The Federal Democratic Republic of Ethiopia
Ministry of Environment, Forest and Climate Change

Oromia Forested Landscape Program
Environmental and Social Management Framework (ESMF)

(Updated)

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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
BoRL	Bureau of Rural Development
BoWME	Bureau of Water, Minerals 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
EPA	Environmental Protection Authority
ER	Emission Reduction
ERPA	Emissions Reduction Purchase Agreement
ESIA	Environmental and Social Impact Assessment
ESMF	Environmental and Social Management Framework
ESMP	Environmental and Social Management Plan
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
M & E	Monitoring and Evaluation
MEFCC	Ministry of Environmental, Forestry and Climate Change
MoANR	Ministry of Agriculture and Natural Resources
MoFEC	Ministry of Finance and Economic Cooperation
MoI	Ministry of Industry
MoM	Ministry of Mines
MoT	Ministry of Transport
MoU	Memorandum of Understanding
MoWIE	Ministry of Water, Irrigation and Electricity
MRV	Monitoring, Reporting and Verification
NGOs	Non-Governmental Organizations
NTFPs	Non Timber Forest Products
OEFCCA	Oromia Environment, Forest and Climate Change 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
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
WoEFCC	Woreda Office of Environment, Forest and Climate Change
WoWME	Woreda Office of Water, Mining and Energy
ZoEFCC	Zone office of Environment, Forest, and Climate Change

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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 brings the country at middle income status with net zero emission by 2025. In line with this, MEFCC is coordinating, among other development programs, the implementation of the CRGE strategy, and overall environmental and forest management (including the REDD+ readiness program) 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 Safeguards Framework (ESMF) for the Oromia Forested Landscape Program (OFLP) has been prepared based on the national REDD+ safeguards instruments and other relevant national and Oromia regional environmental and social policies and legal frameworks.

OFLP has three components: Component 1- Enabling Investments; Component 2-Enabling Environment; and Component 3- Emissions Reductions (ER) Payments. The US$ 18 million mobilization grant would finance components one and two over a 5-year period. These funds will be channeled to GoE as a recipient executed (RE) grant. The first component will finance investment in participatory forest management and reforestation in deforestation hotspots in sites to be selected, as well as extension services, and land-use planning region-wide at state and local levels. The second component will finance complementary activities to improve the effectiveness and impact of institutions, incentives (i.e., policies, marketing, BSM), information (i.e., strategic communication, MRV) and safeguards management at state and local levels. This component will enhance the enabling environment to help scale up and leverage action on-the-ground to reduce deforestation and forest degradation. Components one and three may pose adverse environmental and social risks during implementation. The third component will consist of up to US$ 50 million of ER Payments for verified emissions reductions as they are delivered over a 10-year period (the components overlap in time). Therefore, this ESMF will be used mainly to address environmental and social impacts arising from the implementation of the Program activities to be financed under Components one and three as per the Government of Ethiopia's and the World Bank's environmental and social safeguards requirements.

The purpose of the environmental and social management of the framework (ESMF) is to provide guiding principles for assessment and management of environmental and social aspects of the program activities to be financed under the OFLP. It will help to systematically identify, predict, and evaluate beneficial and adverse environmental and social impacts of the program activities, designing enhancement measures for beneficial impacts, and implement mitigating measures for adverse impacts. Therefore, the objectives of the ESMF for the OFLP are to (a) to establish clear procedures and methodologies for the environmental and social assessment (the social assessment (SA) dealt in depth in a separate SA document), review, approval and implementation of investments to be financed under the program; (b) specify appropriate roles and responsibilities, and outline the necessary reporting procedures, for managing and monitoring environmental and social concerns related to program activities; (c) provide guidelines for preparing the environmental and social mitigation plans to address the adverse impacts; (d) to determine the training and capacity building needs; and (e) establish the budget required to implement the ESMF requirement

[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).

The ESMF has been prepared by collecting primary and secondary data as well as compiling information through extensive review of program documents, environmental policies, laws, regulations, proclamations and guidelines at the federal and regional levels. It has also used the main findings of consultative discussions held with line ministries, Oromia State stakeholders found at different administrative levels, the National REDD+ Secretariat, Oromia REDD+ Coordination Unit, development partners, NGOs, and Academia, among others. Moreover, woreda and kebele level consultations, including forest dependent communities, were held in 10 selected woredas (Harena Buluk, Dinsho, Dodola, Gera, Yayu, Didu, Anfillo, Odo Shakiso, Jibat, and Anchar) with 2 kebeles from each woreda, which makes a total of 20 kebeles in the Oromia region. The criteria for selection of the woredas among other things include: hot spots 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 program 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 Environment, Forest and Climate Change (WoEFCC). Woreda LUPT, including experts from the WoEFCC, 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 WoEFCC 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, Forest and Climate Change Authority (OEFCC) . The OEFCCA will make decisions if an Environmental and Social Assessment (ESIA) is required for those program activities. Based on ESIA outcomes, the OEFCCA will recommend modifying the design, preparing environmental and social management plan to mitigate adverse impacts, or reject/disapprove the project.

OFLP 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 safeguard instruments. The risk mitigation measures will rely on carefully designed safeguards instruments (such as ESMF, RPF and PF) and capacity building measures to strengthen implementation capacity of the implementing agency, and reinforced by a dedicated safeguards management sub-component in the mobilization grant. 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 1.54 million USD for the coming five years.

Chapter 1: Introduction

1.1 Overview of the Oromia Forested Landscape Program (OFLP)

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), 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), revision of Forest Policy and Proclamation, and developing a national REDD+ Strategy and safeguards instruments[2], 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 brings the country at middle income status with net zero emission by 2025. The CRGE Strategy targets 7 million hectares (ha) for forest expansion.GTP-2 Goal 15 aims 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, MEFCC is coordinating, among other development programs, the implementation of the CRGE strategy, and overall environmental and forest management, including the REDD+ readiness program, 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 (OFLP) in the country, as it has the largest area of forest (6.5 million hectares) in the country. The OFLP will be Oromia Regional State's strategic programmatic umbrella and coordination platform for multi-sector, multi-partner intervention on all forested landscapes in Oromia. The 10-year program will contribute to a transformation in how forested landscapes are managed in Oromia to deliver multiple benefits such as forest conservation, emission reduction, livelihood improvement, poverty reduction and resilient livelihoods, climate change mitigation, biodiversity conservation, and water provisioning. The OFLP will foster equitable and sustainable low carbon development through a series of: (i) on-the-ground activities that address deforestation, reduce forest degradation, reduce land-use based emissions and enhance forest carbon stocks; and (ii) state-wide and local enhancements to institutions, incentives, information, and safeguards management to upscale investment (enabling environment), including coordinating and leveraging multiple REDD-relevant interventions[3] across the regional state.

To address environmental and social issues of OFLP, this ESMF has been prepared based on the national REDD+ safeguards instruments and other relevant national and Oromia regional environmental and social policies and legal frameworks. In addition, social safeguards instruments (such as RPF and PF) have been prepared to address key social issues of the OFLP such as land acquisition and valuation, entitlements and compensation, dispute resolution and grievance redress procedures in cases of involuntary or voluntary resettlements, and access restrictions to natural resources in the country.

[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).

[3] REDD-relevant initiatives are projects, programs and activities in general promoted by GoE, donors, NGOs or private sector that directly or indirectly contribute to reducing emissions from deforestation or increasing forest carbon stocks in the Oromia Regional State. Examples of these initiatives, include, the Ministry of Agriculture's SLMP, JICA and OFWE's efforts to promote participatory forest management (PFM) and new forest-based business models (including forest coffee) and OFWE's planted forests.

1.2 Purpose and Objectives of the ESMF

The purpose of the environmental and social management of the framework (ESMF) is to provide guiding principles for assessment and management of environmental and social aspects of the program activities to be financed under the OFLP. It will help to systematically identify, predict, and evaluate beneficial and adverse environmental and social impacts of the program activities, designing enhancement measures for beneficial impacts, and implement mitigating measures for adverse impacts. The specific locations and details of the Program activities are not identified at this stage and their impacts cannot be determined until planning is started by grass root level implementing stakeholders, including forest dependent communities.

The 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 program;
- 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 Preparation

1.3.1 Review of Program Related Documents

The OFLP drivers of deforestation and forest degradation study, legal institutional framework, draft national REDD+ strategy, draft national safeguard instruments (SESA, ESMF, RPF and PF) and OFLP PAD were reviewed to gather information on and understand the Program components and sub-components, the potential environmental and social impacts and proposed mitigation measures, and the institutional arrangement for the implementation of the Program.

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 in the country was made to take into account of these policies and laws during preparation of Program activities and environmental and social management plans to address negative impacts and enhance beneficial impacts. See Chapter four for detail information.

1.3.3 Consultations with Selected Key Stakeholders

Consultation with Program Preparation Team: Meetings were held with the Program preparation team members at the ORCU to discuss detailed activities of the Program components and sub-components, the institutional arrangement for the implementation of the OFLP, the ESMF, the monitoring and review of the Program activities, capacity building needs and technical backstopping to OFLP lead facilitators, OFLP safeguards coordinators and OFLP Woreda coordinators during the implementation of the ESMF.

Consultation with the National REDD+ Secretariat, MEFCC, and (the former) Oromia BoRLEP: Consultations were held with the National REDD+ coordinator, REDD+ Pilot Project Coordinator, Environmental Safeguards Specialist, Social Safeguards Specialist, State Minister of MEFCC Forest Sector, and Land Use Expert of the former Oromia Bureau of Rural Land and Environmental Protection on applicable federal and regional environmental policies and legal frameworks. In addition, their views on the proposed Program and its anticipated impacts, mitigation measures, the environmental management process at the regional level and the roles of the different Program partners at the Woreda and Kebele levels were discussed.

Consultations held at the federal level: At the federal level, the consultation process was held with stakeholders that were drawn from a wide range of stakeholders such as representatives of government organization, major ministries (Agriculture, Energy, and Investment), both local and international non-governmental organizations, civic societies, activist groups, religious groups, gender groups, donor groups, academia, and research institutes. The program components, major environmental and social impacts, institutional arrangement for the Program preparation and implementation, major risks and possible mitigation measures were discussed. One of the major concerns that surfaced out from representatives of the major ministries is the issue of conflicts of interest between policies and strategies when it comes to implementation of strategic options on the ground. They also recommended that policy revisions and harmonizing of strategies of the agricultural, energy, investment and forest and environment sectors should be done before, during and after the implementation of REDD+ strategic options, among others. See Annex 7 for detail information

Consultations held at the regional level: Much of the issues consulted at federal level received similar attention and reflections on the Oromia regional consultation. More emphasis was given on building capacities of institutions and stakeholder that works closely with the OFLP as well as the National REDD+ program and projects that are or will be implementing the strategic options. With this regard building capacities and strengthening of regional REDD+ coordination units at regional level should receive attentions as emphasized by participants.

Consultations held at Woreda and Community Levels: Consultations were held in 10 selected woredas with 2 kebeles from each woreda, which makes a total of 20 kebeles in the Oromia region. The criteria for selection of the woredas among other things include: hot spots of deforestation and forest degradation, REDD+ implementation potential, forest types, social and cultural diversity of the forest communities with respect to their forest management, and utilization practices. The consultation process at woreda and kebele/community level has focused on extracting information on the impact of implementation of the presupposed strategic options, their mitigation measures and soliciting of information on how to safeguard the society and the natural environment from possible adverse effects of the implementation measures. Community level consultation has been held with attendants drawn from representatives of existing ethnic groups, clan groups, social statuses, religious groups, gender groups, age groups, underserved communities, and educational groups. For consultation that has been carried out at woreda level, representatives of the agricultural, the energy, investment and other sectors found relevant in the course of communication. All the consultations at community level have been carried out after obtaining the consent of all participants (See Annex 7 for further information).

1.4 Consultation Approaches

These consultation meetings were facilitated mainly by a team of consultants with ORCU environmental and social safeguard officers. The various consultations in sample Woredas of the Oromia Regional State were conducted from June 1 to July 5 2015. The consultations covered 10 Woredas, 20 kebeles reaching 254 men and 93 Women. Consultations were conducted with stakeholders at different levels, communities in focus group discussions and individual interviews to garner broad community support.

1.5 Summary of Issues and Dates of Community Consultation post October 2015 Appraisal of OFLP

- ***OFLP Consultations (May 2016)***: information on the Program including safeguards was shared with government officials, NGOs, and PFM cooperative representatives (900 people consulted).
- ***OFLP Community Consultations (1-31 August 2016)***: Oromia REDD+ Coordination Unit (ORCU) conducted consultations with forest dependent communities on the overall features of the Program and awareness creation for a total 146,403 people in 49 woredas, 889 kebeles and four zones.
- ***OFLP Benefit Sharing Mechanism Consultation including safeguards instruments (October 2-21 2016)***: the consultation, participation and negotiation with different stakeholders (4627 people), including forest dependent communities, cooperatives and other community based organizations were held.
- ***Consultations on Environmental and Social Review/Due Diligence*** of two ongoing REDD+ Projects [(i) Bale Eco Region REDD Project and (ii) REDD+ Joint Forest Management in the five districts of Ilu Ababora Zone) were held in Oromia from (December 17 to 25, 2016 and from January 22 to- February 3, 2017, 612 people were consulted in 7 woredas and 14 kebeles.) The objective of the study has been to identify gaps between the WBG safeguard policy requirements and the projects and propose mitigation action plans as the projects are associated.
- ***The summary of the minutes of consultations is disclosed in the National REDD+ blog-*** *https://reddplusethiopia.wordpress.com/consultation-and-participation/*

1.6 Organization of the Report

The main body of this document is structured into eight chapters. Chapter One addresses overview of OFLP, the objectives of the ESMF and the methods used in to prepare this ESMF. Chapter Two describes the components and sub-components of OFLP, the institutional arrangements for the implementation of OFLP, 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 safeguards policies triggered by OFLP. 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 looks at the budget for capacity building and implementation of the ESMF as well as for mitigation measures.

Chapter 2: Program Description

The OFLP will be Oromia's strategic programmatic umbrella and coordination platform for multi-sector, multi-partner intervention on all forested landscapes in Oromia. The long-term program will contribute to a transformation in how forested landscapes are managed in Oromia to deliver multiple benefits such as poverty reduction and resilient livelihoods, climate change mitigation, biodiversity conservation, and water provisioning. The OFLP will foster equitable and sustainable low carbon development through a series of: (i) on-the-ground activities that address deforestation, reduce land-use based emissions, and enhance forest carbon stocks; and (ii) state-wide and local enhancements to institutions, incentives, information, and safeguards management to upscale investment (enabling environment), including coordinating and leveraging multiple REDD-relevant interventions[4] across the regional state.

The OFLP will help enable GoE to strategically mobilize, coordinate and scale-up funding programmatically from diverse sources. The success of OFLP and the achievement of the GoE's broader forest, land-use, and climate ambitions depend on OFLP's ability to leverage financial resources from existing and future REDD-relevant initiatives such as PSNP, SLMP, AGP, private sector activities, the CRGE Facility, bilateral support, farmers' own investment, and government budget. REDD-relevant initiatives also include REDD+ projects that are currently seeking carbon payments, which would be nested, into OFLP, such as the Bale Mountains REDD+ project.

Two types of REDD-relevant initiatives are distinguished: (i) existing REDD+ projects that seek to account for and sell emissions reductions (ERs), such as the Bale Mountains REDD+ project and Nono Sele Participatory Forest Management REDD+ project; (ii) initiatives that contribute to REDD+ goals but are not seeking to account for and sell ERs such as AGP which is currently supporting agricultural intensification; and/or the Land Investment for Transformation (LIFT) program which seeks to improve land certification. The former group would be 'nested' into OFLP (see paragraph below), while the Oromia REDD+ Coordination Unit (ORCU), within the Oromia Environment, Forest, and Climate Change Authority (OEFCCA), and the Oromia vice presidency, will seek to further coordinate the second type of interventions towards OFLP goals.[5]

Nesting existing REDD+ projects into OFLP. The OFLP will allow REDD+ Projects to directly account for ERs at the project level to attract new sources of financing and mobilize more technical partners in support of the program. However, these projects will not be able to sell ERs to third parties before the ERs contracted by the BioCF is fully delivered. These projects will be nested within the OFLP, which means that GoE will put in place rules for coordinating all on-going and planned REDD+ projects in Oromia, including consistency in the approach to set the baseline (reference emissions level [REL]), the same benefit sharing rules, consistency in measuring and reporting on ERs, systems to avoid double counting of ERs,, consistency in measuring and reporting on ERs, systems to avoid double counting of ERs, and consistency in how social and environmental sustainability approaches are applied following the World Bank's safeguard policies and procedures. These rules will be spelled out in the Program Implementation Manual (PIM) and its subsequent modules and updates .

[4]REDD-relevant initiatives are projects, programs and activities in general promoted by GoE, donors, NGOs or private sector that directly or indirectly contribute to reducing emissions from deforestation or increasing forest carbon stocks in the Oromia Regional State. Examples of these initiatives, include, the Ministry of Agriculture's SLMP, JICA and OFWE's efforts to promote participatory forest management (PFM) and new forest-based business models (including forest coffee) and OFWE's planted forests.

[5]The mobilization grant will complement and be coordinated with the significant investments that are already being made in the OFLP area including WBG-financed operations such as the Sustainable Land Management Program (SLMP), the Agricultural Growth Program (AGP), and Productive Safety Net Program (PSNP); and projects not financed by the WBG such as the Bale Eco-regional REDD project, NonoSele PFM REDD+ Project, and private sector investments involving International Finance Corporation (IFC), TechnoServe, Nespresso, etc.

IFC and private sector development. The FDRE and other stakeholders are looking to support the development of a climate-neutral coffee value chain as part of the OFLP. The BioCF is partnering with IFC and Nespresso to support coffee farmers in Oromia to adopt improved management and agronomic techniques for cultivation of both garden and forest coffee, which will contribute to reduced carbon emissions. The IFC project is planned to run from late 2015 to 2017 and reach 40,000 individual coffee farmers and 200 wet mills mainly in the Bule Hora and Kercha Woredas. It also aims to enable traceability for Analytic and Advisory Services (AAA)6 coffee supply chains. IFC is considering a US$18 million risk-sharing facility and loan to a major international coffee off-taker to fund capital expenditures and working capital for coffee cooperatives. The investment will enable IFC, the coffee off-taker, and eligible local financial institutions to create a mechanism to fund coffee farmers at attractive rates, as well as provide technical assistance (TA) to help increase coffee yields. This coffee off-taker aims to raise productivity from 300 kg per ha to 450 kg per ha by the end of the program, and expects to purchase 7,000 tons by 2020, up from over 4,000 tons in 2012.

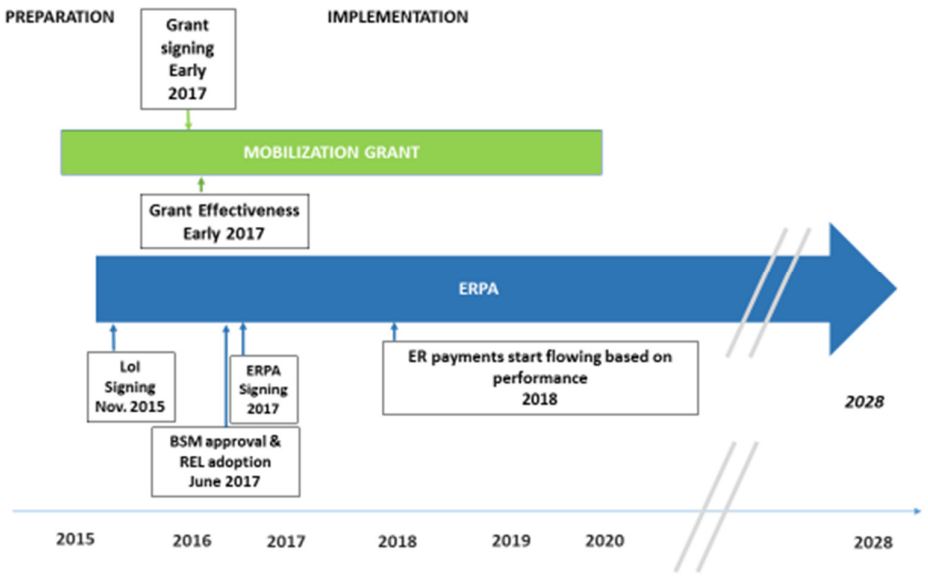
The OFLP is designed to leverage grant resources to attract new financing, expanding the total envelope toward improved land-use, forest retention and forest gains. There is common understanding between GoE and development partners that a robust enabling environment is crucial for successfully implementing a REDD+ jurisdictional approach for ER payments and for leveraging and scaling-up action and investment on-the-ground. OFLP will therefore serve as a "scale-up engine" as per Figure 1 below.

Figure 1: OFLP as a "Scale-up Engine"

OFLP will establish the programmatic approach through two financial instruments that would be supported by two legal agreements: (1) a US$ 18 million Grant Agreement for 5 years; and (2) a US$ 50 million Emissions Reduction Purchase Agreement (ERPA) of up to 10 years. The two instruments would be synchronized in one strategic program as summarized in Figure 2 and detailed below.

Figure 2: OFLP Preparation and Implementation Timeline

[6] AAA certification: Environmental and social standards based on the standards of the Sustainable Agriculture Network. These include prevention of deforestation, protection of biodiversity, water management, and farm workers' rights and working conditions.



i. *The five-year mobilization grant will finance the establishment and initial implementation of the state-wide jurisdictional Program.* The grant will finance the GoE to strengthen its state-level and local-level enabling environment and implement selected on-the-ground investment activities. The grant will facilitate the achievement of ERs (and resulting ER payments) while also leveraging greater financial resources from multiple sources (see paragraph 30 and table 2 for further details). The grant will in particular finance: (i)TA among all rural and semi-rural woredas across the state (such as landscape management coordination, land-use planning support, and safeguards management); and (ii) selected forest investment and livelihoods support in deforestation hotspots with high carbon content (sites to be determined within 49 woredas)[7]

ii. *ER payments of US$50 million for verified carbon performance paid in a period of up to 10 years (anticipated to begin in 2017 with the date of ERPA signing**)**).* These payments will be available once the Program achieves, verifies and reports on results in terms of reduced emissions. The ER payments will be distributed according to a Benefit Sharing Mechanism and used primarily to ensure 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 ERPA to be signed between GoE and WBG. The envelope for these payments could grow as the OFLP becomes operational and generates results, and as other ER buyers show interest in the OFLP.

The OFLP geographic boundary is all forests in Oromia. The OFLP will monitor and account for positive and negative changes in forest cover and associated GHG emissions reduction within all 287 rural woredas within the regional state boundaries of Oromia (i.e., the "accounting area of the Program"). According to the FDRE's forest definition, this includes

[7] These 49 woredas were selected according to: (a) presence of high forest areas (given the high carbon stocks in these forests); (b) large size deforested area and high rate of deforestation within these woredas; and (c) contiguity to better reinforce landscape interconnectivity.

approximately 9 million ha in total of forests, spread over all of Oromia's rural woredas[8]. The stakeholders that will benefit from ER payments would be defined in the BSM currently under preparation by the OFLP.

The BSM provides an operational solution for disbursing the performance-based ER payments equitably, effectively and efficiently. It will be designed during OFLP implementation through a robust consultation process including with local communities state-wide. A BSM manual, subject to no-objection from the WBG, would be prepared by the GoE before ERPA signature, and will describe the eligibility criteria, the allocation procedures, and the flow of funds.

Monitoring forest cover and forest cover changes would follow methodologies that are being established at the national level, and in line with international best practices. The data generated by OFLP will feed into the national forest monitoring system. The outputs of the national forest monitoring system will in turn feed into the broader UNFCCC reporting.

2.1. Program Components

OFLP has three components**.** The US$ 18 million mobilization grant will finance components one and two over a 5-year period: (1) Enabling Investments; and (2) Enabling Environment. These funds will be channeled to GoE as a recipient executed (RE) grant. The third component will consist of up to US$ 50 million of ER Payments for verified emissions reductions as they are delivered over a long-term period. The components overlap in time. The components are briefly described below.

2.1.1. Component 1: Enabling Investments

Component 1 will finance investment in participatory forest management (including livelihoods support and selected nature-based community enterprise development) and reforestation in deforestation hotspots in sites to be selected, as well as extension services and land-use planning statewide at state and local levels.

Sub-component 1.1: Land-use planning support at woreda and community levels

This sub-component will finance technical assistance (TA) for Oromia Regional Government to complete its on-going Sub-basin Level Integrated Land Use Plan (ILUP) in the remaining zones and woredas of the region. Each sub-basin ILUP has a coverage area ranging from 200,000 ha (smaller sub-basins) to 2,500,000 ha (larger sub-basins) and can include more than one zone and multiple woredas. The TA will include technical support through hiring an international ILUP Specialist to be attached to the Oromia Bureau of Rural Land (BoRL). The Specialist will assist in ensuring: effective multi-sector coordination during master land-use plan development at regional level and technical training for woreda LUP team and woreda sector experts to contribute in LUP decisions and enforce the already prepared integrated land-use plans.

The Oromia Bureau of Rural Land (BoRL) has been undertaking land-use planning initiatives and has made significant progress in registering and categorizing land. To-date, 46 percent of the region has been incorporated in the land resource mapping process. Similarly, 46 percent of the region has completed sub-basin ILUPs. In areas with sub-basin ILUPs, land designated for activities such as forestry and agriculture is demarcated and it is reported by the Bureau that this has been resolving potential conflicts between forest protection and investment activities

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

and among land users. In the remaining areas (over 50 percent of the regional state), however, the process remains incomplete, and here conflicts remain to be resolved. In addition to land-use planning for incorporation in the land resources maps, Oromia has implemented micro-level land use and community watershed planning (average of 1,500 ha each) and 'critical watershed' planning (average of 10,000 ha), including with the support of the Sustainable Land Management Program (SLMP).

The BoRL will take the lead on this activity and develop a costed annual work plan and budget, thus contributing to the development of the procurement plan (PP), which will be consolidated by ORCU. In PY1, the focus will be in hiring an International ILUP Specialist, preparing a simplified ILUP manual, and finalizing the training syllabus. During PYs2-5, the focus would be on providing technical support to the actual ILUP operation of the Bureau and technical training of regional and woreda experts. In addition, the multi-sector land-use planning team (LUPT) led by the BoRL will be part of the Oromia REDD+ Technical Working Group, which will approve the land use planning activity finance by the OFLP, thereby supporting multi-sector involvement in land use planning and management of trade-offs. The BoRL prepares implementation guidelines to support implementation of the land use plans and these guidelines define different agencies' and stakeholders' roles. OEFCCA plans to develop and sign a Memorandum of Understanding (MoU) with BoRL to define accountabilities.

Sub-component 1.2: Investment and Extension services

This subcomponent will finance the ORCU technical team on the ground and trainings, consultants, operating costs, and goods such as vehicles, motorcycles, office equipment, furniture, and computers that will be used for the daily implementation and management, coordination, monitoring, and reporting of OFLP activities.

Specifically, this activity subcomponent will finance:

- The following staff and consultants: three OFLP Lead Facilitators (LFs) to be hosted at three of the 20 zone offices of OEFCCA (Nekemt, Adama, and Shashamane). They will be responsible for providing administrative and technical support to the OFLP Woreda Coordinators and will bring together advice and knowledge on forest, agriculture, natural resource management, livestock, household energy, and income generation, as well as reporting. Each OFLP lead facilitator will cover approximately seven zones and will report to the OFLP coordinator. Three accountants will be assigned in the same three zones of the OFLP lead facilitators. The accountants will support the lead facilitators together with the OFLP woreda coordinators and OFWE branch offices to work on program related budgeting, payments, documentation of source documents, compilation of financial reports, among others. 38 OFLP Woreda Coordinators will be hosted in in 38 selected woreda offices of OEFCCA and will be responsible for implementing and coordinating OFLP at the woreda level. Each coordinator would cover an average of seven woredas. This includes facilitating overall planning, implementation, monitoring and reporting of OFLP at the woreda level to ensure harmonization and integration of activities that are financed directly by OFLP and other related initiatives in the woredas, across sectors. The OFLP woreda coordinators will report to the OFLP lead facilitators and work closely with the six OFLP Safeguards Coordinators as well as the existing DAs at the kebele level. In addition, 26 drivers will be recruited at the zone and woreda levels to support implementation of OFLP activities in the field using the 26 vehicles planned to be procured from the grant proceeds. Six of the 26 drivers will work with the OFLP lead facilitators and safeguards coordinators, while the remaining 20 will work with the OFLP woreda coordinators. ToRs for all of the above mentioned positions will be elaborated in the PIM.

- The grant will also finance trainings, operating costs and basic fixed assets such as vehicles (26 double cabin pick-up trucks), 18 motor cycles, office equipment, furniture and computer that will be used for the daily management, coordination, monitoring and reporting of OFLP activities.

It is critical for OFLP to have fully committed staff who have the space in their work programs to provide value-added advice and support services to woreda administrators, various sector woreda experts, and their DAs at the kebele level. The OFLP field staff are the face of the program, responsible and accountable for the successful implementation of the program, who will promote activities and trainings that address the drivers of deforestation such as conservation agriculture and agroforestry, sustainable forest management, and woodlot plantation.

The OEFCCA zone and woreda level offices will be responsible for administering the staffing, together with ORCU. They will consult with relevant partners and sectoral offices at the Zonal, Woreda and Kebele level to develop corresponding annual work plans and budgets as well as identify procurement items that will be respectively consolidated in the OFLP annual work plans and budgets and as well as identify procurement items that will be respectively consolidated in the OFLP annual work plans, budgets, and the procurement by the ORCU

Sub-component 1.3: Forest Management Investment in Deforestation Hotspots (47 woredas)

This sub-component will finance work on-the-ground in sites to be selected within the 49 woredas with deforestation hotspots. Activities include:(i) afforestation and reforestation (A/R) and (ii) participatory forest management (PFM) and livelihoods. This sub-component would be sub-divided into:

Afforestation and Reforestation (A/R)

The grant will finance trainings, goods, civil works and operating costs for the establishment of woodlots on household and communal land for fuelwood and construction material production (poles, planks, and so on). It will therefore include the cost of seedling production (material purchase like plastic bag, nursery tools, and seeds) in addition to daily labor cost for nursery workers, transportation of seedlings. It should be noted that the costs of planting on the ground, and management of planted seedlings of planted areas will be covered by those communities and households planting woodlots. This activity set is expected to generate direct benefits through capacity building on A/R technologies, Silvicultural System (Seed procurements, seedling production, plantation, and maintenance) and establishment of around 9,000 ha of woodlots. It will directly address the drivers of deforestation related to biomass consumption.

Ethiopia faces a significant wood gap for different purposes (biomass energy, furniture, construction, among others). As mentioned earlier, demand for household biomass energy is one of the primary drivers of deforestation in Oromia. The establishment of woodlots for the production of biomass energy and construction material can address this driver of deforestation in the medium term and create a steady stream of wood for the region. The main deliverables of this subcomponent include: (a) training of communities and extension agents selected from each kebele of the 49 woredas on seedling production, planting, and harvesting techniques and forest management (including pruning and thinning), (b) establishment of around 9,000 ha of woodlots, and (b) incentives to the most well-performing farmers or communities to stimulate good performance in woodlot management.

The OEFCCA, in coordination with the ORCU, will lead this activity set by: (a) identifying appropriate sites for A/R; (b) mobilizing communities; (c) providing training to targeting forest extension workers and community members led by experts from OEFCCA (forester and agro-forestry experts) and OFLP woreda coordinators; and (d) providing technical and material support to those farmers and communities interested in implementing A/R. The areas to be planted should follow local land-use plans, where they exist. The OEFCCA will develop annual work plans and budgets for these activities and ensure relevant items are in the procurement plan.

The ORCU, through its OFLP woreda coordinators, will be responsible for monitoring the performance of planted areas and preparing regular reports based on a Geographic Information System (GIS) that reports on: (a) success rates of planted areas including the survival rate; (b) fires and pests occurring in planted areas; and (c) forest management actions undertaken (pruning, harvesting, and so on). OEFCCA will, in the near-term, rely on DAs under the authority of the BoA, who are responsible for NRM and forest development until such time as OEFCCA has its own core of DAs in place. DAs at the kebele level will be responsible for: monitoring and compiling progress, collecting required data, and reporting to their respective woreda offices for documentation and to be consolidated by respective OFLP woreda coordinators. An MoU is planned to be developed and signed between OEFCCA and the BoA detailing the implementation modalities, which will be reflected in the PIM. Incentives for well performing communities will be awarded by the ORCU in the form of additional equipment and other token awards. The Forest MIS being set up by the ORCU will support the monitoring of progress of communities. Planting material will come from existing nurseries managed by the woreda office of environment, forest and climate change (WoEFCC), OFWE, WoA, or private nurseries supported by DAs working on the ground.

Participatory Forest Management (PFM) and Livelihoods

The mobilization grant for this activity set will finance consultants, workshops, travel, goods and civil works for OEFCC and OFWE to support community-based organizations (CBOs) to manage around approximately 120,000 ha of targeted forest blocks within the targeted 49 woredas located in deforestation hotspots through PFM and to promote livelihoods activities, in sites to be identified using priority criteria to be developed and included in the PIM. This activity is expected to increase incentives for the protection of natural forests through forest patrolling, fire management, and restoration. OFWE will implement in targeted woredas within its concessions, whereas OEFCCA will implement in targeted woredas outside of the OFWE concessions.

PFM is a forest management approach whereby the government gives forest use and management rights to local communities through time-bound contracts, in return for their commitment to certain forest management rules. PFM can improve local communities' livelihood and directly contribute to reduced deforestation and forest degradation by empowering communities' rights over forests and their social capital. PFM seeks to ensure that local communities' benefit from the forests they manage and strengthen their forest user rights, thus increasing incentives towards sustainable forest management.

PFM has been adopted by the regional state of Oromia and the federal government as an official strategy for sustainable forest management. The OFWE, Farm Africa has institutionalized PFM internally as a standard approach to sustainably manage forest. This sub-component would build on the experience in implementing PFM.

PFM has been adopted by the regional state of Oromia and the federal government as an official strategy for sustainable forest management. The OFWE, Farm Africa and others who are

working on forest management have adopted PFM as a standard approach to sustainably manage natural forests. This activity set will build on the experience in implementing PFM in Oromia and other regional states in Ethiopia.

OFLP will support PFM identification and establishment, as described below:

1) *Familiarization/consultations on PFM.* These consultations would take place at the woreda and kebele levels.
2) *Forest resources assessment and planning***,** which include:
    a. Demarcating and maintaining forest boundaries managed by a Community-based Organizations (CBOs);
    b. Dividing the forests into forest management blocks;
    c. Conducting forest resources assessment/forest inventory;
    d. Preparing forest management plans for each forest block;
    e. Establishing and legalizing CBOs (i.e. into cooperatives); and
    f. Preparing and signing forest management agreements with GoE.
3) *Implementation period,* which include:
    a. Providing capacity building and skills development to CBOs;
    b. Promoting patrol/monitoring of forests and fire protection;
    c. Supporting enrichment planting of degraded forests within the forest blocks managed by CBOs (including labor and seedling); and
    d. Supporting pruning, thinning, climber-cutting of planted areas.

Regarding the promotion of forest-based businesses led by cooperatives, the OEFCCA in collaboration with OFWE will identify promising **forest-based businesses** ideas in sectors such as non-timber forest products (honey, mushrooms, spices, forest coffee), nature-based tourism, wildlife management (including civet cat rearing) and others to be identified. Since this is a pilot activity, the approach is to support business initiatives with a high potential for success (such as initiatives identified with support from other partners, cooperatives already engaged with market activities, business sectors with 'proof of concept', and so on). The OEFCCA will call for proposals and eligible beneficiaries will present simplified business plans for selection (the PIM will detail the template for these simplified business plans). Eligible beneficiaries will be registered cooperatives who have forest management contracts signed with the government. The ORCU will have a dedicated value chains expert in charge of providing TA to the identified cooperatives in accessing the market, managing funds, and so on. It is estimated that OFLP will finance approximately 15 promising businesses. No funds will be disbursed to the identified cooperatives, but rather the ORCU will manage the funds on behalf of these cooperatives to finance the proposed business plans.

The OEFCCA leads this subcomponent and implementation on the ground is shared jointly with OEFCCA and OFWE, using the same technical approach. OEFCCA will be responsible on the ground in sites to be selected in targeted woredas outside the OFWE concessions while OFWE implements on the ground in sites to be selected in targeted woredas only in its concessions. An MoU will be signed between OEFCCA and OFWE detailing the implementation modalities, including the site selection criteria, which will be reflected in the PIM. To mobilize communities and engage in activity implementation on the ground, DAs will be deployed by OEFCCA while OFWE will deploy its own district experts who have already been implementing PFM with communities in OFWE concessions. OEFCCA will, in the near-term, rely on DAs under the authority of the BoA, who are responsible for NRM and forest until such time as OEFCCA has its own core of DAs in place. An MoU is also planned to be developed and signed between OEFCCA and the BoA detailing the implementation modalities, which will be reflected in the PIM. The OEFCCA will develop the annual work plan and

budget, including procurement items, for this subcomponent, with inputs from OFWE and BoA. ORCU will consolidate the annual work program, budget and procurement plan. It is expected that OFWE will manage its own budget to implement its PFM and livelihoods activities. The procurement plan will define which entity carries out a given procurement.

2.1.2. Component 2: Enabling Environment *(US$ 6.35M RE grant, 5-year period)*

Component 2 will finance activities to improve the effectiveness and impact of institutions, incentives (i.e., policies, marketing, BSM), information (i.e., strategic communication, MRV) and safeguards management at state and local levels. This component will enhance the enabling environment to help scale up and leverage action on-the-ground to reduce deforestation and forest degradation.

Sub-component 2.1: Institutional Capacity Building

This sub-component will finance the establishment and implementation of the OFLP coordination mechanism by financing: maintenance of the Oromia REDD+ Coordination Unit (ORCU); development of the OFLP M&E system; and development of extension guidelines and manuals. See below for further information.

Maintenance of the Oromia REDD+ Coordination Unit (ORCU)

The grant will finance the staff and consultants at the ORCU (which will include additional staff, operating costs for ORCU technical staff field work, operational budget for the Oromia VP, and for truck and/or car rental or transport fees), and fixed assets costs (which include office equipment and furniture, and a double cabin pick-up truck). In PY1, the focus would be on establishing a functional and operational coordination mechanism (preparing the annual work plan, operationalize procurement processes for goods and services, etc.) and the OFLP M&E system. The ORCU will be embedded within OEFCCA (including down to the local levels).. Additional staff, vehicle and operating cost will be added to operationalize the ORCU for OFLP. The ORCU will have the main functionality of not only coordinating the OFLP at state-level but also reaching the zonal and woreda levels (through OFLP Lead Facilitators, and OFLP Woreda Coordinators, and 26 drivers placed at the OEFCC zonal and woreda offices, respectively), and OFLP safeguards coordinators placed at the zone level. ORCU will develop the OFLP annual work plan, budget, and procurement plan (PP) in coordination with the relevant bureaus and offices.

Development of the OFLP M&E system

The grant will finance (i) a leading consultancy to carry to carry out the baseline survey (if needed), (ii) training, and (iii) operating costs for the establishment and operationalization of the OFLP M&E system. In PY 1 to 2, the M&E system will be established and functional and the baseline study should be finalized within the first year of effectiveness of OFLP.

The output will include: the drafting of the M&E manual (as part of the PIM), which would include detailed implementation arrangements and templates (and used as a basis for the training); carrying out the baseline study for OFLP; and drafting a detailed five-year work plan for M&E implementation.

The ORCU will hire an international M&E consultant to work alongside the ORCU M&E specialist to undertake this activity. Planned information flows (data feeding in from Lead Facilitators and Woreda coordinators at the zonal and woreda levels) will have to be operationalized and detailed training conducted to ensure systematic implementation.

Development of extension guidelines and manuals

The grant will finance consultants and goods, as well as workshops and travel (as need) for this activity which will be conducted in PY 1 to 4.

The activity will include the development, development, and standardization of extension guidelines and manuals. For example, Ethiopia's English-language PFM guideline in Ethiopia will be updated and translated into Amharic and Oromifa.

Sub-component 2.2: Incentives

This sub-component will include: Resource mobilization and leveraging; Technical assistance (TA) and analytics on economics, markets, and policy; and Preparation and supervision of the Benefit Sharing Mechanism (BSM). See below for further information.

Resource mobilization and leveraging

The grant will finance consultants, operating costs, goods, travel and workshops for ORCU and its partner Oromia government authorities to carry out: (i) fundraising for OFLP such as through holding "fund-raising roadshows" or other forms of outreach at relevant international public and private sector events or among targeted companies, foundations, or donors; (ii) preparation of a strategic action plan for private sector investment in sustainable natural resource and forest based business; (iii) proposal development, as well as investment planning and preparation as opportunities emerge; and (iv) designing (not implementing) community revolving funds modelled after the successful community self-managed revolving funds developed by SLMP-2, funded by SLMP-2 communities themselves, and implemented in Oromia (implementation could occur via OFLP Component 1).

ORCU will lead these activities in consultation with partner Bureaus and MoFEC, as needed, and include the activity costs and corresponding procurement items in the consolidated OFLP annual work plans, budgets and Procurement Plan (PP) throughout PY 1 to 5.

Technical assistance (TA) and analytics on economics, markets, and policy

The grant will finance consultants, operating costs, goods, travel and workshops for ORCU and its partner Oromia government authorities to implement TA and analytics on economics, markets, and policy. This would include (i) organizing policy dialogue fora and business investment roundtables; (ii) assessments of regulations, policies and laws (see list below); (iii) support for enhancing forest governance through training of enforcement stakeholders (justices, lawyers, courts, rangers), (iv) feasibility assessment of options for introducing payments for ecosystem services (PES) for non-carbon markets; (v) promoting/marketing household energy options as alternatives to fuel wood, and (vi) two small biogas pilots in selected Farmer Training Centers (FTCs) or PFM sites. The specific assessments and analytics listed below in the tentative work program is subject to shifting demands among policymakers and technical needs, changes in the enabling environment for sustainable landscape management, and private sector development.

Table: Tentative work program of assessments and analytics on the enabling environment for sustainable landscape management

- Assessment of regulations on communal land certification
- Analyzing value chains for natural resource-based enterprises and NTFPs
- Harmonization of PFM policy
- Community outreach to raise awareness of land use rights

- Assessment of options to provide greater security to private investors in forest activities (joint ventures, provisions for fixed concession periods, consultation requirements)

The OFLP will support the market development, promotion and coordination of improved cook stoves (ICS) under this sub-component. Three different stoves dominate the OFLP Woreda ICS market, the Mirt Stove, the Household Rocket and the Institutional Rocket Stoves. Injera baking is the most hazardous form of cooking in Ethiopia. The Mirt stove, which is an improved stove for Injera baking, has been verified to decrease fuelwood consumption using electronic stove use monitoring devices (SUM). According to the World Bank Group[9], the Mirt stove on average reduces fuelwood consumption by about 10.55 kilograms per household per week or 634 kilograms per household per year and an estimate 0.94 tons of CO2 emission reduction per household per year. Indoor air pollution is the leading cause of death for children under five and accounts for 3.7 % of loss of disability adjusted life years (DALYs) as women spend 3-5 hours per cooking session next to the stove with their young children. The benefits from owning an improved cook stove are significant to national economy, national health standards and mitigating deforestation and carbon emissions.

ICS are made by both women and men in Oromia, but as culture favors male success over women this activity will focus on strengthening women entrepreneurs. The OFLP will do an inventory of existing active ICS producers. The ICS producers would receive training in marketing, basic business skills, how to offer flexible payments to customers and how to sell to village associations. Promotion would include radio broadcasting, market day promotion, cooking competition and school day promotions. Existing marketing material developed by the National Improved Cook Stove Program (NICSP) and the NGO Practical Action would be used and if needed complimented with new material. Marketing will be targeted at both men and women as both has been recorded buying the stove. An ICS is an investment benefiting the whole family, although women and young children will be the biggest beneficiary.

The OFLP will support ICS producers to reach potential customers in remote towns and villages close to forests in all Zones but priority to Bale, Borena, Guji, Kelem Wollega, Horo Guduro, East Wollega, West Wollega, East Haraghe, Illubabor and Jimma Zone as these Zones are zones with high deforestation rates and have not been historically prioritized for ICS marketing interventions.

The ORCU together with BoWME would leverage existing government structures within the National Improved Cook Stove Program (NICSP) to facilitate already planned but under financed activities within NICSP in Oromia to reach all targeted OFLP Woredas. In particular, the ORCU will support: training of Woreda Energy Officials in stove marketing; the establishment of stove retailers and wholesalers; and coordination of stove production and distribution.

The ORCU will lead on the above activities with individual partner Bureaus or Government Enterprises (i.e. OFWE, BoWME, Waterworks) to be determined during annual work planning, budgeting, and PP sessions. ORCU would include the activity costs and corresponding procurement items in the consolidated OFLP annual work plans, budgets and PP throughout PY 1 to 5.

Preparation and supervision of the Benefit Sharing Mechanism (BSM)

The grant will finance consultants, operating costs, goods, travel and workshops for ORCU and its partner Oromia government authorities to prepare, consult on extensively, and then finalize

[9] A. Beyene et.al (2015) "Do Improved Biomass Cook stoves Reduce Consumption and Carbon Emissions Evidence from Rural Ethiopia Using a Randomized Treatment Trial with Electronic Monitoring" The World Bank Group, Policy Research Working Paper No 7324.

the BSM so that the ERPA can then be finalized and signed. As a result, a detailed implementation manual will be prepared for the BSM, and tools developed for tracking expenditures channeled through the BSM, as well as monitoring and reporting on results on-the-ground from these expenditures. Training on BSM implementation will also be provided at all levels.

The ORCU will lead this activity in consultation with partner Bureaus as needed. ORCU will also prepare a detailed annual work-plan and budget, which will be included into the procurement plan, to support these activities throughout PY 1 to 5. ORCU will also be responsible for monitoring the implementation of the BSM after the end of the grant, which could be funded through the ER payments.

Sub-component 2.3: Information

This sub-component includes: strategic communication; Forestry Information System; and ICT access for forest management authorities. See below for further information.

Strategic communication

The grant will finance consultants, workshops, travel and goods for ORCU to implement a communication strategy for OFLP. A successful implementation of the program requires changes in the attitudes and behavior of significant groups of stakeholders. The role of communication is therefore key to assuring than program opportunities are understood and that there is time and space for dialogue and consensus building. Statewide information campaigns to continuously disseminate information about the program and its guidelines to all potential beneficiary communities, thereby increasing awareness, transparency and participation will be developed. The OFLP strategy will include an understanding of the perceptions and predispositions of targeted groups of stakeholders, factors affection behavior within these groups, and incentives required to motivate change. It should also include the development of adequate systems for monitoring reactions and obtaining feedback on actions and information being disseminated.

Based on a preliminary assessment conducted by an individual consultant aimed at identifying effective communication channels, trusted sources of information and communication gaps at state level, a series of communication activities (capacity building, outreach and advocacy activities as well as a Behavior Change Campaigns targeted on hotspot deforestation areas) would be conducted in support of OFLP. These include: training of OFLP lead facilitators, woreda coordinators, safeguards coordinators, and other relevant staff on strategic communication methods and tools and preparation of a communication toolkit to facilitate internal communication and ensure consistency of messages about the program; training of journalists and public relation experts of the relevant sector bureaus on reporting about forests; establishment of forest community radios in selected/strategic program areas; production of printed, audio and video materials to be used as supporting tools during consultation process, workshops and events; organization of media tours for journalists and stakeholders' workshops, as well as production of newsletters for policy-makers.

The ORCU communication specialist, with the support from local and international consultants, would lead these activities and develop costed activities to be included in the OFLP annual work plan and budget, and procurement items in the OFLP PP throughout PY 1 to 5.

Forest Management Information System

The grant will finance purchase of goods and consultant services to establish and maintain a

long-term Management Information System for forest monitoring, regulatory and policy decision support, and investment tracking. This will enable a decision-making environment where reliable, accurate, and current information on forest resources and related decisions are continuously and increasingly publicly available. OEFCCA will lead this activity with the support from local and/or international consultants throughout PY 1 to 5. One first step will be to collect and compile existing forest-related data into a GIS and investment database, to assess the availability and quality of forest data, and to identify data gaps.

ICT access for forest management authorities

The sub-component will finance purchase of goods to provide continuous and reliable internet access to facilitate implementation of OFLP. The mobile internet system will consist of internet USB keys used to connect laptops to the internet via a built in modem by using the networks of the cell phone service provider, Ethio-Telecom.

The goods (laptops, internet keys, SIM cards and Ethio-Telecom service) will be purchased for ORCU staff, including the three Lead Facilitators, six Safeguards Coordinators, and 38 Woreda Coordinators.

Sub-component 2.4: Safeguards Management

The component is aimed at building the capacity of project implementers at all level to carry out effective safeguard works during the mobilization grant and ERPA implementation. The grant will finance six ORCU OFLP Safeguards Coordinators at six selected zone offices of OEFCC, training, technical support and monitoring workshops, travel and goods for ORCU to train forest extension agents in all 287 woredas on safeguards management including implementation procedures, monitoring, reporting and documentation.

This sub-component will support capacity strengthening of federal, regional and woreda institutions for managing safeguards in the OFLP carbon accounting area (i.e. the OFLP program area) in accordance with the World Bank safeguards standards. It will provide: extensive technical support and training on OFLP safeguards instruments implementation, documentation, reporting and monitoring of safeguards performance in the accounting areas; standardization; environmental and social advisory services, consultation and civic engagement with communities in the regional state; and support to safeguards officers' to improve their ability to monitor Grievance Redress Mechanism (GRM) and BSM activities. It will include the establishment of six OFLP Safeguards Coordinators hosted at hosted at six selected OEFCCA zone offices to advance safeguards management throughout the regional state and working under the two safeguards officers at ORCU. The OFLP safeguards coordinators will be responsible for overseeing and assuring that all safeguards instruments are applied properly during program implementation. They will be located at Nekemt, Jimma, Metu, Adola Rede, Robe and Chiro. It should be noted that the grant will not finance land acquisition (if required), which is the responsibility of the GoE. This sub-component will also include support for safeguards due diligence for nested REDD-related initiatives under the OFLP umbrella, even where these initiatives include their own safeguards management systems.

ORCU will lead these activities in consultation with WoA, WoEFCC, WoWME and OFWE forest extension experts, and develop costed activities to be included in the OFLP annual work plan and budget, and procurement items for the OFLP PP throughout PY 1 to 5. ORCU will also work closely with the CRGE Facility and PBS project in establishing a robust regional system to comply with safeguards.

Sub-component 2.5: Program Management

This sub-component will finance consultancies to deliver annual financial audit services; annual procurement audit services; the program mid-term evaluation report, and the program completion report.

2.1.3. Component 3: Emissions Reductions (ER) Payments

Unless specified differently in the ERPA, ER Payments will be made only for emission reductions achieved during the ERPA period. However, the interventions conducive to emission reductions can start at any time. ER payments will be delivered once results are achieved, verified by a third party, and formally reported to the WBG. Based on the design of the MRV system, it is expected that reporting and verification of ERs can occur every two years. The ER payments will be managed by the GoE and distributed to the beneficiaries according to the BSM, which would aim to incentivize greater uptake of sustainable land use actions. The BSM will need to be formally adopted by the GoE before any ER payment can be made. In addition, it should be noted that the ER payments will not cover the full cost of implementing the changes in landscape management. The ER payments will provide some return that offsets some of the costs of improving the landscape for the wider benefit of all.

The OEFCC/ORCU will be in charge of reporting forest cover changes and associated ERs, and of engaging a third party to verify these results. The third party report will then be sent to the Workd Bank along with a payment request from ORCU. The World Bank will conduct its due diligence before transferring the payment. The payments are a function of the amount of ERs achieved in a given year and the unit price agreed between the World Bank (acting as the trustee for BioCF and the GoE.

Components one and three may pose adverse environmental and social risks during implementation. This ESMF is prepared mainly to address environmental and social impacts arising from the implementation of the Program activities to be financed under Components one and three.

2.2. OFLP Institutional and Implementation Arrangements

As a strategic multi-sectoral Government program utilizing diverse financing sources and partner support to scale up action, the OFLP's 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). See the OFLP organogram in Figure 3 below.

The OFLP implementation arrangements, led in Oromia regional state by the new Oromia Environment, Forest and Climate Change Authority (OEFCCA)) established in August 2016, include relevant institutions at national, state and sub-state levels with specific accountabilities and decision-making roles based on existing mandates. The Oromia REDD+ Coordination Unit (ORCU) is the OFLP implementing unit and has been administratively hosted at the OFWE for over two years. On December 8, 2016, the ORCU was transferred to the newly established OEFCCA as the new administrative host. OEFCCA was set up by Proclamation 199/2008 on August 21, 2016, and is officially mandated to oversee the forest sector in Oromia. While ORCU reports administratively to the OEFCCA, 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 OEFCCA will be supported by the Ministry of Environment, Forest and Climate Change (MEFCC) which will carry out a fiduciary oversight role through its National REDD+ Secretariat, in particular on MRV, project monitoring, safeguards, financial management and procurement; more specifically, the MEFCC will focus on providing operational guidance to the ORCU to carry out its own procurement, financial management, and safeguards compliance, providing quality control, guidance and resolving issues. MEFCC. The regional state's multi-sector REDD+ Steering and Technical Working Group would provide strategic guidance and technical inputs, respectively, to OFLP implementation. The OEFCCA and sector bureaus, including the BoA, OFWE and Bureau of Rural Land (BoRL), will implement and coordinate activities on-the-ground through their decentralized staff. For example, OEFCCA, BoA, and BoRL have field staff, woreda experts and kebele development agents (Das) (extension agents) who cover forest, agriculture, water, and household energy. However, OEFCCA will, in the near-term, rely on DAs under the authority of the BoA and BoRL to implement investment activities on the ground until such time as OEFCCA has its own core of DAs in place. OFWE has a similar structure with local extension agents with experience in 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 OEFCCA, 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. A Memorandum of Understanding (MoU) is being developed among the Oromia institutions to articulate the accountabilities which will be detailed in the Project Implementation Manual (PIM)[10].

The OEFCCA has the mandate to govern the forest sector in Oromia. The OEFCCA is responsible for policy development and enforcement related to forest development; utilization and management of government, private and community forest (excluding farmland trees which falls under BOA); providing expert advice for forest expansion including on topics such as biodiversity, ecotourism, conservation, afforestation/reforestation, and forest-related carbon measurement; coordination of REDD+ activities and projects in the regional state; ensuring environmental integrity; jointly resolving forest resource related disputes with relevant institutions; leading implementation of the CRGE initiative; and planning and managing core government budget on forest throughout Oromia.

The OFWE is a key implementing partner in OFLP owing to its experience with implementing PFM, preparing OFLP, hosting ORCU for the past two years, managing plantations, and managing large concessions where the carbon-rich high forest and deforestation hotspots are located. Moreover, given its dual public and private mandates, the OFWE cultivates private sector relationships, which will play an important part in sustaining activities that contribute to the objectives of the OFLP. Spatial and thematic coordination and leveraging of REDD-relevant initiatives and institutions on land use across sectors is a strategic feature of OFLP. *At regional state level,* joint work planning, budget formulation and reporting for the OFLP and forest-related policy development/harmonization will take place with the involvement (as needed) of the Executive level of Oromia Regional State, the OEFCCA, OFWE, all relevant bureaus, and others as relevant, with the ORCU serving as the OFLP secretariat at the OEFCCA. *At the*

[10] A PIM developed by the GoE will be adopted before declaring effectiveness of the grant. The PIM will reflect the rules, methods, guidelines, and step-by-step procedures for implementing the OFLP. This includes detailed institutional arrangements; reference to and relevant details from the safeguards instruments; citizen engagement, monitoring and evaluation (M&E) arrangements from the field up to the federal level, reporting templates and procedures, governance procedures; disbursement, FM, auditing, and procurement procedures for the OFLP. The BSM will be finalized with grant financing and, once completed, will be a companion volume of the PIM. The approach to nesting carbon finance projects in the OFLP will also be included in the PIM.

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 also support OFLP implementation. OFLP woreda coordinators – to be appointed – will be hosted by selected woreda offices of OEFCCA[11] 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 including safeguards management, activity reporting, financial management and procurement. At the zone level, OFLP safeguards coordinators[12] will oversee the safeguards work of the OFLP woreda coordinators and ensure that environmental and social safeguards are implemented according to the OFLP environmental and social safeguards instruments. At the same zone level, OFLP lead facilitators hosted by selected zone offices of the OEFCCA13, will provide technical and operational support to OFLP woreda coordinators and OFLP safeguards coordinators to ensure satisfactory implementation.
Table 1 below summarizes the roles and responsibilities of institutions that would be involved in OFLP.

Table 1: Summary of Roles and Responsibilities of Institutions involved in OFLP

Institution	***Accountabilities in the OFLP***	***Examples of accountabilities for specific activities financed by the OFLP grant***
MEFCC	• Provides operational guidance to OEFCCA/ORCU to carry out OFLP procurement, FM, and safeguards activities. • Assists in resource mobilization for the OFLP umbrella. • Provides guidance on strategy and policy. • Monitors and reports on ER according to agreed rules, using the national MRV system (verification will be conducted by a third party to be hired by ORCU administratively guided by OEFCCA). • Supports compatibility of OFLP with Ethiopia's CRGE strategy and facility.	• MRV implementation (financed under national REDD+ Readiness grant) • National GHG accounting (to which the OFLP contributes data) • Ensures that fiduciary obligations are carried out and complied with by the ORCU/OEFCCA • Interacts with the Bank team and other development partners
EWCA	• Coordinate with contiguous woredas and zones on issues of mutual concern, including land use and watershed planning, resettlement, livelihoods provision/substitution, PFM, A/R, and so on.	Bale Mountains National Park resettlement intended
REDD+ steering committee (RSC)	• Provides strategic guidance on OFLP management and implementation. • Provides strategic management direction to OEFCCA/ORCU.	n.a.
REDD+ technical working group	• Provides strategic oversight on OFLP management and implementation. • Provides technical direction to OEFCCA/ORCU.	n.a.

[11] Proposed selected woredas where the OFLP woreda coordinators will be based include: Gawa Kebe, Yama Logi Walal, Nole Kaba, Gimbi, Nejo, Nekemte, Gida Ayana, Abayi Choman, Shambu, Limu Seka, Setema, Gera, Assendabo, Chora, Bedele, Yayu, Alle, Nono Sele, Bule Hore, Adolla Rede, Bore, Liben, Yaballo, Ginir, Dollomena, Arba Gugu, Chilalo, Dodolla, Munessa, Babich, Dendi/Ginchi, Sebeta Hawass, Lume, Chancho, Dindin, Jelo Muktar, Gara Mulata, Jarso.
[12] Proposed selected zones where OFLP safeguards coordinators will be based include: Wollega (Nekemt), Jimma, Illubabor (Metu), Guji (Adola Rede), Bale (Robe) and Harerge (Chiro)
[13] Proposed selected zones where the OFLP lead facilitators will be based include: Nekemt, Shahemene and Adama

Institution	*Accountabilities in the OFLP*	*Examples of accountabilities for specific activities financed by the OFLP grant*
Oromia vice president's office	• Assigns and maintains OFLP focal person to assist OEFCCA/ORCU in coordinating OFLP implementation across sectors. • Provides high-level political support to OEFCCA/ORCU to ensure multi-sector-level coordination. • Assists OEFCCA/ORCU, through OFLP focal person, to cascade and coordinate across the Oromia government's vertical structure through region, zone, woreda, and kebele levels. • Is the main voice of OFLP in the high-level Regional Council, and (a) advocates forest-smart development, and (b) ensures that OEFCCA/ORCU participates in the region's budget planning sessions and any other key decision-making events at the level of the region. • Chairs ORSC and ensures that all OFLP implementing sector institutions are working in coordination.	n.a.
OEFCCA	• Leads and administers the implementation of OFLP by overseeing its technical, financial, human resource, and inter-sectoral coordination facilitation activities through ORCU. Responsible for all fiduciary matters pertaining to OFLP implementation. • Hosts ORCU administratively which serves as the implementing unit for OFLP at regional, zonal, woreda, and kebele levels. • Provides strategic and technical guidance to ORCU to ensure multi-sector-level coordination for OFLP implementation. • Provides technical and logistical support to ORCU in facilitating regional multi-sectoral joint annual work plan preparation, budget approval, reporting, M&E, and progress review workshops. • Provides support to ORCU in facilitating the REDD+ Steering Committee and REDD+ Technical Working Group meeting and activities. • Reports to ORCU on specific activities implemented with OFLP financing (that is, PFM, livelihoods, and A/R outside OFW concessions in sites to be selected) for collation and reporting by OCRU upwards to MEFCC and on to development partners. • As a member of the high level regional government council and lead in coordinating the implementation of REDD+ activities at regional level, is instrumental in bringing any outstanding issues related to OFLP implementation on the agenda of the regional council for decision making and/or guidance. • Advocates forest-smart development as its mission, including leading on policy development and harmonization concerning the forest sector. • Participates in the region's budget planning sessions and any other key decision-making events at regional level. • Implements specific forest activities financed by the OFLP grant (that is, PFM and A/R out of OFWE concessions). • Appoints OFLP focal person to coordinate implementation of PFM and A/R activities (subcomponent 1.3) in 49 deforestations hotspot woredas outside OFWE concessions. • Participates actively in high level meetings and in the REDD+ Steering Committee including REDD+ Technical Working Group. • Coordinates with BoA on deployment of DAs to support PFM, livelihoods and A/R components financed by the grant until such time as DAs are mapped to OEFCCA. *Note: Preparing MoU with OFWE, BoA, BoWME, BoRL*	• Designs and implements Forest MIS • Design and implements PFM activities (subcomponent 1.3.1) (out of OFWE concessions) and A/R activities (Subcomponent 1.3.2) in 49 deforestations hotspot woredas
ORCU	• As the OFLP implementing unit within OEFCCA, coordinates and manages OFLP implementation including all day-to-day fiduciary	• The ORCU team currently includes 13 staff at the state

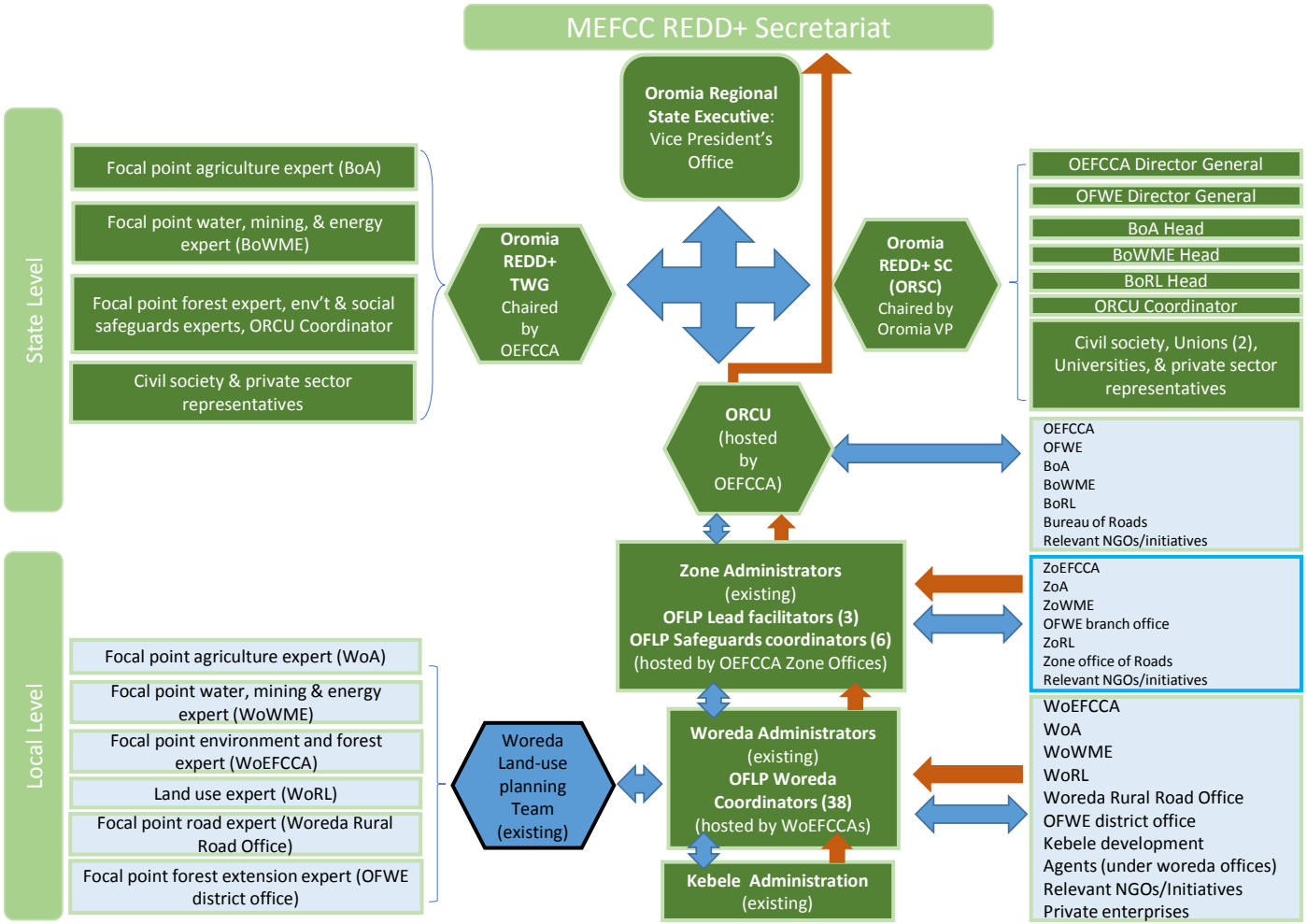
Institution	*Accountabilities in the OFLP*	*Examples of accountabilities for specific activities financed by the OFLP grant*
	requirements, regularly liaising technically with all partner agencies, NGOs and private sector actors involved in OFLP implementation. • Carries out and consolidates safeguards implementation and reporting (assisted by OEFCCA). • Carries out and consolidates FM and reporting (assisted by OEFCCA). • Carries out and consolidates procurement management and reporting (assisted by OEFFCA). • Carries out and consolidates M&E for OFLP (each indicator in results framework and others as government requires and the program team desires) • Directly implements specific TA activities financed by the OFLP grant. • Carries out joint annual work programming and budget process (with inputs from OEFCCA, OFWE, bureaus and other relevant entities) and preparation of the procurement plan • Sub-state ORCU OFLP team engages with woreda- and kebele-level officials (woreda administrators and experts, DAs) and other actors to coordinate OFLP interventions and related initiatives across sectors that have an impact on forests (promoting a landscape management approach). • Facilitates coordination with OFLP-related initiatives (liaising with executive-level focal points and OEFCCA above, as needed) • Ensures that ER verification is carried out through a third party. • Ensures delivery, implementation, and reporting on the agreed BSM for the OFLP ERPA. • Carries out strategic communication through OEFCCA. • Acts as secretariat for the REDD+ Steering Committee and REDD+ Technical Working Group and participates actively in meetings.	level. Under the OFLP, new staff will be added as follows: 5 new staff at the state level, 3 OFLP lead facilitators, 38 woreda coordinators, and 6 safeguards coordinators at the sub-state levels. • Institutional Capacity Building (subcomponent 2.1) and Safeguards management (subcomponent 2.4)
OFWE	• In OFWE concessions, implements part of the PFM, livelihoods and A/R activities financed by the OFLP grant in accordance with the MoU to be signed between OEFCCA and OFWE. Sites are not yet selected. • Participates in the REDD+ Steering Committee and REDD+ Technical Working Group. • Provides items for joint annual work program and budget approval (facilitated and coordinated by ORCU). • Reports to ORCU on OFLP implementation.	• Implements PFM in targeted Woredas in its concession (Subcomponent 1.3.1) in accordance with the MoU to be signed between OEFCCA and OFWE, and also AWPB and PP Assessments of land-use-related regulations, policy, and law (Subcomponent 2.2) • Participates in the design and implementation of the Forest MIS
BoA	• Appoints OFLP focal point. • Participates in the REDD+ Steering Committee and REDD+ Technical Working Group. • Provides items for joint annual work program and budget approval (facilitated and coordinated by ORCU). • Reports to ORCU on M&E, FM, and program management, including participating in comprehensive landscape carbon accounting *Note: Signs MoU with OEFCCA. The MoU will define how the BoA DAs will be deployed to implement OFLP.*	• Assessments of land use-related regulations, policy, and law (Subcomponent 2.2) • Extension support and coordination with forest extension
BoWME	• Appoints OFLP focal point. • Implements specific activities financed by the OFLP grant (i.e., marketing of cooking stoves).	• Assessments of land use-related regulations, policy, and law (Subcomponent 2.2)

Institution	*Accountabilities in the OFLP*	*Examples of accountabilities for specific activities financed by the OFLP grant*
	• Participates in the REDD+ Steering Committee and REDD+ Technical Working Group. • Provides items for joint annual work program and budget approval (facilitated and coordinated by ORCU). • Coordinates all land use-related activities spatially at the woreda level with other bureaus and enterprises. • Reports to ORCU on M&E, FM, and program management. Note: Signs MoU with OEFCCA. The MoU will define how the BoWME implements activities financed by OFLP.	• TA to NICSP implementation in Oromia, with a focus on forest areas
BoRL	• OFLP focal point appointed. • Implements specific activities financed by the OFLP grant (that is, woreda land-use planning at the sub-basin level). • Participates in the REDD+ Steering Committee and REDD+ Technical Working Group. • Provides items for joint annual work program and budget approval (facilitated and coordinated by ORCU). • Coordinates all land use-related activities spatially at the woreda level with other bureaus and enterprises. • Reports to the ORCU on M&E, FM, and program management. Note: Signs MoU with OEFCCA.	• Lead sub-basin land-use planning support (Subcomponent 1.1) • Assessments of land use-related regulations, policy, and law (Subcomponent 2.2)
Bureau of Roads	• Appoints OFLP focal point. Note: Signs MoU with OEFCCA. MoU will define accountabilities.	Guidelines on forest-smart roads (to be discussed)
OFWE branch office	• Reports to ORCU on M&E, FM, and program management.	n.a
Zone administration office	• Highest government administrative body providing political leadership support to OFLP through coordinating zone-level sectoral development activities. • Ensures that OFLP achievements and challenges are discussed at the zone council meetings, thus providing timely administrative and technical support to program implementation on the ground. • Acts proactively in resolving conflicts, whenever they happen during OFLP implementation, in coordination with the relevant zone sector offices. • Ensures OFLP lead facilitator and safeguards coordinator get the required support from sector offices when such support is required. • Liaises with relevant regional institutions maintaining two-way information flow for facilitating smooth implementation of the program. • Oversees and ensures appropriate use of OFLP resources by implementing sector entities.	• Forest management investments: A/R and PFM • ILUP preparation and enforcement in the zone • Energy-related activities: ICS and biogas • Safeguards
ZoEFCCA	• Leads and administers the three OFLP lead facilitators, 38 OFLP woreda coordinators, and six OFLP safeguards coordinators—all part of ORCU staff. • Together with the OFLP lead facilitators, facilitates the coordination of inter-sectoral activities. • Provides administrative and technical support to respective WoEFCCs.	Forest extension capacity development (Subcomponent 1.2)
OFWE district office	• Coordinates its land-use-related activities spatially at the woreda level with other bureaus (led by the Woreda Land-use Planning Unit and ZoEFCCA). • Implements agreed on-ground activities in the OFLP AWPB. • Reports on implementation progress to OEFCCA/ORCU.	Implements part of PFM in high forest concession areas (Subcomponent 1.3.1) in accordance with the MoU to be signed between OEFCCA and OFWE, and also AWPB and PP

Institution	*Accountabilities in the OFLP*	*Examples of accountabilities for specific activities financed by the OFLP grant*
WoEFCC	• Facilitates coordination of OFLP-related activities horizontally at the woreda level and with other relevant bureaus/institutions. • 38 selected WoEFCCs will host the OFLP woreda coordinators. • Implements PFM and A/R activities (Subcomponent 1.3) in 49 deforestations hotspot woredas outside of OFWE concessions. • Appoints OFLP focal person for the implementation of PFM and A/R activities (Subcomponent 1.3) in 49 deforestations hotspot woredas outside of OFWE concessions. • Trains woreda level experts on the safeguard requirements of OFLP.	Implements PFM activities (Subcomponent 1.3.1) in 49 deforestation hotspot woredas outside of OFWE concessions and AR activities (Subcomponent 1.3.2).
WoA	• Coordinates its land use-related activities spatially at the woreda level with other bureaus and enterprises (led by the Woreda Land-use Planning Unit). • Provides human resource support (DAs) at kebele level.	Extension support and coordination with forest extension
Woreda administration office	• Highest government administrative body at the woreda level providing political leadership support to OFLP through coordinating woreda-level sectoral development activities. • Closely supervises and coordinates planning and implementation of OFLP activities and REDD+-relevant activities in the woreda. • Ensures that OFLP achievements and challenges are discussed at the woreda council meetings, thus providing timely administrative and technical support to program implementation on the ground. • Acts proactively in resolving conflicts, whenever they happen during OFLP implementation, in coordination with the relevant sector offices. • Ensures OFLP woreda coordinator gets the required support from sector offices when such support is required. • Liaises with relevant zone and regional institutions maintaining two-way information flow for facilitating smooth implementation of the program. • Oversees and ensures appropriate use of OFLP resources by implementing sector entities.	• Forest management investments: A/R and PFM • ILUP preparation and enforcement in the woreda • Energy-related activities: ICS and biogas • Safeguards
WoWME	• Coordinates its land use-related activities spatially at the woreda level with other bureaus and enterprises (led by the woreda land-use planning unit).	• Biogas demonstration (Subcomponent 2.2) • TA to NICSP implementation in Oromia, with a focus on forest areas
WoRL	• Coordinates its land use-related activities spatially at the woreda level with other bureaus and enterprises (led by the woreda land-use planning unit).	n.a.
Woreda rural road office	• Coordinates all land use-related activities (that is, road siting and cross-drainage) spatially at the woreda level with other bureaus and enterprises.	n.a.
Kebele administration office	• Under the oversight of the relevant sector woreda offices, coordinates the work of the DAs in agriculture, water, household energy, and forests, in implementing and monitoring OFLP activities at the lowest administrative level.	n.a.
Community-level user association	• Coordinates forest-dependent community inputs and interest into the program planning and implementation process. • Assists in identifying livelihood activities. • Participates in the implementation of livelihood and reforestation activities. • Participates in OFLP site monitoring.	n.a
Private sector business	• Participates in the REDD+ Steering Committee and REDD+ Technical Working Group.	Development of value chains and domestic and international market

Institution	*Accountabilities in the OFLP*	*Examples of accountabilities for specific activities financed by the OFLP grant*
	• Coordinates all land use-related activities spatially at the woreda and local levels with other bureaus and enterprises. • Carries out activities not financed by the grant but which should be coordinated under the OFLP umbrella • Participates in dialogues with the government on enhancements to regulations, policies, etc.	opportunities that reinforce sustainable land use management (not financed by the grant)
NGO/civil society organization, union, university	• Participates in the REDD+ Steering Committee and REDD+ Technical Working Group. • Potential partners in the implementation of some of the grant activities, such as PFM and A/R, and/or TA and analytics.	n.a.

Figure 3. OFLP institutional setup: Accountability and decision making



Note: Blue arrows - Information flow; Red arrows - OFLP reporting

2.3. Program Activities Identification and Planning Process

Program activities are identified by the local level implementing stakeholders, including forest dependent communities based on their local needs and priorities through a participatory planning process whereby all community members have the opportunity for sharing ideas and making decisions. The DAs at the Kebeles and the kebele land use planning committee/kebele administrators will provide the necessary technical support to the community team during the identification and planning. The list of identified Programme activities will then be referred to the kebele land use planning committee/kebele administrators for approval. The draft plan will be submitted to the WoEFCC, woreda land use planning team (LUPT) for screening and hierarchical approval and/or to the Oromia REDD+ TWG and OEFCCA

2.4. Environmental and Social Baseline Conditions

2.4.1. Environmental Context and Baseline Conditions

The OFLP 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. Ethiopia's largest forested landscapes are found in Oromia and provide critical ecosystem services to the country and the region. Oromia is Ethiopia's largest regional state in terms of land area (around 28.5 million hectares, roughly the size of Italy), population (over 30 million people) and forest cover approximately 9 million ha in total spread over rural areas of Oromia.[14]

Based on the national REDD+ forest definition,[15] 284 of Oromia's 287 rural woredas include some forest cover.[16] Most of Oromia's high forest (moist montane forests) is found in the Bale forested landscape in the southeast and the Jimma/Wellega/Ilubabor forested landscape in the west. Bale serves as the water tower for the eastern drylands in Oromia and the Somali region as well as the country of Somalia, drought-vulnerable arid areas where mobile pastoralism is the predominant livelihood system.

The forests in Oromia region provide critical ecosystem services to the country and to the region. It harbors globally important biodiversity with endangered endemic species such as the Abyssinian wolf and the mountain Nyla. Oromia's western forest are home to endemic coffee (*Coffee Arabica*) that has high potential as a value-added export and harbor wild varieties of the species. Important rivers also originate in or are affected by Oromia's forests, including those flowing into the new Renaissance Dam, which is under construction. Table 2 below summarizes Oromia's different biomes based on the classification of Ethiopia's Forest Reference Level (FRL) submission to the UNFCCC.[17]

[14] Calculated based on the Ethiopia's Forest Reference Emissions Level submitted to the UNFCCC (3rd version, December 2016, not publicly available yet)
[15] The Forest Sector Management at MEFCC defines forests in Ethiopia as 'Land spanning at least 0.5 ha covered by trees (including bamboo) attaining a height of at least 2 m and a canopy cover of at least 20% or trees with the potential to reach these thresholds in situ in due course". An updated map is expected from the Food and Agriculture Organization (FAO)/Ministry of Environment, Forest, and Climate Change (MEFCC).
[16] Three out of 287 rural woredas register no forest cover at all, while 284 woredas have at least 5 ha of forest (2013 EMA map).
[17] 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

Table 2: Summary of Biomes in Oromia Regional State

Biome	Vegetation type	Approximate portion of 6.5 M ha total forest (%)	Approximate tCO_2e per ha
Moist Afromontane	▪ Moist evergreen afro-montane Forest ▪ Transitional rain forest	14 %	494
Dry Afromontane	▪ Dry evergreen afro-montane forest ▪ Grassland complex ▪ Afro-alpine vegetation ▪ Ericaceuos Belt	25 %	277
Combretum-terminalia	▪ Combretum-terminalia woodland ▪ Wooded Grassland	13 %	189
Acacia-commiphora	▪ Acacia-commiphora woodland ▪ Bushland; ▪ Acacia wooded grassland ▪ Desert and semi-desert-scrubland	48 %	92

Forest loss and degradation are increasing in Oromia. Deforestation in Oromia has been particularly intense in zones[18] 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 CO_2 equivalent emitted into the atmosphere over this period, or around 6 million tons annually (calculated from Ethiopia's FRL submission to the UNFCCC).[19] 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 tCO_2e.[20]

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 fuelwood 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 m^3 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.[21] 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. See below for more details on how the Oromia Forested Landscape Program (OFLP) will address the deforestation drivers.

Forests in Oromia are managed by, affected by, or used by a range of government institutions and citizens. Coordination of investments, institutions, information, and incentives that impact

[18] Zones are administrative units in Ethiopia. Regional states are divided into zones, which are subdivided into woredas and then kebeles.
[19] 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
[20] 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
[21] Unique. 2015. *Ethiopia Forest Sector Review*. Technical Report, Addis Ababa.

or are impacted by forest resources is extremely weak. Almost all forested areas fall under the mandate of Oromia authorities including the newly established Oromia Environment, Forest and Climate Change Authority (OEFCCA). [22] . Other regional bureaus responsible for agriculture, land, energy, and water are also central to forests and land-use change. Bale National Park and four other national protected areas[23] are under the federal mandate of the Ethiopia Wildlife Conservation Authority (EWCA).

2.4.2. Social Baseline Conditions

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

Demographic, Ethnic and Religious Features: Based on the Central Statistics Authority population projection, the population of Oromia reached 33,691,991 in 2015. 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 2007[24] 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:

1) 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.
2) 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.
3) The Southern Oromo consist of smaller sub-groups without regional cohesion. Many are pastoralists and have an agro-pastoralist lifestyle.

[22] OEFCCA was set up by Proclamation 199/2008 on August 21, 2016.
[23] Awash National Park, Abijata Lake National Park, Babile Elephant Sanctuary and Senkele Wildlife Sanctuary.
[24] This is the latest data with breakdowns on the religious composition of the population of Oromia.

4) 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.
5) 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, w*omen 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 o*ccupational 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 about 66.4% of the total Regional GDP. Service and industry sectors took 23.3 and 10.3% respectively (BoFED, 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 km^2.

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." Article51 (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. Growth and Transformation Plan (GTP) and Climate Resilient Green Economy Strategy (CRGE)

The Growth and Transformation Plan (GTP) carries forward important strategic directions pursued under the Plan for Accelerated and Sustained Development to End Poverty and the Sustainable Development and Poverty Reduction Program. During the plan period, the GTP encompasses qualitative and quantitative targets set in the areas of macro-economic performance, performance of economic and social sectors(including agriculture, trade and industry, mining, transport, telecommunication, energy, water and irrigation, construction and urban development, education and health) and cross-cutting sectors (including: gender and children affairs, youth and sports development, HIV/AIDS prevention and control, social welfare, population development, labour affairs, culture and tourism, science and technology development and environment and climate change).

The GTP particularly emphasizes the fact that consideration of the environment plays a pivotal role in sustainable development. The Plan aims at building a 'Green Economy' and implementing the existing environmental laws as part of the key strategic directions to be

pursued during the plan period. In the process of building a CRGE, the Plan identifies two key issues; namely: adaptation to climate change impacts and mitigation of greenhouse gases (GHGs).

The GTP sets out also a strategic direction of building a 'green economy' and strengthening the implementation of existing environmental laws. It has also the objectives of formulating and effectively implementing policies, strategies, laws and standards which will foster social and green economy development so as to enhance the welfare of citizens and ensure environmental sustainability.

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;
- 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 in to 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. Proclamations and Environmental Guidelines

3.10.1. Proclamations

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.

Moreover, the former Environmental Protection Authority has been upgraded to a Ministry level (MEF) by the Proclamation No. 803/2013; and the duties and responsibilities of the former federal environmental protection authority and the power and duties of the ministry of Agriculture with respect to matters related to forest are given to the ministry of environment and forest

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, MoI, 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 (including the Ministry of Environment, Forest and Climate Change)

This Proclamation redefines the mandates of several federal government agencies including that of the environment. For instance, it amends all previous laws and provides for expanded responsibility to the Ministry of Environment and Forest. One significant development was the addition of “climate change” in the naming of the Ministry thereby amplifying its mandate regarding climate change mitigation and adaptation activities. Its current responsibilities include, among others:

- environmental impact assessment or strategic environmental assessment on social and economic development polices, 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 measurers.

Forest Development, Conservation and Utilization Proclamation (No. 542/2007)

The Proclamation is the main federal law for the forestry sector in Ethiopia. It recognizes two types of forest ownership (state and private forests) and provides for the designation, demarcation and registration of major forestlands as state forests including providing legal recognition to privately held forests. It also provides a number of incentives for non-state actors such as local communities and the private sector to get involved in the management of forest reserves or to rehabilitate and/or reforest new areas. For example, Article 4.3 states that provided that a management plan has been developed and approved, the State may give protected or productive state forests to communities, associations or investors for their continuous use and management; Article 4.5 states that 'any person who develops forest on his land holding or in a state forest area given to him on concession shall be given assurance to his ownership of the forest'. The Oromia Regional State laws complement this federal law.

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 MoANR 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 BoRL 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.

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.

3.10.2. 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.

3.11. 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.

3.11.1. 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 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, Eretria, 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.

3.12. Applicable World Bank Safeguard Policies Triggered by the OFLP

OFLP is Category B. Since the scope and nature of the Program activities and the specific sites for implementing them are not yet known, the specific instrument proposed for analyzing potential environmental and social risks is Environmental and Social Management Framework (ESMF). The ESMF is therefore required to comply with not only the relevant national policy

and legal frameworks but also with the applicable environmental and social safeguard policies of the World Bank. The Program triggered eight out of the ten safeguard polices: Environmental Assessment (OP/BP 4.01), Natural Habitat (OP/BP 4.04), Forests (OP/BP 4.36), Pest Management (OP/BP 4.09), Physical Cultural Resources (OP/BP 4.11), Involuntary Resettlement (OP/BP 4.12), Indigenous Peoples/Underserved and Vulnerable peoples (OP/BP 4.10), and Safety of Dams (OP/BP 4.37). These policies are briefly described below.

Environmental Assessment OP/BP 4.01: The Program (OFLP) activities are expected to have significant positive impacts on targeted forested areas. However, OP/BP 4.01 is triggered as some of the local-level activities could have limited adverse environmental and social impacts and risks; these activities could potentially include construction and rehabilitation of physical structures for catchment management such as check-dams, water harvesting structures, small-scale water irrigation, access roads, and area enclosures.

The Policy objective is to ensure that the Program activities are environmentally and socially sound. The type of environmental assessment (EA) would depend on the nature, scale, and potential environmental impact of the proposed investments. The EA process takes into account the natural environment (air, water, and land); human health and safety; social aspects (involuntary resettlement and cultural resources) and trans-boundary and global environmental aspects. Projects are classified by the World Bank into specific categories based on the type, location, sensitivity and potential environmental impacts:

Category "A"*:* A proposed project is classified as Category "A" if it is likely to have adverse impacts that are diverse, irreversible, sensitive and unprecedented affecting broader area than implementation sites. A full ESIA is always required for projects that are in this category.

Category "B": A proposed project is classified as Category "B" if its potential adverse social and environmental impacts on environmentally important areas or human populations are typically site-specific, reversible in nature, and less adverse than those of Category "A" projects. Few if any of these impacts are irreversible; and in most cases mitigation measures can be designed more readily than for Category "A" projects. Even though an ESIA is not always required, some environmental analysis is necessary and some form of environmental management plan needs to be prepared with recommended measures to prevent, minimize, mitigate or compensate for adverse impacts. Typical projects include renewable energy, irrigation and drainage (small-scale), rural water supply and sanitation, watershed management or rehabilitation projects, rehabilitation, maintenance, or upgrading of projects (small-scale), rather than new construction.

Category "C": A proposed project is classified as Category "C" if it is likely to have minimal or no adverse social and/or environmental impacts. Beyond screening, no further assessment is required for a Category "C" project. An indicative list of Category "C" projects includes education and health projects not involving construction, institutional development, training and certain capacity building activities, etc.

It is vital to underline that, as OFLP is category B, Program activities classified as B or C will be financed.

Natural Habitats OP/BP 4.04: This Policy is triggered by any World Bank-supported development projects/activities with the potential to cause significant conversion (loss) or degradation of natural habitats (protected or unprotected ecologically valuable habitats), either directly through construction or indirectly through human activities induced by the project.

Overall, OFLP is expected to have significant positive impacts on natural habitats, 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 program activities.

Activities that involve the significant conversion or degradation of critical natural habitats will not be supported. To this effect, program activities will be screened and impacts will be avoided on natural habitats using appropriate preventive and mitigation measures identified in the ESMF of the Program.

Pest Management OP/BP 4.09: The Policy requires safe, effective, and environmentally sound pest management. In Bank financed agricultural operations, pest populations are normally controlled through IPM approaches such as biological control, cultural practices, and use of crop varieties that are resistant or tolerant to pests.

OFLP triggered OP/BP 4.09 because pesticides are being used by forest dependent and surrounding communities in the forested areas of the Program and they may increase increase the use of agrochemicals (such as insecticides and herbicides). Therefore, an integrated pest management framework needs to be prepared as indicated in the guideline in Annex 5(1).

Physical Cultural Resources OP/BP 4.11: The policy requires countries to avoid or mitigate adverse impacts from development projects on physical cultural resources. The physical cultural resources (PCR) refer to 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.

OFLP triggered OP/PB 4.11 because the Program could finance activities in areas potentially containing physical cultural resources. Therefore, proper screening of program activities and the necessary steps of public consultations, engagement of cultural or religious leaders, local authorities need to be conducted before decision on Program activities is made. All these issues will be addressed in the Environmental and Social Management Plans (ESMPs) of the program activities.

OP/BP 4.10 is triggered. The RPF is complemented by a Social Assessment to assess key socio-economic factors that require consideration, identify vulnerable and underserved groups that meet the OP/BP. 4.10 requirements and mitigate any adverse impacts as well as ensure that these people 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. The identified mitigation actions have been incorporated in the Program as a Social Development Plan. A Social Development Plan (SDP) is the operational equivalent of the World Bank OP.4.10 'Indigenous Peoples Plan.'

Involuntary Resettlement OP/BP 4.12: OP/BP 4.12 is triggered as the implementation of the Program activities may involve acquisition of land and /or restriction of access to legally designated parks, protected areas, or forest management/reforestation areas. Therefore, in addition to the ESMF, a Resettlement Policy Framework (RPF) and Process Framework (PF) have been prepared, consulted upon and disclosed to ensure that appropriate measures are in place to address any issues which might arise from potential land acquisition and/or restriction of access to legally designated parks, protected areas, forest management, and reforestation/afforestation areas under the Program.

Forests OP/BP 4.36: The Policy aims to reduce deforestation, enhance the environmental contribution of forested areas, promote forestation, reduce poverty, and encourage economic development. The policy applies to Bank financed investment projects: i) that have or may have impacts on the health and quality of forests; ii) that affect the rights and welfare of people and their level of dependence upon or interaction with forests; iii) that aim to bring about changes

in the management, protection, or utilization of natural forests or plantations under public, private, or communally ownership. The Bank does not finance projects that involve commercial logging, significant conversion or degradation of critical forest areas and related habitats.

OFLP is expected to have significant positive impacts on targeted forests in Oromia by reducing deforestation and forest degradation, while contributing to improve the livelihood of forest-dependent communities. Generally, potential impact of the Program activities on natural forests will be addressed as per the procedures of the ESMF for the OFLP. Specifically, the ESMF provides detail procedures to screen program activities for potential adverse environmental and social impacts, and to take measures to avoid, minimize and mitigate such impacts. To this effect, site specific environmental and social management plans with mitigation measures will be prepared avoid or reduce such impacts. If there are Program activities likely to cause significant conversions of forests, they will not be financed under the OFLP.

Safety of Dams OP 4.37: There will possibly be construction of small dams, particularly for irrigation, under OFLP. For the construction and operation of small dams, relevant guidelines are used to protect people, property and the environment from harmful impacts and risks. The Program will use the FAO '*Manual on Small Earth Dams, a guide to siting, design and construction*' as a good practice. In addition, the guideline for small dam construction prepared by the Ministry of Agriculture will be used to ensure safety of small dams. The guideline is attached in Annex 6 (III).

Lastly, but not least, it is vital to note that activities under Component 1 of the Program are aimed at better landscape management, including forest management, afforestation/ reforestation, and area enclosures, among others. These activities will contribute to reducing deforestation and forest degradation, soil erosion and rejuvenate degraded landscapes; hence, there will be lesser siltation of rivers and streams in the forested landscapes of the region. None of the Program activities will therefore adversely change the quality or quantity of water flows to the other riparian of the Nile and its tributaries or any other international waterway and no actual works will be financed on or along the river system. Therefore, OP/BP 7.50 is not triggered under the OFLP based on the assumption that investments under the Program are unlikely to affect the overall hydrological balance of any of the international waterways or tributaries.

Chapter 4: Potential Environmental and Social Impacts and Mitigation Measures

4.1 Positive Impacts

Generally, OFLP would have positive environmental and social impacts through its enabling investment activities under Component 1 which includes participatory forest management and reforestation in deforestation hotspots, extension services, and land-use planning state-wide at state and local levels. The enabling environment under Component 2 would have beneficial impacts through establishing and implementing the OFLP strategic framework. This component would enhance the enabling environment to help scale up and leverage action on the ground to reduce deforestation and forest degradation. Sub-component 2.4 would, in particular, finance activities to enhance safeguards management at regional and local levels. *Component 3 of the Program would have also beneficial impacts through a robust safeguards system that will be established in the Grant implementation to ensure that the Program's citizen engagement, equitable sharing of program benefits, GRM and environmental safeguards risks are sustainably managed beyond the Grant period.*

The OFLP area provides a wider range of interrelated co-benefits in the areas of biodiversity conservation, adaptation, ecosystem services, social and broader economic benefits. It is clear that the forest dwellers and other forest dependent communities, including downstream users, are highly dependent on the co-benefits of the forest ecosystems and other natural resources for their livelihoods. The presence of these co-benefits could enable the OFLP to have more beneficial impacts than the carbon benefits. It is also useful to note that the carbon benefits should play a catalytic role to ensure the sustainability and multiplier effects of the Program.
In line with the proposed strategic options and potential intervention activities, the positive environmental and social impacts of the Program are presented in Table 3 below.

Table 3: Environmental and social benefits

Proposed Strategic options	***Intervention activities***	***Social Benefits***	***Environmental Benefits***
SO1: Enhance cross-sectorial synergies and stakeholder participation-	Enhance cross-sectorial synergies and stakeholder participation-	• Creates coherent vision that outlines a path towards sustainable forest management • Policy will be harmonized and key stakeholders will participate on implementation of the harmonized sectoral policy, • Creates legal framework among key stakeholder to reduce deforestation • Prevents effort duplications • Avoids resource wastage • Assigns accountability to one institute/organization	• Help for sustainable reduction of deforestation and forest degradation • Reduce fragile ecosystem degradation due to large scale agricultural investment, mining, and infrastructure development
SO2: Forest governance and law enforcement	Forest governance and law enforcement	• Enhance forest ecosystem service to the local community, regional and global • Increase the contribution of forestry to the total GDP • enable the local community to have detailed knowledge of the forest resource in their vicinity • Increase Forestry's contribution to employment generation in Ethiopia • help hydro power and irrigation dams not to be silted and make them sustainable	• ensure the continuous recruitment of potential crop trees by protecting browsing & grazing in the existing forest • put restriction on expansion of farm land into forest • Enhance carbon sequestration/ maintain carbon stock • Improve forest fire management • Increase contributions of forests to watershed management, soil and water conservation and forest products utilized in other economic sectors such as health, food, and manufacturing and construction activities • Encourage biodiversity Conservation
SO3: Forest tenure and property right	Forest tenure and property right	• Improve incentives or abilities to invest in forest sector • Help community to use their labor, wealth, and creativity in forest management • Help underserved community to access forest resource benefits	• Enhance natural resource conservation and local community involvement on reduction of deforestation and forest degradation
SO4: Land use planning	Land use planning	• increase productivity of agricultural land • reduce conflict between different key actors on land resource	• Help reduction of deforestation due to conversion of forest land into other land use. • make sustainable and long-term land improvement and management practices
SO5: Ensure Sustainable Forest Management	Participatory Forest Management	• Create partnership between government and community • Create access and benefit from forest resource for local community • Help to respect rights, Change attitudes/ changing roles, • Help to address resource use conflicts, Democratic functioning • Enhance participation of local community in forest management	• Enhance sustainable forest development, • Create sustainable forest use • Help to create healthy regeneration, Forest boundary respected, Enrichment plantings, Open access regulated, Re-appearance of wildlife, Forest fire incidence minimized

Proposed Strategic options	*Intervention activities*	*Social Benefits*	*Environmental Benefits*
		• Strengthen the existing traditional community based natural resource management institutions such as the Gada system of Oromo pastoralist • Help to engage the forest dependent community to participate in Forest Resource Assessment, • enable the local community to have detailed knowledge of the forest resource in their vicinity • Help to sustain the flow of benefits which are to be fairly shared primarily between the communities and the state forest agency • Sustain and/or increase income opportunities from improved natural resource management and diversified livelihood	• Help establishment of forest monitoring system • Create partnership between state forestry service and organized villagers • all silvi-cultural treatments could take place with low financial input • Improve biodiversity and forest quality, • Enhancement of ecosystems services (water availability and other erosion control) in a sustainable manner • Reduce deforestation and forest degradation,
SO6: Enhancement of forest carbon stock	• Afforestation /refforestation • Area enclosure • Assisted natural regeneration	• Increased income and savings • Improved food security and nutritional status • Help diversification of income • Increased firewood supply • Enhance ecosystem service for local community • Forest product provision for local community enhanced • The fall in prices of forest products such as firewood and charcoal • Reduce time and energy required to access forest product • Increased knowledge and experience related to agroforestry • Communities access a number of non-timber forest products for household needs like grass • Increasing local economic opportunities including where possible jobs for people from local communities and deliberate use of local services. • Supply for forestry products of lignum and fodder will increase • Improve human settlements and life quality	• Improved soil fertility and yields • Reduce pressure on forest resource for fuel wood • Soil conservation, erosion control and water conservation • trees planted in agricultural land will help as wind breaks • It helps to hold soil in place during and after harvest of farm crops. This allows for ground moisture levels to remain regular, reduces soil degradation and erosion. • ensure the continuous recruitment of potential crop trees by protecting browsing & grazing in the existing forest • Encourage regeneration of flora diversity • Enhance biodiversity Conservation • Enhance carbon stock in the forest area • Help maintenance of landscapes and scenic views • Contribute reduced deforestation, forest degradation and carbon emissions • Natural and ecological forest will be protected from destroying availably, and the ecological environment will be improved and protect indirectly. • Increase the capacity of water conservation, • Increase habitat of wildlife, form the biological corridor, be in favor of biodiversity protection. • Improvement in ecosystem services • Increase forest resource coverage

Proposed Strategic options	*Intervention activities*	*Social Benefits*	*Environmental Benefits*
SO7: Agricultural intensification-	• Intensification through inputs (seeds and fertilizer) distribution and extension services, organizing local coops • Livestock value chain improvement meat and diary • Crop value chain improvement	• Reduce poverty which led forest extraction for sale • Enhance income of the community • Create job opportunity • Improved household food security and diet • Livelihood of the local community will be enhanced • Create job opportunity • Reduce expansion of agriculture • Improve agricultural practice • Increase income • Diversify crop production and nutrition	• enhanced land & crop management • Enhance conservation of agro-biodiversity • Reduce expansion of agriculture into forest land • Improve agricultural practices • Productivity of small scale agriculture will be enhanced • Reduce Expansion of small scale agriculture in to forest area • Agricultural practices will be improved • Increase crop diversification • Reduce forest degradation pressure on forest
SO8: Reduce demand for fuel wood and charcoal-	• improved cook stoves • Formalized charcoal supply chains and certify sustainable charcoal	• Saves time when collecting wood • Saves money • Create additional income for small and micro enterprise stove producers • Reduce health impact of smoke from three stone open fire stoves • Reduction of child labor for fuel collection • Reduce fuel expenditure • Reduce to exposure of indoor air pollutants (IAP) such as carbon monoxide and particulate matters which affect women and children	• Provide alternative energy • Reducing emissions of carbon monoxide by more efficient burning • Reduce loss of forests and thus increased potential for biodiversity conservation and maintenance of ecosystems services • Reduce in environmental pollution Conserve the forest
SO9: Increase wood and charcoal supply	• Woodlots	• Drive of economic development • Encourages the creation of wood industries • Create multiplier effects on the local economy through creation of employment opportunities at each value chain levels • Improve household income and socio-economic well-being of farmers • Encourages the creation of wood product • Improves wood self sufficiency • Source of supplementary income or as women's work • Reduce migration from rural or forested areas and improve people's incomes • Charcoal makers would produce charcoal as their main activity	• More carbon sequestration • Micro-climate improves • Recurrent drought experienced by the country halt • Reduce non-sustainable and high rates of wood fuel extraction that destroy forests and woodlands and the environmental services these provide including soil and water conservation • Decreases deforestation and forest degradation on other forests (such as high forest) • Increase on farm species diversity • Enhance soil fertility • Avoid deforestation by overharvesting of charcoal production

Proposed Strategic options	*Intervention activities*	*Social Benefits*	*Environmental Benefits*
		• Increase foreign income, • create job opportunity for youth and landless people • reduce impact of invasive species on range land and farm land	• Help to conserve resources, • Reduce fuel wood consumption and then reduction of CO2 emissions from biomass • reduce impact on endangered species since it will be done on invasive species like *Prospois Juliflora*
SO10: Improved livestock management-	•	• Effective, market-oriented livestock production increase output quantity, quality and prices • Identify opportunities for the poor, especially women, to participate in value added production of livestock and livestock products, thereby capturing a greater share of additional value within the livestock production and marketing chain • Improve livestock sector infrastructure and provide greater incentives for market participation and productivity • increase income of the local community, • Create job opportunity for landless community members • Reduce farmers economic loss • Increase productivity of livestock • Secure sustainable household income • Increase animal protein supplies to match human needs • Since its initial investment cost is small, it involves young, women and other community in poultry production • Mechanization leads to food self sufficiency • Improve livelihoods of smallholder farming communities	• Change impact of large crowd of livestock on regeneration or recruitment of seedlings by reduce number of livestock • Reduce pressure on the available resources • Reduce poor range management involving overgrazing practices that increase soil erosion and increase amount of poor pasture and invasive plant species on the natural pasture • Reduce loss of livestock genetic resources • Significantly reduce emissions from domestic animals. • Reducing the pressure on fragile ecosystems • Reduce pressure on natural resource by keeping animal draft for ploughing
SO11: Emission Reduction Payment	• Benefit sharing	• Help to organize community groups and regional government/forest services share the benefits, • Ensure poor and marginalized groups have equal chance to participate • Create relevant stakeholder and local community ownership to the forest • Increase off-farm income generating activities for communities living adjacent to protected areas	• Enhance conservation and rehabilitation of forest resources • Enhance participatory conservation of forest resources • Ensure the participation of communities in forest protection and conservation help conservation of the forest resources by the forest local community

Proposed Strategic options	*Intervention activities*	*Social Benefits*	*Environmental Benefits*
		• Membership developed bylaw clearly specifies duties and responsibilities of the CBO members. This enable to resolve their problem themselves	
SO12: Ensure full participation and equitable benefit for women		• women participation in forest use and management will be enhanced • Women's concerns of tree planting will be addressed • Improve security of tenure for women by planting boundary trees • It has the potential to positively affect women's roles and status in relation to land ownership and management • Women's knowledge of landscapes and ecosystems can help REDD+ projects succeed • women's inclusion exhibits the likelihood to improve forest conditions • Women's inclusion in REDD+ is itself a crucial safeguard issue that warrants immediate attention • Help to compensate women equitably for their engagement in forest protection and carbon monitoring activities. • Women organizations may get information in all phases of REDD+ Implementation • Women can play an essential role in forest monitoring • Enhance women involvement in and influence over decision-making processes that define their access to forest rights and resources, and rights to assets, including land and other property	• Help sustainable conservation of forest resources • Help sustainable conservation of forest resources
SO13: Inter-sectoral coordination on planning and implementation-		• Reduce conflict among stakeholders working on land resources • Harmonize policy conflict • Create linkages with different stakeholders	• Strengthen sustainable forest rehabilitation
SO14: Capacity building		• Incentivize stakeholders to forest resource management and involvement of different stakeholders • Strengthen government and community in management and introducing forest and other related livelihood alternatives • Increase capacity to tackle technical issues related to forest resource	• Strengthen conservation and rehabilitation of forest resources in a sustainable manner • Help to establish strong forest administration system capable of arresting the rapidly increasing rate of deforestation as well as controlling and preventing the disruption of the various ecosystems • Forest management knowledge will be created

Proposed Strategic options	*Intervention activities*	*Social Benefits*	*Environmental Benefits*
		• Share experience and help to scale up best experience f forest management	
SO15: Promote supplementary income generation		• Substantial contributions to the security of food and nutrition in drought periods, and main foods and supplementary diets in normal times • Contribute towards food security, improving health and nutrition, medicinal treatment, income generation, cultural heritage • Safeguard non-timber forest resources and user rights • Communities will be able to sustain and improve their livelihoods without the destruction of the NTFP resources, water sources or ecosystems. • Improve product supply, value chain dynamics and marketing. Communities will experience increased food security and household income, enabling them to invest in diversification, education, healthcare and better living conditions. • When crops and livestock are insufficient, NTFP become essential for food and income. • The national foreign expenditure for importing wood products will substantially decrease, and this will increase the national income • The existing huge gap between demand and supply of forest products will be minimized • Poor people would have increased adaptive capacity to climate shocks by increasing their house hold income from direct selling of forest products • create job opportunity for underserved community, • Enhance household income • Diversify nutrition of the community • Increase contribution of the forest resource for the national GDP • Increase involvement of different stakeholders in the value chain process	• Improve the value of source of NTFP, thus reducing the risk of deforestation while still obtaining sustainable benefits from these forest for the local communities • Enhance sustainable management and use of NTFP source of trees, • Substantial amounts of carbon will be stored both in the above ground and below ground biomass • Increase substantial amount of carbon stock sequestration, • Forest resources will be sustainably managed • Soil erosions will be substantially reduced • Reduce pressure on natural forest • Plantation forests will serve as a buffer zone of natural high forests and woodlands • Regular forest resource monitoring system will be established • Reduce pressure on natural forest • Reduce illegal logging on natural forest • Help for sustainable management of the forest

4.2 Potential Adverse Impacts and Mitigation Measures

Some of the Program activities under Component 1 may have some localized but less sensitive, site specific and perhaps reversible environmental impacts if appropriate screening is not done and if such impacts are not considered with regard to their locations or in the design of program activities. The activities could potentially include construction or rehabilitation of physical structures for catchment management such as afforestation/reforestation, area closures, check-dams, water harvesting structures, small-scale irrigation, and access roads. The activities may also include agricultural intensification activities, including small-scale irrigation schemes, that may necessitate applying agrochemicals (such as pesticides). Component 3 may have also adverse environmental and social impacts, specifically in relation to benefit sharing. Hence, grievance can arise at different administrative levels of the region in relation to benefits and other issues of OFLP. Unless grievances are timely and correctly resolved (see Annex 11for information related to Grievance Redress Mechanism), it scales up and may reach the level that brings failure in the implementations of OFLP and its safeguard instruments, including the ESMF.

The program activities will therefore be screened for the possible environmental and social impacts during the participatory planning at the community level and appropriate mitigation measures will be developed. For activities of environmental and social concern, a detailed site-specific environmental and social management plan will be prepared to contain the adverse impacts and maximize beneficial impacts before the start of implementation activities. (*It should be noted that any program activities that would be categorized as category 'A' will not be financed by the Oromia Forested Landscape Program.)* The checklist of activities (source of impacts), the potential negative impacts and possible mitigation measures which are part of the Environmental and Social Management Plan for the selected Program activities are indicated in Annex 5. Further, in line with the proposed strategic options and intervention activities, the environmental and social risks and proposed mitigation measures are given in Table 4 below.

Table 4: Environmental and Social Risks and Mitigation Measures

Strategic options	***Proposed interventions***	***Environmental***		***Social***	
		Risks	***Mitigation measures***	***Risks***	***Mitigation measures***
SO1: Enhance cross-sectoral synergies and stakeholder participation-	• Enhance cross-sectoral synergies and stakeholder participation-	• Increased deforestation and forest degradation due to absence of full collaboration of sectoral institutes with MEFCC (e.g. law enforcement weakness) • Less likely collaboration of sectoral institutes for joint planning on forest issues	• Coordination unit to be assigned at higher level (Oromia Vice President Office) that check synergy of the sectoral institutes • Assign counterpart (focal person) in each sectoral office that links MEFCC with them	• Inefficient social service (education, health, water, market information, etc) from the sectoral office due to absence or little synergy	• Enhance synergy • Develop customer reporting system for stakeholders from government offices, private sector, NGOs, CBOs, etc. at national, regional, zonal, woreda and kebele levels
SO2: Forest governance and law enforcement-	• Forest governance and law enforcement	• May bring increased forest degradation from organized illegal cuttings • May call for total environmental destruction from mass mobilized cuttings and setting of forest fire	• Avail forest products and non-timber forest products which the community depends on the forest from other sources • Share benefit to the community from the income accrued due to the protection of forest • Increase the awareness of the community through training and education • Law enforcement should be in place • Allow community use the resource without cutting the trees e.g. for ritual, cultural practices, • Educate and train the community on the value of the forest • Prepare enough through capacity building (human & material) to suppress fire incase fire is set • Empower indigenous grievance redress mechanisms	• Restriction over livestock pasture resource may impact livelihoods • Restriction over expansion of farmlands may reduce productivity • Restriction over fuel, construction and farm tools may impact on incomes • Conflict between local communities and protecting agents • Restriction over member of communities that traditionally use the forest for religious rituals • Obstruction of routes that connect communities living on either sides of the forest • Hosts wild animals that may frequently attack livestock of surrounding communities • Strong institutions may override community based institutes that protected forest for centuries	• Let the community use grass in cut and carry system • Intensify productivity per unit area through improved input use so that areal expansion of agriculture land halt • Supply improved cooking and baking stoves to the community which depends on forest for energy source • Materialize the second phase growth and transformation plan (GTP) of Ethiopia that gives due emphasize to renewable energy sources • Shift from wood to metal and/or blocks for construction • Ploughing system shift from traditional to low-tillage so as to be more sustainable, more resilient, more low carbon, and get higher productivity • Use customary conflict redress mechanism • Enhance the benefit of the community from the enclosed area • Provide adequate compensation by government • Allow communities to practice the ritual and religious practices in the forest as far as these do not affect the forest

Strategic options	Proposed interventions	Environmental		Social	
		Risks	Mitigation measures	Risks	Mitigation measures
					• Area enclosure should leave access routes for communities to move freely • If obstruction of access route is must, another "reasonably convenient" route must be arranged • Maintain wildlife to the ecological threshold level • Compensate the individual whose livestock eaten by the wildlife • Strengthen CBOs
SO3: Forest tenure and property right	•	• Attractive forest tenure and property right may increase land grabbing opportunity • May increase the value of forest land over agriculture land • Disrupts traditional tenure and forest management systems • Change in land use type may be induced (e.g. from agriculture to forest or vice versa)	• Implement effective law enforcement to deter land grabbing • Government should implement land use planning • Synchronize traditional and modern land use system get the best out of the combination • Compensation planting required if change is from forest to agricultural lands	• Small holder farmers may be evicted from their holdings for forest investment • Loss in land ownership may be induced (e.g. from private to government or vice versa) • Coffee forest farmers may be affected by the change of the forested coffee to pure stand of forest	• Organize community in CBO/PFM and let them have their own forest • Provide adequate compensation by government both in kind and other means •
SO4: Land use planning	• Land use planning	• Change in land use type may be induced (e.g. from agriculture to forest or vice versa)	• Compensation planting required if change is from forest to agricultural lands	• Loss in land ownership may be induced (e.g. from private to government or vice versa) • Coffee forest farmers may be affected by the change of the forested coffee to pure stand of forest	• Provide adequate compensation by government both in kind and other means
SO5: Ensure Sustainable Forest Management	• Participatory forest Management	• Create economically driven forest mismanagement that may lead to forest degradation • May instigate deforestation from marginalized local communities and/or little benefiting PFM members	• Hybrid of PFM and Traditional forest management with scientific management so that forests utilized based on forest management plan • PFM should encompass all community members with equal benefit sharing	• Interventions of PFM are prone for any physical damage since it does not have legal support under Ethiopian law • PFM experiences in Ethiopia is mainly in a high forests; this may have	• PFM need to be supported by legal framework by promulgating new policy • Educate and train communities in the lowland areas about PFM • Assist communities in the low land areas to carry-out experience sharing visit in high land areas

Strategic options	Proposed interventions	Environmental		Social	
		Risks	Mitigation measures	Risks	Mitigation measures
		• Low economic value forests in lowland areas may not attract PFM organization • Coffee farming in the forest has already degraded biodiversity and further permit of coffee farming in the forest may worsen the condition • Stakeholder and community may not be mobilized as required • Tragedy of the commons	• Enhance the economic value of the lowland forests through forest industry installation • Strict control over the expansion of coffee planting in the forest • Put in place where the undergrowth and natural regeneration of tree species allowed to grow • Put in place the urges maintenance of minimum number of indigenous tree species where coffee is farmed • Build own capacity of fire prevention system • Educate people • Select appropriate species for the purpose	negative impact to adapt in low land woodland areas where there is different socio-economic and ecological conditions • Creates dependency syndrome on local communities because of long term incentivization by implementing projects to protect the resource • Conflict over benefit sharing and marginalization of certain segments of local community • Conflict over skewed power relationship • PFM may involve the exclusion of previous forest users from accessing forest resources	• Encourage self dependency of the PFM groups through enabling them generate their own income from the forest management activities • All the communities members should become PFM members • The PFM bylaw and the legal framework should define the power of the PFM leaders • The leader should be sued in case of default • Equal access rights to all members of the community need to be granted • The PFM bylaw (either to be (i) strengthened where it exists or (ii) developed in new PFM sites by potential projects) should ensure access to all community members
SO6: Enhancement of forest carbon stock	• Afforestation /refforestation • Area enclosure • Assisted natural regeneration	• Quarantined agroforestry species may become invasive and damage the natural environment • May be less effective in cases where mono culture practice more benefits the environment (e.g. in dissected landscapes) • Where the tree and crop or livestock components overlap in their use of resources, competition may lead to reduced productivity (e.g. Competition for water between tree and crop components is likely to limit productivity) • Aggravate environmental degradation from setting of fires	• Establish strong quarantine centers at national and all regional government levels • Integrate several crops and tree species in the agroforestry practices • Integrate in the agroforestry system crops with low moisture demand • Harvest water during the rainy water for dearth period use • Firebreak structure and equipment should be in place • Educate and enhance the awareness of community • Fence to exclude encroachment • Do not come close to the habitat/breeding place of wildlife	• Highly fragment land use types of an individual household and may end up in highly reduced products • Difficult to introduce due to long gestation period of the trees • Traditional monoculture farming system • Intensive care for the various agroforestry practices consumes the time and energy of household members • Physical relocation of local communities	• Increase productivity per unit area through improved input use (seed, fertilizer, etc.). • Integrate several types of agroforestry crops and trees to get increased products from diversified crops and trees • Opt for fast growing tree species • Research centers should work on improving (shortening) of the long gestation period of local tree species • The agroforestry system should integrate at least 2 and above 2 tree species with other crops • The household should manage the size of the land that can be managed by the family members

Strategic options	Proposed interventions	Environmental		Social	
		Risks	Mitigation measures	Risks	Mitigation measures
		• Aggravate illegal cuttings and destruction of regenerating biodiversity • Increase conflict between wildlife & humans & increase crop pests (birds, mammals) • Risk of monoculture plantation • Compromise to local biodiversity • Risk of harbor of crop pests in reforested area • Some soil impacts can be expected as a result of plantation forests operations, including erosion, decreasing surface runoff and the development of a protective forest floor • Poorly designed and mass mobilized conservation measures aggravate soil erosion	• Share benefit from the wildlife hunting/ ecotourism so that community feels ownership over the resource • Use integrated crop pest management practice • Plant mixed species • Allow natural regeneration under the monoculture species so that the regenerated species overtake the planation • Plant local/indigenous tree species • Allow natural regeneration under the monoculture species so that the regenerated species overtake the planation • Use integrated crop pest management practice • Allow undergrowth through wider space planting • Install soil and water conservation practice (physical & biological) to harness erosion • Implement conservation measures using experts/well trained person only • Enforce land use plan to come into force	• Restriction over livestock pasture resource • Restriction over expansion of farmlands • Conflict between local communities and protecting agents • Obstruction of routes that use to connect communities living on either sides of area closure • High costs of seedling production to carry out plantation relative to enrichment plantings • Brings loss of economic benefits • Create access restriction for resource utilizations • Create land computation with local community • Can prevent human and livestock mobility • From previous experience of large scale plantation people feel fear of loss of land ownership • Fire is a concerns that fire will increase and could affect neighboring properties • Some soil impacts can be expected as a result of plantation forests operations, including erosion, decreasing surface runoff and the development of a protective forest floor.	• Use mechanized/ improved technology for time and energy efficiency reason • Compensate in kind or other means • Use cut and carry system • Proportionate the number of livestock with the available resource amount • Intensify productivity per unit area through improved input use so that areal expansion of agriculture land halt • Use customary conflict redress mechanism • Enhance the benefit of the community from the enclosed area • Compensate them enough • Area enclosure should leave access routes for communities to move freely • If obstruction of access route is must, transport facility to use the other route must be arranged • Subsidize the seedling production cost through support by NGOs operating in the area • collect seed from local sources and raise them in community owned nursery • Compensate for what the community will lose from the land that is to be devoted to reforestation/ afforestation • Ensure benefit sharing from the reforestation/ afforestation through their active involvement in the activities • Allow cut and carry practice for the grass use • Allow the utilization of NTFP • Implement reforestation/ afforestation on land with no competing interest (e.g. previously forested land or marginalized land) with the community

Strategic options	Proposed interventions	Environmental		Social	
		Risks	Mitigation measures	Risks	Mitigation measures
					• reforestation/ afforestation should leave access routes for communities to move freely • If obstruction of access route is must, another "reasonably convenient" route must be arranged • Legal confirm them the forest to be developed on their own land finally belongs to them • Do not plant fire prone tree species • Plant mixed species to minimize the risk of fire setting naturally or deliberately • Train the community on forest fire risk and forest fire management • Construction fire break line between the forest and the properties of the community • Get prepared suppressing the fires though availing fires suppressing tools and equipment • Plant with wider spacing to allow undergrowth so that erosion will be prevented or minimal • Empower women and youth to play the role in enhancing forest carbon stock through afforestation/reforestation, forest management/rehabilitation, etc.
SO7: Agricultural intensification-	• Intensification through inputs (seeds and fertilizer) distribution and extension services, organizing local coops • livestock value chain	• Siltation of reservoirs • Fertilizer runoff and leaching; eutrophication and effect on human health • Runoff of pesticides and similar agricultural chemicals • Eroded agricultural genetic resources essential for food security in the future. • Increased pesticides harms animal and human health by accumulating	• Implement watershed management practice to protect reservoirs • Protect the farmlands with integrated soil & water conservation (biological & physical) measures • Use of inputs (fertilizers and other chemicals) based on soil and plant tissue analysis for nutrient • Treat water before using • Protect the farmlands with integrated soil & water conservation (biological & physical) measures	• Create farmers to depend on agricultural inputs like fertilizer • Reduces farmers' ability to use natural pest cycles, leading to increased need for pesticides • affects human health due to agricultural chemicals • Lack of awareness about appropriate use of chemical fertilizers/pesticides due to	• Encourage agriculture intensification by the use of compost, as chemical fertilizer is expensive especially for smallholder farmers and has also pollution problems • Use integrated pest management system which proved best than single types of pest management practice • Give awareness creation on health and safety of agro-chemicals • Use of Personal Protective Equipment (PPE) whenever applying agro-chemicals

Strategic options	***Proposed interventions***	***Environmental***		***Social***	
		Risks	***Mitigation measures***	***Risks***	***Mitigation measures***
	improvement meat and diary • Crop value chain improvement	in soils and leaching into water bodies • Stalinization and regimes of underground water • Inadequate drainage and over-irrigation causes water logging • Lowering of water tables • Water diversions for agriculture are a major problem for many aquatic species.	• Never erode the local genetic resource; work side by side on both local and improved crop varieties to enhance food security • Use personal protective equipment whenever applying chemicals • Protect animal from entry into the farm area until the chemicals dilute and assimilated by the crops • Continuous leaching of the farms with water • Irrigate the farms based on the soil water requirement analysis • Use drip irrigation to avoid both under and over irrigating • Implement practices that recharge ground water (watershed management, soil & water conservation structure) • Diversion of water to only the threshold level beyond which aquatic live do not affected	lack of education and knowledge of community, especially women • Limited purchasing capacity of inputs (improved seeds, fertilizers seedlings) can limit potential gains • CSA sometimes need adopting new farming system and technology which may not be both accepted earlier and afforded financially respectively • Only rich farmers may benefit from CSA • Prevalence of water-borne diseases (giardia, schistosomiasis, etc.) may increase • Increased exposure to malaria • Shortage or lack of water resource to downstream users • Conflicts between neighboring communities over water resource utilization	• Offer continuous and sustained education & awareness creation on the appropriate use of chemicals • Government needs to subsidize any cost related to agricultural intensification to encourage the use of the same by community, especially small holder farmers • Educate and train community on the benefit of CSA • Assist poor farmers technically and materially • Educate and give sustainable training to the community on water and sanitation including water borne diseases • Enhance health facility for the treatment of water borne diseases if these are inevitably occurring • Avoid water logging through adequately draining • Disturb stagnant water continuously to break the breeding/life cycle of the insect • Cater mosquito net to the community • Implement wise and fair use of water • Water use to be implemented based on the schedule to be fixed by the consent of the upper and lower community • Harvest excessive water during the high moisture seasons for the later dearth period use • Water use to be implemented based on the schedule to be fixed by the consent of the upper and lower community
SO8: Reduce demand for fuel wood and charcoal-	• improved cook stoves • Formalized charcoal supply chains and certify	• Increased use of energy efficient stove may indirectly lead to high biomass energy demand and consumption which in turn cause deforestation	• Go for alternate energy sources (such as solar, wind, hydropower, geothermal)	• Incur cost to poor local communities • Difficult to adopt the technology due to cultural barriers (e.g. Preference of	• Supply of energy efficient cooking and baking gadgets at subsidized price • Avail electricity at affordable price by the community

Strategic options	Proposed interventions	Environmental		Social	
		Risks	Mitigation measures	Risks	Mitigation measures
	sustainable charcoal •			open over closed stoves for fumigation reasons) • Difficult to adopt the technology in abundant forest resource areas • May be difficult to supply energy efficient cooking stoves, biogas and electricity over short period of time • May be difficult to supply the stoves in high demand areas due to long production-marketing chain • Stoves in high demand areas due to long production-marketing chain • Exploitation by middle men in the market chain • Time taking: long awareness creation and technology adoption process	• Encourage farmers build corrugated/bricks roof house over hatch house so that there will be no fumigation • Educate and enhance the awareness of the community on modern style of living • Educate and give sustained training on the relative advantage of electricity/fuel efficient stove over the traditional stove • Avail electricity and cooking/baking stoves at very attractive price • Solicit fund for the soonest project implementation e.g. fuel efficient cooking/baking stoves catering • Begin with the few number of farmers and gradually increase it • Build the capacity of community members for own community demand making of the stoves • Build the capacity of community members for own community demand making of the stoves • Build the capacity of community members for own community demand making of the stoves • Begin with few number of farmers and gradually increase it
SO9: Increase wood and charcoal supply	• woodlot •	• Exotic species may dominate as these are fast growing than the indigenous • Environmental degradation during harvesting and transporting time • Adverse micro-climate modification after harvesting • The act induces more numbers of charcoal users which means more carbon emission	• Researching on fast growing indigenous tree species • Employ semi-mechanized system during harvesting • Harvest based on the rotation period (do not harvest all at a time) • Sequestrate the emitted carbon by planting trees of environmental value (e.g. for carbon financing, ecosystem protection)	• Market problem may be a challenge • High transport, operation and maintenance costs and the length of time it takes to reach commercial centers • May brings food insecurity as farm lands devoted to plantation • Labor may be a problem for the family to harvest the forest products	• Look potential local and oversea forest products • Improve road network in the coming GTP2 years • Create wood market centers at optimum distance from the plantation area • Transport food from surplus production area • Incorporate NTFP (such as honey) in the system • Hand operated simple machine catering to tree farmers at subsidized price

Strategic options	Proposed interventions	Environmental		Social	
		Risks	Mitigation measures	Risks	Mitigation measures
		• Environmental pollution by particulate matters from the use of charcoal • High calorific value wood plantation leads to monoculture that brings about loss in biodiversity • Fire risks from the tree species planted for charcoal production as they are susceptible to ignition	• Use charcoal gadgets with chimney and lid that prevent entry of particulate into the environment • Allow natural regeneration under the plantation • Have different plantation sites for biodiversity and environmental protection • Construct fire breaks between blocks of forest • Build capacity (human and material) to suppress fire in case it sets	• Transporting to the market center may be a problem due to farmers financial capacity • Loss of livestock due to communal land (such as grazing lands) allocation for tree planting • Animal protein malnutrition (meat & milk) due to loss of livestock s grazing lands go for tree plantings • Charcoal market problem may be encountered • Indoor air pollution that may cause acute and chronic respiratory diseases, malignancies of the aero-digestive tract and lungs, burns, eye diseases	• Organize in CBO and pull the resource together to solve financial problem • Encourage tree plantings on marginal lands and own plot • Transport from met and milk surplus areas • Assess the feasibility of charcoal market before embarking on it • Educate on the health impacts of indoor charcoal pollution • Ventilate rooms whenever using charcoal
SO10: Improved livestock management-	•	• Solid wastes expected from poultry farm • Nuisance odor expected from poultry farm • Mechanization leads to intensive use of agricultural inputs that results in pollution	• Use the waste for fertilizing soil in farm land • Poultry farm to be performed far from the residential areas • Implement the EMP recommended in the ESIA of the project whenever available • Test for soil and water samples regularly to check the environmental pollution standards of Ethiopia not breached and also rectify problems earlier if any	• Market problem of the products of livestock may be a challenge • Malnutrition especially to the kids • Bird diseases that is communicable to human may be a problem • Loss of assets (livestock) to be used for emergency case by selling	Identify local and oversea markets for the products • Maintain milk cows • Purchase and transport milk from surplus area • Sanitation to be maintained 24 hours a day, 7 days a week • Bio-safety measures to be taken • Educate farmers on saving of what is earned (from the main income generating or alternative income sources activities) • Maintain few livestock to be used as an asset
SO11: Capacity building	•	• Capacity building may only focus on entities that have direct linkage to REDD+	• Inclusion of all relevant experts in the forestry sector at different levels • Capacity support should include facilities and financial support to forest sector offices	• Participation of women and wider stakeholder groups may be neglected	• Ensure the participation of women is prioritized and all stakeholders have to the opportunity to participate • Support should prioritize those with serious capacity problem

Strategic options	Proposed interventions	Environmental		Social	
		Risks	Mitigation measures	Risks	Mitigation measures
		• Soft capacity may not reduce deforestation unless financial and material support is provided		• Support may be shared by those who already have the needed capacity	
SO12: Inter-sectoral coordination on planning and implementation-	•	• Lingering decision making process may result in further destruction of forest resources • Inaction may weaken law enforcement and cause lose control over uncontrolled extraction	• Put in place a workable mechanism that facilitates with checks and balance in making timely decisions • Increased accountability and transparency in the decision making process	• Stakeholders may not collaborate as desired	• Establish stakeholder coordination and mobilization unit for the daily follow up
SO13: Ensure full participation and equitable benefit for women	•	• Loss of cultural, medicinal, etc. value species may occur while disregarding others than women	• Allow all community segment (men & women, youth & elders, etc.,) contribute available knowledge for the management of the natural resource	• Weak collaboration of sectoral institutes in mainstreaming gender • Disregard/ marginalize knowledge and expertise of others (other area skill & knowledge will be eroded overtime)	• Build and strengthen institutional capacities of implementing partner organizations (IPOs) in gender and REDD+ issues • Allow all community segment (men & women, youth & elders, etc.,) contribute available knowledge for the management of the natural resource
SO14: Emission Reduction Payment	• Benefit sharing	• REDD+ implementation may result in more deforestation and forest degradation if it carries cost to the community • Late recognizer of the benefit of the REDD+ project may adversely affect the REDD+ project forest	• Devise mechanism where the REDD+ project absorbs its costs associated with its implementation • Give opportunity for the late adopters to become the member and enjoy the benefit	• Community may refuse to accept costs that REDD+ project brings to them • Lack clear mechanisms for sharing benefits may result in grievances • Overridden stakeholders adversely affect the implementation of REDD+ project • Income difference may be created between the REDD+ project members and non-members • Unequal participation in the development of bylaw may bring disparities in implementing the bylaw	• Devise mechanism where the REDD+ project absorbs its costs associated with its implementation • There should be policy, strategy and bylaw that define clear benefit sharing mechanism • Implement indigenous grievance redress mechanism • Exhaustively involve stakeholders based on their degree of contribution • Create alternate income generating opportunities for the non-members of the REDD+ projects • Bring the non-members to members of the REDD+ project • Let all community members participate in the development of the bylaw
SO15: Promote supplementary	•	• Large number and frequent entry into the forest for NTFP collection	• Provide increased access to collect NTFP from the forest • Opt for/expand other sources of energy	• Conflict arise if unfair access or use right on NTFP	• Provide fair access to community members, especially the underserved and women

Strategic options	***Proposed interventions***	***Environmental***		***Social***	
		Risks	***Mitigation measures***	***Risks***	***Mitigation measures***
income generation		affects soil seed bank, regeneration and biodiversity • Fuel wood collection as NTFP affects the carbon stock of the forest • Some NTFP expand at the clearance of forest (e.g. coffee forest of the country) • More number of forest enterprises put the forest under pressure • May aggravate deforestation and forest degradation with the increase of the prices of forest products and NTFP parallel to increase in value chain	• Distribute fuel efficient cooking/baking stoves • Utilize the forest resource based on the management plan of the source • annual increase in volume of the forest must matches with the harvest • Marginal profit of the participants of the value chain involver to be determined	prevail within the community	

Chapter 5: Environmental and Social Management Plan (ESMP)

5.1. Guiding principles

The OFLP is categorized as category 'B' according to the World Bank Safeguard Policy (OP/BP 4.01) and the program activities will most likely not require a full scale ESIA. However, environmental and social analysis is necessary, and appropriate environmental and social management plan has to be prepared to prevent, minimize, mitigate or compensate for adverse impacts and maximize beneficial impacts on a sustainable basis. (*It should be noted that any program activities that would be considered as category 'A' will not be financed by the OFLP.)* Thus, the environmental and social management planning and implementation under the OFLP will be guided by the following principles.

- The enabling investments component of the OFLP involves relatively small-scale activities that can be designed, implemented and managed at the kebele level using standardised published guidance, and with the assistance of DAs and woreda staff as required;
- The Program activities planning process will be participatory and communities have the opportunity to prioritize needs; and participation in the community activities will be entirely voluntary;
- The design of program activities and landscape activities will be guided by technical support and technical materials to avoid or minimise adverse impacts and encourage positive environmental effects;
- Program activities planning and implementation will integrate appropriate Environmental and Social Management Plan;
- Identified program 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 program activities with major or irreversible environmental or social impacts (as stated in the guidelines below). Program activities with special environmental concern will be directed to the attention of the Oromia REDD+ Technical Working Group (TWG) and Oromia Environment, Forest and Climate Change Authority (OEFCCA) at the regional level;
- Approval at regional level will involve the OEFCCA, which will have the right to decline a program activity on environmental 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 irrigation projects, water harvesting structures and community roads involving land/asset acquisition and activities that adversely affects PCR and forest and natural habitats as well. Such types of program activities will be notified to the OEFCCA. The OEFCCA will decide whether an ESIA is required. Following such ESIA, the OEFCCA may modify the program activities, recommend a management plan, or disapprove program activities.
- Program activities implementation will be supervised and monitored at Kebele and Woreda levels. The DAs, with assistance as deemed necessary from the Woreda LUPT, OFLP woreda coordinators, and OFLP safeguards coordinators, will ensure that the specified mitigating measures are implemented.

5.2. Procedures

During program 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; construction of reservoir dams that are above 4.5

meters, that may potentially affect the quality or quantity of water or a waterway shared with other nations; that require physical relocation of people; access restriction to natural resources; etc. The Program 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 staffed by teams from respective woreda sector offices, including Woreda Office of Environment, Forest and Climate Change (WoEFCC) . Given that rational land-use is critical for the success of OFLP, the LUPTs will be strengthened by OFLP as relevant, and used as a platform for coordination through the OFLP Woreda Coordinators. As one of the key OFLP safeguards implementation arrangements, the existing Woreda environmental experts will be trained and could be part of the Woreda LUPT to support mainstreaming of the safeguards requirements in all land-use planning related issues of OFLP.

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

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

The Program activities that are not eligible under the OFLP can be reviewed and checked by DAs at the Kebele level against any of the features mentioned in the checklist provided in Table 5 below. This simple checklist can be used by DAs as a format for fast track eligibility checking of identified program activities (see also Annex 1).

Table 5: Checklist for program activity eligibility screening at Keble level by DAs

	Yes	No
Will the program 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 or 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)?		
involve construction of dams more than 4.5 meters?		
create unsustainable harvesting of natural resources (animals, plants, timber and/or NTFPs) or the establishment of forest plantations in critical natural habitats?		

have any linkage/association with GoE's Commune Development Program (please refer to Annex 12 for further information)?		
contravene international and regional conventions on environmental issues?		

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

5.2.2. Step (ii): Screening of program activities that require special attention and environmental and social concerns (Guidance for WoEFCC)

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

Table 6: Screening program activities requiring special attention

	Yes	No
Will the program activity:		
involve use of agro-chemicals?		
involve land acquisition, loss of assets or access to assets on the land?		
cause displacement of people?		
incorporates dams more than 4.5 meters?		

Small scale irrigation and agricultural program activities may introduce high value crops and new varieties, which may require introduction and increased use of agro-chemicals including pesticides. Further, land rehabilitation (including area enclosures and reforestation/afforestation), irrigation and access road construction program activities may involve voluntary land acquisition and loss of assets or minor displacement of people. Therefore, if the program activities have any of the above features ('Yes' answers), the WoEFCC focal person/expert, with the Woreda LUPT, notifies the WoEFCC and the Woreda Administrators (Council) to make sure that the necessary procedures and guidelines are followed in the environmental and social management plan (Annex 6).

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

Table 7: Checklist for screening program 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 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 program activity has any of the above listed features (with 'Yes' answers in Table 7), 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 program activities of environmental and social concern, a checklist of potential impacts and level of adversity shown in Table 8 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 8: Checklist of potential impacts and level of adversity for program activity screening

Program activity types	Adversity of Impacts*				
	None	Low	Med	High	Unknown
Ensuring Sustainable Forest Management (in high forest as well as woodlands) (PFM/Restoration)					
Economically driven forest mismanagement that may lead to forest degradation					
Instigate deforestation from marginalized local communities and/or little benefiting PFM members					
Creation of dependency syndrome on local communities					
Creation of Conflict over benefit sharing and marginalization of certain segments of local community					
Creation of conflict over skewed power relationship					
Reducing Demand for fuel wood and charcoal through increased efficiency and providing alternatives (Efficient cook stove)					
Increased use of energy efficient stove may indirectly lead to high biomass energy demand and consumption high in turn cause deforestation					
Incur cost to poor local communities					
Difficult to adopt the technology due to cultural barriers					
Difficulty to supply energy efficient cooking stoves, biogas and electricity over short period of time					
Exploitation by middlemen in the market chain					
Long awareness creation and technology adoption process					
Community access roads 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					
Increase wood and charcoal					
Exotic species may dominate as these are fast growing than the indigenous					
Environmental degradation during harvesting and transporting time					
Adverse micro-climate modification after harvesting					

Program activity types	Adversity of Impacts*				
	None	Low	Med	High	Unknown
Market problem for sealing of product					
Pollution of particulate matters					
May brings food insecurity as farm lands devoted to plantation					
Agricultural Intensification					
Fertilizer runoff and leaching, eutrophication and effect on human health					
Runoff of pesticides and similar agricultural chemicals					
Increased pesticides harms animal and human health by accumulating in soils and leaching into water bodies					
Stalinization and regimes of underground water					
Inadequate drainage and over-irrigation causes water logging					
Create farmers dependency on agricultural inputs					
Reduces farmers' ability to use natural pest cycles					
Affect human health due to agricultural chemicals					
Prevalence of water borne diseases					
Afforestation/Reforestation					
Compromise to local biodiversity -Introduction of exotic tree species which result loss of biodiversity and damage the natural environment					
Presence of frequent forest fire					
Increased illegal cuttings and destruction					
Increased conflict between wildlife & humans & increased crop pest					
Physical & economic relocation of local communities					
Restriction over livestock pasture					
Restriction of expansion of household farmland					
Create access restriction for resource utilizations					
Create land computation with local community					
Prevent human and livestock mobility					
Risk of mono-cropping (resorting to exotics)					
voluntary land acquisition					
Promote supplementary Income generation from the forest					
Frequent entry into the forest for NTFP collection affects regeneration					
Frequent Collection of Leave, twigs and fallen branches result in reduction of carbon stock					
Conflict arise due to unfair access or use right on NTFP					
Increase price of NTFP led to create over utilization					
Improving Livestock Management					
Solid and liquid wastes expected from poultry farm					
Nuisance odor expected from poultry frame					
Mechanization leads to intensive use of agricultural inputs that results in pollution					
Market problem of the products of livestock may be a challenge					
Small scale irrigation- cause:					
significant deforestation					
competing claims for water and social tension					
disturbance to wildlife habitats or populations					
disrupt ecologically sensitive areas					
land clearing and biodiversity loss					
disturbance to cultural or religious sites					

Program activity types	Adversity of Impacts*				
	None	Low	Med	High	Unknown
new settlement pressures					
increased soil salinity					
risk of vector borne diseases					
Gully and degraded land rehabilitation- cause:					
restriction of human and livestock mobility					
restriction of access to communal lands					
risk of rodents and other pests					
risk of introduction of invasive exotic species					
Water harvesting structures-cause:					
risk of disease causing vectors breeding					
voluntary loss of land					

**To avoid subjective analysis of impact significance (below, medium or high), please use the guidance given in Annexes 3B and 3C.*

Those program activities with no potential adverse impacts can be directly approved. For those program activities likely to have low to moderate impacts may be modified if suitable mitigation measures are incorporated into the design by Woreda LUPT. Mitigation measures can be referred from Annex 5. Those program activities likely to have 'high' adverse impacts and 'unknown' impacts should be tagged as '**program activities of environmental and social concern**' before referring the plan for approval. For further reference on potential impacts and mitigation measures of the program activity types, it is advisable to use the different environmental guidelines prepared by the former Federal EPA and listed elsewhere in this document.

5.2.3. Step (iii): Notification of program 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 program activities that are tagged as of '**environmental concerns**'. The ORCU then notifies the OEFCCA of the program activities of environmental concern and requests for review of the same to determine if an ESIA is required.

5.2.4. Step (iv): Review of notified program activities: Guidance for the OEFCCA

The OEFCCA, with inputs of Oromia REDD+ TWG, conducts review of the program activities taking into account that most program activities may not necessarily need a full scale ESIA since OFLP is category B; those program activities tagged as 'program activities needing special attention' are already identified following the special procedures and guidelines referred in Annex 6. For water abstraction in small scale irrigation or potential disruption to the quality of water in international waterways, it is advisable to consult applicable international agreements.

The Review report to the ORCU should include i) the decision on each program 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 management plan on any of the program activities.

5.2.5. Step (v): Conducting an ESIA: Guidance for the WoEFCC

In liaison with the ORCU and with the support from the OEFCCA, the WoEFCC office together with Woreda LUPT is responsible for ensuring that the required ESIA is conducted as per 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, safeguard policies, relevant policies and ESIA guidelines before conducting the environmental and social impact study. It is vital to underline that terms of reference (ToR) for the ESIA should be provided by the OEFCCA. A suggested ToR for ESIA preparation is attached in Annex 8. The ESIA report should consist of i) description of the program activity (with location), the environmental baseline, the impacts, mitigating measures, and recommendations for implementation and monitoring of the mitigating measures, among others (see Annex 8 for detail information on the contents of the ESIA report). Reference for mitigation measures can be made in FEPA ESIA guidelines and in Annex 5. (*It should be noted that any program activities that would be categorized as category 'A' will not be financed by the OFLP.)*

5.2.6. Step (vi): Reviewing the ESIA Report: Guidance for the OEFCCA

The ESIA report will be submitted to the OEFCCA through ORCU. The OEFCCA, with technical inputs of the Oromia REDD+ TWG, will review the ESIA report and makes decision by (a) approving the program activity (*with conditions relating to implementation*); (b) recommending re-design (*with required and/or recommended amendments*); or (c) rejecting the program 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 program activity implementation. The result of the review has to be communicated to ORCU as soon as completed.

The ESMP process in steps (i) and (ii) must be conducted for all program activities in OFLP while the steps from (iii) to (vi) should be conducted only for program activities needing special attention and those of environmental concerns.

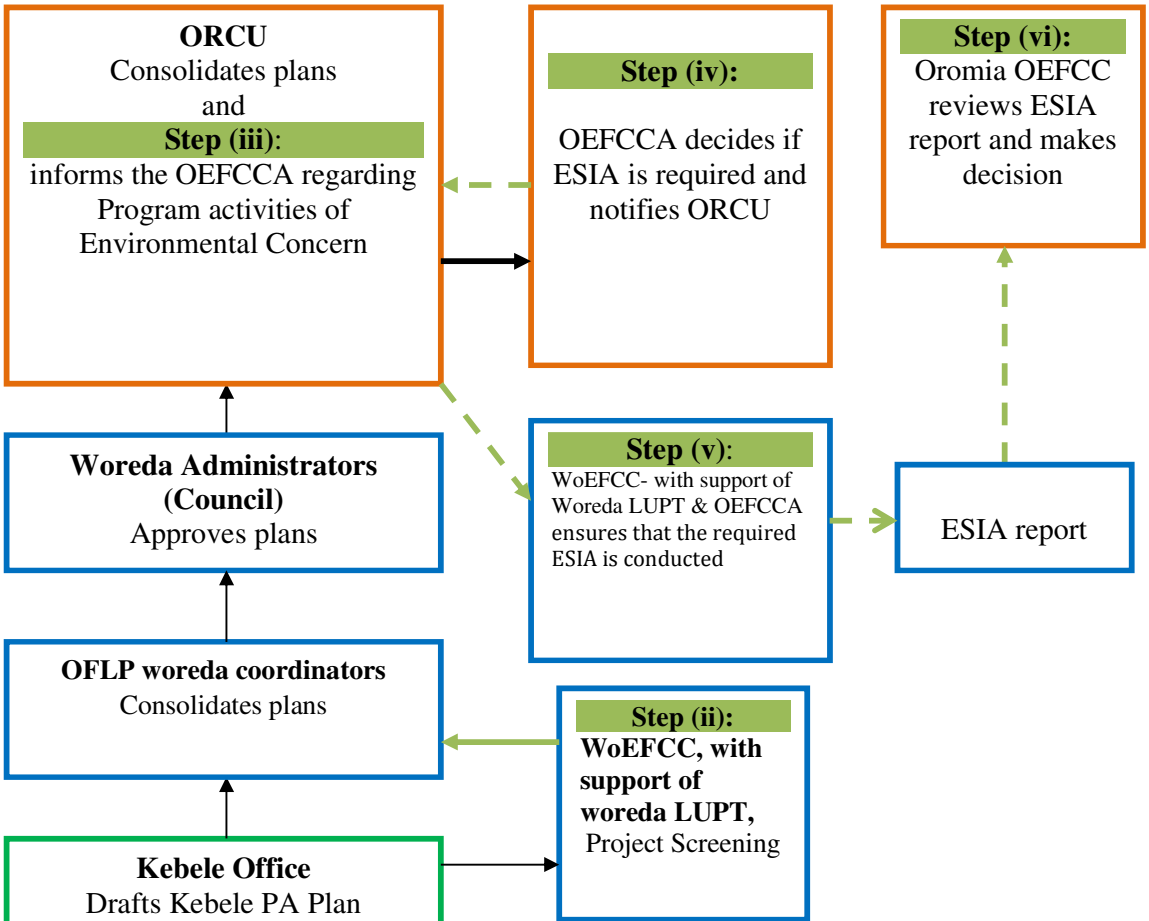


Figure 4: Flow of the Environmental and Social Management Process

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 6: Capacity Building, Training and Technical Assistance

The ORCU recognizes the successful implementation of the OFLP is highly dependent on the ability of program implementers to effectively implement safeguards both in the Grant and the ERPA implementation. The ORCU also recognizes that Grant and the ER implementation are intertwined, the ER component will use a robust safeguard system that will be established during the Grant implementation.

Effective implementation of ESMF requires technical capacity in the human resource base of implementing institutions and logistics. Implementers need to understand inherent social and environmental issues and values and be able to clearly identify their indicators. As indicated in the institutional arrangement part of sub-section 2.2 of this ESMF, all the institutions at national, Oromia regional, Woreda and Kebele/local levels are responsible for the implementation of the ESMF. However, there are capacity limitations to effectively implementing ESMF. The ORCU, OEFCCA and WoEFCC have the primary responsibility of ensuring that the program activities comply with the GoE's and the World Bank's environmental and social safeguards requirements, and that the program activities adhere to this ESMF.

Therefore, to address these limitations, the grant will finance six ORCU OFLP Safeguards Coordinators located at selected zonal offices[25] of OEFCCA, training, technical support and monitoring workshops, travel and goods for ORCU to train forest extension agents in all 287 rural woredas on safeguards management including implementation procedures, monitoring, reporting and documentation. Vehicles to be bought for the OFLP will also provide services for OFLP safeguards coordinators. The OFLP, through its sub-component 2.4, will support capacity strengthening of federal, regional and woreda institutions for managing safeguards in the OFLP carbon accounting area (i.e. the OFLP program area) in accordance with the World Bank safeguards standards. It will provide: extensive technical support and training on OFLP safeguards instruments implementation, documentation, reporting and monitoring of safeguards performance in the accounting areas; standardization; environmental and social advisory services, consultation and civic engagement with communities in the regional state; and support to safeguards officers' to improve their ability to monitor Grievance Redress Mechanism (GRM) and BSM activities. It will include the establishment of six OFLP Safeguards Coordinators hosted at selected zonal offices of OEFCCA to advance safeguards management throughout the regional state and working under the two safeguards officers at ORCU. The OFLP will not finance land acquisition (if required), which is the responsibility of the GoE. The activities under this safeguards management will also include support for safeguards due diligence for nested REDD-related initiatives under the OFLP umbrella, even where these initiatives include their own safeguards management activities. See Table 9 below for detail of capacity building areas.

Table 9: Menu of proposed capacity building trainings and schedules

Trainings/ capacity building supports	Target groups	Training topics/ aspects of ESMF	Potential Trainers	Duration and Time of training
Training & awareness (Regional level)	Oromia REDD+ TWG; OFLP safeguards coordinators; OFLP lead facilitators; Technical staff of OEFCCA/ORCU;	• Environmental and social safeguards policies (GoE and WB) • Safeguards Instruments of OFLP • Implementation of safeguards issues as per the ESMP • Review and Reporting procedures • GRM and BSM	• Consultants • ORCU staff • MEFCC/ REDD+ Secretariat staff • WB safeguards team	4 days/year, conducted every year

[25] Proposed selected zones where OFLP safeguards coordinators will be based include: Wollega (Nekemt), Jimma, Illubabor (Metu), Guji (Adola Rede), Bale (Robe) and Harerge (Chiro)

Trainings/ capacity building supports	Target groups	Training topics/ aspects of ESMF	Potential Trainers	Duration and Time of training
	Zonal EIA experts;	• M&E of safeguards performance • Consultation and civic engagement with communities in the regional state • environmental and social advisory services		
Training and awareness (Woreda level)	• OFLP woreda coordinators • Woreda LUPT members • Woreda ENRM experts	• Environmental and social safeguards policies (GoE and WB) • Safeguards Instruments of OFLP • Implementation of safeguards issues as per the ESMP • Review and Reporting procedures • GRM and BSM • M&E of safeguards performance • Consultation and civic engagement with communities in the regional state environmental and social advisory services	• ORCU safeguards officers • Oromia REDD+ TWG • OFLP safeguards coordinators • Zonal EIA experts; • Zonal agricultural development experts;	2 days/year, provided every year
Awareness creation workshop	• Decision makers at region and Woredas	• Environmental and social safeguard policies (GoE & WB) • OFLP safeguards instruments implementation • Review and Reporting procedures • GRM and BSM • M&E of safeguards performance	• ORCU safeguards officers • Oromia REDD+ TWG	1 day, carried out every year
Consultations, participations, civic engagement & awareness	Local Community members, kebele administrators, private sector	• Participatory planning • Environmental and social issues • Monitoring of implementation • GRM and BSM • M&E of safeguards performance	DAs, Woreda experts, LUPT	1 day, carried out every year
Safeguards implementation support, monitoring and documentation	Regional Bureaus, Woreda offices and kebels/ communities implementing OFLP	• Backstopping support on various issues to regional and woreda level experts • Field visits, monitoring	ORCU, OFLP lead facilitators, OFLP woreda/ safeguards coordinators	7 days/year, carried out every year

In addition to the USD 1.54 million allocated for safeguards capacity development under Component 2 of the OFLP to strengthen the Oromia region to continue using the ESMF beyond the grant financing period as described above, the capacity building efforts of OFLP will be complemented by CRGE Facility implementation which is in the process of establishing a country-wide system for mainstreaming environmental and social concerns into development.

Furthermore, the ongoing Promoting of Basic Services (PBS) Project has a well-funded component focused on Risk and Safeguard Management Capacity. One of the activities of this component will be to provide additional safeguards capacity support specially to boost Woreda level ability to manage environmental and social risks. With support from this component, over the next three years: (a) Environmental and Social Management System (ESMS) Operational Manual, including training modules for Woreda level staff will be developed, (b) Training will be provided for about 200 Woreda level staff in the basic sectors, and (c) The ESMS Operational Manual will be customized to regions, at least in four regions. A three-year "Enhancing Shared Prosperity through Equitable Services) PforR, which was approved by the World Bank Board on 15 September 2015, will further strengthen this capacity building effort.

ORCU will closely work with government to benefit from additional resources, if any, of the CRGE Facility and PBS project to strengthen the capacity of Oromia Region for effective implementation of safeguards and ensure the successful implementation of safeguards in the ERPA implementation.

Chapter 7: Implementation, Supervision and Monitoring

7.1. Implementation and process monitoring

It is clear that the required safeguard instruments (e.g. ESMPs and/or RAPs) for the program activities need to be prepared, reviewed and approved, and environmental and social clearance should be issued by the OEFCCA or Woreda Office of Environment, Forest and Climate Change (depending on the environmental and social concern of each program activity as stated in Chapter 5). Based on the clearance provided for the implementation of the program activities, the relevant implementing agencies (either at Woreda or regional or both levels) of the program activities are the main responsible bodies to implement and ensure the implementation of the mitigation measures identified and planned in the approved safeguards instruments.

More specifically, depending on the nature of the approved program activities, OFWE and concerned sector bureaus (such as the Oromia BoA, BoRL, etc.) will implement and coordinate activities (along with the recommended mitigation measures) on-the-ground through their woreda offices and kebele development agents. The OFLP Safeguards Coordinators will closely work with OFLP lead Facilitators and respective Zonal EIA experts to ensure that environmental and social safeguards are implemented as per the OFLP environmental and social safeguards instruments. They will oversee the safeguards work of the Woreda OFLP Coordinators. Besides facilitating overall planning, implementation and monitoring of OFLP at woreda level to ensure harmonization and integration of activities, OFLP woreda coordinators will also serve as the woreda-level Safeguards Focal Persons of the OFLP to ensure safeguards implementation and compliance at community levels. Their safeguards work will be overseen by the OFLP Safeguards 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. This is a great asset for OFLP implementation. Further, OFLP Woreda Coordinators - to be appointed - will be hosted by selected woreda offices of OEFCCA[26] will: (i) reinforce woreda capacity to coordinate the implementation of projects and operations; (ii) lead implementation of activities directly funded by OFLP financing; and (iii) support safeguards management. OFLP Lead Facilitators, hosted by OFWE Branch Office, would facilitate OFLP 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 Woreda Coordinators, and OFLP safeguards 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) as specified in the management plan. OFLP safeguards coordinators in cooperation with Woreda LUPT, OFLP Woreda Coordinators and others will monitor the implementation of mitigation measures as per the environmental and social management plan.

[26] Proposed selected woredas where the OFLP woreda coordinators will be based include: Gawa Kebe, Yama Logi Walal, Nole Kaba, Gimbi, Nejo, Nekemte, Gida Ayana, Abayi Choman, Shambu, Limu Seka, Setema, Gera, Assendabo, Chora, Bedele, Yayu, Alle, Nono Sele, Bule Hore, Adolla Rede, Bore, Liben, Yaballo, Ginir, Dollomena, Arba Gugu, Chilalo, Dodolla, Munessa, Babich, Dendi/Ginchi, Sebeta Hawass, Lume, Chancho, Dindin, Jelo Muktar, Gara Mulata, Jarso.

The monitoring and supervision of the ESMF activities in general is a joint task of the ORCU (through its environmental safeguards expert and social development safeguards expert, OFLP lead facilitators, OFLP safeguards coordinators), OEFCCA 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 safeguard 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 design of the process monitoring and reporting procedures will be included in the OFLP PIM.

7.2. 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.

The purpose of result monitoring is to support compliance with safeguard policies, to identify the emergence of any unforeseen safeguard issues, to determine lessons learnt during program 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 safeguard instruments under OFLP.

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

There will be periodic implementation support missions with an M&E focus over the lifetime of the program. OFLP will also include a Mid-Term Review approximately 24 months after grant effectiveness to assess progress and identify areas for course correction where needed. An Implementation Completion and Results report (ICR) will be conducted at the end of the grant period as per WBG procedures.

Chapter 8: Implementation cost of the ESMF and safeguards

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 training and awareness (at regional and woreda levels); consultations, participations, civic engagement & awareness (at kebele level); safeguards implementation support, monitoring and documentation; and safeguards due diligence for nested REDD+ & related initiatives under the OFLP umbrella. The budget stands open for revision and improvement as and when needed by OEFCCA/ORCU.

Table 10: Estimated budget for capacity building and safeguards due diligence

Capacity building activities	**Budget for the period 2016-2020 ($)**					**Total ($)**
	Year 1	Year 2	Year 3	Year 4	Year 5	
OFLP Safeguards coordinators (salary and equipment)	86,136	72,706	**74,160**	**75,643**	**77,159**	385,804
Training & awareness (Regional level)	5,992	7,990	7,990	7,990	7,990	37,952
Training & awareness (Woreda level)	65,397	86,482	86,482	86,482	86,482	411,325
Consultations, participations, civic engagement & awareness (kebele level)	71,345	95,134	95,134	95,134	95,134	451,881
Safeguards implementation support, monitoring and documentation	28,433	36,803	36,803	36,803	36,803	175,645
Safeguards due diligence for nested REDD+ & related initiatives under the OFLP umbrella	16,000	16,000	16,000	16,000	16,000	80,000
Total budget for safeguards management	273,303	315,115	316,569	318,052	319,658	1,542,607

Annexes

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

Program activity: _____ Zone: _____
Woreda: _____Kebele: _____
Persons/DAs who did the eligibility check:

Names	Date:	Signature:
1. _____	_____	_____
2. _____	_____	_____

Answer the following questions to determine if the program activity is eligible or not*		
Will the program 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 or 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)?		
involve construction of dams more than 4.5 meters or rely on such dams?		
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?		
have any linkage/association with GoE's Commune Development Program (please refer to Annex 12 for further information)?		
contravene international and regional conventions on environmental issues?		

* Please see Annexes 3B and 3C to avoid any subjective impact analysis.

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

Program activity is not eligible and rejected: ☐

Program activity is eligible and approved: ☐

Screening supervised and approved by:

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

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

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

Will the program 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 or loss of assets or loss of income/livelihood		
incorporates construction of or reliance on dams		

Recommendations:

Program activity needs special attention: ☐

Program activity does not need special attention: ☐

Screening supervised and approved by:

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

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

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

A. Program activities of environmental concern

Will the program activity:	Yes	No
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 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. Program activities of environmental concern

Program activity types	Adversity of Impacts*				
	None	Low	Med	High	Unknown
Ensuring Sustainable Forest Management (in high forest as well as woodlands) (PFM/Restoration)					
Economically driven forest mismanagement that may lead to forest degradation					
Instigate deforestation from marginalized local communities and/or little benefiting PFM members					
Creation of dependency syndrome on local communities					
Creation of Conflict over benefit sharing and marginalization of certain segments of local community					
Creation of conflict over skewed power relationship					
Reducing Demand for fuel wood and charcoal through increased efficiency and providing alternatives (Efficient cook stove)					
Increased use of energy efficient stove may indirectly lead to high biomass energy demand and consumption high in turn cause deforestation					
Incur cost to poor local communities					
Difficult to adopt the technology due to cultural barriers					
Difficulty to supply energy efficient cooking stoves, biogas and electricity over short period of time					
Exploitation by middlemen in the market chain					
Long awareness creation and technology adoption process					
Community access roads 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					
Increase wood and charcoal					
Exotic species may dominate as these are fast growing than the indigenous					
Environmental degradation during harvesting and transporting time					
Adverse micro-climate modification after harvesting					
Market problem for sealing of product					
Pollution of particulate matters					
May brings food insecurity as farm lands devoted to plantation					
Agricultural Intensification					
Fertilizer runoff and leaching, eutrophication and effect on human health					
Runoff of pesticides and similar agricultural chemicals					
Increased pesticides harms animal and human health by accumulating in soils and leaching into water bodies					
Stalinization and regimes of underground water					
Inadequate drainage and over-irrigation causes water logging					
Create farmers dependency on agricultural inputs					
Reduces farmers' ability to use natural pest cycles					

Program activity types	Adversity of Impacts*				
	None	Low	Med	High	Unknown
Affect human health due to agricultural chemicals					
Prevalence of water borne diseases					
Afforestation/Reforestation					
Compromise to local biodiversity -Introduction of exotic tree species which result loss of biodiversity and damage the natural environment					
Presence of frequent forest fire					
Increased illegal cuttings and destruction					
Increased conflict between wildlife & humans & increased crop pest					
Physical & economic relocation of local communities					
Restriction over livestock pasture					
Restriction of expansion of household farmland					
Create access restriction for resource utilizations					
Create land computation with local community					
Prevent human and livestock mobility					
Risk of mono-cropping (resorting to exotics)					
voluntary land acquisition					
Promote supplementary Income generation from the forest					
Frequent entry into the forest for NTFP collection affects regeneration					
Frequent Collection of Leave, twigs and fallen branches result in reduction of carbon stock					
Conflict arise due to unfair access or use right on NTFP					
Increase price of NTFP led to create over utilization					
Improving Livestock Management					
Solid and liquid wastes expected from poultry farm					
Nuisance odor expected from poultry frame					
Mechanization leads to intensive use of agricultural inputs that results in pollution					
Market problem of the products of livestock may be a challenge					
Small scale irrigation- cause:					
significant deforestation					
competing claims for water and social tension					
disturbance to wildlife habitats or populations					
disrupt ecologically sensitive areas					
land clearing and biodiversity loss					
disturbance to cultural or religious sites					
new settlement pressures					
increased soil salinity					
risk of vector borne diseases					
Gully and degraded land rehabilitation- cause:					
restriction of human and livestock mobility					
restriction of access to communal lands					
risk of rodents and other pests					
risk of introduction of invasive exotic species					
Water harvesting structures-cause:					
risk of disease causing vectors breeding					
voluntary loss of land					

*****_To avoid subjective analysis of impact significance (low, medium or high), please use the criteria given below on "Summary of site sensitivity" and the guidance given in Annex 3C as well._

Summary of site sensitivity

When considering the location of a program 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 a program activity)		
	High	**Medium**	**Low**
Natural habitat	Presence of hot spot 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 loosing 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):

_____

_____

Category of the Program activity/ subproject: B ☐ or C ☐

Recommendations:

Program activity is of environmental concern and needs further EA: ☐

Requires additional environmental information: ☐

Program activity is not of environmental 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.

WoEFCC focal person: ..... Date..... Signature.....

C. Magnitude of Impact Significance

Guidance

Conducting a prediction, description and evaluation of the potential environmental and social impacts of the program activities is one of the key aspects of OFLP to contribute to the achievement of its objectives. To this effect, the intensity (severe, notable or negligible), timing/duration (long-term, medium-term or short-term), spatial extend (far-range, mid-range or localized) and probability (definite/likely, possible or unlikely) of all identified impacts and their relative significance (high, medium or low) should be evaluated. In line with this, it should be noted that the result of the evaluation of the impact significance is useful to (i) prioritize the urgent environmental and social issues and design mitigation and enhancement measures accordingly, (ii) provide coherent linkages among the prioritized issues, (iii) plan monitoring linkage with the proposed mitigation/enhancement measures, and (iv) provide strong basis of information for the decision-makers.

Impacts of typically high priority for the program activities are those which fulfill the following criteria.

1) Severe alterations of natural properties, functions or processes, which are of (a) long-term duration and far range, or (b) long-term duration and mid-range, or (c) medium-term duration and far range.
2) Notable alterations of natural properties, functions or processes, which are of long-term duration and far-range.

Impacts of typically low priority for the program activities are those which fulfill the following criteria.

1) Notable alterations of natural properties, functions or processes, which are of short-term duration and localized range; and
2) Negligible alterations of natural properties, functions or processes, which are of (a) short-term duration and localized, or (b) short-term duration and midrange, or (c) medium-term duration and localized range.

Thus, the evaluation of impact significance allows OFLP coordinating and implementing entities to focus on the most relevant impacts, for which impact mitigation measures need to be implemented. It is vital to note that the above-mentioned criteria are not mutually exclusive but are very much interrelated, and the probability criterion is not integrated into the analysis but used as an indicator. It is also recommended to be cautious about the accuracy of all predictions to be made for each proposal, as they can only be as accurate and valid as the data and information available. It is therefore necessary to identify any information gaps and deficiencies while undertaking the analysis and to assess any uncertainties associated with the prediction of impacts. A precautionary approach should be pursued when uncertainty about impacts exists. Based on environmental impact assessment lessons (UNEP, 2008), the guiding process of impact rating, determination of significance and ranking is given below.

Table 1: Significance ratings for impact evaluation criteria (Source: UNEP (2008))

Impact rating		Description	Significance
Intensity	severe	severe alteration of natural properties, functions, processes	high
	notable	notable alteration of natural properties, functions, processes	medium
	negligible	negligible alteration of natural properties, functions, processes	low
Duration	long-term	continuously or regularly (once per day) over project life, permanent or irreversible effects (including aftermath effects)	high
	medium-term	several years (< 5) of duration, (including aftermath effects) reversible, periodic events (several times per year)	medium
	short-term	less than one year or restricted to construction, reversible	low
Spatial extend	far-range	effects beyond project site and nearby areas beyond 1,000 m distance of origin	high
	mid-range	within the project site and nearby areas within 1,000 m distance of origin	medium
	localized	punctual, within the area of the project site within 100 m distance of origin	low
Probability	definite/likely	highly probable (> 80%) or definite	high
	possible	fair chance of occurring	medium
	unlikely	little or no chance of occurring (< 20%)	low

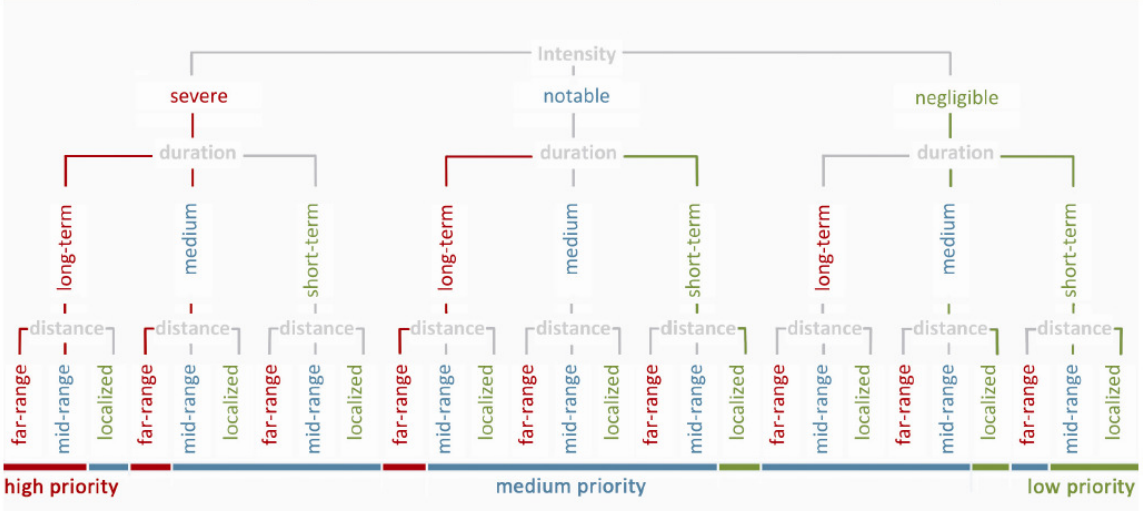


Fig. 1: Decision hierarchy used to identify high (red bottom line) and low priority impacts (green).
Source: UNEP (2008) Desalination Resource and Guidance Manual for Environmental Impact Assessments.

Annex 4: Suggested ESMP format for a program activity

The ESMF emphasizes that an environmental and social management plan (ESMP) should fit the needs of a program activity and be easy to use. The basic elements of an ESMP are:

- A description of the project activity;
- 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 program 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.
- Templates: Please see below for detail information

Suggested template for summarizing mitigation/enhancement measures of ESMP of a program activity

Project 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 of a program activity

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

Suggested Template for summarizing Institutional capacity and training requirements of ESMP of program activities

I. Strengthening Activity	Position (Responsibilities)	Strengthening Programme		Schedule	Cost
Mitigation:					
Monitoring:					
II. Training Activity:	Participants	Course	Content	Schedule	Cost Estimate
Total cost					

Suggested Template for Scheduling and Reporting of ESMP of program activities

Activity	**Year I**				**…**
	Q1	Q2	Q3	Q4	
Mitigation and Enhancement Measures:					
Monitoring					

Institutional Strengthening:					
Training:					

Annex 5: Checklist of potentially negative impacts and possible mitigation measures for program activities

Types of program activities	Potential negative impacts	Examples of possible mitigation measures
Introducing PFM for forest and woodland management	• Restriction of access, including restriction over member of communities that traditionally use the forest for religious rituals • Loss of economic and livelihood benefits • Rising of conflicting interests • Disruption to indigenous/traditional resource use and management systems • Risk of creating competing claims • May drive communities to move to other forested areas looking for replacement of their loses causing deforestation and forest degradation of the Woreda forest resources not included in PFM and conservation • Conflict over benefit sharing and marginalization of certain segments of local community • Conflict over skewed power relationship PFM may involve the exclusion of previous forest users from accessing forest resources	• Consultative meetings and community consensus on benefits and responsibilities • Provide with alternatives that would replace their resource needs or compensate for loss of economic and livelihood benefits • Build community consensus and constitute regulatory mechanisms • Integrate traditional systems • Create opportunities for wider participation • Let the community use grass in cut and carry system • Establish clear benefit sharing mechanism • Use customary conflict redress mechanism • Educate and train communities in the lowland areas about PFM • Assist communities in the low land areas to carry-out experience sharing visit in high land areas • Encourage self-dependency of the PFM groups through enabling them generate their own income from the forest management activities or • Inclusion of all community members to become PFM members
Establishing and/or strengthening community level protected area system, conservation zones, communal reserves, groves, wildlife corridors	• Involuntary land acquisition • Restriction of access for humans and livestock • Loss of economic and livelihood benefits • Wildlife attack on livestock and increased crop pests	• Provide alternatives or compensate for loss of economic and livelihood benefits • Avoid or minimize land acquisition from individual holdings • Prepare wildlife management plans and training of communities on cultural practices to manage pests • Carry out social assessment report and prepare social management plan
Energy saving stoves	• Market problem may be a challenge • Social resistance to new technology may become a work burden for the Woreda admiration • Counterchecking by the Woreda admin may become difficult if manipulation and monopolization of the stove trade falls in the hands of community elites • May prompt land degradation due to excavation of raw material resources for stoves construction • May be difficult to supply the stoves in high demand areas due to long production-marketing chain	• Intensive consultation and participation as well as training and awareness creation on use energy saving stoves • Close follow up and monitoring of the manufacturing and distribution of the stoves • Consultation, participation and awareness creation on environmental degradation and sustainable utilization of natural resources • Diversify the type of energy saving stoves like solar, kerosene and electric stoves • Urge the Government to expand the grid system in the project areas

Types of program activities	Potential negative impacts	Examples of possible mitigation measures
	• Exploitation by middle men in the market chain • high transport, operation and maintenance costs and the length of time it takes to reach commercial centers • Transporting to the market center may be a problem due to farmers' financial capacity	• Solicit fund for the soonest project implementation e.g. fuel efficient cooking/baking stoves catering • Begin with the few number of farmers and gradually increase it • Build the capacity of community members for own community demand making of the stoves • Encourage farmers build corrugated/bricks roof house over hatch house so that there will be no fumigation • Educate and enhance the awareness of the community on modern style of living • Educate and give sustained training on the relative advantage of electricity/fuel efficient stove over the traditional stove • Supply of energy efficient cooking and baking gadgets at subsidized price
Construction of small scale irrigation schemes	• Competing claims over water use and conflicts • Risk of erosion to downstream areas • Reduced water flow and limited access to water in the downstream areas • Development of salinity due to mismanagement of water and irrigated land • Increased use of agro-chemicals and pesticides • Soil and air pollution from agro-chemicals • Ground and surface water pollution • Faulty designs causing flooding • Reservoirs (small dams for irrigation) become breeding place for disease vectors (malaria) and water-borne diseases (e.g. giardia, schistosomiasis) • Siltation of reservoirs • Involuntary land acquisition • Risk of land clearing and biodiversity loss • Mismanagement of water may cause gully erosion • Loss of water due to mismanagement • Reduced flow, erosion and sedimentation on international waterways • Impacts on physical cultural resources • Destruction of natural habitats through land clearing for cultivation	• Carry out assessment study on water demand and availability • Carful design and installation of canal structures so that excess flows will be directed to natural waterways • Implement watershed management practice to protect reservoirs • Protect the farmlands with integrated soil & water conservation (biological & physical) measures • Regulate water flow and maintain the optimum flow to downstream dwellers and ecological requirements • Adopt IPM for pest and weed control • Use only prescribed and standard agro-chemicals (avoid unpermitted chemicals that are classified by WHO) • Conduct social assessment and prepare RAP • Apply water efficient technologies and techniques • Provide alternative designs and locations or avoid if program activities directly affect physical cultural resources, destruct natural habitats, inflict deforestation, or cause biodiversity loss • Water use to be implemented based on the schedule to be fixed by the consent of the upper and lower community • Harvest excessive water during the high moisture seasons for the later dearth period use • Educate and give sustainable training to the community on water and sanitation including water borne diseases

Types of program activities	Potential negative impacts	Examples of possible mitigation measures
		• Enhance health facility for the treatment of water borne diseases if these are inevitably occurring • Disturb stagnant water continuously to break the breeding/life cycle of the insect • Cater mosquito net to the community
Construction and rehabilitation of community access roads and path	• Road side erosion and initiation of flooding and gully erosion in agricultural fields • Quarry site opening causes pollution of surface and ground water • Roads may cross and cause destruction of natural habitats and forests • Disturbance to ecologically important habitats, cultural, religious and historical sites or resources • Loss of biodiversity thought cut and fill activities and soil excavations • Restriction of wildlife movement • Disturbance of ecologically sensitive areas • Erosion and sedimentation to water infrastructure and water sources • Involuntary land acquisition • loss of livelihood and economic benefits	• Apply road drainage guidelines and include standard road side stabilization activities as part of the design • Chanel road spillways to natural waterways • Rehabilitate quarry sites with natural vegetation, rip raping, shaping and refilling, and avoid creation of standing water • Avoid disturbance to cultural or religious sites. Unavoidable incidences must be agreed with stake holders such as leaders of churches, mosques and community. • Reroute/redesign if alignment crosses important habitats and forests • Avoid effects on habitats and wildlife movement corridors through alternative routes, or relocate species for ex-situ conservation • Avoid forest, riparian and wetland habitats with particular biodiversity • Avoid occupied land. Prepare procedures to ensure equitable resolution • Avoid and minimize if program activity causes of relocation of people • All exposed slopes should be provided with vegetative cover. • Unnecessary removal of vegetative cover should be discouraged.
Gully treatment on communal and private lands using physical and biological measures	• Restriction of access to communal lands • Restriction of human and livestock mobility • Risk of introduction of invasive exotic species • Risk of harboring rodents and other crop pests	• Community awareness, • Consultative meetings and consensus built • Alternative routes formed • Compensations for loss of access (if caused economic loss) • Non-invasive exotic and indigenous species • Use those species that disfavor pests • Construct check dams
Degraded land treatment on communal and private lands using physical and biological measures	• Restriction of access to communal lands • Restriction of human and livestock mobility • Risk of introduction of invasive exotic species • Risk of rodents and other pests • Risk of disease vectors from water harvesting structures (ponds) • Low standard physical structures due to lack of capacity	• Community awareness, • Consultative meetings and consensus built • Alternative rout formed • Compensations for loss of access (if caused economic loss) • Selection and use of non-invasive exotic and indigenous species, pest repellent and species that doesn't harbor rodents • Implement physical structures as per the standards given in relevant guidelines

Types of program activities	Potential negative impacts	Examples of possible mitigation measures
Area enclosures for degraded and upland rehabilitation through natural regeneration and reforestation	• Restriction of access to humans and livestock • Risk of involuntary land acquisition and causing relocation of households • Risk of conflict over diverse interests • Loss of economic or livelihood benefits • Risk of wildlife and crop pests	• Provision of alternatives (options for cut and carry, awareness on alternative forage sources, forage species provision) • Area enclosure should leave access routes for communities to move freely • Consecutive community consultations and consensus on benefits and costs, responsibilities of management, benefit sharing arrangements • Compensation for loss of land or economic benefits to victims • Carry out social assessment report and prepare social management plan if up to 40 households (hhs) are affected by the activity • Prepare resettlement action plan if more than 40 hhs are affected by the activity • Prepare wildlife management plans and training of communities on cultural practices to manage pests
Reforestation/afforestation on communal lands	• Restriction of access and mobility • Involuntary land acquisition • Wildlife attack on domestic animals and increase of crop pests (birds, primates, mammals) • Risk of mono-cropping (resorting to one or two exotic species)- Exotic species may dominate as these are fast growing than the indigenous • Loss of economic or livelihood benefits • Compromise to local biodiversity (indigenous species) • Adverse micro-climate modification after harvesting	• Provide alternative routes for human and livestock mobility • Make interventions participatory and entirely based on community consensus • Avoid appropriation of land or eviction of households • Conduct continuous consultative meetings • Compensate for loss of economic benefits • Prioritize indigenous and multiple mix of species for planting • Researching on fast growing indigenous tree species • Employ semi-mechanized system during harvesting • Harvest based on the rotation period (do not harvest all at a time) • Have different plantation sites for biodiversity and environmental protection
Soil and water conservation measures (terracing, check dams, trenching), reseeding, re-vegetating on individual lands	• Risk of harboring of rodents and crop pests • Loss of farmland due to structures	• Introduce cultural pest management practices • Use species that disfavor pests and rodents • Train farmers on pest management • Follow guidelines to implement structures
Agro-forestry interventions	• Risk of harboring of rodents and crop pests • Highly fragment land use types of an individual household and may end up in highly reduced products • Difficult to introduce due to long gestation period of the trees • Traditional monoculture farming system • Create land computation with local community • Intensive care for the various agroforestry practices consumes the time and energy of household members	• Introduce cultural pest management practices • Use pest resistant crop varieties • Integrate several types of agroforestry crops and trees to get increased products from diversified crops and trees • Select fast growing tree species • Research centers should work on improving (shortening) of the long gestation period of local tree species

Types of program activities	Potential negative impacts	Examples of possible mitigation measures
		• The agroforestry system should integrate at least 2 and above 2 tree species with other crops • The household should manage the size of the land that can be managed by the family members • Use mechanized/ improved technology for time and energy efficiency reason
Integrating agro-silvo-animal husbandry systems/practices	• Loss of land (grazing land shortage) due to increased density of trees • Increased risk of crop pests	• Avoid competing claims on land (for grazing and tree planting) • Introduce cultural pest management practices
Establishing pockets of wood stands at homestead level	• Increased risk of crop pests • Competition with annual or food crops • Ground water depletion through deep root system • Disruption to nutrient cycle if species have allelopatic effects	• Introduce cultural pest management practices • Planting sites should be different and with sufficient distance from crop fields • Planting should not be done close to water bodies, wetlands, shallow water table areas • Select species that do not cause allelopatic effect
Construction of water harvesting structures (ponds, reservoirs)	• Site becomes mosquito (disease vectors) breeding area and malaria infestation increases • Loss of land	• Plant mosquito repellent tree and shrub species around water ponds • Compensate for loss of land, livelihoods or economic benefits
Introduction of high value crops (vegetables, root crops and fruit seeds, seedlings)	• Increased load of agro-chemicals to control pests and plant diseases	• Introduce and apply cultural pest management practices
Introducing new varieties of plant species for forage and food crops	• Risk of introducing new pests and crop diseases with new the germplasm	• Conduct quarantine checks and follow national guidelines for introduction of new germplasm
Agricultural Intensification (mainly small-scale irrigation, improved seeds, agrochemicals/pesticides)	• Fertilizer runoff and leaching, eutrophication and effect on human health • Runoff of pesticides and similar agricultural chemicals • Increased pesticides harms animal and human health by accumulating in soils and leaching into water bodies • Stalinization and regimes of underground water • Inadequate drainage and over-irrigation causes water logging • Create farmers dependency on agricultural inputs • Reduces farmers' ability to use natural pest cycles • human health due to agricultural chemicals	• Protect the farmlands with integrated soil & water conservation (biological & physical) measures • Implement watershed management practice to protect reservoirs • Adopt IPM for pest and weed control • Use only prescribed and standard agro-chemicals (avoid unpermitted chemicals that are classified by WHO) • Apply water efficient technologies and techniques • Harvest excessive water during the high moisture seasons for the later dearth period use • Educate and give sustainable training and awareness integrated watershed management

Annex 6: Guidelines for program activities requiring special attention (see Subsection 5.2.2)

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 program activities (e.g. agricultural intensification) to be funded by the Oromia Forested Landscape Program 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 (OEFCCA). For detail information and use, refer to Environmental Impact Assessment Guideline on Pesticides and also contact the Ministry of Agriculture and Natural Resources, the Oromia BoA and its respective zonal/woreda offices, and the Ministry of Environment, Forest and Climate Change (MEFCC).

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. Program 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 social safeguards instruments (SA, RPF and PF) for the OFLP. All viable alternative strategic measures/options for designs have to be checked. When program 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 program 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 Program.

III. Summary of Small Dam Safety Guideline (MoA)

1. Introduction

The overarching dam safety objective is to protect people, property and the environment from the harmful effects of disoperation or failure of dams and reservoirs. To ensure that dams and reservoirs are operated and that activities are conducted so as to achieve the highest standards of safety that can reasonably be achieved, measures have to be taken to achieve the following three fundamental safety objectives:

- To control the release of damaging discharges downstream of the dam;
- To restrict the likelihood of events that might lead to a loss of control over the stored volume and the spillway and other discharges; and
- To mitigate through onsite accident management and/or emergency planning the consequences of such events if they were to occur;

These fundamental safety objectives apply to dam and activities in all stages over the lifetime of a dam, including planning, design, manufacturing, construction, commissioning and operation, as well as decommissioning and closure.

2. Planning of small Dams

There are some fundamental principles which should be applied through the investigation, design, construction and commissioning stages to achieve an adequate level of safety. The principles are:

i. the competence and experience of the owner's agents relative to the nature and dam hazard category of the dam, must be appropriate in all areas;
ii. there must be a cooperative and trusting relationship between the owner and technical advisers, and the designers must be given full control over decision making in critical areas;
iii. the owner must agree to apply the appropriate level of funding for investigations, design and construction to reduce the chances of critically important issues (particularly related to foundations) being not sufficiently well assessed or under protected;
iv. the designer/technical adviser has a duty not to compromise unduly due to financial pressures from the owner, developer or contractor;
v. continuity of key technical advice should be maintained throughout all stages of the dam from development, through design, construction and commissioning, to reduce chances of critical points of design philosophy and intent being misinterpreted during construction or commissioning.

Dam site investigation

Selecting the Dam Site

When choosing the location and size, the dam owner should also take into account what would happen if the dam failed suddenly and whether it would result in loss of life, injury to persons or livestock, damage to houses, buildings, roads, highways or railroads. The owner of the dam should ensure to avoid locating the dam where run-off from houses, dairies or septic systems can pollute the water.

Considerations at Investigation Stage

Technical Consideration

Site selection and site investigations are critical components to the success or failure of a dam. Regarding the technical consideration, the following important aspects should be considered:

a. The catchment is the area of land from which run-off is to be collected. If it is the main source of water supply, make sure that it is capable of yielding enough water to maintain both, the supply in the dam and the required releases over all periods of intended use. The catchment area however should not be too large, as it will then require a big and expensive overflow system (or spillway) to safely pass excess run-off from heavy rainfall without overtopping the dam.
b. Topographical features such as slope, width and height of dam, as well as reservoir capacity will influence construction costs.
c. Conducting site tests to establish the material properties for the embankment and foundation.
d. A good location for a spillway that will effectively handle runoff and minimize erosion.
e. Watershed activities that can affect the water quality or quantity of runoff.

Environmental Considerations

Dams with their associated reservoirs can have substantial environmental effects and any existing dam or new project must comply with the Ethiopian environmental and environmental legislations and associated licensing or permit requirements. It also complies with World Bank Safety of Dam Operational Policy (OP/BP. 4.37). It should be recognized at the outset that dam developments have effects extending beyond the immediate confines of the dam and inundated areas. For example;

- Reservoir slope stability may become a dam safety issue due to the risk of overtopping caused by large volumes of reservoir water being displaced by slope failures.
- Sitting of the dam/reservoir must take into consideration the local earthquake and faulting activity which may cause breaching of the dam
- Groundwater level changes may affect stability and land use around the reservoir margins and possibly adjacent to the downstream river, as a result of changed water levels.
- Trapping of sediments in the reservoir can result in upstream shoaling and loss of reservoir storage.
- Flora/fauna effects may occur in storage basin, downstream, and in passage around and through the dam.
- Minimum flow maintenance downstream of the dam to ensure the survival of flora and fauna, and to reduce causes of stream bed deterioration.
- Social development/changes to downstream use given the changed flood situation.

Dam Design

Embankment dams Design

The single most common cause of earthen dam failures is overtopping of the embankment. An undersized spillway will lead to overtopping; therefore, spillway design is critical to reservoirs. The spillway must be located such that discharge will not erode or undermine the toe of the dam. If the banks of the spillway are made of erosive material, provision must be made for their protection. Consideration must be given to the hazard to human life and potential property damage that may result from the failure of the dam or excessive flow rates through the spillway. Further consideration must be given to the likelihood of downstream development that may result in an elevation of the hazard classification.

Extreme Events

Large earthquakes, storm/flood activity and failure of upstream dams can be considered extreme events. The risk of failure from these events is minimized by using engineering design standards and relevant guidelines incorporating adequate margins of safety. Emergency preparedness set up well in advance is the only available measure of reducing the impact when a dam failure is about to happen.

Sedimentation

The effective life of many of small dams is reduced by excessive siltation – some small dams silt up after only a few years. This issue is poorly covered in the many small dam design manuals that are available, as they mostly focus on the civil engineering design and construction aspects. Appropriate methods/tools have to be chosen to predict, and where possible reduce, siltation rates in small dams.

3. Construction of a Dam

The quality of construction is all-important to dam safety. As far as construction is concerned, the following requirements are necessary from the dam safety viewpoint:

- the contractors must be suitably experienced and committed to achieving the standards of work specified;
- the level of supervision of the works, quality assurance procedures and designer continuity, must be appropriate to the scale and complexity of the dam;
- the owner must recognize that inherent uncertainties may remain after design investigations and only be revealed during construction, and have funding in place to deal with costs arising from additional requirements identified during construction;
- any area identified in the design process as requiring confirmation by the designer during construction, must be totally under the designer's control, and no design change, however small, shall be made without the designer's review and formal approval;
- a suitably detailed design report and drawings showing the as-built structure of all components of the dam and foundation shall be developed as an on-going and integral part of the construction supervision process, and be prepared after completion of each component so that there is a reliable record to refer to at all times in the future.

Therefore, the dam owner should ensure all the above mentioned requirements are fulfilled and complied.

Selecting the contractor

The use of inexperienced contractors and/or inadequate supervision can develop into an expensive liability. Nothing can take the place of a reputable contractor, using appropriate equipment and experienced machine operators and working under supervision of an experienced engineer.

Construction Supervision

Construction supervision is an important phase of dam construction. Supervision is meant to ensure that the design factors and specification requirements have actually been included in the final product.

If foundation preparation, material selection, outlet/spillway installation and embankment compaction are not properly carried out then the safety of the dam will be compromised. So, for all small dam types (both earthen and rock fill) expected to be constructed, all the dam safety requirements applicable should be considered accordingly.

4. Safety Surveillance

Purpose of Regular Inspection

The purpose of a dam safety surveillance program is to avoid failure of the dam, by giving early warning of any kind of symptom of trouble as early as possible. It is the most economical and effective means an owner has of maximizing the long-term safety and survival of the dam. Its primary purpose is to monitor the condition and performance of the dam and its surroundings.

Frequency of Inspections

The frequency of inspection required for an effective program of surveillance depends on a variety of factors including:

- Size or capacity of the dam;
- Condition of the dam; and
- Potential for damage resulting from failure of the dam (represented by the hazard category).

Adoption of the inspection frequency for a particular dam is the responsibility of the owner, though professional advice should be sought for large dams or those categorized under significant and high hazard dams.

According to the dam safety guidelines prepared for AGP, the suggested inspection frequencies for small dams of less than 15 m height for the two levels surveillance (quick visual inspection and comprehensive examination) is presented in the table below and should be followed critically.

Quick Visual Inspection	
Dam Hazard Potential classification	
High	twice weekly
Significant	weekly
Low	fortnightly
Comprehensive Examination	
Dam Hazard Potential classification	
High	monthly
Significant	3-monthly
Low	twice-yearly

Special Inspections

Special inspections will be required after unusual events such as earthquakes, major floods, rapid drawdown or volcanic activity. Special inspections should enable the dam owner to become aware of faults before partial or total failure occurs. Times when inspections additional to those above are recommended are:

- before a predicted major rainstorm (check embankment, spillway and outlet pipe);
- during and after severe rainstorms (check embankment, spillway and outlet pipe);
- after any earthquake, whether directly felt on the owner's property or reported by local news media (check all aspects of the dam).

Inspections should be made during and after construction and also during and immediately after the first filling of the storage.

Dealing with Problems

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 one of the following categories: seepage/leakage; erosion; cracking; deformation/movement; concrete structure defects; and spillway blockage.

Instrumentation and Monitoring

Instrumentation at a dam furnishes data to determine if the completed structure is functioning as intended, provides a continuing surveillance of the structure, and is an indicator of developments which may endanger its safety. Typical items instrumented or monitored include;

- profiles and condition, deformations, seepages or damp areas (visual)
- reservoir water levels which relate to dam loads and flood behaviour
- local rainfall which relates to background seepages
- drainage and distinguishable seepages which relate to control of leakage water flow
- Clarity of seepage flow which relates to potential erosion of embankment or foundation material.
- water pressures within the dam and foundations which relate to structural behavior
- movement or deformation of the dam surface and internal structure which relates to structural behavior
- stresses within the dam which relate to structural behavior
- seismic acceleration which relates to structural behavior

5. Operation and Maintenance of Dams

Effective and ongoing operation, maintenance and surveillance procedures are essential to ensure the continued viability and safety of a dam and its appurtenant structures. Poor operation, maintenance and surveillance will invariably result in abnormal deterioration, reduced life expectancy and possibility of failure. The proper operation, maintenance and surveillance of a dam provide protection for the owner and the general public. Furthermore, the cost of good operation, maintenance and surveillance procedures is small compared with the cost and consequences of a dam failure which could include major repairs, loss of life, property damage and litigation.

Because many small dams fail through lack of maintenance, it is prudent to have a definite and systematic maintenance plan.

The maintenance plan should be decided upon when the construction work on the dam is completed. It will affect the life of the storage if you do not maintain it properly. A good plan should include the practices to be used, as well as the approximate time of the year when they are applicable.

Annex 7: Summary of Consultation Conducted at Federal, Regional, Woreda and Kebele/Community Levels

Federal Level

The consultation process at federal level was held with stakeholders that were drawn from a wide range of stakeholders such as representatives of government organization, major ministries (Agriculture, Environment and Forestry, Energy and Investment), both local and international non-governmental organizations, civic societies, activist groups, religious groups, gender groups, donor groups, academia, and research institutes.

The ***presupposed strategic options*** and ***strategic options*** identified in studies conducted in Oromia such as *PFM, Agro-forestry, Area closure, Agricultural intensifications, Small-scale irrigation, and use of Energy saving stoves* were used as key consultation points. The impacts of the strategic options and their mitigation measures and the legal and policy frameworks in which these strategic options should be implemented were discussed with respect to the social and environmental safeguards of the forest communities of the country, with an emphasis to Oromia that accounts around 47 percent of the country's total forested area.

The major concern surfaced out from representatives of the major ministries is the issue of conflicts of interest between policies and strategies when it comes to implementation of strategic options on the ground. Representative from the Ministry of Agriculture has indicated that strategic options that aim at reducing deforestation and forest degradation may not be easily and effectively accepted and understood in the perspectives of snowballing agricultural produces both at small and large scales. He also emphasized that the same case could be reflected from the energy and investment sectors. Policy revisions and harmonizing of strategies of the agricultural, energy, investment and forest and environment sectors should be done before, during and after the implementation of REDD+ strategic options. The national REDD+ should take the responsibilities for creating platforms to instigate discussions among cross-sectoral institutions at national and regional levels. Awareness creation programs on the legal and policy frameworks of relevant ministries should also be done on regular basis in order to familiarize stakeholders with policies and strategies of sectors other than theirs. A suggestion has been coined by a representative of civic society that the national REDD+ programs should support and use civic societies that can facilitate platforms to maximize opinions and suggestions that would help in harmonizing cross-sectoral policies, strategies and legal frameworks for successful implementation of proposed strategic options.

Strategic options related to *participatory management of forests, area closure and agro-forestry* have been endorsed as viable strategies for implementation by a majority of stakeholders. However, concerns from representative of nongovernmental organizations on issues of depriving local communities from the very resource that they once use to access freely were raised as matters that may create a problem of illegal natural resource abuses at large scale. REDD+ projects that are implementing the strategic options should identify, prioritize and provide *alternative resources to communities* in the project areas and adjacent communities. Representative of civic societies have also raised the issue of *access restriction to sacred places, social gathering places, pasturelands, and communication.* It was emphasized that the design of the strategic options should carefully look into alternatives to accommodate social matters and activities within the project implementation area that have little or no impact on the forest. *Accommodation of social matters in the strategic options* can prevent the occurrence of conflicts and help local communities to endorse the REDD+ projects as their own as emphasized by the speaker. On the other hand, REDD+ program should launch *awareness creation programs* on PFMs, area closures, and agro-forestry activities and on legal and policy matters to communities and relevant stakeholders at all the project implementation areas.

The federal level consultation on Environmental and Social Management Frameworks (ESMF), in general, emphasized that the national REDD+ program should conduct intensive consultation and participation on cross-sectional issues such as:

- *Harmonization of policies of the major sectors (agriculture, water, irrigation and energy, investment, industry and environment and forest);*
- *Synergizing of overlapping and in some cases antagonizing strategies of the major sectors;*
- *Contextualizing of options for enforcement of environment and forest related laws and regulations;*
- *Refining and contextualizing of the mitigation measures through regular consultation with the major sectors and representatives of the forest communities in REDD+ project implementation areas; and*
- *Synchronization of land use plans of the major sectors if available or support the development of complementary land use plans of these sectors at national and regional levels.*

Regional Level

The Oromia regional level consultation was held with the assumption that the national REDD+ program can extract lessons from Oromia REDD+ pilot projects. *Much of the issues consulted at federal level received similar attention and reflections on the regional consultation*. More emphasis was given on *building capacities of institutions and stakeholder* that works closely with the National REDD+ program and projects that are implementing the strategic options. With this regard building capacities and strengthening of regional REDD+ coordination units at regional level should receive attentions as emphasized by participants.

Awareness creation on the impacts of the strategic options and their mitigation measures to stakeholders in the region should also take priority in the national REDD+ program as emphasized by participants. Depending on the context of the Oromia's social and environmental institutional setups, the national REDD+ program should approach regional institutions and *establish a network of social and environmental safeguards* for imposing the mitigation measures. In the process of doing this, the priority of the National REDD+ program should focus on *building the capacity of the actors* that support and work in collaboration with the REDD+ projects in the region.

The structural setup of major sectors that contribute to deforestation and forest degradation in regions are more or less similar to the national level organizational structures. Therefore, *regional platforms and networks* should be established to bring these sectors together for discussion on reduction of emission from deforestation and forest degradation. *Harmonization of policies, strategies and action plans* could only be achieved if the national REDD+ in collaboration with the Oromia REDD+ Coordination Unit (ORCU) could facilitate the process of bringing together the sectors to discuss on issues such as striking a balance between overlapping strategies and effort duplication. Permanent representatives from the agricultural sector, energy, water and irrigation sector, from regional investment office, natural resources bureaus and other relevant stakeholders should be negotiated and consulted by the national REDD+ secretariat to work with ORCU and regional focal persons.

Law enforcement institution of the regions should also be strengthened and supported by the national REDD+ Secretariat through organizing *training and awareness creation programs* so that legal bodies of regions could understand the objectives, processes and monitoring and evaluation issues of the REDD+ projects in their jurisdictional areas. Support to strengthen linkage between regional, woreda and kebele/community level legal institution should take consideration in the action plans of federal and regional REDD+ coordination offices tackle problems of deforestation and forest degradation as explained by representative from regional legal institution.

In addition, members of the consultation program have remarked that the REDD+ program should work on establishing stakeholders' network among the major sectors in regions that would actively participate in:

- *Planning of activities to implement strategic options;*
- *Further identification of impacts of the strategic options other than those indicated in the ESMF study;*
- *Selection of positive and negative social and environmental impacts other than indicated in studies;*
- *In safeguarding the social and environmental aspects of the environment; and*
- *Monitoring, evaluation as well as reporting of the implementation process of the strategic options and their mitigation measures.*

Woreda and Community Level

Consultations were held in 10 selected woredas (Harena Buluk, Dinsho, Dodola, Gera, Yayu, Didu, Anfillo, Odo Shakiso, Jibat, Anchar-see Table 6 below for additional information) with 2 kebeles from each woreda, which makes a total of 20 kebeles in the Oromia region. The criteria for selection of the woredas among other things include: hot spots 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 consultation process at woreda and kebele/community level has focused on extracting information on the impact of implementation of the presupposed strategic options, their mitigation measures and soliciting of information on how to safeguard the society and the natural environment from possible adverse effects of the implementation measures.

Administrative processes such as contacting the woredas with official letters from Ministry of Environment and Forest and relevant regional offices have been carried out before conducting consultation at woreda and community level. Consultation facilitators had to contact the woreda administration offices to organize the consultation with woreda and community stakeholder. Community level consultation has been held with attendants drawn from representatives of existing ethnic groups, clan groups, social statuses, religious groups, gender groups, age groups, underserved communities, and educational groups. For consultation that has been carried out at woreda level, representatives of the agricultural, the energy, investment and other sectors found relevant in the course of communication. All the consultations at community level have been carried out after obtaining the consent of all participants.

The presupposed strategic options, their possible adverse and positive impacts and their presumed mitigation measures have been discussed with all stakeholders at woreda and community level after giving a brief introduction on the REDD+ process. Communities and woreda stakeholders concerns and recommendations and related information have been summarized in the following tables.

Table 1: Environmental Concerns at Woreda level

Environmental Concerns (at Woreda level)			
Level	**Strategic Options**	**Major Concerns**	**Suggested Solutions**
Woreda	**Participatory Forest Management / Forest Conservation**	• May drive communities to move to other forested areas looking for replacement of their loses causing deforestation and forest degradation of the Woreda forest resources not included in PFM and conservation	• Provide communities with alternatives that would replace their resource needs
	Agroforestry	• Different land uses of the Woreda may fall under the influence of alien invasive species 1. Wetlands 2. Grazing lands 3. Farmlands 4. Water ponds, streams and rivers 5. Forest and shrub lands	• Conduct proper quarantine system before introduction of agroforestry species into the different land use types of the Woreda
	Area Closure	• May aggravate setting of deliberate forest fire, illegal selective cutting and biodiversity destruction	• Intensive consultation, awareness creation and establishing fire protection structures
	Agricultural Intensification	• Siltation of reservoirs	• Implement watershed management practice to protect reservoirs
		• Runoff of pesticides and similar agricultural chemicals in the future.	• Protect the farmlands with integrated soil & water conservation (biological & physical) measures
		• Fertilizer runoff and leaching; eutrophication and effect on human health	• Use of inputs (fertilizers and other chemicals) based on soil and plant tissue analysis for nutrient

Environmental Concerns (at Woreda level)			
Level	**Strategic Options**	**Major Concerns**	**Suggested Solutions**
		• Increase pesticides Harms animal and human health by accumulating in soils and leaching into water bodies	• Use pesticides that are less harmful and protect the animals and safety precaution for human
	Small-scale Irrigation	• May deplete surface and ground water resources	• Manage the watershed for recharging
		• Water logging that may harbor bacteria's, disease pests and insects	• Treat water reservoirs
	Afforestation/Reforestation	• Compromises the Woredas biodiversity	• REDD+ projects should take measure to protect sensitive and valuable biodiversity resources
		• May overtake better land uses due to lack of proper study and awareness	• Apply plantation on degraded and marginalized land uses
		• The Woreda may lose a significant proportion of the its vegetation if disease outbreaks attacking the monoculture (e.g. Ephids and scales in *Cupressus lustanica*)	• Establish early warning system and early measure in case indications occur
	Energy saving stoves	• May prompt land degradation due to excavation of raw material resources for stoves construction	• Consultation, participation and awareness creation on environmental degradation and sustainable utilization of natural resources

Table 2: Social Concerns at Woreda level

Social Concerns (at Woreda level)			
Level	**Strategic Options**	**Major Concerns**	**Suggested Solutions**
Woreda	**Participatory Forest Management / Forest Conservation**	• People may be evicted from the PFM sites and become additional burden on Woreda admin	• REDD+ projects should support the Woreda admin build its administration capacity through technical support, including training and awareness
		• Conflict may arise between PFM and non PFM community members that could exceed the resolving capacity of the Woreda admin	• REDD+ projects should assist the Woreda admin in resolving conflicts through conflict resolution mechanism
		• Restriction over social and natural resources, spiritual exercise, use and ownership rights may create social insecurity and scarcity chaos that may be beyond the controlling capacity of the Woreda	• The PFM and forest conservation programs should allow activities that do not harm the forest environments (e.g. Spiritual ceremonies)
		• May serve as fertile ground for external forces (activists, NGO, traditional institutions, etc.) and influential individuals for instigating conflict and/or disagreement between the Woreda administrations and the local community	• REDD+ projects should work with these influential organization and cultural institutes to avoid conflict and establish legal suing system to hold them accountable
		• May alter the working system of the Woreda community due to the incentive mechanism (e.g. Catchment rehabilitation, road construction, plantation scheme, adopting agricultural and other technologies etc.)	• Encourage and train communities to engage in other income generating activities
		• Incentivizing and compensation systems may affect the collaboration culture of the Woreda community on collective job cultures and traditions (e.g. Debo, Edir, Jigi)	• The Woreda admin in collaboration with the REDD+ project should encourage collective cultural works through participation

Social Concerns (at Woreda level)			
Level	**Strategic Options**	**Major Concerns**	**Suggested Solutions**
		• The Woreda may lose a land and/or natural resources that it may use to conduct social and cultural services and/or benefit from and spend for socio-economic activities	• The Woreda admin in collaboration with the REDD+ project plan not to affect these sites
	Agro-forestry	• Social resistance on adopting agro-forestry technologies may arise that could be beyond the controlling capacity of the Woreda	• Intensive consultation and participation as well as training and awareness creation
		• The Woreda may not have the capacity to monitor and control agro-forestry activities due to fragmented settlements	• REDD+ projects should give training on Agroforestry practices
		• Mobilization of communities may be difficult due to diversified individual interests	• REDD+ projects should give training on Agroforestry practices
	Area Closure	• Access restriction and control of trespassers over natural resources may create conflict between the Woreda and its community	• Build the capacity of the Woreda to control area closures and enforce laws on trespassers
		• May create access restriction on the Woreda administration as well as the local communities by blocking access routes	• Establish alternative routes
	Agricultural Intensification	• Lack of economic capacity of the Woreda community to purchase agri-inputs such as fertilizers and improved seeds	• Incentivizing the community and subsidies
		• Introduction of agricultural inputs that may damage the community's health	• Establish local quarantine system and support from DA through simple trail
		• Lack of capacity and awareness to disseminate agricultural technologies and misuse arising thereof	• Training and capacity building
		• May affect the natural and traditional farming system that is resilient to shocks and may create dependency syndromes	• Maintain the local knowledge as much as possible
	Small-scale Irrigation	• Malaria and water borne disease outbreak beyond the control capacity of the Woreda	• Support the Woreda in the fight against disease outbreak
		• Conflict with downstream users due to misuse of water resources from upstream users	• Training on appropriate use of water resources by upstream users
	Afforestation/Reforestation	• Lack of capacity to mobilize communities	• Build capacity through financial and logistic support
		• Social chaos and conflict from resettlement and relocation of local people	• Plan and prepare with the local communities and the Woreda admin
		• May create social crisis by inducing illegal tree cutting, becoming a hiding place for outlaws and trespassers	• Law enforcement and appropriate compensation
		• May become a place to harbor wild animals that would attack communities properties	• Establish protection and early warning systems against attack
		• Can create administrative barrier between communities living in other sides of the plantation area and the Woreda administration	• Construct alternative routes or provide transportation facility
	Energy saving stoves	• Social resistance to new technology may become a work burden for the Woreda admiration	• Intensive consultation and participation as well as training and awareness creation
		• Counterchecking by the Woreda admin may become difficult if manipulation and monopolization of the stove trade falls in the hands of community elites	• Close follow up and monitoring of the manufacturing and distribution of the stoves

Social Concerns (at Woreda level)			
Level	**Strategic Options**	**Major Concerns**	**Suggested Solutions**
		• Conflict over benefit sharing if cooperatives are formed to handle stove production and selling	• Empower the Woreda conflict resolution capacity through training on grievance redress mechanisms
	Law enforcement	• May create attitudinal resistance from trespassers and outlaws	• Identify and approach suspected trespassers and engage them in planning and implementation of the REDD+ projects

Table 3: Environmental Concerns at community/kebele level

Environmental Concerns of Consulted Communities (at Kebele level)	
Major Concerns	**Suggested Solutions**
PFM, Forest Conservation, Area Closure • May bring increased forest degradation from organized illegal cuttings • May call for total environmental destruction from mass mobilized cuttings and setting of forest fire • Attractive forest tenure and property right may increase land grabbing opportunity • May increase the value of forest land over agriculture land • Disrupts traditional tenure and forest management systems • Change in land use type may be induced (e.g. from agriculture to forest or vice versa) • Create economically driven forest mismanagement that may lead to forest degradation • May instigate deforestation from marginalized local communities and/or little benefiting PFM members • Low economic value forests in lowland areas may not attract PFM organization • Coffee farming in the forest has already degraded biodiversity and further permit of coffee farming in the forest may worsen the condition • Stakeholder and community may not be mobilized as required • Tragedy of the commons	**PFM, Forest Conservation, Area Closure** • Avail forest products and non-timber forest products which the community depends on the forest from other sources • Share benefit to the community from the income accrued due to the protection of forest • Increase the awareness of the community through training and education • Law enforcement should be in place • Allow community use the resource without cutting the trees e.g. for ritual, cultural practices, • Educate and train the community on the value of the forest • Prepare enough through capacity building (human & material) to suppress fire incase fire is set • Empower indigenous grievance redress mechanisms • Implement effective law enforcement to deter land grabbing • Government should implement land use planning • Synchronize traditional and modern land use system get the best out of the combination • Compensation planting required if change is from forest to agricultural lands • Compensation planting required if change is from forest to agricultural lands • Hybrid of PFM and Traditional forest management with scientific management so that forests utilized based on forest management plan
	• PFM should encompass all community members with equal benefit sharing • Enhance the economic value of the lowland forests through forest industry installation • Strict control over the expansion of coffee planting in the forest • Put in place where the undergrowth and natural regeneration of tree species allowed to grow • Put in place the urges maintenance of minimum number of indigenous tree species where coffee is farmed • Build own capacity of fire prevention system • Educate people Select appropriate species for the purpose

Environmental Concerns of Consulted Communities (at Kebele level)	
Major Concerns	**Suggested Solutions**
Agroforestry • Quarantined agroforestry species may become invasive and damage the natural environment • May be less effective in cases where mono culture practice more benefits the environment (e.g. in dissected landscapes) • Where the tree and crop or livestock components overlap in their use of resources, competition may lead to reduced productivity (e.g. Competition for water between tree and crop components is likely to limit productivity)	**Agroforestry** • Establish strong quarantine centers at national and all regional government levels • Integrate several crops and tree species in the agroforestry practices • Integrate in the agroforestry system crops with low moisture demand • Harvest water during the rainy water for dearth period use • Firebreak structure and equipment should be in place • Educate and enhance the awareness of community • Fence to exclude encroachment • Do not come close to the habitat/breeding place of wildlife • Share benefit from the wildlife hunting/ ecotourism so that community feels ownership over the resource
• Aggravate environmental degradation from setting of fires • Aggravate illegal cuttings and destruction of regenerating biodiversity • Increase conflict between wildlife & humans & increase crop pests (birds, mammals) • Risk of monoculture plantation • Compromise to local biodiversity • Risk of harbor of crop pests in reforested area • Some soil impacts can be expected as a result of plantation forests operations, including erosion, decreasing surface runoff and the development of a protective forest floor • Poorly designed and mass mobilized conservation measures aggravate soil erosion	• integrated crop pest management practice • Plant mixed species • Allow natural regeneration under the monoculture species so that the regenerated species overtake the planation • Plant local/indigenous tree species • Allow natural regeneration under the monoculture species so that the regenerated species overtake the planation • Use integrated crop pest management practice • Allow undergrowth through wider space planting • Install soil and water conservation practice (physical & biological) to harness erosion • Implement conservation measures using experts/well trained person only • Enforce land-use plan to come into force
Small-scale Irrigation • Siltation of reservoirs • Fertilizer runoff and leaching; eutrophication and effect on human health • Runoff of pesticides and similar agricultural chemicals • Eroded agricultural genetic resources essential for food security in the future. • Increased pesticides harms animal and human health by accumulating in soils and leaching into water bodies	**Small-scale Irrigation** • Implement watershed management practice to protect reservoirs • Protect the farmlands with integrated soil & water conservation (biological & physical) measures • Use of inputs (fertilizers and other chemicals) based on soil and plant tissue analysis for nutrient • Treat water before using • Protect the farmlands with integrated soil & water conservation (biological & physical) measures
• Salinization and regimes of underground water • Inadequate drainage and over-irrigation causes water logging • Lowering of water tables • Water diversions for agriculture are a major problem for many aquatic species.	• Never erode the local genetic resource; work side by side on both local and improved crop varieties to enhance food security • Use personal protective equipment whenever applying chemicals • Protect animal from entry into the farm area until the chemicals dilute and assimilated by the crops • Continuous leaching of the farms with water • Irrigate the farms based on the soil water requirement analysis • Use drip irrigation to avoid both under and over irrigating • Implement practices that recharge ground water (watershed management, soil & water conservation structure) • Diversion of water to only the threshold level beyond which aquatic live do not affected

Environmental Concerns of Consulted Communities (at Kebele level)	
Major Concerns	**Suggested Solutions**
Energy Saving Stoves • May increase demand for firewood and charcoal due to wider use outside of the project area which intern aggravate deforestation and forest degradation	**Energy Saving Stoves** • Diversify the type of energy saving stoves like solar, kerosene and electric stoves • Urge the Government to expand the grid system in the project areas
Afforestation/Reforestation • Exotic species may dominate as these are fast growing than the indigenous • Environmental degradation during harvesting and transporting time • Adverse micro-climate modification after harvesting • The act induces more numbers of charcoal users which means more carbon emission • Environmental pollution by particulate matters from the use of charcoal • High calorific value wood plantation leads to monoculture that brings about loss in biodiversity • Fire risks from the tree species planted for charcoal production as they are susceptible to ignition	**Afforestation/Reforestation** • Researching on fast growing indigenous tree species • Employ semi-mechanized system during harvesting • Harvest based on the rotation period (do not harvest all at a time) • Sequestrate the emitted carbon by planting trees of environmental value (e.g. for carbon financing, ecosystem protection) • Use charcoal gadgets with chimney and lid that prevent entry of particulate into the environment • Allow natural regeneration under the plantation • Have different plantation sites for biodiversity and environmental protection • Construct fire breaks between blocks of forest • Build capacity (human and material) to suppress fire in case it sets

Table 4: Social Concerns at kebele/community level

Social Concerns of Consulted Communities and Proposed Mitigations (at Kebele level)	
Major Concerns	**Suggested Solutions**
PFM, Forest Conservation, Area Closure: • Restriction over livestock pasture resource • Restriction over expansion of farmlands • Restriction over fuel, construction and farm implement forest resources • Conflict between local communities and protecting agents • Restriction over member of communities that traditionally use the forest for religious rituals • Obstruction of routes that connect communities living on either sides of the forest under PFM, area closure and conservation area • Hosts wild animals that may frequently attack livestock of surrounding communities • Small holder farmers may be evicted from their holdings for forest investment • Loss in land ownership may be induced (e.g. from private to government or vice versa) • Coffee forest farmers may be affected by the change of the forested coffee to pure stand of forest • Conflict over benefit sharing and marginalization of certain segments of local community • Conflict over skewed power relationship PFM may involve the exclusion of previous forest users from accessing forest resources	**PFM, Forest Conservation, Area Closure:** • Let the community use grass in cut and carry system • Intensify productivity per unit area through improved input use so that areal expansion of agriculture land • Supply improved cooking and baking stoves to the community which depends on forest for energy source • Support community to shift from wood to metal and/or blocks for construction • Ploughing system shift from traditional to semi-mechanized • Use customary conflict redress mechanism • Enhance the benefit of the community from the enclosed area • Compensate them enough • Allow communities to practice the ritual and religious practices in the forest as far as these do not affect the forest • Area enclosure should leave access routes for communities to move freely • If obstruction of access route is must, transport facility to use the other route must be arranged • Compensate the individual whose livestock eaten by the wildlife • Educate and train communities in the lowland areas about PFM • Assist communities in the low land areas to carry-out experience sharing visit in high land areas • Encourage self-dependency of the PFM groups through enabling them generate their own income from the forest management activities or • Inclusion of all community members to become PFM members • The PFM bylaw and the legal framework should define the power of the PFM leaders • Use customary conflict redress mechanism

Social Concerns of Consulted Communities and Proposed Mitigations (at Kebele level)	
Major Concerns	**Suggested Solutions**
Agroforestry • Highly fragment land use types of an individual household and may end up in highly reduced products • Difficult to introduce due to long gestation period of the trees • Traditional monoculture farming system • Create land computation with local community • Intensive care for the various agroforestry practices consumes the time and energy of household members •	**Agroforestry** • Integrate several types of agroforestry crops and trees to get increased products from diversified crops and trees • Select fast growing tree species • Research centers should work on improving (shortening) of the long gestation period of local tree species • The agroforestry system should integrate at least 2 and above 2 tree species with other crops • The household should manage the size of the land that can be managed by the family members • Use mechanized/ improved technology for time and energy efficiency reason
Afforestation/Reforestation • From previous experience of large scale plantation people feel fear of loss of land ownership • Fire is a concerns that fire will increase and could affect neighboring properties • Some soil impacts can be expected as a result of plantation forests operations, including erosion, decreasing surface runoff and the development of a protective forest floor. • High costs of seedling production to carry out plantation relative to enrichment plantings • Create access restriction • Physical relocation of local communities • May brings food insecurity as farm lands devoted to plantation	**Afforestation/Reforestation** • Subsidize the seedling production cost through support by NGOs operating in the area • collect seed from local sources and raise them in community owned nursery • Compensate for what the community will lose from the land that to be devoted to reforestation/ afforestation • Allow cut and carry practice for the grass use • Do not plant fire prone tree species • Plant mixed species to minimize the risk of fire setting naturally or deliberately • Train the community on forest fire risk and forest fire management • Construction fire break line between the forest and the properties of the community • Plant with wider spacing to allow undergrowth so that erosion will be prevented or minimal • Empower women and youth to play the role
Intensive Agriculture • Create farmers to depend on agricultural inputs like fertilizer • Reduces farmers' ability to use natural pest cycles, leading to increased need for pesticides • affects human health due to agricultural chemicals • Lack of awareness about appropriate use of chemical fertilizers/pesticides due to lack of education and knowledge of community, especially women • Limited purchasing capacity of inputs(improved seeds, fertilizers seedlings) can limit potential gains • Climate Smart Agriculture (CSA) sometimes need adopting new farming system and technology which may not be both accepted earlier and afforded financially respectively • Only rich farmers may benefit from CSA	**Intensive Agriculture** • Encourage agriculture intensification by the use of compost than fertilizer especially for smallholder farmers • Use integrated pest management system which proved best than single types of pest management practice Give awareness creation on health and safety of agro-chemicals • Use integrated pest management system which proved best than single types of pest management practice • Use of PPE whenever applying agro-chemicals • Offer continuous and sustained education & awareness creation on the appropriate use of chemicals • Government needs to subsidize any cost related to agricultural intensification to encourage the use of the same by community, especially small holder farmers • Educate and train community on the benefit of CSA • Assist poor farmers technically and materially

Social Concerns of Consulted Communities and Proposed Mitigations (at Kebele level)	
Major Concerns	**Suggested Solutions**
Small-scale Irrigation • Prevalence of water-borne diseases (giardia, schistosomiasis, etc.) may increase • Increased exposure to malaria • Shortage or lack of water resource to downstream users • Conflicts between neighboring communities over water resource utilization • Incur cost to poor local communities	**Small-scale Irrigation** • Educate and give sustainable training to the community on water and sanitation including water borne diseases • Enhance health facility for the treatment of water borne diseases if these are inevitably occurring • Avoid water logging through adequately draining • Disturb stagnant water continuously to break the breeding/life cycle of the insect • Cater mosquito net to the community • Implement wise and fair use of water • Water use to be implemented based on the schedule to be fixed by the consent of the upper and lower community • Harvest excessive water during the high moisture seasons for the later dearth period use • Water use to be implemented based on the schedule to be fixed by the consent of the upper and lower community
Energy Saving Stoves • May be difficult to supply the stoves in high demand areas due to long production-marketing chain • Stoves in high demand areas due to long production-marketing chain • Exploitation by middle men in the market chain • Time taking: long awareness creation and technology adoption process • Market problem may be a challenge • high transport, operation and maintenance costs and the length of time it takes to reach commercial centers • Labor may be a problem for the family to harvest the forest products • Transporting to the market center may be a problem due to farmers financial capacity	**Energy Saving Stoves** • Supply of energy efficient cooking and baking gadgets at subsidized price • Avail electricity at affordable price by the community • Encourage farmers build corrugated/bricks roof house over hatch house so that there will be no fumigation • Educate and enhance the awareness of the community on modern style of living • Educate and give sustained training on the relative advantage of electricity/fuel efficient stove over the traditional stove • Avail electricity and cooking/baking stoves at very attractive price • Solicit fund for the soonest project implementation e.g. fuel efficient cooking/baking stoves catering • Begin with the few number of farmers and gradually increase it • Build the capacity of community members for own community demand making of the stoves

Table 5: Lists of Consulted Persons

No	Name	Sex	Mobile Number	Region	Wereda	Kebele
1	Sisay Abera	Male	0911166077	Oromia	Anchar	
2	Yehualshet	Male	0922772424	"	"	
3	Mohammed Yuye	Male	0912782433	"	"	
4	Ababu Tasew	Male	0915242882	"	"	
5	YeyisTakele	Male	0927866581	"	"	
6	EdnanaUshra	Male	0910420203	"	"	
7	Gashaw Haile	Male	0935655753	"	"	
8	Abaynesh Hailu	Female	0922073922	"	"	
9	Almaz Markos	Female	0935835794	"	"	
10	Gelila Jemal	Female	0911549799	"	"	
11	Ashu Tamirat	Female	0924103836	"	"	
12	Muliye Tilaye	Female	0927306608	"	"	

No	Name	Sex	Mobile Number	Region	Wereda	Kebele
13	Mohammed Hasen	Male	0924013700	"	"	
14	Tadesse Jimas	Male	0910746931	"	"	
15	Abdurahman Dadi	Male	0922772443	"	"	
16	Ibrahim Kasim	Male	0934923966	"	"	
17	Alfanur Ahmed	Male	0931286382	"	"	
18	Sultan Hussien	Male	0923972411	"	"	
19	Tilahun Shimelis	Male	0970693458	"	"	
20	Musa Mohammed	Male	0921758998	"	"	
21	Ziad Ahmed	Male	0921184012	"	"	
22	Hamid Hawaso	Male	0923752177	"	"	
23	Abdurahman Kedir	Male	0937662476	"	"	
24	Yidnek Wondimu	Female	-	"	"	Dindin
25	Alemnesh Gebre	Female	-	"	"	"
26	Tateme Fikre	Male	0919557746	"	"	"
27	Wegayehu W/Semaiat	Female	-	"	"	"
28	Ahmed Mohammed	Male	-	"	"	"
29	NuneshZeleke	Female	0937483486	"	"	"
30	GosaTamrat	Male	-	"	"	"
31	Yehualashet Roge	Male	-	"	"	"
32	Mohammed Sheke	Male	0927306576	"	"	"
33	Ibsa Abdelle	Male	-	"	"	"
34	Mohammed Ahmed	Male	-	"	"	"
35	Abiyi Ode	Male	-	"	"	"
36	Bayush Gisile	Female	-	"	"	Midgdu
37	Demeke Boni	Male	-	"	"	"
38	Amsale Haile	Female	-	"	"	"
39	Yesunesh Leul	Female	-	"	"	"
40	Selamawit Lule	Female	0922045033	"	"	"
41	Hasen Hussen	Male	0931458408	"	"	"
42	Ayele Nigatu	Male	-	"	"	"
43	Mesfin Lule	Male	0928206619	"	"	"
44	Neguse Abate	Male	-	"	"	"
45	Dagnachew Yosef	Male	-	"	"	"
46	Sinke Abate	Female	-	"	"	"
47	Hide Hullo	Female	-	"	"	"
48	Dinku Bekele	Male	-	"	"	"
49	Weynehareg Antewen	Female	-	"	"	"
50	Hasen Bedeso	Male	0916005935	"	Dodola	
51	Hasen Woliyi	Male	0920355535	"	"	
52	Maruf Mesud	Male	0921359719	"	"	
53	Sultan Genemo	Male	0913467343	"	"	
54	Mustafa Guye	Male	0910959889	"	"	

No	Name	Sex	Mobile Number	Region	Wereda	Kebele
55	Yilma Zeleke	Male	0920171078	"	"	
56	Birhanu Wabe	Male	0915830419	"	"	
57	Bezabih W/Samayat	Male	0926509987	"	"	
58	KebedeAman	Male	0912083126	"	"	
59	Debebe Mekonen	Male	0913624255	"	"	
60	Gizaw Mengiste	Male	0929446561	"	"	
61	Tegenie Mulugeta	Male	0933850242	"	"	
62	JemalGerchu	Male	0925724294	"	"	
63	Leyla Neguse	Female	0910089324	"	"	
64	Genet Bekele	Female	0920068189	"	"	
65	Hajo Haji	Female	0912265042	"	"	
66	Fozia Kedir	Female	0920067974	"	"	
67	Jemila Mengistu	Female	0920174404	"	"	
68	Imayu Ayano	Female	0924560742	"	"	Deneba
69	Mituwat Taso	Female	0927292569	"	"	"
70	Jamarya Funi	Female	0925391716	"	"	"
71	Almaz Sobaga	Female	0922671882	"	"	"
72	Ansha H/Mikail	Male	0920068434	"	"	"
73	Goriba Herbo	Male	0912975318	"	"	"
74	Barso Dube	Male	0928038272	"	"	"
75	Ibrahim Jarso	Male	0926473066	"	"	"
76	Duba Gero	Male	0910254087	"	"	"
77	Gabayo Simes	Male	0929324998	"	"	"
78	Shibru Bariso	Male	0916018251	"	"	"
79	Eribo Guye	Male	0921358779	"	"	"
80	Kubri Fato	Male	0912757123	"	"	"
81	Umer Haju	Male	0922701912	"	"	"
82	Kadir Imiy	Male	0916063730	"	"	"
83	Jamal Jarse	Male	0924935911	"	"	"
84	Mohamommed Amin	Male	-	"	"	"
85	Hamdicho Guyyee	Male	0949294687	"	"	"
86	Hamu Fato	Male	-	"	"	Berisa
87	Muhammed Biftu	Male	0910821193	"	"	"
88	Ibrahim Anfote	Male	0910976951	"	"	"
89	Aman Roba	Male	0938112106	"	"	"
90	Ahmed Galato	Male	0913895328	"	"	"
91	Aman Haji	Male	0923720874	"	"	"
92	Kediro Gelgalu	Male	0922701896	"	"	"
93	Abdurazak Aljalil	Male	0921711759	"	"	"
94	Keki Hasen	Male	0945814466	"	"	"
95	Kemaria Koji	Female	0912097511	"	"	"
96	Amane Gamado	Female	-	"	"	"

No	Name	Sex	Mobile Number	Region	Wereda	Kebele
97	Taiba Judo	Female	-	"	"	"
98	Husen Kalilo	Male	0921089258	"	Dinsho	ZaloAbebo (02)
99	Abdure Kalil	Male	-	"	"	"
100	Ibrahim Kalil	Male	0921394981	"	"	"
101	Birka Kadir	Male	-	"	"	"
102	Aliyi Sheko	Male	0916864427	"	"	"
103	Abas Adamo	Male	0921451137	"	"	"
104	Ahmad K/Adam	Male	0939519015	"	"	"
105	Mohammed K/Adam	Male	0912767166	"	"	"
106	Aman Mohammed	Male	0912315412	"	"	"
107	Kadi H/Adam	Male	0912315321	"	"	"
108	RukiaAbda	Female	-	"	"	"
109	HawaAbdo	Female	-	"	"	"
110	Muslima Mahmud	Female	-	"	"	"
111	Kemar H/Adam	Male	0912315306	"	"	Haro Soba
112	KasimWagritu	Male	0913926716	"	"	"
113	Amino H/Hussen	Male	0921089736	"	"	"
114	M/Jemal H/Said	Male	0913968680	"	"	"
115	H/KadirTufo	Male	-	"	"	"
116	ShlfahoAbdo	Male	0922050436	"	"	"
117	Mohammed Kadir	Male	0910362386	"	"	"
118	Alo Abdo	Male	0920357895	"	"	"
119	Locho Sube	Female	-	"	"	"
120	Amane Hagahiyi	Female	-	"	"	"
121	Yeshi Yesuf	Female	0937822645	"	"	"
122	Esamu Umer	Male	0913223452	Oromia	HarenaBuluk	
123	Kalid Rube	Male	0913394099	"	"	
124	Muhammed Adem	Male	0922510258	"	"	
125	Isa Kaso Aman	Male	0940313699	"	"	
126	Hussen Muhammed	Male	0926136826	"	"	
127	Abebe Bekele	Male	0920943409	"	"	
128	Merga Geda	Male	0916841749	"	"	
129	Ramates Ulariyo	Male	0925661031	"	"	
130	Hussen Aliyu	Male	0932312131	"	"	
131	Kadir Adem	Male	0920381915	"	"	
132	Mohammed Hussen	Male	0919264464	"	"	
133	Ayenew Bekele	Male	0912451152	"	"	
134	Sufian Abdo	Male	0922758285	"	"	
135	Abdu Ahu	Male	0926627374	"	"	
136	TaibaAbdulahi	Female	0932143352	"	"	
137	Nagasso Luke	Male	0912812604	"	"	
138	Shewangizaw Haile	Male	0913601216	"	"	

No	Name	Sex	Mobile Number	Region	Wereda	Kebele
139	TigistMilku	Male	0921097559	"	"	
140	Aman Ahmed	Male	0913352066	"	"	SodoWelmel
141	Usman Mume	Male	-	"	"	"
142	Derga Hussien	Male	-	"	"	"
143	Derga Hassen	Male	-	"	"	"
144	Aman Abdulkadir	Male	-	"	"	"
145	Mesfin Merga	Male	-	"	"	"
146	Seyfu Adem	Male	-	"	"	"
147	Redwan Abafita	Male	0922763126	"	"	"
148	Jemal Abdulwahid	Male	0927909065	"	"	"
149	Gursuma Kedir	Female	0932322092	"	"	"
150	Fatuma Aliye	Female	-	"	"	"
151	Hawa Kedir	Female	-	"	"	"
152	Teyiba Teyib	Female	-	"	"	"
153	Zubeyda Hashim	Female	-	"	"	Shawe
154	Amane Adem	Female	-	"	"	"
155	Shemsia Ansha	Female	0946583935	"	"	"
156	Temima Hunde	Female	-	"	"	"
157	Esmael Adem	Male	-	"	"	"
158	Umer Kedir	Male	0915745531	"	"	"
159	Mahmud Adem	Male	0927314010	"	"	"
160	Ahmed Adem	Male	0922672263	"	"	"
161	Malim Hussen	Male	-	"	"	"
162	Umer Buta	Male	-	"	"	"
163	Hussien Roba	Male	0924327520	"	"	"
164	Husseinh/Mohammed	Male	-	"	"	"
165	Gorume Wodajo	Male		Oromia	Yayu	Wobo
166	Kebede Hordofa	Male	-	"	"	"
167	Teka Dabola	Male	-	"	"	"
168	Yadata Doba	Male	-	"	"	"
169	Fetene Bulcha	Male	-	"	"	"
170	Geremwe Nuru	Male	-	"	"	"
171	Firdi Kena	Male	-	"	"	"
172	Nuru Gebeyhu	Male	-	"	"	"
173	Adugna Gebeyhu	Male	-	"	"	"
174	TekalegnLema	Male	-	"	"	"
175	Getachew Tesema	Male	-	"	"	"
176	Getu Befirdu	Youth	-	"	"	"
177	Yeshi Tesfaye	Female	-	"	"	"
178	Almaz Nura	Female	-	"	"	"
179	Rabiya Befekadu	Female	-	"	"	"
180	Bruktawwit Hailu	Female	-	"	"	"

No	Name	Sex	Mobile Number	Region	Wereda	Kebele
181	Shitaye Debisa	Female	-	"	"	Gechi
182	Asiya Nasir	Female	-	"	"	"
183	Birhane Jenber	Female	-	"	"	"
184	Tafesu Worku	Female	-	"	"	"
185	Denku Oljira	Female	-	"	"	"
186	Zumera Dhisa	Female	-	"	"	"
187	Amirasa Eliyas	Female	-	"	"	"
188	Mitiku Tiruneh	Male	-	"	"	"
189	Habtamu Tafese	Male	0919122784	"	"	"
190	Asefa Amente	Male	0948969076	"	"	"
191	Ibrahim Kedir	Male	0919105619	"	"	"
192	Bekum Nurfath	Male	0919119085	"	"	"
193	Atinafu Tadesse	Male	-	"	"	"
194	Tamsgene Ayana	Male	-	"	"	"
195	Bula Bekele	Male	0932459849	"	"	"
196	Adisu Etefa	Youth	0917964494	"	"	"
197	Sisay Tarekegn	Youth	0923336604	"	"	"
198	NisroHussen	Youth	0917464371	"	"	"
199	Sukare Abdu	Female	-	"	"	Yoye 01
200	Birhane Morke	Female	-	"	"	"
201	Birhane Tariku	Female	0921061558	"	"	"
202	Ayahush Tesema	Female	-	"	"	"
203	Aster Gizaw	Female	0917310081	"	"	"
204	Tadalech Fita	Female	0913292664	"	"	"
205	Melese Manfo	Male	-	"	"	"
206	Tesfa Belay	Male	0917806452	"	"	"
207	Fikadu Hailu	Male	0912319299	"	"	"
208	Temegnu Borena	Male	0917117248	"	"	"
209	Meressa Geisa	Male	0917026616	"	"	"
210	Tesfaye Kebede	Male	0911756394	"	"	"
211	Tesfaye Yadesa	Male	0917025595	"	"	"
212	Fedesa Feyesa	Male	0912117086	"	"	"
213	Etenesh Abedeta	Youth	0932439106	"	"	"
214	Tahir Siraje	Youth	0917118452	"	"	"
215	Laila Kali	Youth	0912528522	"	"	"
216	TayituMulegeta	Female	0927577836	"	Gera	Chira
217	Kedeja Abagojam	Female	-	"	"	"
218	Taju Kedir	Female	0928302996	"	"	"
219	Dejene Kebede	Youth	0917062215	"	"	"
220	Mohammed AbaOli	Youth	0949004275	"	"	"
221	Nasir Aba Lulisa	Youth	0917263752	"	"	"
222	Sherif Abagaro	Youth	0917263690	"	"	"

No	Name	Sex	Mobile Number	Region	Wereda	Kebele
223	Awol Abagidi	Youth	0917258715	"	"	"
224	Sahili Abagidi	Youth	0917325103	"	"	"
225	Jafar Kemale	Youth	0927570787	"	"	"
226	Sultan Saman	Youth	-	"	"	"
227	Getu Tesfaye	Youth	0917056383	"	"	"
228	Faris Abafogi	Male	0917505082	"	"	"
229	Dega Ababugu	Male	0917905660	"	"	"
230	Regas Chala	Male	0917066695	"	"	"
231	Nurseman Shehshafi	Male	0924493840	"	"	"
232	Hafiz SheheShafi	Male	0937175067	"	"	"
233	Nasir Abamecha	Male	-	"	"	"
234	Temam Abadilbo	Male	0917259221	"	"	"
235	Husien Ali Mohammed	Male	0917104207	"	"	"
236	Bederu Abaoli	Male	0945669290	"	"	"
237	Abaoli Abakedir	Male	0917313921	"	"	"
238	Sultan Ahemed	Male	0917899403	"	"	"
239	Nasir Lemicha	Male	-	"	"	GenjiChalla
240	Al Giddi Al Jobir	Male	-	"	"	"
241	Al Daga Al Kabe	Male	-	"	"	"
242	TerefeKumsa	Male	0917202270	"	"	"
243	Temam A/Gero	Male	-	"	"	"
244	Al Biyya A Mecha	Male	-	"	"	"
245	AbdoAloli	Youth	-	"	"	"
246	WajiSehe Abedela	Youth	-	"	"	"
247	Ferdi Al Lulesa	Youth	0917751336	"	"	"
248	Mohammed Amin Almacha	Youth	0940567883	"	"	"
249	Teshome Gezahegn	Male	0917108302	"	"	GuraAfalo
250	Al Nega Al Dura	Male	-	"	"	"
251	Abdulqadir Al Gidi	Male	0927571357	"	"	"
252	Birhanu Ayele	Male	-	"	"	"
253	Nasir Al Fogi	Male	0917616877	"	"	"
254	Sultan Al Fira	Male	0917913472	"	"	"
255	Yimam Ahimed	Male	-	"	"	"
256	Zinabu Katema	Male	-	"	"	"
257	Jihad Aldura	Male	0917244122	"	"	"
258	Altemam Algaro	Male	0935117901	"	"	"
259	Algidi Algero	Male	-	"	"	"
260	Ahimed Alfita	Male	0910203768	"	"	"
261	Abeba G/Senbet	Female	-	"	"	"
262	Fatuma Algaro	Female	-	"	"	"
263	Jimiti Almacha	Female	-	"	"	"
264	Aster Kefyalew	Female	-	"	"	"

No	Name	Sex	Mobile Number	Region	Wereda	Kebele
265	Birtukan Tesma	Female	-	"	"	"
266	Asnaku Gebre	Female	-	"	"	"
267	Zeyneba Almecha	Female	-	"	"	"
268	Zahara Shehmohammed	Female	-	"	"	"
269	Hikma Yimam	Female	-	"	"	"
270	Fatuma Alsimal	Female	-	"	"	"
271	Zahara Alfosi	Female	-	"	"	"
272	Hawa Algero	Female	-	"	"	"
273	Kasahun Ketema	Youth	-	"	"	"
274	Kedir Altemam	Youth	-	"	"	"
275	Mudare Algero	Youth	-	"	"	"
276	Engeda Tefera	Youth	-	"	"	"
277	Nasir Temam	Youth	0933726418	"	"	"
278	Shifera Jiru	Male		Oromia	Didu	
279	Yesuf Mammo	Male		"	"	
280	Shafi Kedir	Male	0923347309	"	"	
281	Kebede Abdu	Male	0934256733	"	"	
282	Ebrahim Bazen	Male		"	"	
283	AsfawY ebo	Male		"	"	
284	Birhanu Degafu	Male	0943211532	"	"	
285	Teka Zebenu	Male	0935174974	"	"	
286	Bayush Ashenafi	Female	0917340763	"	"	
287	Tsehaynesh Gelane	Female	0912754907	"	"	
288	Zara Zewde	Male	0919441139	"	"	
289	Nayime Sherif	Male	0932029353	"	"	
290	Ayana Guddeta	Male	0941519856	"	"	
291	Nezif Mohamed	Male	0934676037	"	"	
292	Mohamud Husen	Male	0917995703	"	"	
293	Buli Gudeta	Female	0919111880	"	"	
294	Dagitu Abera	Female	0917612978	"	"	
295	RahmetTemam	Female	0917276583	"	"	
296	Almaz Abera	Female	0934073464	"	"	
297	Melkamu Kebede	Male	0961878933	"	"	
298	Shitaye Ayele	Female	0917995705	"	"	
299	Miskiya Nuru	Female	0917781957	"	"	
300	Birhane Tadese	Male	0917883172	"	"	
301	Bekelech gezahagn	Female	0935174701	"	"	
302	Miskiya Wedajo	Female	0917781940	"	"	
303	Reyima Kedir	Female	0939330146	"	"	
304	Kifle Merdasa	Male	0931637142	"	"	Gordomo
305	Kebede Wadajo	Male	0932029077	"	"	"
306	Beliyu Kebeda	Female		"	"	"

No	Name	Sex	Mobile Number	Region	Wereda	Kebele
307	Bekele Gamta	Male		"	"	"
308	Abdisa Danu	Male	0917277626	"	"	"
309	Bahru Anbecha	Male		"	"	"
310	Biratu Hika	Male		"	"	"
311	Gelana Kumsa	Male		"	"	"
312	Teshome Gemta	Male	0934256666	"	"	"
313	Amare Adem	Male		"	"	"
314	Tesema Kuma	Male		"	"	"
315	Mulu Mekonnen	Female		"	"	"
316	Bekelu Bishura	Female	092307522	"	"	"
317	Chaltu Adme	Female		Oromia	Didu	Gordomo
318	Wuditu Birhanu	Female		"	"	"
319	Girma Abdisa	Male	0921213456	"	"	"
320	Birhanu Abdisa	Male	0913529032	"	"	"
321	Gezahegn Ayana	Male	0986154990	"	"	"
322	Gobana Tekuma	Male		"	"	"
323	Eshetu Dibessa	Male	0923340555	"	"	"
324	Abadir Kedir	Male		"	"	"
325	Alemayo Galana	Male		"	"	"
326	Abdi Hussen	Male		"	"	Kochi
327	Abebe Ayele	Male	0935137430	"	"	"
328	Taju Kedir	Male	09310698	"	"	"
329	Dessalegn Befkadu	Male	0917276988	"	"	"
330	Birhanu Befkadu	Male	0917995787	"	"	"
331	Badiruu Kemal	Male	0917613072	"	"	"
332	Temamabdu	Male		"	"	"
333	TadeseGobu	Male		"	"	"
334	Ebrahim Sheussen	Male	0917995781	"	"	"
335	Haile Awajo	Male		"	"	"
336	Aliyi Azabi	Male		"	"	"
337	Awalu Kedir	Male	0943212159	"	"	"
338	Shafi Kalifa	Male	0917272711	"	"	"
339	Kemale Abdu	Male	0917218095	"	"	"
340	Shibiru Workineh	Male	0937176497	"	"	"
341	Hussen Dawud	Male	0928290099	"	"	"
342	Girm Tadese	Male		"	"	"
343	Birhanu Mekonnen	Male	0917358497	"	"	"
344	Hussien Jimaa	Male		"	"	"
345	Eshetu Tadesse	Male	0931064683	"	"	"
346	Yasin Warraqi	Male		"	"	"
347	Aberash Firisa	Male	0941192179	"	"	"

Woreda and Community levels consultations: Photo Gallery

Dodola Woreda Consultation Participants-1

Dodola Woreda Consultation Participants-2

Gera Woreda Men and Women FGD Participants-1

Gera Woreda Men and Women FGD Participants-2

Gera Woreda Men and Women FGD Participants -3

Jibat Key Informants-1

Oromia BoA Experts Consultation

Yayu Community Consultations

Table 6: Summary of Woreda size, population projection, population density and Ethnic group of sample Woredas in Oromia region (CSA, 2013)

Region	**Zone**	**Woreda**	**Total Population**	**Men**	**Women**	**Area/Km2**	**Population density (No/km^2)**	**Ethnic group**
Oromia	Bale	Harena Bulk	96,741	49,134	47,607	1,923.66	50.3	Oromo, Amhara and, others
		Dinsho/Bale Mountains National Park)	46,507	22,889	23,618	649.74	71.6	Oromo, Amhara, others
	West Arsi	Dodola	232,410	118,324	114,086	1,655.67	140.4	Oromo, Amhara, others
	Jima	Gera	133,210	66,951	66,259	1,454.07	91.6	Oromo, Amhara, Kafficho, others
	Illubabor	Yayu	63,194	31,964	31,230	808.17	78.2	Oromo, Amhara, Tigreans, others
		Didu	38,662	19,325	19,337	735.33	52.6	Oromo, Amhara, others
	Kelem Wollega	Anfilo	91,924	44,870	91,924	1,657.75	55.5	Oromo, Amhara, Mao
	Guji	Odo Shakiso	247,189	128,491	118,698	4165.62	59.3	Oromo, Amhara, others
	West Shewa	Jibat	99,850	51,613	48,237	695.66	143.5	Oromo, Amhara, others
	West Hararghe	Anchar	97,084	49,984	47,100	827.08	117.4	Oromo, Amhara, others

Annex 8: Suggested Terms of Reference for Program 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 rational 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 9: 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 10: 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 VERIFICATIONS /REMARKS	Factors Affecting Safeguards Compliance	Actions Needed
				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 11: Grievance Redress Mechanism

As part of risk mitigation measures, the OFLP Program would support citizen's complaints or grievances in a formalized, transparent, cost-effective, and time bound manner. All program-affected people/community would be informed about how to register grievances or complaints, including specific concerns on any OFLP 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 as described below.

A. World Bank Group Grievance Redress Service

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

B. Ethiopia/Oromia Grievance Redress Mechanisms

There are several 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.

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 modern 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 mal-administration.

Table 1: Suggested OFLP Grievance Redress Mechanism at Different Levels

Level	Responsible Institution	How
Federal Level	MEFCC- REDD+ Secretariat (REDD+ Steering Committee)	The national REDD+ Secretariat and MEFCC 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, Forest and Climate Change Authority (OEFCCA) & Oromia REDD+ Coordination Unit (ORCU)	If stakeholders or community may not satisfy with the grievance settlement proposal or may be referred to OEFCCA or ORCU, then the OEFCCA/ORCU will give response within 15 days. Regional stakeholders can submit their appeal to the OEFCCA/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 OEFCCA/ORCU
Woreda Level	Woreda Office of Rural Land and Environmental Protection (WoEFCC)	For grievance not addressed at Kebele level and other grievance raised at Woreda level, appeal can be submitted to WoEFCC 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.

C. 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 12: Alignment of Operations Procedure for the OFLP

Summary

In 2014-15 a procedure for proactively managing the interface between the Government of Ethiopia's Commune Development Program (CDP) and Bank-financed projects was developed and agreed with government. The procedure, developed under the title "Supporting Results and Alignment of Operations in Ethiopia's Rural Areas" is designed to address the interface between Commune Centers (CC) and Bank-financed (IPF) projects or sub-projects in, or in the vicinity of, the CC. Henceforth the term "sub-project" is used to denote the intervention planned to be implemented within, or in the vicinity of, a CC.

The procedure will enable the Bank to support such sub-projects wherever possible, by:

- managing the operational interface;
- being able to demonstrate that it has taken all reasonable steps to consider the implications of the interface; and
- while avoiding getting involved with non-viable or seriously deficient situations.

The procedure is simple and is designed to be embedded within the regular Environmental and Social Management Frameworks (ESMF) (and/or other safeguards instruments). It involves gathering basic data on the CC and classifying it in terms of its viability. Based on the classification, the Bank determines whether, and how, the Bank-financed project or sub-project should proceed.

The Procedure

Step 1: Screening

The CC is screened by a local government staff member as part of the normal ESMF (and/or other safeguards instruments such as RPF, RAP, SA, and ESIA) screening procedure of the Bank-supported sub-project. The regular ESMF (and/or other safeguards instruments) sub-project screening procedure will now contain an additional question: "Will this sub-project be inside a Commune Centre or close enough to a CC to have any potential direct or indirect impacts on it or on the people in a CC?"

- If 'Yes', a checklist will be completed by the Screening staff member.
- The completed checklist will be forwarded via the federal **Environmental and Social** focal person to the Bank Task Team.
- If 'No', there is nothing additional to be done.

The checklist consists of a one-page data checklist on the CC. It is completed by the local government staff member who normally conducts the regular Safeguards Screening. This is normally done at the same time as the rest of the ESMF.

Step 2: Managing the Interface

The Bank Task Team classifies the CC based on the completed checklist (See Annex I). This classification indicates to the WB what strategy to adopt.

The factors used to classify the CC as set out in the checklist, and their significance, are as follows:

- **Mandatory Factors:** Sufficient and suitable *land* and *water supply based on regional/woreda government standards*. If they cannot be provided, the CC cannot be viable.
- **Access to Basic Services:** *Education, Health, Water*. Even if absent, these services could be provided in future.
- **Prior Conditions:** *Consultation, voluntariness, relocation distance* and *potential for conflict*. These issues should have been addressed at the planning stage. However, shortcomings may not necessarily mean that the CC is non-viable.
- **Operations and Maintenance:** *Good management & supervision, resource allocation*, and *grievance redress*. These can only be provided by government.

Based on these factors, the CC is categorized by the Bank Task Team as follows:

- Category I: Broadly satisfactory in all respects (but not necessarily meeting WB standards)
- Category II: Deficient in some notable respects, but could be rectified.
- Category III: Non-viable because fundamentally flawed. Very difficult or impossible to rectify.

The principles of CC classification as are follows:

- This procedure is concerned with "live" CCs. A CC ceases to be regarded by the Bank as a live project one year after the last registered household has settled. Such CCs are treated like any other regular community. Thus Bank-supported sub-projects in, or in the vicinity of such a CC may proceed regardless of the fact that the concerned community started life as a CC.
- "Live" CCs are categorized in the following manner:
  - If any of the Mandatory Resources are not available and cannot be provided, the CC is classified as Category III.
  - If all Mandatory Resources are available and there are no shortcomings in Access to Basic Services, Prior Conditions or Operations & Maintenance, the CC is Category I.
  - All other CCs are Category II.

The Bank-supported sub-project may proceed as follows according the category of the CC:

For Category I CCs:

- The Bank-supported sub-project may proceed as usual, with no special regard to the concerned CC.

For Category II CCs:

- *If there are rectifiable shortcomings in Mandatory Resources:*
  - The WB-supported sub-project can proceed subject to a written commitment from the concerned Regional government office that the essential resources will be provided to the CC within 1-2 years.
- *If there are shortcomings in Basic Services:*
  - The Bank-supported sub-project may proceed subject to the concerned Wereda (District) Development Plan showing that all necessary basic services will be provided to the CC within a reasonable time-frame to be specified by the Bank;
  - The Bank may support sub-projects designed to provide basic services to the CC.
- *If there are shortcomings in Prior Conditions:*
  - The Bank's ***Systematic Operations Risk-rating Tool*** must note any social or other risks likely to arise from systemic problems inherited from these past shortcomings.

For Category III CCs:

- The Bank may not proceed to support the concerned sub-project.
- The Client must select an alternative sub-project not associated with the concerned CC.

Screening Checklist[27]

Type of Criteria	1st Question	Response	2nd Question	Response
Mandatory Resources	Is suitable and sufficient land available based on regional/woreda government standard?	Yes	-	-
		No	Would it be possible to provide suitable and sufficient land?	Yes
				No
	Is suitable and sufficient water supply available based on regional/woreda government standard?	Yes	-	-
		No	Would it be possible to provide suitable and sufficient water?	Yes
				No
Basic Services	Are there adequate education services in line with GoE standards?	Yes		
		No		
	Are there adequate health services in line with GoE standards?	Yes		
		No		
	Is the amount of water available in line with GoE standards?	Yes		
		No		

Type of Criteria	1st Question	Response
Prior Conditions	Was the physical relocation viable for the majority of settlers?	Yes
		No
	Were the consultations adequate?	Yes
		No
	Was the relocation voluntary?	Yes
		No
	Is the CC free of potential serious social conflicts?	No
		Yes
Operations & Maintenance	Is the supervision and management of the CC basically satisfactory?	Yes
		No
	Are resources being allocated in a satisfactory manner?	Yes
		No
	Is there a fair and viable Grievance Redress Procedure?	Yes
		No

[27] If possible the checklist is supplemented by information on the community livelihood system, chronology and size of the CC, the extent of relocation to date, and whether or not residents are free to return to their former location.