ✓ Develop agrochemical management plan describing handling, storage, use and disposal of all agrochemicals used on the schemes;
- ✓ Train beneficiaries in the handling, storage, application and disposal of all agrochemicals;
- ✓ Ensure sound design of all structures, taking into account soil susceptibility to erosion;
- ✓ Ensure structures are continuously and routinely maintenance – checking structures soundness (cracks, erosion around edges), desalting, etc.;
- ✓ Harnessing ERP activities as the proposed and properly communicating all community members about the benefits and components of the ERP;
- ✓ Establishing appropriate MRV and safeguard system before the effective implementation of the ERP;
- ✓ Working on capacity building and the reinforcement of all the program activities;
- ✓ Maintaining effective institutional responsibility and developing accountability in benefit sharing mechanisms;
- ✓ The FDRE shall issue a proclamation/ regulation or guideline on ERPA and mechanisms of benefit sharing in order to reduce community distrust on government and other confrontations that may arise on government sectors;
- ✓ Primarily focusing on voluntary land donation and communal lands;
- ✓ Managing human interference in the wildlife territories;
- ✓ Increasing forest benefits and alternative livelihood options;
- ✓ Working on program implementation related law enforcement and awareness creation sessions;

- ✓ Developing and utilizing land use planning in a view of sustainable land management;
- ✓ Capacity building and institutionalization of the principles of WB Environment and social safeguards on the implementation of the program;
- ✓ Providing enough budget and logistics for the program staffs especially from the government side; as it stands the allocation is minimum or no budget at all;
- ✓ Increase the options for energy sources in order to reduce the pressure on the forest resources;
- ✓ Strengthening institutional capacity and structure of hosting and implementing institutions starting from Kebele to region levels; and
- ✓ Developing a detailed guideline on the management of benefits which is contextualized in line with the contexts of the local areas.

General Agreements:

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

Chapter 6: Environmental and Social Management Process and Procedures

6.1. Sub-project screening Guiding principles

The OFLP-ERP is required to meet the ESS1 and other standards indicated earlier (see Subsection 3.12). Any of the sub-project activities will have to be screened for eligibility and for adverse environmental and social risks and impacts. For the adverse impacts, appropriate environmental and social management plan has to be prepared to prevent, minimize, mitigate or compensate for and maximize beneficial impacts on a sustainable basis. The environmental and social management planning and implementation under the OFLP-ERP will be guided by the following principles.

- The enabling investments component of the OFLP-ERP involves relatively small-scale activities that can be designed, implemented and managed at the kebele/community level using standardised published guidance, and with the assistance of DAs and woreda staff as required;
- The ERP activities planning process will be participatory and communities have the opportunity to prioritize needs as per the agreed BSP; and participation in the community activities will be entirely voluntary;
- The design of ERP activities and landscape activities will be guided by technical support and technical materials to avoid or minimise adverse impacts and encourage positive environmental effects;
- The ERP activities planning and implementation will integrate appropriate environmental and social management and enhancement measures;
- Identified ERP activities by the communities will be screened, vetted and adopted in the Kebele landscape management plan on the basis of selection criteria and screening designed to eliminate ERP activities with major or irreversible environmental or social impacts (as stated in the guidelines below). The ERP activities with special environmental and social concern will be directed to the attention of the Oromia REDD+ Technical Working Group (TWG) and Oromia Environment Protection Authority (OEPA) at the regional level;
- Approval at regional level will involve the OEPA, which will have the right to decline an ERP subproject/activity on environmental and/or social grounds, or to conduct an assessment of likely impacts prior to approval.
- Special attention will be given to the impacts of small-scale construction/maintenance of schools, clinics, and community access roads involving land/asset acquisition and activities that may negatively affects Physical and Cultural Resources and forest and natural habitats as well. Such types of program activities will be notified to the OEPA. The OEPA will decide whether an ESIA is required. Following such ESIA, the OEPA may recommend to modify the ERP activities, recommend a management plan, or disapprove ERP activities.
- ERP activities implementation will be supervised and monitored at Kebele and Woreda levels. The DAs, with assistance as deemed necessary from the Woreda sector office experts, Woreda EPA, and the Woreda OFLP coordinators, and OFLP ESRM coordinators, will ensure that the specified mitigating measures are implemented as per the plan.

6.2. Screening Procedures

During ERP activities selection by communities, the Development Agents have to check whether the identified program activities fall into the categories that are not eligible for financing under the Program activities. Such activities may include those that may cause damage to physical and cultural resources; access restriction to natural resources; etc. The ERP activities design/plan will then be sent to the Woreda Land Use Planning Teams (LUPTs). The

Woreda LUPTs currently exist at woreda level as part of a national land-use planning initiative and are composed of experts from respective woreda sector offices, including Woreda Office of Environment Protection Authority (WoEPA). Given that rational land-use is critical for the success of OFLP-ERP, the LUPTs will be strengthened by OFLP-ERP as relevant, and used as a platform for coordination through the OFLP Woreda Coordinators. As one of the key OFLP-ERP ESRM instruments implementation arrangements, the existing Woreda environmental experts will be trained and be part of the Woreda LUPT to support mainstreaming of the Environmental and Social Standards requirements in all land-use planning related issues of OFLP-ERP.

The WoEPA, with technical inputs of Woreda LUPT, will screen the ERP sub-activities. Woreda LUPT passes recommendations if any design modifications are required. The Woreda Administrators/council approves plans based on the decisions of WoEPA and recommendations of Woreda LUPT. If ERP activities of any significant environmental and/or social concerns are included, then the plan document will be directed to the attention of the Oromia REDD+ TWG and OEPA. Such cases are rare since the ERP activities do not involve destruction of natural habitats and forests, construction/maintenance of large infrastructures. The OEPA, with technical inputs of the Oromia RDD+ TWG, will make decisions if ESIA is required for those ERP activities. Based on ESIA outcomes, OEPA will recommend modifying the design, preparing environmental and social management plan to mitigate negative impacts or reject/disapprove the ERP activities. The screening for adverse environmental and social impacts will involve the following steps.

6.2.1. Step (i): Eligibility check (Guidance for the DAs)

The ERP activities that are not eligible under the OFLP-ERP can be reviewed and checked by DAs at the Kebele level against any of the features mentioned in the checklist provided in Table 16 below. This simple checklist can be used by DAs as a format for fast track eligibility checking of identified ERP activities (see also Annex 1).

Table 16: Checklist for ERP activity eligibility screening at Kebele level by DAs

	Yes	No
Will the ERP activity:		
cause large-scale physical disturbance of the site or the surroundings?		
cause significant involuntary displacement of people or social disturbances, involuntary loss of assets?		
have significant risk on vulnerable group /forest dependent people?		
involve removal or conversion of substantial amounts of forests and other natural resources?		
affect the quality and quantity of water or a waterway shared with other nations?		
cause degradation of critical natural habitats?		
affect important physical and cultural resources (historical, religious, archaeological, sites and monuments)?		
create unsustainable harvesting of natural resources (animals, plants, timber and/or NTFPs) or the establishment of forest plantations in critical natural habitats?		
contravene international and regional conventions on environmental issues?		

If the ERP activities have any of the above features (i.e. with ‘Yes’ responses) they will be considered as not eligible and have to be excluded unless the features can be avoided by change of design or location.

6.2.2. Step (ii): Screening of ERP activities that require special attention and environmental and social concerns (Guidance for WoEPA)

Eligible ERP activities are further screened for potential impacts and environmental and social concerns by the WoEPA, with technical inputs of the Woreda LUPT. The following checklist can be used by the WoEPA focal person for screening and the format indicated in Annex 2 can be used for reporting.

Table 17: Screening ERP activities requiring special attention

	Yes	No
Will the ERP activity:		
involve use of agro-chemicals?		
involve land acquisition, loss of assets or access to assets on the land?		
cause displacement of people including relocation of historically underserved groups from land and natural resources subject to traditional ownership or under customary use or occupation?		

Activities used to generate incomes (such as seedling production, coffee outside forest, tree planting, fruit tree planting, fuel saving stoves) and small scale construction/refurbishment and social development/livelihood improvement, including small scale construction/refurbishment of clinics/schools/roads fattening, beekeeping, and agro-forestry which may require land acquisition, use of agro-chemicals including pesticides, and/or relocation of underserved groups. Further, access road construction/maintenance activities may involve voluntary land acquisition and loss of assets or minor displacement of people. Therefore, if the ERP activities have any of the above features (‘Yes’ answers), the WoEPA focal person/expert, with the Woreda LUPT, notifies the WoEPA and the Woreda Administrators (Council) to make sure that the necessary procedures and guidelines are followed in the site-specific E&S instruments (Annex 4).

Then, the ERP activities have to be screened for any potential environmental and social concern and can be screened using the checklist shown below.

Table 18: Checklist for screening ERP activities of environmental and social concern

	Yes	No
Will the program activity:		
be located in forest priority areas and cause destruction of habitats?		
instigate soil erosion and flooding?		
cause disturbance to ecologically sensitive areas?		
be located close to or in national parks and protected areas?		
cause pollution of surface and ground water?		
cause breeding of disease vectors (malaria)?		
cause soil pollution?		
involve area enclosures and loss of access?		
be located close to cultural heritage, historical and religious sites?		
cause erosion and sedimentation into international waterways?		
involve draining of and/or disturbance to wetlands?		
cause involuntary land acquisition and resettlement?		

affect local communities?		
---------------------------	--	--

If the ERP activity has any of the above listed features (with ‘Yes’ answers in Table 18), try to avoid the impacts by modifying the design. Otherwise, the activity has to be tagged as a ‘*program activity of environmental and social concern.*’

For those ERP activities of environmental and social concern, a checklist of potential impacts and level of adversity shown in Table 19 can be used to judge if the activities should be modified to avoid/mitigate the impacts or should be referred for further environmental and social analysis because of complex or unknown impacts. The table can be used by checking/ticking (✓) the approximate degree of adversity. The format indicated in Annex 3 can be used for reporting purposes.

Table 19: Checklist of potential impacts and level of adversity for program activity screening

ERP activity types	Adversity of impacts				
	None	Low	Medium	High	Unknown
Construction/maintenance of community access roads/schools/clinics will cause:					
Soil erosion and initiation of flooding, gully erosion					
Loss of biodiversity thought cut and fill activities					
Cross and cause destruction of, natural habitats					
Sedimentation to water sources and reservoirs					
Wet season excavation and erosion					
Disturbance to ecologically sensitive habitats					
Damage to cultural, religious and historical sites					
Creation of quarry/borrow pits and water pollution					
Activities used to generate Emission Reductions (ERs): Fuel saving stoves will cause					
Deforestation due to the biomass used in clean cooking/fuel saving systems, putting greater pressure on the woodlots and natural forests supplying the major urban centers					
Extraction of raw materials for making improved fuel saving stoves					
OHS issues related to making improved fuel saving stoves and collection biomass					
Loss of employment for people who were working previously in the charcoal sector					
Activities¹⁹ used to generate Emission Reductions (ERs) (and may be dependent on agrochemicals) will cause					
Runoff of agrochemicals including pesticides and fertilizer and related pollution on soil and water bodies and effect on human health					
Compromise to local biodiversity - damage the natural environment, including ecologically sensitive sites					
Physical & economic relocation of local communities					
Restriction over livestock pasture					
Create access restriction for resource utilizations					
Prevent human and livestock mobility					
Risk of mono-cropping (resorting to exotics)					
Land acquisition					

¹⁹ They include seedling production for income, coffee outside forest, tree planting for income and own consumption, and fruit tree planting

ERP activity types	Adversity of impacts				
	None	Low	Medium	High	Unknown
Improving Livestock Management/cattle fattening ((intensive and through cutting and carry system) and bee keeping will cause					
Solid and liquid wastes expected from improving livestock management/cattle fattening cause pollution					
Nuisance odor expected from livestock fattening					
Market problem of the products of livestock and bee keeping may be a challenge					

Those ERP activities with no potential adverse impacts can be directly approved. For those activities likely to have low to moderate risks and impacts may be modified if suitable mitigation measures are incorporated into the design by Woreda LUPT. Mitigation measures can be referred from chapter four (section 4.2 and table 6 of this document). Those ERP activities which are likely to have substantial and high risks and impacts should be tagged as ‘**ERP activities of environmental and social concern**’ before referring the plan for approval.

6.2.3. Step (iii): Notification of ERP activities of Environmental and Social Concern: Guidance for the Woreda Administrators (Council) and ORCU

The Woreda Administrators (Council) consolidates plans and forwards the same to the ORCU together with the list of ERP activities that are tagged as of ‘**environmental concerns**’. The ORCU then notifies the OEPA of the ERP activities of environmental and social concern and requests for review of the same to determine if an ESIA is required.

6.2.4. Step (iv): Review of notified ERP activities: Guidance for the OEPA

The OEPA, with inputs of Oromia REDD+ TWG, conducts review of the ERP activities taking into account that most activities may not necessarily need a full scale ESIA since OFLP-ERP is not a high risk project, and those ERP activities tagged as ‘ERP activities needing special attention’ are already identified following the special procedures and guidelines referred in Annex 4.

The Review report to the ORCU should include i) the decision on each ERP activity whether an ESIA is required or not, ii) if an ESIA is required, the recommended scope of the ESIA clearly indicating the aspects to be seriously addressed, the skills required and duration of the ESIA, iii) A detailed TOR for the ESIA expert (consultant), iv) if an ESIA is not required, include guidance on special needs such as technical guidelines and an environmental and social management plan on any of the ERP activities.

6.2.5. Step (v): Environmental and Social Management Plan (ESMP)

The ESMP should include both environmental and social management measures and it should be based on the result of screening and technical information about the proposed subproject (i.e. the type, scale, and extent of the subproject). The ESMP consists of the set of environmental and social negative impacts, mitigation, monitoring, time of implementation, and institutional measures to be taken during implementation and operation phases. This is just either to eliminate the adverse impacts, offset them, or reduce them to acceptable levels. The plan also includes the actions needed to implement these measures.

Similarly, identified social adverse impacts with their mitigation measures, responsible implementing body and required budget (social assessment report) should be followed to avoid,

minimize and/or mitigate adverse social impacts with special focus on underserved people and vulnerable group. The impacts and the measures identified in the ESMP should be consistent with the findings of the screening results. It serves as a pertinent instrument to guide the subproject proponents and other implementers to implement effective mitigation measures, design, and conduct sound environmental and social monitoring program.

6.2.6. Step (vi): Conducting an ESIA: Guidance for the WoEPA

In liaison with the ORCU and with the support from the OEPA, the WoEPA office together with Woreda LUPT is responsible for ensuring that the required ESIA is conducted as per the WB ESF requirements and the national and regional ESIA requirements. The ESIA can be conducted by a team of experts drawn from the Woreda sector offices or by a consultant as deemed necessary. If a team of woreda experts is opted, they have to be given the necessary trainings on ESIA procedures, ESRM policies, relevant policies and ESIA guidelines before conducting the environmental and social impact study. As indicated on section 6.4.2., the outline for ESMP is indicated in Annex 4. It is vital to underline terms of reference (ToR) for the ESIA should be provided by the OEPA. A suggested ToR for ESIA preparation is attached in Annex 6. The ESIA report should consist of i) description of the ERP activity (with location), the environmental baseline, the impacts, mitigating measures, and recommendations for implementation and monitoring of the mitigating measures, among others (see Annex 6 for detail information on the contents of the ESIA report). Reference for mitigation measures can be made in FEPA ESIA guidelines.

6.2.7. Step (vii): Reviewing the ESIA Report: Guidance for the OEPA

The ESIA report will be submitted to the OEPA through ORCU. The OEPA, with technical inputs of the Oromia REDD+ TWG, will review the ESIA report and makes decision by (a) approving the ERP activity (*with conditions relating to implementation*); (b) recommending re-design (*with required and/or recommended amendments*); or (c) rejecting the ERP activity (*with comments as to what is required to submit as an acceptable screening report*). ESIA report reviews should be done in the given time frame (shortest possible time) to avoid delays in ERP activity implementation. The result of the review must be communicated to ORCU as soon as completed.

The E&S Management Process in steps (i) and (ii) must be conducted for all activities in OFLP-ERP while the steps from (iii) to (vi) should be conducted only for ERP activities needing special attention and those of environmental concerns.

Based on the ESIA implementation, the environmental and social risk management monitoring reports should be submitted internally to OEPA ORCU and to NSC and then to the World Bank for review. The purpose of these reports is to provide:

- Status on compliance with ESHS requirements established for the Project including those in sub-projects
- A record of ERP Components 1 and 2 subproject activities, experience and issues running from year-to-year throughout the ERP Components 1 and 2 that can be used for identifying difficulties and improving performance; and
- Practical information for undertaking an annual review.

Table 20: Summary of review time frame and responsible entity

Measures and actions	Timeframe	Responsible Entity
The Ethiopian Forest Development (EFD) shall consolidate, prepare and submit regular performance monitoring reports to the World Bank on the compliance status of the project implementation, on the performance status of the environmental and social risks, impacts management instruments required under the ESMF and Benefit Sharing Plan (BSP) in accordance with the legal agreement, stakeholder engagement activities, and functioning of the grievance redress mechanisms.	Biannual and annual reports shall be submitted throughout Project implementation. Focal points for the Regional ORCU shall report to the National REDD+ Secretariat on a monthly basis.	EFD with the National REDD+ Secretariat (NRS), Oromia Environment Protection Authority (OEPA) and Oromia REDD Coordination Unit (ORCU)

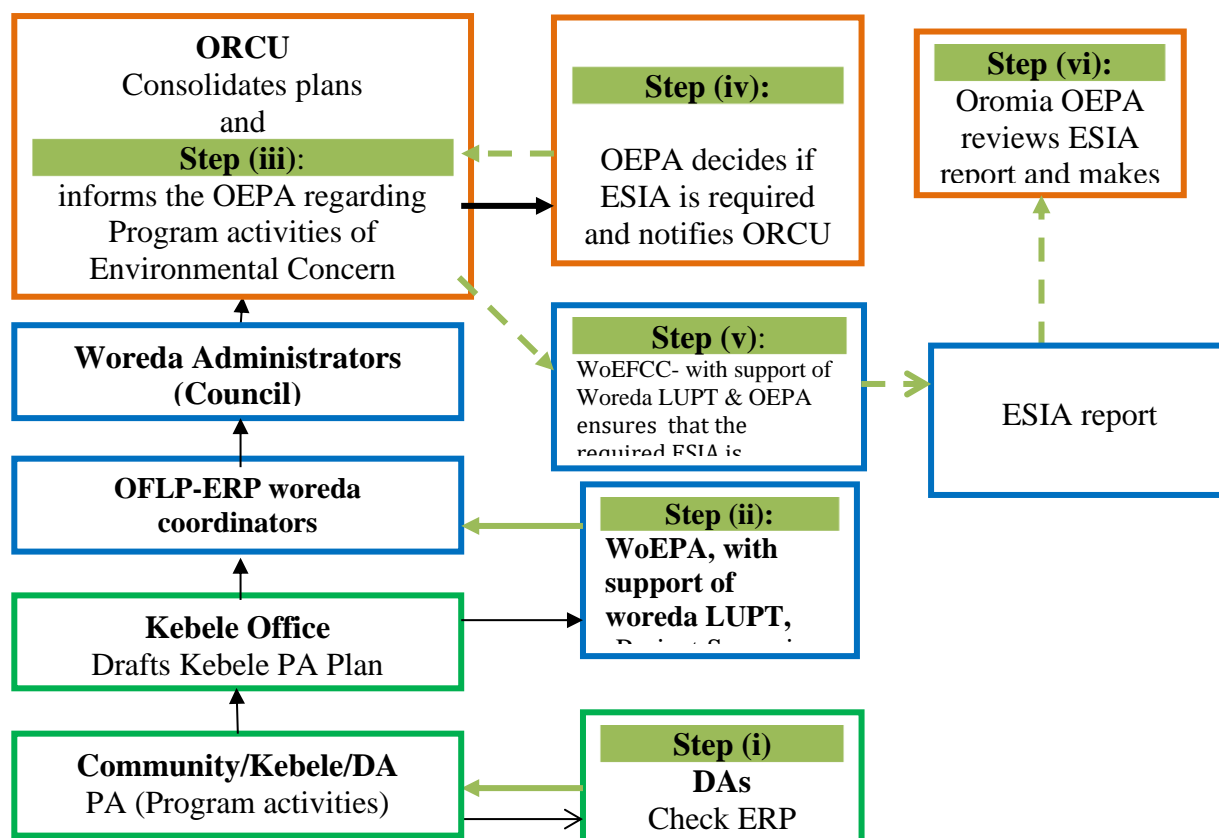


Figure 4: Flow of the Environmental and Social Management Process

Keys on colors and flow of activities:

- Kebele level
- Woreda level
- Region level
- Flow of program activity plan
- Flow of screening
- Flow of review decisions

Chapter 7: Grievance Redress Mechanism

While implementing the OFLP ER project, the Ethiopia Forest development (EFD) and Oromia Environmental Protection Authority (OEPA), will respond to concerns and grievances of project-affected parties related to the environmental and social performance of the project in a timely manner. For this purpose, the ORCU will strengthen the existing grievance mechanism, process, or procedure to receive and facilitate resolution of such concerns and grievances. As part of risk mitigation measures, the OFLP-ERP would support citizen's complaints or grievances in a formalized, transparent, cost-effective, and time bound manner. All ERP-affected people/community would be informed about how to register grievances or complaints, including specific concerns on any OFLP-ERP activities. Grievances may arise from members of communities who are dissatisfied with (i) the eligibility criteria, (ii) community planning and resettlement measures, and/or (iii) actual implementation, among others. Grievances will be actively managed and tracked to ensure that appropriate resolution and actions are taken in an appropriate and timely manner, with corrective actions being implemented if appropriate and the complainant being informed of the outcome. Resolution of different types of grievances can be addressed at different levels.

There are several traditional grievance redress mechanisms in the Oromia region. These mechanisms are generally categorized into three broad classes as traditional, religious and formal. The institution of the Gadaa system is known to fall under the traditional system of grievance redress mechanism, while those mediated by the religious leaders are known as religious. The formal grievance redress mechanism follows the court system from the local Shengo to the modern courts.

The Oromo Gadaa System (Traditional Grievance Redress Mechanism)

The Oromo peoples have rich culture of resource management and settling of grievances arising from the management and uses of natural resources derived from the traditional institutions such as Gadaa, Aadaa, Safuu, Seera and Sinqee. In the Oromo culture, responsibilities are categorized based on age classes. For instances, it is the responsibility of the Luba elders whose ages are between 40-48 to redress grievances within the community or among groups and individuals and apply the laws dealing with the distribution of resources, criminal fines and punishment, protection of property, theft, etc. The indigenous/traditional mechanism has been found out to be the best in redressing grievances both within the community and with the government and/or neighborhood communities. The Gadaa system is one of the best indigenous tools used to harness grievances that arise over the management and use of natural resources in the Oromo culture.

Shari'a Court (Religious Grievance Redress Mechanisms)

The Shari'a court is a system that is run by local communities but is nevertheless part and parcel of the formal legal system. The tentacles of Sharia courts sometimes start at the Kebele level (Kebele is the smallest administrative unit in the region/country). When traditional ways of redressing grievances fail to achieve the desired outcome, then the case is referred to the Sharia courts where the disputants face a statement of verdict given by the religious judges (Qadis). This structure has some links to the government court at the Woreda level. While the sharia'

courts work independently of the modern courts, it does not look into cases being handled by the formal courts. Its decisions are approved and implemented by the other formal legal and administrative bodies at the higher level.

7.1.The Formal Grievance Redress Mechanism

A. Social Courts

The Ethiopian Government has established Kebele Administrations (KA) as the smallest unit of administration throughout the country. Therefore, within the Kebele administration of the Oromia region, there are social courts which formal redress grievances at grass root level. Shengo is a judicial committee to oversee conflicts with the power to impose decisions through fines and imprisonment. Grievances related to natural resource management are reported to the relevant government office after decision is being made by Shengo. Social courts represent a fundamental and irreplaceable tool for quick and affordable dispute settlement at the kebele level as stipulated in the revised Constitution of the Oromia Regional State. Social courts work to ensure peace and stability among Kebele community and thereby create conducive atmosphere for development and to make best efforts to raise the legal consciousness of the Kebele community. As indicated above, social courts have jurisdiction over minor cases. For instance, the Determination of Powers of Social Courts of Oromia Proclamation No. 66/2003 limits the jurisdiction of social courts on cases up to 1000 ETB.

B. Court

This is a formal state judiciary system that may be viewed as external to the parties involved in the grievance. The formal court established at Woreda level accomplishes the issues of grievances that arise in the community. This court handles both civil and criminal cases. The decision made at Woreda court abides to the parties involved in grieves with their rights reserved to take to the case into the next higher level court by appeal. The Woreda court mostly settles grievance cases related natural resource management and use.

C. The office of the ombudsman

According to Article 5 of the Institution of Ombudsman Establishment Proclamation No. 211/2000, the objective of the Institution is to bring about good governance that is of high quality, efficient and transparent, and are based on the rule of law, by way of ensuring that citizens' rights and benefits provided for by law are respected by organs of the executive. The Institution has a jurisdiction over executive organs of the federal as well as regional governments. It is an organ that protects citizens from maladministration. To accomplish its activities, it has powers to: supervise administrative directives issued, and decisions given, by executive organs and the practices thereof so that they do not contravene the constitutional rights of citizens; receive and investigate complaints in respect of maladministration; conduct supervision, with a view to ensuring that the executive carries out its functions in accordance with the law and to preventing maladministration; seek remedies in case where it believes that maladministration has occurred; and make recommendations for the revision of existing laws, practices or directives and for the enactment of new laws and formulation of policies, with a view to bringing about better governance.

D. Ethiopian Ethics and Anti-Corruption Commission (EACC)

The EACC has no jurisdiction to entertain citizen complaints involving maladministration. The enforcement jurisdiction of the EACC is limited to prosecuting or causing the prosecution of serious ethical breaches and corruption that constitute violations of the penal code.

E. Ethiopian Human Rights Commission (EHRC).

The EHRC offers advisory services and has a decision-making power. It only investigates issues relating to violations of fundamental human rights which will exclude the great majority of complaints of administrative maladministration.

Table 21: Suggested OFLP Grievance Redress Mechanism at Different Levels

Level	Responsible Institution	How
Federal Level	EPA- REDD+ Secretariat (REDD+ Steering Committee)	The national REDD+ Secretariat and EPA gives response within a maximum of one month time on cross cutting conflict issue not responded by a region.
	Federal Ombudsman's Office	The Federal Ombudsman gives advice for unresolved issues before the case submitted to the court
	Federal Court	Grievances settled at different level may be pursued at the court if complainants not satisfied with the grievance redressed at that level.
Regional Level	Oromia Environment Protection Authority (OEPA) & Oromia REDD+ Coordination Unit (ORCU)	If stakeholders or community may not satisfy with the grievance settlement proposal or may be referred to OEPA or ORCU, then the OEPA/ORCU will give response within 15 days. Regional stakeholders can submit their appeal to the OEPA/ORCU
	Regional Ombudsman's Office	Regional stakeholders can also get advice from the office
	Regional Court	Regional stakeholders affected by the implementation OFLP can appeal to the court if it is not resolved by OEPA/ORCU
Woreda Level	Woreda Office of Rural Land and Environmental Protection (WoEPA)	For grievance not addressed at Kebele level and other grievance raised at Woreda level, appeal can be submitted to WoEPA and provide response after clarifying the issue within 10 days. If the applicant may not satisfy by the response, then he/she can take the issue to the ORCU or Woreda formal court
	Woreda Ombudsman's Office	The affected stakeholder can also submit its apple to get advice to Ombudsman's Office
	Woreda Court	The applicant can submit the appeal to the formal court and continue with the formal process
Kebele Level	Kebele Shengo/Social Court or Traditional Leaders (Aba Gada), Religious Leaders	Community/person can apply for traditional leaders and/ or Kebele Shengo for grievance caused by REDD+ implementation. Response is to be discharge within 10 days of receiving the complaint.

7.2. Grievance Resolution Approach

The scope, scale and type of grievance mechanism shall be proportionate to the nature and scale of the potential risks and impacts of the project.

- A grievance mechanism will be designed based on an understanding of the issues that are likely to be the subject of concerns and grievances in the project. The appropriate design and scale of the grievance mechanism will be subproject-specific.

- Grievance mechanism will be readily accessible to all project-affected parties and inclusive system, process, or procedure that receives and acts upon complaints and suggestions for improvement in a timely fashion, and facilitates resolution of concerns and grievances arising in connection with the project. The grievance mechanism of the project will provide project-affected parties with redress and helps address issues at an early stage.
- Handling of grievances will be done in a culturally appropriate manner and be discreet, objective, sensitive, and responsive to the needs and concerns of the project-affected parties. The mechanism will also allow for anonymous complaints to be raised and addressed.
- The grievance mechanism is expected to address concerns objectively and in a transparent manner. The involving process or procedure will not prevent the right of the project-affected parties to access formal judicial or administrative remedies concerning the subject of grievance being raised. Also, the grievance mechanism will allow for anonymous complaints to be raised and addressed.
- The grievance mechanism will provides specific places and ways whereby grievances would be received and the means by which they can be submitted (for example, mail, text message, e-mail, website, telephone, suggestion/complaint boxes, grievance form); specifies a person, an office, or an institution responsible for processing grievances; and establishes timelines for processing a complaint and a process for registering and monitoring grievances. Grievance mechanisms for larger or more complex subprojects may have multiple locations, means, and methods to receive, process, and monitor grievances, an adequately staffed team, and an appeals process.
- Actions taken on the grievance or suggestions should be informed and balanced. The time frame for grievance resolution depends on factors such as the urgency of the complaint; need for research, investigation, consultation, and funding; and institutional capacity.

7.3. Procedures and Timeframe

The project GRM will involve the following procedures and timeframe:

- Step 1: Submission of grievances either orally or in writing.
- Step 2: Recording of grievance and providing the initial response within 24 hours.
- Step 3: Investigating the grievance and communication of the response within 7 days.
- Step 4: Complainant response: either grievance closure or taking further steps if the grievance remains open. Once all possible redress has been proposed and if the complainant is still not satisfied then the project-affected parties with the compliant will be advised of their right to the formal legal recourse.

7.4. Grievance Log

The project grievance mechanism should have a log where grievances are properly registered in writing and maintained as a database. Different ways in which users can submit their grievances, which may include submissions in person, by phone, text message, mail, e-mail or via a web site. But, that needs to be properly recorded and documented.

The log will contain record of the persons responsible for an individual complaint, and records of dates for the following events:

- Date the complaint was reported;
- Date the Grievance Log was added onto the project database;
- Date information on proposed corrective action sent to complainant (if appropriate);
- The date the complaint was closed out; and
- Date response was sent to complainant.

7.5. Project-level GM structures

The ESMF provides project-level grievance mechanism, process, or procedure to receive and facilitate resolution of concerns and grievances of project-affected parties arising in connection with the project. Project's Environmental and Social Safeguards personnel in the project area are the lower-level of the GM structure. The next structure refers to the implementing organization in order of hierarchies (local, regional, and government). If the project-affected parties with the complaints not satisfied by the complaint responses of these GM structure, they can submit their complaints to the World Bank's Independent Inspection Panel to request an inspection to determine whether harm has occurred as a direct result of project performance's noncompliance with ESSs and procedures. Once all possible redress has been proposed and if the complainant is still not satisfied then the project-affected parties with the compliant will be advised of their right to the formal legal recourse.

World Bank Grievance Redress Services:

Communities and individuals who believe that they are adversely affected by the World Bank (WB) supported project may submit complaints to existing project-level grievance redress mechanisms or the WB's Grievance Redress Service (GRS). The GRS ensures that complaints received are promptly reviewed in order to address project-related concerns. Project affected communities and individuals may submit their complaint to the WB's independent Inspection Panel which determines whether harm occurred, or could occur, as a result of WB non-compliance with its policies and procedures. Complaints may be submitted at any time after concerns have been brought directly to the World Bank's attention, and Bank Management has been given an opportunity to respond. For information on how to submit complaints to the World Bank's corporate Grievance Redress Service (GRS), please visit <http://www.worldbank.org/GRS>. For information on how to submit complaints to the World Bank Inspection Panel, please visit www.inspectionpanel.org.

Chapter 8: Implementation, Supervision, Monitoring and reporting

8.1. Implementation and process monitoring

It is clear that the required site specific ESRM instruments (e.g. ESIAs/ESMPs and/or RAPs) for the ERP activities need to be prepared, reviewed and approved, and environmental and social clearance should be issued by the OEPA or Woreda Office of Environmental Protection (depending on the environmental and social concern of each ERP activity as stated in Chapter 6). Based on the clearance provided for the implementation of the ERP activities/subprojects, the relevant implementing agencies (either at Woreda or regional or both levels) of the ERP activities are the main responsible bodies to implement and ensure the implementation of the mitigation measures identified and planned in the approved ESRM instruments.

More specifically, depending on the nature of the approved ERP activities, OFWE and concerned sector bureaus such as the Oromia Agriculture Bureau (OAB) and Oromia Land Bureau (OLB) will implement and coordinate activities (along with the recommended mitigation measures) on-the-ground through their Woreda offices and Kebele Development Agents. The OFLP-ERP ESRM Coordinators will closely work with OFLP-ERP lead Facilitators and respective Zonal EIA experts to ensure that environmental and social risk management (ESRM) are implemented as per the ESRM instruments (see annex 8). They will oversee the ESRM work of the Woreda OFLP-ERP Coordinators. Besides facilitating overall planning, implementation and monitoring of OFLP-ERP at Woreda level to ensure harmonization and integration of activities, Woreda OFLP-ERP coordinators will also serve as the Woreda-level ESRM Focal Persons for the OFLP-ERP to ensure ESRM instruments implementation and compliance at community levels. Their ESRM work will be overseen by the OFLP-ERP ESRM Coordinators.

At the woreda level, Woreda Administrators together with a combination of Woreda LUPT and sector experts and development agents under them, already implement a range of sector programs and operations and can be used for the OFLP-ERP implementation. Further, OFLP-ERP Woreda Coordinators are hosted by selected Woreda offices of OEPA; and they will: (i) reinforce Woreda capacity to coordinate the implementation of sub-projects and operations; (ii) lead implementation of activities directly funded by OFLP-ERP; and (iii) support ESRM management. OFLP Lead Facilitators, hosted by OFWE Branch Office, would facilitate OFLP-ERP works to ensure that work on-the-ground is going well. Please see Section 2.2 for detail information on the stakeholders' roles and responsibilities at different administrator levels.

At the grass root level, mitigation measures will be implemented by the community and/or other grass root level implementers (such as private sector and NGOs) and closely supervised by the Kebele development agents (DAs). With the support from the Woreda LUPT/experts, OFLP-ERP Woreda Coordinators, and OFLP ESRM coordinators, the DAs will be responsible for the effective implementation of the mitigation measures at any stage of the Program activities operation (at the beginning, in the middle or at the end) to be specified in the management plan. OFLP-ERP ESRM coordinators in cooperation with Woreda LUPT, OFLP-ERP Woreda Coordinators and others will monitor the implementation of mitigation measures as per the environmental and social management plan.

The monitoring and supervision of the ESMF activities in general is a joint task of the ORCU (through its environmental ESRM expert and social development ESRM expert, OFLP lead facilitators, OFLP ESRM coordinators), OEPA and Oromia REDD+ TWG. These bodies will jointly monitor the effective implementation of the mitigation measures in avoiding or minimizing adverse impacts, and the nature and extent of any such impacts. This approach is useful to determine whether the mitigation measures incorporated in the technical designs and

the ESMP & other ESRM instruments have been successful in such a way that the pre-program activity environmental and social condition has been restored, improved upon or is worse than before and to determine what further mitigation measures may be required.

The level of detail and complexity of the monitoring methods will be proportionate to the ERP risks and impacts, and the measures and actions identified to address such risks and impacts. All or a mix of the following methods are expected in the monitoring of the OFLP ERP ESMF.

- **Stakeholders' consultation:** Stakeholder engagement is an inclusive process that needs to be conducted for monitoring throughout the project lifecycle. The local level implementing entity of the ORCU will undertake a process of meaningful. The monitoring method will require engaging with stakeholders including communities, groups, or individuals affected by the subproject under implementation, and with other interested parties, through information disclosure, consultation, and informed participation in a manner proportionate to the risks to and impacts on affected communities. Likewise, the Bank will have the right to participate in consultation activities to understand the concerns of the affected people, and how such concerns will be addressed by the ORCU for the enhancement of the environmental and social performance of the subprojects implementation.
- **Field visit:** The OEPA/ORCU will facilitate site visits by Bank staff or consultants acting on the Bank's behalf if that is deemed necessary to monitor the environmental and social performance of the project.
- **Review checklist:** using the environmental and social checklist monitoring will conduct a survey assessment with different stakeholders at the end of the project year and the inputs will be used to prepare an annual review report
- **Use of third parties:** Where appropriate and as set out in the ESCP, the ORCU will engage third parties or independent experts to complement or verify its own monitoring activities. Where third parties or independent experts are responsible, the ORCU will collaborate with such parties to establish and monitor the implementation of the environmental and social mitigation measures of the subprojects.
- **Review and feedback:** as appropriate, the Bank will review and provide feedback on the implementing organization's monitoring reports concerning the compliance of the implementation of the ESMPs/ESIAs/RAPs with the requirements of the legal agreement, including the ESCP and ESSs. Based on the feedback, the Bank will propose the necessary corrective measures that will be incorporated.

Reporting timeframe

In case there are environmental and social issues that need special follow-up, the Bank and ORCU may agree on the frequency of the reports and the respective ESMP/ESIA/RAP will specify the reporting timeframe accordingly. Otherwise, the implementation of the ESMF proposes the reporting timeframe as follows.

- The Woreda OFLP-ERP coordinators should produce a monthly monitoring report and submit to the ORCU regional office, which will be then forward to top management of the ORCU for prompt decision in case corrective measures needed.
- A copy of monthly monitoring report will be shared with the regional entity of the ORCU, involving third parties or primary suppliers, project-affected communities and other interested parties.
- But, unless and otherwise a special circumstance as set out in the third point under the subsection above, the Bank will require a quarterly monitoring report that provides a detailed information on the environmental and social performance of the ERP including subprojects implementation over the three months.

- In order to comply with the World Bank's ESF on subproject disclosure of information, annual reports and annual reviews will be submitted to the World Bank and other stakeholders stated above. The ORCU is normally required to produce annual report on the ESMF implementation including subproject activities during the preceding year. Whereas, annual reviews should be undertaken after the annual report has been prepared and submitted to the World Bank and those concerned.

8.2. Results monitoring

The results monitoring plan has two components: i) monitoring of the compliance and effectiveness of the ESMF and application of the recommended standards in order to confirm that the necessary mitigation measures are considered and implemented; ii) impact monitoring, i.e., measuring the biophysical and socio-economic impacts of OFLP-ERP.

The purpose of result monitoring is to support compliance with ESRM standards, to identify the emergence of any unforeseen ESRM issues, to determine lessons learnt during ERP activities implementation; to provide recommendations for improving future performance; and to provide an early warning about potential cumulative impacts. Besides, the World Bank, as necessary, will periodically conduct reviews of the implementation of the ESMF and other ESRM instruments under OFLP-ERP.

The M&E system will be implemented by the ORCU as the OFLP coordination unit, which is hosted by OEPA. The ORCU coordination unit has an M&E specialist (and support staff). The OFLP-ERP M&E system will operate at regional, zone, woreda and kebele levels using dedicated OFLP-ERP staff working closely with existing Government staff at each level in regional bureaus, zones, woreda offices, and DAs working at kebele level to ensure timely information gathering, follow up and reporting. Therefore, the monitoring and evaluation system of the OFLP-ERP, which is facilitated by the ORCU, will provide the required information for results monitoring as well as for cumulative impacts monitoring. In cumulative impacts monitoring, the impacts of the ERP activities on the environmental and social resources within the region will also be monitored taking into consideration of other developments, which might be established. In order to make effective monitoring and ensure inclusive management of cumulative impacts, there should be cooperation between OEPA/ORCU and other stakeholders, including sector bureaus and offices.

Chapter 9: Capacity Building and Training

The ORCU recognizes the successful implementation of the OFLP-ERP is highly dependent on the ability of OFLP-ERP implementers to effectively implement the ESRM. The ORCU recognizes that the ERP will use an updated version of the existing ESRM instruments that are already under implementation. In addition, the OFLP-ERP will use the new ESRM instruments as per the new World Bank Environmental and Social Framework.

Hence, effective implementation of the ESMF requires an established technical capacity in terms of experts in the implementing institutions. The implementing stakeholders need to understand the inherent social and environmental risks and the values and be able to clearly assess the indicators. As shown in the institutional arrangement, all the relevant institutions at the national, regional, Woreda and Kebele/local levels are responsible for the implementation of the ESMF. However, there is capacity limitation to facilitate effective implementation of the ESMF. The ORCU, OEPA and WoEPA have the primary responsibility of ensuring that the ERP activities comply with the GoE's and the World Bank's environmental and social risk management requirements, and that the ERP activities adhere to provisions in this ESMF.

Since the OFLP-ERP will be implemented through the existing national and regional REDD+ institutional structure, OEPA leads the OFLP-ERPA implementation through the ORCU at the Regional, Zonal, Woreda, Kebele and Community levels. Federal EPA provides support through the national REDD+ secretariat in the management of the ER, ESRM implementation, MRV undertaking, collection of regional level ER performance data and reporting to the World Bank. The Federal REDD+ Steering Committee oversees the process and ensures a link to decision making; Federal MRV Task Force monitors the process and reports to the Federal REDD+ Steering Committee; the Oromia REDD+ Technical Working Group provides technical advice; MRV Unit manages workflows and day-to-day coordination. Qualified staff are already in place and will be maintained including the ESRM specialists and MRV experts at the region, ESRM coordinators and facilitators at zonal and Woreda level, as well as the gender focal person, and the required resources to support management of E&S risks and impacts.

Therefore, tailor made capacity building support and awareness creation trainings on the OFLP-ERPA ESRM instruments and management systems will be provided to decision makers, technical advisers, experts, coordinators, facilitators and community participants at different levels of the OFLP-ERP implementation. At the region and zonal levels (technical working groups, technical staff of OEPA and ORCU, OFLP lead facilitators, ESRM coordinators), training should be provided as described in the Table below:

Table 22: Themes of proposed capacity building trainings and schedules

Administrative levels and target groups	Training topics/ ESRM and aspects of ESMF implementation	Potential Trainers	Duration and Time of training
Regional and zonal levels (REDD+ TWG;OFLP safeguards coordinators;	<ul style="list-style-type: none"> On the new Environmental and Social Framework (ESF) of the World Bank, and on the ERPA and results-based financing system On the updated ESRM instruments, how to deal with social and 	<ul style="list-style-type: none"> Consultants ORCU staff Federal EPA REDD+ Secretariat staff 	4 days/year, conducted every year

Administrative levels and target groups	Training topics/ ESRM and aspects of ESMF implementation	Potential Trainers	Duration and Time of training
OFLP facilitators; OEPA/ORCU; Zonal EIA experts; Zonal OFLP coordinators, Safeguard specialists)	<p>environmental risks, ESRM implementation mechanism</p> <ul style="list-style-type: none"> • Understanding the New ESRM instruments such as the ESCP, SEP and LMP • The ER payments systems, accounting processes • On MRV systems, BSM implementation and BS Plans • ESRM policies of the Government of Ethiopia and the World Bank • Monitoring, reporting and evaluation of ESRM performances • Implementation of ESRM and ESMP • SEP and consultation and civic engagement with communities in the regional state • GRM and GBV as well as Community health and occupational • Environmental and social advisory services 		
<p>Woreda level</p> <ul style="list-style-type: none"> • (OFLP woreda coordinators • Woreda LUPT members • Woreda ENRM experts Decision makers at region and Woredas 	<ul style="list-style-type: none"> • ERPA and results-based payments system of financing the OFLP • E&S risks and impacts management and implementation of the ESRM instruments of the OFLP • ESRM implementation support, monitoring, reporting and documentation • Monitoring of mitigation measures as per the ESMP • SEP and transparent participatory processes • Monitoring the implementation of the GRM and BSM, the BS plan • Environmental and social Framework of the WB and E&S safeguard policies of the Government of Ethiopia GBV and Community health and facilities as well as OHS • Grievance Redress Mechanisms for the Project 	<ul style="list-style-type: none"> • Consultants • ORCU safeguards specialists • Oromia REDD+ TWG • OFLP safeguards coordinators • Zonal EIA experts; • Zonal agricultural development experts; 	4 days/year, provided every year
Community and Kebele levels	<ul style="list-style-type: none"> • Awareness on community engagement and the ER payments and results-based financing mechanism 	Woreda EPA experts, DAs, LUPT experts, Woreda women	4 days, carried out every year

Administrative levels and target groups	Training topics/ ESRM and aspects of ESMF implementation	Potential Trainers	Duration and Time of training
(Local Community members, kebele administrators, private sector) Consultations, participations, civic engagement & awareness	<ul style="list-style-type: none"> • Awareness on the E&S screening and Environmental and social management plan (ESMP) preparation and implementation • GBV/SEA/SH and Community health and facilities as well as OHS • Awareness on implementation of the SEP and Participatory planning • Handling of the grievances and the ER GRM system • BSM and the BS Plan • Community health and safety issues, including COVID-19 safety measures 	and social affairs expert	

Chapter 10: Implementation cost of the ESMF

The proposed budget shown below in Table 10 (for capacity building and ESMF implementation) is prepared taking into account of existing norms and expert estimates for proposed activities. The activities include capacity building training and awareness raising at regional and zonal levels at woreda level and at Kebele and community levels. The budget is open for revision and improvement as and when needed by OEPA/ORCU.

Table 23: Estimated budget in USD for capacity building and ESRM implementation

Capacity building activities	Budget for the period 2022-2024 (\$)			Total (\$)
	Year 1	Year 2	Year 3	
OFLP Safeguards coordinators (salary and equipment)	12,000	24,000	24,000	60,000
Training & awareness (Regional and zonal level)	10,000	11,000	13,000	34,000
Training & awareness (Woreda level)	10,000	11,000	13,000	34,000
Consultations, participations, civic engagement & awareness (Kebele level)	10,000	12,000	13,000	35,000
ESRM implementation support, monitoring and documentation	20,500	36,500	36,500	93,500
E&S due diligence for retroactive carbon accounting		15,000		15,000
Environmental and social audit		10,000	10,000	20,000
Total budget for ESRM	62,500	119,500	109,500	291,500

Chapter 11. Environmental and Social Audit, and Environmental and Social Due Diligence

11.1. Environmental and Social Audit

An independently commissioned environmental and social audit will be carried out by the end of each fiscal year. Annual Audit of the ESMF implementation will be undertaken by independent external consultants. The reviews amongst other things will assess the performance of the project activities against ESRM procedures described in this ESMF, the need for future training, and existing status of implementation of environmental and social risk management measures to address the corresponding impacts due to implementation of the OFLP-ERP sub-project activities.

The Annual Audit provides strong feedback for OEPA/ORCU, and World Bank whether the project ESMF including the ESMP and other ESRM instruments are implemented as recommended or not. An Annual Audit Report will include a summary of the environmental and social risk management performance of the OFLP-ERP based on the ESMPs/ESIAs for ERP subprojects and measures indicated in the ESMF; the compliance and progress in the implementation of the ESMPs/ESIAs; and a synopsis of the environmental and social monitoring results from subproject monitoring measures.

The main tasks of the audit study will consider the following:

- ✓ Description of the ERP activities/subprojects, Objective, Scope and Criteria of the Audit;
- ✓ Verify the level of compliance by the proponent with the conditions of the ESMPs/ESIAs;
- ✓ Evaluate the proponent's knowledge and awareness and responsibility for the application of relevant legislation;
- ✓ Review existing project documentation related to all project facilities and designs under the OFLP-ERP;
- ✓ Examine monitoring programs, parameters and procedures in place for control and corrective actions in case of emergencies;
- ✓ Examine records of incidents and accidents and the likelihood of future occurrence of the incidents and accidents;
- ✓ Inspect areas where subprojects equipment and materials are stored and disposed and give a record of all significant environmental and social risks and impacts associated with such activities;
- ✓ Examine and seek views on health and safety issues from the subproject staff, the local and other potentially affected communities;
- ✓ Prepare a list of health, safety, environmental and social including gender concerns of past and on-going activities; and
- ✓ Prepare an E&S audit action plan comprising prioritized corrective actions, timeline, budget and responsible bodies for implementation.

11.2. Environmental and Social Due Diligence for Retroactive Carbon Accounting

The client has indicated its intention to request for a retroactive carbon accounting for OFLP-ERP (P151294). The retroactive emission reductions to be accounted span between January 1,

2022, and ERPA signature. Thus, an E&S due diligence guideline is prepared and annexed to the ESMF (see Annex 12) and reflected in the ESCP with an aim to set out requirements of E&S due diligence (focusing on labor, security, and GBV) based on the underlying programs/projects (including OFLP Grant Financing, REDD+ Investment Project, Legacy REDD+ Projects, Green Legacy Initiative) implemented using the WB old safeguards policies.

Annexes

Annex 1: ERP activity eligibility checklist for DAs at the Kebele level (form 1)

ERP activity: _____ Zone: _____ Woreda: _____		
Kebele: _____		
Persons/DAs who did the eligibility check:		
Names	Date:	Signature:
1. _____	_____	_____
2. _____	_____	_____

Answer the following questions to determine if the ERP activity is eligible or not*		
Will the ERP activity:	Yes	No
cause large-scale physical disturbance of the site or the surroundings?		
cause involuntary displacement of people or social disturbances, involuntary loss of assets?		
have risk on vulnerable group / forest dependent people?		
involve removal or conversion of substantial amounts of forests and other natural resources?		
affect the quality and quantity of water or a waterway shared with other nations?		
cause degradation of critical natural habitats?		
affect physical cultural resources (historical, religious, archaeological, sites and monuments)?		
create significant adverse impacts on harvesting of natural resources (animals, plants, timber and/or NTFPs) or the establishment of forest plantations in natural critical habitats?		
contravene international and regional conventions on environmental issues?		

Eligibility Recommendations:

(It should be noted that if you answer is “YES” to any of the questions above, your ERP activity is not eligible and has to be rejected unless the features can be avoided by change of design or location.)

ERP activity is not eligible and rejected: ☐

ERP activity is eligible and approved: ☐

Screening supervised and approved by:

Name..... Position:Signature: Date:

Annex 2: Screening checklist for ERP activities needing special attention (form 2)- Guidance for WoEPA focal person

ERP activity: _____ Woreda: _____
WoRLEP focal person/person who did the screening: _____
Date: _____ Signature: _____

Will the ERP activity:	Yes	No
involve use of agro-chemicals		
involve land acquisition, loss of assets or access to assets on the land		
cause physical displacement of people (including relocation of historically underserved groups from land and natural resources subject to traditional ownership or under customary use or occupation) or loss of assets or loss of income/livelihood		

Recommendations:

ERP activity needs special attention: ☐

ERP activity does not need special attention: ☐

Screening supervised and approved by:

Name..... Position:Signature: Date:

Annex 3: Screening checklist for ERP activities of environmental concern (form 3)- Guidance for WoEPA focal person

ERP activity: _____ Woreda: _____
WoRL focal person/person who did the screening: _____
Date: _____ Signature: _____

A. ERP activities of environmental and social concern

	Yes	No
Will the ERP activity:		
be located in forest priority areas and cause destruction of habitats		
instigate soil erosion and flooding		
cause disturbance to ecologically sensitive areas		
be located close to or in national parks and protected areas		
cause pollution of surface and ground water		
cause breeding of disease vectors (malaria)		
cause soil pollution		
involve area enclosures and loss of access		
be located close to cultural heritage, historical and religious sites		
cause erosion and sedimentation into international waterways		

involve draining of and/or disturbance to wetlands		
--	--	--

B. ERP activities of environmental concern

ERP activity types	Adversity of Impacts				
	None	Low	Med	High	Unknown
Construction/maintenance of community access roads/schools/clinics will cause:					
soil erosion and initiation of flooding, gully erosion					
loss of biodiversity thought cut and fill activities					
cross and cause destruction of natural habitats					
sedimentation to water sources and reservoirs					
wet season excavation and erosion					
disturbance to ecologically sensitive habitats					
damage to cultural, religious and historical sites					
creation of quarry/borrow pits and water pollution					
Activities used to generate Emission Reductions (ERs): Fuel saving stoves will cause					
Deforestation due to the biomass used in clean cooking/fuel saving systems, putting greater pressure on the woodlots and natural forests supplying the major urban centers					
Extraction of raw materials for making improved fuel saving stoves					
OHS issues related to making improved fuel saving stoves and collection biomass					
Loss of employment for people who were working previously in the charcoal sector					
Activities used to generate ERs (and may be dependent on agrochemicals) will cause					
Runoff of agrochemicals including pesticides and fertilizer and related pollution on soil and water bodies and effect on human health					
Compromise to local biodiversity - damage the natural environment, including ecologically sensitive sites					
Physical & economic relocation of local communities					
Restriction over livestock pasture					
Create access restriction for resource utilizations					
Prevent human and livestock mobility					
Risk of mono-cropping (resorting to exotics)					
Land acquisition					
Increase price of NTFP led to create over utilization					
Improving Livestock Management//cattle fattening ((intensive and through cutting and carry system) and bee keeping will cause					
Solid and liquid wastes expected from improving livestock management/cattle fattening cause pollution					
Nuisance odor expected from livestock fattening					
Market problem of the products of livestock and bee keeping may be a challenge					

Summary of site sensitivity

When considering the location of an ERP activity, rate the sensitivity of the proposed site as per the criteria given in the table below. Higher ratings do not necessarily mean that a site is unsuitable. They do indicate a real risk of causing undesirable adverse environmental and social effects, and that more substantial environmental and/or social planning may be required to adequately avoid, mitigate or manage potential effects. The following table should be used as a reference.

Issues	Site Sensitivity (in relation to site of an ERP activity/subproject)		
	High	Medium	Low
Natural habitat	Presence of hotspot biodiversity area, fragile ecosystem with in declared protected area	No critical natural habitats; other natural habitats occur	No critical hot spot biodiversity area, fragile ecosystem
Water quality and water resource availability and use	Intensive water use; multiple water users; potential for conflicts is high; water quality issues are important	Medium intensity of water use; multiple water users; water quality issues are important	Water flows exceed any existing demand; low intensity of water use; potential water use conflicts expected to be low; no potential water quality issues
Land and Tenure	Land conflicts historically unresolved, admitted farmers being evicted, tenant farmers losing rights and no transparency or grievance redress available	Process of land regularization and rights to natural resources being worked out with clear communication and grievance process in place	No conflicts, disagreements around use of land, users rights
Physical cultural resources	Known heritage sites in project area	Suspected cultural heritage sites; known heritage sites in broader area of influence	No known or suspected cultural heritage sites
Involuntary resettlement	If it displaces greater than 200 people	If it displaces less than 200 people	No economic or physical displacement
Land acquisition	If the activity takes more than 20% of households' land	If the activity takes less than 20% of households' land	No land acquisition

Summary of assessment comments (based on field visit):

Recommendations:ERP activity is of environmental and social concern and needs further EA: ☐Requires additional environmental and social information: ☐ERP activity is not of environmental and social concern and approved: ☐

Certification (for all approved program activities): I certify that all the potential adverse effects of the program activity have been thoroughly examined, and the program activity does not have any impact and/or the mitigation measures in the plan are adequate to avoid or minimize all adverse environmental and social impacts.

WoEPA focal person: **Date:**..... **Signature:**.....

Annex 4: Suggested ESMP format for ERP activities/subprojects

4.1. Screening Checklist

The ESMF emphasizes that an environmental and social management plan (ESMP) should fit the needs of ERP activities/subproject and be easy to use. The basic elements of an ESMP are:

- A description of the subproject;
- A description of potential environmental and social impacts;
- A description of planned mitigation measures;
- An indication of institutional/individual responsibility for implementing mitigation measures;
- A plan for monitoring the environmental and social effects of the project both positive and negative;
- A time frame or schedule; and
- A cost estimate and source of funds.
- Suggested templates: Please see below for detail information

Suggested template for summarizing mitigation/enhancement measures of ESMP for ERP activities/subproject

Subproject Stage/activities	Project Activity	Potential E&S Impacts	Proposed Mitigation Measures(s)	Institutional Responsibilities	Cost estimates
Total mitigation costs					

Suggested template for environmental and social monitoring plan for ERP activities/subproject

Project Stage/activities	Mitigation measures	Monitoring Parameters	Monitoring site/ location	Methods/ measurements	Frequency of Measurement	Responsibility	Cost estimates
Total Monitoring Cost							

4.2. Guidelines for ERP activities requiring special attention (see Subsection 6.2.2)

I. Guideline for Integrated Pest Management Plan-Elements of an Integrated Pest Management (IPM) Plan

Government policy encourages use of biological or environmental controls and other measures to reduce reliance on agricultural chemicals, including pesticides. IPM refers to a mix of farmer-driven, ecologically based pest control practices that seek to reduce reliance on synthetic chemical pesticides. It involves (a) managing pests (keeping them below economically damaging levels) rather than seeking to eradicate them, (b) relying, to the extent possible, on nonchemical measures to keep pest populations low; and (c) selecting and applying pesticides, when they have to be used, in a way that minimizes adverse effects on beneficial organisms, humans, and the environment. (It should be noted that Program funds will not be used for the purchase of pesticides or fertilizers.) The following elements should be considered and given due attention when preparing an integrated pest management plan for ERP activities used to generate ERs including seedling productions to be funded by the ERP benefit sharing plan so as to avoid, minimize and mitigate any potential negative environmental and social impacts. The IPM plan (after getting a clearance for it by the Bureau of Agriculture) should be included and presented as part of the ESMP/ESIA for environmental clearance by the Oromia

Environment, Forest and Climate Change Authority (OEPA). For detail information and use, refer to Environmental Impact Assessment Guideline on Pesticides and also contact the Ministry of Agriculture, the Oromia BoA and its respective zonal/woreda offices, and the Federal EPA.

1. Pest Management Approach

i. Current and anticipated pest problems relevant to the project

Common pest problems and estimated economic impact

ii. Current and proposed pest management practices

Describe current and proposed practices, including non-chemical preventative techniques, biological and chemical control. Is optimum use being made of agro-ecosystem management techniques to reduce pest pressure and of available non-chemical methods to control pests? Do farmers and extension staffs get sufficient information about IPM approaches that reduce reliance on chemical control?

iii. Relevant IPM experience within the project area, Woreda, region or country

Describe existing IPM practices, projects/programs, research

iv. Assessment of proposed or current pest management approach and recommendations for adjustment where necessary

Where the current or proposed practices are not consistent with the principles of an IPM approach, the discrepancies should be discussed and a strategy should be proposed to bring pest management activities into line with IPM.

2. Pesticide Management

i. Describe present, proposed and/or envisaged pesticide use and assess whether such use is in line with IPM principles.

Provide purpose of pesticide use, type of products used, frequency of applications, and application methods. Is pesticide use part of an IPM approach and is it justified? Justification of pesticide use under the project should (a) explain the IPM approach and the reason why pesticide use is considered, (b) provide an economic assessment demonstrating that the proposed pesticide use would increase farmers' net profits, or for public health projects, provide evidence that the proposed pesticide use is justified from the best available (probably WHO supported evidence) public health evidence.

ii. Indication of type and quantity of pesticides envisaged to be financed by the project (in volume and ETB value) and/or assessment of increase in pesticide use resulting from the project.

iii. Circumstances of pesticide use and the capability and competence of end-users to handle products within acceptable risk margins (e.g. user access to, and use of, protective gears and appropriate application equipment; users' product knowledge and understanding of hazards and risks; appropriateness of on-farm storage facilities for pesticide).

iv. Assessment of environmental, occupational and public health risks associated with the transport, storage, handling and use of the proposed products under local circumstances, and the disposal of empty containers.

v. Pre-requisites and/or measures required to reduce specific risks associated with envisaged pesticide use under the project (e.g.: protective gear, training, upgrading of storage facilities, etc.).

vi. Selection of pesticides authorized for use, taking into consideration: (a) criteria set at national (if there is any) or international, (b) the hazards and risks and; (c) the availability of newer or less hazardous products and techniques (e.g. bio-pesticides, traps).

3. Monitoring and Supervision

- i. Description of activities that require local monitoring during implementation,
- ii. Description of activities that require monitoring during supervision visits (e.g. regarding effectiveness of measures to mitigate risks; progress in strengthening regulatory framework and institutional capacity; identification of new issues or risks arising during implementation)
- iii. Monitoring and supervision plan, implementation responsibilities, required expertise and budget

II. OFLP-ERP activities involving any form of involuntary resettlement

As much as possible, involuntary land acquisition and involuntary resettlement are avoided or minimized. These issues will be addressed as per the ESF instruments (SESA including SDP, RF and PF) for the ERP. All viable alternative strategic measures/options for designs have to be checked. When ERP activities trigger involuntary resettlement, a social assessment must be carried out and a Resettlement Action Plan must be prepared. A brief action plan may be developed when less than 200 people are affected by the ERP activity. The Resettlement Action Plan must include measures to ensure that the displaced persons are informed about their options and rights pertaining to resettlement. The displaced persons are consulted on, offered choices, and provided with technically and economically feasible resettlement alternatives and provided prompt and effective compensation at full replacement cost for losses of assets attributable directly to the ERP.

Annex 5: Suggested Terms of Reference for OFLP-ERP Activities Requiring an ESIA

Based on the screening and scoping results, ESIA terms of reference will be prepared. The terms of reference will have the following contents. *Please refer to “Ethiopia’s Environmental and Social Safeguards Framework for the CRGE Initiative” (MEF, 2015) for detail information on the ESIA process steps (Screening, Scoping, Impact study, Reviewing, Decision-making, Monitoring and reporting, and Auditing and Reporting). Further, please refer to the Guideline Series Documents for Reviewing Environmental Impacts Study Reports (EPA, 2003) for detail information on contents and descriptions of ESIA report (EPA, 2003).*

I. Objective of the TOR: This section should state the scope of the ESIA in relation to the screening category and the proposed program activities. It needs to stipulate the process and the timing of the ESIA preparation and implementation stages in order to adequately address the safeguards requirements of the GoE and the World Bank.

II. Introduction and Context: The ToR needs to provide information on program activity objective, the name of the program activity proponent, the rationale for conducting the ESIA, specific components of the program activity, program activity area with location map, short briefing of social and environment of settings and applicable national and international safeguard policies.

III. Location of the study area and likely major impacts: State the area involved and the boundaries of the study area for the assessment. Identify adjacent or remote areas which should be considered with respect to impacts of particular aspects of the program activity.

IV. Mission/Tasks: The ESIA study team/consultant should clearly execute the following tasks.

Task A: Description of the proposed program activity: Describe the location, size and nature of the program activity, environmental assessment category, brief description of program activity alternatives, time schedule for phasing of development (i.e. preconstruction, construction, operation/maintenance, decommissioning), and resources (finance, human, material and technology) required for the program activity, among others.

Task B: Baseline information/Biophysical and social-economic description: Describe the baseline/biophysical and socio-economic characteristics of the environment where the program activity will be implemented; and area of influence. Include information on any changes anticipated before the program activity commences.

Task C: Administrative and legal Policy framework: In addition to the required administrative and institutional setup for the implementation of the program activity, this part needs to identify pertinent policies, regulations and guidelines pertinent to the study that include:

- National laws and/or regulations on environmental and social assessments;
- Regional environmental and social assessment regulations;
- Environmental and social assessment regulations of any other financing organizations involved in the program activity;
- Relevant international environmental and social agreements/conventions to which Ethiopia is a party; and
- World Bank safeguards policies.

Task D: Identification of potential impacts of the program activity: Identify all potential significant impacts that the program activity is likely to generate. Assess the impacts from changes brought about by the program activity on baseline environmental conditions as described under Task B. The analysis should address both the positive and negative impacts of the program activity. Wherever possible, describe impacts quantitatively, in terms of environmental and social costs and benefits.

Task E: Propose Program activity alternatives: Alternatives extend to site, design, technology selection, construction techniques and phasing, and operating and maintenance procedures. Compare alternatives in terms of potential environmental and social impacts; capital and operating costs; suitability under local conditions; and institutional, training, and monitoring requirements.

Task F: Preparation of an Environmental and Social Management Plan (ESMP): Describe the mitigation measures for adverse environmental and social impacts, staffing/institutional and training requirements, schedules, and other necessary support services to implement the mitigating measures. Provide environmental and social protection clauses for application by contractors and consultants, if any. The ToR should state that the concerned and affected parties should agree on the proposed mitigating measures before they are included in the ESMP.

Task G: Monitoring Plan: This organizes a comprehensive plan to monitor the implementation of mitigating measures and the impacts of the program activities. It should also address an estimate of capital and operating costs and a description of other inputs (such as training and institutional strengthening) needed to implement the plan.

V. Qualification of the ESIA study team/Consultant: The ToR should provide clear guidance on the qualification of the ESIA study team.

VI. Duration of the ESIA Study: This should be determined according to the type of the program activity.

VII. Preparation of the final Report: The ESIA study team/consultant will produce the final report one week after receiving comments from program activity proponent and concerned stakeholders. The final report will include comments from these institutions.

VIII. Suggested Contents of the ESIA Report: Please refer to the “Guideline Series Documents for Reviewing Environmental Impacts Study Reports” (EPA, 2003) to get detail information on the contents of ESIA report (EPA, 2003). The contents of the ESIA report should contain the following elements.

- Executive Summary
- Introduction
- Methodology
- Administrative, legal and policy requirements
- Description of program activity (need, objectives, technical details, size, location input and other relevant requirements)
- An outline of the main development alternatives
- Description of baseline information/environmental and socio-economic conditions
- An account of the prediction and assessment of each impact at all stages of the program activity cycle for each alternative
- Description of the methodology and techniques used in assessment and analysis of the program activity impacts
- Description of environmental and social impacts for program activity

- Environmental and Social Management Plan (ESMP) for the project including the proposed mitigation measures;
- Institutional responsibilities for monitoring and implementation; Summarized table for ESMP.
- Conclusions and recommendations
- References
- **Annexes**
 - List of Persons/Institutions met
 - List of the ESIA study team members
 - Minutes of consultations

Annex 6: Guiding Principles for the Consultation and Participation Process

The implementation of this ESMF will be guided by the following core principles for consultations and participation.

- **Transparency:** all aspects of the ESMF from design, implementation and monitoring should be discussed and communicated transparently to all stakeholders at all levels, and any decision needed should be taken collectively. All stakeholders should have full and equal access to all information about the project;
- **Inclusiveness:** the program should identify and involve all ranges of stakeholders. It should include various social groups such as disadvantaged groups, women and youth, and be gender sensitive. All stakeholders at various levels in towns and inside and around forests should be involved and have equal voices and decision making power on issues concerning the project;
- **Participatory:** the project's decision making should avoid informing and dictating, rather must involve stakeholders in a truly participatory style. It should incorporate voices and concerns of all into planning and implementation of the program;
- **Open and two way dialogues:** information obtained and views of community level stakeholders should be respected equally as that of professionals at federal and regional level. Therefore, two way exchanges of information and consensus building approach should be pursued;
- **Flexibility:** the program implementation should learn by doing, and be flexible enough to incorporate new ideas, approaches and stakeholders as they emerge and found necessary to include; and
- **Put in place mechanism for grievance redressing:** stakeholders should have a system where they can reflect their concerns and grievances at any time and be heard. Any conflict arising in the process of implementing the project should also be resolved and redressed immediately using an established and transparent system.

Annex 7: Suggested Template for Environmental & Social Management Plan Compliance Monitoring

A. Program Activity Information

1.1. Name of subproject proponent:

1.2. Subproject Title:

1.3. Subproject category:

1.4. Subproject location:

1.5. Reporting period:

B. Main findings of the monitoring, including feedback/grievance received from stakeholders:

C. Impacts/issues as per the ESMP of the subproject:

ISSUES (POTENTIAL IMPACT)	MITIGATING MEASURES	SCHEDULE / DURATION OF MITIGATING MEASURES	Compliance Progress Indicator	Status of Compliance				MEANS OF VERIFICATION/ REMARKS
				Overall Target	Target as of the Reporting Period	Actual as of the Reporting Period	Variance	

D. Conclusions and recommendations:

E. Experts / team leader who prepared/approved the report

	Name	Sign.	Date
Prepared by:	1-----	-----	-----

	2-----	-----	-----

	3-----	-----	-----

Approved by:	1-----	-----	-----

Annex 8: Sample Grievance and Resolution form

Name of Complaint: _____

ID Number: _____

Contact Address:

Wereda _____, Kebele _____

Village _____; mobile phone _____

Nature of Grievance or Complaint:

Summary of Discussion with Complaint

Signature _____ Date: _____

Review/Resolution

Date of Conciliation Session: _____

Was complaint Present? : Yes ☐ No ☐

Was field verification of complaint conducted? Yes ☐ No ☐

Findings of field investigation:

Summary of Conciliation Session Discussion:

Was agreement reached on the issues? Yes ☐ No ☐

If agreement was reached, detail the agreement below:

If agreement was not reached, specify the points of disagreement below:

Name and Signature of Grievance Redress Committee Members

Name _____ Signature _____ Date: _____

Name _____ Signature _____ Date: _____

Name _____ Signature _____ Date: _____

Name and Signature of Independent Observer

Name _____ Signature _____ Date: _____

Name and Signature Complaint

Name _____ Signature _____ Date: _____

Annex 9: Gender-Based Violence (GBV) Risk Assessment and Prevention and Response Action Plan

1. Introduction

1.1. Ethiopia Context on GBV Risks

GBV in Ethiopia is prevalent where domestic and intimate partner violence (IPV), sexual harassment and assault, and harmful traditional practices such as child and early forced marriage (CEFM) and female genital mutilation/cutting (FGM/C) are some of the most prevalent GBV issues in the country. Estimates range from 34-70% of ever-married women aged 15-49 had experienced physical and/or sexual violence over their lifetime. For never-married women age 15-49 who has experienced physical violence, the most common perpetrators of physical violence are siblings, other relatives, father/step-fathers, and teachers; among ever-married women, perpetrators are most likely to be current or former partners. A culture of GBV acceptance, and rigid norms about women's roles and relation to men, prevail. As is the case globally, levels of GBV reporting are low. Only 23 percent of women reported having sought help after having experienced physical or sexual violence, and 66 percent never sought help or told anyone.

Risk factors for GBV arise at multiple levels from societal level due to gaps in the law, weak enforcement, poor and uneven economic development, and societal attitudes and norms; community level with peer pressure and weak community sanctions; family level arising from household poverty and women's economic disempowerment; as well as various factors which heighten individual vulnerability. GBV mostly affects women and girls due to the fact that in many cultures of Ethiopia, they are marginalized and have little or no power to make important decisions about their lives. Their low status in many communities, preexisting high prevalence of GBV and high levels of poverty, are all likely to be exacerbated by the locust infestation, COVID-19 and response resulting in heightened vulnerability to GBV in the community.

In Ethiopia, the FDRE constitution 1995 and other national laws including the 2005 Revised Criminal Code and 2000 Revised Family Code exist to guarantee equal rights and prohibit GBV, including FGM/C. The FDRE Constitution 1995 has provisions that make all international instruments ratified by Ethiopia as part of the law of the land. FDRE Constitution stipulates the fundamental rights and freedoms to be interpreted in conformity with the principles of the Universal Declaration of Human rights, International Covenants on Civil and Political Rights, International Covenants on Social, Economic and Cultural Rights and international instruments ratified by Ethiopia. Eg. CEDAW, DEVAW etc.

1.2. Definition of GBV/SEA

According to the WB SEA/SH Good Practice Note, GBV is an umbrella term for any harmful act that is perpetrated against a person's will and that is based on socially-ascribed gender differences. GBV includes acts that inflict physical, mental, sexual harm or suffering; threats of such acts; and coercion and other deprivations of liberty, whether occurring in public or in private life. GBV disproportionately affects women and girls across their lifespan and takes many forms, including sexual, physical, and psychological abuse. It occurs at home, on the streets, in schools, workplaces, farm fields, and refugee camps; during times of peace as well as in conflicts and crises. The term GBV stems from the 1993 United Nations (UN) Declaration on the Elimination of Violence against Women, which defines violence against women as "any act of gender-based violence that results in, or is likely to result in, physical, sexual or psychological harm or suffering to women." Discrimination on the basis of sex or gender

identity is not only a cause of many forms of GBV, but also contributes to the widespread acceptance and invisibility of such violence—so that perpetrators are not held accountable, and survivors are discouraged from speaking out and accessing support.

The United Nations defines “sexual exploitation” as any actual or attempted abuse of a position of vulnerability, differential power, or trust, for sexual purposes, including, but not limited to, profiting monetarily, socially or politically from the sexual exploitation of another. Sexual abuse on the other hand is “the actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions.” SEA is therefore a form of gender-based violence and generally refers to acts perpetrated against beneficiaries of a project by staff, contractors, consultants, workers and Partners. SEA occurs against a beneficiary or member of the community. Sexual harassment occurs between personnel/staff and involves any unwelcome sexual advance or unwanted verbal or physical conduct of a sexual nature.

1.3. Methodology

This Gender-Based Violence (GBV) – Sexual Exploitation and Abuse (SEA) and Sexual Harassment (SH) action plan was prepared based on the preliminary ERP GBV – SEA/SH risk assessment (extracted from Social Assessment) and through reviewing secondary data sources like World Bank guidance note, the Ethiopian demographic health survey (EDHS 2016), the constitution of the Federal Government of Ethiopia and other references related to Gender-based violence (GBV), by taking the contextual situations of ERP project implementation areas.

2. Addressing Gender Based Violence (GBV) - Sexual Exploitation and Abuse (SEA) and Sexual Abuse (SA) in ERP Program

EFD is one of the government entities who is taking the lead of ERP implementation. Based on Ethiopia’s legal framework like FDRE Constitution, Labor Law 377/90etc. EFD has several institutional instruments like HR policy, gender equality policy and procedure, GBV prevention and response policy, CoC and GRM; Childcare Policy, as well as Environment and Social safeguards policy that provides for protection of workers and the community against SEA/SH. According to EFD HR policy and the policy on GBV prevention and response policy any acts of SEA/SH constitute serious misconduct and is grounds for disciplinary measures, including summary dismissal.

The World Bank Group recognizes that World Bank-financed Projects can increase the risk of GBV in both public and private spaces by a range of perpetrators in several ways. Based on the protocol laid out in the WB SEA/SH Good Practice Note, a preliminary GBV risk assessment was conducted on the ERP and it shows the likelihood of GBV risks increasing as a result of both contextual and project related factors. The assessment rates the level of risks at “moderate”. The Risk Assessment highlighted the following as the major risk factors:

- Though it is illegal, there is a high risk of prevalence of child marriage (defined as mirage before the exact age of 18 reported by women)
- Poverty in the project area is in bottom quartile of country; the rural areas are likely to be in remote locations where historically underserved and pastoralist people live
- The project can bring influx of labor and employment income differentials in local communities. Projects with labor influx of workers may increase the demand for sex work, including the risk for trafficking of women for the purposes of sex work; or the risk of forced early marriage. Furthermore, higher wages for workers in a

community can lead to an increase in transactional sex. The risk of incidents of sex between laborers and minors, even when it is not transactional, can also increase. Risk of SEA/SH by project personnel e.g. regional, zonal, woreda and community level officials who may ask for sexual favors from women, girls, men and boys.

- Absence of legal protection and provision to marital rape;
- Laws on domestic violence - legislation does not extend to unmarried intimate partners and protection orders for domestic violence do not exist
- Justification of wife beating - 63% (wife beating justified for at least one reason) - considerably higher than regional average of 45.7
- Largely, ERP program areas are likely in remote rural areas where historically underserved and pastoralists live so that projects can be in hard-to-supervise areas. (for instance, very remote or geographically diffuse projects)
- Consultations with key stakeholders on GBV risks and processes, including women's groups and service providers, may not take place as part of the project preparation; community engagement and integration of local concerns and considerations.
- It is likely that female laborers will work alongside male laborers without adequate supervision of work sites; without separate latrine and other sanitation facilities for males and females; and without specific mechanisms for females to share concerns about their working environments, including concerns about sexual harassment.
- In addition, although there is a National GBV Working Group, it focuses on humanitarian issues; and because the project is not applied in a humanitarian environment, frameworks for coordinating GBV prevention and response may be limited and insufficient for local government, NGO, and CBO. Although there is a gender action plan, there is no protocol defined for referrals to GBV services, which may impact the availability and access to response services. Multi-sectoral government partners (health service providers, Women and Children Affairs, Police and legal service providers) will be supported to develop referral pathways.

3. GBV – SEA/SH Risk Mitigation, Prevention and Response for ERP Program

As part of EFD's initiatives to integrate GBV- SEA/SH in ERP program, the following GBV risk mitigation measures recommended to be planned and taken under consideration.

Key elements of the plan include:

- Create awareness on SEA/SH mitigation and response mechanisms for key ERP/OEPA program staff, contractors, PPP models operated by private sector or cooperatives, and other relevant implementing agency (IA) and contractors.
- Monitor GBV Risks and ensure it is adequately addressed in safeguard instruments.
- Updating ESMPs and C-ESMPs to include the SEA/SH prevention and response Action Plan.
- Stakeholder consultations including the participation of the community that will take place throughout the life of the project, every six months, which will help to inform GBV risks mitigation in the project.
- OEPA project office GBV Specialist/ Social Development specialist, in collaboration with regional OEPA offices GBV focal points for environment and social risk management will carry out a GBV service providers mapping.

- OEPA project office GBV Specialist/ Social Development specialist organize regular mentoring sessions for multi-sectoral service providers (Health, case management and psychosocial support, safety/police, and legal service providers) on GBV guiding principles.
- OEPA project office GBV Specialist/ Social Development specialist and regional OEPA GBV focal points will support Woreda level Women and Children affairs offices, and other Muti-sectoral service provider to develop GBV referral pathways.
- Publicly post or otherwise disseminate messages clearly prohibiting SEA/SH in all project implementation sites during the construction and operation period of the project, whether the project workers are perpetrators or survivors. This can include the development, adaptation, translation and dissemination of communication materials (through local radio, posters, banners, at community forums etc.) outlining unacceptable behavior on SEA/H and where relevant referencing existing staff rules for civil servants that may already be in place.
- Key messages should be disseminated focusing on: i) No sexual or other favor can be requested in exchange for any forms of services from the project; ii) Project staff are prohibited from engaging in sexual exploitation and abuse; iii) Any case or suspicion of sexual exploitation and abuse can be reported to (“Alegnta” 6388 free hotline service to report any forms of GBV incidents, to access free psychosocial support, medical referral and information provision on GBV awareness and Kelela” (“protection”) an offline platform that produce different guiding tools, contents to fight against societal problems that are often considered as taboo in the society like children sexual abuse) and; iv) the importance of timely services/services available.
- Project staff should sign SEA/SH Codes of Conduct to be prepared and availed at project sites by off-grid solar companies, mini-grid contractors, PPP models operated by private sector or cooperatives, and other relevant implementing agency (IA) and contractors;
- OEPA has a Grievance Redress Mechanism (GRM) that handles complaints and feedback from all stakeholders involved in the project. The GRM not only aims at strengthening accountability to communities but also to identify a range of protection, fraud and diversion issues as well as other concerns related to the delivery of the project. Complaints can be made should be through the Grievance Management Committee (GMC) located within 3km distance. Each GMC comprises of 6 six members with a 50% women representation selected by the PAPs. Other channels of reporting include suggestion boxes and workers’ councils.
- Training of GBV focal points at EFD project office, regional OEPA offices and all other implementing agency that focus on reporting SEA/SH and to highlight the reporting protocols. Depending on what is in place and what is not ensure that the GBV Action Plan puts measures in place for these to be established
- SEA/SH CoC can be mentioned in routine project protocol briefings.
- Include session on SEA/SH awareness training, in the training and capacity building of the off-grid solar companies, mini-grid contractors, PPP models operated by private sector or cooperatives, and other relevant implementing agency (IA) and contractors.
- Establish GBV sensitive channels for reporting in the Grievance Redress Mechanism (GRM)
- Clearly define the GBV requirements and expectations in the bid documents and the necessary actions in the CoCs.

- The project site should ensure that separate lodging rooms, locker rooms, toilet and hygiene facilities are available and functional for men and women working on the project sites, including inside-locking doors and appropriate lighting.
- Coordinate with school communities and organize activates/disseminate information on SEA/SH targeting adolescent girls.

4. Operationalization of this SEA/SH Prevention and Response Plan: Project Annual Work Plan and Budget

EFD will ensure the commitments and planned activities in this SEA/SH Prevention and Response Plan are operationalized through the project annual work plan and budget. The EFD and other implementing agencies include environmental and social activities in this SEA/SH Prevention and Response Plan with estimated budget in the annual work plan and budget. The project annual work plan and budget passes through a review by task team leaders and environmental and social specialists prior to issuance of no objection.

5. Action Plan

This section details the specific measures for mitigating SEA/SH risks under the ERP program. These include the mitigation measures as well as steps to be undertaken to further mitigate and respond to risks and cases/allegation of GBV/SEA in the project sites.

SEA/SH Prevention and Response Action Plan

	Activity to Address SEA/SH risk	Steps to be taken	Time Lines	Responsible	Monitoring (Who will monitor)	Output indicators	Estimated Budgets
1	Sensitize the key IA on the importance of addressing SEA/SH on the project, and the mechanisms that will be implemented						
	Training IA/PIU (Management/leadership) on SEA/SH to include Accountability and response framework Responsibilities and reporting Confidentiality and whistle blower protection clauses	Develop ToR Secure technical expertise, Prepare the training module and materials Conduct training for targeted members of ERP IAs Include SEA/SH as an agenda in quarterly meetings	Quarter 1 following the commencement of the project Quarterly (Throughout Project implementation.)	EFD/OEPA project office GBV Specialist/Social development specialists, External Facilitators/ Nominated Service providers (NSPs)	EFD/OEPA	Number of training conducted Number of IA/PU (Management/leadership) members trained	OEPA-10,600 USD
2	Conduct GBV/SEA assessment at project sites						
a)	Conduct a GBV/SEA risk assessment in project area to inform risk mitigation strategies	Use in house OEPA staff or hire independent consultant/Nominate Service Provider to conduct the assessment	First quarter after commencement of the project	OEPA staff or hire independent consultant/Nominate Service Provider	EFD/OEPA	GBV/SEA risk report	OEPA-10,000 USD
3	Map out GBV/SEA prevention and response service providers						
a.	Map out and review capacity and quality of GBV/SEA/VAC service Providers in the project area	Develop TOR for consulting firm/nominated Service Provider (NSP)	First quarter after commencement of the project	OEPA	EFD/OEPA	GBV/SEA service provider mapping and Capacity Assessment Report	OEPA-15,000 USD

		<p>Procure qualified consulting firm/ NSP to conduct the assessment</p> <p>Conduct field visits to identify, and map out key actors and service providers on GBV/SEA in project area</p> <p>Develop tools for assessing capacity of GBV/SEA service providers</p> <p>Conduct organizational capacity assessment</p>	<p>First quarter as part of the baseline data</p>	<p>OEPA project staff a NSP, Resident Engineers.</p> <p>GBV/SEA Specialist</p>		<p>Organizational Capacity Assessment Report</p>	
b.	Stakeholder consultations	<p>Develop interview/ facilitation guides</p> <p>Conduct stakeholder meetings/FGDs</p> <p>Conduct regular safety audits</p> <p>Prepare field visit reports</p>	<p>Prior to initiating construction.</p> <p>Maintained throughout Project implementation.</p>	<p>OEPA Project office Staff</p> <p>Consultant /NSP</p>	EFD/OEPA	<p>Number of stakeholder consultations done</p>	OEPA-10,800 USD
d)	Develop/update GBV/SEA referral pathway(s)	<p>On the basis of mapped GBV/SEA prevention and response service providers develop/update a GBV/SEA/VAC</p>	<p>First quarter after the commencement of the project</p> <p>Maintained throughout</p>	<p>OEPA/Consultant or NSP off-grid solar companies, mini-grid contractors, PPP models operated by</p>	EFD/OEPA	<p>Referral pathway developed/updated</p> <p>Number/type of GBV/SEA preventive and</p>	OEPA-5,000 USD

		referral list for service providers. Disseminate the referral pathway/list to all OEPA IAs and all stakeholders	Project implementation.	private sector or cooperatives		response services available. No. of referrals of SEA/SH incidents to the project GRM	
4	Strengthen Institutional capacity for GBV/SEA risk mitigation and response						
a	Engage/hire a GBV/SEA Specialist in OEPA project office or wherever appropriate to supervise ERP implementation to supervise and provide technical support for the implementation of GBV/SEA Action Plan	Procure services of a qualified and competent GBV/SEA specialist to supervise and provide technical support for the implementation of GBV/SEA in projects	At the end of the project preparation	OEPA	EFD/OEPA	Qualified GBV/VAC specialist hired	OEPA-20,000 USD
b	Support capacity of local support systems to prevent and respond to GBV/SEA (police, health, legal system) Strengthen the reporting mechanisms & procedures of local systems Strengthen a survivor centred referral and response. Strengthen coordination for better services with local/national GBV/SEA service providers	Identify key stakeholders to engage Develop training plan Develop training material/ content using global/national standards, human rights and survivor centered approaches Conduct training and mentoring Conduct regular coordination meetings with service providers	Maintained throughout Project implementation.	OEPA project office GBV specialist/Social development specialist; other IAs GBV focal persons, consultants hired to support SEA/SH interventions, GBV focal persons/staff, contractors, PPP models operated by private sector or cooperatives	OEPA, contractors, PPP models operated by private sector or cooperatives	Number of trainings conducted Number of coordination meetings conducted Level of satisfaction of GBV/SEA survivors with services received Level of Community awareness about GBV and SEA referral pathway	OEPA-15,000 USD

		for effective referrals					
5	Integrate GBV/SEA risk management in Contractors' Environment and Social Management Plan (ESMP)						
a)	Incorporate GBV/SEA risk in contractors, PPP models operated by private sector or cooperatives' Environment and Social Management Plan (ESMP)	Integrate GBV/VAC considerations contractors, PPP models operated by private sector or cooperatives' Environment and Social Management Plan (ESMP)	First quarter and after signing of the works contract of all IAs.	Contractor, Supervised by OEPA provide support	EFD/OEPA	Updated ESMP with GBV/VAC action plan (management plan) and CoC	All IAs to allocate budget
b)	Develop and establish/review SEA/GBV response and accountability framework to include: Allegation Procedures to report SEA/GBV incidents and internally for case accountability procedures which should clearly lay out confidentiality requirements for dealing with cases	Develop/review SEA/GBV Allegation Procedures to report SEA/SH issues Inform employees and the community on how to report cases of SEA/SH, CoC breaches to the GRM, and how such cases are handled Develop mechanisms to hold accountable alleged perpetrators; disciplinary action for violation of the CoC by workers.	Quarter 2 after commencement of project During project implementation.	OEPA GBV Specialist/Social development specialist GBV focal, contractors, PPP models operated by private sector or cooperatives	EFD/OEPA	An established and functional accountability framework	All IAs to allocate budget

6	Review the IA's capacity to prevent and respond to GBV/SEA						
a)	Recruit/train an officer on GBV/SEA specific skills to support supervise issues related	Recruit/train an officer with GBV/SEA skills	In the first Quarter of the project	OEPA project office	EFD/OEPA	A qualified and competent GBV/VAC staff recruited	Covered under 4 (a)
b)	Develop M&E programme	Develop a comprehensive M&E plan to monitor work plan implementation Monitor SEA/SH Implementation Plan	In Quarter 2 after project implementation started Maintained throughout Project implementation.	OEPA GBV Specialist/Social development specialist GBV focal, contractors, PPP models operated by private sector or cooperatives	EFD/OEPA	M&E framework in place	All IAs to allocate budget
c)	Conduct GBV/SEA orientation training for project staff	Develop a training plan Develop training materials Conduct training for project staff	Quarter 2 after the commencement of the project Retraining during Project implementation.	OEPA GBV Specialist/Social development specialist GBV focal, contractors, PPP models operated by private sector or cooperatives	OEPA, contractors, PPP models operated by private sector or cooperatives	Number of training conducted for project staff Percentage of workers that have attended CoC training.	All IAs to allocate budget
7	Inform project affected communities about GBV/SEA/SH risks						
a)	Establish partnerships with CBOs/CSO's and local government institution	Identify and select partners and officially inform them Engage partners, conducting joint community meetings and awareness raising	First quarter after the commencement of the project Maintained throughout Project implementation.	OEPA GBV Specialist/Social development specialist GBV focal, contractors, PPP models operated by private sector or cooperatives	OEPA, contractors, PPP models operated by private sector or cooperatives	Number of partnerships formed	All IAs to allocate budget

b)	Identify, train and establish community focal point for GBV/SEA/VAC activities	Establish a trained, dedicated and committed network of community focal persons	First quarter after the commencement of the project Maintained throughout Project implementation.	OEPA GBV Specialist/Social development specialist GBV focal, contractors, PPP models operated by private sector or cooperatives	OEPA, contractors, PPP models operated by private sector or cooperatives	No. of focal points and persons identified and trained	All IAs to allocate budget
c)	Develop Stakeholder Engagement Plan for GBV/SEA related issues	Develop a comprehensive GBV/SEA Stakeholder Plan	First quarter after the commencement of the project Maintained throughout Project implementation.	OEPA GBV Specialist/Social development specialist GBV focal, contractors, PPP models operated by private sector or cooperatives	OEPA, contractors, PPP models operated by private sector or cooperatives	Stakeholder Implementation plan developed	All IAs to allocate budget
d)	Develop information dissemination strategy	Develop a strategy to Identity the methods to disseminate the information Disclosure of information to stakeholders through multimedia outlets	First quarter after the commencement of the project Maintained throughout Project implementation.	OEPA GBV Specialist/Social development specialist GBV focal, contractors, PPP models operated by private sector or cooperatives	OEPA, contractors, PPP models operated by private sector or cooperatives	A GBV/SEA communication strategy in place	All IAs to allocate budget
e)	Develop relevant SEA/SH prevention and response advocacy and information dissemination materials for community engagements	Develop relevant advocacy and information dissemination materials translated in local	Second quarter Maintained throughout Project	OEPA GBV Specialist/Social development specialist GBV focal, contractors, PPP	OEPA, contractors, PPP models operated by private sector or cooperatives	No and type of GBV/SEA IEC material developed	All IAs to allocate budget

		languages of the project location	implementation.	models operated by private sector or cooperatives			
f)	Outreach to schools on the risks of GBV/SEA	Develop a school outreach Plan in consultation with the School heads Conduct sensitization targeting teachers, parents and students	First quarter after the commencement of the project Maintained throughout Project implementation.	OEPA GBV Specialist/Social development specialist GBV focal, contractors, PPP models operated by private sector or cooperatives	OEPA, contractors, PPP models operated by private sector or cooperatives	Number of school outreaches conducted	All IAs to allocate budget
g)	Conduct community sensitization	Develop a Community GBV/SEA and VAC sensitization program, material and messages Conduct community sensitization	First quarter after the commencement of the project Maintained throughout Project implementation .	OEPA GBV Specialist/Social development specialist GBV focal, contractors, PPP models operated by private sector or cooperatives	OEPA, contractors, PPP models operated by private sector or cooperatives	Number of community sensitization conducted	All IAs to allocate budget
8	GBV/SEA sensitive channels for reporting in GRM						
a)	Develop/Review GRM for specific GBV/SEA/SH procedures	Undertake internal review of GRM for GBV/SEA mitigation Integrate GBV/SEA entry points within the GRM with clear procedures	First quarter after the commencement of the project	OEPA GBV Specialist/Social development specialist GBV focal persons/staff, contractors, PPP models operated by private sector or cooperatives	OEPA, contractors, PPP models operated by private sector or cooperatives	GRM with GBV/SEA procedure integrated In the GRM	All IAs to allocate budget

b.	Identify and train GBV/SEA/SH focal points within the GMC who will be responsible GBV/SEA cases and referrals to the NSP and or other relevant stakeholders as defined in the referral pathway.	Identify and select GBV/SEA focal persons within the GRC Clarify the role of the focal points in GBV/SEA as referral points Train the focal points on GBV/SEA basics and the referral pathway	During Quarter 2 following signing of the works contract Retraining during project implementation.	OEPA GBV Specialist/Social development specialist GBV focal persons/staff, contractors, PPP models operated by private sector or cooperatives	OEPA, contractors, PPP models operated by private sector or cooperatives	GBV focal points selected and trained	Covered under 7 (b)
c)	Review GRM reports/logs for GBV/SEA sensitivity	Review logs for GBV/SEA documentation to ensure it follows standards for documenting GBV/SEA cases	During project implementation.	OEPA GBV Specialist/Social development specialist GBV focal persons/staff, contractors, PPP models operated by private sector or cooperatives	EFD/OEPA, contractors, PPP models operated by private sector or cooperatives	Number of GBV/SEA cases documented	All IAs to allocate budget
9	Define and reinforce GBV/SEA/SH requirements in procurement processes and contracts						
a.	Incorporate GBV/SEA/Requirements and expectations in the contractor and consultants' contracts.	Ensure that GBV/SEA issues are incorporated in all contracts signed by contractors and consultants	During project implementation.	OEPA GBV Specialist/Social development specialist	EFD/OEPA	GBV/SEA standards in procurement/contract document	All IAs to allocate budget
b.	Allocation of funds for GBV/SEA/SH related costs in procurement documents.	Clearly define SEA/SH requirements and expectations in the bid documents	During preparation of bid and Contract documents	OEPA	EFD/OEPA	Bid documents with clearly defined SEA/SH requirements Contract documents with	OEPA-6,00 USD

						clearly defined SEA/SH clauses/requirements	
c.	Workers (Contractor/consultant) sensitization on GBV/SEA.	Develop a training plan for workers, contractors and consultants Conduct training on GBV/SEA risks, responsibilities and legal/policy requirements	Quarter 2 after commencement of the project During project implementation.	OEPA GBV Specialist/Social development specialist GBV focal persons/staff, contractors, PPP models operated by private sector or cooperatives	EFD/OEPA, contractors, PPP models operated by private sector or cooperatives	Number of contractors' and consultants staff trained,	All IAs to allocate budget
d.	Codes of Conduct signed and understood. 1) Ensure requirements in CoCs are clearly understood by those signing. o Have CoCs signed by all those with a physical presence at the project site. o Train project staff on the behavior obligations under the CoCs. o Disseminate CoCs (including visual illustrations) and discuss with employees and local communities.	Define the requirements to be included in the CoC which addresses GBV/SEA/SH Review CoC for provisions/clauses that guard against GBV/SEA/SH Have CoCs signed by all those with a physical presence at the project site. Train project- related staff on the behavior obligations under the CoCs.	During Project implementation	OEPA GBV Specialist/Social development specialist GBV focal persons/staff, contractors, PPP models operated by private sector or cooperatives	EFD/OEPA, contractors, PPP models operated by private sector or cooperatives	Percentage of workers that have signed a CoC	All IAs to allocate budget

	○ Create an appropriate Accountability and Response Framework						
10	Separate toilet and shower facilities for men and women and GBV/SEA-free signage						
a.	Provide separate facilities for men and women and display signs, posters and pamphlets around the project site that signal to workers and the community that the project site is an area where GBV/SEA is prohibited	Provide separate facilities Design and print pamphlets and posters. Distribute the pamphlets and posters to the project site Install signage on the facilities Visit Project gangs/camps to check on the availability and usability of separate sanitary facilities.	At the commencement of the project During project implementation	OEPA GBV Specialist/Social development specialist GBV focal persons/staff, contractors, PPP models operated by private sector or cooperatives	EFD/OEPA, contractors, PPP models operated by private sector or cooperatives	Separate toilet and shower facilities for men and women Display signs/IEC materials	All IAs to allocate budget

6. Proposed Reporting of SEA/SH During Implementation

Who	To Whom	What	When	Objective
GM Operator/GBV Specialist	OEPA (and OEPA to furnish to Bank)	<ul style="list-style-type: none"> Reporting of SEA/SH allegations with four key data: <ul style="list-style-type: none"> Nature of the case; Project-related (Y/N); and Age and/or sex (if available). Whether the survivor was referred to services. 	As soon as becomes known	<p>For OEPA to monitor response.</p> <p>For Bank to report to management in accordance with ESIRT (see Chapter 5).</p>
Contractors' GBV Specialist/Social Development Specialist	OEPA and supervising engineer	<p>Aggregate data on case load:</p> <ul style="list-style-type: none"> Number of SEA/SH cases received/referred by the GM, disaggregated by age and by sex; The number of cases open, and the average time they have been open; and The number of cases closed, and the average time they were open. 	Monthly	To ensure accountability of contractor's particularly if financial support is being provided for the survivor support
Supervising Engineer	OEPA	<ul style="list-style-type: none"> Status on the implementation of project's SEA/SH Prevention and Response Action Plan; The agreed project SEA/SH indicators, e.g.: <ul style="list-style-type: none"> Successful implementation of agreed SEA/SH Prevention and Response Action Plan(Y/N); Number of training courses related to SEA/SH delivered; Percentage of workers that have signed a CoC; and/or Percentage of workers that have attended CoC training; That the GM is functioning correctly for receiving and resolving complaints; The GM indicators; and That an appropriate mechanism to resolve SEA/SH complaints is established and functional. 	Monthly	Part of overall supervising Engineer's duty to monitor day-to-day activities and implementation of project's CoC.
OEPA	Bank	<ul style="list-style-type: none"> Project SEA/SH indicators; and 	In	In accordance with the

		<ul style="list-style-type: none"> • GM indicators (as supplied by the supervising Engineer) 	accordance with project legal agreements	standard project Results Framework reporting.
--	--	---	--	---

Annex 9.1: Code of Conduct (CoC) for Contractors' SEA/SH prevention and Response

To build a system for SEA/SH risk prevention and mitigation, projects must:

- Have all employees of contractors (including sub-contractors), supervising Engineers and other consultants with a footprint on the ground in the project area sign CoCs;
- Have an effective SEA/SH Prevention and Response Action Plan so that workers understand behavior expectations and policies, as well as an effective GM. This Action Plan should include training and communication. It should also include plans to make the project-affected community aware of the CoC the project staff have just signed; and
- As part of the SEA/SH Prevention and Response Action Plan, define accountability and response protocols, which set out the procedures followed for holding individuals accountable and penalizing staff that have violated SEA/SH policies.

Codes of Conduct from Standard Procurement Document

Code of Conduct for Contractor's Personnel (ES) Form

Note to the Employer:

The following minimum requirements shall not be modified. The Employer may add additional requirements to address identified issues, informed by relevant environmental and social assessment.

The types of issues identified could include risks associated with: labor influx, spread of communicable diseases, Sexual Exploitation and Sexual Abuse (SEA) etc.

Delete this Box prior to issuance of the bidding documents.

Note to the Bidder:

The minimum content of the Code of Conduct form as set out by the Employer shall not be substantially modified. However, the Bidder may add requirements as appropriate, including to take into account Contract-specific issues/risks.

The Bidder shall initial and submit the Code of Conduct form as part of its bid.

Code of Conduct for Contractor's Personnel

We are the Contractor, [enter name of Contractor]. We have signed a contract with [enter name of Employer] for [enter description of the Works]. These Works will be carried out at [enter the Site and other locations where the Works will be carried out]. Our contract requires us to implement measures to address environmental and social risks related to the Works, including the risks of sexual exploitation and abuse and gender-based violence.

This Code of Conduct is part of our measures to deal with environmental and social risks related to the Works. It applies to all our staff, laborers and other employees at the Works Site or other places where the Works are being carried out. It also applies to the personnel of each subcontractor and any other personnel assisting us in the execution of the Works. All such persons are referred to as “Contractor’s Personnel” and are subject to this Code of Conduct.

This Code of Conduct identifies the behavior that we require from all Contractor’s Personnel.

Our workplace is an environment where unsafe, offensive, abusive or violent behavior will not be tolerated and where all persons should feel comfortable raising issues or concerns without fear of retaliation.

REQUIRED CONDUCT

Contractor’s Personnel shall:

1. carry out his/her duties competently and diligently;
2. comply with this Code of Conduct and all applicable laws, regulations and other requirements, including requirements to protect the health, safety and well-being of other Contractor’s Personnel and any other person;
3. maintain a safe working environment including by:
 - a. ensuring that workplaces, machinery, equipment and processes under each person’s control are safe and without risk to health;
 - b. wearing required personal protective equipment;
 - c. using appropriate measures relating to chemical, physical and biological substances and agents; and
 - d. following applicable emergency operating procedures.
4. report work situations that he/she believes are not safe or healthy and remove himself/herself from a work situation which he/she reasonably believes presents an imminent and serious danger to his/her life or health;
5. treat other people with respect, and not discriminate against specific groups such as women, people with disabilities, migrant workers or children;
6. not engage in any form of sexual harassment including unwelcome sexual advances, requests for sexual favors, and other unwanted verbal or physical conduct of a sexual nature with other Contractor’s or Employer’s Personnel;
7. not engage in Sexual Exploitation, which means any actual or attempted abuse of position of vulnerability, differential power or trust, for sexual purposes, including, but not limited to, profiting monetarily, socially or politically from the sexual exploitation of another. In Bank- financed projects/operations, sexual exploitation occurs when access to or benefit from Bank- financed Goods, Works, Consulting or Non-consulting services is used to extract sexual gain;
8. not engage in Rape, which means physically forced or otherwise coerced penetration—even if slight—of the vagina, anus or mouth with a penis or other body part. It also includes penetration of the vagina or anus with an object. Rape includes marital rape and anal

rape/sodomy. The attempt to do so is known as attempted rape. Rape of a person by two or more perpetrators is known as gang rape;

9. not engage in Sexual Assault, which means any form of non-consensual sexual contact that does not result in or include penetration. Examples include: attempted rape, as well as unwanted kissing, fondling, or touching of genitalia and buttocks not engage in any form of sexual activity with individuals under the age of 18, except in case of pre-existing marriage;

10. complete relevant training courses that will be provided related to the environmental and social aspects of the Contract, including on health and safety matters, and Sexual Exploitation, and Sexual Abuse(SEA);

11. report violations of this Code of Conduct; and

12. not retaliate against any person who reports violations of this Code of Conduct, whether to us or the Employer, or who makes use of the [Project Grievance [Redress]Mechanism].

RAISING CONCERNS

If any person observes behavior that he/she believes may represent a violation of this Code of Conduct, or that otherwise concerns him/her, he/she should raise the issue promptly. This can be done in either of the following ways:

1. Contact [enter name of the Contractor's Social Expert with relevant experience in handling gender- based violence, or if such person is not required under the Contract, an other individual designated by the Contractor to handle these matters] in writing at this address [] or by telephone at [] or in person at [];or

2. Call [] to reach the Contractor's hotline (if any) and leave a message.

The person's identity will be kept confidential; unless reporting of all allegations is mandated by the country law. Anonymous complaints or allegations may also be submitted and will be given all due and appropriate consideration. We take seriously all reports of possible misconduct and will investigate and take appropriate action. We will provide warm referrals to service providers that may help support the person who experienced the alleged incident, as appropriate.

There will be no retaliation against any person who raises a concern in good faith about any behavior prohibited by this Code of Conduct. Such retaliation would be a violation of this Code of Conduct.

CONSEQUENCES OF VIOLATING THE CODE OF CONDUCT

Any violation of this Code of Conduct by Contractor's Personnel may result in serious consequences, up to and including termination and possible referral to legal authorities.

FOR CONTRACTOR'S PERSONNEL:

I have received a copy of this Code of Conduct written in a language that I comprehend. I understand that if I have any questions about this Code of Conduct, I can contact [enter name of Contractor's contact person with relevant experience in handling gender-based violence] requesting an explanation.

Name of Contractor's Personnel: [insert name]

Signature:

Date: (day month year):

Counter signature of authorized representative of the Contractor:

Signature: _____ Date: (day month year):

Annex 10: List of ESMF Stakeholder and Community Consultation Participants

10.1 List of Participants-East Wollega Zone

A. List of Stakeholders for OFLP-ERPA Stakeholder Consultation at Zone and Woreda level

Name	Administrative	Gender	Position	Phone No.	Email Address
East Wollega Zone					
Teshale Hundun	E/Wollega zone	Male	Zone EPA-Head	0913083401	
Daniel Regasa	E/Wollega zone	Male	Zone EPA-Expert	0930300269	
Asfaw Hambiso	E/Wollega zone	Male	Zone Agriculture and Natural Resources-Head	0945019831	
Woreda Level Stakeholders					
Fentahun Jireta	Diga Woreda	Male	Woreda EPA-Head	0924476404	
Gutu Merga	Diga Woreda	Male	Woreda EPA-Expert	0917648550	
Misganu Ta'a	Diga Woreda	Male	Woreda Agriculture office –Head	0917035195	
Asmara Kanei	Diga Woreda	Male	Woreda Agriculture office –Expert	0923445001	

B. Kebele Level Community Participants-East Wollega zone-Diga Woreda-Diga Kebele
List of Participants

S.no	Name	Sex	Social status	Village	Phone number	Signature
1	Motias Galak	M	Elders	G/Basaka		
2	Kidann Tamassa	M	Elders	G/Basaka		
3	Talhomu Tamassa	M		"		
4	Alemu Gemedi	M		"	0984569971	
5	Shajara Benti	M		D/Komfo	0917080622	
6	Fikiru Kenea	M		"	0934510067	
7	Yohanis Abige	M		G/Basaka	0917648422	
8	Abraham Didi	M		"	0946541842	
9	Eloise Namos	M		"		
10	Abdi Gebrie	M		"		
11	Tamassa Hagir	M		G/Abalo	0988327747	
12	Yasaka Bese	M		G/Abalo	0983593272	
13	Negash Tamiso	M		G/Basaka	09832573	
14	Gutene Didi	F		G/Abalo	0921185021	
15	Tsegaye Wossen	M		"	0921185270	
16	Marema Asen	F		"	098051868	
17	Asres Kebele	M		"	0961891255	
18	Hababamu Alana	M			0917852861	
19	Stefan Bat	M			0917086672	
20	Gudina mootu	M		G/Abalo	0921185021	
Total	21 Xemene Tadesse	M		Komfo	0934510230	
22.	Eminu Temessen				0953282785	


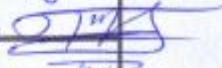



Diga - kebele

10.2. List of Participants-West Wollega Zone

A. List of Stakeholders for OFLP-ERPA Stakeholder Consultation at West Wollega Zone

B. Basic Information Participants:

- i. Name of the zone: West Wollega
- ii. Name of Woreda: West Wollega
- iii. Name of Office: West Wollega Agriculture and Natural Resources Office
- iv. Date of consultation conducted: 20/06/2014
- v. Consultation Start Time: 5:30
- vi. Consultation End Time: 6:30
- vii. Venue: Office Hall
- viii. Name of Consultation Moderator: Bikila Asfaw/ALLC

S.no	Name	Sex	Position	Phone number	E-mail address	Signature
1	Mintesinet Alemu	male	General Agr. V. head	0911074236	mintesinet112@gmail.com	
2	Tariku Hachalefa	male	Head	0911816426	tarikuhachalefa@gmail.com	
3	Lalisa Bariso	Male	Expert	0917373281	lalisa661@gmail.com	
4	Hogane Tiruneh	Male	Expert/FP	0913886418	hoganettiruneh@gmail.com	
5	Genet Mamo	F	Head	0921178329		

¹ <https://documents.worldbank.org/en/publication/documents-reports/documentdetail/722771624985229961/benefit-sharing-plan-for-disbursing-result-based-payments-from-biof-isfi-program>

B. List of Stakeholders for OFLP-ERPA Stakeholder Consultation at West Wollega Zone-Gimbi Woreda

B. Basic Information Participants:

i. Name of the zone: West Wollega

ii. Name of Woreda: Gimbi

iii. Name of Office: ALP office

iv. Date of consultation conducted: 20/06/2014

v. Consultation Start Time: 8:00

vi. Consultation End Time: 9:30

vii. Venue: EP hall

viii. Name of Consultation Moderator: Aloem Obse & Beha Asfaw/LLC























S.no	Name	Sex	Position	Phone number	E-mail address	Signature
1	Dereje Tola	M	Head	0931664456	-	
2	Kura Hambe	m	Focal Person	0917418861		
3	Asabe Yadata	m	Head	0931252591		
4	Tolatu jargo	m	Focal Person	0917042788		
5						

¹ <https://documents.worldbank.org/en/publication/documents-reports/documentdetail/722771624985229961/benefit-sharing-plan-for-disbursing-result-based-payments-from-biocf-isfi-program>



C. List of Stakeholders for OFLP-ERPA Community Consultation at West Wollega Zone-Gimbi Woreda-Gimbi Kebele

List of Participants

S.no	Name	Sex	Social status	Village	Phone number	Signature
1	Damit Aduna	M			0910469699	
2	Banti Kariye	M			0972493833	
3	Iggi Hirana	F			0919335283	
4	Zalalem Addiso	M			0917353630	
5	Sirvi Ga Ramato	M			0925936382	
6	Dinka Jalata	M		Gimbi Kebele	0917350242	
7	Ohibisa Jalata	M			0917350242	
8	Hambisa Kariye	M			0928627142	
9	Wandimu Isagi	M			0917290061	
10	Melkamu Tedaw	M			0961845345	
11	Daniel Totoba	M			0910986172	
12	Taye Tamela	M			0953919369	
13	Solomon Abdia	M			0915937416	
14	Solomon Mokonen	M			0909086929	
15	Isakari Biraga				0917438932	
16	Darasa Habaia				0917813825	
17	Danyie Temiru				0913154793	
18	Sasata Caḡaa				0911961412	
19	Fakaru Gichilo				0991530618	
20	Taye Ya Wafura				0927453282	
Total						

D. List of Stakeholders for OFLP-ERPA Community Consultation at West Wollega Zone-Gimbi Woreda-Lalisa Yasus Kebele

List of Participants


S.no	Name	Sex	Social status	Village	Phone number	Signature
1	Birasa Hambisa	M		L/4	0986531222	
2	Sanbato	M		5	092576955	
3	Aduny2 Tarabo	M		2	0932955762	
4	Gammachis	M		11	0987980414	
5	Daniel Burti	M		1	092545100	
6	Milte Gudina	M		11	0983128848	
7	Abdis Nigatu			11	091709626	
8	Hambisagana	M		22	092499800	
9	Tirfeta Pukan	M		11	-	
10	Laba Dambi	M		11	-	
11	Tsaggelee Abdi	M		11	0938475678	
12	Wlastere Bug	M		11	092835669	
13	Mosrobu Kibista	M		11	-	
14	Agale Abdisa	M		11	09	
15	Tamra dgen Kabbaleddi			I/Dam	0917318599	
16	Kabbaleddi			I/Dam	0917706911	
17	Amalun Magesa	M		L/Yasus	09173564551	
18						
19						
20						
Total						




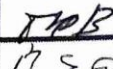
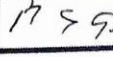














10.3. List of Participants-Buno Bedele Zone

A. List of Stakeholders for OFLP-ERPA Stakeholder Consultation at Zone and Woreda level

Name	Administrative	Gender	Position	Phone No.	Email Address
Buno Bedele Zone					
Etafa Etana	Buno Bedele zone	Male	Zone EPA-Expert	0920405751	
Daniel Regasa	Buno Bedele zone	Male	Zone EPA-Head	0913227106	
Fekadu Gurmu	Buno Bedele zone	Male	Zone land Administration and Use Office-Representative	0912951887	
Zenebech Abdila	Buno Bedele zone	Female	Zone EPA-Expert	0913227106	
Lijalem Befkadu	Buno Bedele zone	Male	Zone Agriculture-Expert	0941190050	
Woreda Level Stakeholders					
Abadir Dito	Gachi Woreda	Male	Woreda EPA-Head	0910008309	
Abdurahim Ali	Gachi Woreda	Male	Woreda Land Administration and Use-Head	0917159512	

B. Kebele Level Community Participants-Buno Bedele zone-Bedele Woreda-Secho Mikael Kebele
List of Participants

S.no	Name	Sex	Social status	Village	Phone number	Signature
1	Muluu Yaadato	F	members	Secho Mikael	0924923584	

2	Muluu Legele	F	member	Secho Mikael	—	
3	Asmane Asate	F	SS	SS	—	
4	Tigaye Tachea	F	SS	SS	—	
5	Tsire Bekere	F	Cashier	SS	0961539010	
6	Banaye Ligda	F	member	SS	—	
7	Mazgabu Fikadu	M	SS	SS	0961570508	
8	Girmaye Gargati	M	SS	SS	—	
9	Iqazun Bada	M	SS	SS	0931994170	
10	Tashame Didha	M	SS	SS	0941293091	
11	Xilabun Mekonen	M	SS	SS	0935120807	
12	Getabun Teka	M	SS	SS	—	
13	Zkado Teku	M	Salter	SS	0917781275	
14	Alamu Abamu	M	Purchaser	SS	—	
15	Kasim Yadeta	M	Monitoring	SS	0939286434	
16	Kadit Yadeta	M	Vice Leader	SS	0925860541	
17	Salamon Abdissa	M	writer	SS	0961503561	
18	Tamiru Regasa	M	Leader	SS	0917518021	
19	Girma Labata	M	Purchaser	SS	0937188542	
20	Tariku Yadeta	M	work leader	SS	0962780359	
Total						

10.4. List of Participants-Illibabor Zone

A. List of Stakeholders for OFLP-ERPA Stakeholder Consultation at Woreda level

Name	Administrative	Gender	Position	Phone No.	Email Address
Woreda Level Stakeholders					
Asfaw	Alle Woreda	Male	Woreda EPA-Head	0919921781	
Aynadis	Alle Woreda	Male	Woreda Land Administration and Use-Head		

B. Kebele Level Community Participants-Illibabor zone-Alle Woreda-Janmeda Kebele

List of Participants

S.no	Name	Sex	Social status	Village	Phone number	Signature
1	Dallelem Asake	M	Members	Gese 03	092121 3449	



2	Mulalem Muxaror	M	Vite. leader	Gese 03	0917275142	
3	Dabalash Tamiru	M	monetorins	SS	0917464526	
4	Xilahun Tela	M	Leader	SS	0917340972	
5	Tadelech Jambato	F	Accountant	SS	0941631781	
6	Abaya Wandima	M	members	SS	0932481250	
7	Tamiru Gishaw	M	writers	SS	0921213357	
8	Iyob Tafari	M	members	SS	0917467680	
9	Bashir Yadav	M	monetorins	SS	0917782296	
10	Isake Dago	M	members	SS	0912421450	
11	Birane Birgan	F	members	SS	—	
12	Tiqist Yemane	F	members	SS	—	
13	Salita Altyi	F	members	SS	—	
14	Xinuwargemte	F	members	SS	—	
15	Animu H. H. H.	M	members	SS	0941181766	
16	Mitin wandasan	F	members	SS	—	
17	Eyad Getahun	M	members	SS	—	
18	Gebreselam Nigatu	F	rather	SS	0991660806	
19	Helen Tamiru	F	members	SS	0920383866	
20	Kudireh Ataro	F	members	SS	—	
Total						

10.5. List of Participants-Jimma Zone

A. List of Stakeholders for OFLP-ERPA Stakeholder Consultation at Woreda level

Name	Administrative	Gender	Position	Phone No.	Email Address
Woreda Level Stakeholders					
Ahmed Bedewi	Gomma Woreda	Male	Woreda EPA-Head	0917009897	
Zekir	Gomma Woreda	Male	Woreda Land Administration and Use-Representative	0917026458	

B. Kebele Level Community Participants-Jimma zone-Gomma Woreda-Genji Elibu Kebele

2	Ziyad Mhd	M	single	6/3/60	0902220124	
3	Iman Xahir	m	"	"	0935122700	
4	Rikad Xahir	m	married	"	0962739868	
5	sadi Altamam	m	single	"	0912740941	
6	Awel Altamam	m	married	"	09127378972	
7	Xaha mehemed	M	single	"	0979108664	
8	Abdo Nasir	M	married	"	0912207005	
9	Nasiru AlBira	M	single	"	0941008088	
10	Sirai Alkadiv	M	"	"	0919002825	
11	Tafik Nazif	m	"	"	-	
12	Fedila Altamam	F	"	"	0979061464	
13	meheadi Adeem	M	"	"	0944864423 ⁸⁸	
14	Nasir AlFixa	M	"	"	0963943689	
15	Abdureman Dula	M	"	"	-	
16	Imran Sayifu	M	"	"	0931023483	
17	Abdureman Alkose	M	"	"	0966679032	
18	Remedan Asefa	m	"	"	0941857347	
19	Anway iwansia	M	"	"	0945749622	
20	Yasin Husen		married	"	0912242516	
Total						

10.6. List of Participants-Bale Zone

A. List of Stakeholders for OFLP-ERPA Stakeholder Consultation at Zone and Woreda levels

Name	Administrative	Gender	Position	Phone No.	Email Address
Woreda Level Stakeholders					
Getachew Yitagesu	Bale Zone	Male	Zone EPA-Expert	0923267841	
Tesfaye Olika	Bale Zone	Male	Zone Agriculture-Natural Resources Team Leader	0912254842	
Muzayen Sultan	Bale Zone	Male	Zone CSA-Expert	0912016585	
Tajebe Mekonen	Bale Zone	Male	Zone Land Administration and Use-Team Leader	0920947480	
Godsaye Adugna	Agaafraa Woreda	Male	Woreda EPA- Head	0912823015	
Bogalech Mokenen	Agaafraa Woreda	Female	Woreda EPA- Expert	0911034940	
Kalid Mama	Agaafraa Woreda	Male	Woreda Agriculture-Focal Person	0967738647	
Adem Gume	Agaafraa Woreda	Male	Woreda Agriculture-Head	0909090908	
Hailu Tefera	Agaafraa Woreda	Male	Woreda Land Administration and Use-Head	0953703362	
Alemu Eshetu	Agaafraa Woreda	Male	Woreda Land Administration and Use-Expert	0904481144	

B. Kebele Level Community Participants-Bale zone-Agaafraa Woreda-Yemekona Chefa Kebele

S.no	Name	Gender	Social status	Village	Phone. No
1	Tahir H/Ahmed	Male	Religious Leader	M/Cha	0927221065
2	Arebu H/Hasan	Male	Religious Leader	M/Cha	0920377821
3	Husen Bati	Male	Elderly	M/Cha	0966049481
4	Tefera Bekele	Male	Youth	M/Cha	0924572870
5	Muhammed Aman	Male	Youth	M/Cha	0954838241
6	Tamiru Kebede	Male	Religious Leader	M/Cha	0901875044
7	Nesha Alo	Male	Elderly	M/Cha	0910649804
8	Umer Aman	Male	Religious Leader	M/Cha	0987096643
9	Muhammed H/Aman	Male	Elderly	M/Cha	-
10	Yifrashawa Beliyu	Male	Youth	M/Cha	0924600125
11	Hasen Umer	Male	Religious Leader	M/Cha	0912980184
12	Aman Hamido	Male	Elderly	M/Cha	0982839161
13	Mahimud Ahmed	Male	Elderly	M/Cha	0912312619
14	Fantu Ababayehu	Male	PWD	M/Cha	-
15	Zahira Ahmed	Female	Elderly	M/Cha	0945377100
16	Aynalem Shewa	Female	Youth	M/Cha	0960975705
17	Zebeyida Husan	Female	Extension Worker	M/Cha	0924941950
18	Muhammad Alo	Male	Elderly	M/Cha	0922319232

C. Kebele Level Community Participants-Bale zone-Agaafraa Woreda-Yegalem Heabsno Kebele

S.no	Name	Gender	Social status	Village	Phone. No
1	Dinkure Muhammad	Female	Elderly	G/Hebano	0949339883
2	Jemal Ahmed	Male	Kebele Leader	G/Hebano	0933824095
3	A/Kadir Ibrahim	Male	Religious Leader	G/Hebano	0927301265
4	Awel Aman	Male	Kebele Leader	G/Hebano	0920377976
5	Muhammod Aliyi	Male	Kebele Leader	G/Hebano	0948893827
6	Abdi Abdulaxif	Female	Elderly	G/Hebano	0937059132
7	Gebi H/Abda	Male	Elderly	G/Hebano	0922065900
8	A/Kerim Aman	Male	Religious Leader	G/Hebano	0953691968
9	Kedir Ibro	Male	Religious Leader	G/Hebano	0927572838
10	Aman Ibro	Male	Elderly	G/Hebano	-
11	Zeynab Abda	Female	Kebele Leader	G/Hebano	0926806240
12	Abdulahi Adishu	Male	Religious Leader	G/Hebano	0960976539
13	Bediriya Sultan	Female	Youth	G/Hebano	0939824095
14	Ayub Abdo	Male	Kebele Leader	G/Hebano	0910901125
15	Zaru kedir	Female	Youth	G/Hebano	0922058616
16	Kemeru H/Abdela	Female	Youth	G/Hebano	-
17	Arabe H/Hasen	Female	-	G/Hebano	-
18	Kadija H/Hasan	Female	-	G/Hebano	-
19	Seid Bakara	Male	Youth	G/Hebano	0937058957
20	Kadija Husa	Female	Youth	G/Hebano	-

10.7. List of Participants-West Hararghe Zone

A. List of Stakeholders for OFLP-ERPA Stakeholder Consultation at Zone and Woreda levels

Name	Administrative	Gender	Position	Phone No.	Email Address
Woreda Level Stakeholders					
Wendwosen Woldyes	West Hararghe Zone	Male	Zone EPA-Head	0932174765	
Wase Bekele	West Hararghe Zone	Male	Zone Agriculture-Expert	0914978629	
Ibrahim Mohammad	West Hararghe Zone	Male	Zone Land Administration and Use-Expert	0913294337	
Godsaye Adugna	Ciroo Woreda	Male	Woreda EPA- Head	0913143748	
Bogalech Mokenen	Ciroo Woreda	Male	Woreda ANR- NR Team Leader	0922810214	

B. Kebele Level Community Participants-West Hararghe zone-Ciroo Woreda-Madhioo Lak/2 Kebele

S.no	Name	Gender	Social status	Village	Phone. No
1	Abdella Qasim	Male		Ale	0985081152
2	Jemal Ahmed	Male		Ale	-
3	A/Kadir Ibrahim	Male		Ale	-
4	Awel Aman	Male		Ale	0978963577
5	Muhammod Aliyi	Male		Ale	0920266277
6	Abdi Abdulaxif	Male		Ale	0915132987
7	Gebi H/Abda	Male		Shenbe	0939064414
8	A/Kerim Aman	Male		Shenbel	0914952498
9	Kedir Ibro	Male		Shenbel	0922816616
10	Aman Ibro	Female		Ale	-
11	Zeynab Abda	Male		Ale	-
12	Abdulahi Adishu	Female		Ale	-
13	Bediriya Sultan	Male		Shenbel	-
14	Ayub Abdo	Male		Shenbel	-
15	Zaru kedir	Male		Ale	-
16	Kemeru H/Abdela	Male		Sham	-
17	Arabe H/Hasen	Female		Ale	-
18	Kadija H/Hasan	Female		Ale	-
19	Seid Bakara	Male		G/Sham	-

C. Kebele Level Community Participants-West Hararghe zone-Ciroo Woreda-Tayifea Kebele

S.no	Name	Gender	Social status	Village	Phone. No
1	Abraham Hassen	Male	Poor adult	D/Hore	0964784319
2	Shawa Tatek	Male	Elderly	Momeret	0961708728
3	Dino Mohamed	Male	Community Leader	D/Hore	0966366369
4	Chala Tesfaye	Male	Elderly	Totehlejir	-
5	Jemal Hussen	Male	Unemployed	Momeret	-
6	Abdela Hussen	Male	Religious Leader	Momeret	0989790796
7	Luerdi Aliyi	Female	Community Leader	Totehlejir	0949460549
8	Hamdiya Usman	Female	-	Momeret	
9	Halima Ahmed	Female	Unemployed	Momeret	
10	Zara Musa	Female	-	D/Hore	-
11	Kadiyo Mohamed	Female	-	D/Hore	-
12	Hawa Ibro	Female	-	D/Hore	-
13	Amina Musa	Female	-	Momeret	-
14	Iftu Yusuf	Female	-	Momeret	-
15	Aliyi Ibro	Female	-	Momeret	0984894333
16	Shambel W/alemaw	Male	-	Momeret	-

10.8. List of Participants-East Hararghe Zone

A. List of Stakeholders for OFLP-ERPA Stakeholder Consultation at Zone and Woreda levels

Name	Administrative	Gender	Position	Phone No.	Email Address
Woreda Level Stakeholders					
Abdulaziz	East Hararghe Zone	Male	Zone EPA-Unit Head	0902589553	
Ahmed	East Hararghe Zone	Male	Zone EPA-Unit Head		
Yared Abera	East Hararghe Zone	Male	Zone Agriculture-CRGE Expert	0938533918	
Mohamed	Dadar Woreda	Male	Woreda EPA-Expert		
Kedir Dera	Dadar Woreda	Male	Woreda Agriculture- NR Unit Leader		

B. Kebele Level Community Participants-West Hararghe zone-Dadar Woreda-Babiyo Nega Kebele

S.no	Name	Gender	Social status	Village	Phone. No
1	Yusuf Ali	Male	Elderly	Abdi	0932426653
2	Shawa Tatek	Male	Unemployed	Musa	0939080353
3	Dino Mohamed	Male	Religious Leader	Jarra	-
4	Chala Tesfaye	Male	Elderly	Gasle	0972204599
5	Jemal Hussen	Male	Poor Adult	Gasle	-
6	Abdela Hussen	Female	Poor Adult	Gasle	-
7	Luerdi Aliyi	Female	Poor Adult	Gasle	-
8	Hamdiya Usman	Female	Poor Adult	Ahmed	0948584814
9	Halima Ahmed	Female	Poor Adult	Gasle	-
10	Zara Musa	Female	Women	Musa	-
11	Kadiyo Mohamed	Male	Unemployed	Ahmed	-
12	Hawa Ibro	Male	Religious Leader	Ahmed	0900191290
13	Amina Musa	Female	Women	Gasle	-
14	Iftu Yusuf	Male	Community Leader	Ahmed	0994017628
15	Aliyi Ibro	Male	Community Leader	Ahmed	0939080194

C. Kebele Level Community Participants-West Hararghe zone-Dadar Woreda-Burqaa Gabaak Kebele

S.no	Name	Gender	Social status	Village	Phone. No
1	Nuredin Yegrem	Male	Community Leader	Burka Geba	0974719589
2	Abdi Ahmed	Male	Community Leader	Burka Geba	0941302903
3	Ahimedin Ahmed	Male	Religious Leader	Burka Geba	0961078870
4	Ahmedin Usmaeil	Male	Religious Leader	Burka Geba	0920691610
5	Sufa hassen	Male	Elderly	Burka Geba	0965259814
6	Abdi Sufyan	Male	Elderly	Burka Geba	0969041251
7	Zeynabea Mohammed	Female	Elderly	Burka Geba	0920452211
8	Alifya Abdella	Female	Elderly	Burka Geba	-
9	Fiema Abdurahman	Female	Poor Adult	Burka Geba	-
10	Destu Abdi	Female	Poor Adult	Burka Geba	-
11	Bedriya Mohammed	Female	Poor Adult	Burka Geba	-
12	Furdosa muna	Female	Poor Adult	Burka Geba	-
13	Sitti Abraham	Female	Poor Adult	Burka Geba	-
14	Jafer Ahmed	Male	Poor Adult	Burka Geba	-
15	Mohammed Bekri	Male	Poor Adult	Burka Geba	0987331929
16	Zeyni Yusuf	Female	Poor Adult	Burka Geba	-
17	Nuredin Abdrahim	Male	Unemployed	Burka Geba	-
18	Fatuma Mume	Female	Unemployed	Burka Geba	0973077745
19	Mohammed Abdela	Male	Unemployed	Burka Geba	0901771841
20	Remodan Ahmed	Male	Unemployed	Burka Geba	0940900511

10.9. List of Participants-Arsi Zone

A. List of Stakeholders for OFLP-ERPA Stakeholder Consultation at Zone and Woreda levels

Name	Administrative	Gender	Position	Phone No.	Email Address
Woreda Level Stakeholders					
Adem Seid	Arsi Zone	Male	Zone EPA-Unit Head	0911704925	
Berhanu Fufa	Arsi Zone	Male	Zone EPA-Forest Unit Head	0903041802	
Mustefa Hussien	Arsi Zone	Male	Zone Agriculture- Deputy Head	0912737586	
Aman Tunu	Arsi Zone	Male	Zone Land Administration and Use-Deputy Head	0912222559	
Abdella Kataboo	Shirkaa Woreda	Male	Woreda EPA- Head	0937078482	
Damisse Shiferaw	Shirkaa Woreda	Male	Woreda EPA- Expert	0972867243	
Siraj Jeru	Shirkaa Woreda	Male	Woreda Agriculture- Head	0913194226	
Fetash mamo	Shirkaa Woreda	Male	Woreda Agriculture- Expert	0921081742	
Girma Gamachu	Shirkaa Woreda	Male	Woreda Land Administration and Use-Head	0921080326	
Abdi Ibrahim	Shirkaa Woreda	Male	Woreda Land Administration and Use-Expert	0911664073	

B. Kebele Level Community Participants-Arsi zone-Shirkaa Woreda-Yeheala Mekana Kebele

S.no	Name	Gender	Social status	Village	Phone. No
1	She/Nasir Kaso	Male	Religious Leader	Hela Mekana	0913322940
2	Mer/Tekeste Syum	Male	Religious Leader	Hela Mekana	0927246257
3	Hassen Gena	Male	Religious Leader	Hela Mekana	-
4	Temam Kemal	Male	Elderly	Hela Mekana	0972911746
5	Amin Abubeker	Male	Youth	Hela Mekana	0904027426
6	She/Mohammed Amin	Male	Community Leader	Hela Mekana	0994811884
7	Sulxi Jema	Male	Community Leader	Hela Mekana	0921713264
8	Umar Tese	Male	Community Leader	Hela Mekana	0964922686
9	Abdurahman Sh/Aman	Male	Youth	Hela Mekana	0925504539
10	Mohammed Kesso	Male	Unemployed Youth	Hela Mekana	0927296795
11	Haji Ahimad Jawar	Male	Elderly	Hela Mekana	0922316983
12	Mestwat Teshome	Female	Youth	Hela Mekana	-
13	Fatuima kediro	Female	Youth	Hela Mekana	0925389359
14	Sinke Asnake	Male	Poor Adult	Hela Mekana	0927220348
15	Zemzem Kemal	Male	Poor Adult	Hela Mekana	-
16	Kedir Ibrahim	Male	Elderly	Hela Mekana	0937839715

C. Kebele Level Community Participants-Arsi zone-Shirkaa Woreda-Soolee Farqasaa Kebele

S.no	Name	Gender	Social status	Village	Phone. No
1	Aman Jemal	Male	Community Leader	Sole Ferkeso	0970356050
2	Jibril Abdela	Male	Community Leader	Sole Ferkeso	0921102298
3	Sh/Abdrhman Sh/Bamud	Male	Religious Leader	Sole Ferkeso	0937078154
4	Bamud Haji	Male	Religious Leader	Sole Ferkeso	-
5	Sano mohammed	Male	Elderly	Sole Ferkeso	-
6	Abudurkadir Aliyi	Male	Elderly	Sole Ferkeso	0964437259
7	Nura Husen	Male	Poor Adult	Sole Ferkeso	0938163661
8	Amina Musa	Female	Poor Adult	Sole Ferkeso	-
9	Sefaden Kedir	Male	Unemployed Youth	Sole Ferkeso	0994810964
10	Jeyilan Abdulahi	Male	Unemployed Youth	Sole Ferkeso	0992560398
11	Ibrahim Jemal	Male	Unemployed Youth	Sole Ferkeso	0975913778
12	Nurya Sh/Mohammed	Female	Youth	Sole Ferkeso	0972979155
13	Etete Masresha	Female	Poor Adult	Sole Ferkeso	0997698920
14	Betule Ibrahim	Female	Elderly	Sole Ferkeso	-
15	Zenebe Jemal	Female	Youth	Sole Ferkeso	0936577795
16	Kemal Jebril	Male	Youth	Sole Ferkeso	0924058882

Annex 11. Environmental and Social Due Diligence Guideline for Retroactive Carbon Accounting for OFLP-ERP (P151294)

1. Background

Ethiopia Oromia Forested Landscape Program (OFLP) Emission Reduction Program (ERP) will pay for ER results generated across Oromia. The Program is expected to provide financial incentives to support sustainable forest management, conservation, restoration and investment, which, in turn, enhance environmental, social and economic benefits in Oromia National Regional State (ORS). By making payments to the Program Entity for measured, reported, and verified Emissions Reductions (ER) from reduced deforestation, forest degradation, and the enhancement of forest carbon stocks (REDD+) achieved throughout the jurisdiction of Oromia, the program will support to distribute ER payments in accordance with an agreed benefit-sharing plan (BSP) and used primarily to ensure the sustainability of land use interventions, as well as to scale up action in other geographical areas within Oromia. This climate financing will be channeled through an Emission Reduction Payment Agreement (ERPA) to be signed between the Federal Democratic Republic of Ethiopia (FDRE) and the World Bank. The ERPA payments are then further distributed based on the agreed BSP. Monitoring forest cover and forest cover changes will follow a methodology that is established at the national level and is in line with international best practices. The data generated by the OFLP will feed into the National Forest Monitoring System (NFMS). The outputs of the NFMS will in turn feed into the broader UNFCCC reporting. The project is envisioned to have two main components, which are (i) Purchase of Emission Reduction and distribution following the Benefit Sharing Plan and (ii) Comprehensive Measurement, reporting and verification (MRV) system and program management including Safeguards Management system. The OFLP-ERP's environmental and social risk rating is substantial which could be managed through the application of hierarchical mitigation measures, monitoring, capacity-building training, and allocation of adequate resources.

Currently, the client has indicated its intention to request for a retroactive carbon accounting for Ethiopian- Emission Reductions Program (P151294). The retroactive emission reductions to be accounted span between January 1, 2022, and ERPA signature. In this regard, the client will carry out E&S due diligence for retroactive carbon accounting for the Project for a period which spans between January 2022 and ERPA signing date based on the underlying investments (including OFLP Grant Financing, REDD+ Investment Project, Legacy REDD+ Projects, Green Legacy Initiative) implemented using the WB old safeguards policies. Thus, this E&S due diligence guideline is prepared and annexed to the ESMF and reflected in the ESCP, among others.

2. Objectives

The objective of the guideline is to set out requirements of E&S *due diligence/audit for retroactive active carbon financing for OFLP-ERP based on the underlying programs/projects* (including OFLP Grant Financing, REDD+ Investment Project, Legacy REDD+ Projects, Green Legacy Initiative) implemented using the WB old safeguards policies in case the government makes the request to generate ERs prior to the ERPA signing date. Based on the due diligence report, an E&S due diligence action plan will be prepared with an aim to address identified gaps, impacts and non-compliances with clear corrective actions, budget, responsible body and timeline.

3. Scope and tasks of the E&S Due Diligence

Overall, the E&S due diligence should assess the impacts (with a primary focus labor, security, and gender based violence) of the underlying program and project activities which are needed to generate emission reductions as per the OFLP-ERP's E&S instruments specifically the Labor

Management Procedures (LMP), Security Management Plan (SMP), Environmental and Social Management Framework (ESMF) (including GBV action plan) and Environmental & Social Commitment Plan (ESCP) prepared as per the WB ESF. Thus, the E&S due diligence involves the systematic identification, quantification and assessment/evaluation of E&S impacts associated with the underlying programs and projects for the period for which retroactive ERCs are requested. This process also helps identify key E&S issues and the corrective measures that are necessary to ensure E&S compliance with the ERP E&S instruments (ESMF, ESCP, LMP & SMP). Thus, the typical tasks to be followed for conducting E&S Due Diligence (ESDD) are stated below:

- **Conduct E&S impacts screening of underlying programs and projects** as per the WB ESF requirements with a focus on labor (ESS2), security (ESS4), and GBV (ESSs 2 and 4). Except ESS9 (financial intermediaries), the Environmental and Social Standards (ESSs 1-8 and 10) of the WB ESF are applicable to the OFLP-ERP. The E&S due diligence is required to comply with the WB ESF Environmental and Social Standards (ESSs). For details on the WB ESF and ESSs, refer to the following link: <http://www.worldbank.org/en/projects-operations/environmental-and-social-framework>;
- **Carry out E&S Impacts categorization** based on review of underlying programs and projects and environmental and social issues that are typically associated with labor, security and GBV;
- **Assess/review E&S compliance status of the underlying programs/projects** with the (LMP, SMP, ESMF, & ESCP) requirements focusing on labor, GBV, & SMP for the period of retroactive crediting. Based on the compliance assessment, identify (i) implementation gaps, and (ii) environmental and social impacts (positive and negative); and then propose appropriate corrective measures or remedies based on the identified gaps and impacts;
- **E&S Corrective Action plan:** Prepare a due diligence compliance action plan and monitoring plan or the proposed remedies for the past non-compliances. . If there are non-compliances identified during the due diligence, the Bank has the option not to generate the ERs; and based on the E&S audit conducted for the OFLP grant financing and the current preliminary assessment, there are no significant E&S non-compliance issues. For high, substantial and medium risk/impact rated activities, a time bound action plan with relevant requirements will have to be included in the E&S due diligence documentation;
- **Submit the report.** The client will have to report the audit findings to the Bank for review and clearance. The report will be attached to the monitoring report submitted for the issuance of ERCs at the end of the monitoring period. If significant non-compliances are identified, the Bank has the option not to generate the ERs for the period of retroactive crediting; and
- **Monitoring & Reporting:** Based on the agreed E&S due diligence action plan, monitor and report the implementation of the proposed corrective actions (if any) based on the agreed plan to address potential environmental and social issues associated with the underlying programs/projects.

4. Methodology of E&S Due Diligence

- **Desk Review of documents:** A review of relevant ER program environmental and social risk and impacts management instruments ((LMP, SMP, ESMF, & ESCP);

- **Site visits:** In consultation with the implementors of the underlying programs/projects, conduct field visits to obtain first-hand information on environmental and social impacts management status of representative programs/projects as per the LMP, SMP, ESMF, & ESCP) requirements with a focus on labor, GBV, & SMP;
- **Analysis/assessment** against applicable the WB ESF environmental and social standards
- **Conduct consultations:** Consult with relevant government institutions, NGOs, development partners, local communities (including forest dependent communities, and other vulnerable groups as well as different type cooperatives such as PFM) and other relevant stakeholders on the findings of the E&S due diligence for retroactive carbon financing

ANNEX 12: CHANCE FIND PROCEDURES

Cultural, historical, natural or archaeological heritage may be damaged or lost during excavations and ensuing construction work activities. In addition, chance finds of heritages during excavations would be at risk of loss, unless due measures are taken to protect and save this heritage. Chance finds procedures will be an integral part of site-specific E&S instruments (ESMPs/ESIAs) for OFLP-ERP subprojects/activities and civil works contracts to be engaged in construction/maintenance of schools/clinics/roads. Thus, chance find procedures will be applied if a contractor discovers archeological sites, historical sites, remains and objects, including graveyards and/or individual graves during excavation/construction. To this effect, the contractor with those concerned shall:

- Step 1. Stop the construction activities in the area of the chance find;
- Step 2. Delineate the discovered site or area;
- Step 3. Secure the site to prevent any damage or loss of removable objects; In cases of removable antiquities or sensitive remains, a night guard shall be arranged until the responsible local authorities for Culture and Tourism or the Federal Authority for Research and Conservation of Cultural Heritages take over;
- Step 4. Notify the Subproject beneficiary/implementing institution E&S Focal Persons and PIU E&S staff, Project Supervisory Engineer who in turn will notify the responsible local authorities for Culture and Tourism or the Federal Authority for Research and Conservation of Cultural Heritages (within 24 hours or less);
- Step 5. The responsible local authorities for Culture and Tourism or the Federal Authority for Research and Conservation of Cultural Heritages would then be in charge of protecting and preserving the site before deciding on subsequent appropriate procedures. This would require a preliminary evaluation of the findings to be performed by the archaeologists of the local/regional or Federal Authorities. The significance and importance of the findings should be assessed according to the various criteria relevant to Proclamation No. 209/2000 on research and conservation of cultural heritage;
- Step 6. Decisions on how to handle the finding shall be taken by local authorities for Culture and Tourism or the Federal Authority for Research and Conservation of Cultural Heritages This could include changes in the layout (such as when finding irremovable remains of cultural or archeological importance) conservation, preservation, restoration and salvage;
- Step 7. Implementation for the authority decision concerning the management of the finding shall be communicated in writing by the relevant authorities; and
- Step 8. Construction work may resume only after permission is given by the relevant local/regional or Federal Authorities concerning safeguard of the heritage

Note: According to Article 41 of Proclamation No. 209/2000 on research and conservation of cultural heritage the measures that should be taken during chance finding of heritages (i.e., Fortuitous Discovery of Cultural Heritage) are the following:

- i. Any person who discovers any Cultural Heritage in the course of an excavation connected to mining explorations, building works, road construction or other similar activities or in the course of any other fortuitous event, shall forthwith report same to the Authority, and shall protect and keep same intact, until the Authority takes delivery thereof.
- ii. 'The Authority' shall, upon receipt of a report submitted pursuant to Sub-Article (I) hereof, take all appropriate measures to examine, take delivery of, and register the Cultural Heritage so discovered.
- iii. Where the Authority fails to take appropriate measures within six month in accordance with Sub-Article (2) of this Article, the 'person who has discovered the Cultural Heritage may be released from his responsibility by submitting, a written, notification with a full description of the situation to the Regional government official.
- iv. The Authority shall ensure that the appropriate reward is granted to the person who has handed over a Cultural Heritage discovered fortuitously in accordance with sub-Articles (I) and (2) of this Article. And such person shall be entitled to reimbursement of expenses, if any, incurred in the course of discharging his duties under this Article.