

FEDERAL DEMOCRATIC REPUBLIC OF ETHIOPIA

**MINISTRY OF WATER, IRRIGATION AND
ELECTRICITY**

**One WaSH-Consolidated WaSH Account Project (One
WaSH-CWA)**



Final Updated

Resettlement Policy Framework

(RPF)

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ACRONYMS

AfDB	Africa Development Bank
ARAP	Abbreviated Resettlement Action Plan
CSO	Civil Society Organization
DFID	Department for International Development
ESIA	Environmental and Social Impact Assessment
ESMF	Environmental and Social Management Framework
FPMU	Federal Project Management Unit
FGD	Focus Group Discussion
GoE	Government of Ethiopia
GTP	Growth and Transformation Plan
HEW	Health Extension Worker
MDG	Millennium Development Goal
MoFA	Ministry of Federal Affairs
MoE	Ministry of Education
MoH	Ministry of Health
MoWIE	Ministry of Water, Irrigation and Electricity
NWCO	National WaSH Coordination Office
NGO	Non-Governmental Organization
One WaSH-CWA	One WaSH Consolidated WaSH Account Project (P167794)
OP	Operational Policy
RPF	Resettlement Policy Framework
RPMU	Regional Project
SDG	Sustainable Development Goal

SA	Social Assessment
SNPPR	Southern Nations, Nationalities and People's Region
UAP	Universal Access Plan
WaSH	Water, Sanitation and Hygiene
WaSHCO	WaSH Committees
WRDF	Water Resources Development Fund
WIF	WaSH Implementation Framework
WWW	Woreda WaSH Team
WB	The World Bank

EXECUTIVE SUMMERY

The World Bank in collaboration with the Government of Ethiopia is developing One WaSH-Consolidated WaSH Account Project (One WaSH-CWA-P167794) as a continuation to the ongoing One WaSH National Program-Consolidated WaSH Account (OWNP-CWA- P133591) in accordance with World Bank policy.

This RPF is prepared based on the current applied OWP-CWA RPF and updated to meet the new Project scope and requirements. The RPF is prepared/updated to address issues of land acquisition, loss of property or disturbance affecting livelihoods resulting from implementation of subprojects under the proposed project.

The objectives of this RPF:

The objective of the RPF is to provide a process to be used to identify individuals impacted by One WaSH Project activities as well as the type and magnitude of impact and outline the process for preparing a Resettlement Action Plan. The RPF includes methods for identifying processes for monitoring and evaluating resettlement impacts in planning and implementation of One WaSH-CWA. Specifically, the RPF will:

- Establish the one WaSH resettlement and compensation principles and implementation arrangements;
- Describe the legal and institutional framework underlying how implementing entities approach resettlement, compensation and rehabilitation;
- Define PAPs eligibility criteria and entitlements;
- Define a participatory process by which reduced access to resources is identified and mitigation measures established;
- Describe the consultation procedures and participatory approaches involving PAPs and other key stakeholders;
- Describe implementation and monitoring arrangements; and
- Provide procedures for grievance redress.

Project Description: The proposed Project's Development Objective is to provide access to improved water supply and sanitation services and strengthen capacity for sustained service delivery in selected rural and urban areas. The Project will be implemented in all the regions and the Dire Dawa City Administration and has following five components.

Component 1 Rural and Pastoral Water Supply, Sanitation and Hygiene: this component will support increasing access to water supply and sanitation services and promoting hygiene in selected rural areas. The component is structured into two sub-components: (i) increasing access to Water Supply and Sanitation Services and (ii) Enhancing Sustainable Service Delivery.

Component 2 Urban Water Supply, Sanitation and Hygiene: This component will improve access to water supply and sanitation services in selected urban areas (small and medium towns) and strengthen operational efficiency of urban water boards and utilities to effectively manage WSS service delivery.

Component 3 Institutional Water Supply, Sanitation and Hygiene: This component will support: (i) increasing and improving access to water supply and sanitation services in health facilities and schools; (ii) hygiene promotion and behavior change activities (e.g. establishment and strengthening of school WaSH clubs, promotion of menstrual hygiene management, etc). The Project would finance; construction and rehabilitation of integrated water supply, sanitation and solid waste disposal facilities in schools and health facilities.

Component 4 Sustainable and Resilient Water Supply, Sanitation and Hygiene Services:

This component aims to support the study, design and implementation of WSS services in areas that are prone to recurrent droughts and floods. This component is sub-divided into three pillars to effectively address; proactive planning and management, study and design resilient and sustainable infrastructure & dimension framework for support and resources mobilization in the event of emergencies.

Component 5 Institutional Strengthening and Project Management: This component will also finance procurement of equipment and goods required by federal, regional and Woreda implementing agencies to effectively manage and implement proposed activities.

Project Beneficiaries:

The primary Project beneficiaries will be both urban & rural residents in Ethiopia. The Project will provide benefits in the form of improved water supply service and sanitation and is expected to reduce economic and social costs associated with lack of access to improved water supply and poor sanitation services including disease and premature death, polluted water resources, time loss from daily activities, and lost opportunities for productive use of waste for energy or fertilizer production.

Institutional Arrangements:

The project implementation and institutional arrangements will follow the existing structures that are used under the current project (P133591 whereby the WASH sector Ministries: Water Irrigation and Electricity, Health, Education, and Finance and Economic Cooperation at federal level and their respective bureaus and offices at regional and woreda levels will be primary implementing agencies with oversight from their respective Steering Committees. These ministries and their respective regional bureaus have signed a Memorandum of Understanding (MoU) to support the project under implementation. The MoU describes the specific roles and responsibilities of the ministries and respective bureaus in implementing the project. In addition, the MoU defines major areas of cooperation among the signatory parties' joint planning, resource mobilization, creation of management and coordination structures, quality control, and monitoring. In addition, consistent with Ethiopia's decentralization policy, woredas/towns and communities are responsible for planning and managing their own water supply and sanitation services.

Community Consultations and support for RPF:

Consultations with stakeholders and community members in the regions, and woredas, were conducted from August 28 through Sep 21, 2018 in the five visited regions (Amhara, Afar, Gambela, Oromiya and SNNP). Interviews with project officers engaged in land acquisition and resettlement processes and women were also carried out to reach all party likely to be affected by the Project.

The consultations aimed at exploring and soliciting feedback on key elements of the RPF. The key issues presented for discussion include, legal framework (WB & GoE), methods of asset valuation, institutional arrangement, eligibility criteria and entitlement, and grievance redress mechanisms, in addition to other general features of the one WaSH project.

Legal and Institutional Frameworks:

This RPF will apply the laws, legislation, regulations, and local rules governing the use of land and other assets in Ethiopia, and the standards set in World Bank OP 4.12 on involuntary

resettlement. However, in case of discrepancy between the two sets of standards, the higher standard will prevail.

Resettlement and Compensation Principles:

The One WaSH-CWA sub-projects are expected to require some land acquisition and could potentially reduce access to properties and services. Accordingly, any impact of the Project on land and/or people (land acquisition, resettlement, and livelihood restoration of affected people) will be addressed in compliance with the World Bank safeguard policy in involuntary resettlement (OP 4.12).

Grievance Redress Mechanism (GRM):

Grievance committees will be established/strengthened at various level to ensure that PAPs are able to present complaints or concerns without cost. Grievances will be actively managed and tracked to ensure that appropriate resolution and actions are taken. A clear time schedule will be defined for resolving grievances, ensuring that they are addressed in an appropriate and timely manner, with corrective actions being implemented, and the complainant will be informed of the outcome.

Capacity Building and Training:

The environmental and social sustainability of Projects that involve multiple sub-Projects is highly and unavoidably dependent on the capacity of communities, implementers of the Project and other stakeholders to carry out the associated design, planning, approval and implementation work. Thus, the project allots adequate resource to the capacity building activities including training, and technical assistance.

Monitoring & Evaluation:

Internal as well as independent external monitoring and evaluation will be instituted for this Project. The RPF has identified monitoring indicators. The safeguard experts at woreda/utilities, regions and MoWIE will prepare and provide Monitoring and Evaluation progress and annual safeguards review reports to concerned stakeholders including the WB.

The RPF is complemented by a Social Assessment that: assesses key socio-economic factors that require consideration; identifies vulnerable and historically underserved groups that may be excluded from the project and be adversely affected as a result, and the necessary impact mitigating measures; assesses any potential adverse social impacts of the project, and determine whether the project is likely to trigger other World Bank social safeguards policies; and, recommends in the early stage of project preparation the appropriate measures towards addressing World Bank requirements on social safeguards triggered by the project (OP/BP 4.10 and OP/BP 4.12).

The Environmental and Social Management Framework (ESMF) another document addresses physical environment and social impacts and can be applied together with this RPF. These three documents (RPF, ESMF and SA) documents are to be used by all implementers of the one WaSH in order to ensure that all environmental and social safeguards are adequately addressed and that the relevant capacity and training needs are established in order for the recommended measures are implemented effectively.

1. INTRODUCTION

1.1.Ethiopia's Current Water Supply and Sanitation Situation

Ethiopia is among the countries with considerable achievement of MDGs; and has successfully achieved six of the eight MDGs. Despite progressive economic growth, the country lag behind the regional average. Access to safe water and improved sanitation services has significant impact on the economy and human development, among others, better health and nutrition, lower school dropout rates and improved household incomes.

Considerable progress in Water and Sanitation Supply (WSS) provision but still needs further effort to catch up with its sub Saharan neighbors: At the beginning of the MDG period Water and Sanitation coverage in Ethiopia was very low (13% for Water Supply and 3% for sanitation). However, during the MDG periods the government has made profound change in creating the enabling policy, legal and institutional environment as well as allocated more resource to the sector. These have significantly increased access to improved water supply to 57% (2015) and access to improved sanitation to 28% (still below the sub-Saharan average of 68 % for water supply and 30% for sanitation). HH piped connections has increased from 1% in 1990 to 12% in 2015, similarly open defecation has reduced from 92% to 29%.”

Overall, the total cost of meeting the targets of SDG is estimated to be around US\$ - million. It is expected that the current Project will finance part of the Universal Access Plan (UAP) targets by pooling resources in to a basket fund. The development partners who have shown strong desire to join the pooled fund include IDA (US\$ 300 million), DFID (US\$ - million), AfDB (US\$- million), and UNICEF (about US\$ - million). The World Bank is to lead the management of the basket funding on behalf of the donors including oversight of the safeguards due diligence.

The One WaSH-CWA will be implemented over a period of five years starting 2020 and ending on 2025. The Project will be implemented in all the regions and the Dire Dawa city administration.

1.2. Purpose and structure of the Resettlement Policy Framework

This document represents the Resettlement Policy Framework (RPF) for the One WaSH-CWA. The One WaSH-CWA sub-projects are expected to require some land acquisition and limited restriction on access to properties and services. Accordingly, the Project triggers OP/BP 4.12 on Involuntary Resettlement. Thus, the RPF which is being used for the ongoing OWNP-CWA project is updated to meet the new Project scope and requirements. The RPF is prepared/updated to guide the preparation and implementation of mitigation measures related to land acquisition and resettlement by One WaSH-CWA investment activities. The RPF describes the requirements to address social impacts from (a) land acquisition resulting from implementation of One WaSH-CWA project investments that may or will result in loss of property or disturbance affecting livelihoods, and (b) restrictions of access to properties and services as per the World Bank's involuntary resettlement policy (OP 4.12).

The RPF lays down principles and procedures for identifying impacts, providing entitlements, institutional arrangements for implementing resettlement action plan including consultation, grievance redress mechanism, participation, disclosure, monitoring and evaluation of progress and outcomes and budget. Based on the RPF, Social Screening and impact assessment will be carried out and resettlement action plans prepared for the sub Projects as and when required. Detail information is provided in the annex 2.

1.3.The Methods of Data Collection and Study sites of the RPF

The process of designing the OWNPN Phase II update began in July 2018 and the RPF is an integral part of this process. The OWNPN-phase two design process has been characterized by extensive free, informed and in-depth consultations with all levels of stakeholders including: sector Ministries, government officials at Woreda, regional and national offices, donors and civil society organizations.

For updating this RPF, two categories of information (i.e., qualitative and quantitative) were collected. As a result, the assessment employed a mixed approach. The qualitative approach enabled to collect subjective information from community members, concerned government officials, and other stakeholders. The quantitative approach was employed to collect background socio-economic data and to document the livelihood activities of the people under study. Thus, these two approaches enabled to collect both qualitative and quantitative information that supplement one another and ensure the validity and reliability of the information obtained. Eight woredas from five regions including Afar and Gambella were selected through purposive sampling. A desk review was carried out to analyze existing gaps in the available literature relevant to one WaSH. Following the gap analysis, fieldwork was conducted using mixed data collection methods to generate the required largely qualitative information in respect to the key issues identified. The methods comprise community consultations with groups of male and female local residents, focus group discussions, and individual and group key informant interviews.

Project scope:

The project will be implemented in all 9 regional states and Dire Dawa city administration and is expected to cover about 382 woredas and 144 medium and small towns. However, since the project is still in the preparation stage, the number of participating towns might be changed. Therefore, once the PAD is finalized and the actual number of participating woredas and towns are identified, the RPF will be revised to reflect any change in the final PAD. This RPF will be used by all project participating regions, Woredas and towns.

2. PROJECT DESCRIPTION AND POTENTIAL INVESTMENTS CAUSING RESETTLEMENT

2.1. Project Objectives

The Project's Development Objective is to provide access to improved water supply and sanitation services and strengthen capacity for sustained service delivery in selected rural and urban areas. The long-term objective of the GoE is, by 2030, to achieve universal, sustainable, climate resilient and equitable access to safe and affordable water for all along with improved low environmental impact sanitation.

To achieve its development objectives, the Project will finance the following five components in all the nine regional states and the Dire Dawa city administration.

2.2. Project Components

2.2.1. Component 1 Rural and Pastoral Water Supply, Sanitation and Hygiene

This component would support increasing access to water supply and sanitation services and promoting hygiene in rural areas. In particular, this component would finance: (i) development and rehabilitation of community water supply schemes in participating woredas; (ii) promotion of improved hygiene and sanitation practices through the application of behavior change campaigns and sanitation marketing initiatives; (iii) capacity building to strengthen and sustain participating woredas' capacity to plan, implement and manage water supply and sanitation services jointly with ONWP core implementing sectors (water, education, health and finance) as well as coordinating sectors (agriculture, pastoralist affairs and disaster risk management commission); (iv) develop and strengthen capacity of participating communities to effectively self-manage their water supply and sanitation facilities; and (v) strengthen capacity of respective water, health and education regional bureaus and woreda offices and Woreda WaSH Teams (WWTs) to increase the number of trained and skilled facilitators that can support community mobilization activities, provide technical support during design and construction of water supply systems and provide support to communities to establish operational community management systems or WaSH Committees (WaSHCOs).

2.2.2. Component 2 Urban Water Supply Sanitation and Hygiene

This would improve access to water supply and sanitation services in urban areas (small and medium towns) and to strengthen operational efficiency of urban water boards and utilities to effectively manage WSS service delivery. This component would finance: (i) preparation of Business Plans that lay out strategies for WSS service delivery for current and future demands for water supply and sanitation (e.g. HH sanitation improvement, fecal sludge management, etc). These plans will also articulate prioritization and sequencing of investments in line with urban growth and demands; (ii) establishment and strengthening of urban water boards and utilities to effectively implement and manage WSS infrastructure and assets; (iii) construction, rehabilitation and optimization of urban water production, treatment and distribution systems; (iv) construction, rehabilitation and management structures for public and communal sanitation facilities; (v) capacity building for participating water boards and utilities to establish and strengthen O&M of WSS services in line with GoE's stepped approach sector policy for institutional development; and (vi) preparation of feasibility and design studies for priority water supply and sanitation investments. For sanitation, the Project will promote City-Wide Inclusive

Sanitation approach that has been adopted by Addis Ababa and secondary cities across the country.

2.2.3. Component 3 Institutional Water Supply, Sanitation and Hygiene

This component would support increasing and improving access to water supply and sanitation services in health facilities and schools. The Project would finance: construction and rehabilitation of integrated water supply, sanitation and solid waste disposal facilities in schools and health facilities. Implementation of these activities will be closely linked with activities in component 1 (Rural WaSH) to ensure that institutions within the same geographic areas of targeted communities are provided with an integrated package of water supply and sanitation services. Standards for sanitation services in schools will follow Ministry of Education (MoE) guidelines, while standards in health facilities will follow Ministry of Health (MoH) guidelines. Capacity building through WWT will be provided to bureaus of education and health to provide technical support in procurement and contract management of proposed infrastructure development to address weaknesses in sub-par construction quality.

2.2.4. Component 4 Sustainable and Resilient Water Supply, Sanitation and Hygiene Services

This component aims to support the study, design and implementation of WSS services in areas that are prone to recurrent droughts and floods. This component is sub-divided into three pillars to effectively address (i) proactive planning and management; (ii) study and design resilient and sustainable infrastructure that cope with extreme climatic variability; and (iii) dimension framework for support and resources mobilization in the event of emergencies. A potential grant proposal for the Green Climate Fund will be explored to complement proposed activities under this component.

2.2.5. Component 5 Institutional Strengthening and Project Management

This component would support implementation of this Project through: (i) capacity building, financing of additional implementation support and technical experts; (ii) Project management and coordination between implementing agencies; (iii) procurement and contract management to improve implementation of proposed infrastructure; (iv) financial management; (v) operationalization of sector-wide Management Information System; (vi) application of environmental and social safeguards instruments and compliance; and (vii) knowledge management and experience sharing. This component will also finance procurement of equipment and goods required by federal, regional and Woreda implementing agencies to effectively manage and implement proposed activities.

2.3.Environmental Conditions and Socio-economic Context of the Project Area

Target Project Areas

This One WaSH-CWA project will be implemented in all 9 regional states and Dire Dawa city administration. The project will be housed in the MoWIE as has been implemented for the ongoing OWN-P-CWA. Implementation of OWN-P activities will rely on existing government structures and existing and/or newly added community institutions. Thus, all levels of governments will have roles in providing oversight function; and government and community institutions in providing technical and implementation support. Implementation will follow a decentralized approach and local communities will be responsible mainly for executing project activities. Government implementing agencies and community institutions will be supported by

project management teams (FPMU at the federal, RPMUs at regional, and WPMUs at woreda levels).

Geographical Overview

Ethiopia is located in the Horn of Africa, and bordered by Djibouti, Eritrea, Sudan, Kenya, and Somalia. The total surface area of the country is 1,110,000 km². Altitude ranges from 4,260 m above sea level at the highest peak, Ras Deshen, to 110 m below sea level in the Danakil Depression. A large portion of the country consists of high plateaus and mountains varying in altitude between 2,000 and 3,000 meters, with a number of rivers originating from these highlands. The East African Rift Valley separates the northern and south-western highland from the south-eastern highland. In contrast with these highlands, hot and semi-arid to arid lowlands lie in the Eastern and Western parts of the country.

Social Context of the country

Ethiopia depends principally on agriculture both for its economic growth and food security. 83% of the population live in rural areas with agriculture (crop production and animal husbandry) as the main source of livelihood. The services provided by natural resources including agriculture and livestock play a critical role for the livelihood of the majority of Ethiopia's population. Agriculture is the key pillar of the economy and the most important source of growth. It accounts for almost 48% of GDP and 85% of export earnings. Agricultural production is mostly rain-fed and dominated by small-scale farmers and enterprises that contribute to 90% of agricultural production. Although much of the agriculture remains for subsistence purposes, still smallholders provide a large part of traded commodities, including for exports and about 70 percent of the raw material requirements of agro-based domestic industries.

Agriculture, which is the critical element of economic growth and food security of the country, relies on sustainable management of land and water. The country, however, is experiencing low and declining agricultural productivity and rural poverty largely attributed to land degradation. Pastoralism in Ethiopia relates to both an economic livelihood system that is based primarily on extensive livestock production, and to the characteristics of communities that live in the arid and semi-arid lowlands of Ethiopia, which lie principally in Somali and Afar regions. Various factors affect success of pastoralists to grow their livestock production systems. The most important of these are access to good rangeland as well as mobility, access to markets, access to services (e.g., animal health care), and severity of climatic shocks.

2.4. Potential land acquisition impacts of project activities

This Resettlement Policy Framework considers project affected people as those who stand to lose due to implementation of project activities, all or part of their physical and non-physical assets, including homes, agricultural products such as perennial and non-perennial crops, forests, commercial properties, and income-earning opportunities. Such impacts may be permanent or temporary. This might occur through land expropriation and restricted or reduced access to important livelihood resources. The policy framework applies to all economically and/or physically displaced persons regardless of their number, the severity of impact and whether PAPs have legal title to the land. Special attention will be paid to the needs of vulnerable groups among those economically and/or physically displaced especially those below the poverty line, the landless, the elderly, women and children or other economically and/or physically displaced persons who may not be protected through Ethiopian's legislation related to land exploration. Main activities under the One WaSH-CWA that may entail land acquisition and/or displacement are the following:

- Wells and well fields (both hand dug and drilled) including construction of reservoir, Pump house and Guard house;
- Construction of pipe lines, Access roads, Storage areas;
- Construction of public and communal latrines;
- Water distribution networks including pipelines, public stand taps, public water kiosks and other distribution-related facilities;

2.5. Categorization of Land Needs

Land required for the different sub projects may fall under the following two categories:

- Land permanently required for construction and operation (example: permanent facility like dug wells, reservoirs); and
- Land temporarily required for the duration of construction activities (example: access roads that will be reclaimed after construction, or staging area that a contractor will use for the duration of construction of a given facility).

2.6. Project Beneficiaries

The primary Project beneficiaries will be both urban & rural residents in Ethiopia. The Project will provide benefits in the form of improved water supply service and sanitation and is expected to reduce economic and social cost associated with lack of access to improved water supply and poor sanitation services.

The Project will outsource the management of public sanitation facilities to local youth groups providing job opportunities to the unemployed. Poor households, who in most cases represent the most vulnerable, will be particularly targeted to benefit from public and communal latrines. To ensure that the Project benefits the most disadvantaged, an appropriate targeting approach will include: (i) creating management and operation opportunity on public toilets for group of unemployed youth organized under small and micro enterprises; (ii) Adopting affordable and simple technologies that can be replicated at community and household level; (iii) Public toilets will be located at strategic places where there is concentration of people (bus terminals, markets, public and religious festivity places...); and (iv) In the low income areas with limited space, the Project will invest in affordable and safely positioned public pay and use toilets and showers managed by women and youth led community based organizations (CBOs). The targeting will be further elaborated in the Project Implementation Manual (PIM).

2.7. Project Affected Peoples (PAPs)

Land acquisition for sub-Projects may result in negative impacts to different categories of PAPs. Until the exact sub-Project locations are determined, it is difficult to estimate the likely number of people who may be affected. However, the likely displaced (economically or physically) persons can be categorized into three groups namely:

Affected individuals: These are individuals who risk losing assets, investments, land, property and/or access to natural and/or economic resources as a result of a sub-project.

Project affected households: These are groups of PAPs in one household and where one or more of its members are directly affected by the project. These include members like the head of household, male, and female members, dependent relatives, tenants, etc

Vulnerable groups of people

The project will identify and provide special support for the vulnerable members, such as those who are too old or too ill; children including orphans; families affected and/or infected by HIV/AIDS; vulnerable women; unemployed youth; people with disability; underserved people mainly Pastoralists etc. Households headed by women that depend on sons, brothers, and others for supports are especially vulnerable. In addition, to identify and address issues of the project on underserved community in pastoralist area, a detail Social Assessment and Social Development Plan is prepared.

2.8. Number of PAPs

It is not possible to determine the number of Project Affected People at this stage as the exact foot print of the sub-projects is not known. The purpose of this RPF is therefore to establish the mechanisms by which the appropriate tools, screening checklists and RAPs/ARAPs will be prepared, consulted upon, disclosed and implemented to mitigate potential resettlement impacts once sub Project sites are identified. For each sub-project, which might require physical and/or economic resettlement, the number of PAPs will be established through a RAP/ARAP which will be elaborated before Project implementation. In the RAP;

- All potential PAPs should be identified (through a scoping exercise) and informed about their options and rights pertaining to compensation for land and assets to be acquired by the sub-Project(s);
- PAPs will be informed of their rights under national laws (GoE laws recognizing rights or use) and this RPF (and eventually RAPs), and the Project will offer them adequate compensation as stated in the entitlement matrix together with culturally appropriate development opportunities;
- PAPs must be consulted about land acquisition and compensation and offered technical and financial options, including the most economically feasible alternatives; and
- PAPs should receive adequate compensation at full replacement cost based on current market price for losses of assets and access attributable to the sub-project.

3. LEGAL AND INSTITUTIONAL FRAMEWORKS

This RPF will apply the laws, legislation, regulations, and local rules governing the use of land and other assets in Ethiopia and the standards set in OP 4.12; in case of discrepancy between these two sets of standards, OP 4.12 will prevail. This legal and institutional framework is presented in the following sections:

3.1. The constitution of Ethiopia

- Article 40(2), 40(4), 40(5) and 40(8) are the major provisions in the constitution of the Federal Democratic Republic of Ethiopia that are intended to defend and protect the Ethiopian citizens 'rights to private property and set conditions for expropriation of such property for state or public interest.
- Article 40(8) of the constitution states that “without prejudice to the right to private property, the government may expropriate private lands for public purpose” with prior payment of adequate compensation.
- Article 44(2) stipulates that all people who have been displaced or whose livelihoods have been adversely affected as a result of the state Projects shall have the right to receive adequate monetary or other alternative compensation, including transfer with assistance to another locality.

3.2. Ethiopian Proclamation No. 455/2005

The proclamation establishes the legal principles and framework for expropriation of landholdings for public purposes and payment of compensations. The basis and amount of compensation is clearly explained in the following articles:

- Article 7(1), which states “land holder whose holding has been expropriated shall be entitled to payment of compensation for his/her property situated on the land and for permanent improvements he made”.
- Article 7(2) states that “the amount of compensation for property situated on the expropriated land shall be determined on the basis of replacement cost of the property”.
- Article 8(1) requires a displaced land holder whose land holding has been permanently expropriated shall be provided displacement compensation, which shall be equivalent to ten times the average annual income he/she has been generating for the five years preceding the expropriations of the land.

It also entitles all PAPs and organizations, whether public or private, with impacted properties, crops or sources of income shall be compensated or rehabilitated according to the type and amount of incurred losses. The cutoff date for determination of eligibility for compensation shall be set once all detailed measurements have been completed. Compensation shall not be paid for any structures erected or crops and trees planted after the cutoff date. Cultivating land, constructing settlement in project affected areas after the cut-off date shall and will not be eligible for compensation or for subsidies.

Power to expropriate Landholding:

Woreda or an urban administration shall up on payment in advance of compensation, have the power to expropriate rural or urban holdings for public purpose where it should be used for a better development programs to be carried out by public entities, investors.

Notification of expropriation order:

In this context the landholders will be notified in writing, when they should vacate and the amount of compensation to be paid to them. The period of notification to be given shall be determined by directives, it may not, in any way, be less than 90 days. The landholder shall handover the land to the Woreda or urban administration within 90 days from the date of payment of compensation.

The responsibility of implementing Agency:

The implementing agency shall have responsibilities to:

- Prepare detail data pertaining to the land needed for its works and send same, at least one year before the commencement of the works and to the organs empowered to expropriate land,
- Pay compensation in accordance with this proclamation to landholders whose holdings have been expropriated.

Basis and Amount of Compensation:

As per Article 7 of the Proclamation, the amount of compensation is based upon certain conditions that include:

- The landholder whose holding has been expropriated shall be entitled to payment of compensation for his property situated on the land and permanent improvements he made to such land;
- The amount of compensation for the property shall be determined on the basis of replacement cost of the property, and if it is in urban area, it may not, in any way, less than the current cost of constructing a single room low cost house.
- Compensation for permanent improvement to land shall be equal to the value of capital & labour expended on the land; and costs of removal, transportation and erection shall be paid as compensation for a property that could be relocated & continue its services as before.

Displacement Compensation:

It has been also indicated in the Proclamation Article 8, that the displacement compensation shall be paid within the following condition:

- (i) A rural landholder, whose landholding has been permanently expropriated in addition to be paid displacement compensation which is equivalent to ten times the average annual income he secured during the five years preceding the expropriation of the land.
- (ii) A rural landholder or holders of communal land whose landholding has been provisionally expropriated shall be paid until repossession of the land, and also for lost income based on the average annual income secured during the five years preceding the expropriation of the land, however, such payment shall not exceed the amount of compensation payable under the above article (article 8 (a) above).
- (iii) If Woreda administration confirms that a substitute land which can easily be ploughed and generate comparable income is available for the holder, the compensation to be paid as mentioned above shall only be equivalent to the average annual income secured during the five years preceding the expropriation of the land.
- (iv) For urban landholder whose holding has been expropriated shall be provided with a plot of urban land and be paid displacement compensation equivalent to the estimated annual rent of the demolished dwelling house.
- (v) For the business houses to be demolished, mutatis mutandis shall apply.

- (vi) When an urban land lease holding is expropriated prior to its expiry date, the lease holder shall, in addition to the compensation referred to under article 7 be provided with a similar plot of land to use it for the remaining lease period. The leaseholder shall also be allowed to use the new plot of land for a longer period if its rent is less than the former land, or if the holding did not want to take the land he can take the remain rent payment.

3.3. Valuation of Property

Certified private or public institution or individual consultants on the basis of valuation formula presented in the Regulation No. 135/2007 shall carry out the valuation of property situated on land to be expropriated.

The proclamation has also indicated who should be committee members during valuation of properties to be affected, and stated as follows, the Woreda administration where the land to be expropriated is located in rural areas, shall assign a committee of not more than five experts having the relevant qualification and if the land is located in urban area, the urban administration shall do the same for valuating property. If the land to be expropriated requires specialized knowledge and experience, a separate committee of experts to be designated by the Woreda or urban administration shall value it.

Complaints and Appeals in Relation to Compensation Payments

As per this proclamation, the grievance redressing mechanism is dealt as follows:

- In rural areas and in an urban center where an administration organ to hear grievances related to rural or urban holdings is not yet established, a complaint relating to the amount of compensation shall be submitted to the regular court having jurisdiction.
- If the holder is dissatisfied with the amount of compensation, complaints might be lodged to administrative organ established to hear grievances related to urban landholdings.
- The above organ shall examine the complaint and give its decision within short period of time, as specified by directives issued by the region.
- The party dissatisfied with the decision rendered above may appeal to the regular appellate court or municipal appellate court within 30 days and it will be the final decision.
- The execution of an expropriation order may not be delayed due to a complaint regarding the amount of compensation.

3.4. Land Tenure Regime in Ethiopia

As mentioned above, rural and urban land belongs to the State. In an attempt to build more confidence in land tenure, the Constitution states that “The right of Ethiopian peasants to free allotment of land and not to be evicted there from is guaranteed.”

Several regional states (including Amhara and Tigray) are now building on the constitutional provisions to improve security of tenure, albeit within the general framework of State ownership of land. Leases are being introduced, that would guarantee lessees a long-term right of usage.

Where leases are concluded between a regional administration and peasant farmers, it does not seem that these leases are reflected in any cadastral documentation (including maps) kept at woreda or region level.

In general, however, the Land Policy of Ethiopia strongly supports that Projects plans must include attractive and sustainable resettlement strategies to the people who are going to be

displaced as a result of the development plan, and they have to be fully convinced, compensated and have to participate in all phases of the Project implementation. It is the right for existing land owner to be compensated fully and satisfactorily if land is expropriated by the state.

3.5.Council of Minister Regulation 135/2007

The Council of Ministers regulation is issued for the purpose of not only paying compensation but also to assist displaced persons to restore their livelihood. The regulation provides the procedures for application of proclamation No 455/2005. The regulation provides for compensation payment for property situated on expropriated land for public benefit. The regulation is titled “payment of compensation for property situated on land holdings expropriated for public purposes”. The type of properties and assets identified to be eligible for payments of compensation include buildings, fences, crops, perennial crops, trees, protected grass, improvement made on rural land; relocated property, mining license and burial grounds.

The regulation also provides guideline and formula for calculating the amount of compensation payable for lost assets due to development project. For example, Part Two- Article 3 (1 to 4) of the regulation states compensation for buildings shall be determined on the basis of the current cost per square meter or unit for constructing a comparable building including patios, septic tanks, and other attached service facilities, estimated cost for demolishing, lifting, reconstructing, installing and connecting utility lines of the building. The owner of a building shall have the right to claim compensation for the entire building by surrounding the total land in his possession where part of the building is subject to be removed. Furthermore, compensation for fences is, suggested to be determined through calculating the current cost per square meter or the unit cost required for constructing a similar fence, for trees shall be determined on the basis of the level of growth of the trees and the current local price per square meter or per unit and the amount of compensation for a relocated property to be determined by computing the estimated costs of labor, material and transport to be incurred at market value for removing, transferring and installing the property. The regulation prohibits payment of compensations for any construction or improvement of a building, any crops sown, perennial crops planted or any permanent improvement on land, where such activity is done after the owner of the land is served with the expropriation order.

3.6.Environmental Policies

Environmental regulations and policies are reviewed in detail in the ESMF document. They also contain some provisions relevant to resettlement. Particularly, EIA guidelines developed in 2000 by the Federal Environmental Protection Agency stipulate that any program that entail the displacement/resettlement of more than 100 families fall under Schedule 1 as per EIA guidelines, which means that they have to submit a full ESIA.

3.7.World Bank Safeguard policy on involuntary resettlement (OP 4.12)

The RPF seeks to sustain a due diligence process to avoid exacerbating social tensions and to guarantee unfailing treatment of social issues across all development interventions. All Projects financed by WB must comply with the Bank’s social safeguards. OP 4.12 (Involuntary Resettlement) is one of the most important safeguards policy guiding land acquisition and related resettlement /compensation issues during Project implementation. It assists in screening the sub-Projects for social impacts in conformity with applicable laws and regulations and the Bank’s safeguard policies. OP 4.12 "Involuntary Resettlement" includes requirements that:

- Involuntary resettlement should be avoided where feasible, or minimized, exploring all viable alternative project designs.
- Where it is not feasible to avoid resettlement, resettlement activities should be conceived and executed as sustainable development Projects, providing sufficient investment resources to enable the persons displaced by the Project to share in Project benefits. Displaced persons should be meaningfully consulted and should have opportunities to participate in planning and implementing resettlement Projects.
- Displaced persons should be assisted in their efforts to improve their livelihoods and standards of living or at least to restore them, in real terms, to pre-displacement levels or to levels prevailing prior to the beginning of Project implementation, whichever is higher.

In addition, the policy should include measures to ensure that the displaced persons are:

- Informed about their options and rights pertaining to resettlement;
- Consulted on, offered choices among, 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 Project.

If the impacts include physical relocation, the resettlement plan or resettlement policy framework includes measures to ensure that the displaced persons are:

- Provided assistance (such as moving allowances) during relocation; and
- Provided with residential housing, or housing sites, or, as required, agricultural sites for which a combination of productive potential, locational advantages, and other factors is at least equivalent to the advantages of the old site;
- Particular attention to be given woman Household headed and other vulnerable groups

3.8. Comparison of Ethiopian Legislations with World Bank OP 4.12

There are differences and gaps between the national policies and legislations and the World Bank Policy OP4.12. These gaps relate to the general principles for resettlement, eligibility criteria, the notification period for expropriation and resettlement, and the procedures required throughout the resettlement process.

The gap filling measures have been developed as provided in the below table to ensure compliance with the two sets of laws and policies for this project. Where there are differences between national laws and OP 4.12, the latter shall prevail in the case of this Project”

Table 3-1: Summary of Comparison of GoE Legislation and World Bank's OP4.12 and Gaps Gap Filling Measures

Theme	WB OP 4.12	Ethiopian Low	Comparison	Gap filling measures
Policy Objective	<p>OP 4.12 requires that involuntary resettlement should be avoided wherever possible or minimized by exploring alternatives.</p> <p>Resettlement Project should be sustainable, including meaningful consultation with affected parties and provide benefits to affected parties.</p> <p>Displaced persons should be assisted in improving livelihoods etc. or at least restoring them to previous levels.</p>	<p>The constitution of Ethiopia and Proclamation No 455/2005 give power to Woreda or urban administrations to expropriate rural or urban landholdings for public purpose where it believes that it should be used for a better development</p> <p>Article 7(5) states that the cost of removal, transportation and erection shall be paid as compensation for a property targeted for the project.</p>	<p>Avoidance or minimization of involuntary resettlement is not specified in the Ethiopian legislation.</p> <p>Proclamation No 455/2005 allows for a complaints and grievance process.</p> <p>Proclamation No 455/2005 allows for some form of support to the displaced persons but does not explicitly specify consultation with affected persons through the process.</p>	<p>World Bank OP 4.12 overall objectives shall be applied to avoid or minimize involuntary resettlement and to ensure consultation throughout the process.</p>
Notification period /timing of displacement	<p>Article 10 of OP 4.12 requires that the resettlement activities associated with implementation of the development project to ensure displacement or restriction of access does not occur before necessary measures for resettlement are in place. In particular, taking of land and related assets may take place only after compensation has been paid and where applicable, resettlement sites and moving allowances have been provided to displaced persons.</p>	<p>Article 4 of Proclamation No.455/2005 requires notification in writing, with details of timing and compensation, which cannot be less than 90 days from notification. It requires that land should be handed over within 90 days of expropriation. It further gives power to seize the land through police force should the landholder be unwilling to hand over the land</p>	<p>There is a gap in Proclamation No. 455/2005 to allow land to be expropriated before necessary measures for resettlement take place, particularly before the displaced person has been paid. This can have serious consequences for those affected, as they may be displaced without shelter or any means of livelihood.</p>	<p>Notification period /timing of displacement should be effected after all compensation issues have been settled</p>

Eligibility for compensation	OP4.12 gives eligibility to all PAPs whether they have formal legal rights or do not have formal legal rights to land but have a claim to such land and those who do not have recognizable legal right or claim to the land.	Proclamation No 455/2005, Article 7(1) allows landholders' to be eligible for compensation if they have lawful possession over the land to be expropriated and owns property situated thereon	While Ethiopian law only grants compensation to those with lawful possession of the land, OP4.12 entitles compensation to all affected individuals regardless of landholding rights to land titles (including squatter settlements)	The One WaSH-CWA RPF document acknowledges in an event where there is a discrepancy between the national law and WB OP/BP4.12 guidelines, the WB policy prevails.
Compensation	World Bank OP4.12 Article 6(a) requires that displaced persons be provided with prompt and effective compensation at full replacement cost for losses of assets attributable directly to the project. If physical relocation is an impact, displaced persons must be provided with assistance during relocation and residential housing, housing sites and /or agricultural sites to at least equivalent standards as the previous site. Replacement cost does not take depreciation into account. In term of valuing assets. If the residual of the asset being taken is not economically viable.	Article 7 of Proclamation No.455/2005 entitles the landholder to compensation for the property on the land on the basis of replacement cost; and permanent improvements to the land, equal to the value of capital and labor expended. Where property is on urban land, compensation may not be less than constructing a single room low cost house as per the region in which it is located. It also requires that the cost of removal, transportation and erection will be paid as compensation for a relocated property continuing its service as before. Valuation formula are provided in	The World Bank requirement for compensation and valuation of assets is that compensation and relocation must result in the affected person securing property and a livelihood to at least equivalent standards as before This is not clearly stated in Local Proclamations. It is expected that the regulations and directives will provide more clarity and clearer guidance in this regard.	The World Bank requirements for compensation must be followed, as per OP4.12 footnote 1, which states, "Where domestic law does not meet the standard of compensation at full replacement cost, compensation under domestic law is supplemented by Additional measures necessary to meet the replacement cost standard"
	According to OP4.12, Article 14 and 18, the borrower is responsible for conducting a census and preparing,	Article 5 of Proclamation No 455/2005 sets out the responsibilities of the implementing	The process required for the project proponent implementing agency lacks descriptive processes in local legislation.	As per the World Bank requirements, project processes included

Responsibilities of the Project	implementing, and monitoring the appropriate resettlement instrument. Article 24 states that the borrower is also responsible for adequate monitoring and evaluation of the activities set forth in the resettlement instrument. In addition, upon completion of the project, the borrower must undertake an assessment to determine whether the objectives of the resettlement instrument have been achieved. This must all be done according to the requirement of OP4.12. Article 19 requires that the borrower inform potentially displaced persons at an early stage about the resettlement aspects of the project and takes their views into account in project design.	agency, requiring them to gather data on the land needed and works, and to send this to the appropriate officials for permission. It also requires them to pay compensation to affected landholders		screening, a census, and the development of a plan, management of compensation payments and monitoring and evaluation of success. It must also include proper consultation with the affected parties through the process
Cut-off date	Persons occupying the program area after the cut-off date are not eligible for compensation and/or resettlement assistance. Similarly, fixed assets established after the cutoff date are not eligible for compensation.	Nothing is said on the cut-off date on the Proclamation 455/2005 or on the constitution.	No clear procedure and understanding	Cut-off date should be set and communicated properly with all key stakeholders including PAPs and apply whenever needed

Consultation and disclosure of information	OP 4.12 requires that affected communities be consulted regarding project implementation, opportunity to participate, implement, and monitor resettlement activities.	Article 92 of the constitution provides -People have the right to full consultation and to the expression of views-in the planning and implementation of environmental policies and projects that affect them.	Does not explicitly specify consultation with affected persons through the process and no requirement of document disclosure.	The project shall ensure adequate, inclusive and participatory consultation is implemented and all project documents are publicly disclosed.
GRM	WB policy emphasizes that effective and functional Grievance system is in place.	Proclamation 455/2005 clearly states where the holder of an expropriated land holding is dissatisfied with the amount of compensation he/ she may lodge to the administrative organ established to hear grievances related to land holding.	It doesn't recognize participation of community members in the GRM process	The project shall have an independent functional grievance redress mechanism that ensures the community members are part of the process.

4. PRINCIPLES, OBJECTIVES, AND PROCESSES RELATED TO COMPENSATION AND RESETTLEMENT IN ONE WASH-CWA

This RPF applies to all components of the various sub project investments under One WaSH-CWA. It applies to all eligible persons regardless of the severity of impact and whether PAPs have legal title to the land.

4.1.Principles and Objectives

4.1.1. Regulatory Framework

Impacts of One WaSH-CWA project on land and/or people (land acquisition, resettlement, and livelihood restoration of affected people) will be addressed in compliance with the Ethiopian constitution, Proclamation No. 455/2005 and Regulation No. 135/2007, and with the World Bank safeguard policy on involuntary resettlement (OP 4.12).

4.1.2. Objective of the RPF

The main objective of this RPF is to ensure adequate management of land acquisition in relation to the World Bank social development policies as well as the country's legal requirement and to provide guidance for the preparation and implementation of Resettlement Action Plans (RAP) for the project. This RPF aims to ensure that any possible adverse impacts of proposed Project activities are addressed through appropriate mitigation measures. It addresses issues of land acquisition, loss of property or access to one, or more of livelihoods resulting from implementation of Project activities. Specifically, the RPF will:

- Establish the one WaSH resettlement and compensation principles and implementation arrangements;
- Describe the legal and institutional framework underlying how implementing entities approach resettlement, compensation and rehabilitation;
- Define PAPs eligibility criteria and entitlements;
- Define a participatory process by which reduced access to resources is identified and mitigation measures established;
- Describe the consultation procedures and participatory approaches involving PAPs and other key stakeholders;
- Describe implementation and monitoring arrangements; and
- Provide procedures for grievance redress.

In line with this, the RPF serves as a guide to ensure that:

- Land acquisition and resettlement will be minimized or avoided where possible. Where resettlement is unavoidable, all requirements outlined in this Framework will be followed.
- Affected persons should be assisted in their efforts to improve their livelihoods and standards of living or at least to restore them, in real terms, to levels prevailing prior to the beginning of Project implementation.
- All Project affected persons (PAPs) will be meaningfully consulted and be active participants in the negotiated settlements and will have access to adequate and accessible

grievance redress mechanisms. Consultations will consider gender issues as well as consider the needs of vulnerable people.

- Guidelines will be provided for developing a) a budget and b) a training /capacity building plan.

The RPF provides guidelines for development of appropriate mitigation and compensation measures, for the impacts that will be caused by the Project activities whose exact locations are not known prior to Project appraisal. The RPF is intended for use as a practical tool to guide the preparation of RAPs for Project activities during implementation; and has been prepared as an instrument to be used throughout the Project implementation phase. The RPF will be cleared/approved by the Government of Ethiopia and the World Bank and disclosed in the World Bank website and locally in a language that PAPs and stakeholders understand and in a culturally appropriate manner.

4.1.3. Elasticity of the RPF

Since this RPF is prepared for the Project that has long time intervention, it needs to be flexible to respond to the changes which may happen during the life of the Project. Such changes will include:

- Changes in relevant legislations; introduction of new acts and legislations;
- Possible adjustments to the new devolve structures etc.

During Mid-Term Review (MTR) an assessment may be required to review how effectively the safeguard instruments have been implemented and if any updates/revisions are needed. In other words, the RPF is a living document and if needs are arisen, it can be revised to reflect issues that may not have been foreseen now but may arise in the future as well as reflect legal, institutional, and policy changes that could occur during the life of the Project. In addition, in the event that there are changes that arise anytime during the implementation of the Project not covered in the RPF, the document will be updated accordingly, and the same clearance and disclosure process will be followed.

4.1.4. RPF Principles

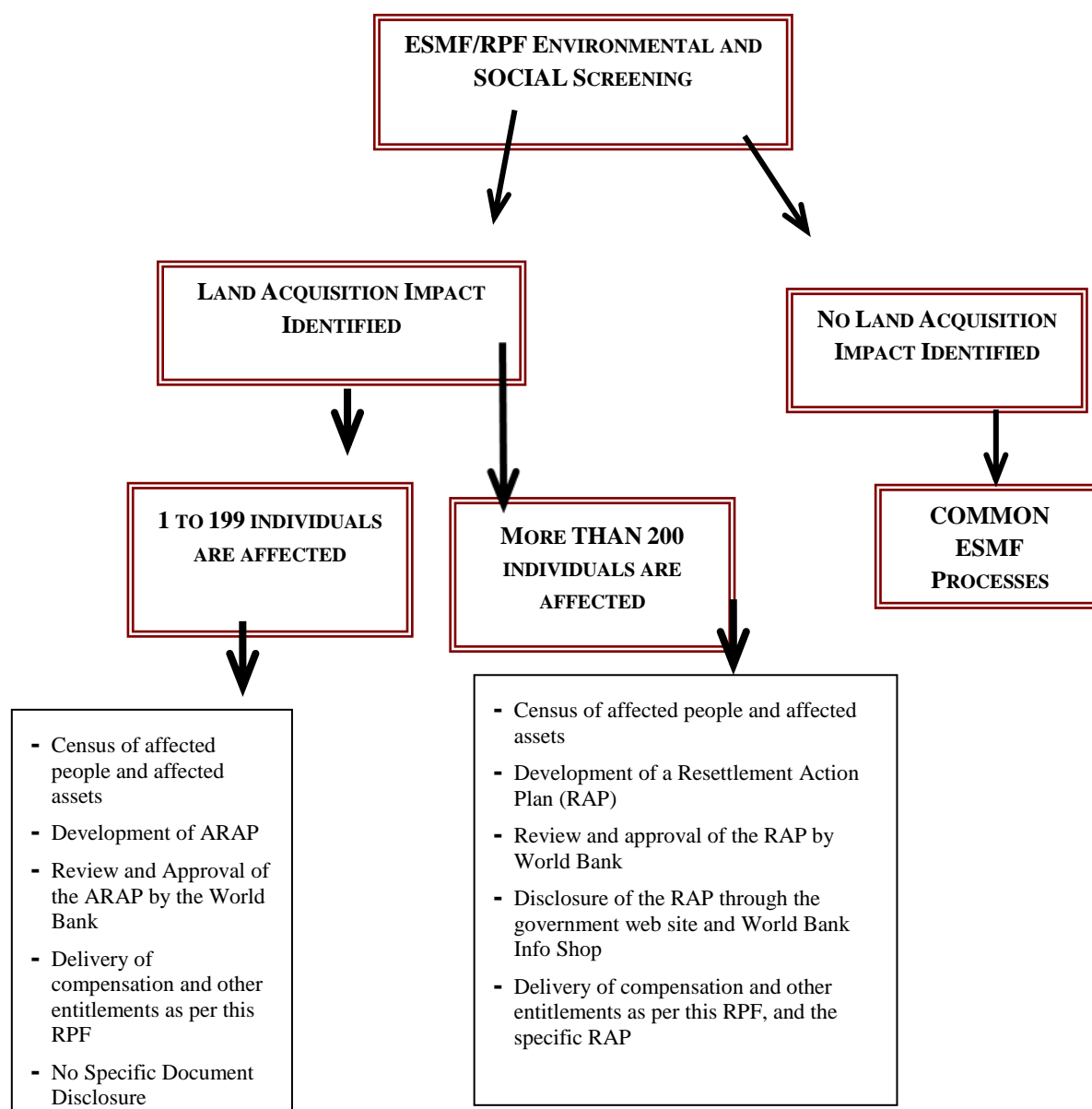
- Involuntary resettlement and land acquisition will be avoided where feasible, or minimized, where it cannot be eliminated.
- All provisions defined in this RPF apply to all PAPs regardless of the total number of affected people, the severity of the impact and whether or not they have legal title to the land.
- Measures to address resettlement shall ensure that Project affected people are informed about their options and rights pertaining to resettlement are included in the consultation process and given the opportunity to participate in the selection of technically and economically feasible alternatives. They will also be provided prompt and effective compensation at full replacement cost for losses of assets and access attributable to the Project investments.
- All PAPs will be identified and recorded as early as possible, relying on cut of date, in order to protect those affected by the Project and prevent an influx of illegal encroachers squatters, and other non- residents who will wish to take advantage of such benefit.
- Particular attention will be paid to the needs of vulnerable groups among those

displaced; especially those below the poverty line, the landless, the elderly, women and children, orphans, marginalized groups and the ethnic minorities or other displaced persons whom may not be protected through the Ethiopian law. The objective is to provide whatever additional assistance may be necessary to restore pre-Project living standards.

- Implementation of RAPs must be completed prior to the implementation of the investments under One WaSH-CWA.

Furthermore, this RPF applies to other activities resulting in involuntary resettlement, that in the judgment of the Bank and Government of Ethiopia are a) directly and significantly related to the Project investments; and b) necessary to achieve its objectives as set forth in the Project documents.

Figure 1: Resettlement Policy Framework Process



4.2. Process of Resettlement Action Plan (RAP/ARAP) Preparation Review and Approval

The steps to be undertaken for each individual RAP include a screening process; a socioeconomic census and land asset inventory of the area and identification of One WaSH-CWA investment project Affected Parties (PAPs). This is followed by the development of a Resettlement Action Plan (RAP) or abbreviated RAP, RAP review and approval, implementation of the RAP and monitoring of RAP implementation and success. These steps are shown in **Error! Reference source not found.2** below.

4.2.1. Screening

Screening is used to identify the types and nature of potential impacts of activities proposed under the project and provide adequate measures to address the impacts. It will take place as early as possible and will identify land that is to be taken for the Project activities and PAPs who will need to be resettled and/or compensated. This will be done in consultation with the affected parties to ensure that all considerations are taken into account and all potential impacts are identified.

4.2.2 RAP/ARAP preparation

RAP/ARAP is required if land needs to be acquired, such that people are displaced from land or productive resources and the displacement results in relocation, the loss of shelter, the loss of assets or access to assets important to production; the loss of income sources or means of livelihood; or the loss of access to locations that provide higher income or lower expenditure to business or persons. When a subproject is expected to cause physical and economic resettlement, RAP/ARAP must be prepared. The RAP will need to be as detail as possible in order to guide resettlement of each of the subprojects. The Resettlement Action Plan will be used where more than 200 individuals are affected by the land acquisition. The Abbreviated Resettlement Action Plan will be used where 1 to 199 individuals are affected by the land acquisition. The outlines, Assumption indicative, Illustrative Budget template of a RAP/ARAP and TOR for recruiting consultant are depicted in Annex 4 and subsequent Annexes.

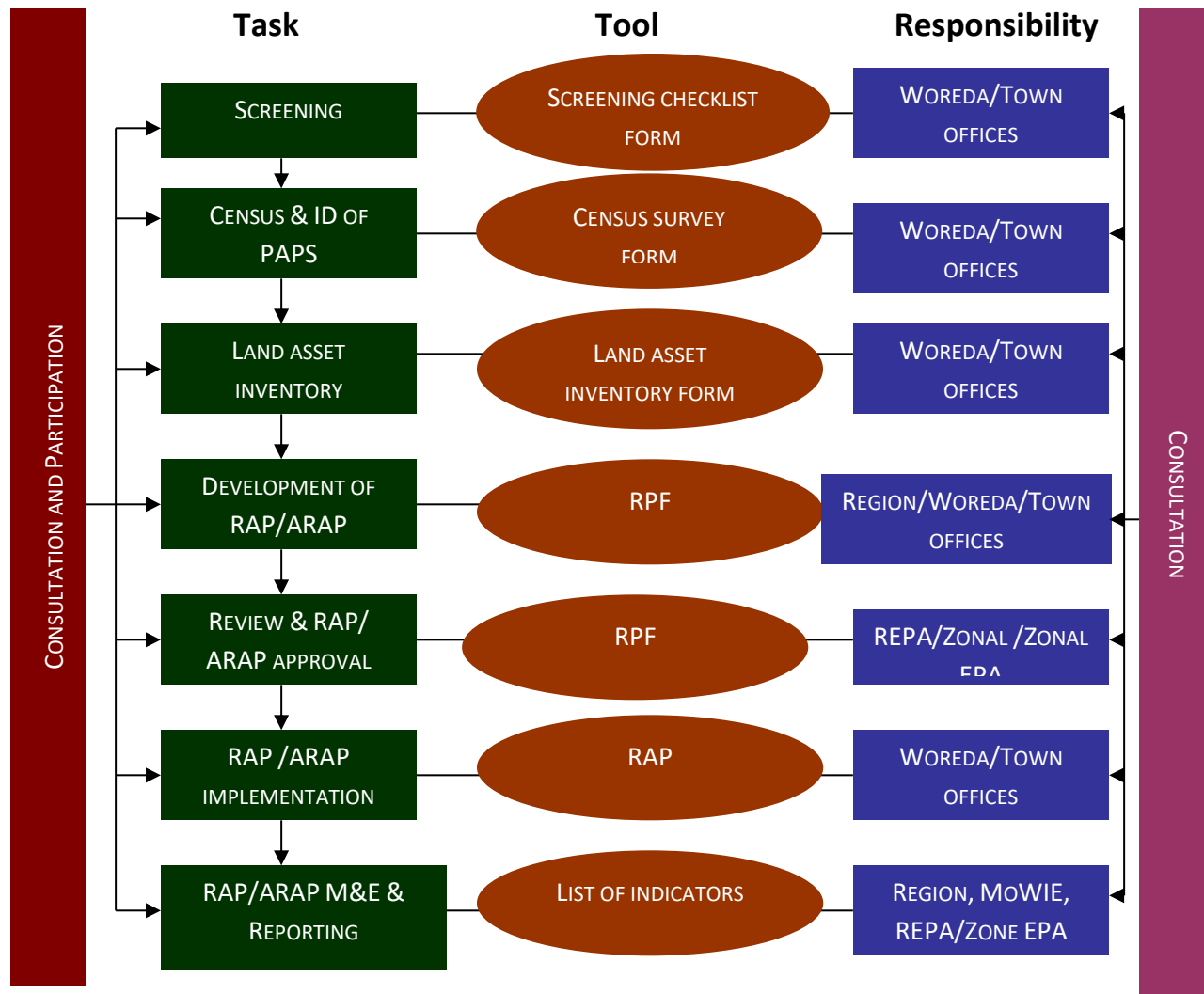


Fig 2. Individual RAP/ARAP Preparation, Review and Approval process

4.2.3. Work packages

It is recommended that RAPs and A-RAPs should be grouped in a way consistent civil works that are defined by the PMU. This will ensure consistency in timing and approach.

4.2.4. Cut-off date

In accordance with OP 4.12 and Ethiopian Proclamation No. 455/2005, for each activity under the Project that may entail displacement impacts, a cut-off date (see “definitions in Annex 1”) will be determined, taking into account the likely implementation schedule of the sub-Project.

However, persons who encroach on the area after the cut-off date are not entitled to compensation or any other form of resettlement assistance.

4.2.5. Eligibility for Entitlement

The government of Ethiopia and the World Bank Resettlement Guidelines require all individuals and households whose assets and productive resources affected as a result of the stringing project are entitled for compensation and/or other forms of assistance. Pursuant to the policy frameworks, eligible PAPs for entitlement under this assessment include households with formally recognized property rights and those who have held land under informal purchase agreements and arrangements. It also includes vulnerable groups, such as women headed households, elderly families and people with health and physical challenges, requiring special assistance and rehabilitation during relocation and resettlement activities.

In line with OP 4.12, the following three categories of affected people will be eligible to Project resettlement assistance; all are provided compensation for loss of assets other than land:

1. Those who have formal legal rights to land (including customary and traditional rights recognized under the laws of the country);
2. Those who do not have formal legal rights to land at the time of the cut-off date but have a claim to such land or assets-provided that such claims are recognized under the laws of Ethiopia or become recognized through a process identified in the resettlement plan; and
3. Those who have no recognizable legal right or claim to the land they are occupying.

Persons covered under (a) and (b) above are provided compensation for the land they lose, and other assistance as needed. Persons covered under (c) above are provided resettlement assistance in lieu of compensation for the land they occupy, and other assistance, as necessary, if they occupy the Project area prior to the cut-off date. In practice, this means that people usually considered as “squatters” are entitled to Project assistance as long as they are present on site at the cut-off date. Type and size of affected asset qualified for entitlement and mechanisms for other forms of assistance are presented below in matrix format.

The entitlements matrix below defines the eligibility for compensation and/or rehabilitation assistance for impacts/losses for different types of assets such as losing land, houses, and income and rehabilitation subsidies will include provisions for permanent or temporary land losses, buildings losses, crops and trees losses, a relocation subsidy, and some business losses for different categories of Project affected persons. These entitlements are detailed below: Based on Ethiopian laws and World Bank OP 4.12, the following is the entitlement matrix for the project:

Table 4-1: Project Entitlement Matrix

Land & Assets	Types of Impact	Person(s) Affected	Compensation/Entitlement/Benefits
Agricultural land	Cash compensation for affected land equivalent to market value Less than 20% of land holding affected Land remains economically viable.	Farmer/ title holder	Cash compensation for affected land equivalent to replacement value
		Tenant/ lease holder	Cash compensation for the harvest or product from the affected land or asset, equivalent to average market value of last 3 years, or market value of the crop for the remaining period of tenancy/ lease agreement, whichever is greater.
	Greater than 20% of land holding lost Land does not become economically viable.	Farmer/ Title holder	Land for land replacement where feasible, or compensation in cash for the entire landholding according to PAP's choice. Land for land replacement will be in terms of a new parcel of land of equivalent size and productivity with a secure tenure status at an available location which is acceptable to PAPs. Transfer of the land to PAPs shall be free of taxes, registration, and other costs. Relocation assistance (costs of shifting + assistance in re-establishing economic trees + allowance up to a maximum of 12 months while short- term crops mature) Relocation assistance (costs of shifting + assistance in re-establishing economic trees + allowance up to a maximum of 12 months while short- term crops mature)
		Tenant/Lease holder	Cash compensation equivalent to average of last 3 years' market value for the mature and harvested crop, or market value of the crop for the remaining period of tenancy/ lease agreement, whichever is greater. Relocation assistance (costs of shifting + assistance in re-establishing economic trees + allowance up to a maximum of 12 months while short- term crops mature) Relocation assistance (costs of shifting + assistance in re-establishing economic trees + allowance up to a maximum of 12 months while short- term crops mature) Relocation assistance (costs of shifting + allowance).

Land & Assets	Types of Impact	Person(s) Affected	Compensation/Entitlement/Benefits
Commercial Land	Land used for business partially affected Limited loss	Title holder/ business owner	Cash compensation for affected land Opportunity cost compensation equivalent to 5% of net annual income based on tax records for previous year (or tax records from comparable business or estimates where such records do not exist).
		Business owner is lease holder	Opportunity cost compensation equivalent to 10% of net annual income based on tax records for previous year (or tax records from comparable business, or estimates where such records do not exist)
	Assets used for business severely affected If partially affected, the remaining assets become insufficient for business purposes	Title holder/business owner	Land for land replacement or compensation in cash according to PAP's choice. Land for land replacement will be provided in terms of a new parcel of land of equivalent size and market potential with a secured tenure status at an available location which is acceptable to the PAP. Transfer of the land to the PAP shall be free of taxes, registration, and other costs. Relocation assistance (costs of shifting + allowance) Opportunity cost compensation equivalent to 2 months net income based on tax records for previous year (or tax records from comparable business, or estimates)
		Business person is lease holder	Opportunity cost compensation equivalent to 2 months net income based on tax records for previous year (or tax records from comparable business, or estimates), or the relocation allowance, whichever is higher.
			Relocation assistance (costs of shifting) Assistance in rental/ lease of alternative land/ property (for a maximum of 6 months) to reestablish the business.
Residential Land	Land used for residence partially affected, limited loss Remaining land viable for present use.	Title holder	Cash compensation for affected land
		Rental/lease holder	Cash compensation equivalent to 10% of lease/ rental fee for the remaining period of rental/ lease agreement (written or verbal)
		Title holder	Land for land replacement or compensation in cash according to PAP's choice. Land to land replacement shall be of minimum plot of acceptable size under the zoning law/ s or a plot of equivalent size, whichever is larger, in either the community or a nearby resettlement area

Land & Assets	Types of Impact	Person(s) Affected	Compensation/Entitlement/Benefits
			with adequate physical and social infrastructure systems as well as secured tenure status. When the affected holding is larger than the relocation plot, cash compensation to cover the difference in value. Transfer of the land to the PAP shall be free of taxes, registration, and other costs. Relocation assistance (costs of shifting + allowance)
	Land and assets used for residence severely affected Remaining area insufficient for continued use or becomes smaller than minimally accepted under zoning laws	Rental/lease holder	Refund of any lease/ rental fees paid for time/ use after date of removal Cash compensation equivalent to 3 months of lease/ rental fee Assistance in rental/ lease of alternative land/ property Relocation assistance (costs of shifting + allowance)
Buildings and structures	Structures are partially affected Remaining structures viable for continued use	Owner	Cash compensation for affected building and other fixed assets, taking into account market costs of structures and materials Cash assistance to cover costs of restoration of the remaining structure
		Rental/lease holder	Cash compensation for affected assets, taking into account market costs for assets and materials (verifiable improvements to the property by the tenant). Disturbance compensation equivalent to two months rental costs
	Entire structures are affected or partially affected Remaining structures not suitable for continued use.	Owner	Cash compensation, taking into account market rates, for entire structure and other fixed assets without depreciation, or alternative structure of equal or better size and quality in an available location which is acceptable to the PAP. Right to salvage materials without deduction from compensation Relocation assistance (costs of shifting + allowance) Rehabilitation assistance if required (assistance with job placement, skills training)
		Rental/lease holder	Cash compensation for affected assets, taking into account market rates for materials (verifiable improvements to the property by the tenant) Relocation assistance (costs of shifting + allowance equivalent to four months rental costs) Assistance to help find alternative rental arrangements

Land & Assets	Types of Impact	Person(s) Affected	Compensation/Entitlement/Benefits
			Rehabilitation assistance if required (assistance with job placement, skills training)
		Squatter/informal dweller	Cash compensation for affected structure without depreciation, taking into account market rates for materials Right to salvage materials without deduction from compensation Relocation assistance (costs of shifting + assistance to find alternative secure accommodation preferably in the community of residence through involvement of the Project) Alternatively, assistance to find accommodation in rental housing or in a squatter settlement scheme, if available Rehabilitation assistance if required assistance with job placement, skills training
		Street vendor (informal without title or lease to the stall or shop)	Opportunity cost compensation equivalent to 2 months net income based on tax records for previous year (or tax records from comparable business, or estimates), or the relocation allowance, whichever is higher. Relocation assistance (cost of shifting) Assistance to obtain alternative site to re-establish the business.
Standing crops	Crops affected by land acquisition or temporary acquisition or easement	PAP (whether owner, tenant, or squatter)	Cash compensation equivalent to average of last 3 years market value for the mature and harvested crop.
Trees	Trees lost	Title holder	Cash compensation based on type, age and productive value of affected trees plus 10% premium
Temporary Acquisition	Temporary acquisition	PAP (whether owner, tenant, or squatter)	Cash compensation for any assets affected, taking into account market values for materials (e. g. boundary wall demolished, trees removed)
Support for vulnerable groups			Vulnerable group identification and need assessment will be conducted and vulnerable support plan is prepared as needed.

4.3 Livelihood Restoration

The World Bank's Operational Policy 4.12 requires that displaced persons should be assisted in their efforts to improve their livelihoods and standards of living or at least to restore them, in real terms, to pre-displacement levels or to levels prevailing prior to the beginning of Project

implementation, whichever is higher. The Project among others will implement the following strategies to assist PAPs, in addition to compensation for their asset losses, to improve/restore their livelihood because of implementation of Project activities:

- Capacity building training on businesses which PAPs want to engage;
- Technical support in Business Plan Preparation, and implementation of the businesses;
- Follow up, supervision and monitoring of the implementation of business; and
- Depending on the scale of the impact, community need assessment and livelihood restoration plan will be prepared and implemented.

4.4 Special Restoration Measures for Vulnerable Group/PAPs

Despite the Project has a positive impact on the vulnerable people and women in various aspects, impacts related to gender and other sources of vulnerability requires the development of appropriate approaches. The project depending on the scale of the impact of sub project, during RAP preparation will conduct vulnerable group identification and need assessment study and produce vulnerable group support plan with detail implementation plan. MoWIE and participating woredas are the main responsible bodies for implementation of the activities listed below.

- (i) Create employment opportunity for women; establish women groups in cooperatives who will manage and administer the public pay and use toilets and showers and to benefit from the economic opportunities in both urban & rural water and sanitation value chain;
- (ii) Ensure the existence of joint property title for spouse and husband during resettlement compensation settlement;
- (iii) Deposit women's cash compensation in individual bank accounts in their names during resettlement planning;
- (iv) Deposit cash compensation on joint Bank accounts in the names of a husband and wife during resettlement planning;
- (v) Provide livelihood trainings to women groups organized in Micro and Small Enterprises (MSE's) with special attention to female headed households;
- (vi) Special attention will be given to the impact of resettlement on women and other vulnerable groups during monitoring and evaluation of the RAP. The income restoration measures will also target the vulnerable persons to ensure that they are reasonably assisted to overcome potential economic shock from the Project and maintain the quality of life not less than their pre-project state.

Identification of vulnerable people and identification of the cause and impacts of their vulnerability, preferably through an identification mechanism devised with, and implemented by the beneficiary community; this step is critical because often vulnerable people do not participate in community meetings, and their disability/vulnerability may remain unknown.

Assistance may take the following forms, depending upon vulnerable persons' requests and needs:

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

- Assistance in moving: providing vehicle, driver and assistance at the moving stage, assist the person in identifying his/her resettlement plot;
- Assistance in building: providing materials, workforce, or building houses;
- Assistance during the post-resettlement period, particularly if the solidarity networks that the vulnerable person was relying on have been affected: food support, health monitoring, etc; and
- Health care if required at critical periods, particularly the moving and transition periods.

5. AFFECTED ASSETS, PROPERTIES AND ENTITLEMENTS

5.1. Estimates of Surfaces of Potentially Required Land

The following table shows orders of magnitude for the potential land requirements of each of the project activities that may be considered under the project. However, it is not necessarily the estimated land requirement is applicable for all participating towns and various land minimization technologies will be also applied.

Table 5-1: Estimated Land Requirements for Systems Considered Under the WSS Project

System	Typical Surface Needed (Estimates)/sub project	Duration of the impact
Rural Hand-Dug Well with Hand-Pump	25 sq.m.	Permanent
Rural Drilled Well with Hand-Pump	25 sq.m.	Permanent
Rural Drilled Well with Submersible Pump and small distribution system	100 sq.m.	Permanent
Rural-Spring catchment with on-site storage and distribution	100 sq.m.	Permanent
Rural-Surface Water Catchment (Pond, Dam, Run-Off...)	5,000 sq.m.	Permanent
Pastoral- Open Well	100 sq.m.	Permanent
Pastoral-Well with Submersible Pump (with Generator or Solar)	1,000 sq.m.	Permanent
Urban – Well(s) with submersible pumps, treatment and pressure distribution system	5,000 sq.m.	Permanent
Latrines and other individual sanitation systems	10 to 50 sq.m. per system	Permanent
Access roads	-	Temporary
Pipe line installation	-	Temporary

5.2. Valuation of Affected Assets

Valuation is the process of determining the value of land, or an asset that PAPs possess or use at the time of the census. Compensation for all land use and assets in kind or cash will be required for the following:

- Residential buildings, structures and fixtures;
- Cultivated crops (both cash and food crops) and trees;
- Communal grazing land;and
- Loss of businesses or employment.

In the valuation process, PAPs, local officials and relevant government offices (such as the Land Development and Management Office, Municipality, woreda office of agriculture) will be consulted in detail. Overall, valuation will be consistent with National rules and practices, and with the World Bank Operational Policy OP 4.12 requirement that any lost asset be valued at full replacement value. However, the adherence to National rules and procedures could not lead to lower value or compromised value lesser than what is agreed in this RPF.

5.2.1. Structures

Valuation of structures will be undertaken on a case-by-case basis using rates available at region/zone/woreda level, after a check that these rates meet the full replacement value requirement. Wear coefficients will not be applied, in consistency with the “replacement value” requirement. In the absence of established rates, valuation will take into account reconstruction value, calculated from local contractors’ quotations, taking labor into consideration.

5.2.2. Crops

Valuation of annual crops will be based on the income lost or Ethiopian Proclamation No. 455/2005 and/or Regulation No. 135/2007, i.e. on the market value of the lost harvest, which will be established using available rates or through a rapid survey of market prices observed in the vicinity of the concerned location.

Valuation of perennial crops will be the sum of the following factors:

- Loss of income during the period needed to re-establish the crop, i.e. value of the harvest (based as above on market prices) for the number of harvests lost during the period of reestablishment of the crop;
- Value of seedlings needed to re-establish the crop, and of all agricultural inputs needed to re-establish the crops as it was;
- Value of any perennial developments required to cultivate the crop, if relevant.

Valuation of timber tree or other economical trees will be based on the market price of trees that could be sold when the tree is fully grown.

5.3. Compensation type

5.3.1. In kind compensation

The Project is not expected to cause significant impact on people and their livelihood. Any sub-Project that is assessed as potentially impacting inhabited dwellings or their livelihoods, it will be redesigned or rerouted. However, when the project acquires stripe of land, PAPs will get either cash compensation based on full replacement cost or will get replacement land with equivalent size and potential i.e.:

- Either of similar agricultural/economical characteristics and similar surface,

- Or of greater surface if agricultural/economical potential is less than that of the lost plot.

5.3.2. Cash Compensation

Cash compensation principles will be as follows:

- Compensation shall be paid prior to displacement
- Compensation will be at full replacement value without factoring depreciation.

By contrast with the depreciated or net value of a structure, the "replacement value" of structures includes the full cost of materials and labor required to reconstruct a building of similar surface and standing. In other words, the affected person must be able to rebuild same structure in a different location using the compensation paid for the old structure.

5.4. Voluntary Land Donation (VLD)

Some of infrastructure investments undertaken in the Project are for the most part located within and identified by the beneficiary communities, which implies that access to land may be obtained through other means than just land acquisition through eminent domain. Thus, land for different investment components in a Project could be obtained through voluntary land donation. Therefore, voluntary land contributions will be accepted as long as the free, prior and informed consultation process is adhered to and if the situation is well documented by local authorities. As such, PAP and PAH have the right to contribute of land or other assets of their own volition without seeking or being given any form of compensation. These situations can be justified because the proposed sub-projects will likely directly benefit the PAP and PAH. However, Voluntary contributions of land is not allowed if impacts are greater than 10% of the total land area or productive assets and will involve physical displacement.

The voluntary land donation should meet the following criteria:

1. The land in question must be free of squatters, encroachers or other claims or encumbrances;
2. The land required to meet technical project criteria is identified by the affected community, not by line agencies or project authorities. (Nonetheless technical authorities should ensure that the land is appropriate for project purposes, and that the project will not produce health or environmental safety hazards);
3. Verification (e.g., notarized or witnessed statements) of the voluntary nature of land donations must be obtained from each person donating land;
4. The impacts must be minor, that is, involve no more than 10 percent of the area of holding and require no physical relocation;
5. Voluntary donation does not impact the income/livelihood of the poorer groups who depend on land;
6. The project will ensure the voluntary nature of the donation;
7. The entire process will be documented and title to the land transferred to the recipient in accordance with the prevailing legal system in the country; and
8. Grievance mechanisms are required. (Refer- annex 12)

6. CONSULTATIONS ON THE PROJECT AND RESETTLEMENT POLICY FRAMEWORK AND DISCLOSURE

6.1.General

Consultation with the affected parties should be the beginning of a Participatory Process for designing and implementing projects. Providing accurate information about the Project to people from the planning stage prevents misconception and builds trust between the affected population and the Project and enhances transparency. Consultation has several objectives which include: sharing information, getting feedback, engaging in decision making discussions, and involving people in the implementation process.

Consultations enable the Project team to hold joint discussions with the affected people, share ideas about planning and implementation and benefit from local knowledge and take more informed decisions. Consultation can be in different forms, such as organizing public meetings, holding focus group discussions or carrying out household surveys or even having direct one to one consultations. Further requirements of sub-project, inventory survey and assets' verification can be performed as part of consultation process.

6.1.1. Consultations towards Preparation of this RPF

This RPF is prepared/ updated following a series of consultations held with various stakeholders and communities. The issues of Project-related land acquisition and the applicable standards to the Project, including WB OP 4.12, have been discussed public consultation meetings conducted from August 28 through Sep 21, 2018. Public consultations and meetings have been made in Oromia, Amhara, SNNP, Gambela and Afar regions. In total, 130 community members and stakeholders participated in the community meetings. Summary of list of participants is presented under table 6.1.

The preparation/updating of this RPF took into consideration the findings of the public consultations and stakeholder discussion held at different levels. This RPF will be disclosed on the MoWIE website after clearance is obtained from the World Bank.

The main agenda for the consultation discussions were focusing on providing information about the Project with emphasis on the Project positive and potential environment and social negative impacts and mitigation measures. Brief explanation of Project's major objective, terms of implementation, possible Environmental and Socio-economic impacts (which may arise in due course of Project implementation) were discussed.

The overall objectives of the public consultations were:

- To share full information about the proposed Project, its component and its activities with the community;
- To obtain information about the needs and priorities of the communities, as well as information about their reactions to the proposed policies and activities;

- To inform communities about various options on mitigation measures as well as relocation and rehabilitation;
- To obtain cooperation and participation of communities in activities required to be undertaken for implementing mitigation measures to reduce adverse impacts;
- To ensure transparency in all activities related to Project planning and implementation.

Accordingly, public consultation in Oromia, Amhara, SNNP, Gambela & Afar Regions were held with the technical committee & Regional representative and Woreda & kebele levels representatives. The consultation facilitation was led by senior social and environmental specialists from MoWIE Project office. The participants came from various sector of the community such as women affairs, community elders, Cultural leaders, and vulnerable groups and people living in the project area.

Table 6-1: Consulted Regions and Woredas

Summary of List of public consultation participants in Afar, SNNP, Gambella, Amhara and Oromiya Regions

Region	No of Stakeholder Participants			No of Community Participants			Total
	Male	Female	Total	Male	Female	Total	
SNNP	6	-	6	4	13	17	23
Gambella	7	-	7	7	17	24	31
Oromiya	8	-	8	13	3	16	24
Afar region	5	-	5	30	1	31	36
Amhara	6	-	6	7	3	10	16
Total	33	0	33	61	37	98	130

Figure 1: Sample photos of community consultation in Afar Region - Chifra Town



6.1.2. Summary of views, concerns, and recommendation

During the consultation meetings held at region, Woreda and community/Kebele level, key elements of the RPF and the project such as land acquisition and compensation, entitlement matrix, institutional arrangement, grievance redress mechanism, monitoring and evaluation were discussed to seek broad support from the implementing partners and the community. The experience of RPF implementation during the current project (one WaSH) implementation period, the gaps/challenges and actions to be taken during the proposed project implementation period were discussed as well as the key elements of this RPF. During the meetings, the facilitators briefed participants on the aim of RPF and why it is necessary, and relationship with OP 4.12 World Bank safeguard policy on land acquisition, and the national legal requirements (mainly proclamation 455/2005 and regulation 135/2007). The procedures and implementation arrangement of RPF as it relates to land acquisition and property losses, compensation and reduced access to natural resources and the issues of participation of the PAPs.

The respective stakeholders and community representatives in the consultation meetings reflected their views, concerns and suggestions for the project. However, little was said regarding with compensation and land acquisition and most of the issues were focused on affordability, transparency and accountability, quality and sustaining WaSH services; equitable inclusion in planning and decision-making and adapting WaSH facilities to context and need. All the issues except land acquisition compensation related issues were also mentioned during the consultation meetings conducted for the SA preparation, therefore, detail discussions and proposed mitigations are captured in the updated Social Assessment document.

Compensation for loss of assets and properties:

Community members participated in discussions made as part of the RPF preparation, particularly, in towns highlighted that compensation payments should be fair, adequate and should be paid on time. In addition, low awareness on laws of GoE and the World Bank operational policies on rights for compensation; grievance redress mechanism, entitlements and related issues were mentioned by consultation participants.

In this regard, participants indicated that so far during the implementation of the current one WaSH project, there is no as such significant impact related to land acquisition and property losses. The participants also indicated that since the one WaSH subprojects are small in scale there is no significant land acquisition and property losses. Small plots of lands were to be taken during implementation of these subprojects. In these cases, most impacts were addressed by site, route/alignment and design changes. If it was not possible to avoid by site, route and design change, the PAPs were consulted and proper compensation was paid. In some cases, there were instances that PAPs donate piece of land on voluntary biases. The minutes of the consultation were documented and show that all decisions reached with the PAPs with respect to these voluntary land donations were based on full consent of the owners. The participants appreciated the provision and implementation procedures indicted in this RPF to address the land acquisition and property

losses. However, the project explained to them that whenever there is land acquisition, PAPs are entitled to full compensation for the lost, including the provision of replacement land, jobs, and other resettlement assistances unless and otherwise they wish to donate the land voluntarily.

The project will ensure that all consultations are inclusive of all groups of stakeholders in the project area (including men, women, vulnerable groups and those with disabilities, youth, pastoralists etc. It will prepare consultation strategy to be used by implementing Regions and Woredas throughout the project implementation period. Moreover, during RAP/ARAP preparation, detail discussions and public consultations will be conducted.

7. GRIEVANCE REDRESS /MANAGEMENT MECHANISMS

7.1. Objective

A grievance redress mechanism will be established/strengthened to allow PAPs to complain about any decision of activities regarding inclusion in the census, eligibility and temporary or permanent loss of their land, assets or sources of income and their compensation. The project will ensure that the Grievance mechanism is gender sensitive during committee formation and implementation. It will ensure that women are represented in the GRM committee and the GRM equally address grievances received from men and women.

7.2. Potential grievances/disputes

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

Under the proposed Project, grievances and dispute may arise during the course of implementation of Project activities may be related to the following issues:

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

The grievance redress procedure of the Project does not replace existing legal processes. Based on consensus, the procedures will seek to resolve issues quickly in order to expedite the receipt of entitlements, without resorting to expensive and time-consuming legal actions.

7.3. Registration of Grievances

Any grievance that may arise due to the implementation of the Project will be filed at the GR office established for the project. The committee will assess the nature of the grievance and provide solution within the timeframe indicated in the RP. The overall process of grievance is as follows:

- (i) The process of grievance redress will start with registration of the grievances to be addressed;
- (ii) The Project will use a local mechanism which in most cases is called Grievance Redress Committee (GRC) as detailed below the composition of the members, which includes local leaders of the affected people, and 2 representatives from the PAPs, and
- (iii) The response time will depend on the issue to be addressed but it should be addressed with efficiency.

7.4. First Instance-Amicable Settlement and Appeal Court

The grievance redress procedure of the Project does not replace existing legal processes. However, the international experience of resettlement shows that such grievance redress mechanism helps to solve most of the complaints without formal procedures. So as it enables both speeds up implementation of the Project as well as timely satisfaction of complaints. In addition, courts of law may be viewed as slow and involving somewhat complicated procedures. People may prefer such matters to be first handled by a “first instance” mechanism, on the model of traditional dispute-resolution mechanisms. It usually appears that many grievances have roots in misunderstandings, or result from neighbor conflicts, which usually can be solved through adequate mediation using customary rules. Most grievances can be settled with additional explanation efforts and some mediation. GRCs will be established at the community level at each participating regions/zones/Woredas/cities/towns and kebeles with technical support from MoWIE if needed.

7.5. Grievance Redress Committee

The grievance Redress committee will be formed through the client at each participating /zones/Woredas/ /towns/kebele level and shall be comprised of the following:

- | | |
|---|----------------------|
| a. /Zonal/Woreda/Municipality/kebele representative | Chair person |
| b. Zonal/woreda/kebele Agricultural office representative | |
| c. Community representative | Member |
| d. Representatives of PAPs | Member |
| e. Women affairs office | Member |
| f. Representative of Implementing Agency at each level | Secretary and Member |

It is essential to include representative of Implementing Agency in the grievance redress committee so that essential information on inventories, entitlements, and compensation rates, etc. can be provided to the committee members for review of complaint.

7.6. Grievance Redress Procedure:

Grievance redress procedure will comprise of the following steps.

1. As a first step, all complaints and grievances relating to any aspect of the Project should be properly documented by implementing committee and address through consultations with the PAPs in a transparent manner and effective manner.
2. If the PAPs do not get any response from the implementing committee within 5 days of filling the complaint, or if the matter is not resolved to the satisfaction of the PAPs, the person will submit the complaint to the grievance redress committee count having jurisdiction.
3. If the matter remains unresolved within 15 days of filling compliant to the grievance redress committee, the person will forward the complaint to the regular court having jurisdiction.

Or a party dissatisfied with a decision made by the grievance redress committee may appeal to the next GRM level. A party dissatisfied with the decision made at any of the GRM level, may appeal to as may be appropriate, to the regular court within 30 days from the date of the decision. The decision of the court shall be final.

All the types of grievance should be recorded. Sample Grievance Form depicted in Annex 9. This grievance format is subject for revision by the grievance resolution committee before the start of their duties. The format will be distributed to the compensation implementation committee, the grievance resolution committee as well as to the other stakeholder's implementers of the resettlement action plan. The format should contain relevant information such as the name of the complaint and address, the types and details of grievances, the decision made, the date and the signature of the parties. The complaint, the receiver of the complaint, implementers should get the copy of the grievances.

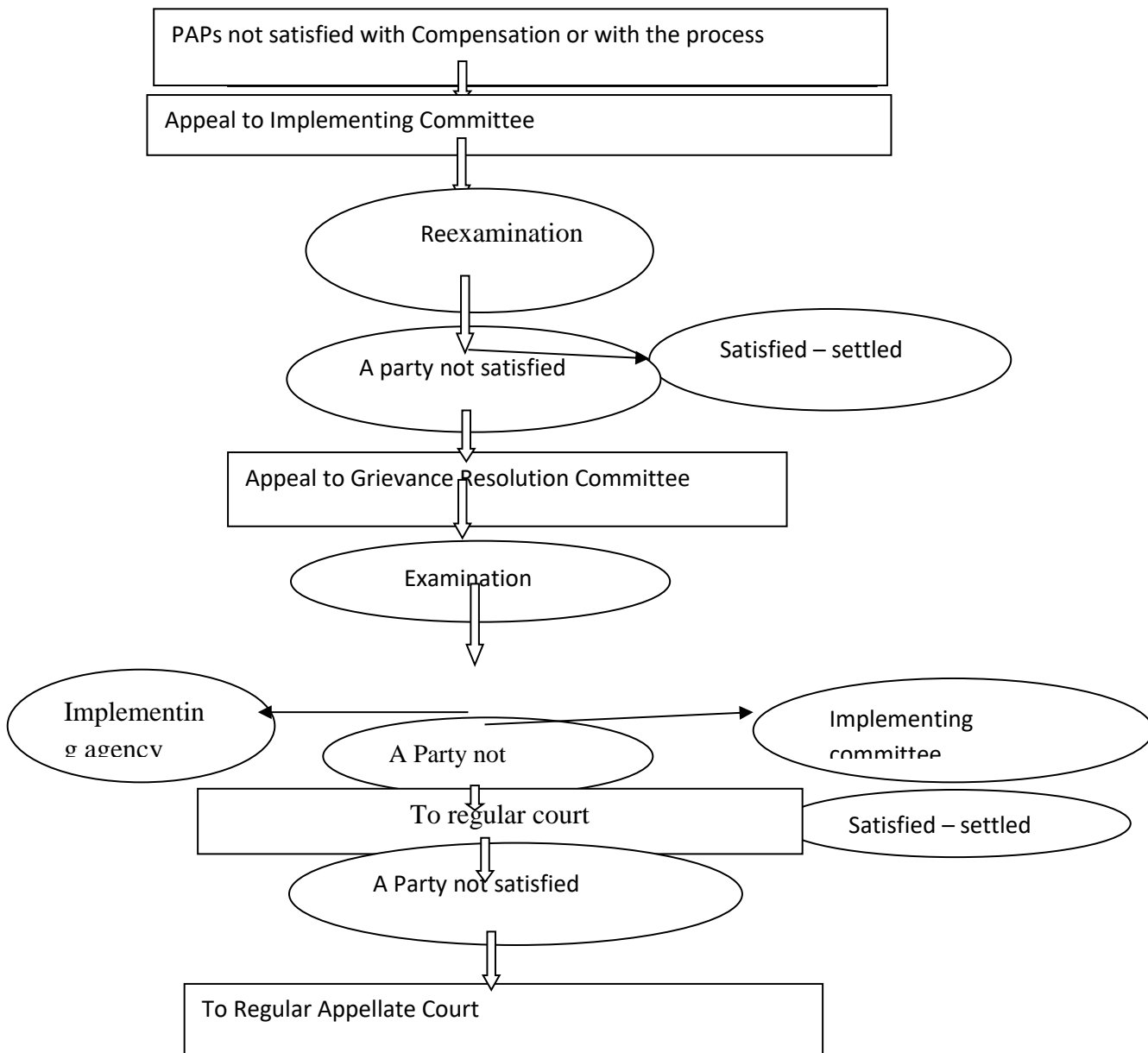
7.7. Appeal to Court

If the grievance procedure which will be established at local level fails to provide a result, they can pursue further action by submitting their case to the appropriate court of law. Courts of law shall be considered as a "last resort" option, which in principle should only be triggered where first instance amicable mechanisms have failed to settle the grievance/dispute. However, the constitution allows any aggrieved person the right of access to court of law.

7.8. World Bank Grievance Redress Services

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

Figure 2: Grievance/Dispute Management Mechanism



8. IMPLEMENTATION ARRANGEMENTS, SCHEDULE AND FUNDING

8.1. Overview on Implementation Arrangement of the Project

Ethiopia is divided into 9 regional states; namely: Afar, Tigray, Amhara, Benshangul-Gumuz, Oromya, Gambella, Southern Nations, Nationalities and Peoples (SNNP), Somali and Harari. In addition to these 9 regions, two cities are governed by autonomous councils, Addis Ababa and Dire Dawa.

The proposed Project implementation arrangements will follow the implementation arrangement being used for the current project. Accordingly, the Project will be implemented by Ministries of Water, Irrigation and Electricity, Health and Education at federal level and their respective bureaus and offices at the regional and woreda levels. These latter institutions have been strengthened to deliver services at decentralized level. More decentralized decision-making authority has been granted for regions, woredas and communities, upon demonstration of adequate capacity. The approach of providing more decision-making authority to decentralized level will be adopted by the Project.

Federal and Regional WaSH Project Management Units (PMU) which have been established in each of the 3 sector Ministries (Health, Education and Ministry of Water, Irrigation and Electricity) and MoFEC as well as within an appropriate Department/process owner in each of the 3 respective sector Bureaus and Finance and Economic Cooperation Bureau (BoFEC), will be strengthened and responsible for oversight and guidance of the Project while the WaSH coordination office at federal and regional level will be responsible for coordination among OOWNP ministries, bureaus and offices at each level.

Table 8-1: Structural implementation arrangements of the National WaSH Project

Level	Governance & Guidance	Oversight & Management	Project Implementation	Project Coordination
Federal	Federal WaSH Steering Committee	Federal WaSH Technical Team	Federal Sectors' WaSH Management Units (WMUs)	Federal WaSH Coordination Office
Regional	Regional WaSH Steering Committee	Regional WaSH Technical Team	Regional WaSH Management Units (WMUs)	Regional WaSH Coordination Office
Special Zones (or other Zones where applicable)	Zonal WaSH Management Team		Zonal WaSH Management Units – (Water, Health, Education, and ZoFEC)	Zonal WaSH Coordination Office
Woreda	Woreda WaSH Steering Committee (Woreda Cabinet)	Woreda WASH Team		
Town/City	Town/City WaSH Steering Committee (Town Cabinet)	Town/City WaSH Technical Team Municipality Health Desk Education Desk Town Water Board Town Water Utility		

8.2. Project's Safeguards Implementation Arrangements

The Project implementation arrangements are designed with two main objectives in view:

- To ensure accountability of the Project implementation Agency, sector service providers as well as the registered civil societies and private organizations partnering in Project implementation in regard to the delivery of the social safeguards as well as resettlement entitlements.
- To provide for the required capacity in terms of organizational arrangements, systems and procedures as well as knowledge, skills, and attitudes for efficient and effective Project implementation.

The principle of subsidiary which retains decisions at the lowest appropriate level underpins the institutional arrangements for the practice of the social safeguards and implementation of the resettlement plan. The implementation of social safeguards and resettlement will be linked to the implementation of sub-Project civil works.

8.3. Roles and Responsibilities

The Project will bring together a network of stakeholders for implementation. It is therefore necessary to establish clarity in regard to their roles, responsibilities and accountabilities. The Project will establish systems and mechanisms for evolving consensus and ensuring coordination for achieving the objectives of RPF.

The main Agency involved in implementation of the RPF will be the Ministry of Water, Irrigation and Electricity (MoWIE), as an overall implementing agency, it will have overall responsibility for the implementation of the Project and will act as the central agency responsible for holding all information relevant to the RPF and subsequent RAPs.

The institutions involved are:

- The three sectors mentioned above (MoWIE, Ministry of Education, and Ministry of Health) under the supervision and technical support of the Ministry of Water, Irrigation and Electricity (MoWIE) will be responsible for managing and fast-tracking of overall safeguards implementation;
- Relevant Social Sector Agencies and Government Departments to provide services and support the safeguard implementation; and
- Community based Organizations (CBOs), Consultants and other private sector players as required.

Table 8-2: RAP Implementation Responsibilities

Level	Responsibility
Affected People	<ul style="list-style-type: none"> - Involve in valuation committee - Participate in mediation committees - Participate in Grievance resolution committees
Rural Communities (Rural Water Supply)	<ul style="list-style-type: none"> - Deal with land replacement at community level for rural water sub-Projects with land impact - Participate in valuation commissions (community leaders and elders) and in censuses - Participate in monitoring
Woredas (Rural Water Supply)	<p>Check on land replacement arrangements made by communities</p> <ul style="list-style-type: none"> - Organize valuation committee - Check on censuses - Pay compensation - Participate in monitoring - Organize grievance management mechanisms, including mediation committees
Towns (Urban Water Supply)	<p>Deal with land replacement at community level for urban water sub-Projects with land impact</p> <ul style="list-style-type: none"> - Organize valuation committee and censuses - Organize public consultation on draft RAPs and disclosure - Check on censuses - Pay compensation - Organize grievance management mechanisms, including Mediation Committees - Participate in monitoring
Regional Project Implementation unit	<ul style="list-style-type: none"> - Support woredas and towns in the organization of resettlement planning (censuses, valuation, payment of compensation) - Select consultants to develop Resettlement Action Plans - Organize public consultation and disclosure on draft RAPs - Participate in monitoring and evaluation (possibly through consultants for the most significant resettlement activities, if any)
Regional Water Bureaus	<ul style="list-style-type: none"> - Support woredas and towns in the organization of resettlement planning (censuses, valuation, payment of compensation) - Hire consultants to prepare RAPs based on Support Teams' selection - Organize public consultation and disclosure on draft RAPs - Consultation and disclosure on Resettlement Policy Framework

Federal Level	<ul style="list-style-type: none"> - Support regions and provide technical support - Review RAP/ARAP and get clearance from the required organization - Monitor compliance of resettlement activities with this RPF, Ethiopian law and the World Bank OP 4.12 involuntary resettlement policy - Prepare progress report and share with the Bank
Consultants	<ul style="list-style-type: none"> - Prepare RAPs and if needed ARAPs
Property Valuation Committee	<ul style="list-style-type: none"> - Review the list and register the PAPs and affected assets - Verify the entitlement right of PAPs with concerned body - Establish standards for unit rates of affected assets and properties - Revalidate inventories of PAPs and affected assets - Establish valuation a head of time effects the compensation payment resettlement/ relocation activities - Determine the compensation rates taking in to account the country's legislation based on the date payment of compensation
Resettlement Implementation Committee	<ul style="list-style-type: none"> - Coordinate and supervise valuation committee, compensation payment, relocation activities - Prepare guidelines for valuation committees - Ensure that appropriate compensation procedures are adopted and followed - Oversee Project's requirements related to the social environment - Clarifying policies and operational guidelines about compensation - Reallocate land to permanently affected households - Monitor the disbursement of funds - Guide and monitor the implementation of relocation - Coordinate activities between the various organizations involved in relocation - Facilitate conflict resolution and addressing grievances - Provide support and assistance to vulnerable groups
Grievances Resolution Committee	<ul style="list-style-type: none"> - Provide PAPs with avenues for making compliant or resolve any dispute that may arise in the course of land, structure and any assets acquisition, including the process of moving - Ensure that appropriate and mutually acceptable corrective actions are identified and implemented to address complaints - Verify that complainants are satisfied with outcomes of corrective actions; and - Avoid the need to resort to judicial proceedings

8.4. Indicative Safeguard Staffing Packages

The table below provides the safeguard staffing package proposed at various levels.

Table 8-3 Required safeguard staffing

Level	Number of Safeguard Experts needed for the Project
At Federal level, MoWIE	Two Environmentalist & two Social Safeguard Experts (in place)
At Regional level	<ul style="list-style-type: none">- Oromia, Amhara and SNNP regions; two senior environmentalist & two senior Social Safeguard Experts each (one Environmentalist and one social specialist is in place).- Tigray, Afar, Benshagul gumuz, Gambela Somali and Harari regions and Dire Dawa city administration safeguard experts (in place)
At Zonal level	Big regions (Oromia, Amhara, SNNP & Tigray regions) need to deploy at least one Safeguard Expert at each zonal level responsible both for Environmental and Social activities whereas for small regions (Afar, Benishagul Gumuz, Gambela, Somali, Harari & Dire Dawa) one focal person is required
At Woreda level	All implementing woredas' will assign safeguards focal person

* Focal persons are not full-time staff but will perform their Project-related tasks alongside other duties.

8.5. Budget

It is not possible to provide an estimated budget for the total cost of resettlement that may be associated with implementation of the Project at this stage. This is because, knowing the exact number of people who may be affected are not easily identified. However, when the real location/site is identified RAP/ARAP will be prepared. Thus, RAP preparation and implementation costs, including cost of compensation will be considered an integral part of the Project cost and will be contributed as a counterpart fund by the Government of Ethiopia, in particular participating regions and cities/ towns with technical support of MoWIE. According to its Involuntary Resettlement policy (OP 4.12), "the Bank does not disburse against cash compensation and other resettlement assistance paid in cash, or against the cost of land (including compensation for land acquisition). However, it may finance the cost of land improvement associated with resettlement activities." As a result, the IDA loan under which the Project will be funded cannot finance cash compensation or land acquisition for resettlement purposes. The World Bank through the Project Implementation Agency (MoWIE), will review asset inventories, valuation schedules, proposed compensation packages, and the resulting estimates of resettlement costs.

RAP will include a budget section indicating (i) unit compensation rates for all affected items and allowances, (ii) methodology followed for the computation of unit compensation rates, and (iii) a

cost table for all compensation expenses including administrative costs and contingencies. Compensation and land acquisition for resettlement sites (if any need) will be funded by the regions/zones/Woredas/towns benefiting from the Project.

8.6. Resettlement Cost Estimates and Budget

To ensure the comprehensive and successful implementation of the RPF, budgetary provisions will need to be made for the various mitigation commitments outlined in the RPF. A budget estimate will need to be made that will cover all actionable and activities under the RPF, and their implementation. Annex 11 and 13 depicts Illustrative Budget Template for the RAP and Assumptions on Indicative Budget.

8.7. Capacity Building and Training

The environmental and social sustainability of projects that involve multiple sub-projects is highly and unavoidably dependent on the capacity of communities, implementers of the project and other stakeholders to carry out the associated design, planning, approval and implementation.

Thus, ensuring capacity is crucial and the Project will allocate sufficient resources to ensure stakeholders empowerment including training, capacity building and technical assistance. This endeavor will not only benefit the project but will also assist local capacity to undertake other development initiatives financed from government treasury or other development partners. The PMU will provide training facilities for planning and implementing training and awareness creation sessions in social safeguards for the technical and managerial staff of the Project.

The PMU will also carry out a training and knowledge needs assessment exercise for preparing the capacity building and training plan. The need assessment will identify the specific capability requirements of the safeguard functionaries as well as the orientation and attitudes for the effective engagement of the stakeholders in the delivery of the Project and specifically, implementation of this Social safeguards.

Based on the institutional arrangement and responsibilities related with the implementation of the safeguard instruments, the following issues are identified as entry points in safeguards capacity building including training;

- Provide Training of Trainers (ToT) for 49 professionals (4 staff members from each three big regions of water Bureaus, 2 staff members from each 6 regions including Tigray Water Bureaus and from the Dire Dawa Water Supply and Sewerage Authority and 7 from MoWIE, 3 from MoEFCC and 11 individuals from Regional Environmental Protection Authority) who are directly involved in the implementation of the Project.
- Conduct safeguard trainings for woreda focal persons, bureau heads involved in the Project, Engineers and Technicians from MoWIE, MoE, MoH, regional Bureaus of Water, Education and Health for 5 days (Operational Policy 4.12 on Involuntary Resettlement, and the Resettlement Policy Framework and on the country's safeguard related policies and legislations)

- Organize exposure visit and training for safeguard experts abroad for 20 experts (from MoWIE and regions).

Overall, an estimated total budget of USD 182,136.00 will be required for capacity building activities to implement social safeguard instruments in general and more specifically for RPF and RAPs/A-RAP preparation and implementation

Table 8-4: Budget Estimate for Capacity Building & implementation of RPF

Types of Activities	Budget for the period 2019 – 2024 (USD)					Total (USD)
	Year 1	Year 2	Year 3	Year 4	Year 5	
Training for the three sectors (MoWIE, moE and MoH) and respective bureaus and Federal and Regional EPA including exposure visit	37,136	-	30,000	-	-	67,136
Training for Woreda focal persons, Communities and other regional experts	20,000	-	20,000	-	-	40,000
Conducting ESS	3,000	3,000	3,000	3,000	3,000	15,000
Conducting ESIA	2,000	2,000	2,000	2,000	2,000	10,000
Preparing RAP/ARAP	5,000	5,000	5,000	5,000	5,000	25,000
Monitoring and auditing	3,000	3,000	3,000	3,000	3,000	15,000
Total						182,136

8.8.Implementation Schedules

PAPs will need to be fully compensated in accordance with the RAPs before the commencement of physical construction. For activities affecting the livelihood of PAPs, it is further required that these measures include provision of compensation and of other assistance required for relocation prior to displacement and preparation of resettlement sites with adequate facilities, where required. Taking of land and related assets may take place only after compensation has been paid and where applicable, resettlement sites and transfer allowances have been provided to displaced persons. For Project activities requiring relocation or loss of shelter, the policy further requires that measures to assist the displaced persons are implemented in accordance with the RPF and individual RAPs.

The schedule for the implementation of activities related to specific RAPs, will be prepared based on the principles of this RPF. These will include the target dates for start and completion of civil works, the dates of the possession of land that PAPs are using, dates of the full compensation, dates of transfer of user titles to Land Development and Management Bureau/LDNB/, and date of handover of land to implementing agency. This schedule will be agreed upon by the implementing agency, LDNB and the PAPs. The consultation process will ensure that RAPs contain acceptable measures agreed upon among all stakeholders that link resettlement activity to civil works under each specific investment in compliance with this policy.

The timing mechanism of these measures will ensure that no individual or affected household would be displaced (economically or physically) due to civil works activity before compensation is paid and resettlement sites with adequate facilities are prepared and provided for to the individual or homestead affected. Once the RAP is approved by the local and relevant national authorities, the individual RAPs should be sent to the PMU and the World Bank for final review and approval.

Given the nature of the Project, preparing an implementing schedule at the moment is not possible. Each investment once identified and screened, if required, will prepare an individual implementation schedule in the RAP for that investment. Therefore, all RAPs will include an implementation schedule for each activity covering initial baseline and preparation, actual relocation, and post relocation economic and social activities. The plan will include a target date when the expected benefits for resettled persons and hosts community, if relevant, would be achieved. Arrangements for monitoring of implementation of the resettlement and evaluating its impact will be developed during the preparation of individual RAPs implementation schedules. The principles for preparation of monitoring and evaluation are discussed in the above section. Target dates for achievement of expected benefits to resettled persons and hosts will be set and the various forms of assistance to the resettled persons will be disseminated to them.

Planning and coordination of the tasks of the various actors involved in the RAP implementation will be key to successful RAPs implementation. To achieve this, workshops will be organized with the stakeholders and other relevant government agencies, at individual Project launching and at the commencement of every Project investment. The workshops will focus on (i) taking stock of the legal framework for compensation, (ii) settling institutional arrangements and mechanisms for payment of compensation, (iii) defining tasks and responsibilities of each stakeholder and (iv) establishing a work plan all in accordance to individual tasks in RAP adherence to principles of RPF.

9. MONITORING AND EVALUATION

9.1.General Objectives of Monitoring & Evaluation

The process of RAP implementation should ensure to improve or at least restore the social and livelihood resources of the PAPs at their pre-Project level over a reasonable time with allocated resources. Therefore, monitoring of the RAP implementation has been designed as an integral part of the overall functioning and management of the Project. Evaluation and monitoring are key components of the Resettlement Policy Framework. The objectives are to: (i) ensure that the standard of living of PAPs are restored or improved; (ii) ascertain whether activities are in progress as per schedule and the timelines are being met; (iii) assess whether the compensation, rehabilitation measures are sufficient; (iv) identify problems or potential issues; and (v) monitor specific situations or difficulties arising from the implementation, and of the compliance of the implementation with objectives and methods as set out in this Resettlement Policy Framework. Evaluation of the mid- and long-term impacts of the Resettlement and Relocation Action Plan on affected households' livelihood, environment, local capacities, on economic development and settlement.

Auditing and monitoring aims to correct implementation methods during the course of the Project, as required, while evaluation is intended at checking whether policies have been complied with and providing lessons learnt for amending strategies and implementation in a longer-term perspective. Monitoring will be internal and evaluation external... Monitoring will aim to capture the following aspects:

- Ascertain whether activities are in progress as per schedule and the timelines are being met;
- Assess whether the compensation, rehabilitation measures are sufficient;
- Identify problems or potential issues;
- Identify methods to rapidly mitigate problems;
- Local communities remaining supportive of the project;
- project affected persons reporting satisfaction with the resettlement operation;
- To identify the satisfaction of affected people with the actual resettlement process;
- To identify affected people have been paid in full and before implementation of any WSS sub Project that is causing resettlement;
- Selection and distribution of replacement land areas (if any);
- Income restoration activities (assistance in livelihood restoration: agriculture and business re-establishment and assistance);
- Monitoring of consultations
- Status of mitigation measures implementation for vulnerable groups;
- Monitoring of all commitments made in the RAP/ARAP; and
- Grievances and grievance management system.

9.2. Reporting

The Project will keep the following statistics on an annual basis:

- ✓ Numbers of households and individuals affected by Project activities,
- ✓ Numbers of households and individuals relocated as a result of Project activities and their

- destinations,
- ✓ Amounts of compensation paid,
- ✓ For each household having received compensation, date when displacement occurred and date when compensation was actually delivered,
- ✓ Number of grievances registered,
- ✓ Construction: indicators relevant to the works being carried out.

9.3. Evaluation

Periodic evaluations will be made by the PMUs in order to determine whether the PAPs have been paid in full and before implementation of the subproject activities; and whether the PAPs enjoy the same or higher standard of living than before. Reference documentation for the evaluation will be the following:

- This Resettlement Policy Framework and RAP/ARAP;
- The Ethiopian laws and regulations as described above;
- The applicable World Bank Safeguard Policies as they stand in January 2007, i.e. OP 4.12 “Involuntary Resettlement.”

Evaluation has the following specific objectives:

- General assessment of the compliance of the implementation of resettlement activities with objectives and methods as set out in this document;
- Assessment of the compliance of the implementation of resettlement activities with laws, regulations and safeguard policies as stated above;
- Assessment of resettlement and relocation procedures as they have been implemented;
- Evaluation of the impact of the resettlement and relocation Projects on incomes and standard of living, with focus on the “no worse-off if not better-off” requirement;
- Identification of actions to take as part of the on-going monitoring to improve the positive impacts of the Project and mitigate its possible negative impacts, if any.

9.4. Reporting Requirements

As presented here above, all implementing entities will develop an annual safeguard monitoring reports of the RPF and RAP/ARAP implementation. PMUs at participating regions and cities/towns will prepare regular or quarterly performance monitoring report beginning with the commencement of any activities related to resettlement, including income restoration. These reports will summarize information that is collected and compiled in the quarterly narrative status and compensation disbursement reports and relevant monitoring indicators as described below and highlights key issues that have arisen. The report contents are detailed in the ESMF and reporting format which is being used for the ongoing Project with some amendments. All monitoring and evaluation documents will be submitted to the Bank and the Environmental and Social Impact Assessment office under MoWIE.

9.5. Indicators

Indicators will be targeted at quantitatively measuring the physical and socio-economic status of the PAPs, to determine and guide improvement in their social wellbeing. Therefore, monitoring

indicators to be used for the RAP will have to be developed to respond to specific site conditions. As a general guide, Table 9.1 provides a set of indicators which can be used.

Table 9-1: Types of Verifiable Indicators

Monitoring (of issues)	Evaluation (of impacts)
Consultations and reach out	<ul style="list-style-type: none"> • Number of people reached or accessing information, information request, issues raised, etc • Number of local CBOs participating
Compensations and re-establishment of PAPs	Physical Progress of Compensation and Assistance <ul style="list-style-type: none"> • Number of PAPs affected (building, land, trees, crops, etc.) • Number of PAPs compensated by the type of loss • Amount compensated by type and owners • Number of replacement asset recovered • Compensation disbursement to the correct parties
Socioeconomic changes	<ul style="list-style-type: none"> • Level of income and standard of living of the PAPs • Number of income restored, improved or declined from the pre-displacement levels
Number of compensation (and valuation) contracts not completed	<ul style="list-style-type: none"> • Outstanding individual compensation or resettlement contracts. • Changes (+/-) in PAPs conditions during transition process • Training / Transformation or life skills/
Number of subprojects unable to settle compensation after 2 years	<ul style="list-style-type: none"> • Changes (+/-) in PAPs income and livelihood conditions
Grievances redress Mechanism	<ul style="list-style-type: none"> • Quality of grievances or disputes resolved (qualitative) • Number of cases referred to GRC • Number of cases settled by GRC/CRC • Number of cases pending with GRC/CRC • Average time taken for resettlement of cases • Number of GRC/CRC meetings • Number of PAPs moved court • Number of pending cases with the court • Number of cases settled by the court
Pre-project production and income (year before land acquisition) versus present production and income of resettled PAPs who earn income from affected property (e.g. shops, kiosks, market stall, MSEs)	<ul style="list-style-type: none"> • Affected individuals and/or households compensated or resettled in first year who have maintained their previous standard of living at final evaluation. • Amount of improved production/household
Livelihood restoration Projects Completed	<ul style="list-style-type: none"> • Changes (+/-) in affected households income levels; • Training provided / number of trainees • Successful transformation to new sector • PAPs graduated to higher investment
Overall management	<ul style="list-style-type: none"> • Effectiveness of compensation delivery system • Timely disbursement of compensation • Census and asset verification/quantification procedures in place • Coordination between local community structures and implementing agencies.
Social services	<ul style="list-style-type: none"> • Availability of schools and health sanitation facilities constructed under the project by the Health and Education Ministries

9.6. Completion Audit

The MoWIE PMU shall commission an external party to undertake an evaluation of RAP's/ARAP's physical inputs to ensure and assess whether the outcome of RAP/ARAP complies with the involuntary resettlement policy of the World Bank, and the national legal requirement related to expropriation of landholding and payments of compensation. The completion audit shall be undertaken after the RAP/ARAP inputs. The audit shall verify that all physical inputs committed in the RAP/ARAP have been delivered and all services provided. It shall evaluate whether the mitigation measures prescribed in the RAP/ARAP have the desired effect. The completion audit should bring to closure WSSP PMU's at various level liabilities for resettlement.

ANNEX 1: DEFINITIONS

The resettlement Policy Framework (RPF) is an important document which will guide anticipated resettlement and rehabilitation that may be caused due to Sub project implementation. Hence it is imperative that various terminologies as well as expressed on are clearly understood. There are some terms used in this RPF which need explanation, there shall be no ambiguity in the framework.

Project: The One WaSH-Consolidated WaSH Account Project.

Sub-Project: A water supply and/or sanitation Project within the WSS Project benefiting one particular rural community or one town / city.

Project-affected person (PAP): Any person who, as a result of the implementation of the Project, loses the right to own, use, or otherwise benefit from a built structure, land (residential, agricultural, or pasture), annual or perennial crops and trees, or any other fixed or moveable asset, either in full or in part, permanently or temporarily. Not all PAPs need to move due to the Project. PAPs may include:

- Physically Displaced People, i.e. people subject to Physical Displacement and
- Economically Displaced People, i.e. people subject to Economic Displacement as defined hereunder.

Physical Displacement: Loss of shelter and assets resulting from the acquisition of land associated with the Project that requires the affected person(s) to move to another location.

Economic Displacement: Loss of income streams or means of livelihood resulting from land acquisition or obstructed access to resources (land, water or forest) caused by the construction or operation of the project or its associated facilities. Not all economically displaced people need to relocate due to the Project.

Project-Affected Household (PAH): A PAH is a household that includes Project-Affected Persons as defined above. A PAH will usually include a head of household, his/her spouse and their children, but may also include other dependents living in the same dwelling or set of dwellings, like close relatives (e.g., parents, grandchildren). It also includes the geographic area impacted by project interventions

Affected area: Means such area as may be notified by all regions and the City Administration of Addis Ababa and Diredawa cites under the relevant Land Acquisition Acts for the purpose of land required for the sub- Project implementation.

Consultation: It is a two-way dialogue /communication between the project entity (or its surrogates) and all project stakeholders” particularly the PAPs and affected communities. It should be informed, participative, inclusive (of all socio-income groups, gender, vulnerable groups, youth etc.) and contribute to identification of project impacts and their mitigation. It needs to be spread over all phases of the project cycle. The RPF seeks to ensure that affected communities are meaningfully consulted, have participated in the planning process.

Compensation: Payment in cash or in-kind at replacement value for an asset or a resource that is acquired or affected by the Project at the time the assets need to be replaced. In this RPF, "cash compensation" means compensation paid in cash or by Cheque.

Cut-Off Date: The date the census begins. The cut-off date could also be the date the project area was delineated, prior to the census, provided that there has been an effective public dissemination

of information on the area delineated, and systematic and continuous dissemination subsequent to the delineation to prevent further population influx.

Entitlement: A variety of measures comprising compensation, income restoration, transfer assistance, income substitution, relocation and other benefits which are due to affected people, depending on the nature of their losses, to restore their economic and social base.

The following table 1.1 summarizes the entitlements for each category of loss:

Type of Impact	Entitlement
Permanent loss of land (held under rural or urban land holders)	Cash compensation for loss of land as per Ethiopian Proclamation No. 455/2005 i.e. “A rural land holder whose land holding has been permanently expropriated shall, in addition to the compensation payable (for property and improvements made on the land) be paid displacement compensation which shall be equivalent to ten times the average annual income he secured during the five years preceding the expropriation of the land”. (Art. 8 (1) of Proc. 455/2005, Art.16 (3) of Regulation 137/2007) Or Replacement by a piece of land of equal or better potential
Right-of-Way, i.e. loss of certain usage rights	Cash compensation for loss of land as per Ethiopian Proclamation No. 455/2005 Or replacement by a piece of land in compensation for the restriction of use.
Temporary land take	Replacement by a piece of land of equal or better potential, Or cash compensation for income lost during the period where plot was not usable by user
Loss of uninhabited structure	Cash compensation at replacement value or replacement by a structure or equal or better quality
Loss of inhabited dwelling	Resettlement in similar dwelling in a location with equal or better economic / agricultural potential
Loss of annual crop	Compensation of lost harvest at market price
Loss of perennial crop	Compensation of lost income for a certain period of time, to be determined following regional/woreda practice or Ethiopian Regulation No. 135/2007
Loss of trees	Compensation of lost income for a certain period of time, to be determined following regional regulations and practice or Ethiopian Regulation No. 135/2007

(Note: more detailed instructions for compensation are included in Regulation No. 135/2007)

Eligibility: All PAPs living in the Project area before the cut-off date will be considered for compensation for their losses and/or rehabilitation assistance. Lack of legal rights or titles do not make them ineligible for entitlements.

Resettlement Assistance: Support provided to people who are physically displaced by the Project. Assistance may include transportation, and social or other services that are provided to affected people during their relocation. Assistance may also include cash allowances that compensate

affected people for the inconvenience associated with resettlement and defray the expenses of a transition to a new locale, such as moving expenses and lost work days.

Rehabilitation: Reestablishing incomes, livelihoods, living and integration with social system.

Income Restoration: Reestablishing income sources and livelihood of Project affected persons.

Replacement Value: The rate of compensation for lost assets must be calculated at full replacement value, that is, the market value of the assets plus transaction costs. The replacement value must reflect the cost at the time the item must be replaced. With regard to land and structures, "replacement value" is defined as follows:

- Agricultural land/urban agricultural area/: the market value of land of equal productive use or potential located in the vicinity of the affected land, plus the cost of preparation to levels similar to or better than those of the affected land, plus the cost of any registration and transfer taxes;
- Land in urban areas: the market value of land of equal size and use, with similar or improved public infrastructure facilities and services, preferably located in the vicinity of the affected land, plus the cost of any registration and transfer taxes; Household and public structures: the cost of purchasing or building a new structure, with an area and quality similar to or better than those of the affected structure, or of repairing a partially affected structure, including labor and contractors' fees and any registration and transfer taxes.

In determining the replacement cost, depreciation of the asset and the value of salvage materials are not taken into account, nor is the value of the benefits to be derived from the Project deducted from the valuation of an affected asset.

Host population: people living in or around areas to which people physically or economically displaced by the sub- Project will be resettled who, in turn may be affected by the resettlement.

Vulnerable Groups: People who by virtue of gender, ethnicity, age, physical or mental disability, economic disadvantage, or social status may be more adversely affected by resettlement than others and who may be limited in their ability to claim or take advantage of resettlement assistance and related development benefits.

Gender Equity: Recognition of both genders in the provision of entitlements, treatment and other measures under Social Management Action Plan or resettlement measures under Social Management Action Plan or Resettlement Action Plan

OP 4.12: World Bank's Safeguard Objective is to avoid or minimize involuntary resettlement and where it is not feasible, assist displaced persons in improving or at least restoring their livelihoods and standards of living in real terms relative to pre-displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher.

Other RPF Provisions

The full RPF report contains detailed provisions related with:

- Monitoring and evaluation,
- Grievance mechanisms,
- Assistance to vulnerable people,

- Implementation arrangements and responsibilities for the different tasks involved by the implementation of the RPF

ANNEX 2: SOCIAL RISK SCREENING CHECKLIST

OWNP-CWA phase two Investment subproject name:

Location: _____ (region, district, Kebele & specific name of the place where the sub-project is located)

Type of activity: _____ (new construction, rehabilitation, periodic maintenance, etc)

Proposed Date of Works Commencement: _____ site area in ha _____

2. Impact identification and classification:

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

Table 1: Impact Identification and Classification

Issues	Site sensitivity		
	Low	Medium	High
Involuntary Resettlement	No land take/ no land acquisition	If the activity takes less than 20% of households land	If the activity takes more than 20% of households land
	No economic or physical displacement	If it displaces less than 200 people	If it displaces greater than 200 people
	No non-Land Economic Displacement		

Table 2: Checklist of Impacts

Construction, upgradation, rehabilitation and/or expansion of education, water supply, human health, and Access Road, etc;	Potential for Adverse Impacts			
	None	Medium	Low	High
Economic or physical resettlement required				
Does the activity take more than 20% of households land				
Does the activity displace greater than 200 people				
New settlement pressures created				

Other (specify)				
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Table 3: Detailed Questions

Public participation/information requirements	
Does the public be informed, consulted or involved in the process of the ground activity?	
Has consultation been completed? Indicate the timeframe of any outstanding consultation process.	
Has consultation been completed? Indicate the timeframe of any outstanding consultation process.	
Land and Resettlement	
How will the OWN-P-CWA go about land acquisition and property losses?	
Will people's livelihoods be affected in any way, therefore requiring some form of compensation?	
Will people need to be displaced, and therefore require compensation and resettlement assistance?	
Are the relevant authorities aware of the need for a Resettlement Process, involving a census, valuation, consultation, compensation, evaluation and monitoring?	
What level or type of compensation is planned?	
Who will monitor actual payments?	
Actions	
List outstanding actions to be cleared before OWN-P phase two investment sub-project appraisal.	
Recommendations	
Requires an RAP/ARAP is to be submitted	
Does not require further social studies	

Prepared by _____ Sig_____ Date_____

Reviewer Name:_____ Sig_____ Date:_____

ANNEX 3: FRAMEWORK FOR THE CENSUS OF AFFECTED ASSETS & AFFECTED PEOPLE

AFFECTED HOUSEHOLD SHEET

AFFECTED PLOT SHEET

Reference:

Household Reference:

Location: _____ Regional State: _____ Woreda/Urban: _____ Kebele: _____

GPS Coordinates: _____

Description of Soil:

Perennial Crops: 1. _____ owner _____

2. _____ owner _____

Annual Crops: 1. _____ owner _____

2. _____ owner _____

Trees: 1. _____ owner _____

2. _____ owner _____

Structure: Channels owner _____

Anti-erosive structures: owner _____

Building: owner _____

Users: User 1: Surface used Regime of tenure

User 2: Surface used Regime of tenure

User 3: Surface used Regime of tenure

User 4: Surface used Regime of tenure

Valuation proposal (details of calculation on attached sheet):

Crops:

Structure:

Proposed distribution of compensation:

User 1:

User 2:

User 3:

User 4:

Date: _____ Prepared by: _____

AFFECTED BUILDING SHEET

Reference: _____

Location: _____ Regional State: _____ Woreda/Urban: _____ Kebele: _____

GPS Coordinates: _____ photograph number _____

Owner: Full Name: _____

Address: _____

Description:

Permanent _____ Non permanent _____

Surface: _____ Number of rooms: _____

Walls: _____ Material _____ Condition _____

Roof: _____ Material _____ Condition _____

Floor: _____ Material _____ Condition _____

Annexes outside: _____ Latrine: _____ Bathroom: _____ Kitchen: _____ Others: _____

Additional features:

Permanently inhabited by: _____ Regime of occupation: _____

Periodically inhabited by: _____ Regime of occupation: _____

Valuation proposal (details of calculation on attached sheet):

Proposed distribution of compensation:

User 1:

User 2:

User 3:

User 4:

Date: _____ prepared by: _____

AFFECTED HOUSEHOLD SHEET

Household Reference: _____

Location: _____ Regional State: _____ Woreda/Urban: _____ Kebele: _____

Reference of Affected Asset:

Type: _____ Structure _____ Plot _____ Crop _____

Reference of Affected Asset Sheet: _____

Household Information:

Head: of household Name:_____ Sex:_____

Age:_____ Identity Document:_____

Type:_____ Number:_____

Occupation: _____

Member of Household:

Household Interview

Name & Surname	Relationship to Head of Family	Sex		Place of Birth	Age	Marital Status	Residence Tenure	Ethnic Group	Religion	Educational Level	Occupation	Income Earner		Monthly Income
		M	F									Yes	No	
1.														
2.														
3.														
4.														
5.														
6.														
7.														

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

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

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

Occupations: -

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

Answer **Secondary Occupations:** idem.

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

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

Socio-Economic Information:

Occupations:

Head of Household:

Other members of Household:

Number: Occupation:

Number: Occupation:

Number: Occupation:

Number: Occupation:

Total Estimated Household monthly Cash Income:**Education level of Household Members:**

Number: Level:
Number: Level:
Number: Level:
Number: Level:

Project Impact:

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

Proposed Compensation or Resettlement Package

Household's Wishes

Proposed Package

Proposed Livelihood Restoration Package:

Household's Wishes

Proposed Package

ANNEX 4: RESETTLEMENT ACTION PLAN – RAP GUIDELINE

The scope and level of detail of the RAP will vary depending on the magnitude and complexity of resettlement or displacement. The RAP is prepared based on the most recent and accurate information on the: (i) proposed resettlement and its impacts on displaced persons and other adversely affected groups; and (ii) legal issues affecting resettlement. The RAP covers elements that are specific to the project context.

A broad outline of the RAP, as applied to sub-projects covered under a RPF includes, but is not limited to, the following:

1. *Description of the Sub-project*

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

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

Identification of the: (i) the sub-project components or activities that require resettlement or restriction of access; (ii) zone of impact of components or activities; (iii) alternatives considered to avoid or minimize resettlement or restricted access; and (iv) mechanisms established to minimize resettlement, displacement, and restricted access, to the extent possible, during project implementation.

3. *Objectives*

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

4. *Socio-economic Study*

The findings of socio-economic studies to be conducted in the early stages of subproject preparation, and with the involvement of potentially affected people will be needed. These generally include the results of a census of the affected populations covering:

- (i) Current occupants of the affected area as a basis for design of the RAP and to clearly set a cut-off date, the purpose of which is to exclude subsequent inflows of people from eligibility for compensation and resettlement assistance;
- (ii) Standard characteristics of displaced households, including a description of production systems, labor, and household organization; and baseline information on livelihoods (including, as relevant, production levels and income derived from both formal and informal economic activities) and standards of living (including health status) of the displaced population;
- (iii) Magnitude of the expected loss, total or partial, of assets, and the extent of displacement, physical or economic;
- (iv) Information on vulnerable groups or persons, for whom special provisions may have to be made; and

- (v) Provisions to update information on the displaced people's livelihoods and standards of living at regular intervals so that the latest information is available at the time of their displacement, and to measure impacts (or changes) in their livelihood and living conditions.

There may be other studies that the RAP can draw upon, such as those describing the following:

- (i) Land tenure, property, and transfer systems, including an inventory of common property natural resources from which people derive their livelihoods and sustenance, non-title-based usufruct systems (including fishing, grazing, or use of forest areas) governed by locally recognized land allocation mechanisms, and any issues raised by different tenure systems in the sub project area;
- (ii) Patterns of social interaction in the affected communities, including social support systems, and how they will be affected by the sub-project;
- (iii) Public infrastructure and social services that will be affected; and
- (iv) Social and cultural characteristics of displaced communities, and their host communities, including a description of formal and informal institutions. These may cover, for example, community organizations; cultural, social or ritual groups; and non-governmental organizations (NGOs) that may be relevant to the consultation strategy and to designing and implementing the resettlement activities.

5. *Legal Framework*

The analysis of the legal and institutional framework should cover the following:

- i. Scope of existing land and property laws governing resources, including state-owned lands under eminent domain and the nature of compensation associated with valuation methodologies; land market; mode and timing of payments, etc;
- ii. Applicable legal and administrative procedures, including a description of the grievance procedures and remedies available to PAPs in the judicial process and the execution of these procedures, including any available alternative dispute resolution mechanisms that may be relevant to implementation of the RAP for the sub-project;
- iii. Relevant laws (including customary and traditional law) governing land tenure, valuation of assets and losses, compensation, and natural resource usage rights, customary personal law; communal laws, etc related to displacement and resettlement, and environmental laws and social welfare legislation;
- iv. Laws and regulations relating to the agencies responsible for implementing resettlement activities in the sub-projects;
- v. Gaps, if any, between local laws covering resettlement and the Bank's resettlement policy, and the mechanisms for addressing such gaps; and
- vi. Legal steps necessary to ensure the effective implementation of RAP activities in the sub-projects, including, as appropriate, a process for recognizing claims to legal rights to land,

including claims that derive from customary and traditional usage, etc and which are specific to the sub-projects.

6. *Institutional Framework*

The institutional framework governing RAP implementation generally covers:

- a. Agencies and offices responsible for resettlement activities and civil society groups like NGOs that may have a role in RAP implementation;
- b. Institutional capacities of these agencies, offices, and civil society groups in carrying out RAP implementation, monitoring, and evaluation; and
- c. Activities for enhancing the institutional capacities of agencies, offices, and civil society groups, especially in the consultation and monitoring processes.

7. *Eligibility*

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

8. *Valuation of and Compensation for Losses*

The methodology to be used for valuing losses, or damages, for the purpose of determining their replacement costs; and a description of the proposed types and levels of compensation consistent with national and local laws and measures, as necessary, to ensure that these are based on acceptable values (e.g. market rates).

9. *Resettlement Measures*

A description of the compensation and other resettlement measures that will assist each category of eligible PAPs to achieve the objectives of OP 4.12. Aside from compensation, these measures should include programs for livelihood restoration, grievance mechanisms, consultations, and disclosure of information.

10. *Site selection, site preparation, and relocation*

Alternative relocation sites should be described and cover the following:

- (i) Institutional and technical arrangements for identifying and preparing relocation sites, whether rural or urban, for which a combination of productive potential, location advantages, and other factors is at least comparable to the advantages of the old sites, with an estimate of the time needed to acquire and transfer land and ancillary resources;
- (ii) Any measures necessary to prevent land speculation or influx of eligible persons at the selected sites;
- (iii) Procedures for physical relocation under the project, including timetables for site preparation and transfer; and
- (iv) Legal arrangements for recognizing (or regularizing) tenure and transferring titles to those being resettled.

11. *Housing, infrastructure, and Social services*

Plans to provide (or to finance provision of) housing, infrastructure (e.g. water supply, feeder roads), and social services to host populations; and any other necessary site development, engineering, and architectural designs for these facilities should be described.

12. *Environmental Protection and Management*

A description of the boundaries of the relocation area is needed. This description includes an assessment of the environmental impacts of the proposed resettlement and measures to mitigate and manage these impacts (coordinated as appropriate with the environmental assessment of the main investment requiring the resettlement).

13. *Stakeholder Consultations and Community Participation*

Consistent with the World Bank's policy on consultation and disclosure, a strategy for consultation with, and participation of, PAPs and host communities, should include:

- (i) Description of the strategy for consultation with and participation of PAPs and hosts in the design and implementation of resettlement activities;
- (ii) Summary of the consultations and how PAPs' views were taken into account in preparing the resettlement plan; and
- (iii) Review of resettlement alternatives presented and the choices made by PAPs regarding options available to them, including choices related to forms of compensation and resettlement assistance, to relocating as individual families or as parts of pre-existing communities or kinship groups, to sustaining existing patterns of group organization, and to retaining access to cultural property (e.g. places of worship, pilgrimage centers, cemeteries); and
- (iv) Arrangements on how PAPs can communicate their concerns to project authorities throughout planning and implementation, and measures to ensure that vulnerable groups (including indigenous peoples, ethnic minorities, landless, children and youth, and women) are adequately represented.

The consultations should cover measures to mitigate the impact of resettlement on any host communities, including:

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

ANNEX 5: OUTLINE OF AN ABBREVIATED RESETTLEMENT ACTION PLAN

Depending on the extent of the displacement, an ARAP should be between 10 and 25 pages, including annexes.

1. Brief Description of the Sub-Project
2. Sub-Project Land Needs
 - Land Needs
 - Justification and Minimization
3. Census Survey of Displaced Persons and Valuation of Assets
 - Methodology
 - Results
 - Affected Assets
 - Socio-Economic Features and Affected People's Livelihoods
4. Description of Compensation and Other Resettlement Assistance
5. Consultation with Displaced People
6. Procedures for Grievance Redress
7. Monitoring & Evaluation
8. Institutional Responsibilities and Arrangements for Implementation
9. Timetable, Budget and Funding Arrangements

Template Itemization of RAP/ARAP budget

Screening Criteria for Sites for Resettlement of WSS Project Affected Persons

Template of a Consultation Meeting Minute Form

ANNEX 6: TEMPLATE ITEMIZATION OF RAP/ARAP BUDGET

No	Item (break down and detail as appropriate)	Ethiopian Birr	USD	%
A	Compensation			
A1	Compensation for land acquisition			
A2	Compensation for destruction and damage to crops			
A3	Compensation for structures			
A4	Disturbance allowance/social			
A5	Contingencies - other compensations			
	Total Compensation			
B	Resettlement			%
B1	Resettlement land development			
B2	Housing construction			
	Total Resettlement			%
C	Additional Mitigations			
C1	Livelihood restoration measures			
C2	Vulnerable groups			
C3	Coordination of additional mitigations			
C4	Grievance management			
	Total Additional Mitigations			%
D	Implementation Costs			
D1	Surveying and asset pre-identification			
D2	Valuation			
D3	Coordination and works supervision			
D4	Legal advice			
D5	Monitoring			
D6	Evaluation			
	Total Implementation			%
E	Contingencies %			%,
	(GRAND TOTAL)			100%

ANNEX 7: SCREENING CRITERIA FOR SITES FOR RESETTLEMENT OF PROJECT AFFECTED PERSONS

1. The site should not be within an environmentally sensitive area.
2. The resettlement area should be within reach of social services such as water supply, electricity, roads, hospitals, schools, etc.
3. As far as possible ensure that the PAPs are resettled within or close to their original settlement areas.
4. There should be a sustainable source of water within 500 meters of the site.
5. The site should be large enough to accommodate the Project Affected Persons including public and social services.
6. The site user owners, users and PAPs should be consulted and invited to participate in the meetings and activities of the resettlement.
7. The Project Management Team should secure legal title to the land for resettlement.
8. The site boundaries including individual PAPs as well as public service land allocations should be clearly marked, measured and recorded.
9. There should not be any natural or manmade features on the side (e.g. swamps, water pipes, gullies, bed rock, flood plains, grave yards, rock falls, steep cliffs, electricity pylons, etc) to obstruct construction or cause danger to people or building structures.
10. The site must conform to the local development plan for the area or district.
11. The site for resettlement should not result in either physical displacement of people, loss of their shelter, loss of assets, loss of income sources or means of livelihood, or the loss, denial or restriction of people access to economic resources.

ANNEX 8: TEMPLATE OF A CONSULTATION MEETING MINUTE FORM

Date:

Venue:

Project participants:

-
-
-
-

Other participants (name, position):

Total number

-
-
-
-

Objective and agenda of the meeting:

-
-
-
-
-

Points addressed by the Project:

-

Points raised by participants:

-

FOLLOW-UP ACTIVITIES:

Prepared by:

Date:

ANNEX 9: SAMPLE REDRESSING GRIEVANCE FORM

Aggrieved person:- Full name		Name of the receiver	
Complaint Addressed to:-		Position of the receiver in the Committee	
Address		Signature of the receiver	
Zone		Date	
Urban			
Keble			
Mender/Neighborhood			
Signature of the Complaint			
Date			
Details of Grievances / detailed description of the aggrieved person's version			
Verification and Corrective Action	Actions/ decision	Title and Name of Decision makers	Signature and Date
Reaction of the Complaint	Reply	Signature	Date
Satisfied by the Decision	Yes		
Not Satisfied by the Decision	No		

Note: Under Signature of applicants

Both spouses should sign the application

- Provide copy of compensation forms to PAPs.
- Provide copy of summary compensation form to each PAPs.

Ensure that the information on official and market rates for all types of affected assets are provided to the PAPs.

ANNEX 10: BUDGET FOR GRIEVANCE RESOLUTION COMMITTEE FORM

Budget for Grievance Resolution Committee: The grievance resolution committee requires budget to fulfill its tasks. There will be frequent field visits demanding the payment of daily subsistence allowance, Fuel and stationary are some of the expenses.

Budget for the Grievance Resolution Committee

No	Members	Position	No of urban	Number of Members for Each urban	Days	Unit Rate (USD/day)	Total Budget (USD)
1	Committee Members						
1.1	Regional/zonal/Woreda/town representative	Chairperson					
1.2	Community Representative	Member					
1.3	Representatives of PAPs	Member/secretary					
1.4	Women affairs	Member					
1.5	Land Development and Management office	Member					
1.6	Representative of Vulnerable Group	Member					
1.7	Representative of Regional/Zonal/Woreda Water bureaus	Member/secretary					
	Sub Total						
2	Support Staffs						
2.1	Driver						
2.2	Surveyor						
	Sub total						
3	Miscellaneous (10%)						
	Total						

ANNEX 11: ILLUSTRATIVE BUDGET TEMPLATE FOR THE RAP

Asset Acquisition	Amount or number	Total Estimated	Agency Responsible
Land Acquisition and Preparation			
Land			
Structures			
Economic tress			
Utility lines			
Community infrastructure (school, church/mosque, Sports field etc.)			
Relocations			
Transfer of possessions			
Removal and Re-Installation costs			
Economic Rehabilitation			
Training			
Capital Investments			
Technical Assistance			
Monitoring			

ANNEX 12: VOLUNTARY LAND DONATION FORMAT FOR OWN-P-CWA

Name of the land owner_____ Sex_____ Age_____ Marital status
_____ Physical status of the head of household in case of disability-
_____ Means of income/Occupation_____ Household size

Address of the land owner:

Woreda_____ Kebele_____ Village_____

Land character

Total size of land holding_____ Size of land will be donated _____

Purpose of the land which was used before donation a). Farming land b). grazing
land c. residence area d. other

Utilization of land donated for_____

I certified that all the statements mentioned above are my own and I have provided
the land without coerced acceptance.

Land owner

Name _____

Signature_____

Witnesses

- 1.
- 2.
- 3.

Kebele representative

Name_____

Signature_____

Responsibility_____

The voluntary land donation should meet the following criteria:

1. The land in question must be free of squatters, encroachers or other claims or encumbrances;
2. The land required to meet technical project criteria is identified by the affected community, not by line agencies or project authorities. (Nonetheless technical authorities should ensure that the land is appropriate for project purposes, and that the project will not produce health or environmental safety hazards);
3. Verification (e.g., notarized or witnessed statements) of the voluntary nature of land donations must be obtained from each person donating land;

4. The impacts must be minor, that is, involve no more than 10 percent of the area of holding and require no physical relocation;
5. That voluntary donation does not impact the income/livelihood of the poorer groups who depend on land;
6. The project will ensure the voluntary nature of the donation;
7. The entire process will be documented and title to the land transferred to the recipient in accordance with the prevailing legal system in the country; and
8. Grievance mechanisms are required.

ANNEX 13: ILLUSTRATIVE OF ASSUMPTIONS ON INDICATIVE BUDGET

S.No.	Item	Costs	
1	Compensation for loss of Land	/hectare	For land acquisition purposes, based on the rural/urban current market price, or from similar Projects.
2	Compensation for Buildings and Structures	When applicable	This compensation may be in-kind or/and cash. Costs for basic housing needs should include ventilated pit latrines, outside kitchen, and storage. Based on current market price
3	Compensation for Trees	/year/tree	Includes costs of labor invested and average of Highest price of trees (and tree products) and city/urban market prices.
4	Cost of Relocation Assistance/Expenses	/household	This cost reflects the moving and transportation Allowance
5	Cost of Restoration of Individual Income	/income earning adult	Equivalent or higher than the GDP/capita in Ethiopia
6	Cost of Restoration of Household Income	/Income earning Members of HH	These costs reflect the livelihood restoration
7	Cost of Training PAPs	/person	This is a mitigation measure involving capacity Building and involves PAPs and affected communities
8	Cost to assist vulnerable Groups		These costs reflect the livelihood restoration Project of the RAP
9	Cost for monitoring and Evaluation		Operational budget of the responsible body(PMU) And periderm

ANNEX 14 CONSULTATION PARTICIPANTS FOR THE UPDATING OF THE RPF

No	Participant Name	Sex	Region	Position	Phone
1	Kes Enko Bahiriy	M	Amhara, Konzila small town	Community Representative (CR)	0918068515
2	Worku Amisew	M	Amhara, Konzila small town	CR	0918269449
3	Mola Tamirat	M	Amhara, Konzila small town	CR	0932244146
4	Abayse Terefe	M	Amhara, Konzila small town	CR	0918446755
5	Tadilo Dagnaw	M	Amhara, Konzila small town	CR	0918730495
6	Tiruye Abiye	F	Amhara, Konzila small town	CR	0932274582
7	Mulu Nabew	F	Amhara, Konzila small town	CR	0947016437
8	Zewudu Tasew	M	Amhara, Konzila small town	CR	0913851182
9	Tsige Tilaye	F	Amhara, Konzila small town	CR	
10	Abaye Dese	M	Amhara, Konzila small town	CR	0918639442
11	Zerihun Kebede	M	SNNP, Wenago woreda	Finance Department head	0916413369
12	Birhanu Wosasa	M	SNNP, Wenago woreda	Health Office representative	0925588149
13	Zewude Figa	M	SNNP, Wenago woreda		0916402609
14	Tamiru Beriso	M	SNNP, Wenago woreda	Water office personnel	0926877034
15	Tsegaye Jebo	M	SNNP, Wenago woreda	Water Office Engineer	0932696756
16	Ayenew Tadiso	M	SNNP, Wenago woreda	Water office Office head	0916329678
17	Mesfin Abate	M	Afar, Chirfa woreda	Chifra woreda Water Office expert	0913929513
18	Getachew Abriha	M	Afar, Chirfa woreda	Pastoralist office expert	0913486661
19	Alemtsehay Tsegaye	M	Afar, Chirfa woreda	Esucation office expert	0913018039
20	Tedros Tesfaye	M	Afar, Chirfa woreda		0966967591
21	Nuradiya Asefa	M	Afar, Chirfa woreda	Finance office expert	0914600477
22	Mohamed Duba	M	Afar, Chirfa woreda	Water Office head	0913647438
23	Abera Ababoo	M	Oromia, Wagiddi village	CR	0927178062
24	Deme Leta	M	Oromia, Wagiddi village	CR	
25	Wegi Megiso	M	Oromia, Wagiddi village	CR	
26	Mesfin Kebebe	M	Oromia, Wagiddi village	CR	
27	Tesfaye Idehe	M	Oromia, Wagiddi village	CR	
28	Buke Tufa	F	Oromia, Wagiddi village	CR	
29	Bekelu Beksa	F	Oromia, Wagiddi village	Cr	
30	Beshede Gedefa	F	Oromia, Wagiddi village	CR	
31	Gelaw Beklu	M	Oromia, Wagiddi village	Cr	

32	Girma Hayes	M	Oromia, Wagiddi village	Cr	
33	Dirriboo Megrsa	M	Oromia, Wagiddi village	Cr	
34	Gadiso Gulumo	M	Oromia, Wagiddi village	Cr	
35	Getana Diko	M	Oromia, Wagiddi village	Cr	
36	Bluhoo Idaz	M	Oromia, Wagiddi village	Cr	
37	Misis Hos	M	Gambela, Lare wooreda	Woreda Health Office, expert	0917082083
38	Sanchol Chagay	M	Gambela, Lare wooreda	Health office head	0917483511
39	Pol Udichay	M	Gambela, Lare wooreda	Education office head	0917526831
40	Kong Eng	M	Gambela, Lare wooreda	Education office head	0917482270
41	Udola Uwad	M	Gambela, Lare wooreda	Water office head	0910856690
42	Debel Dugne	M	Gambela, Lare wooreda	Water expert	0917900831
43	Twach zew	M	Gambela, Lare wooreda	Water Expert	0917856181
44	Bol Poch	M	Gambela, Lare wooreda	Regional Water director	0911797324
45	Zewudu Zegeye	M	Amhara, regional level	Health Bureau WaSH coordinator	0918774372
46	Maru Alem	M	Amhara, regional level	Coordination office Coordinator	0918715137
47	Wasihun Gelaw	M	Amhara, regional level	Education Bureau focal person	0918011738
48	Degalem Lakew	M	Amhara, regional level	Social Development Expert	0918640864
49	Gebre Berara	M	Amhara, regional level	Education Bureau M & E expert	0918022403
50	Asrat Kasie	M	Amhara, regional level	Water Bureau, Director	0918710529