

THE FEDERAL DEMOCRATIC REPUBLIC OF ETHIOPIA

MINISTRY OF AGRICULTURE

**STRENGTHEN ETHIOPIA’S ADAPTIVE
SAFETY NET (SEASN)/
PRODUCTIVE SAFETY NET PROGRAMME 5
(PSNP5)**

**ENVIRONMENTAL AND SOCIAL
MANAGEMENT FRAMEWORK (ESMF)**

December 2022

LIST OF ACRONYMS

BoA	Bureau of Agriculture
BoLSA	Bureau of Labour and Social Affairs
CSE	Conservation Strategy of Ethiopia
CFSTF	Community Food Security Task Force
CFU	Counterpart Fund Unit
CHS	Community Health and Safety
DA	Development Agent
EFCCC	Environment, Forest and Climate Change Commission
EHS	Environment, Health and Safety
ESAC	Enhanced Social Assessment and Consultation
ESCP	Environmental and Social Commitment Plan
ESIA	Environmental and Social Impact Assessment
ESMF	Environmental and Social Management Framework
ESMP	Environmental and Social Management Plan
ESOHS	Environmental, Social and Occupational Health & Safety
EWRD	Early Warning and Response Directorate
FFSCD	Federal Food Security Coordination Bureau
FNRMD	Federal Natural Resources Management Directorate
FSCD	Food Security Coordination Directorate
FSO	Food Security Office
FSP	Food Security Programme
GAP	Gender Action Plan
GBV	Gender-Based Violence
GOE	Government of Ethiopia
GRM	Grievance Redress Mechanism
GSD	Gender and Social Development
HFA	Humanitarian Food Assistance
IDP	Internally Displaced Person
IPM	Integrated Pest Management
JSOC	Joint Strategic Oversight Committee
KFSTF	Kebele Food Security Task Force
LCU	Livelihoods Coordination Unit
LH	Livelihoods [Project Sub-Component]
LHCU	Livelihoods Coordination Unit
LMP	Labour Management Plan
MoA	Ministry of Agriculture
MoF	Ministry of Finance
MoLSA	Ministry of Labour and Social Affairs
NRMD	Natural Resources Management Directorate
OHS	Occupational Health and Safety
PLW	Pregnant and Lactating Women
PSNP	Productive Safety Net Programme
PW	Public Works [Project Sub-Component]
PWCU	Public Works Coordination Unit
PWFP	Public Works Focal Person
PWFU	Public Works Focal Unit
RBEFCC	Regional Bureau of Environment, Forest & Climate Change
RFSCO	Regional Food Security Coordination Office

RFSSC	Regional Food Security Steering Committee
RPWFU	Regional Public Works Focal Unit
SARDP	SIDA-Amhara Rural Development Project
SEA	Sexual Exploitation and Abuse
SEAH	Sexual Exploitation, Abuse and Harassment
SEASN	Strengthen Ethiopia's Adaptive Safety Net
SH	Sexual Harassment
SOE	Statement of Expenditures
ToT	Training of Trainers
UPSNP	Urban Productive Safety Net Program
USD	United States Dollars
VLD	Voluntary Land Donation
WCYAD	Women, Children and Youth Affairs Directorate
WEPO	Woreda Environmental Protection Office
WESP	Woreda Environmental and Social Profile
WFSCCT	Woreda Food Security Case Team
WFSTF	Woreda Food Security Task Force
WOA	Woreda Office of Agriculture
WOLSA	Woreda Office of Labour and Social Affairs
WOFED	Woreda Office of Finance and Economic Development
WARD0	Woreda Agriculture and Rural Development Office
WLAEPO	Woreda Land Administration and Environmental Protection Office

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EXECUTIVE SUMMARY

In recent years the Government of Ethiopia has made important progress in laying down the policy framework for the implementation of social protection interventions in the country. The country's National Social Protection Policy (NSPP) from 2014 and accompanying Strategy and Action Plan for the sector have charted a significant expansion of social protection. It covers a larger proportion of the population and a wider range of risks, thereby ensuring that Ethiopia's strong economic performance is accompanied by a sustained reduction in poverty and vulnerability. The policy recognizes the contribution of social protection to the development goals of the country and commits human and financial resources to reduce poverty and maximize the provision of social protection to its poorest and most vulnerable citizens.

Ethiopia's National Social Protection Strategy (NSPS, 2016) builds on the NSPP and includes transformative elements as well as protective ones, building on the strong foundation of productive safety nets in Ethiopia. The Social Protection Strategy's first two focus areas are (i) Promote productive safety nets and (ii) Promote employment and improve livelihoods. Under the first focus area, the strategy identifies four instruments including public works, conditional and unconditional transfers, and shock responsive safety nets. Under the second focus area, the strategy aims, among others, to link social safety nets beneficiaries to livelihoods and employment interventions and promotes the provision of livelihoods/employment and financial services for the poor.

Safety nets account for a large share of social protection spending. The three major safety net programs in the country are the rural Productive Safety Net Program (PSNP), the Urban Productive Safety Net Program (UPSNP), and the Humanitarian Food Assistance¹ (HFA). Over recent years (except major drought events years) their average annual cost amounted to about 1.4 percent of GDP, and between FY 2012/13-2015/16, they accounted for 71 percent² of social protection spending³. In the past all three programs were predominantly financed by development or humanitarian partners, although the Government's financial contribution has increased significantly over the last couple of years. In the case of PSNP, for example, the Government share increased from about 3 percent in FY 2015/16 to 20 percent in FY 2018/19 and is projected to increase to 30 percent in FY 2019/20.

Ethiopia has made significant progress towards building a national safety net system. PSNP was launched in 2005 with the aim of addressing rural food insecurity, building resilience, and reducing the need for humanitarian appeals. Over the years the program expanded gradually to cover about 8 million direct beneficiaries from 2.5 million rural households in 40 percent of the country's districts (woredas).

In order to support the Government of Ethiopia in improving the delivery of an effective and scalable safety net, PSNP5 will include three components:

Component 1: Adaptive Productive Safety Net

¹ HFA provides direct transfers (food or cash) to individuals or households for the purpose of increasing the quantity and/or quality of food consumption in anticipation of, during, and in the aftermath of a humanitarian crisis.

² Due to a significant increase in humanitarian relief related to the drought in 2015/16. Otherwise the average expenditure on safety nets represents about 60 percent of the total social protection expenditure.

³ *Financing Social Protection in Ethiopia: A long-term Perspective* © OECD 2019

Building on the experience of previous phases of the PSNP, this component will consist of four sub-components:

- (a) Labour-intensive public works to increase the productivity of the natural resource base and improve social infrastructure;
- (b) A Mother-child package which extends a woman's exemption from public works to 24 months post-partum, and refocuses previous poorly implemented efforts to establish Child Care Centres at public works sites on the development of more permanent Early Childhood Development Centres at central locations in all Sequota Declaration woredas
- (c) Safety net transfers to extremely poor households;
- (d) Complementary livelihood services for client households.

The public works carried out under PSNP will continue to build climate change resilience through watershed rehabilitation, and to be a significant contributor to climate change mitigation through carbon sequestration.

Component 2: Improve the Shock Responsiveness of the Safety Net System

Component 2 addresses weaknesses in the shock-responsiveness of the safety net system such as chronically late assistance, unpredictable timing, duration and quality of assistance, and inefficient provision of assistance through multiple delivery mechanisms. It has five sub-components:

- (a) Expansion of coverage and systems to currently excluded drought-prone woredas and adjustment of allocation of caseload;
- (b) Improvement of Early Warning Systems;
- (c) Establishment of triggers and pre-agreed rules for shock-responsive financing;
- (d) Integration and strengthening of operations management at federal and subnational levels;
- (e) Contingent Early Response: Financing vertical and horizontal expansion of PSNP cash transfers and food in case of emergency.

Component 3: Program Management

The third and final component relates to the overall management of the PSNP program. It includes activities focused on strengthening Government institutions' ability to manage all aspects of program implementation and the use of core instruments (such as targeting, Management Information Systems and Grievance Redress Mechanisms) to assist program operations, poverty and vulnerability, and full retargeting at the beginning of the program and every four years.

Component 3 has two sub-components:

- (a) Systems Development;
- (b) Management and Administration.

This ESMF contains the procedures for addressing the Environmental and Social risks of PSNP5. These risks fall into three categories:

- (a) Risks associated with individual PW subprojects, addressed by a PW ESMF;

- (b) Risks associated with individual LH Strengthening activities, addressed by a LH Strengthening ESMF;
- (c) Broader Social risks not necessarily associated with a single PW site or an individual LH Activity, addressed by a series of Social Risk Management instruments

These procedures build on similar procedures used, and lessons learned, during the previous phases of the PSNP.

(a) Public Works (PW) ESMF Procedure

The community-based PW programme is aimed at integrated watershed and rangelands development, following the Government's recently updated *National Community-Based Participatory Watershed & Rangeland Guideline*. The programme consists of discrete sub-projects planned, selected and prioritized by the communities and implemented by the PSNP PW beneficiaries. They are intended to make a major contribution towards environmental transformation and social infrastructure development, and consequently improved agricultural productivity and more sustainable livelihoods. Such changes, in conjunction with other interventions, are expected to support eventual graduation from poverty of the beneficiary households.

PSNP PW are generally intended to enhance the environment and increase the productive capacity of the natural resource base. However, some past mass-mobilisation efforts towards environmental rehabilitation in Ethiopia have failed or have been abandoned, largely due to inappropriateness of the activity, a top-down approach, a lack of integration between the activity and the surrounding environment and land use pattern, and a sole focus on the provision of employment. As a result, the environment returned to its degraded state. Furthermore, some of the projects, although intended to protect or enhance the natural resource base, were poorly designed, and ended up doing the opposite, thus having both environmental and social impacts. The conclusion is that such activities have the potential for failure and adverse environmental impacts on human populations or the biophysical environment, if the location or design does not follow good practice.

The PW subprojects are planned, selected and implemented at community level. For implementation of PW activities both labour and non-labour inputs are required. The non-labour budget designed to cover the costs of tools, hiring skilled labour, etc.

Where there are subprojects that are numerous, community-based and not identified beforehand, it is not possible to apply ESIA to each subproject in advance. Instead, the ESIA requirements of both the Government of Ethiopia and the PSNP donors are addressed through an ESMF procedure.⁴

PW subprojects, which are community-based and micro-or small-scale, normally follow published designs into which good environmental practice has been incorporated, as set out in the Infotechs of The Ethiopian Government, National Community-Based Participatory Watershed & Rangeland Guideline, which constitute the technical design specifications for each type of subproject. Thus, the majority are not expected to have negative impacts. However, depending on the environmental and social setting, some sub-projects will need site-specific mitigating measures to be incorporated into the design by the DA in

⁴ In Ethiopia's *Environmental Impact Assessment* proclamation, the term 'environment' covers biophysical, social and cultural heritage impacts.

consultation with woreda experts, and which are subsequently incorporated into the construction and operation of the subproject.

Under the ESMF, subproject Screening is the responsibility of woreda-level staff. The actual Screening is typically delegated to the Development Agent (DA), but supervision and overall responsibility remains at woreda level.

Some sub-projects will require application of specialized procedures, notably those involving the use of pesticides (Annex 1), medical waste (Annex 2), and small dam construction (Annex 3). These are known as ‘Subprojects requiring special attention’.

In exceptional cases it may be necessary for a subproject design to be reviewed at a higher level. The Screening procedure earmarks such subprojects as being of environmental and social concern and requiring special attention, and draws them to the attention of the Regional Bureau of Environment, Forests and Climate Change (RBEFCC) or its equivalent (originally the Regional Office of the Environmental Protection Authority, the responsible authority under Ethiopia’s *Proclamation on the Establishment of Environmental Protection Organs* (No. 295/2002). The RBEFCC decides if an ESIA is necessary, and if so, the regional Public Works Focal Unit (PWFU) arranges with the concerned woreda office for the ESIA to be conducted. Woreda staffs are trained for this eventuality. In such cases, the RBEFCC is responsible for reviewing the ESIA and making the final decision as to whether the subproject can proceed.

(b) Livelihoods (LH) ESMF Procedure

The aim of the LH Strengthening sub-component is to foster improved livelihoods through household-level micro-scale activities, each of which, when examined individually, is expected to have no significant environmental or social impacts. However, the intention of this sub-component is to offer services and facilities to large numbers of households over several years. Thus, there is potential for large numbers of households in a given area to choose to embark on identical or similar activities.

It is then clear that LH Strengthening could lead to significant cumulative negative environmental or social impacts. Therefore, the LH Strengthening ESMF procedure incorporates a cumulative impact approach, which identifies cumulative impacts that might reasonably be expected to occur. Because it is not possible to predict what activities will be undertaken, and where, and because of the potentially large number of household-level activities that might be undertaken, a framework approach is adopted. Thus, this ESMF sets out procedures for (i) avoiding or mitigating such impacts before they occur, and (ii) monitoring the implementation of the ESMF procedure and any negative cumulative impacts.

It occasionally happens that a number of households decide to form a LH Group linked to one or more PW subprojects. Such a LH Group, which may be formed at the watershed-level or at the PW subproject-level, may also benefit from the Livelihoods Strengthening sub-component (Members of such a LH Group Activity may be either PSNP or non-PSNP clients). In such cases it will be necessary for the LH Group Activity to be Screened for potential environmental and social impacts using the same approach as the Screening of a PW subproject. The Environmental and Social Screening of the LH Group Activity will be conducted by the NRM DA with the support of the woreda PW Focal Unit.

Implementation of the LH ESMFs conducted at the woreda level, and is the responsibility of the Extension Unit, with the support of the Livelihoods/NR Expert. Oversight of the process at regional level is the responsibility of the Extension Case Team with the support of regional LHCU.

(c) Procedures for Addressing Broader Social Risks

The PW, LH Strengthening, and Transfers sub-components of the project may give rise to social risks not necessarily associated with a single PW site or an individual LH Activity. The potential impacts could be related to social exclusion, GBV/SEA, child labor and social dissatisfaction and conflict. Such risks may include, for example,

- Social conflict arising from inequity due to poor performance, or state capture, of the PSNP5 beneficiary targeting procedure, social dissatisfaction due to minimal loss of asset and loss of access to resources
- Unrest or hardship caused by delayed transfers,
- Adverse impacts on historically underserved traditional communities caused by the delivery of inappropriate transfers or related services,
- Gender-based violence arising from transfers-management issues and capacity gaps,
- Negative social impacts arising from grievances not being heard or settled,
- Gender inequality issues such as Excessive PW workload for women in the community.

Social risks such as these are addressed by implementation of the Stakeholders Engagement Plan (SEP) prepared for the project and a number of Social Risk Management instruments, namely:

- An Enhanced Social Assessment and Consultation Action Plan (ESAC), Social Development Plan
- A Gender-Based Violence Assessment and Plan (GBV Action Plan),
- A Grievance Redress Mechanism (GRM),
- A Labour Management Plan (LMP),
- Gender Action Plan (GAP)
- Voluntary Land/Asset Donation Procedure

PART I: INTRODUCTION

1. Environmental Context and Baseline Conditions

Ethiopia depends principally on agriculture both for its economic growth and food security. More than 70% of the population live in rural areas with agriculture (crop production and animal husbandry) as the main source of livelihood. The government has developed a Climate Resilient Green Economy (CRGE) strategy in support of the Growth and Transformation Plan (GTP). The vision of the CRGE is to achieve middle-income status by 2025 in a climate-resilient green economy.

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. Agricultural production is mostly rain-fed and dominated by small-scale farmers and enterprises that contribute some 90% of agricultural production. Although much of the agriculture remains at subsistence level, smallholders provide a large part of traded commodities, including for exports and about 70% 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, was experiencing low and declining agricultural productivity, persistent food insecurity, and rural poverty largely attributed to land degradation. It was estimated that by the mid-1980s some 27 million ha or almost 50 percent of the Ethiopian highlands, which makes up about 45 percent of the total land area, was significantly eroded. Of this, 14 million ha was seriously eroded and over 2 million ha were beyond reclamation. It was estimated that some 30,000 ha were being lost annually as a result of soil erosion, representing over 1.5 billion tons of soil removed annually by a variety of land degradation processes.

Since 2005 crop yields have been rising steadily, as various government watershed rehabilitation programs—including the PSNP Public Works program—have been implemented, and fertilizer and improved seeds have been made available to farmers. The incidence of food shortages decreased from 31% in 2005 to 10% in 2016. Nonetheless crop yields are still low by continental standards, millions of Ethiopians still face land degradation, and due to the pressure on land many farms are now below the size considered sufficient for sustainable smallholder farming. Thus, there is still much to be done to improve the productivity of the natural resource base; many smallholder farmers still need income support.

The PSNP5 woredas are located in Tigray, Amhara, Afar, SNNP, Oromia, Somali regions, and in the rural parts of Dire Dawa and Harari Administrations. The environmental characteristics of these areas in which PSNP5 will be implemented are most usefully demarcated by altitude, rather than administrative boundaries. The rural population of the highlands are for the most part smallholder farmers engaged in mixed settled farming; in the lowlands (principally Afar and Somali regions, and parts of SNNPR and Oromia), they are principally pastoralists or semi-pastoralists.

In 2016 the drought-prone lowlands, which include the eastern and southern parts of Oromia and the southern parts of SNNPR (but do not include pastoral areas of Afar and Somali), had the highest poverty rate, at 32%. The drought-prone highlands, which include the eastern parts of Tigray and Amhara, had the lowest poverty rates at 21%. The moisture-reliable highlands (principally weynadega) accounted for the bulk of the poor (close to 60%), not

because they are particularly poor but because the population is concentrated in these highlands. 58% of the ultrapoor were living in the moisture-reliable highlands; 39% were living in Oromia. 24% of the ultra-poor were in SNNPR. The project beneficiaries and activities will be located in eco-climatic zones ranging from very high elevation areas (>3,200 m) principally in Wello, Gonder and Gojjam dominated by grassland lands.

2. Environmental and Social Framework (ESF)

New projects commencing after 1 October 2018 trigger the World Bank Environmental & Social Framework (ESF). This section reviews the implications of the ESF for the PSNP5 ESMF.

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

2.1.1 Public Works Sub-Component

Although the subprojects (which include, for example, soil & water conservation, area closure, small-scale irrigation (SSI) and social infrastructure) are aimed at enhancing the environment and increasing the productive capacity of the natural resource base, they also have the potential for adverse environmental impacts on human populations or the biophysical environment if their location, design or construction do not follow good environmental and social practices. Based on the experience of the PW component in the previous phases of the PSNP, these environmental risks could arise principally from site-specific impacts such as (i) disturbance of downstream ecosystems by soil-and-water conservation (SWC) subprojects, including flood control, which, despite being intended to improve the environment, might be badly designed or sited; (ii) vegetation removal, erosion or pollution caused by poorly designed or located social infrastructure such as community roads or health posts; (iii) salinization, water logging or pollution resulting from small-scale irrigation sub-projects including the use of agrochemicals; (iv) disruption of water flows by water subprojects such as small dams or community ponds; (v) occupational health and safety risks to community workers.

The social risks of individual PW sub-projects are related principally to direct impacts of the subprojects such as (i) social unrest arising from loss of access to resources under Area Closure arising from soil-and-water conservation (SWC) subprojects; (ii) loss of assets related to social infrastructure such as community roads or health posts; (iii) social conflict or impact on health or safety arising from disruption of downstream water use or inequitable benefits from small-scale irrigation subprojects including the use of agro-chemicals; (iv) social conflict over water allocation, or risk to health and safety arising from subprojects such as small dams and community ponds.

There are also wider-ranging potential indirect and community-level risks arising from the PW sub-component, such as (i) children failing to attend school because they are required to carry out tasks that their mothers no longer attend to due to working on PW; (ii) mothers no longer breast-feeding children due to PW labour; (iii) the use of child labour on PW sites; (iv) accidents and injuries arising from lack of operational health & safety procedures on site; (v) gender-based violence arising from PW-related social disruption; (vi) children exposed to harm on site due to lack of child-care centres; (vii) a reduction in farmers' availability to work on their own farms due to excessive or untimely PW workload; (viii) injuries, ill-health or social disruption due to excessive PW workload on women; (ix) exposure to harm,

unfairness, financial, or other distress arising from the absence of adequate grievance redress mechanisms (GRM) related to PW; (x) discrimination or social conflict caused by a local-level perception of the PW work force as a labour pool to be called upon for any labour-intensive non-PW work required in the kebele; (xi) adverse impacts on historically underserved traditional communities caused by the delivery of inappropriate services such as transfers, PW or behavioral change programs; (xii) lack of proper planning of PWs timing in consultation with the beneficiaries have potential risk of reducing the productivity of the beneficiary households by reducing the time of main farming season and need to make public work planning participatory and (xiii) children safety and nutrition risks.

2.1.2 Livelihoods Sub-Component

Based on the experience of the Livelihoods component in the previous phases of the PSNP and the ESAC findings, the environmental risks of the micro-activities of the household-level Livelihoods sub-component arise principally from the potential cumulative effects of large numbers of households in the same kebele or woreda all undertaking the same activities. These environmental risks could be related to impacts such as (i) degradation caused by overgrazing resulting from animal-fattening; (ii) loss of endemic tree species due to tree-cutting for the manufacture of furniture or artefacts; (iii) pollution from poultry-keeping using drugs or chemicals; (iv) deforestation and reduction in local energy sources due to trading in fuelwood, poles or charcoal; (v) deforestation due to a reduction in energy resources resulting from the processing of agricultural residues for animal feed production; (vi) soil erosion and increased surface water impacts resulting from crop-irrigation activities.

Potential social risks of the micro-activities of the household-level Livelihoods sub-component could include, for example, (i) social conflict arising from degradation caused by livestock overgrazing resulting from animal-fattening; (ii) health issues arising from pollution from poultry keeping using drugs or chemicals; (iii) social conflict arising from deforestation and reduction in local energy sources due to trading in fuelwood, poles or charcoal. Based on the ESAC phase II findings additional social issues include (iv) absence of livelihoods support in Afar and Somali regions; (v) unfairness in the livelihood targeting for vulnerable groups; and (vi) absence of culturally appropriate credit service.

2.1.3. Broader Social Issues

The PW, LH Strengthening, Transfers, program management sub-components of the project may give rise to social risks not necessarily associated with a single PW site or an individual LH Activity or shock-responsive or program management. Such risks might include, for example,

- Unrest or hardship caused by delayed transfers;
- Adverse impacts on historically underserved traditional communities caused by the delivery of inappropriate transfers or related services;
- Conflicts arising between LH beneficiary and non-beneficiary individuals;
- Social conflict arising from inequity due to poor performance, or state capture of the PSNP5 beneficiary targeting procedure; minimal loss of asset and loss of access to resources
- Gender-based violence arising from transfers-management issues and capacity gaps;
- Negative social impacts arising from grievances not being heard or settled;

- Children failing to attend school because they are required to carry out tasks that their mothers no longer attend to due to working on PW;
- Mothers no longer breast-feeding children due to PW labour;
- The use of child labour on PW sites;
- Accidents arising from lack of operational health & safety procedures on PW sites;
- Children exposed to harm on PW sites due to lack of child-care centres;
- Reduced farmers' availability to work on their own farms due to excessive or untimely PW workload;
- Gender inequality issues such as Excessive PW workload for women in the community
- Injuries, ill-health or social disruption due to excessive PW workload on women;
- Social conflict or unrest due to geographic reallocation of, rearrangement of, or reductions in, the case-load.
- Exclusion and inclusion errors during targeting
- Limited functionality, effectiveness and gender sensitiveness of Kebele Appeals Committees (KAC)
- Limited project beneficiaries and staffs' understanding/capacity, implementation and reporting on GBV

Social risks such as these are addressed during design and by a number of Social Risk Management instruments and stakeholders engagement, namely:

- An Enhanced Social Assessment and Consultation Action Plan/Social Development Plan (ESAC) (PART V below),
- A Labour Management Procedure (LMP) (Annex 12),
- A Gender-Based Violence Assessment and Plan (GBV) (Annex 14),
- A Grievance Redress Mechanism (GRM) (Annex 15),
- A Stakeholder Engagement Plan (SEP) (Annex 16)
- Voluntary Land/Asset Donation Procedure, and
- A Gender Analysis and Action Plan (Annex 13) has been produced, which can be summarised as follows:

Gender Analysis and Action Plan

Advancing gender equality facilitates economic growth and the achievement of development outcomes. Both food security and social protection programmes across the globe are increasingly targeting women and girls to address their specific needs. The Gender and Social Development (GSD) provisions of PSNP in Ethiopia have been evolved particularly since 2008, when the program conducted its gender contextual study. The provisions aimed at addressing the gender specific vulnerabilities of women. It includes provisions aimed to address labour and time constraints of women, women's gendered roles and responsibility for childcare, their specific vulnerabilities as well as opportunities, and their participation in household (HH) and community decision making processes. Few examples of the provisions are, preferential targeting of female headed households and system to ensure the benefit of women in polygamous HHs, the exemption of pregnant and lactating women from public work, linkage of pregnant and lactating women to health services, provision of childcare facilities, and setting quota on women membership in the different community based program governance structures.

The program commissioned a gender analysis to inform the design of PSNP5 and strengthen the gender equality across the components. The assessment was intended to explore the status/extent of the implementation progress of the GSD provision of the program as well as to pin out the unintended outcomes of the program activities on the situation of women as well as gender relations. It was also used to assess the opportunities for strengthening gender equality and women empowerment elements across the different components of PSNP and identified good performance of the program on different components. On targeting of beneficiaries, there is good understanding of Female Headed Households (FHH) as vulnerable group deserving priority. Despite the program's non-specificity on who collects cash and food transfer in Dual Headed Households (married couple), Harari region has taken the initiative to make transfers to women and there is good acceptance of such initiative by men and women believing that the resource is better used for household benefit. Joint client card usage is appreciated by women and enhanced their sense of contribution to the household's wellbeing. Despite the persistent challenge to address women in dual headed households, targeting of women heads of households for livelihood transfers has shown good improvement over the years. The translation of the manual and job aide for the ground level implementers is also an achievement noted in the ongoing PSNP 4.

The following key findings and improvement areas are also identified by the assessment. i)Husbands often collect cash transfers while in some areas women felt that there is misuse of the cash transfer collected by men; ii) Existing HH labour cap is disproportionately affecting female-headed households (FHH) with no able-bodied member/s; iii) Women's practical needs are not adequately integrated in PW sub projects, iv)Weak implementation of the GSD and Nutrition Sensitive PW provisions; and v) Women in general and pastoral women in particular are taking up more work outside of their house, while the intra household gendered work norm is unaddressed. The program has developed a Gender Action Plan (GAP) to address the abovementioned and other gender and women equality issues identified through the assessment.

The program design considered measures/strategies that aim to address the identified issues. Such measures are included in the program Gender Action Plan (GAP) (Annex 13). Key actions of the GAP are:

- Piloting paying HH transfer to women,
- Revising the HH labour cap for labour-scarce FHHs for her to work only her share,
- Expanding PW Subproject Type 9 (Nutrition-Sensitive PW) as Gender and Nutrition-Sensitive subprojects,
- Amending the list of activities under it to include different care activities which could be mainly implemented by women but also by men,
- Developing a menu of women-friendly livelihood packages along with clear business plans that take into account women's need, realities, and different agro-ecology and availability of services;
- Exploring modalities that improve the role of Women Affairs Desk of MoA and MoLSA and the coordination with community-based MoWCA structures,
- Allocating budget for annual regular stand-alone GE training of implementers, and
- Conducting annual Gender and Social Development implementation review.

The implementation progress of GAP will be monitored and reported bi-annually by a multi-sectoral team to be established and led by FSCD.

2.2 ESS2: Labor and Working Conditions

ESS2 applies to PSNP5 principally in respect of able-bodied project beneficiaries who will work on the Public Works program in return for transfers in the form of cash or food. This falls within the ESS2 category of “community workers”. ESS2 also applies to:

Supervisors or skilled workers who are (temporarily) employed directly by the local government office to support the site works. They are also “direct workers”; People employed by primary suppliers such as those bringing cement and other materials on site. They fall within the ESS2 category of “primary supply workers”. “Contract workers” engaged on a site in which the labour-intensive work actually constitutes one component of the subproject (rather than the entire subproject). Such a subproject might be a small masonry dam in which the PW labour is employed in clearing the ground, and the government has hired a contractor to provide the cement.

Where government civil servants, known as Development Agents (DAs) are working in connection with the project, they will remain subject to the terms and conditions of their existing public sector employment agreement or arrangement. ESS2 applies to DAs only in respect of provisions for protecting the work force and occupational health and safety.

The principal potential risks are:

- Minor injuries to workers (community, contractors, etc.) that typically can be treated on site or at the nearest health post;
- Children or other vulnerable community members either inadvertently on site or in the vicinity, who are accidentally struck by falling objects such as boulders during hill-side terracing;
- Community workers being treated incorrectly in terms of workload, work allocation, or exclusion from their work entitlement.
- Incidents of child labor, GBV/SEA

Although relatively few subprojects involve civil works or anything other than community labour, accidents could occur on sites involving earth-moving equipment carrying out civil works, the carrying or use of heavy materials such as stone, cement and sand, and the carrying of soil during construction of an earth-dam.

The PSNP targeting procedure will ensure that all community workers are engaging in PW voluntarily. This ESMF includes Occupational Health & Safety (OHS) procedures (Annex 11), and subsequently each subproject ESMP will include OHS measures.

A Labour Management Procedures (LMP) has been prepared (see Annex 12) proportional to the activities, risks and impacts, setting out detailed procedures to ensure compliance with the standards of ESS2 for all labour categories involved. It may be summarized as follows:

Labour Management Procedures (LMP)

Like the previous phases, labor-intensive public works (PW) is the major component of PSNP5. The project is expected to engage about 1.3 million Community Workers every year throughout the project period. The Project will also employ a total of 1,400 staff at woreda level and 6,425 DAs based on National Labor Laws and PIM of PSNP5 (see Annex 20)

Community Workers (Participants): The Project will deploy community workers who are able-bodied household members and includes both men and women between the age of 18 and 60. Pregnant women and lactating mothers will be waived from participating in public works, starting from the date the pregnancy is known and for 24 months post-delivery. The labor-intensive PW community workers are not covered by the National Labor Laws. Nonetheless, some of the national terms and conditions like prohibition of child labor, prohibition of forced labor, prohibition of discriminations and maximum hours of work apply to community workers.

Direct Project Workers: The Project will employ contract and regular civil servants who work based on terms and conditions stipulated in the civil service regulations at federal, regional and local government (Woreda and Kebele) levels.

Short Term Consultants: The Short-Term consultants are engaged by the Project to undertake short period assignments such as assessment and evaluation for a not more than six months. These are consultants guided by specific contractual agreements between them and PSNP Implementing government body at federal or regional level.

Regarding Infrastructure related subprojects, contractors are engaged following the National Bid standard Terms & Conditions applying construction contracts.

Key Labour Risks: A potential risk that may arise from the nature of activities to be undertaken includes incidents of child labor, accident and injuries, GBV, and safety and health hazards. The project will address these risks by certification of laborers' age by legally recognized documents, providing safety gears and provision of sanitary and waste disposal facilities at each subproject site. To avoid the risk of accidents at workplaces, the site will be planned to have description of all-important area including Emergency Assembly Point. To prevent and respond to GBV/SEA risk at work place, the beneficiaries will be sensitized on the risks and prevention of GBV/SEA; furthermore, provision of equal employment opportunities, promotion of non-discrimination and inclusion of specific and binding clauses in the codes of conduct and contracts will be applied. PSNP has also provisions aimed at addressing gender specific vulnerabilities of women, which includes limits for the distance of public work sites from the village as maximum of 2 hours walking distance as well as reducing workload of women to 50% that allows them to arrive late and leave early .

Regarding labor legislation: As per Proclamation No.1156/2019, No 89, Article 55, part 1 and 2 of Ethiopia labour law, Part seven, 2019 Occupational Safety and Health have relevant clauses that support ESS2. Civil Servants from the government at PSNP Woreda level, Regional PW Focal Unit (RPWFU) and Short-Term Consultants are governed by the National Civil Service Legislations. Community Workers will be guided by PSNP5 PIM and CBPWG.

The legislation requirements conform to guidance provided in WB Environmental and Social Framework (ESF) and Environmental and Social Standard 2 (ESS 2).

Responsible Staff: The followings are Roles and Responsibilities of key players and stakeholders at Federal, Regions, Woredas, Kebele, and Community levels:

- The Federal-level FSCD, and NRM PW Coordination Unit will prepare guidelines and all forms needed, capacity building to regional and woreda-level staff and monitoring; ensure provision of expert advice on labour management, ensure

enforcement and monitoring role as stipulated by law, ensure periodical labour and working conditions environmental audits and facilitate in conducting training for staff that will carry out LMP at all levels.

- Regional level - The PWFU Technical Team will support the Woreda PW staff and the Woreda Food Security Task Force and Technical Committees on the implementation of the LMP. They will also be responsible for training of Woreda leadership on safety measures to avoid workplace accident.
- Woreda level –The woreda PW staff provide the necessary training to DAs and kebele level government structures on the labor management procedures. They are responsible to oversee that the necessary forms are completed at kebele level and then communicate the same to the regional levels.
- Kebele level –DAs, Kebele Administration and Community Watershed Team (CWT) will be responsible to oversee the management of community workers at sites. This includes undertaking both compliance monitoring and effects monitoring.

Grievance Redress Mechanism (GRM)

This ESMF contains a detailed PW Grievance Redress Mechanism (GRM) in Annex 15, which may be summarized as follows:

The objective of the GRM is to ensure that work-place concerns can be voiced, complaints made about problems arising, and that such issues be expeditiously addressed. A GRM is an essential tool for improving the effectiveness of program implementation by managing appeals and complaints that may arise by parties that are affected by the program.

The PSNP has established Kebele Appeals Committees (KAC) in every PSNP program Kebeles to hear and address complaints on any aspect of the program delivery by project beneficiaries and non-beneficiaries. As a local structure, KAC perform roles of logging, investigating and resolving grievances in timely manner. Where needed, the committees refer unresolved and escalated grievances to the next level of authority; the Kebele and Woreda Council. The grievances may include appeals about the client selection processes (failure to enter the program or exit), timeliness of payments and other issues related to public works.

The program uses every opportunity to inform PSNP clients and non-clients of the availability of the appeals committee and how the GRM process functions. While the availability of KACs in every PSNP kebele makes the PSNP GRM highly accessible for stakeholders to raise concerns and grievances, irregular meetings of the committees, a failure to use standard templates and limited practice of documentation that undermines the effectiveness of the GRM system. Redesign recommendations of the system are proposed to enhance the GRM for SEASN.

As a first phase, the rollout of the PSNP MIS will include and is limited to recording appeals as reported from the KAC. This entails the improvement and standardization of resolution mechanisms, templates and categorization of grievances. Registration of complaints, investigation and follow-up and feedback to complainants will also be improved. An ongoing redesign of the system will also include the development of a GRM module to be integrated into the second phase of MIS.

Regarding labour grievances, community workers will use the community level appeal system described above. For civil servants and Contract staff⁵ grievance mechanism for public sector, handled by committee of the institution their contract is managed under, described below, will apply.

The Federal Civil Servants Proclamation No. 1064/2017 Article 76 has laid down mechanisms and procedure for grievance handling within the internal structure of government institutions. It states that every government institution is expected to establish a grievance handling committee that investigate complaints lodged by civil servants⁶ referring to the relevant laws, regulations and practices and submit recommendations as to how to resolve it to the Head of the government institution.

The committee is expected to have five members and a secretary comprised of two elected by civil servants and three assigned by the head of the institution. The committee, however, is only responsible to hear grievances related to working condition. Other grievances such as GBV and corruption are to be lodged in or referred to each institution's Women and Child affair and anti-corruption directorates, respectively.

Process of Grievance Mechanism

- Civil servant with grievance/appeal submits a completed grievance form to an inquiry officer that is assigned by the head of institution. The grievance form includes the below information.
 - the name and address of the grievant
 - his job titles
 - the name of immediate supervisor
 - causes of his grievance
 - supporting evidences (if any)
 - the redress sought
 - date and signature
- The inquiry officer will see whether the grievant/petition can be resolved with discussion. Given that it cannot be resolved with discussion, the inquiry officer will present the written grievance to the grievance review committee.
- The committee examine the grievance and any appropriate evidence and submit a report containing its findings and recommendations to the head of the government office within 15 working days from the date of receipt of the grievance.
- The head of the government office approve the recommendation of the committee, give a decision different from the recommendation of the committee or instruct the committee to further review the case within ten working days from the date of receipt of the committee's report. The decision will be communicated to the petitioner in writing.
- If a civil servant is not satisfied with the decision of the head of government or if decision is not given within the time limit, he/she may appeal to the Civil Servants Administrative Tribunal that has judicial power and is designated by the head of the institution. Decision made by the Administrative tribunal is considered as orders and decisions of any civil court.

⁵ Contract employee are generally employed for a short period, often in peak periods to complete transactional work in permanent positions

⁶ Civil Servant means a person employed permanently by federal government institution

2.3 ESS3: Resource Efficiency and Pollution Prevention and Management

This ESS applies to PSNP5 principally in respect of the potential use of agro-chemicals in small-scale irrigation subprojects. It is also expected that each year several hundred health posts will be constructed under the PW sub-component. Although health posts do not normally generate medical waste, there is a possibility in some cases of improper disposal of items such as sharps, or discharge of waste into water sources. Therefore, this ESMF contains a *Waste Management Guide for Rural Health Clinics* (Annex 2) prepared by the GoE, and for each health post there will be prepared a Medical Waste Management Plan, which the DA will trigger during the ESMF Screening procedure.

The PSNP prohibits the use of project funds to purchase pesticides or fertilisers. Nonetheless, some farmers may choose to purchase and use agro-chemicals, so the ESMF will require woreda staff to provide information and training on acceptable and unacceptable pesticides and will encourage farmers to comply with GoE policy and international standards of use and storage. Thus, this ESMF includes the GoE's *Guide to Integrated Pest Management* (Annex 1), which the ESMF Screening procedure will oblige the DA to invoke. This will ensure that the correct guidance is utilized in all subprojects likely to involve the use of agrochemicals. The PW ESMF also provides guidance and analysis of other potential impacts from small-scale irrigation (SSI) subprojects, and if it is identified that these subprojects may have significant impacts on water quality and quantity, the SSI subprojects will be designed so as to avoid or minimize significant adverse impacts for communities and the environment, including technically feasible water conservation measures, the use of alternative water supplies, etc.

2.4 ESS4: Community Health and Safety

ESS4 applies to the project principally in respect of health and safety arising from the construction and operation of the PW subprojects. The risks to community health and safety arise principally from:

- Occupational hazards while working as a community worker on a subproject construction site;
- Risks to community members inadvertently on, or in the vicinity of, a PW construction site;
- Risks to all and any community members from accidents or failures of a subproject during operations, including those caused by extreme weather events.

The risks to community workers and those in the vicinity will be covered by the Occupational Health & Safety Plan and Community Health & Safety Plan (Annex 11) supplemented by the provisions of the LMP under ESS2 Labour and Working Conditions. Risks to community members from accidents or failures of subprojects during operation will arise principally from:

- Humans and animals falling into community water-harvesting ponds;
- Humans health being impacted by exposure to polluted water from a PW water project;
- Humans and animals being drowned or injured, and assets being lost, as a result of failure of a small dam, for which the FAO Guidelines for Dam Construction are set out in Annex 3.

The risks from poorly designed or poorly implemented water storage facilities such as water-harvesting ponds, and subprojects supplying water for human consumption, will also be addressed by:

- The incorporation of good safety practice features in the subproject design, as contained in the *National Community-Based Participatory Watershed & Rangeland Guideline*;
- Supervision of water subproject implementation by woreda technical staff;
- Awareness-creation and training by the DA of the community in the management and use of the PW subprojects.

ESS4 is also addressed by provisions for gender-based violence (GBV), which are covered by the Gender-Based Violence Assessment and Action Plan (Annex 14), and may be summarized as follows:

GBV Risk Assessment and Action Plan

The Ministry of Agriculture (MoA) conducted a GBV risk assessment and action plan as part of the PSNP5 design process mainly to identify opportunities to ensure that PSNP5 will have the capacity to minimise any risks of GBV linked to these programs and enhance the programs' positive impacts on violence reduction.

At macro level, the GoE through its legal frameworks and institutional arrangement has demonstrated relatively improved commitment to address GBV issue in the country. When it comes to translation of the policy and legal frameworks into action weak coordination and accountability system pose major challenge. GBV prevention and response system requires strong multi-sectoral engagement. Among others, sector offices such as women and children affairs, education, health, agriculture, labour and social affairs, and justice (attorney general, court, and police) are mandated to ensure addressing gender inequality and GBV issues. In addition to the government structure, all actors including international organizations, as allowed in the recently revised CSO legislation, and local development stakeholders are equally responsible to work on gender issues including GBV. Accordingly, despite it is limited to a few types of GBV and in small parts of the country; Ethiopia in general has made progress over the past decades in reducing some GBV cases. For instance, child marriage, with prevalence rates dropping from 59 per cent of females (aged 20-24) married or in union by age 18 in 2005 to 40 per cent in 2015⁷. However, despite macro level commitment and progress being achieved in some components of GBV, the general response towards GBV at national level is still very weak and not to the level of its commitment. Reasons for such less performance are related to implementation capacity especially at frontline implementers' level, coordination among stakeholders, monitoring, evaluation and accountability issues. PSNP implementation woredas are not different from the other part of the country in terms of existing capacity of the system to prevent and specially to respond to GBV. There is gap in the overall capacity of PSNP implementers in terms of understanding and integrating GBV/SEA issues in the program implementation.

The program has incorporated various gender sensitive provisions aimed at addressing the gender specific vulnerabilities of women. These provisions were based on the findings of a contextualized Gender Assessment conducted in 2008 and include provisions that consider

⁷ UNICEF Ethiopia, March 2020 *Child Marriage and Ethiopia's Productive Safety Net Programme: Analysis of Protective Pathways in Amhara Region*

the varying labour capacities of men and women, labour shortage of female headed households, greater time poverty of women, and women's primary responsibility for child-care. It also placed a provision that set the maximum walking distance of PW and payment sites as one measure of reducing women's vulnerability to potential GBV. Moreover, recent evidence suggests that as the program continues to construct more Food Distribution Centers (FDPs) along with the payment modality shift to cash and expansion of e-payment coverage resulted in significant improvement in travel time and distance, and harassment or robbery on women rarely reported⁸.

Apart from this however, there has been gap in PSNP on intentionally exploring whether it has positive or negative results in relation to gender-based violence (GBV) broadly, and particularly concerning the potential risk of Sexual Exploitation and Abuse (SEA) on beneficiaries. According to the overall GBV assessment, the country context shows moderate risk (below the regional average) for intimate partner violence. There is Lower risk on sexual violence and High risk for early marriage and higher than the average for norms that justify wife beating. Specific to the program, the rating is at the lower level of substantial, there is a risk of GBV which is mainly aggravated by limited awareness of beneficiaries and staff. Further to this, a lack of trustable reporting and complaints management system is also identified as a key gap the PSNP5 design needs to fill proactively. There is currently no GBV tracking in the program monitoring plan and there is no formal referral linkage to related services providers and existing service providers have limited capacity. Project beneficiaries' awareness on available GBV response services and how to report cases is low.

In line with staffing capacity, In PSNP a Senior Gender Technical Assistant (TA) based in Ministry of Agriculture FSCD, in collaboration with a senior gender expert of Public Work Coordination Unit oversee the implementation of the program Gender and Social Development (GSD) provisions in collaboration with its regional counterparts. Further to this, Regional Food Security Offices in Oromia, SNNP, Tigray and Somali regions were able to recruit woreda level gender experts. The MoLSA's team responsible for the implementation of PSNP 4 related activities has not included a gender expert. The engagement of the federal and regional level Women and Children Affairs of the two ministries is close to non-existent. It is recommended the coordination is strengthened, focal persons reassigned at all level and capacitated to coordinate and oversee GBV related activities.

For SEASN/PSNP5, a GBV mitigation and response action plan has been developed (see Annex 14), based on the findings of the GBV assessment. The action plan, whose implementation progress will be monitored regularly, includes actions such as:

- Organization of consultative meeting with stakeholders to define the scope of GBV types the program engages on,
- The development of Sexual Exploitation Abuse and Harassment (SEAH) messaging,
- A code of conduct and training package for staff, including communications that challenge social norms and attitudes that justify wife-beating in the program behavioral-change communication package,
- Development and rolling out of a plan for woreda risk assessment, a mitigation plan, referral service mapping, and a potential reporting and referral linkage process.

⁸ Ange Tingbo, Raya Abagodu and et'als (2019): *Evaluation: USAID/Ethiopia Commodity Management Review of the Food for Peace, Development Food Security Activity (DFSA)/Productive Safety net Program (PSNP)*. USAID

Moreover, GBV and SEAH training will be part of the PSNP capacity building core training.

The implementation of the action plan will be led by a multi-sectoral team which will be established by PSNP5. The team will consist of experts from Ministry of Agriculture (MoA) Food Security Coordination Directorate (FSCD), Natural Resource Management (NRM), Women Affairs Directorate (WAD), Ministry of Women and Children Affairs (MoWCA). Ministry of Labour and Social Affairs (MoLSA) will also work closely with MoA in the implementation of the GBV action plan.

2.5 ESS5: Land Acquisition, Restrictions on Land Use and Involuntary Resettlement

ESS5 applies to PSNP5 in respect of minor land acquisition or loss of access to resources arising from the construction of subprojects such as small dams, community roads, and social infrastructure. Due to the limited management capacity at kebele level, and the large scale of the PW program, subprojects involving involuntary loss of assets or access to resources in any form, or any form of resettlement, will be prohibited under PSNP5, and will be eliminated at PW ESMF Screening stage.

It is, however, possible that some of the micro- and small-scale subprojects could potentially involve minor loss of land or other assets, in which case such loss will be permitted only on the basis that the donation is voluntary, and limited to a maximum of 10% of a HH's total asset-holding will not reduce the donor's remaining land area below that required to maintain the donor's livelihood at current levels. For this purpose, there is a Voluntary Land Donation Procedure (VLD) in this ESMF (Annex 18), to ensure that:

- The donor or donors have been appropriately informed and consulted about the subproject and the choices available to them;
- Potential donors are aware that refusal is an option, and have confirmed in writing their willingness to proceed with the donation;
- The amount of land being donated is minor, does not exceed 10% of the donor's landholding, and will not reduce the donor's remaining land area below that required to maintain the donor's livelihood at current levels;
- No household relocation is involved;
- The donor is expected to benefit directly from the project;
- For community or collective land, donation can occur only with the consent of individual using or occupying the land.

It is emphasized that any PW subproject requiring land donation will follow the VLD procedure; this may be accompanied by provisions of benefits, including compensation in cash and kind, as agreed on with the donating asset owner/s. In accordance with the VLD, the subproject implementer will document in writing the voluntary decision of donation, stating explicitly that the land/asset donor is aware that he or she can refuse to donate the land and that the land donation is minor so that it does not impact the households ability to continue their livelihoods and does not lead to adverse impacts on their income situation. The Second Phase ESAC finding showed that in the consulted woredas, informants unanimously revealed that there were no involuntary land take, assets loss or loss of access due to PSNP sub-projects related to PW and LH strengthening.

It is also stressed that considering that PSNP5 does not allow involuntary land or asset acquisition in any form, any involuntary land or other asset as well as access loss is ruled out. If this approach were to change in the future, clearance would be sought from the World

Bank, in which case the procedure would include the preparation of a Resettlement Framework (RF) in line with requirements of ESS5.

2.6 ESS6: Biodiversity Conservation and Sustainable Management of Living Natural Resources

The PW ESMF Eligibility Check is designed to eliminate all PW subprojects within, or that could affect, sites where ESS6 would be relevant. In addition, the ESMF subproject-related risk assessment and mitigating measures procedure that follows is designed to further ensure that any biodiversity impacts are avoided or minimized and mitigating measures are implemented as appropriate. Based on the experience of the Livelihoods component in the previous phases of the PSNP, the environmental and social risks of the micro-activities of the household-level Livelihoods sub-component arise principally from the potential cumulative effects of large numbers of households in the same kebele or woreda all undertaking the same

activities. These environmental risks are related to impacts such as (i) degradation caused by overgrazing resulting from animal-fattening; (ii) loss of endemic tree species due to tree-cutting for the manufacture of furniture or artefacts; (iii) pollution from poultry keeping using drugs or chemicals; (iv) deforestation and reduction in local energy sources due to trading in fuelwood, poles or charcoal; (v) deforestation due to a reduction in energy resources resulting from the processing of agricultural residues for animal feed production. Similarly, the LH ESMF procedure is designed to eliminate at woreda level any LH activities which, if conducted at scale, could otherwise have biodiversity impacts. In addition, the Environmental and social monitoring includes both PW and LH 6-monthly reviews to further ensure that the requirements of ESS6 are maintained.

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

It has been determined that some of the people resident in the Project areas meets the criteria of ESS7. In mid-2018, based on the assumption that all PSNP 4 woredas in Afar and Somali regions are regarded as meeting the Bank safeguards category ‘indigenous peoples’, it was estimated that 2.5 million of PSNP beneficiaries, represented by an estimated 0.5 million households, fell into that category.

The program conducted Enhanced Social Assessment and Consultation (ESAC) to address well the issues of underserved and vulnerable communities. The PSNP5 ESAC has two phases. The first phase presents the findings of the studies and consultations conducted before and during PSNP4 and explain how they have been integrated in the design of PSNP5. The second phase of the ESAC was conducted between October to November 2020 considering the Covid-19 Pandemic into account. The community consultations and KII were undertaken with specific vulnerable and underserved groups in the selected new and old woredas particularly those new to the PSNP, in order to develop any community-specific or area-specific adjustments in Project design or implementation and update of instruments that may be required in order to ensure that the project fully responds to those community needs.

For Phase I assessment, findings of studies, which looked at the impact of interventions of both PSNP IV and rural safety net projects on the most vulnerable and historically underserved populations were reviewed and analyzed. Moreover, as part of the program’s and GBV risk assessment exercises and ESAC second Phase, extensive community consultations with vulnerable and underserved groups were conducted, and discussions were made with

woreda, regional and federal level stakeholders including development partners. As the result, women in male headed and female-headed households, polygamous households, pastoralist households, unemployed rural youth, labour-poor households, the elderly, pregnant and lactating mothers and malnourished children, were identified as the most vulnerable and historically underserved populations in relation to the project's implementation.

The first and second phases of PSNP5 ESAC identified potential risks on historically underserved communities (pastoral communities) and vulnerable people that include the following prioritized as the key ones,

- Limited access to Muslim friendly financial services: Muslim clients are not accessing loans due to the interest, which is considered as a breach of religious norms or 'haram', and given residents in pastoral regions are predominantly Muslim, the challenge is more pronounced in pastoral areas;
- Exacerbated Workload of Women especially in pastoral areas: women in pastoral areas are forced to cover for all PSNP PW requirements of the household particularly during dry season. This further adds to an already heavy workload on women;
- Remote nature of pastoralist communities and limited access to social services: clients in most of the pastoral woredas might not benefit out of the project's effort to link them with key social services given there are extreme supply side constraint in availability of these services;
- Exclusion of newcomers in Afar and Somali who may not belong to the extended family lineage or even the clan which controls the territory: residents or newcomers who do not belong to the extended family, lineage or even the clan which controls the territory are often not targeted for a project; and
- Increased unmet demand in pastoral areas for livelihoods support services: communities and implementers in Somali and Afar regions considered the fact that the project has not started the implementation of its LH output as unfair.
- The food transfer is not culturally appropriate for clients in pastoral areas of Afar and Somali regions with preference to the payment in cash because the kinds of grain provided are not appropriate to their food habits.
- Food and consumption gap is increased household negative coping strategies and asset depletion
- Mismanagement or misuse of transfers may lead to disagreements and conflicts between husband and wife
- Exclusion during targeting. The previous phases of the PSNP targeting criterion exclude landless unemployed rural youths and new residents to woredas for the PSNP services in general and livelihood support in particular. In polygamous households, culturally, husband represents all wives with the risk of excluding wives.
- The distance of the payment or food distribution center is inaccessible for elderly-headed households, people with disability, PLWHA, and labor-poor households
- Health and safety of pregnant woman. In some woredas, it is revealed that culturally women don't disclose their pregnancy for non-family members until they are sure of it, i.e. when they are 4-5 months pregnant. Participation of these women in PWs could have health and safety issues for them and the fetus.
- Elite captures that may be clan leaders, elders or loudspeaker/orator community members, leaders of informal local institutions and people with relatively better economic status might be sources of unfair targeting outcomes.

In order to address these and other social issues identified by the ESAC, the project integrated measures such as a plan to work with financial service providers to develop Muslim friendly financial services, align the PW implementation with non-migration season, contribute to the improvement of social services in pastoral areas by constructing/renovating structures which provides social services using PW labour, improving accountability and capacity in pastoral areas for implementing the project's targeting criteria, and the project will roll out its livelihood strengthening output in the pastoral regions by contextualizing it to the need and realities of the area. In polygamous household, there is a need to consider the chance of targeting as per co-wives than a husband. The mainstreaming of gender in all the components of the PSNP5 has potential social benefit to scale-up women empowerment.

2.8 ESS8: Cultural Heritage

Since the PW sub-component of PSNP5 can involve excavations, movement of earth, flooding or other changes in the physical environment, ESS8 applies to the project.

Having a very ancient civilization that has remained in more or less the same geographic area throughout, Ethiopia is exceptionally rich in tangible cultural heritage, particularly in the form of both natural and human-made religious sites (such as Christian holy waters and Moslem tombs) and undocumented as well as documented sites of historical, architectural and archeological importance. There is thus a risk of PW subprojects involving earth-moving (such as dam construction, quarrying and small-scale irrigation subprojects) encountering, disturbing and possibly destroying, cultural heritage.

These risks to cultural heritage will be addressed by the project as follows:

- Subprojects likely to be implemented within, or in the vicinity of, a known cultural heritage site will be eliminated in the PW ESMF Screening process. The DA will assess whether the subproject is sufficiently close to affect the cultural site, as part of the ESMF Screening process.
- Unexpected encounters with cultural heritage during subproject implementation will be addressed by a Cultural Heritage Chance-Finds Procedure requiring the DA to take up the matter with the woreda Office of Tourism & Culture, the procedure depending on the nature of the find. The Cultural Heritage Chance-Finds Procedure forms part of this ESMF and is attached in Annex 4.

2.9 ESS9: Financial Intermediaries

No financial intermediaries will feature in PSNP5.

2.10 ESS10: Stakeholder Engagement and Information Disclosure

There are basically two types of stakeholders concerned with the project:

- Project-affected parties: principally the communities targeted as PSNP-beneficiary communities that include vulnerable groups;
- Other interested parties: these include neighbouring communities (whether beneficiaries or non-beneficiaries), concerned government staff (federal and local), NGOs involved in PSNP implementation support, and Development Partners supporting the project.

A Stakeholder Engagement Plan (SEP) has been developed (Annex 16), in accordance with the provisions of ESS10. It may be summarized as follows:

The SEP of PSNP5 aims to establish a systematic approach to stakeholder engagement to enable PSNP5 project implementers to identify stakeholders and build and maintain a constructive relationship with them, in particular project-affected parties (that is, beneficiaries and front-line implementers) and disadvantaged and vulnerable groups. PSNP is already a highly interactive program, and beneficiaries have frequent opportunities to interact face to face with program implementers (for example, during PWs, SBCC consultations, livelihood consultations, and transfer pickups). However, taking into account the large-scale directly affected population (approximately 8 million), and the fact that the project will extend support to ‘new’, currently excluded, woredas as well as re-allocate the caseload geographically, the SEP aims to capture the views of sample communities in: (i) Existing PSNP-supported woredas where no significant caseload changes are planned; (ii) Existing PSNP-supported woredas where caseload re-allocation is planned; (iii) ‘New’, currently excluded woredas in PSNP regions where the PSNP will be introduced for the first time. The SEP also:

- Identifies the necessary activities that must take place to ensure that appropriate project information on environmental and social risks and impacts is disclosed to stakeholders in a timely, understandable, accessible, and appropriate manner and format.
- Defines the roles and responsibilities necessary for the implementation of the SEP, as well as the monitoring and reporting measures to ensure its effectiveness.
- Outlines the structure of the project’s GRM, and proposes certain changes to better ensure that project-affected parties have an accessible and inclusive means to raise issues and grievances, and project implementers can respond to and manage such grievances while availing information about the GRM to the full range of project stakeholders.

3. Institutional Arrangements for Environmental and Social Risk Management

3.1 Institutional Arrangements and Coordination

The implementation of the PSNP5ESMF will be managed through the relevant institutional arrangements and co-ordinations including various line ministries, bureaus, departments and offices, taskforces and committees from federal to kebele levels. Implementation of the ESMF, like any other Project task, will be performed by assigning specific tasks for specific organizations, taskforces/committee or in coordination with others as indicated below. Therefore, every organization, taskforce and/or committee at all levels will perform its tasks according to the mandates given to ensure the effective implementation of ESMF, maximizing transparency, legal conformity, efficiency and accountability and enhance sustainability of PW subprojects, LH Activities and other tasks and activities implemented by PSNP5.

The DA prepares the ESMF Screening Forms, which are reviewed and approved by the woreda. Details are set out in Section 7.2, including Fig. 1 flowchart. The ESMP format is part of the Screening Forms, as set out in 7.2.5 and Annex 20. The approval process is shown in the flowchart EHS training is conducted by staff of the NRMD in collaboration with MoH and MoLSA. Implemented PW subprojects are overseen as covered in PART IV, Monitoring and Reporting; woreda staff will conduct on-site inspections. Health posts are operated by the

Ministry of Health, and schools by the Ministry of Education. The budgets for this are covered by the sector ministry concerned.

The importance of implementing the PSNP5ESMF through institutions, taskforces, and/or committees at all levels with their assigned tasks is to ensure the effective implementation of the PSNP5ESMF, and enhances sustainability of projects implemented by the program. It also helps to maximize, environmental and social compliance, efficiency, transparency and accountability.

3.2 Federal Level

3.2.1 Ministry of Agriculture

The Ministry of Agriculture (MoA) as the principal implementing institution for PSNP5 plays a critical role in implementation of this ESMF through direct oversight and coordination. It provides the important technical backstopping to regions and monitors the actual implementation of ESMF compliance, in coordination with regional, zone and woreda level organs. The MoA also coordinates with other line ministries (MoLSA, MoH and others) on implementation of Environmental and Social standards implemented by these ministries. The MoA will implement ESMF compliance mainly through its directorates and coordination unit as indicated below:

- FFSCD coordinates and facilitates the ESMF implementation of both PWs and LHs ESMF.
- The FSCD social development unit will be responsible for coordinating and overseeing the planning, implementation and monitoring of the social management instruments (that include Gender Action Plan, ESAC Social Development Action Plan, Grievance Redress Mechanisms (GRM), SEP) and works in close collaboration with Women, Children and Youth Affairs Directorate of MoA, MoLSA, and Natural Resources Management Directorate (NRMD) to address social issues. They will monitor and ensure compliance with the ESF, the Financing Agreement, and the ESCP.
- FNRMD-PWCU provides overall coordination with specific tasks including dissemination of standards, capacity development, planning, monitoring and reporting of the implementation of PW ESMF in the regions.
- FFSCD-LHCUU provides over all coordination with specific tasks including dissemination of standards, capacity development, planning, monitoring and reporting of the implementation of the LH ESMF in the regions.

3.2.2 Ministry of Labour and Social Affairs (MoLSA)

MOLSA has a mandate to support vulnerable members of society including Permanent Direct Support (PDS) beneficiaries and will play an increasing role in ensuring that labor and social standards for the project are adhered to. This will entail assessing and providing technical support to address the social and occupational health and safety related risks of the project, documenting due diligence during project implementation and taking appropriate measures to mitigate these risks. Specifically, MoLSA will undertake labor inspections at PW sites with a special focus on identifying and documenting any child labor cases, perform case management of families with children at risk of child labor, encourage and assist these children to enroll in school, support the monitoring and reporting of any incidents of GBV in relation to the PSNP and implementation of light work and flexible work provisions for

women. MoLSA will also monitor and report on the implementation of occupational health and safety standards. It will further support the strengthening of capacity in its lower level organs (BoLSA and OLSA) to effectively implement the required ESMF compliance on the ground. MoLSA will also coordinate with other ministries (MoA and MoH) for effective and timely implementation of environment and social risk management. MoLSA will increase its staff capacity at all levels as set out in Section 1.1 of the ESCP. As the concerned staffs are civil servants, they will be paid by government. There is a Memorandum of Understanding between the Ministry of Finance, MoA, and MoLSA covering these arrangements. The Project provides the budget for all ESMF training.

3.2.3 Ministry of Health

This Ministry of Health is responsible for ensuring the effective implementation of health-related safeguards such as the Medical Waste Management guideline and Community Health and Safety (CHS). The ministry in consultation with MoA and MoLSA will also provide the important technical and material supports to the lower level administration bureaus and offices to ensure that health workers at grassroots level effectively implement the health-related risk management procedures. This is facilitated by participation and coordination in the inter-sectoral PSNP Technical Committees at federal, regional, zonal and woreda levels. At kebele level there are Community Health Workers who work closely with the DAs.

3.3 Regional Level

The Regional Bureau of Agriculture and Natural Resource Development (BoARD), Bureau of Environment, Forest and Climate Change Commission (BEFCC) and Bureau of Labour and Social Affairs (BoLSA), play critical roles in effective and timely implementation of ESMF compliance. Among other things, regional bureaus are responsible for providing technical supports and capacity building to zones and woreda level staffs. Regional bureaus in coordination with the federal ministries are also responsible for channeling the important material and financial resources needed for ESMF compliance. More specifically regional level bureaus have the following roles in ESMF implementation:

- BoARD/RNRM involved through the regional PSNP-PW focal unit provides overall coordination with specific tasks including:
 - Dissemination of standards, capacity development, planning, monitoring and reporting of the implementation of PWs-ESMF in the program woredas.
 - RPSNP-PWFU consolidates plans and mobilizes TA from line offices, as required, that oversee the ESIA process of woredas and notify those projects that require special attention.
 - Coordinate with other relevant regional bureaus (BEFCC, BoLSA, BoH, etc) for effective and timely implementation of pertinent ES standards.
- BoARD/FSCD/extension directorate involved through the regional LHs focal unit in the overall coordination of the LHs ESMF with specific tasks including:

- The regional Food security coordination bureaus/process/directorate will maintain exiting eight Gender and social development specialist in eight (8) existing regions and will assign one (1) in the new Sidama region who will be responsible for regional level coordination and oversight of social risk related issues including implementation of the Gender Action Plan, ESAC Social Development Action Plan, Grievance Redress Mechanisms (GRM), SEP, and will collaborate with WCYAD of MoA and provide technical support for the implementation of Gender Based Violence (GBV) action plan.
- Dissemination of standards, capacity development, planning, monitoring and reporting of the implementation of LHs-ESMF in the program woredas.
- RPSNP-LHFU consolidates plans and mobilizes TA from line offices, as required, that oversee the LHs ESMF compliance.
- BoEPA/BEFCC/EFCCC or equivalent:
 - Ensures the implementation of the ESMF following the ESMF guideline;
 - Pass decisions to woredas as to whether PW subprojects notified as “Requiring Special Attention” requires an ESIA,
 - Provides guidance and reviews of woreda ESIA reports.
- The Regional Bureaus of Health (BoH): Provide the important technical and material supports to PSNP woredas in which health related safeguards like Medical Waste Management Guidelines and CHS are triggered. BoH works in co-ordination with BoARD and BoLSA for effective and timely management of health-related risks.

3.4 Woreda Level

- The Woreda NRM directorate/WPSNP-PW Focal Unit is responsible for the implementation of the PWESMF in program kebeles, in coordination with stakeholder offices who are represented by the woreda PW Technical Committee (WPWTC).It also coordinates with other relevant woreda offices (WoEPA, OLSA, health office, etc.) for effective and timely implementation of pertinent Environmental & Social standards.
- The WOA oversees implementation of PWs-ESMF including:
 - Ensuring that all PW subprojects implemented comply with the ESMF standards.
 - Reporting to the RBECC/EPA all planned PW subprojects earmarked “Requiring Special Attention” by WPWTC.
- **WoEPLAU** follows up & ensures that the implementation of the PW subprojects complies with the PW ESMF procedure.
- Similarly, the woreda extension directorate/ WPSNP LH focal unit in collaboration with the woreda PWs focal unit is responsible for the implementation of the LH ESMF in the PSNP kebeles.

- The Woreda Office of Agriculture will maintain existing 160 Gender and Social Development specialist in existing woredas and will assign a specialist/focal person for those new as well old woredas don't have a focal person from Women Children and Youth desk of the bureau with clear job description. Those existing GSD specialists and assigned focal persons will be responsible for regional level coordination and oversight of social risk related issues including implementation of the Gender Action Plan, ESAC Social Development Action Plan, Grievance Redress Mechanisms (GRM), SEP Action Plan, and will collaborate with WCYAD of MoA and provide technical support for the implementation of Gender Based Violence (GBV) action plan in their respective woredas
- **The woreda OLSA** will ensure compliance and monitoring of issues such as child labour, GBV, OHS, impacts of PW on school attendance, excessive or untimely workloads, and adequacy of the Grievance Redress Mechanism (GRM).
- **Woreda Health Office:** Will ensure that PSNP subprojects that involve health-related risks will be implemented in accordance with the ESMF. In liaising with BoH, the woreda health office will provide the important safety equipments and facilities to health stations, health posts and Health Extension Workers (HEW).

3.5 Kebele Level

- The Community Watershed Team are engaged in checking, identification, design and implementation of projects following ESMF procedures, with the support of the DA.
- KFTFC follow up and supervise implementation of the PW ESMF and LH ESMF procedures.
- NRM DAs with support of the extension DAs are responsible to ensure the implementation of the ESMF.
- DAs, in collaboration with Social Workers stationed at Woreda level, address social issues such as child labour, GRM, excessive workloads issues of the program etc.

3.6 Staffing Plan

The Table below sets out the existing staff involved in implementation of Environmental and Social safeguards under PSNP4, together with the requirements to implement the new ESF under PSNP5.

Table 1. Staffing Plan for PSNP5, based on 8 regions, 55 zones, 380 woredas and 6,425 kebeles

Staff	Existing No. of staff in PSNP 4	Additional staff needs for PSNP5	Total Staff Required for PSNP5	Staffing arrangement, contract staff to be hired for the project or government assigned
1.Federal level				* There will be the Social Development unit under FSCD to coordinate all social Development plan/ESAC, gender, GBV, GRM, SEP related commitments
FSCD Senior Social Development /risk and nutrition coordinator	1	0	1	FSCD will maintain the existing specialist/coordinator
FSCD Social risk focal person	0	1	1	FSCD will assign the social risk specialist /focal person
FSCD GBV specialist	0	1	1	FSCD will assign GBV focal

Staff	Existing No. of staff in PSNP 4	Additional staff needs for PSNP5	Total Staff Required for PSNP5	Staffing arrangement, contract staff to be hired for the project or government assigned
				person
FSCD GRM specialist	1	0	1	FSCD will maintain the existing one
NRMD/PWCU (environmental risk specialists)	3	0	3	NRMD will maintain existing 3 specialists
NRM Social risk specialists	1	0	1	NRM will maintain existing specialist
Gender and GBV specialist /focal person	0	1	1	WCYAD will assign GBV expert/focal person
LHs ESMF focal person	1	0	1	FSCD will maintain LH ESMF focal person
MoLSA Social Affairs Directorate- social specialists	2	0	2	MoLSA will maintain existing 2 experts
MoLSA Harmonious Industrial relation directorate- labour specialist focal person	0	1	1	MoLSA will assign the Labour specialist/ focal person
2.Regional level				
PWUFU ESMF specialists	8	1	9	Will maintain existing specialist in 8 old regions and will assign one (1) in the new Sidama region
FSO GSD specialists	8	1	9	FSCD will maintain existing specialist in 8 old regions and will assign one (1) in the new Sidama region.
WCYA desk Gender specialist /focal person for GBV	0	9	9	BoA WCYA desk will assign Gender specialist/focal person for GBV
LUFU LHs ESMF specialist	8	1	9	RLICU will maintain existing focal persons in 8 old regions and will assign one (1) in the new Sidama region.
BoLSA under Social Affairs desk: social workers/risk specialists or focal persons	8	1	9	BoLSA Will maintain existing specialist in 8 old regions and will assign one (1) in the new Sidama region.
BoLSA under Harmonious Industrial desk, labour specialist focal persons	0	9	9	BoLSA will assign a labour specialist/focal person for each region
3. Zonal level				
ESMF and social risk specialists (NRMD focal)	55	0	55	ZFSO will assign focal persons
4.Woreda level				
PWs focal persons ESMF specialists	380	0	380	WoA will maintain existing focal persons
LHs ESMF focal persons	220	160	380	WoA will maintain existing focal persons in LH implementing woredas and will assign focal persons in new woredas
Gender and Social Development specialist/focal person	160	220	380	* one in each woreda WoA will maintain 160 specialists in existing woredas and will assign specialists/focal persons in new and old woredas without GSD experts.
GBV specialist/focal person	0	380	380	* One in each woreda. They will work closely with woreda WCYA office, PSNP GSD expert and

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Staff	Existing No. of staff in PSNP 4	Additional staff needs for PSNP5	Total Staff Required for PSNP5	Staffing arrangement, contract staff to be hired for the project or government assigned
				MoLSA WoA WCYA desk will assign specialist/focal person
Social Affairs and Labour specialist /focal person	380	0	380	WoLSA will maintain/assign a specialist/focal person. NRM will maintain assigned focal person for OHS.
NRM/Crop and Livestock DAs	6,425	0	6,425	Kebele Office of agriculture will assign NRM, Crop and Livestock Das for LH ESMF. They will also manage the social risk component as well. Kebele Office of Agriculture will assign NRM DA for PW ESMF. They will also manage the social risk component as well.
Total	7,652	782	8,434	

PART II: PUBLIC WORKS ESMF

4. PW Background

The major causes of food insecurity in Ethiopia include land degradation, recurrent drought, population pressure, and subsistence agricultural practices characterized by low input and low output. The Government policy of community-based participatory watershed/rangeland development is designed to address some of these issues, with a view to making the watershed productive and able to sustain the livelihoods of households within the watershed. The programme of community-based participatory watershed/rangeland development is achieved by the implementation of an annual PW programme consisting of discrete PW subprojects. Although the subprojects are aimed at enhancing the environment and social conditions by increasing the productive capacity of the natural resource base, PW sometimes also have the potential for adverse environmental impacts on human populations or the biophysical environment, particularly if their location and design do not follow good environmental practices.

The procedures set out in this section of the ESMF are designed to identify and mitigate such potential impacts, and to build on the experience of the implementation of the PSNP4 ESMF.

5. PW Programme Description

5.1 Public Works Subprojects: Eligibility Criteria

PSNP5 PW subprojects are labour-intensive, community-based activities designed to contribute to watershed and rangelands development, and to respond to the needs of Ethiopia's Climate Change, Disaster Risk Management and Nutrition policies. The number of subprojects is typically 40,000 to 46,000 per year. The number is not fixed or planned in advance. It depends on the community choices, and how much PW labour is available. A community might choose for example, 4 very small projects, or 2 larger projects. Recent years under PSNP4 indicate that a typical range of subprojects would be as shown in the Table below.

Table 2. Approximate Pattern of PW Subprojects in a typical year of PSNP4

Type of sub project	Approx. No of subprojects	Total person-days (Million)	Average subproject labour cost (\$) = Person-days per subproject x wage rate/exchange rate
Biophysical soil and water conservation	17,000	50.1	\$ 3,500
Forestry and agro forestry	6,000	19.1	\$ 3,820
Water subprojects	4,000	11.3	\$ 3,390
Small scale irrigation new	4,000	4.8	\$1,440
Small scale irrigation rehabilitation	2,500	1.5	\$ 720
Rural roads construction new	4,000	13.2	\$ 3,960
Rural road rehabilitation	3,000	2.9	\$ 1,160
Social infrastructure construction	2,000	2.2	\$ 1,320
Total	42,500	105.1	\$ 2,940

As can be seen, the subprojects typically average from \$700 to more than \$3,000, depending on the size of the labour force. In addition, there is a non-labour component, typically

covering the cost of tools, but sometimes also paying for a foreman, or consumables such as sand or cement. The non-labour and PW administration costs, is typically on average less than 20% of the labour cost, but it can vary widely.

To be eligible for financing under the PSNP, the subprojects must be environmentally sound and socially sustainable. They should be based on sound technical advice, and adequate technical supervision should be available to ensure the quality of work.

Specifically, the PW subprojects are also required to meet the following criteria:

- *Labour intensity*: Subprojects activities must be labour-intensive and use simple tools as much as possible.
- *Community and household level benefits*: The subprojects must benefit the community as whole or groups of PSNP beneficiary households within a given area.
- *Community and PSNP household acceptance*: The subprojects must be accepted and approved by the community and the targeted households. They should have active community support and commitment.
- *Feasibility and sustainability*: The subprojects must be technically sound, socially acceptable and economically feasible. They should be simple and manageable in implementation and also in on-going maintenance in order to be sustainable.
- *Productive*: The subprojects should create durable community assets which should contribute to watershed development and to the reduction of poverty and food insecurity.
- *Gender sensitivity*: Priority should be given to subprojects that are assigned to enable women to participate and which contribute to reducing women's regular work burden and increase access to productive assets.

5.2 Planned Location of Subprojects

Subprojects will be implemented in rural areas, within the identified regions/woredas and watersheds. In highland cropping areas they are expected to be within one hour from homes of the intended beneficiaries, or less in areas of steep or difficult terrain. In pastoral areas, subprojects will be organized at strategic locations such as nearby villages or range lands to which families can move or send selected able-bodied members.

5.3 Climate-Smart Subprojects

Climate Smart Planning (CSP) is part and parcel of an integrated climate risk management system that combines climate change, disaster risk reduction and ecosystem management and restoration. It entails considering and addressing risks associated with disasters and climate change in assessment, planning, implementation, monitoring and evaluation of watershed and rangeland management actions to properly deal with people's vulnerability to climate change related shocks such as drought, floods, erratic rainfall, human and animal disease, etc.

In the context of PSNP, CSP involves the identification and prioritization of PW and livelihoods activities that help clients at reducing the impact of weather-related hazards on their high value resources and/or increasing the quality or availability of resources to render

them less sensitive to climate impacts. Thus, CSP emerged in PSNP to achieve three key inter-related objectives in the face of climate change (CC). These are⁹:

- Maximizing the contribution of PSNP investments in terms of reducing people's vulnerability to climate change; reducing client's exposure and sensitive to climate change and focusing on activities that increase their adaptive capacity
- Increasing the resilience and sustainability of PSNP watershed development investments in relation to climate change, and
- Wherever possible, contribute to climate change mitigation.

This approach entails prioritization and implementation of PW activities that reduce client's exposure and sensitivity, and at the same time increase their adaptive capacity to CC shocks. It needs to be integrated with livelihoods interventions designed following analysis of CC risk management to maximize outcome of investments to build resiliency of clients and their environment.

CSP therefore requires the application of integrated approaches, bringing together watershed management interventions with livelihoods options to maximize impacts of PWs & Livelihoods investments. This principle is integrated into the *National Community-Based Participatory Watershed & Rangeland Guideline*. This Guideline is mandatory for all programmes and projects undertaking this kind of work, including non-PSNP programs.

5.4 Types of Subproject

The selection of activities to be undertaken under the PW component will be driven by the local planning process, which will include inputs from both men and women as well as representatives from vulnerable groups, in order to identify community and PSNP households' needs and prioritise activities based on those needs. This will allow a pipeline of subprojects to be developed.

Priorities, desirable outcomes and connected activities will vary based on location. Table 1 below sets out examples of the types of subproject that may be implemented in settled mixed farming areas, together with typical outputs and outcomes.

Table 3. Examples of PW Subprojects and Expected Outputs and Outcomes

Typical Subprojects (Examples)	Expected Outputs (Examples)	Expected Outcomes (Examples)
Biophysical soil and water conservation Forestry and agro forestry	Improved land productivity Increased land availability for land-poor and landless soil fertility restoration	Improved crop production, crop yields and livelihoods
Water, small scale irrigation sub projects	Improved access to drinking and irrigation water	Improved crop production and livelihoods Improved health, improved food production and livelihoods
Vegetative fencing and fodderbelts Conservation measures Fodder seed collection	Increased availability of fodder,	Improved crop production, livestock management and livelihoods

⁹ These objectives are briefly discussed in the revised CBPW&RDG

Typical Subprojects (Examples)	Expected Outputs (Examples)	Expected Outcomes (Examples)
Social infrastructure construction and rehabilitation	Improved school and health facilities	Improved health and education
.	Improved access to health, education and farmer training services and to markets	Improved health, education, marketing of on-farm and off-farm products, and livelihoods
Rural roads construction and rehabilitation	Improved access to roads	Market stimulation
Nutrition sensitive PWs	Improved access to child-care facilities	Improved mother and childcare, health and safety

PW clients will be given an option to substitute participation in social service ('soft conditionality') programmes as a substitute for part or all of their PW labour-days. These will cover options such as the following:

Table 4. Examples of Soft Conditionalities that can be undertaken as an alternative to PW labour-days

Typical Services	Expected Outputs (Examples)	Expected Outcomes (Examples)
Nutrition classes	Improved knowledge of nutrition	Improved nutrition status of community members
Ante-natal classes	Improved knowledge of ante-natal care	Improved health status of mother and child
Behavioral Change Communication classes	Improved knowledge of use and benefits of latrines, and of the use of health facilities	Improved community health and nutrition status

Through the PW community-based planning procedure, the PW subprojects automatically reflect local needs. Thus, the subprojects implemented will depend on the condition of the natural resource base, local infrastructure, agro-climatic setting, livelihood types, etc.

5.5 Subprojects in Pastoralist Areas

In lowland pastoral and semi-pastoral areas, the PW community planning unit will be the clan or sub-clan/community rangeland, rather than the community watershed or micro-watershed. The emphasis will generally be on interventions that reduce risk and increase the resilience of communities to shocks, such as:

- Development of water points for both human and/or livestock drinking and irrigation purposes (using both traditional and innovative methods);
- Reclamation and rehabilitation of grazing areas and creation of grazing reserves through improved water harvesting and conservation-based activities (rainfall multiplier systems for improved pastures, agro-pastoralist systems, irrigation, etc.);
- Agro-forestry systems in grazing reserves to improve aerial pasture and multipurpose species, and access to fruits, dyes and gums;
- Other initiatives related to livestock trade and livestock health;
- Development of sustained agro-pastoral systems through rehabilitation of crusted and desertified areas (use of run-off/run-on systems integrated with dry-land conservation measures);
- Windbreaks and fodder belts in protected areas; and
- Construction of social infrastructure

5.6 PW Community Planning Process

Kebele and Community Development Plans will form the basis for all PSNP PW interventions. PW plans will be developed by the communities following the participatory planning procedures set out in the *National Community-Based Participatory Watershed & Rangeland Guideline*.

This planning process ensures that the prior consultation with all subproject-affected persons is followed as required by the World Bank's Environment and Social Framework (ESF) (ESS10) for all subprojects, as follows:

- (a) *The community endorses its Community Food Security Task Force Committee (CFSTF).* Each community reviews, and is invited to endorse in a general assembly, the membership of the CFSTF, which is elected by the community in the first year of programme operation. This committee is composed of a representative from the Kebele Food Security Task Force (KFSTF); a DA (if available in the village); two or three women's representatives (elected); two or three men's representatives (elected); a youth representative (elected); and an elder's representative (elected).
- (b) *The CFSTF prepares a list of community needs and priorities.* The CFSTF benefits from the technical support of DAs from different fields/specialization at the kebele level, to identify and formulate the list of needs and priorities. Once this list is prepared, it is transmitted to the KFSTF.
- (c) *The KFSTF prepares a kebele safety net/development plan.* The KFSTF consolidates all lists of needs and priorities prepared by the CFSTF which are part of the kebele, and prepare a Kebele Safety Net Plan (KSNP). This plan will identify and specify which activities within the development plan will be undertaken under the Safety Net Programme. It should pay particular attention, where relevant, to incorporating management and rehabilitation of the watershed as a key activity for promoting long-term food security. This means that the plan should properly sequence activities in a way that ensures that watershed management concerns are addressed as an integral part of ensuring sustainability of the assets created.
- (d) *If a Kebele Development Plan has already been developed.* A number of kebeles may already have developed a development plan through the same process as described in (a) to (c). In such cases, the Kebele Development Plan will be adapted to integrate new needs and priorities identified by the CFSTF, taking into account the input of men and women, youth and elderly and other vulnerable groups, and will specify which activities within the development plan will be undertaken under the Safety Net Programme.
- (e) *Presentation to the Communities.* Once the Kebele Development Plan has been established, it will be presented to a general meeting of all communities in the kebele for review and endorsement by these communities.

The PW component of the kebele development plan will be dispatched to the kebele Council/ Cabinet for approval, and on up to woreda level, where the plans from all the kebeles will be consolidated and, after approval, sent to the Regional level.

After approval of the planned activities/subprojects for any one year, ESMF Screening of the PW subprojects must be conducted by the DA with the support of woreda ESMF expert and experts from relevant line offices of the woreda to identify possible impacts and to prepare mitigation plans.

The following subprojects are ineligible in PSNP5:

Table 5. Subprojects Ineligible as PSNP PW

Ineligible Features	Yes	No
Subproject is not labour-intensive		
Subproject is in, or adjacent to, an internationally disputed area*		
Subproject involving the physical relocation of individuals or households, involuntary loss of land or any other asset or access to asset		
Subproject is in, or in the vicinity of, a known cultural heritage site, including World Heritage sites		
Subproject incorporates construction of a Large Dam, i.e., with a height of 15 metres or greater from the lowest foundation to crest, or with a height between 5 and 10 metres impounding more than 3 million cubic metres (See Annex 3 for a detailed definition of 'height').		
Subproject incorporates construction of a Small Dam (i.e. not a Large dam, above) that <ul style="list-style-type: none"> (i) could cause safety risks, such as: <ul style="list-style-type: none"> a. an unusually large flood-handling requirement b. location in a zone of high seismicity, c. foundations that are complex and difficult to prepare d. retention of toxic materials e. potential for significant downstream impacts (ii) is expected to become a large dam during its operating life. 		
Subproject is located in, or could affect, a Priority Forest Area, or habitat of significant biodiversity value, or natural habitat, or critical habitat, or legally protected area of recognised biodiversity value		
Subproject involves the procurement of pesticides by PSNP5, or by the local government		

5.7 Analysis of Alternatives

The ESMF is required to assess options for achieving the programme purpose. There are a number of alternative strategies which the Government could adopt:

(a) No Safety Net Programme

Poverty has long been widespread in both rural and urban areas of Ethiopia, and is particularly severe in drought-prone rural areas. Before the introduction of the PSNP millions of Ethiopian required food aid. Given that the major causes of food insecurity include land degradation, population pressure and subsistence agricultural practices, and that a significant proportion of the vulnerable people are in a state of chronic food insecurity, to opt for no Safety Net programme would mean reverting back to emergency relief coordinated by the Early Warning and Response Directorate (EWRD), and implemented on an ad hoc basis. While this strategy may enable the beneficiaries to survive in the short-term, it would fail to:

- (a) address the cumulative impacts of these factors in drought-prone areas in a systematic manner; or
- (b) Execute PW in a comprehensive manner, incorporating capital and other non-labour costs, which can be provided for only in a systematic, annual programme.

By allowing widespread chronic food insecurity to persist, the resultant downward spiral of environmental degradation would continue, and by failing to institute satisfactory public works, the opportunity to correct this vicious cycle would be lost. Thus, from an environmental, as well as socio-economic and humanitarian viewpoint, the ‘no Safety Net’ alternative would not be preferable.

(b) Safety Net Provision with Centrally-Planned Public Works

Previous Ethiopian governments have experimented with programmes involving food payments to beneficiaries for providing labour to centrally-planned public works. However, this approach was generally not effective, equitable or sustainable, as the lack of meaningful local inputs to the planning process, and lack of ownership by the communities, meant that in many cases the projects were inappropriately designed and located. The results were lost opportunities to carry out serious enhancement of the natural resource base, at considerable human cost. Thus from an environmental viewpoint, this option would not be a preferred alternative.

(c) Safety Net Provision with No Public Works

If the beneficiaries were to receive their transfers without carrying out a PW programme of watershed development, there would be few or no prospects for livelihoods improvement. Since many of the watersheds concerned are still degraded and relatively unproductive, the basic inputs – water, productive land and energy – would be insufficient to support improved livelihoods of the resident community.

Experience shows that once a watershed is productive, in the PSNP PW programme the focus typically moves away from soil & water conservation activities, to more livelihoods-based PW, often providing livelihoods opportunities for vulnerable groups such as the landless. However, at present the overwhelming majority of PSNP watersheds still require PW programmes for watershed development purposes, including infrastructure. In addition, all watersheds will require additional work to implement sub-projects for mitigation and adaptation to Climate Change and for Disaster Risk Management purposes. Thus termination of the PW programme would be premature, and would run the risk of the watershed sliding back into a degraded state. Thus, at the present time, from an environmental perspective ‘Safety Net provision with no Public Works’ is not a preferred option.

5.8 Implementation Challenges

PW are implemented in geographically and agro-climatically diverse regions of the country. The implementation challenges will therefore vary considerably from location to location. Challenges which could affect the quality and effectiveness of the environmental standards of the public works projects could include:

- The federal and regional PWFUs may lack the necessary capacity to ensure implementation of the ESMF, particularly given the large number of subprojects (estimated in 2019 to be in excess of 46,000/annum). However, in recent years this has not been a significant problem, and specific commitments to ensure adequate staff at these levels have been made and are set out in the Staffing Plan and ESCP.
- There may be challenges/limitations in coordination among the sector offices in implementation of ESMF at lower levels. Such challenges are typically resolved by

the Regional PW Offices ensuring effectiveness of the woreda Technical Committees' functionality.

- Woreda capacities vary; some may be less able to provide technical assistance for project design and implementation than others. Moreover, woredas may not have the required ESMF Expert/focal person for PSNP5 ESMF implementation. This has occurred in a few woredas in the past, but this can be addressed by making sure that those woredas without experts will recruit and put in place the relevant staff as shown in the new staffing plan to which the government is committed.
- Although in most highland areas the participatory planning process is satisfactory, there is still a need for more awareness-creation and training for some woreda and kebele officials and communities in the pastoral areas. During 2019 the federal PWCU has made a particular point of improving the awareness and training of the concerned staff in pastoral areas, and this process will continue through PSNP5.
- The ESMF screening formats have not always been translated into local languages. The PWCU will ensure that relevant formats are translated into local languages as has been done by Somali Region in 2019/20.
- In some communities the capacity for satisfactory operations and maintenance of assets of PW subprojects constructed is not yet fully developed; The federal PWCU has launched a programme focused on strengthening the operations and maintenance of PW subprojects, including revising the existing *PW Operation and Maintenance Guideline*. In some regions the RBEFCC, or its equivalent, does not yet have sufficient capacity, and may not yet be in a position to provide all the services which may be required of it to ensure that good environmental practices are adopted in the PW. Such challenges are typically resolved by the regional PWCU office by ensuring the effectiveness of the Regional PW Technical Committee.
- While woreda development officers and DAs are actively involved with communities in helping to identify local priorities for investment, in some cases they are over-stretched and may be at the limit of their capacity to suggest and guide the potential range of available and suitable subproject options. It is noted that in some woredas the number of DAs is below the standard level. In addition to entering into the commitments for provision of DAs as set out in the Staffing Plan and ESCP, a new scheme is being launched in PSNP5 for unemployed youth in the community to assist the DAs in the execution of their work in the PW sub-component, thus allowing the DAs more time to focus on aspects of the work requiring skills such as advising the communities on potential subproject choices and related Environmental and Social issues.
- In some pastoral areas there have occurred capacity gaps. In order to address this, training will be given on the cluster-based approach to PW in pastoral areas, whereby each woreda will be categorized as to its suitability for a certain level and type of PW, and clustered accordingly. Secondly, specialized technical support will be provided by mobile teams.

The resolution of these challenges will be overseen by the FSCD, NRMD and MoLSA. The requirements for these improvements have been included in the Environmental and Social Commitment Plan (ESCP) as appropriate, and they will be implemented through the PSNP capacity-building programmes, including annual cascade training.

6. Capacity-Building for PW

The institutional structure and staffing plan for managing the environmental and social aspects of PSNP5 is set out in full in Section 3 above. The DA prepares the ESMF Screening Forms and ESMP, which are reviewed and approved by the woreda, including subprojects requiring a special procedure. Details are set out in Section 7.2, including Fig. 1 flowchart. The ESMP format is part of the Screening Forms, as set out in 7.2.5 and Annex 20. The approval process is shown in the flowchart. EHS training is conducted by the NRMD in collaboration with MoH and MoLSA. Implemented PW subprojects are overseen as covered in PART IV, Monitoring and Reporting; woreda staff conduct the on-site inspections, supplemented by annual independent PW Reviews on a sampling basis. The woreda PW Focal Person is responsible for ensuring that community workers on construction sites have the proper PPE. Health posts are operated by the Ministry of Health, and schools by the Ministry of Education. The budgets for this are covered by the sector ministry concerned. Drinking water and SSI subprojects are operated by community committees with the support of the DA, including the possible use by individual farmers of pesticides, if any, under the IPM Guideline. However, the Project does not finance the purchase of any pesticides.

Responsibility for the operations phase of PW subprojects, and the budget required, vary. In the case of primary schools, health posts and community roads, responsibility lies with the local government, whose budget is allocated by the woreda on an annual basis. In the case of community water-projects, including SSI, responsibility is with the community water-user committees under the supervision of the DA (who generate their own funds from the members), with support from the local government. Responsibility for biophysical, SWC and area closure subprojects is with the community. The Project does not cover the operations phase of any of the subprojects.

The principal responsibilities by level are as follows:

6.1 Federal Level

The PWCU will ensure that the guidelines, technical specifications, work norms and information kits related to implementation of the PW cover the range of potential activities, summarise the latest knowledge on the various types of interventions, and present this information in a user-friendly manner that is understandable by zone and woreda staff and DAs. PW guidelines, technical specifications and work norms are in the Watershed Development Guideline. Information kits are produced for training as required, coordinated by the PWCU, produced by the concerned ministry. The mandate of the PWCU includes further development and field testing of these specifications and kits, as required, including those relating to the design and implementation of the ESMF.

The PWCU will also organise the delivery of training and/or refresher course for regional Training of Trainers (ToT), on an annual basis.

The community-based focus of the PW, which has been utilised during the previous phases of the PSNP will continue drawing on lessons from the *National Community-Based Participatory Watershed & Rangeland Guideline*, and will harmonise with similar programmes such as SLMP, PCDP and AGP. Linkages with these programmes, and the inter-agency forum that has been established to facilitate collaboration between them, will assist in strengthening this role. The PWCU also provides support to ensure that the capacities of the RPWCUs are up to the required level.

The PWCU will also ensure that the PW M&E system and PW Mapped Database System, incorporating the ESMF monitoring and evaluation requirements are fully established, in consultation with regional, zonal, woreda and kebele staff and at the community level.

For this purpose, The NRMD will increase the number of Environmental Risk specialists in the PWCU from the present level of two to three. The NRMD will maintain the one Social Risk specialist in the PWCU who will ensure compliance and monitoring of issues such as child labour, and untimely workloads, and adequacy.

The FSCD will have the social development unit and it will increase the number of Social Development/Social Risk and GBV specialist from two (2) to four (4). That is one (1) Gender and Social Development specialist as coordinator, one (1) GBV specialist/focal person, one (1) social risk specialist/focal person and one (1) GRM specialist/SEP focal person. The above mentioned specialists/focal persons will be responsible for their respective thematic areas and action plans including the Gender Action Plan, ESAC Social Development Action Plan, Grievance Redress Mechanisms (GRM), SEP Action Plan, and will collaborate with WCYAD of MoA and provide technical support for the implementation of Gender Based Violence (GBV) action plan. They will monitor and ensure compliance with the ESF, the Financing Agreement, and the ESCP.

The Social Affairs directorate of MoLSA will maintain existing two social affair specialists to implement and oversee PDS management and linkages to social services related issues; while the Harmonious Industrial relation (Labour) directorate of MoLSA will assign one (1) Labour specialist/focal person who will jointly be responsible to ensure compliance and monitoring of issues such as child labour, occupational safety, and impacts of PW on school attendance. Women, Children and Youth Affairs Directorate of MoA will assign one (1) GBV expert/focal person who will be responsible to ensure compliance of the Gender Based Violence (GBV) action issues. It will also collaborate with MoLSA on child labor related issues.

6.2 Regional Level

The Regional PWFUs are responsible for ensuring PW ESMF implementation. Staff of these Units receive orientation and training in the PW ESMF process, and the use of the technical specifications, works norms and information kits. The PWFUs deliver PW ESMF training to the concerned woreda staff as part of the overall annual PW training programme. This includes TOT for woreda staff who will in turn train DAs and kebele staff.

The PWFUs also conduct capacity needs assessments and provide support at woreda level to ensure that all functions relating to PW, including PW ESMF implementation, are carried out to the required standard. For this purpose, the regional PW Focal Unit (PWFU) will maintain existing 8 ESMF specialist in 8 existing regions and will assign one (1) specialist/focal person in the new Sidama region.

The regional Food security coordination bureaus/process/directorate will maintain existing eight Gender and social development specialist in eight (8) existing regions and will assign one (1) in the new Sidama region who will be responsible for regional level coordination and oversight of social risk related issues including implementation of the Gender Action Plan, ESAC Social Development Action Plan, Grievance Redress Mechanisms (GRM), SEP, and will collaborate with WCYAD of MoA and provide technical support for the implementation of Gender Based Violence (GBV) action plan.

Regional Women, Children and Youth Affairs desk in BoA will assign one (1) per region gender and GBV specialist/focal person who will be responsible to ensure compliance of the Gender based violence (GBV) action issues. The desk will collaborate with the regional food security directorate/desk, GSD specialist, BoLSA and regional bureau of WCYA to oversee and monitor GBV action plan.

The regional BoLSA under the Social Affairs desk will maintain existing social affairs specialist in 8 old regions and will assign one (1) social affairs/risk specialist/focal person in the new Sidama region. BoLSA under the Labour desk will assign one (1) Labor specialist/focal person in each region (total 9 specialists/focal persons) will be responsible to oversee, provide technical support and monitor issues such as child labour, occupational health and safety, impacts of PW on school attendance as well as PDS management, respectively.

6.3 Zonal Level

There is a need to establish PWFUs who are responsible for ensuring PW ESMF implementation in zones that do not have the unit so far. Staff of these Units receives orientation and training in the PW ESMF process, and the use of the technical specifications, works norms and information kits. In collaboration with the regional PWFU, the zonal PWFUs deliver PW ESMF training to the concerned woreda staff as part of the overall annual PW training programme. This includes TOT for woreda staff who will in turn train DAs and kebele staff. Zone PWFU should also closely work with woredas in providing capacity building trainings and technical supports during the implementation of the programme.

The Zone PWFUs, in collaboration with regional PWFU, also conduct capacity needs assessments and provide support at woreda level to ensure that all functions relating to PW, including ESMF implementation, are carried out to the required standard.

6.4 Woreda Level

The capacity of woreda staff to provide timely technical support and guidance to kebeles is critical. Woreda capacity development supports the design, operation and environmental and social management of proposed irrigation systems, water harvesting structures and irrigated agriculture as well as soil and water conservation subprojects. Support for the educational, roads and health infrastructure will be provided by the concerned woreda desk.

The woreda staff conducts training to DAs and kebele staff as required, ensuring that the Natural Resources DA in each of the 6,425 PSNP kebeles is trained and able to conduct subproject Screening and Livelihoods Strengthening support according to ESMF standards and procedures. Each woreda will also employ a woreda ESMF expert/focal person who will be responsible for identification, planning, implementation and M&E and reporting of ESMF.

For this purpose, the current PW Focal Persons at woreda level will be supplemented by 380 Woreda Office Labour and Social Affairs (WOLSA) Social Experts/workers, with a particular focus on PW site emergency-response capability, and oversight of Environmental and Social Standards compliance and monitoring. The Woreda Office of Agriculture will maintain exiting 160 Gender and Social Development specialist in existing woredas and will assign a specialist/focal person for those new as well as old woredas that don't have a focal person assign from Women, Children and Youth desk of the bureau with clear job

description. Those existing GSD specialists and assigned focal persons will be responsible for regional level coordination and oversight of social risk related issues including implementation of the Gender Action Plan, ESAC Social Development Action Plan, Grievance Redress Mechanisms (GRM), SEP Action Plan, and will collaborate with WCYAD of MoA and provide technical support for the implementation of Gender Based Violence (GBV) action plan in their respective woredas. Woreda Office of Labour and Social Affairs will maintain the existing one (1) Social Affairs specialist in each woreda who will be responsible for child labor, OHS, and oversight of Environment and Social Standards compliance and monitoring in PWs.

6.5 Kebele Level

Kebele staffs are involved in orientation and capacity-building in the communities, in conjunction with the DAs. Areas in which the communities are trained include participatory watershed planning procedures, and the organisational management of subprojects such as drinking water systems, irrigation facilities, etc., through the establishment of water-user committees and watershed committees. The federal PWCU operates cascade training via the regions, zones and woreda offices for the DAs who do the subproject Screening. This training is delivered annually. The DAs are trained in EHS by the woreda technical staff for each specific subproject type, including mitigation measures. Overall, a total of 6,425 DAs will be available to address Environmental and Social Risks of the PW sub-component.

6.6 Training and Technical Assistance

Capacity-building is needed for implementation of the PW ESMF at all levels. The PSNP requires training materials, technical specifications, work norms, and information toolkits etc. These have all been developed. These materials serve to guide the design of PW subprojects, so they are important in managing potential environmental and social risks. The details of these capacity building and training needs are set out in the Environmental and Social Commitment Plan (ESCP), and the PW ESMF annual Training Plan and Budget is set out in Annex 10.

The DAs, who are included in the Training budget, are the community workers for the PW & LH programs. Community members who participate in PW planning and implementation, etc. are trained by the DAs in the course of their work, on site.

Table 6. List of Training Materials for ESMF Implementation in PSNP5

Environmental & Social Training Materials for the following levels: Federal, Zonal, Regional, Woreda and Kebele	Status of Training Materials
1. Public Works (PW) sub-component Environmental and Social Management Framework (ESMF) training materials consisting of 17 modules, including Special Procedures (Integrated Pest Management, Medical Waste, and Small Dam Safety)	Developed and in use; due to be updated
2. Livelihoods sub-component ESMF training materials, covering developing the Woreda Environmental & Social Profile, Impact Assessment and Mitigating Measures, Developing the Business Guidance (exclusion list), and Monitoring plan.	Developed and in use; due to be updated
3. Grievance Redress Mechanism (GRM) Manual training	Developed; due to be updated
4. Mainstreaming GSD mainstreaming	Developed; due to be updated
5. Social and Behavioral Change Communication (SBCC) training course	Developed; due to be updated
6. Community Health and Safety (CHS) training	Under preparation jointly by FSCD, PWCU and TASC

Environmental & Social Training Materials for the following levels: Federal, Zonal, Regional, Woreda and Kebele	Status of Training Materials
7. Child Labour and Labour Management Procedures (LMP)	Under preparation jointly by MOLSA, FSCD, PWCU and TASC
8. Occupational health and safety (OHS) and Gender-Based Violence (GBV)	Under preparation jointly by MOLSA, FSCD, PWCU and TASC
9. Incident Monitoring and Reporting (ESRIT) training	Under preparation jointly by MOLSA, FSCD, PWCU and TASC
10. PSNP GBV Prevention Manual training	Under preparation jointly by WCYAD, FSCD and MoLSA

Note: MOLSA: Ministry of Labour and Social Affairs; FSCD: Food Security Coordination Directorate, Ministry of Agriculture; PWCU: Public Works Coordination Unit, Natural Resource Management Directorate, Ministry of Agriculture; WCYAD: Women, Children and Youth Affairs Directorate, Ministry of Agriculture; TASC: Specialist Training Consulting firm retained to support capacity-building in PSNP4 and PSNP5.

7. PW Environmental and Social Management Plan

7.1 Principles

The PSNP Environmental and Social Management Plan is based on the following principles:

- The PSNP PW sub-component will consist of micro- or small-scale subprojects whose environmental and social impacts cannot be predicted at this time since the subprojects have not yet been selected or designed. The potential impacts will be assessed and managed by this PW ESMF procedure.
- The PW subprojects will be designed, implemented and managed at the kebele level using standardised published guidance, and with the assistance of woreda and kebele staffs as required. The *National Community-Based Participatory Watershed and Rangeland Guideline* is basically for planning and design. Guidance on PW impact mitigation is covered by the ESMF in terms of procedure, in further detail in the training sessions. Guidance on monitoring is provided in woreda training sessions and in the ToR for the 6-monthly PW & LH Reviews.
- Environmental and social management will be integrated into project planning, design and implementation.
- Subprojects will be adopted in the kebele PSNP plan on the basis of selection criteria and screening designed to eliminate projects with major or irreversible environmental or social impacts. In particular, the following subprojects are not admissible as PSNP PW:
 - Subprojects that are not labour-intensive;
 - Subprojects in, or adjoining, internationally disputed territories;
 - Projects requiring the physical relocation of residents or any form of involuntary asset loss;
 - Subprojects that incorporate a dam of more than 10 meters in height, or that could cause safety risks, or that is expected to exceed 10 metres in height in the future
 - Subprojects located in, or which could affect, a Priority Forest Area, or modified habitat of significant biodiversity value, or natural habitat, or critical habitat, or legally protected area of recognised biodiversity value.
- The PW subprojects selected by the communities fall into the following nine categories:
 - 01: Biological and Physical Soil & Water Conservation

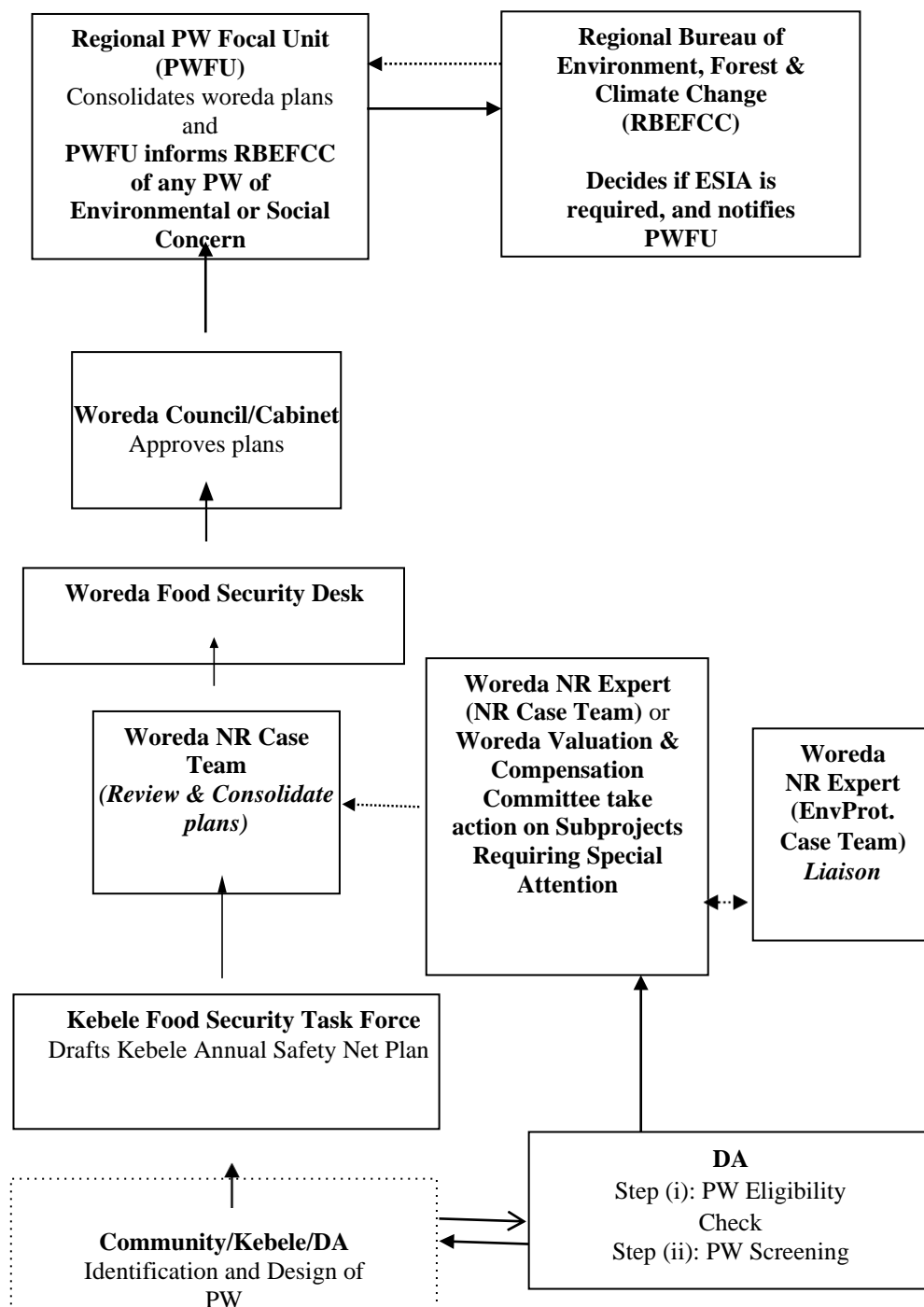
- 02: Forestry, Agro-forestry and Forage Development
- 03: Water Projects: Community and Micro-level (including drinking-water subprojects)
- 04: SSI: Construction or Expansion
- 05: SSI: Rehabilitation
- 06: Community Earth, road, gravel & footpaths: Construction
- 07: Community Earth, road, gravel & footpaths: Rehabilitation
- 08: Social Infrastructure (primary schools and health posts)
- 09: Gender- and Nutrition-sensitive subprojects
- The design of community PW subprojects will be guided by technical design standards that incorporate recommended measures designed to minimise adverse impacts and encourage positive environmental effects. For watershed subprojects, (including SSI, water subprojects and community roads, the guideline is the *National Community-Based Participatory Watershed and Rangeland Guideline*. For Health Posts the standard is the Ministry of Health standard specification of the day. For Primary School extensions and rehabilitation, the guideline is the Ministry of Education standard specification of the day.
- Subprojects likely to involve medical waste disposal will trigger application of the Government's Medical Waste Management guidelines (Annex 2).
- Subprojects likely to involve the use of agrochemicals will trigger the Government's Integrated Pest Management (IPM) procedures (Annex 1) and will lead to the development and implementation of an IPM Plan.
- Subprojects involving a low-risk small dam will trigger application of the Guideline for the Safety of Small Dams (Annex 3).
- The execution of all PW subprojects will also conform to the required standards for GRM (Annex 15), labour management (Annex 12), Occupational and Community Health and Safety (Annex 11) and cultural heritage chance-finds (Annex 4).
- Capacity building in environmental and social safeguards management will be provided by the Project as and when required.
- The instructions for the staff working at community level are produced separately as training modules in local languages, as required.
- Approval of subprojects with environmental or social concerns, which will be earmarked 'Subproject of Environmental or Social Concern', will involve the Regional Bureau of Environment, Forest and Climate Change (RBEFCC), or its equivalent, which will have the right to reject a project on environmental or social grounds, or arrange for an ESIA prior to approval. Such subprojects will include:
 - Any subproject identified as having high or unknown potential negative impacts during Screening,
 - Any subproject involving a dam,
 - Any subproject located in the vicinity of a National Park or other designated wildlife area, or within a buffer zone of such a park or area
- Supervision of subproject implementation will be at kebele and woreda levels, with technical backstopping from the PWFU or line bureau. The DA, with assistance if required from the woreda line office concerned, will ensure that the specified mitigating measures are implemented.

- The implementation of the recommended mitigating measures will be monitored by the PSNP Public Works M&E system using the new PW Mapped Database Information System (PWMDIS). The first data input was organized jointly by a consulting firm together with regional and woreda staff. Regular annual updates will utilize the DAs as the basic data-collection function.

7.2 PW ESMF Procedures

The steps in the subproject Screening and Approval procedure are set out in Figure 1 overleaf. The normal planning process is shown in the left of the diagram. The right side of the diagram shows the subproject Screening and Approval steps.

Figure 1: Flowchart Showing Subproject Screening and Approval Procedures



The Screening procedure, which is conducted by the DA under the supervision of the Woreda NR Expert in the NR Case Team, is set out below.

7.2.1 Step (i): Subproject Eligibility Check

Following selection by the community, the DA checks each subproject/activity for eligibility:

Table 7. Subprojects Ineligible as PSNP PW

Ineligible Features	Yes	No
Subproject is not labour-intensive		
Subproject is in, or adjacent to, an internationally-disputed area*		
Subproject involving the physical relocation of individuals or households, involuntary loss of land or any other asset or access to asset		
Subproject is in, or in the vicinity of, a known cultural heritage site, including World Heritage sites		
Subproject incorporates construction of a Large Dam, i.e., with a height of 15 metres or greater from the lowest foundation to crest, or with a height between 5 and 10 metres impounding more than 3 million cubic metres.		
Subproject incorporates construction of a Small Dam (i.e. not a Large dam, above) that (i) could cause safety risks such as: <ul style="list-style-type: none"> a. an unusually large flood-handling requirement b. location in a zone of high seismicity, c. foundations that are complex and difficult to prepare d. retention of toxic materials e. potential for significant downstream impacts (ii) is expected to become a large dam during its operating life.		
Subproject is located in, or could affect, a Priority Forest Area, or habitat of significant biodiversity value, or natural habitat, or critical habitat, or legally protected area of recognised biodiversity value		
Subproject involves the procurement of pesticides by PSNP5, or by the local government.		

If a subproject has the answer ‘Yes’ to any of the above, the DA should try to modify the design or change the location of the subproject to avoid the feature of concern. If the DA is unable to do so, *the DA must reject the subproject*.

7.2.2 Step (ii): Subproject Screening

If the subproject has any of the following four features it must be referred to the Regional BEF for review, to ascertain whether an ESIA is required:

Table 8. Subprojects of Environmental or Social Concern

	Yes	No
Subproject located in the vicinity of a National Park or other designated wildlife area, or within a buffer zone of such a park or area.		
Any subproject identified as having high or unknown potential negative impacts during Screening		
Subprojects incorporates construction of a dam, (regardless of size)		

If there is any ‘yes’ the project must to be referred to the regional BEF for review and detailed ESIA

Whether or not referral is required, the DA should continue the Screening process by checking if the subproject requires a special procedure to be followed. There are five such special procedures. The reason for identifying the requirement at this stage is to alert the woreda staff, early on in the Screening process, to the fact that a special procedure will need to be followed, in addition to the outcome of the regular Screening process. These five procedures are as follows:

Table 9. Subprojects Requiring a Special Procedure

Feature Requiring a Special Procedure	Yes	No
Subproject likely to involve generation and disposal of medical waste		
Subproject likely to use pesticides or other agro-chemicals		
Subproject incorporates construction of a dam (regardless of size) or is dependent on an existing dam, or on a dam already under construction		
Subproject that might involve Voluntary Land /Asset Donation		
Sub-project inside a Commune Center or close enough to a CC to have any potential direct or indirect impact on it or on the people in a CC.		

It should be noted that these special procedures are cross-cutting; they not related to any specific subproject types. The DA will bring any subproject with ‘Yes’ in the Special Procedure Table above to the attention of the Woreda NR Expert in the NR Case Team, who, in liaison with the Woreda Environmental Expert in the WEPO, will ensure that the necessary procedures are followed. Then the DA can continue with the Screening. The Screening is done on the appropriate Table below, according to the type of subproject concerned.

The presentation in this section of the PW ESMF covers the basic principles involved in Screening subprojects and mitigating potential impacts. In addition, all DAs and woreda staff involved in the Environmental & Social Screening and mitigating of PW subprojects will be trained on an annual basis. The techniques involved in the Screening methodology, including the method of assessing whether potential impacts are likely to be low, medium or high, and the design of mitigating measures all form part of the training process, and are not reproduced here.

It should be noted that the lists of examples of typical impacts in the Tables in the Screening forms in Annex 20 are not checklists. They are merely examples to suggest to the Screener the sort of potential impact that the DA should be anticipating, because every subproject is in a different environmental and social setting, and will have unique impacts. It is expected that regional PWFUs will modify these lists to reflect regional or even woreda-specific issues. In particular, it is expected that the lists of examples for lowland woredas will be tailor-made by the regional PWFUs and updated regularly as experience is gained during the implementation of PSNP5.

During the annual DA training it is emphasized that these lists of typical impacts are intended **only as a guide**, and that DAs should be alert to the possibility that the subproject may well have impacts which are not listed here. The DA should consult the Environmental Expert in the WEPO if s/he is not sure.

If the Screening shows that the subproject is likely to have impacts ranging from low to moderate, or has only one high potential impact, the DA must try to determine (with the assistance of woreda experts if necessary) if it is possible to incorporate suitable mitigating measures into the design or management plan to overcome the problem. Suggested mitigating

measures that can be built into subproject designs can be found in the design specifications in the *National Community-Based Participatory Watershed & Rangeland Guideline*. The DA incorporates all required mitigating measures into the ESMP (see Annex 20),

If the DA finds that the subproject is expected to cause more than one high potential impact that cannot be avoided by a simple change in the design, or will have impacts that are difficult to predict (i.e., ticks under “Unknown”), then the subproject will need to be referred to the RBEFCC. The RBEFCC then decides whether a full-blown ESIA is required, and if so, develops the necessary ToR. Please refer to 7.2.3 and 7.2.4.

Examples of Typical Mitigating Measures

The Tables below contain typical mitigating measures which may be required to help avoid or reduce the potential adverse impacts, using grouped subproject categories. These measures may sometimes be necessary in addition to the measures built into the project designs in the *National Community-Based Participatory Watershed & Rangeland Guideline*. In addition, the RBEFCC may be able to provide region-specific lists of typical mitigating measures. Finally, this list is for guidance. Ultimately all mitigating measures need to be developed on a subproject-specific basis.

The DA completes the Screening procedure, which includes filling in the Screening Form. The concerned woreda staff oversees the Screening procedure and approves it, by countersigning the Screening Form. (See Annex 20). The lists of typical mitigating measures presented here are as standardized as possible, for each subproject type. The concerned DA in each kebele is trained in doing this Screening and ESMP. To ensure due diligence, each subproject needs its own site-specific Screening and ESMP. Typically, around 30% of subprojects require identified mitigating measures, but of course this varies.

Table 10. Examples of Typical Negative Impacts of Public Works that Can Occur, together with Typical Mitigating Measures

1. Soil and Water Conservation (SWC) and Rangeland Management	
Typical Potential Impacts	Mitigation Measure
Creation or expansion of gullies	Ensure measures and appropriate infrastructure are in place to avoid erosion leading to gullies
Introduction of toxic fodder production and protection	Develop sustainable measures for vegetative fencing, paddocks, fodder belts, fodder seed collection; measures should take account of pastoral and agricultural land use, as well as local communities' agreements regarding community land; ensure a local grievance redress system is in place
SWC structures such as bunds could be breeding places for rodents	Support physical SWC activities with biological grasses such as vetiver which is repellant to rodents
Damage to downstream residents as a result of poorly constructed structures (e.g. checkdams, gabions)	Design and construct such structure with quality and conduct proper periodic maintenance
Reduction in the size of cultivated lands as a result of gully reshaping	Benefit owners of the land from the reshaped and rehabilitated gullies
Restriction of access to human and animal in area closures	Allow user right for the community from the rehabilitated watershed
Wet season soil disturbance	Schedule activities for the dry season
Potential for debris flows or landslides	Prepare a watershed plan that identifies and address drainage/slope instability
Sensitive downstream ecosystems	Identify and avoid effects of diversion or dams on downstream

	ecosystems
Removal of native plant/tree species	Protect and encourage regeneration of endemic species
Introduced plant/tree species invasion of native species	Local species should be planted. When necessary to plant, non-native species, they should be compatible with native species
Wildlife habitats or populations disturbed	Identify and avoid effects on habitats and migration routes of key species
Environmentally sensitive areas disturbed	Identify and avoid activity in forest, riparian and wetland habitats with particular biodiversity
Acquisition of land or other assets	Re-design to avoid land-take or loss of other assets. If not possible, ensure that any asset loss is voluntary and meets the criteria of the Voluntary Asset Donation procedure. Otherwise the subproject must be rejected.
Informal land-users displaced or access restricted	Avoid interference with informal land users, and take measures to provide them access to alternative lands or resources. Ensure that the Grievance Redress Mechanism is in place.
Insufficient capacity to manage catchment ponds	Establish a water users committee, where appropriate, and/or kebele bylaws and provide training to water users
Accidents to humans or livestock during operations	Conduct awareness-creation and ensure that all hazardous areas are fenced.
Insufficient capacity to prohibit or control open grazing	Establish a watershed committee, where appropriate, and/or kebele bylaws and provide alternative sources of fodder
Insufficient capacity to manage new plantations/pastures	Establish a local committee, where appropriate, and/or kebele bylaws and provide appropriate controls
Hillside terracing	Capacity-building in sound terracing measures to minimize erosion or collapse of the terrace
Cultural sites disturbed	Identify and avoid all known cultural sites. If excavation encounters cultural artifacts, the Cultural Heritage Chance-finds procedure should be followed.
Accidents to site workers and local communities during construction or operations	Ensure that all workers have appropriate Personal Protective Equipment, and that there are no children and other non-workers on site, that precautions are taken against possible falling rocks and landslides during terracing, and that first-aid equipment is available on site. Ensure implementation of the OHS and CHS Guidelines.

2. Catchment, Forestry, Grasslands Projects	
Typical Potential Impacts	Mitigation Measure
Wet season soil disturbance	Schedule activities for the dry season
Potential for debris flows or landslides	Prepare a watershed plan that identifies and address drainage/slope instability
Sensitive downstream ecosystems	Identify and avoid effects of diversion or dams on downstream ecosystems
Removal of native plant/tree species	Protect and encourage regeneration of endemic species
Introduced plant/tree species invasion of native species	Local species should be planted. In those cases, where it is necessary to plant, non-native species, they should be compatible with native species
Wildlife habitats or populations disturbed	Identify and avoid effects on habitats and migration routes of key species
Environmentally sensitive areas disturbed	Identify and avoid activity in forest, riparian and wetland habitats with particular biodiversity
Users conflict from afforestation programmes	Form watershed users association and right
Acquisition of land or other assets	Re-design to avoid land-take or loss of other assets. If not possible, ensure that any asset loss is voluntary and meets the criteria of the Voluntary Asset Donation procedure. Otherwise the subproject must be rejected.
Informal land users displaced or access restricted	Avoid interference with informal land users, and take measures to provide them access to alternative lands or resources. Ensure that the Grievance Redress Mechanism is in place.
Insufficient capacity to manage	Establish a water users committee, where appropriate, and/or kebele

catchment ponds	bylaws and provide training to water users
Insufficient capacity to prohibit or control open grazing	Establish a watershed committee, where appropriate, and/or kebele bylaws and provide alternative sources of fodder
Insufficient capacity to manage new plantations/pastures	Establish a local committee, where appropriate, and/or kebele bylaws and provide appropriate controls
Accidents to site workers or local community during construction and operations	Ensure that all workers have appropriate Personal Protective Equipment, and that there are no children and other non-workers on site, that precautions are taken against possible falling rocks and landslides during terracing, and that first-aid equipment is available on site. Ensure implementation of the OHS and CHS Guidelines

3. Water Projects

Potential Impacts	Typical Mitigation Measure
Existing water sources supply/yield depletion	Assess water supply and existing demands, and manage sustainability; consider local cumulative impacts of digging several wells in one area
Existing water users disrupted	Identify and avoid negative impacts on existing water users in the system design; ensure a local grievance redress system is in place
Downstream water users disrupted	Identify and avoid effects of diversion or extraction on downstream users in the system design; ensure a local grievance redress system is in place
Increased numbers of water users due to improvements	Assess water supply and existing demands, and manage sustainability
Prevalence of vector-borne diseases	Ensure all measures to control water-borne diseases are implemented, and restrict communities from collected such water for drinking purposes
Increased social tensions/conflict over water allocation	Establish a water users committee through the kebele and equitable rules for water allocation; ensure a local grievance redress system is in place
Uncontrolled access of livestock to these structures may affect cropping lands	Controlled the movement of livestock to these structures
Accidents especially children as a result of unprotected structures	Conduct awareness-raising and fence the structures after their completion
Sensitive ecosystems downstream disrupted	Identify and avoid effects of diversion or dams on downstream ecosystems
Acquisition of land or other assets	Re-design to avoid land-take or loss of other assets. If not possible, ensure that any asset loss is voluntary and meets the criteria of the Voluntary Asset Donation procedure. Otherwise the subproject must be rejected.
Cultural sites disturbed	Identify and avoid all known cultural sites. If excavation encounters cultural artifacts, the Cultural Heritage Chance-finds procedure should be followed.
Informal land users displaced or access restricted	Avoid interference with informal land users, and take measures to provide them access to alternative lands or resources
Accidents to site workers or local community during construction or operations	Ensure that all workers have appropriate Personal Protective Equipment, and that there are no children and other non-workers on site, that precautions are taken against possible falling rocks and landslides during terracing, and that first-aid equipment is available on site. Ensure implementation of the OHS and CHS Guidelines
Local incapacity/inexperience to manage facilities	Establish a local committee, where appropriate, and/or kebele bylaws and provide appropriate controls

4/5. Small scale Irrigation Construction and Rehabilitation (including stream diversion, development of wells and springs, small dams, ponds, drainage and water canals, and seepage control measures)

Potential Impacts	Typical Mitigation Measure
Existing water sources supply/yield depletion	Assess water supply and existing demands, and manage sustainability; consider local cumulative impacts of digging several wells in one area
Existing water users disrupted	Identify and avoid negative impacts on existing water users in the

	system design; ensure a local grievance redress system is in place
Downstream water users disrupted	Identify and avoid effects of diversion or extraction on downstream users in the system design; ensure a local grievance redress system is in place
Water storage requirement and viability (soil permeability)	Test the soil percolation and ensure an impermeable layer in the structure design
Vulnerability to water logging (poor drainage)	Assess soil characteristics and either avoid or provide drainage measures/infrastructure for areas prone to waterlogging; ensure proper design for water diversion, infiltration pits, etc.
Vulnerability to soil and water salinization	Irrigation expert to assess the potential for high salinity and ensure appropriate irrigation practices to minimize impacts
Sensitive downstream habitats and waterbodies	Identify and avoid effects of diversion or extraction on downstream ecosystems that depend on the surface or groundwater supply
Environmentally sensitive areas disturbed	Identify and avoid forest, riparian and wetland habitats with particular biodiversity.
Risks to humans and property from collapse or malfunction of the Dam	Implement measures for managing all dam safety risks as prescribed in the Small Dam Safety Guidance
Prevalence of vector borne diseases	Ensure all measures to control water-borne diseases are implemented, and restrict communities from collected such water for drinking purposes
Accidents to site workers and local communities during construction and operations	Ensure that all workers have appropriate Personal Protective Equipment, and that there are no children and other non-workers on site, that precautions are taken against possible accidents, and that first-aid equipment is available on site. Ensure implementation of the OHS and CHS Guidelines
Deterioration of productivity of cultivated lands as a result of salinity	Improve drainage and irrigation method
Favorable place for breeding of mosquitos	Disturb continuously the harvested water and spray chemicals
Cultural or religious sites disturbed	Identify and avoid cultural or religious sites. If disturbance unavoidable, agreement on mitigating measures must first be reached with stake holders (e.g. Community, mosque, church). If excavation encounters archaeological artifacts, halt construction and notify relevant authorities.
Increased agricultural chemicals (pesticides, etc.) loading	Develop an Integrated Pest Management (IPM) Plan and provide training to the farmers in line with the IPM Guidelines.
Acquisition of land or other assets	Re-design to avoid land-take or loss of other assets. If not possible, ensure that any asset loss is voluntary and meets the criteria of the Voluntary Asset Donation procedure. Otherwise the subproject must be rejected.
Informal land users displaced or access restricted	Avoid interference with informal land users, and take measures to provide them access to alternative lands or resources
Cultural sites disturbed	Identify and avoid all known cultural sites. If excavation encounters cultural artifacts, the Cultural Heritage Chance-finds procedure should be followed.
Increased social tensions/conflict over water allocation	Establish a water users committee through the kebele and equitable rules for water allocation; ensure a local grievance redress system is in place
Local incapacity/inexperience to manage facilities	Establish an operations and maintenance manual, authority and provide training to persons responsible for operating the system
Local incapacity/inexperience with irrigated agriculture	Provide training to farmers on sustainable irrigated agriculture, including maintenance of infrastructure

6/7. Community Road Construction and Rehabilitation

Potential Impacts	Typical Mitigation Measures
New access (road) construction	Ensure drainage controls on new roads and rehabilitate temporary access following subproject implementation
Soil erosion/flooding concerns	Drainage control measures to be included within construction plans
Number of stream	Minimize water crossings in road location and alignment

crossing/disturbances	
Wet season excavation	Schedule construction for the dry season
Quarry sites/borrow pits created	Re-contour and rehabilitate sites/pits and avoid collection of standing water; avoid creating large borrow pits.
Vegetation removal	Minimize temporary or permanent removal of natural vegetation
Wildlife habitats or populations disturbed	Identify and avoid effects on habitats and migration routes of key species
Environmentally sensitive areas disturbed	Identify and avoid forest, riparian and wetland habitats with particular biodiversity
Landslides and slumps	Design and construct roads especially in sloppy areas with all drainage and compaction of soils
Possibility of spreading communicable diseases	Increase awareness communities about these communicable diseases
Traffic safety of children and animals	Awareness-creation and provision of warning signs
Acquisition of land or other assets	Re-design to avoid land-take or loss of other assets. If not possible, ensure that any asset loss is voluntary and meets the criteria of the Voluntary Asset Donation procedure. Otherwise the subproject must be rejected.
Informal land users displaced or access restricted	Avoid interference with informal land users, and take measures to provide them access to alternative lands or resources
Cultural sites disturbed	Identify and avoid all known cultural sites. If excavation encounters cultural artifacts, the Cultural Heritage Chance-finds procedure should be followed.
Accidents to site workers or local communities during construction and operations	Ensure that all workers have appropriate Personal Protective Equipment, and that there are no children and other non-workers on site, that precautions are taken against possible accidents, and that first-aid equipment is available on site. Ensure implementation of the OHS and CHS Guidelines
New settlement pressures created	Ensure road development is coordinated with local land use plans and discuss with the kebele
Market yards and storage	Ensure that yards and storage areas include safety measures, as well as procedures for managing waste and avoiding placement in areas that are used for pastoralism, farming, etc.

8. Social Infrastructure Projects Such as School and Health Post

Potential Impacts	Typical Mitigation Measures
Alteration of existing drainage conditions	Drainage control measures to be included within construction plans
Vegetation removal	Minimize temporary or permanent removal of natural vegetation
Wet season soil disturbance	Schedule construction for the dry season
Construction materials impact on adjacent forests/lands	Avoid taking construction materials from adjacent forests/land; if local communities agree to such take, it should be done in a sustainable manner
Quarries and borrow pits created	Re-contour and rehabilitate sites/pits and avoid collection of standing water
Construction impacts	Construction sites should include procedures for managing waste; local communities should be informed about temporary disturbance, noise, dust, etc.
Water supply development effects in available supply	Identify and avoid negative impacts on existing water users in the system design
Sanitation development effects on existing disposal fields	Ensure the necessary facilities and capacity for upgraded facilities, consistent with health department design standards
Medical waste increase effects on existing disposal system	Prepare a waste management plan for major facility upgrades; ensure sufficient facilities and capacity for medical waste in accordance with the Medical Waste Guideline.
Spread of communicable diseases in schools as a result of not maintaining no of students in classrooms	Adopt and apply the right ration of classroom to number of students as per the standard of the country

Latrine construction	Ensure facilities are constructed according to health department design standards; latrines should be properly sited to avoid contamination of food and water
Acquisition of land or other assets	Re-design to avoid land-take or loss of other assets. If not possible, ensure that any asset loss is voluntary and meets the criteria of the Voluntary Asset Donation procedure. Otherwise the subproject must be rejected.
Cultural sites disturbed	Identify and avoid all known cultural sites. If excavation encounters cultural artifacts, the Cultural Heritage Chance-finds procedure should be followed.
Informal land users displaced or access restricted	Avoid interference with informal land users, and take measures to provide them access to alternative lands or resources
Accidents to site workers or local communities during construction and operations	Ensure that all workers have appropriate Personal Protective Equipment, and that there are no children and other non-workers on site, that precautions are taken against possible accidents, and that first-aid equipment is available on site. Ensure implementation of the OHS and CHS Guidelines
In-migration/settlement induced by facilities development	Control unplanned settlement near the facilities through an effective communications strategy and local enforcement
Local incapacity/inexperience to manage facilities	Establish/strengthen local committees, where appropriate, through the kebele and provide appropriate procedures and training to maintain the facilities

9: Nutrition based PW activities Potential for Adverse Impacts (e.g. childcare centers, community shower, kitchen gardens, traditional pit latrine)

Potential Impacts	Typical Mitigation Measure
New access (road) construction	Ensure drainage controls on new roads and rehabilitate temporary access following subproject implementation
Alteration of existing drainage conditions	Drainage control measures to be included within construction plans
Vegetation removal	Minimize temporary or permanent removal of natural vegetation
Wet season soil disturbance	Schedule construction for the dry season
Construction materials impact on adjacent forests/lands	Avoid taking construction materials from adjacent forests/land; if local communities agree to such take, it should be done in a sustainable manner
Quarries and borrow pits created	Re-contour and rehabilitate sites/pits and avoid collection of standing water
Cultural sites disturbed	Identify and avoid all known cultural sites. If excavation encounters cultural artifacts, the Cultural Heritage Chance-finds procedure should be followed.
Water supply development effects in available supply	Identify and avoid negative impacts on existing water users in the system design
Effect of sanitation development on existing disposal sites	Ensure the necessary facilities and capacity for upgraded facilities, consistent with health department design standards
Spread of communicable disease in childcare centers	HEW should regularly monitor the childcare centers and care givers of the children should get all awareness
Loss of life especially children as a result of poorly constructed pit latrines	Construct pits with all the technical standards
Effects of medical waste on existing disposal system	Prepare a waste management plan for major facility upgrades; ensure sufficient facilities and capacity for medical waste
Accidents to site workers or local communities during construction and operations	Ensure that all workers have appropriate Personal Protective Equipment, and that there are no children and other non-workers on site, that precautions are taken against possible accidents, and that first-aid equipment is available on site. Ensure implementation of the OHS and CHS Guidelines
Local incapacity/inexperience to manage facilities	Woreda office to capacitate Health Extension Workers (HEW) and clients

The mitigating measures presented in the *Guideline* Infotechs, supplemented by the DA following the general guidance provided in this ESMF, provide the primary means of

implementing environmental and social management of the PW subprojects. Three aspects will be important in applying and monitoring the effectiveness of these measures during the implementation phase:

- The Kebele or community proponent will designate a person who will be responsible for ensuring the mitigation measures are effectively implemented as specified before, during and after construction. This will normally be the DA.
- The Woreda EPO will designate a staff member who will be responsible for inspection and oversight of the implementation of the mitigation measures as required.
- The PWFU in collaboration with RBEF in conjunction with the woreda focal person responsible for environmental and social safeguards will assess the application of the prescribed mitigation measures in monitoring and evaluating environmental and social performance of the public works, through the PW M&E system.

The DA should ensure that a list of any subprojects earmarked as being of environmental and social concern accompanies the subproject files forwarded to the Woreda NR Expert in the NR Case Team.

7.2.3 Reviewing Notified Subprojects

When the Regional PWCU reviews a Screened subproject that has been listed by the woreda as being of Environmental or Social concern, it should be noted that not all of these subprojects necessarily need an ESIA. That decision rests with the PWCU.

For each listed PW, the Regional PWCU specialist should prepare for the PWFU the following:

- Your decision as to whether an ESIA is required:
- If an ESIA is required, the recommended scope of the ESIA, indicating aspects to be focused on, skills required, and likely duration of the ESIA. These will constitute ToR for the ESIA.
- If an ESIA is not required, guidance regarding any special needs such as technical guidelines or an environmental and social management plan, including any recommended mitigating measures.

7.2.4 Conducting an ESIA: Guidance for the Woreda ARDO and WEPO

The Woreda Agriculture Office (WAO) & EPO are responsible for ensuring that the required ESIA is conducted, in liaison with the RPWFU. Normally the WAO will establish a team drawing upon woreda environmental and social sector experts, DAs and others as appropriate. The woreda experts concerned will have received basic training in ESIA in the annual PSNP PW training sessions.

The cost of conducting the ESIA will be covered by the PSNP, from the PSNP administration fund for that woreda. The cost will normally be modest, covering expenses above normal daily work, such as travel and field expenses.

The ToR for the ESIA will be based on the recommendations of the RBEFCC, in compliance with the World Bank ESF, and specifically ESS1.

The ESIA report should consist of an environmental and social baseline, environmental and social impact assessment, socio-economic impacts, mitigating measures, and recommendations for implementation and monitoring of the mitigating measures.

ESIA guidelines will be available from the RBEFCC, supplemented by PSNP PW training material.

The RBEF will review the ESIA report, and either approve the PW, recommended re-design, or reject. Reviews should be conducted as quickly as possible, to avoid delay in the PSNP PW programme. The results of the review should be notified immediately to the RPWFU.

Every effort should be made to provide advice to modify a project to enable it to become environmentally and socially sustainable if at all possible, rather than reject it.

7.2.5 Subproject Environmental & Social Management Plan (ESMP)

Each subproject will have an ESMP, which will form part of the ESMF Screening Form completed by the DA, to enable monitoring and follow-up of subproject implementation, and rectification of shortcomings as required. See Annex 20. However, the operation of social infrastructure is the responsibility of other sectors, i.e. Education and Health, and these operations are not covered by the DA Screening procedure. They follow the operations manuals of the sectors concerned.

7.3 Guidelines for Subprojects Requiring a Special Procedure

Projects that require a Special Procedure need to be monitored, evaluated and reported by the DA and Woreda experts regularly through the M&E systems of the PSNP PW. These special procedures do not refer to subproject types. They are Bank requirements which are cross-cutting for any subprojects with certain characteristics.

7.3.1 Integrated Pest Management (See Annex 1)

The Government supports the use of biological or environmental controls and other measures to reduce reliance on agricultural chemicals. Integrated Pest Management (IPM) refers to a mix of farmer-driven, ecologically based pest control practices that seek to reduce reliance on synthetic chemical pesticides. It involves (a) managing pests (keeping them below economically damaging levels) rather than seeking to eradicate them, (b) relying, to the extent possible, on nonchemical measures to keep pest populations low; and (c) selecting and applying pesticides, when they have to be used, in a way that minimises adverse effects on beneficial organisms, humans, and the environment.

The following strategy addresses the use of agricultural chemicals and to promote IPM in the PSNP.

- Public works project funds will not be used for the purchase of pesticides or fertilizers.
- Information on acceptable and unacceptable pesticides will be provided to farmers and Woreda staff to encourage compliance with government policy and international standards.
- Training in agricultural activities on pest and fertilizer applications, safe chemical handling and IPM will be provided to communities' as required.

- The basic Guide for IPM in the PSNP covers techniques including:
 - Pest-resistant crop varieties
 - Use of disease/weed-free planting stock
 - Farming practices that increase resistance to pests (proper soil preparation, spacing, planting, watering, etc.)
 - Farming practices that suppress pest populations (crop rotation, cover crops, intercropping, etc.)
 - Traditional manual control of pests (weeding, removing insect pods, etc.)
 - Biological controls (predators, pathogens, pheromones, etc.)
 - Targeted chemical use (pest scouting/selective treatments)
- Based on the Guide, an IPM Plan will be produced for each agricultural activity which likely utilize agrochemicals.

7.3.2 Medical Waste Management (See Annex 2)

A medical waste management plan is required for all subprojects financed under PNSP5 which include the construction or rehabilitation of health facilities, irrespective of their size. Therefore, project proposals involving the construction of rural health clinics should include provisions for the safe management of medical wastes. The following strategy addresses medical waste issues in the PSNP:

- A Medical Waste Management Guide has been prepared by Government and disclosed, to assist subproject design and operations;
- A preliminary environmental audit of clinic rehabilitation proposals will be undertaken by a qualified professional;
- All proposals will undergo environmental screening to identify environmental concerns and environmental assessment and mitigation requirements associated with waste;
- All proposals will be required to prepare a Waste Management Plan following approval of the project by Woreda Council and before implementation. This plan will be based on the Waste Management Guide. The Medical Waste Management Plan addresses:
 - The quantity and quality of wastes generated
 - The available disposal and treatment options at the site
 - Methods to segregate medical waste from general waste
 - Internal rules for waste handling, collection and storage
 - Clinic responsibilities for waste management
 - Proposed landfill development and operations

7.3.3 Subprojects Involving a Dam (See Annex 3)

Subprojects requiring the construction of dams falling outside the category of subproject for which the PSNP5 PW program is designed will not be approved. Small dams may be approved, subject to a qualified engineer being responsible for the design and supervision of construction, and the construction being carried out by a qualified contractor, following the guidelines set out in Annex 3 of this ESMF. **“The definition of small and large dams is included in Section 5.6 PW Community Planning Process, Table: Subprojects ineligible as PSNP PW”.**

7.3.4 Subprojects involving Land or Asset Acquisition and loss of Access to Assets/resources (See Annex 18)

While subprojects potentially involving voluntary land donation will be eligible, it must be emphasized that any subproject with involuntary loss of land/asset or access to asset will be ineligible. During implementation of Voluntary Land Donation (VLD), if it is household/family land, consultation with family members (including spouses) must be made and family must be aware that refusal is an option; If the land is communal land individuals using or occupying the land must be identified and consulted to minimize the risk of settlers and local communities losing their livelihood due to the land donation decision. If the land that may be donated is household/family land the proportion of the land must not exceed 10% of the total land holding of the donor and must not be the donor's main source of income; this is not significantly affecting the donors' livelihood. Moreover, VLD should not occur if it requires physical relocation, loss of structures or fixed assets on affected portion of land. A formal statement or minutes for all consultation and discussion with the land holders, their interest and agreed actions including schedule should be signed and documented at kebele and woreda agriculture offices and should be reported for enhanced transparency. Project affected person shall freely sign the VLD without any imposition.

7.4 Procedures During Implementation

7.4.1 Grievance Redress Mechanism (See Annex 15)

Grievance Redress Mechanism (GRM): GRM is one of the requirements and most important element in managing the environmental and social risks. As the GRM includes grievance redress related to PW, it is important for the DA to ensure that the system is in place.

The project grievance system currently in place for the ongoing rural safety net project will be strengthened to address complaints of targeted households and public work participants at community, local level. The GRM will also be extended to the national level and be expanded to handle all types of grievances arising from implementation of all the project components. It will have dedicated focal person at the federal Ministry of Agriculture level responsible for the grievances. The community will use the program GRM at local /kebele level for related complaints.

The overall process for the GRM at local level is comprised of five steps.

Step 1: Uptake. At the Kebele level, project stakeholders will be able to provide feedback and submit complaints through the Kebele Appeal Committee (KAC), which is comprised of several focal persons. A member of the KAC will be available at kebele office once a week (e.g., Monday afternoons) to receive grievances in person resolve. Standardized intake forms for acknowledgement receipt and grievance listing will also be developed and distributed.

Step 2: Sorting and processing. Complaints and feedback will be compiled by the Development Agent (DA) or an assigned KAC member and recorded in a register. Cases should be resolved within one month of being heard. The project will support the development, translation, and program-wide distribution of a GRM manual. Cases will initially be sorted and processed into the following four categories: i) appeals (disagreement with decisions passed by program implementers); ii) implementation concerns (dissatisfaction with the quality of implementation); iii) program design (procedures and parameters set by the National level or the Region that requires changes to the program); iv)

transparency and right based (cases that filing and investigating must ensure greater delicacy and anonymity).

Step 3. Acknowledgement and follow up. During PSNP4, it was found that a weak use of pre-determined acknowledgement and follow up was prevalent among KACs, and if follow up occurred, it happened orally. The project will establish literate youth community facilitators as members of the KAC, so that in lieu of their PW hours, they can facilitate timelier and more proactive follow up of cases. Standardized intake forms for acknowledgement receipt and grievance listing will also be developed and distributed.

Step 4. Verification, investigation and resolution. The KAC will be responsible for collecting additional information and investigating through field visits, consultation with community elders and residents and cross-checking documents (PIM, PSNP GRM Manual). When relevant, the KAC will reach out to confer with the social worker at Woreda Office of Labour and Social Affairs (WoLSA). A template document will be provided to the KAC so that they can document their verification, investigation and resolution process.

The KAC will give resolution to the appeals and send a listing of the cases to the Kebele and Woreda Council, who in turn will validate the recommendation and forward the appeal to the Woreda Food Security Task Force for implementation.

Step 5. Feedback and Monitoring and Evaluation. The KAC will inform the grievant about the resolution of their appeal and their right to escalate the appeal if they are not satisfied with the decision. Within four weeks of the complaint being heard, the KAC will report and provide a listing of all the grievances heard and resolved to the Kebele Council, who in turn will share the list to the Woreda Council. In woredas where the MIS system is operational, the Woreda Food Security Desk will be responsible for inputting the grievances into the system. In woredas where the MIS is not yet operational, the Woreda Food Security Desk will forward the appeals listing to the regional GRM focal person, and they in turn will forward it to FSCD.

For GBV/SEA related cases, the focal persons will report to their respective woreda and region which reaches the federal level MoA then to the World Bank. Moreover, the focal persons will refer the survivors to relevant service providers. Detail GBV referral pathways are indicated in the GBV assessment report.

7.4.2 Cultural Heritage Chance-Finds (Annex 4)

Regardless of whether or not any potential impacts on physical cultural resources (PCR) have been identified, *all* subprojects must be monitored for unexpected encounters with PCR, using the Chance-Finds procedure for which guidance is provided.

7.4.3 Occupational and Communal Health & Safety including Child Labour (Annex 11)

During implementation on site, the DA and any foremen/women involved should ensure that the Occupational and Community Health & Safety guidelines are followed. The OHS requires ensuring that all required measures for health and safety are effective on site, including labour management, the exclusion of child labour, site housekeeping, on boarding of workers, the provision of first-aid boxes and the timely and routine reporting of accidents

and injuries. The woreda Labour and Social Affairs staff are responsible for overall supervision and monitoring.

7.4.4 Labour Management (Annex 12)

The Project has prepared a Labor Management Procedure (LMP), which also incorporates a summary of the OHS guideline to be implemented under the PSNP5 with the objective of ensuring compliance with the standards of ESS2 for all labour categories involved. This includes the plan to ensure that no community workers are overburdened with PW either in terms of potential damage to health or in terms of having to do PW at the expense of working on their own farms.

7.4.5 HIV/AIDS

PSNP5 poses both challenges and opportunities regarding the prevention and control of HIV/AIDS. The PW activities could have negative impacts through increasing mobility of a large number of people, thereby creating favorable conditions for the spread of HIV/AIDS. To mitigate the potential negative impacts of Safety Net activities, it will be essential to continue effective & participatory HIV/AIDS prevention and control measures in the design of the programme.

Mainstreaming HIV/AIDS Prevention and Control

The existence of organized structures which coordinate the planning, implementation, monitoring and evaluation of the PSNP at federal, regional, woreda and community levels, provides an opportunity to mainstream HIV/AIDS prevention, and to control activities in the PSNP. The interface between local government (woreda, kebele) and local community governance structures is strong, and these structures can be used as a basis on which the local response of HIV/AIDS can be built.

Training

Training for CFSTFs will include a component addressing the prevention and control of HIV/AIDS. The CFSTF will work in close collaboration with Anti-AIDS committees, wherever they exist, to raise the awareness of the community and prevent the spread of HIV/AIDS.

Protection and Involvement of Women and Girls

As women and girls are more vulnerable to HIV/AIDS risks than other members of the community, it is imperative to emphasize the protection and role of women and girls in the prevention and control activities that will be planned.

Avoidance of Discrimination

It is also essential to ensure chronically food insecure households which are affected by HIV/AIDS will benefit from SNP without being exposed to any stigma and discrimination.

In addition, if a household cannot provide labour to participate in the public works because of illness associated with HIV/AIDS, it should be eligible to receive direct support from PSNP5.

7.4.6 ‘Alignment of Operations’ Procedure (Annex 6)

In 2014-15 a procedure for proactively managing the interface between the Government of Ethiopia’s Commune Development Program (CDP) and Bank-financed projects was developed and agreed with government. The procedure, developed under the title “Supporting Results and Alignment of Operations in Ethiopia’s Rural Areas” is designed to address the interface between Commune Centres (CC) and Bank-financed projects or sub-projects in, or in the vicinity of, the CC.

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

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

The procedure is simple and is designed to be embedded within the ESMF. It involves gathering basic data on the CC and classifying it in terms of its viability. Based on the classification, the Bank determines whether, and how, the Bank-financed project or sub-project should proceed. The procedure for the DA is set out in Annex 6.

Step 1: Screening

The CC is screened by the DA as part of the normal ESMF screening procedure of the Bank-supported sub-project. The DA must now address an additional question: “Will this sub-project be inside a Commune Centre or close enough to a CC to have any potential direct or indirect impacts on it or on the people in a CC?”

- If ‘Yes’, a checklist will be completed by the Screening staff member.
- The completed checklist will be forwarded via the federal ESMF focal person to the Bank Task Team.
- If ‘No’, there is nothing additional to be done.

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

Step 2: Managing the Interface

The Bank Task Team classifies the CC based on the completed checklist (See Annex 15). This classification indicates to the WB what strategy to adopt.

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

- **Mandatory Factors:** Sufficient and suitable *land* and *water supply based on regional/woreda government standards*. If they cannot be provided, the CC cannot be viable.
- **Access to Basic Services:** *Education, Health, Water*. Even if absent, these services could be provided in future.

- **Prior Conditions:** *Consultation, voluntariness, relocation distance and potential for conflict.* These issues should have been addressed at the planning stage. However, shortcomings may not necessarily mean that the CC is non-viable.
- **Operations and Maintenance:** *Good management & supervision, resource allocation, and grievance redress.* These can only be provided by government

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

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

The principles of CC classification as are follows:

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

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

For Category I CCs:

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

For Category II CCs:

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

For Category III CCs:

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

PART III: LIVELIHOODS STRENGTHENING ESMF

8. Livelihoods Strengthening: Background

PSNP5 incorporates a Livelihoods Strengthening component which will provide mentoring and coaching to support aspiration development, improved access to appropriate financial services, a focus on savings for all households, livelihoods transfers, and credit for the credit-ready. It will support livelihoods strengthening through three pathways:

- Agricultural production, supported by improved extension for increased agricultural production;
- Off-farm income generating activities, supported by business and technical skills training;
- Workforce development and linkages to employment

Some of the activities chosen for support under Strengthening Livelihoods will be traditional; others will be innovative, and may be designed as off-farm income-generators. Some may involve introducing crops not traditionally grown in the location concerned; some may involve introducing new techniques such as micro-scale irrigation for crops previously only rain-fed.

Typical livelihoods investment activities under this component could include, but may not be limited to, the following:

- Poultry keeping
- Ox fattening
- Sheep fattening
- Sheep production
- Goat fattening
- Goat production
- Beekeeping
- Micro-scale irrigation for cash crop production (e.g. Vegetables, fruit, enset, coffee and trees for fuelwood or poles)
- Off-farm activities such as petty trading
- Others

This list is not exhaustive and will be determined on a site-specific basis through the Value Chain Analysis in the various regions, woredas and livelihood zones. It should also be noted that some households may select to undertake activities not listed here, and in some regions and woredas, area-specific activities that are not found in other parts of the country may arise. For this reason, no attempt is made here to forecast the likely cumulative impacts of the programme. Instead, the focus of this ESMF is on providing an environmental and social management framework that will enable the regional and woreda authorities to anticipate environmental and social issues, track cumulative impacts, if any, and takes corrective action as required. This is carried out by the regular update of the Woreda Environmental & Social Profile, which identifies any new or emerging Environmental or Social issues. In each woreda or kebele an Activities exclusion list is developed, which becomes part of the Woreda/kebele Business Guidance, specifying which Activities may not be undertaken, including new conditionalities or mitigating measures required. This is updated on an annual basis.

9. Rationale for a Cumulative Environmental and Social Assessment Approach

Individual HH-level LH activities typically have insignificant environmental and social impacts. However, since the PSNP has around 1.5 million beneficiary households, the potential negative impacts of large-scale adoption of new LH Activities, such as livestock ownership, micro-scale irrigation, export crop cultivation, etc., may be considerable. Furthermore, the impact of a large number of households taking up the same activity in a given area is often ‘greater than the sum of the parts. Such impacts, usually known as ‘cumulative impacts’, can best be addressed at a strategic level, rather than the site-specific approach of Environmental and Social Impact Assessment (ESIA). Thus, the objective of the LH ESMF is to:

- Identify the type of household-level activity that might give rise to significant potential impacts if adopted at scale;
- Assess the possible nature and extent of such impacts;
- Based on the likely impacts, develop environmental and social guidelines for the selection of LH Activities;
- Produce a woreda-level procedure for monitoring, managing and mitigating impacts, should they arise.

10. LH Environmental and Social Issues

The environmental and social impacts of the Livelihoods Strengthening sub-component will be influenced by:

- The nature, condition and resilience of the biophysical and social setting
- The LH Activities selected
- The rate of take-up of the LH Activities
- The PSNP Public Works and other community projects in the watersheds concerned.

PSNP woredas are all to a greater or lesser extent environmentally degraded, and even those that have been partially rehabilitated have fragile eco-systems. Thus, given the relatively high population densities, when a particular type of household micro-scale Activity becomes popular and is adopted on a wide scale, there is the potential for the Activities to have impacts on the biophysical and social environment, for example:

- Animal production and/or fattening leading to (a) uncontrolled use of drugs or chemicals, leading to chemical pollution, and (b) an increase in animal numbers and uncontrolled grazing, leading to increased environmental degradation;
- Poultry-keeping leading to uncontrolled use of drugs or chemicals, leading to chemical pollution;
- Crop-irrigation using surface water (in water-harvesting ponds), causing (a) reduced river-flows, (b) increased safety risk for children and livestock; and (c) an increased risk of malaria;
- Crop-irrigation using groundwater (e.g., shallow wells), leading to (a) a lowering of the water-table, (b) soil salination, and (c) uncontrolled use of agrochemicals, resulting in ground water pollution, and subsequent health hazards for human and animal life;
- Micro-processing of agricultural residues for animal feed production, thereby reducing local energy sources, leading to deforestation;

- Trading in fuelwood or poles or charcoal, leading to deforestation and a reduction in local energy sources;
- Introducing new crop varieties could lead to a narrowing of the genetic base by eradicating land races, which could mean, for example, that in the event of an outbreak of disease, there is no alternative, disease-resistant strain available;
- If the cultivation of cash crops becomes so popular that cash crops come to displace food crops to a significant extent, this could produce an imbalance that might lead to food shortages within, or outside, the woreda;
- Area Closure for growing bee forage crops might oblige cattle to seek marginal grazing lands;
- For households receiving loans for fisheries activities, the use of inappropriate nets and poor fishing practices may have negative environmental impacts such as stock depletion.

When conducted at scale, HH-level LH Activities could involve social risks. For example:

- Social conflict arising from degradation caused by livestock overgrazing resulting from animal-fattening Activities;
- Health issues arising from pollution from poultry-keeping Activities using drugs or chemicals;
- Hardship and unrest created for downstream users due to water abstraction for vegetable-growing;
- Social conflict arising from deforestation and reduction in local energy sources due to trading Activities in fuelwood, poles or charcoal;
- GBV arising from empowerment of women undertaking LH Activities.

11. Procedures for Environmental and Social Management

For practical purposes, cumulative environmental impacts will be monitored at woreda level. Since woredas differ widely in terms of agro-climatic condition, so the likely impacts of an activity will depend on where it is implemented. Therefore, procedures are set out here for each woreda in order to:

- Predict the major impacts, if any, likely to arise from the (expected) most popular activities,
- Identify suitable mitigating measures that can be adopted at household, woreda, zone or regional level, as appropriate.
- Identify activities which if adopted at scale would lead to serious environmental impacts that it would be difficult or impossible to mitigate.
- Monitor the implementation of the mitigating measures and do the necessary follow-up.

11.1 Woreda Environmental and Social Profile

In each PSNP woreda, a *Woreda Environmental and Social Profile* will be drawn up by the Woreda Extension Case Team NR Expert and Sociologist, in conjunction with the PW Focal Person, the Woreda Environmental Expert, the Woreda Natural Resources Case Team NR Expert, Woreda Sociologist/Social Expert.

The *Woreda Environmental and Social Profile* is required to be succinct, clear and comprehensive. It should cover:

- All the basic features of the woreda that can have a bearing on the environmental and social status and resilience of the woreda such as geography, soils, population, demography, culture, language, social infrastructure including education, health and water, land use, flora, fauna, communications, human and animal health, cultural heritage;
- Key environmental and social issues in the woreda.

Guidance on developing a *Woreda Environmental and Social Profile* is set out in Annex 7. *Woreda Environmental and Social Profiles* should be updated on an annual basis.

11.2 Environmental and Social Guidance for Business Plans

The Woreda Extension Natural Resources and Sociologist jointly identify the Livelihoods activities considered most likely to have significant potential negative cumulative environmental and social impacts in the woreda concerned if adopted by large numbers of households. These potential impacts are identified, covering medium-term impacts (up to 5 years ahead) and long-term impacts (more than 5 years).

Mitigating measures, if necessary, are also developed. These will fall into the following groups:

- Measures to be adopted at household level as either conditions of the credit/loan or recommended good practice;
- Measures to be adopted at kebele or woreda level.

A specimen list of Activities and potential impacts is set out in Annex 8. This includes identification of the cumulative impact, if any, of the combination of activity-specific impacts.

The Woreda Extension Case Team NR Expert and Woreda Sociologist are responsible for ensuring that any mitigation measures are implemented. If this requires actions outside the NRMD and Social sectors they coordinate as required with the concerned sectors through the Woreda Technical Committee. The mitigating Measures are set out in an Environmental and Social Monitoring Plan as shown in Annex 9,

Livelihoods activities that have potential significant negative impacts which cannot be easily mitigated are ineligible for the Livelihoods Strengthening component, and are identified on a short-list in the *Woreda Environmental and Social Guidance for Business Plans*, which is updated on an annual basis.

An indicative specimen draft of a *Woreda Environmental and Social Guidance for Business Plans* is set out in Annex 8.

11.3 Environmental and Social Monitoring

In order to ensure that the requirements set out in the *Woreda Environmental and Social Guidance for Business Plans* are implemented, the Woreda Extension Case Team NR Expert and Woreda Sociologist follows an Environmental and Social monitoring procedure,

identifying indicators to be measured and recorded at given intervals, as set out on an *Environmental and Social Monitoring Plan*.

The Woreda Extension Case Team NR Expert and Woreda Sociologist will submit the data required in the *Environmental and Social Monitoring Plan* to the Regional Extension staff dealing with the Livelihoods Strengthening component, and the NR ESMF and Social Specialists in the PWFU. Any requirements for rectification will be sent to the DA.

A specimen indicative draft *Environmental and Social Monitoring Plan* in Annex 9 represents an example for the three most common types of LH Activity. The Woreda Extension Case Team NR Expert and Woreda Sociologist jointly develop such a matrix for the activities in their own woreda. Normally this is done once, when an Activity is first introduced. The data is accumulated; if and when a new LH Activity is introduced that might have potential negative impacts if adopted at scale, a new version of Table 4 in Annex 8 is compiled. Also, whenever a new Woreda Environmental & Social Profile is developed, Table 4 is reviewed updated, in case the features and risks in the Woreda Environmental & Social Profile have changed.

Coordination, oversight and support to this process will be the responsibility of the federal Livelihoods Strengthening Technical Team at federal level.

11.4 LH Group Activities

It occasionally happens that a number of households decide to form a LH Group linked to one or more PW subprojects. Such a LH Group, which may be formed at the watershed-level or at the PW subproject-level, may also benefit from the Livelihoods Strengthening sub-component. Members of such a LH Group Activity may be either PSNP or non-PSNP clients.

Examples of such LH Group Activities include, for example:

- A Bee-keeping Group which needs to utilize a PW Area Closure subproject nearby for growing the required bee-forage plants;
- An Export Crop Cultivation Group requiring shallow wells, which in turn need adequate groundwater made available by PW subprojects;
- An Animal-Fattening Group utilizing a PW Area Closure subproject to ensure an adequate supply of forage;
- A Vegetable Production Group set up to benefit from PW SWC activities in the vicinity.

Such LH Group Activities will need to be Screened for potential environmental and social impacts, in a manner similar to the Screening of a PW subproject. The Environmental and Social Screening of the LH Group Activity will be conducted by the NRM DA with the support of the woreda PW Focal Unit using the approach utilized for Screening PW subprojects.

The PW program in a community watershed will influence which income-generating LH Activities will be viable for the beneficiary households (both an individual HH- and Group-level), and in some cases will be a condition for granting the concerned LH credits. For this reason, PSNP5 is designed to strengthen the linkages between the PW and PH sub-components.

PART IV: MONITORING AND REPORTING

12. Monitoring and Reporting Structure

Reporting on Environmental and Social Risk Management will be in the form of an Environmental & Social Management Report, issued twice per year. The report will include Environmental & Social indicators covering the PW and LH subcomponents and the implementation of the instruments designed to manage the broader social risks, namely the GBV, OHS/CHS, GSD, SEP and LMP procedures, and the functioning of the GRM.

Environmental and Social issues will also be reported in the Quarterly and Annual Project Reports.

Reporting will also include any significant social, labour, health and safety, security or environmental incident, accident, or circumstance involving the Project, including, explosions, spills; any workplace accidents that result in death, serious or multiple injury, or material pollution; or any violent labor unrest or dispute between the Borrower or security forces assigned to protect the Project and local communities; or any project related gender-based violence, sexual exploitation or abuse suffered by beneficiaries receiving health services at a health facility under the Project; or any other event or circumstance having, or which could reasonably be expected to have, a material adverse effect on the implementation or operation of the Project in accordance with the ESF. Sufficient detail will be provided regarding the Significant Event, indicating immediate measures taken or that are planned to be taken to address it, and any information provided by any supervising entity, as appropriate. Subsequently, as required, a report will be prepared on the incident or accident and propose any measures to prevent its recurrence.

13. Monitoring of the PW and LH Subcomponents

Monitoring of the implementation of the PW ESMF and the Livelihoods Strengthening ESMF is an important aspect of ensuring that the commitment to environmental and social sustainability of the PSNP is being met. The regular monitoring of the implementation of the ESMF will be overseen at regional and zonal levels.

The ESMF Specialists in the regional Public Works Focal Unit (PWFU) and regional Livelihoods Strengthening teams will receive the relevant information from each Woreda ESMF Expert that is based in the woreda PW team/unit.

Direct supervision of project implementation will be at kebele, woreda, zonal and regional levels, and this data will be inputs to the regular PW M&E system and the PW Mapped Database System:

- The DAs, with assistance if required from the woreda line office concerned, will ensure that the specified mitigating measures for the PSNP PW subprojects are implemented, and that the Livelihoods Strengthening ESMF procedure is implemented in the concerned woreda;
- The Woreda ESMF Expert and Social expert will verify that the proper procedures are being followed for all the PSNP PW and Livelihoods Strengthening activities in the woreda, and that no significant negative environmental and social impacts are taking place. Where such impacts may occur, the Woreda EPO will provide advice on actions to be taken.

- At Regional level the ESMF Specialist(s) and Social Specialists in the PWFU will monitor, in conjunction with the REPA:
 - Implementation of the PW ESMF and of the procedures triggered by it, including the PW Subprojects Screening procedure, the *Integrated Pesticide Management Guidelines*, the *Medical Waste Guidelines*, the *Dam Safety Guidelines* and the *Physical Cultural Resources Chance-Finds Guideline*.

The ESMF Specialist in the federal Livelihoods Strengthening Technical Unit will monitor:

- Overall implementation of the Livelihoods Strengthening ESMF, and
- The effectiveness of the *Woreda Environmental and Social Guidance for Business Plans* in avoiding or minimizing adverse impacts, and the nature and extent of any such impacts.

The PWCU, FSCD and MoLSA will also jointly ensure that the implementation of the recommendations in the Enhanced Social Assessment and Consultation are monitored, ensuring that all prescribed measures for under-served and particularly vulnerable groups have been implemented.

In addition, targeted in-depth monitoring will be conducted annually by PW and LH Reviews, supplemented by regular Spot-checks, in which sample woredas in the regions will be visited in order to verify the implementation of the PSNP5 PW and LH ESMF procedures.

The need for rectification of any negative Environmental, Health, Safety or Social impacts or non-compliance is detected and documented by the woreda staff during their verification examinations of the PW subprojects and Livelihood activities. Rectification is the responsibility of the woreda government, though they may call upon Project resources if required in the form of a rectification or rehabilitation subproject.

14. Monitoring and Reporting on Broader Social Issues

Implementation of the Social Development Plan, Gender and GBV action plans as well as the Stakeholders Engagement Plan will be reviewed bi-annually by the Social Development Team based in FSCD in collaboration with the multisectoral Gender and Social Development (GSD) team comprised from MOA - FSCD, Women Affairs Directorate(WAD), and NRM and MOLSA. The SD taskforce¹⁰ will also provide support in the processes. Key social issues at region and woreda level will be regularly monitored by MoA and MoLSA structures from national to local level. Voluntary Land /Asset Donation related activities will be monitored by FSCD and NRM ESMF experts from national to local level. MoA FSCD will compile overall social progress reports that incorporates the implementation of the above-mentioned plans.

¹⁰ The Program SD Taskforce comprised from both government and development partners; chaired by FSCD

15. Proposed Environmental Indicators for the Environmental & Social Management Report

No	Indicator	Source	Responsible for Collection
PW ESMF			
1	Percentage of PW subjects screened, by Region Percentage of subprojects with existing environmental problems or issues Percentage of Subprojects referred to the Region as being of Environmental or Social Concern”.	Quarterly and Annual reports, PW Reviews, and Mapped Database System	NRMD
2	Percentage of subprojects for which required mitigating measures have been implemented, by Region	Quarterly and Annual reports, PW Reviews, and Mapped PW Database System	NRMD
	Percentage of PW subprojects with unmitigated environmental impacts or risks.	PW Reviews	NRMD
3	Quality of ESMF Screening	PW Reviews	NRMD
Occupational Health and Safety (OHS)			
4	Percentage of PWs participants with access to personnel protective equipment (PPE) where required	Kebele Cabinet/ KFSTF	MoLSA
5	Number of occupational accidents, occupational diseases, dangerous occurrences, and incidents categorized by fatal, non-fatal loss-time injuries, and all other injuries	Spot Check	MoLSA
Livelihoods ESMF			
6	Percentage of woredas with a woreda Environmental & Social Profile	Quarterly Reports, Annual reports, Livelihood reviews	FSCD
7	Percentage of kebeles with Environmental & Social business Guidance	Quarterly Reports, Annual reports, Livelihood reviews	FSCD
8	Percentage of kebeles in which the Environmental & Social business Guidance is being used by the DA	Quarterly Reports, Annual reports, Livelihood reviews	FSCD
ESOHS Training			
9	Percentage of PSNP NRM DAs trained in ESOHS	Annual Reports	NRMD
10	Percentage of PSNP Crop/Livestock DAs trained in ESOHS	Annual Reports	FSCD

16. Proposed Social Indicators for the Environmental & Social Management Report

No	Indicator	Source	Responsible for Collection
Grievance Redress Mechanism			
1	Number of Monitoring and Evaluation (M&E) carried out by Woreda Council on the KAC	Woreda Council	FSCD
2	Number of grievances logged by <ul style="list-style-type: none"> Type Gender of grievant Resolution status Implementation 	MIS	FSCD
3	Number of grievances escalated from KAC by <ul style="list-style-type: none"> Type 	Woreda Council	FSCD

Part IV: Monitoring and Reporting

No	Indicator	Source	Responsible for Collection
	<ul style="list-style-type: none"> Gender of grievant Resolution status Implementation 		
Voluntary Land/Asset Donation (VLAD)			
4	Number of HHs that provided VLAD by <ul style="list-style-type: none"> region and subproject type 	Project report and Review, Woreda NRM	MoA, FSCD,
Gender Based Violence			
5	Number of GBV reported cases by <ul style="list-style-type: none"> Type Status of actions taken Referral to appropriate response services 	Review report	MoA, MoLSA
Child Labour			
6	Number of child labour incidents	Spot Check, review	MoLSA
Gender and Social Development (GSD)			
7	Number of pregnant women transitioned to TDS disaggregated by at or before 4 months, and beyond 4 months of pregnancy	Review	MoA
8	Number of labour constrained FHHs received PW labour support		
Stakeholder Engagement Plan			
9	Number of public consultations held by woredas on beneficiary entitlements (annually)	Review/Report/	FSCD
10	Number of communications materials on beneficiary rights developed and disseminated to beneficiaries	Review/report/Spot Check	FSCD
11	Number of press materials published/broadcasted in the local, regional, and national media	Review/report/Spot Check	FSCD
Labour Management Procedure (LMP)			
12	Percentage of Community Watersheds Teams that are aware of LMP	Woreda Agricultural and Natural Resource Office	MoLSA
13	Percentage of PW participants who are not below the age 18 and above 60	Kebele Administration/ KFSTF	MoLSA
14	Percentage of watersheds sites with temporary or permanent childcare centers	Kebele Cabinet/ KFSTF	MoLSA

PART V: STAKEHOLDERS CONSULTATION AND PUBLIC DISCLOSURE

During the preparation of first phase enhanced social assessment, review has been conducted based on mainly the existing consultation and studies before and during the course of PSNP4, and explains how they have been integrated in the design of PSNP5. Since PSNP5 does not involve any fundamental changes in the design, these findings have been adopted as entirely relevant for the preparation of PSNP5. This was further complemented by the primary data in second phase enhanced social assessment and consultations conducted with relevant stakeholders and community representatives. The findings of phase I and II analyzed the impacts of interventions on the ongoing rural safety net program on the most vulnerable and historically underserved populations. Moreover, as part of the program's Gender Analysis and GBV risk assessment exercises, extensive community consultations with vulnerable groups were conducted, and discussions were made with federal level stakeholders including development partners which became part of the first and second phases of enhanced social assessment and consultations.

The second phase of the ESAC, which has been conducted from October to November, 2020 with consideration of the Covid-19 Pandemic, has covered community consultations with specific vulnerable groups, particularly those new to the PSNP, in order to develop any community-specific or area-specific adjustments in Project design or implementation that may be required in order to ensure that the project fully responds to those community needs. The main objective of the Enhanced Social Assessment and Community Consultations (ESAC), which is annexed here as Annex 19, is to ensure that the design of the PSNP5 is inclusive and equitably supports the most vulnerable and historically underserved populations in Ethiopia through assessing their specific needs and realities, identifying the potential impact of the proposed interventions of PSNP5 on their sociocultural, economic and political wellbeing. Thus, in the annex section both Phase one and Phase two reports were included, but the Social Development Plan of the two phases were merged in the ESAC II so to avoid repetition although reports of phase I and II are annexed.

17. Introduction

The constitution of Ethiopia recognized that citizens have a right to full consultation and expression of their views in the planning and implementation of environmental policies and projects that directly affect them. Likewise, the World Bank Environmental & Social Standards (ESS 10) recognizes the importance of open, transparent and effective stakeholder engagement plan to improve the environmental and social sustainability of projects, enhance project acceptance, and make a significant contribution to successful project design and implementation. The World Bank's Environmental and Social Framework (2016) recognizes the importance of early and continuing engagement and meaningful consultation with all stakeholders. One among the eligible category is the communities living in the project catchment area who are historically underserved, vulnerable and marginalized groups. The other unit of interest of the stakeholder engagement deliberation includes the key stakeholders, which have a significant contribution to the successful project design, implementation and monitoring and evaluation activities. These stakeholders include main implementing agencies or government offices, NGOs or other development partners.

The overall moral of the stakeholder consultation and participation activities is in order to understand the concerns of affected people, and how the Borrower (FDRE) addresses such

concerns in project design and mitigation measure. Hence, as part of the comprehensive ESAC, the stakeholder consultation –particularly the community consultation is to assess the various social concerns and issues, which enable to understand the views/opinions and recommendation of community members.

In line with the requirements of the ESS7, underserved people's representative and organizations were involved in the consultations. Accordingly, community consultations were conducted with vulnerable and disadvantaged people and implementing bodies in the 8 sample woredas consulted in the six regions. The primary sources of data depended on consultations conducted with key informants at federal, regional, woreda, NGOs and development partners as well as beneficiaries, vulnerable and disadvantaged groups. Overall, 97 implementing stakeholders from all involving Regional Bureaus, Woreda Sector Offices and Kebele level program implementers were participated in the consultation. Moreover, consultations were conducted with 164 individuals representing the vulnerable, underserved communities and beneficiaries of the program and in total 269 individuals participated.

18. Summary of ESAC Phase II PSNP5 Stakeholders and Community Consultations

18.1 Community consultation

Community consultation participants comprised project beneficiaries (PW clients, TDS clients, PDS clients and PSNP emergency response clients) of the kebele selected from the respective sampled PSNP woredas. Issues related to awareness, targeting, transfers, public works, livelihood support, nutrition, and program impacts (positive and negative) were raised to guide the discussions during community consultation. The participants stated that they are aware of the objectives and components of the PSNP. Nevertheless, they expressed their active participation in the planning of each component of the PSNP is very much minimal. The social issues, concerns, gaps identified with their corresponding recommended actions are summarized under the table below.

Table 11. Summary on Key Issues Raised and Recommended Actions

Social Issues, Concerns and Gaps Identified during Community Consultations	Recommended Actions
Low participation of vulnerable or underserved communities	Continues and timely participation before and during the implementation of the project
Exclusion and inclusion errors during targeting, which is higher for underserved and vulnerable groups due to lack of fair and transparent selection process, lack of proportional representation and active involvement of women in FSTF and KAC, lack of awareness and technical skills by FSTF and KAC members on community-based selection process, acts of nepotism, favoritism, abuse of power and corruption by DAs and kebele administrators, elite captures and none responsive appeal system	<ul style="list-style-type: none"> • Ensure at least 30% of women members in FSTF and KAC. • Provide annual awareness raising and technical-based training for FSTF and KAC on gender sensitive PSNP provisions so as to express the interest of women for fair inclusion during targeting process and throughout the implementation period of the PSNP as well as to enhance their capacity for effective targeting and mechanisms of handling complaints. <p>Serious supervision and follow-up measures and actions on those members of the FSTF, DAs and kebele administrators engaged in acts of nepotism, favoritism, abuse of power and corruption</p> <p>Provide training for informal and traditional leaders to strengthen their positive role in the targeting process</p>

Social Issues, Concerns and Gaps Identified during Community Consultations	Recommended Actions
<p>Delay in transfers caused household asset depletion and other negative coping strategies.</p> <p>Inaccessibility of the location of payment and food distribution center, particularly for vulnerable groups</p> <p>Potential risk of mismanagement or misuse of transfer when received by men and, thus, potential risk on household food security and ensuing disagreements and conflicts between husband and wife.</p> <p>The type of food transfer may not always appropriate to the food habit of the pastoral communities.</p> <p>Household consumption gap due to high inflation rate/the eroded value of the cash transfer combined with the inadequacy of transfer may increase risk of negative coping strategies and asset depletion.</p>	<p>and devise a system to check the subjective or unfair decision</p> <p>Ensure timely commodity movement from federal to region and from region to PSNP woredas. Avoid delay in budget release from federal to region and from region to PSNP woredas. Ensure on time payment request form submission and preparation of payroll by woreda to region. Promote e-payment system in PSNP woredas and kebeles with poor road infrastructure transport commodities before the rainy season. Make the payment and food distribution center accessible to all by constructing a new center (as part of PW) at relatively short distance.</p> <p>Ensure joint-client card ownership by wife and husband for equal access of program resources or transfers</p> <p>Promote awareness creation among the PSNP clients on the importance of women ownership over program transfers and household resources</p> <p>Consult the preference of the pastoral communities over payment modality or provide the kind of food transfer that is appropriate to the food habit of the pastoral clients.</p> <p>Review and adjust the compensation for the eroded value of the cash wage rate should be made as per the high rate of inflation annually.</p>
<p>Lack of participatory planning of PWs, increased workload especially for women, mismatch between the timing of PWs activities and clients' annual farming/pastoral calendar.</p> <p>Some PSNP woredas, pregnant women participate in PWs until several months of their pregnancy. That may expose pregnant women and the fetus to serious health and safety problems.</p> <p>Health and Safety risks associated with participation of pregnant women in PWs in some woredas.</p> <p>Children safety and nutrition risks for those women who left the kids behind without having no adult person at home for proper care or taking kids to do PW activities by caring on their back.</p>	<p>Ensure the active participation of the beneficiary households in the Kebele PSNP PW watershed planning committee to prioritize PW activities and deciding on convenient timing of PWs. during annual PSNP PW planning and verified during annual PW review. Besides, consider the specific contexts of household livelihood in the highland and lowland areas</p> <p>Ensure effective participation of women in the planning process of PWs to properly reflect and prioritize their special needs of labour engagement; consider reduction of the working hour, number of days or share of the household labor; and assign women to light works to reduce the physical exhaustion of labour-work.</p> <p>Awareness raising for pregnant women to begin early ante-natal follow-up for exemption from PWs participation during SBCC sessions.</p> <p>Construct daycare centers as part of PWs and facilitate with the necessary equipment in pilot woredas.</p>

Social Issues, Concerns and Gaps Identified during Community Consultations	Recommended Actions
Health and safety as well as equity issues arising from disruption of downstream water users and the use of agro-chemicals and pesticides by upperstream households	Create mutual understanding among up and down stream users of irrigation water users annually and set functioning water users group to address health, safety and equity issues raised from irrigation water usage
<p>PSNP livelihood support sub-component has not been commenced yet in Afar and Somali regions that generated discontent.</p> <p>In some regions where the livelihood component has been implemented for years, women in male-headed and polygamous households are not targeted.</p> <p>There are serious complaints related to the unfair targeting of livelihood support for the disadvantaged and vulnerable groups.</p>	<p>Launch the livelihood support sub-component in Afar and Somali regions as per the plan in design document</p> <p>For male-headed households, encourage women for the targeting of livelihood support. For polygamous household, consider the chance of targeting for livelihood support per co-wives.</p> <p>Re-consider previous PSNPs targeting criterion for the inclusion of vulnerable groups such as landless unemployed rural youth and new residents to woredas. Provide affirmative action to fairly target for elderly-headed households and disabled/persons affected by chronic diseases as deemed necessary.</p>
Access to basic adult education, Community Based Health Insurance (CBHI) and legal services to PDS and TDS are basically limited in all PSNP woredas.	Pay special attention to link the needs of TDS and PDS clients to locally available social services such as health and nutrition, education, Community based Health Insurance and legal services. Sign, implement and monitor a tripartite MoU between MoA, MoH and MOLSA, which clarifies roles and responsibilities and reporting mechanisms.
Constraints related to financial supports: inadequacy of livelihood grant, mismatch between demand and supply of micro-credit, pre-conditions put for loan and absence of cultural appropriate credit service	Facilitate cultural appropriate credit service, increase the amount of the livelihood grant and expand the access of micro-credit service as the mitigation measures.
The existing early warning system lack effective and easily accessible <i>means</i> of delivering warning messages to alert the potentially affected communities and among the key stakeholders for pro-active measures.	Strengthening the existing early warning system for effective and easily accessible means of delivering warning messages to alert the potentially affected communities and initiate the key stakeholders for pro-active measures to avoid, reduce or properly mitigate the impacts.
<p>Targeting</p> <ul style="list-style-type: none"> • Inclusion and Exclusion errors • Exclusion of newcomers in Afar and Somali who may not belong to the extended family, lineage or even the clan which controls the territory • The gender provisions related to targeting of polygamous HHs is not properly implemented • There is limited project beneficiaries and staffs' understanding/capacity, implementation and reporting on GBV • Some clients specifically old people that should be eligible to participate in DS are targeted for PW 	<ul style="list-style-type: none"> • Introduce use of PMT for exiting • Strengthen downward and upward accountability of the project to ensure that people feel secure about their rights and entitlements (Social Accountability tools) • Create awareness among traditional authority structures and undertake information campaign to ensure that purpose and principles of PSNP5 are understood, including targeting procedures, etc. • Design targeting structures with careful consideration to the balance between formal and informal traditional authority structures • Implement and monitor the actions included in the GAP and GBV action plans related to targeting, GBV and GRM • Conduct annual GRM review and include the recommendations of the review in the project

Social Issues, Concerns and Gaps Identified during Community Consultations	Recommended Actions
<p>GRM</p> <ul style="list-style-type: none"> Limited functionality, effectiveness and gender sensitiveness of Kebele Appeals Committees (KAC) <p>Exit from the program</p> <ul style="list-style-type: none"> People may graduate before they are ready <p>Capacity</p> <ul style="list-style-type: none"> Low capacity at woreda and kebele levels Lack of staff and staff turnover as a result of poor motivation and remuneration resulting in the aggravation of the problem related to project implementation Weaknesses in monitoring and evaluation 	<p>annual plan and reporting</p> <ul style="list-style-type: none"> Capacity development and awareness raising for KAC members and traditional leaders concerning the objectives of PSNP Coordinate with ESAP 3 to implement social accountability mechanisms which creates the environment that enables beneficiaries to demand better responsiveness and accountability from implementers and managers. KACs should also receive adequate training on social accountability principles and the PIM in order to function effectively Design and implement evidence-based project exit strategy Regular and focused capacity building trainings for members of the various PSNP-related grassroots committees Carry out spot checks Revise reporting templates to make space for reporting on challenges related to participation in PWs and Gender and Social Development PIM provisions

Please see annex 5.3 of ESAC II findings for the detailed social issues, concerns and identified gaps and recommended actions of community consultations.

18.2 Consultation with Federal and Woreda Level Stakeholders

The key issues raised during consultation with federal and woreda level stakeholders were related to awareness, targeting, transfers, public works, livelihood support, shock-responsive safety net and institutional arrangements as well as capacity gaps.

Table 12. Federal and Woreda Level Consultation Summary with Recommended Actions

Social Issues, Concerns and Gaps Identified during Community Consultations	Recommended Actions
<p>Program implementers, particularly those at the woreda and kebele level lack awareness of the shift of the targeting criteria in PSNP5 and what facts necessitates the change. When probing for the targeting criteria in PSNP5, these program implementers still referred to the criterion of “chronic food insecurity” that has been used for the previous phases of the PSNP instead of the new selection criteria of “extreme poverty” and “extreme vulnerability to shock” for PSNP5. As woreda and kebele level program implementers are responsible frontline staffs, lack of awareness on the design changes of the PSNP5 may have the risk to use the earlier selection criteria while targeting for PSNP5</p>	<p>Proper awareness raising training for these responsible frontline staffs on the overall design changes of the PSNP5 should be given well before the commencement of the new targeting exclusion and inclusion errors</p>
<p>Exclusion and inclusion errors during targeting, which is higher for underserved and vulnerable groups due to lack of fair and transparent selection process, lack of proportional representation and active involvement of women in FSTF and KAC, lack of awareness and technical skills by FSTF and KAC members on community-based selection process, acts of nepotism,</p>	<p>Ensure proportional representation and active involvement of women in FSTF and KAC</p> <p>Provide training and technical supports to enhance the capacity of the FSTF and KAC members on gender sensitive PSNP provisions, GBV, and mechanisms of effectively handling complaints</p>

Social Issues, Concerns and Gaps Identified during Community Consultations	Recommended Actions
favoritism, abuse of power and corruption by DAs and kebele administrators, elite captures and none responsive appeal system	<p>Serious supervision and follow-up measures and actions on those members of the FSTF, DAs and kebele administrators engaged in acts of nepotism, favoritism, abuse of power and corruption</p> <p>Provide training for informal and traditional leaders to strengthen their positive role in the targeting process and devise a system to check the subjective or unfair decision</p>
Woreda level stakeholders identified several reasons for the delay of transfers including: delay of commodity movement from federal to region and from region to PSNP woredas; delay of budget release from federal to region and from region to PSNP woredas; delay in request form submission by woreda to region and related offices works; delay in submission of payment request form and payroll preparation; and inaccessibility of some PSNP woredas and kebeles due to poor road and communication network infrastructure.	<p>Ensure timely commodity movement from federal to region and from region to PSNP woredas.</p> <p>Avoid delay in budget release from federal to region and from region to PSNP woredas.</p> <p>Ensure on time payment request form submission and preparation of payroll by woreda to region.</p> <p>Promote e-payment system and in PSNP woredas and kebeles with poor road infrastructure transport commodities before the rainy season.</p>
PSNP livelihood support sub-component has not been commenced yet in Afar and Somali regions that generated discontent.	Launch the livelihood support sub-component in Afar and Somali regions
Poor capacity of monitoring and predication of sources of shock	Put in place the automation of the collection, management and access of early warning data to enhance the existing poor capacity of monitoring and prediction of short- and long-term sources of shock providing adequate training for early warning staffs at all levels on the automation system is necessary for enhancing the capacity of monitoring and prediction of shocks
Lack of awareness and proper functioning of KAC and GRM	Provide awareness training strong follow up for the functionality of the KAC ad GRM
High turnover of experienced staff particularly at the woreda and kebele level due to lack of salary increments, lack of incentives and large pay gap between PSNP and similar channel 2 projects seriously impede to effectively implement the program	<p>Re-structuring the salary and incentive payment system</p> <p>short-term training and update on PSNP provisions regarding the aforesaid issues is highly important to mitigate the problem</p>

Please see annex 5.1 and 5.2 of ESAC II findings for the detailed

18.3 Summary

In summary, the first Phase PSNP5 ESAC identified the following main social issues and challenges (i) limited access to Muslim-friendly financial services; (ii) PW plans may not necessarily prioritize projects identified by women or alleviate their work burden; (iii) possible negative impacts on children of parents working on PWs in the limited access to child care services; (iv) remote nature of pastoralist communities and limited access to social services; (v) resentment among PSNP clients caused by differing transfer value between PSNP and humanitarian food assistance (HFA); (vi) limited aspiration by landless and food insecure youths; (vii) health, safety and child labor on PW construction sites; (viii) limited awareness and access to GBV prevention and response services; (ix) exclusion of new

comers in Afar and Somali who may not belong to the extended family, lineage or even the clan which controls the territory; (x) mistrust towards the program GRM system; (xi) increased demand in pastoral areas for livelihoods support services.

The outcomes of both phases- I and II assessment and consultations have been incorporated into various aspects of the PSNP5 design and implementation guidelines. Detailed actions proposed include, but are not limited to i) using Proxy Means Testing as a means of strengthening targeting ii) Conduct proper awareness raising training for the program implementers on the design changes of the PSNP5 and targeting criteria, iii) annual GRM review and integrating the recommendation of the review in annual program plan to improve the functionality and impartiality of the kebele appeal committees and its linkage to the wider government grievance system; iv) considering the engagement of poor and landless qualified youth as community facilitators; v) vi) revision of key GSD provisions such as participation of women in PW planning process as well as reducing women's burden and making the PW timing convenient for women; vii) piloting and gradual expansion of early childhood services; viii) extension of lactating women's PW exemption to 24 months; vii) the necessary measures are considered to implement scalable safety net; ix) expanded role of MoLSA structures at all level to support the program to ensure linkage to social services including GBV responses and child labour; x) implementation of the livelihood strengthening component in selected woredas of pastoral areas as well as committed to work with financial service providers to avail Muslim-friendly financial services. Oversight of the roll-out and monitoring of the implementation of the ESAC recommendations will be the responsibility of the FSCD in conjunction with MoLSA as appropriate.

19. Public Disclosure

The World Bank ESF requires that the government of Ethiopia and the WB to disclose the ESAC and updated ESMF. The ESAC phase I and ESMF were disclosed as per the Bank requirements and ESAC Phase II was initiated to address the gaps of consultation due to COVID 19 Pandemic in the initial preparation. The disclosure is both in GoE where it can be accessed by the public, including affected groups and at the World Bank external website.

The MOA, FSCD will make copies of the ESAC and updated ESMF accessible in selected public places perhaps at national levels at the MOA and at applicable Regional government offices for information and comments. The sub-projects will be publicized via various means of communications. The notice will contain a short explanation of the programs alluded to where and when the ESAC and ESMF can be viewed, period of the display, and contact information for comments.

For meaningful consultations between the MOA, FSCD and potential project affected groups and beneficiaries, the MOA, FSCD with the relevant body shall provide a relevant material in a timely manner before consultation and in a form and language that are understandable and accessible to the groups being consulted. In this respect, all concerned entities shall prepare/compile the requisite materials beforehand.

To meet the consultation and disclosure requirements of the Bank, the Government of Ethiopia will issue a disclosure letter to inform the Bank of,

- The Government's approval of the ESAC;
- The actual disclosure of these documents to all relevant stakeholders and potentially affected persons in Ethiopia; and
- The Government's authorization to the Bank to disclose these documents in its Info shop.

ANNEXES

Annex 1: Integrated Pest Management Procedural Guideline

The following guideline is the Government of Ethiopia Integrated Past Management Guideline. It emphasizes the importance of IPM and stresses that the use of pesticides should be only a last resort.

PSNP5 does not permit the procurement of pesticides, and the local government does not purchase pesticides for use of PSNP PW subprojects. However, in the event that individual farmers purchase pesticides, in order to ensure that World Bank standards are followed, the following supplementary procedures must also be undertaken:

If and when a farmer on a PSNP subproject considers the purchase of pesticides, the DA will:

- Advise the farmer according to this IPM Guideline and in the event that the farmer decides to use pesticides, assess the nature and degree of risks involved and advise the farmer on the necessary steps;
- Ensure that such pesticides are limited to those that comply with the World Bank Environment, Health and Safety Standards and Ethiopia's *Pesticides Registration and Control Decree No. 20/1990*.
- Ensure that such pesticides do not contain ingredients restricted under applicable international conventions.
- Ensure that such pesticides do not include those that have impacts on non-target species.

In the event that in future the regulations of PSNP5 should change to permit procurement of pesticides by the Project or by any associated agency, the woreda PWCU will ensure that a risk hazard assessment and emergency response plan is developed and implemented for the subproject concerned.

The Federal Democratic Republic of Ethiopia

Guidelines on the Implementation of Integrated Pest Management (IPM) for Small-Scale Irrigation Schemes in the Productive Safety Net Programme

Introduction

At present, agricultural development is an area of top priority in Ethiopia, as is demonstrated in the Government's commitment to attain self-sufficiency in crop production, so as to sustainably ensure food security for the ever-increasing population of the country, and to ensure that food security efforts are made to intensify grain production through the utilization of agricultural input such as high yielding crop varieties, fertilizers and irrigation. Moreover, recognizing the intolerable magnitude of losses due to pests and the need to introduce ecologically preferable, socially acceptable, cost effective, rational and sustainable pest management technologies to farmers, IPM has been accepted as a strategy for tackling the problem.

Principles of IPM Implementation in Ethiopia

- The basic need for IPM implementation in the country is to increase yields in a sustainable manner, and attain clean environment, safe food and healthy citizens.
- The emphasis of the IPM programme is on the reduction of or wherever possible, the elimination of the use of pesticides to avoid the misuse of pesticides and to prevent or at least to delay the breakdown of the agro-ecosystem through good crop management decisions. This condition will enable the prevention of unnecessary stockpiling of pesticides and their inevitable consequences of accumulating obsolete pesticides. Implementation of IPM also helps the country to produce acceptable products for the international market.
- The basis of good crop management decisions is a better understanding of the crop ecosystem including that of pests, their natural enemies and the surrounding environment.
- Traditional and indigenous crop protection methods that encourage the building up of natural enemies, such as crop rotation, intercropping, host plant resistance, appropriate planting time and planting density, use of local botanicals are highly encouraged.
- Pesticides should be used only as a last resort.
- Where pesticide use is unavoidable, it is desirable to select locally registered pesticides which are both effective at controlling pests and cause minimal damage to the environment.
- The registered pesticide should be used according to Good Agricultural Practice (GAP) only when absolutely necessary for the right crop at recommended dose and at the right time.
- Farmer should use pesticide safety gear whenever they apply pesticides.
- Farmers should get training on safe use, handling and proper storage of pesticides.
- Creating awareness among the general public about the potential risks associated with pesticide use is highly essential

Contents of an IPM Plan

In order to ensure that the above principles are followed, each small-scale irrigation scheme should have an IPM Plan.

The IPM Plan may form part of the Irrigation Project Document.

The IPM Plan should, at a minimum, contain the following components and activities:

- *Technical Assistance:* The Woreda Crop Production and Protection Expert contacts the Plant Health Clinic/Crop Protection Section of the Regional Bureau of Agriculture and Rural Development (BoARD) for technical assistance;
- *Training and Awareness-Creation:* The Crop Protection Section of the Regional BoARD arranges an IPM Training and Awareness-Creation workshop for the members of the scheme, incorporating the above-mentioned principles;
- *Pest-Resistant Varieties:* The Development Agent (DA) and woreda Crop Production and Protection Expert provide advice to the members on pest-resistant crop varieties based on expertise and knowledge at regional, zone and woreda levels;

Annex 1: Integrated Pest Management Procedural Guideline

- *Supervision:* During scheme operations, the DA visits the members, on at least a weekly basis, to ensure that the scheme is being operated as intended, to monitor the presence or absence of pests, and provide advice on the management options. Management should be in accordance with the IPM components favouring traditional and indigenous pest management practices and conservation of natural enemies.
- *Technical Information:* The DA ensures that information is made available to the members regarding the management of pests expected in the location concerned. In the event that the need for pesticides arises, the DA provides advice on the recommended pesticides and their usage, within the list of allowable pesticides as established by the *Pesticides Registration and Control Decree No. 20/1990* of Ethiopia, and any other relevant legislation or regulations.
- *Safety and Storage of Pesticides:* The DA and Woreda Crop Production and Protection Expert will develop and implement arrangements for the safe use, handling and storage of pesticides, and the proper use, maintenance and storage of pesticide spraying equipment. Storage should follow the instructions provided. Pesticides should be kept separately, away from humans and animals in a closed, dry and secure place. Any surplus or unwanted pesticides should be reported to the DA for disposal.
- *Regular Monitoring:* The Woreda team of Experts will conduct monthly visits to the scheme, to monitor as follows:

Expert Responsible	Indicators Monitored
Crop Production and Protection	Compliance with IPM good practice guidelines
Natural Resources, in conjunction with the Regional Environmental Protection Authority (EPA)	Environmental impacts including human health, soil and water pollution
Livestock	Hazards to animals, bees and aquatic life, etc.

- *Reporting:* The Woreda team will report to the Regional BoARD (in some regions, reporting will be to the Zonal office), which will take action, if required, to rectify any shortcomings arising from the use of pesticides.

Annex 2: Medical Waste Management Guideline

The Government of Ethiopia Guidelines for Waste Handling and Disposal in Health Facilities (1998 International Calendar) are set out below in this Annex. In addition to these guidelines, the following procedures are also required in order to ensure that the Health Posts built by the PSNP5 Public Works programme meet the World Bank standards ESS3 and ESS4:

Health Care Facilities (HCF) Design Considerations: The design and functional layout of an HCF should ensure the following:

- Separation of clean/sterilized and dirty/contaminated materials;
- Development and inclusion of adequate disinfection / sterilization procedures and facilities;
- Design of water systems to provide adequate supplies of potable water to reduce risks of exposure to Legionella and other waterborne pathogens;
- Provision of hazardous material and waste storage and handling areas; and
- Selection of easily cleaned building materials that do not support microbiological growth, are slip-resistant, nontoxic, and non-allergenic, and do not include volatile organic compound (VOC)-emitting paints and sealants.

Waste Minimization, Reuse, and Recycling: Facilities should consider practices and procedures to minimize waste generation, without sacrificing patient hygiene and safety considerations, including:

- Source reduction measures:
 - Consider options for product / material substitution to avoid products containing hazardous materials that require the product to be disposed as hazardous or special waste and preferring products with less packaging or products that weigh less than comparable products that perform the same function
 - Use of physical rather than chemical cleaning practices (e.g. using microfiber mops and cloths), where such practices do not affect disinfection and meet relevant standards for hygiene and patient safety
- Use of efficient stock management practices and monitoring (e.g. for chemical and pharmaceutical stocks), including:
 - Small / frequent orders for products that spoil quickly and strict monitoring of expiry dates
 - Complete use of old product before new stock is used
- Maximization of safe equipment reuse practices, including:
 - Reuse of equipment following sterilization and disinfection (e.g. sharps containers)

On-site Handling, Collection, Transport and Storage: Unless refrigerated storage is possible, storage times between generation and treatment of waste should not exceed the following:

- Temperate climate: 72 hours in winter, 48 hours in summer
- Warm climate: 48 hours during cool season, 24 hours during hot season

Treatment and Disposal Options: Facilities receiving hazardous health care waste should have all applicable permits and capacity to handle specific types of health care waste:

- **Chemical disinfection** involves the addition of chemicals to kill pathogens in health care waste. Waste should be mechanically shredded prior to treatment. Treatment involves the use and handling of hazardous chemicals, in addition to disposal of hazardous residues following treatment.
- **Wet thermal treatment** disinfects waste by exposing shredded waste to high temperatures/pressure steam inside an exposure tank. Wastewater discharges and odor may result. Autoclaving is a type of wet thermal disinfection process typically used to sterilize reusable medical equipment. Dry thermal disinfection involves the shredding, heating, and compacting waste in a rotating auger. Air emissions and wastewater may be generated, and residues require disposal.
- **Microwave irradiation** involves the destruction of microorganisms through the microwave heating action of water contained within the waste. Following irradiation, waste is compacted and disposed of as part of the municipal waste stream. Contaminated wastewater may also be generated.

GUIDELINE

FOR WASTE HANDLING AND DISPOSAL IN HEALTH FACILITIES

Prepared by:

Industrial and other Health Institutions
Hygiene Control Team Department of
Hygiene and Environmental Health
Ministry of Health
Sept. 1990 E.C. [1998]
Addis Ababa

Note:

The Guide is translated from Amharic into English for The World Bank

1. Introduction

As the result of advancement of the knowledge of prevention and control of communicable diseases, better curing of the sick, man's average life expectancy is increasing from time to time. This is the effect mainly of advancement of science, technology and modern treatment systems.

Although the aim of establishing examination and medical service delivery system is to provide medical care, yet if these facilities are not up to the desired standard, maintained clean and safe they could pose high risk to the health care workers, patients, visitors and to the surrounding community.

For example at present it has been identified in Canada, Japan and North America that infectious wastes discharged from hospitals are becoming great concern as source of HIV and Hepatitis B infections for health workers (doctors) nurses, health assistants, custodial and maintenance workers) who are directly involved in handling infectious wastes. During the last ten years medical wastes disposed from health institutions have become worldwide political, social and economic issues.

Since the 1960s the quantity of wastes disposed from health institutions have increased tremendously.

Because of the growth and wide distribution of plastic technology, disposables (use and throw) medical supplies such as syringes, needles, plastic gloves etc. the wastes disposed from research and health facilities, research laboratories etc. have increased both in quality and quantity.

According to studies done in some countries it is known that a patient on average contributes about 6.5 to 9 pounds (LB) of waste per day. Looking at Ethiopia's situation, according to a study done in 1985 E.C by the Department of Hygiene and Environmental Health (MOH), in 46 hospitals and 76 health centers, up to 178,000 pounds (Lb.) of waste generated and disposed per day. Similarly, a feasibility study carried out in 16 health centers and 48 clinics revealed that most of the health facilities had no satisfactory liquid and solid wastes disposed systems.

Furthermore, the situation became worse because most of the health facilities are old and did not have adequate budget nor functioning technologic etc.

Therefore, giving due attention to the problems and moving towards action is timely question of the day.

2. Objectives for the Development of the Guideline

2.1 To enable health professionals to protect themselves against health – hazards, which might be encountered as result of their occupation.

2.2 To create awareness among workers in health facilities about the importance of safe disposal of wastes generated from health facilities according to this guideline.

2.3 To prevent and control environmental pollution by wastes carelessly disposed from health facilities.

2.4 To provide technical support to health professionals and environmental health workers engaged in day to day health inspection and control activities.

2.5 Comparing to the present faulty and indiscriminate infectious waste disposal pattern, this guideline may seem to be unrealistic. However, it would indicate the future direction to remedy. The situation would lead towards establishing infectious and other wastes disposal system that would meet health safety and hygienic standard.

3. Definitions

3.1 Health Facilities (Institutions)

Places in which examination and treatment, medical investigation, microbiological, chemical, toxicological, laboratory examination etc. are carried out.

3.2 Infectious Agent

An organism (usually microscopic). Such as bacteria, protozoa, fungus, rickettsia) virus helminths that is capable of causing infection or infectious diseases in man.. The emphasis of PSNP 4 on improved cash-food parity (a new food basket with 15 kg of grain and 4 kg of pulses) is in line with the concerns raised by communities. Communities expressed the importance and interest in being consulted regarding their preference during PSNP 4

3.3 Disinfection

Destroying and eliminating infectious agent through chemical or physical processes.

4. Some Major Types of Wastes Disposed from Health Facilities

4.1 Medical Waste

Any waste discharged from health facilities during work process, excluding nonhazardous waste.

4.2 Non-hazardous Wastes

Wastes which are dangerous to health such as produced from food preparation (kitchen waste or garbage) offices, bathroom etc.

4.3 Pathological Waste

Wastes from blood and blood products, surgical remains of body parts, tissues, dead animals etc.

4.4 Radioactive Waste

Liquid or solid wastes disposed from research laboratories nuclear treatment unit etc.

Containers of radioactive products, needles, syringes, gloves etc. used in radioactive treatment processes.

4.5 Chemical Waste

Wastes resulting after usage such as antiseptic, disinfectants, chemicals of acid and alkaline nature, inflammables, corrosives, reactive etc. which are capable of causing danger to the skin, or reproductive organ.

4.6 Infectious or Biological Waste

Type of waste that contains viruses, bacteria, intestinal worms, etc. mostly disposed from research laboratory, surgical unit. Wound treatment room, delivery room etc.

4.7 Sharps

Includes stitches, sucher, needle, syringe needle, broken bottle and the like.

4.8 Pharmaceutical Waste

Includes discarded or expired medicines, supplies, pharmaceutical contaminated by microorganisms.

4.9 Pressurized Containers

Containers of gases under pressure such as oxygen cylinder etc.

5. Health Facilities, Their Units, and Research Institutes which Generate and Disposed Infectious and Other Waste During their Work Processes

- Hospitals, Health Centers and Clinics
 - Surgical department
 - Internal medical department
 - Obstetrics department
 - Genecology department
 - Microbiology laboratory
 - Nuclear medicine unit
 - Emergency department
 - Isolation and recovery unit
 - Orthopedic department
 - Pediatric department
 - Morgue
- Research institutes
 - Microbiological laboratory
 - Toxicological laboratory
 - Chemical laboratory
- Animal Examination and Treatment Institution
- Pharmaceutical Factories

6. Basic Precautionary Measures To Be Considered Before Storage of Infectious Waste

- Packaging condition of waste

- Temperature level of the storage place and storage time. During storage it is preferable that the storage time be four days at below 0 to 10 degree centigrade. This is because higher temperature level increases bacterial multiplication rate thus accelerated decomposition followed by emission of foul smell.
- Storage location and adequacy of the design
- Suitability of the storage place for making it free from microorganisms, and conduciveness of pickup site
- Ensuring that storage place is inaccessible to insects and rodents
- Ascertaining that the containers of waste, cold storage place etc. have clearly visible International Biohazard label or mark.

7. Waste Storage

One of the first job should be proper collection and storage of wastes generated during work processes. The wastes collected from different workplaces or department must be segregated or sorted out and must be stored properly arranged in temporary container or storage tanks.

The job of proper collection and storage of wastes produced from different work units require the director indirect participation of most of the doctors, nurses, laboratory technicians, health assistants, custodial workers etc. If these professionals participate in proper management of waste disposal, then:

- It is possible to maintain cleanliness of the inside and outside of the health facility.
- It is possible to follow up the health status of the workers engaged in moving waste from place to place.
- The cost of treating the waste can be minimized.

7.1 Waste Segregation and Storage Method

Then wastes discharged from different units must be segregated and placed in leakage proof, noncorrosive iron sheet barrel or plastic containers. This alone is not adequate; hence, the inside of the container should have plastic sheet, cover in order to avoid possibility of leakage.

For example, wastes collected from administration, doctors or nurses' offices should not be stored with wastes disposed from - the delivery and operation rooms. In addition, infectious waste should not be put in any container but stored in leakage proof strong plastic bag or plastic jar properly sealed or tied up.

Workers directly involved in handling wastes should identify each kind of waste carefully and put in easily identifiable different colour plastic bag or container. This will enable to collect and dispose hazardous wastes. This can be done as follows:

7.2 Black Plastic

This bag must be used to store wastes discharged from food preparation area and officers.

7.3 Yellow Plastic Bag

The yellow plastic bag should be used to store waste discharged from:

- Surgical unit
- Internal medical unit
- Delivery room
- Isolation unit
- Recovery unit
- Infectious wastes produced from examination and treatment unit etc.
- Instruments like sharps must be stored in bags not likely to be torn or pierced.

For example, used blade, stitching needle, syringe etc. are contaminated, hence if one carelessly or accidentally cut or pricked by these sharps, it will expose one to HIV and other infections.

7.4 Red Plastic Bag

Chemicals and the related medicines should be stored in red plastic bag properly tied or sealed.

- The plastic bag should be stored in leakage proof and noncorrosive plastic or iron sheet barrel.
- The storage capacity of the barrel preferably be of 100kg for solid waste and 50 liters for liquid waste.
- Each unit should have (as needed) of similar kind and capacity waste collection barrel.
- All units, except the isolation ward, should have place for placing non-dangerous items.
- For tying or sealing it is not necessary to wait until the bag is full to the brim.
- Even though it is necessary to treat-disinfect infectious as soon as possible, yet if it is not possible for various reasons the follow steps should be taken:
 - Protect the waste from wind and rain.
 - First dispose the waste which can decompose quickly
 - If the waste storage place is outside the house, it should be placed in a reliable and secure container.
 - The waste should be protected from access to flies, rodents and similarly from scavengers.

8. Handling

- The plastic containers in operation room and recovery ward should be emptied at least to twice daily into the main collection tank and new clean plastic bag be replaced immediately.
- The waste should be handled only by the person who is assigned for the job.
- In case the waste is accidentally scattered spilled in the rooms or in other places. it should be cleaned immediately and carefully be disinfected by disinfectant meant for the purpose.
- It is possible to dispose non-hazardous waste through the municipal management system or to transport by vehicle to the final disposable site.
- In order to safeguard the health, and to avoid accident such as cuts by sharps etc. the porter must be provided with acceptable work clothes, gloves, protective eyeglasses, muffs for mouth and nose and work shoes.

- It is necessary to assure that reusable or multiple use examination and treatment supplies and other items should be properly cleaned and sterilized.
- For transporting the waste container or barrel from place to place there must be trolleys or carts. The trolleys should be carefully handled to avoid tipping off the content.
- All wastes produced from health facilities, except those from offices, kitchen, compound cleaning, should be transported by specially designed closed containers.

9. Need for Treating Solid Infectious Waste

9.1 Need for Disinfection Infectious Waste Before Disposal

Wastes generated during work processes from health facilities must be made free from microbial contamination before transporting to the final disposal site for the following reasons:

- Treating the waste by chemicals, holding under high temperature heat, exposing to radiation energy or burning the waste can destroy microorganism in the waste.
- Thus, the risk to human health and environment pollution can be prevented.
- Breaking into smaller pieces or shredding the waste can reduce the bulk volume of the waste
- Body parts removed during surgical operation should be shredded before disposal to avoid aesthetically unacceptable contrition.
- To avoid problem which might arise from disposable supplies such as needles, syringe etc. after they have been used

9.2 Waste Treatment Facility

Selecting and setting up processes of waste treatment facility depends on the following factors:

- Type and quantity of infectious waste to be disposed.
- Availability of waste treatment technology nearby or around the surrounding area.
- Having financial capability to procure necessary equipment.
- Availability of professional to operate and maintain the equipment.
- The equipment and work process should satisfy the requirement of the area.
- Opinions and goodwill of the community where the waste treatment activity is to be carried out.

9.3 Methods of Disinfecting Waste

Before final disposal the waste must be disinfected in order to avoid health risk to man and environment pollution.

The infectious waste collected from different activity units must be treated beforehand to prevent spread of microorganisms in the waste by applying chemical treatment, radiation energy or other similar treatment method.

Provided the treatment is reliable, the treated waste can be disposed with municipal disposal system, if no such system the waste can be transported by sucking truck to the selected final disposal site.

However, discarded materials such as syringe, needle etc. must be disposed carefully in case they might fall in the hands of scavengers to be sold for reuse.

9.3.1 Chemical Disinfection

Chemical treatment is a process of destroying microorganisms in the waste by using liquid chemical disinfectants.

To disinfect using chemicals:

- Select appropriate chemical for the job.
- Determine the concentration level of the chemical selected.
- Determine the contact time of the chemical with the waste
- Reduce the bulk volume of solid waste by grinding, shredding or similar method.
- This will help to avoid reuse of such material at syringes, needles etc.
- Some strains of pathogens may be resistant to chemicals, hence medical wastes treated by chemicals should be considered as hazardous to health and be handled carefully.

Therefore, it is necessary to make bacteriological test on the waste treated to ensure its safety.

Method of disposing the chemical used for the treatment should be planned because the chemical mixed with the liquid waste could create health hazard (see Annex 2)

9.3.2 Thermal Sterilization

Thermal sterilization is a method of treating waste by applying steam at 160-degree centigrade temperature level in autoclave.

Autoclave is used for sterilizing surgical and bacteriological equipment and supply.

In order to ensure the effective functioning of the autoclave:

- Large and solid material like syringes, needles etc. should be reduced to small size by breaking and compacting.
- Capable person be assigned for operation and maintenance of autoclave.
- The amount of waste produced and the capacity of the autoclave must compatible.

9.3.3 Sterilization by Microwave

This is a disinfecting method of waste produced during work processes by burning in microwave oven.

- Small size of microwave oven can be applied for relatively small amount of waste discharged from laboratory, while larger quantity of waste produced from health facility require larger size microwave oven.
- Large and solid waste can be reduced to smaller size by shredding the waste.
- The waste must be held in the microwave oven for at least 30 minutes at 100 degree centigrade.
- The disinfected waste bailed out from the microwave oven must be disposed carefully.

9.3.4 Electromagnetic Radiation

This is a method of destroying microorganism in the waste by applying gamma ray or electron beam. In order to destroy effectively the microorganisms in the wastes large and solid waste have to be reduced to smaller size by grinding and compacting:

- Using electron magnetic beam or gamma ray for treatment method is relatively more effective than other methods, however the cost is too high.
- The waste after disinfection must be carefully transported and buried.

9.3.5 Incineration

This is a method of destroying microorganisms. By incinerating or burning the waste in a high temperature heat.

- If the health facility does not have its own incinerator, it is necessary to transport the waste to the nearby unit which has incinerator and do the job carefully.
- If the facility has its own incinerator, ensure that the combustion of the waste in the incinerator takes place at 1000 degree centigrade heat in order to reduce the smoke and foul smell emitted.
- The incinerator must be designed and constructed with scrubber or cyclone device which serves to control floc gas emitted during combustion process.

The purpose of the scrubber or cyclone is to filter out the floc gas emitted into the air.

Nowadays simple type of incinerators are designed and constructed at low cost. However, since these incinerators function at relatively low temperature (heat), they emit smoke and foul smell, thus contribute to environment.

When building small scale incinerator, it is necessary to take into consideration the height of the chimney and wind direction for the purpose of reducing smoke and foul smell emission.

In places where high combustion calorific value, such as paper and the like are scarce, it is possible to use kerosene oil etc. to facilitate combustion process.

- However, using radioactive material, pressurized gas in containers etc. should not be used to start combustion.
- For small health facility a 200-liter capacity iron barrel or similar design can be set up and used (Annex 4)
- Ashes drawn from the incinerator can be disposed in places designated by the municipal or town administration.

9.3.6 Mechanical Treatment

This method involves the process of such as cutting or slicing to pieces the removed body parts into smaller size, compressing discarded syringes etc. and then disinfecting by applying steam or disinfecting chemicals. Care should be taken not to spill blood or body fluid while cutting or shredding process in order to avoid contaminating the workers or the surrounding. Special care must be taken also while shredding such things as syringes and needles because the bacteria-load fluid content can spread in aerosol form and contaminate the air.

10. Treatment of Fluid Waste

10.1 For Small Health Facilities Waste

Infectious wastes disposed from various treatment units are:

- Blood and blood product
- Biological culture
- Urine and stool
- Sputum and nasal discharge
- Wastewater from washing floors, walls and latrines.

The infectious waste from the above sources should be disinfected by applying chlorine solution, phenol, creosol, Lysol etc. disinfectants and then must be discharged into septic tank. The amount of disinfectant applied should not be more than needed to do the job; otherwise it will interfere with the decomposition process in the septic tank. Similarly, disposable (single use) medical supplies, after use should be disinfected by chlorine solution etc. and then be disarranged into the septic tank prepared for this purpose. The disinfected waste can be collected and discharged into municipal system, if there is such, or can be transported by suck truck to the final disposal site.

10.2 For Larger Health Facilities

10.2.1 Sewage Screening and Treatment Method

The treatment system can be small or large, depending on the volume of liquid waste to be treated. Nevertheless, there must be provision for liquid waste treatment.

The liquid waste clarification process includes the following:

10.2.2 Screening for Removal of Large Size Solid Waste

This is a process in which liquid waste collected from different units before entering into the sedimentation tank, is led to pass through screen for retaining relatively large size solid waste. In this screening process:

The Purpose of Screening is:

- To reduce workload on the next process of treatment steps.
- To avoid blockage of the flow pipeline for removal of sludge.
- To reduce solid material which can be collected in the aeration and sludge digester tanks.

The wet solid material collected during screening process be placed in plastic bag sealed and disposed carefully by burning at selected place.

10.2.3 Floating Mechanical Aerator

The aeration process is one of the steps of the biological treatment system.

Aeration process helps to decompose organic and floating waste component and to reduce bacterial multiplication in liquid waste.

10.2.4 Sedimentation Tank

The liquid waste coming from the floating mechanical tank is lead to the sedimentation tank. Here floating and organic parts in the waste is made to sediment by adding ferrous sulphate to accelerate the process. This process is assumed to reduce about 60% of solid and floating waste and decrease the pollution rate of the waste by about 35%. However, after this process chemical treatment is needed

10.2.5 Sludge Trickling and Driving Bed

The sludge collected in the sedimentation tank is bailed out by pumping and spread over the sludge truckling and drying bed. The sledge trickling and drying basin contains gravel over which the wet sludge is spread and made to trickle. After this the liquid component is returned to the mechanical aeration and floatation chamber. The sludge that is collected over the basin is dried by sunlight or electric drier and disposed by burning.

10.2.6 Chlorination Tank

The liquid waste (effluent) discharged after sedimentation process must be disinfected by applying calcium hypochlorite solution through automatic feeder.

10.2.7 The Chemically Treated

Liquid waste (in 10.2.6 above) is made to flow slowly in a zigzagging tank to ensure proper disinfection before discharging to the environment.

11. Disposal Method for Other Kinds of Toxic Waste Which Require Special Attention

11.1 Drugs That Can Cause Serious Damage to Human Tissues

Drugs for cancer control i.e. anticoplastic or thermotupuetic drugs, similarly empty containers of drugs like vials and bottles, needles and syringes used for injections, gloves, bandages and other items related to the drugs must be incinerated by professionals, disposed after detoxified by chemicals. However, diluting the drugs with water and discharging to sewer line must be recognized as a dangerous act.

11.2 Radioactive Materials

- Radioactive wastes discharged from examination and treatment facilities generally have low radioactivity and short shelf life. Therefore, it is possible to store them and hold until the radioactivity level is drastically reduced to zero or eliminated before disposal.
- Items such as gloves, syringes, gauze and other items which had contact with, after their service is over should be disposed of after holding them for adequate period. However, for items in which radioactive was brought, or empty containers, the Radiation Control Authority should be consulted.

11.3 High Pressure Contained Disposal

When there is need to dispose containers, which hold air under pressure, they should be buried in a prepared deep pit or they should be returned to the dealer who provided them. However, it should not be forgotten that burning these items is very dangerous act.

12. Solid Waste Disposal

Before transporting and disposing the waste collected from the health facility, in designated place, the following factors must be considered:

- Wastes disposed from health facilities under conditions which are injurious to human health, and pollute the environment; such wastes as syringes, needles drug container and bottles, plastic dextrose bags, gauze, bandage and other items, disposed from health facilities under dangerous conditions pose high risk to human health and the environment. Furthermore, special care should be taken because these items can be piked up by illegal scavengers and could be sold for other use.
- Improperly stored waste provides breeding place for flies and harborage for rodent.
- In addition, it can create conditions favorable for spread of communicable diseases.
- It also spoils the aesthetic condition of the environment.
- The smoke emitted as result of burning the waste can contaminate the surrounding with carbon monoxide, particulate and impart foul smell. In addition, it can contribute to the transmission of respiratory illness.
- Solid waste contains pollutants of chemical and biological nature and when discharge into rivers or water body, they are dangerous to aquatic organisms.

Furthermore, discarded items, such as needle, syringe and similar items of medical waste can be carried by water flow to the coastline and could create health hazard to people recreating in the water.

Therefore, in order to prevent and control the above listed problems as well as to prevent danger that might arise from hazardous waste, health facilities preferably have compounds with adequate space from proper disposal of waste.

However, if the area allotted to the health facility is inadequate, then the waste can be incinerated or treated by chemical and can be buried in accordance to the guideline requirement.

12.1 For Small Health Facilities

12.1.1 Incineration

Solid wastes (such as syringes, needles, sharps, bandages, discarded blood bags etc.) can be incinerated in incinerators and the resulting ashes can be buried in the composed in pits designated for the purpose (See Annex 4)

12.1.2 Disposal of Waste Inside the Health Unit Compound

If the health facility has adequate space, a circular or rectangular pit can be dug and prepared for disposal of waste by burial method.

The depth of pit must be adequate for the waste generated. The walls and floor of the pit be made of stone, the base should be raised from ground cover. The pit should have an openable slab cover made of reinforced (with iron bar) concrete slab. The concrete slab cover serves to prevent access of children, scavengers or animals to the buried waste (See Annex 5)

13. Maintaining Cleanliness of Medical Supplies, Clothing and Rooms

- Various non disposables (multiple uses) medical supplies after service, must be cleaned, by immersing in chlorine solution or phenol compounds before sterilizing in autoclave in addition:
- Instruments which can stand high temperature heat can be sterilized by holding at 160 degree centigrade for one hour in the autoclave.
- Instruments sensitive to high temperature heat can be disinfected with chlorine solution or phenol compounds before reuse. In addition, they can be effectively disinfected (if possible) with gamma ray or ethylene oxide gas before reuse.
- Enamels made of iron or plastic, or beds painted in various colours; carts, drawers and items of plastic covers must be properly washed with savelon or similar chemicals.
- Materials meant for single use (disposables) must be disposed immediately after use.
- When patients are discharged after cure or expired, the room and all medical and other items used by the patient should be cleaned with chemicals and then sterilized before use by new admission.
- Work clothes, gowns, especially those which had contact with infectious waste must be sterilized in autoclave before sending to the laundry. The inside and outside of shoes should be cleaned with phenolic compounds and be disinfected at least once per day and sterilized in autoclave.
- The floor, walls and ceiling must be made of cleanable materials and be cleaned with phenolic compounds at least once per day.
- It is necessary to use wet vacuum or filter dry mopping method for cleaning the floor. But dry mopping or sweeping of floor raise dust, hence is strictly forbidden.
- The mop should be cleaned with soap and water and then be immersed in Phenolic compound and kept in it for a reasonable time.
- All lavatory seats, fittings, wash hand basins, bathtubs etc. must be washed with powder detergent and then cleaned by savelon.

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Categories of Institutions' Waste

1. General Waste

- Paper
- Wood
- Ashes
- Cardboard
- Cartons
- Plastics
- Rags
- Wood scraps
- Empty Cans
- Food Remains
- Vegetable remains
- Toilet Waste

2. Infectious Waste

- Isolation Room Waste
 - Waste from patients with diseases considered communicable (blood, excretion, exudes, secretions)
- Cultures
 - Culture and stocks of infectious agent from clinical and research laboratories
 - Disposable culture dishes,
 - Devices used to transfer, inoculate and mix culture
 - Discarded live and attenuated vaccines
- Animal Waste
 - Contaminated animals carcasses
 - Body parts
 - Beddings of animal that were known to have been exposed to infectious agent
 - Human Blood and Blood Products
 - Waste blood
 - Serum
 - Plasma
 - Blood products
 - Fluids. /residuals
 - Containers which were used in patient care, testing, laboratory, analysis, intravenous bugs.
- Pathological waste (removed during surgery, autopsy & biopsy)
 - Tissue
 - Organs
 - Body Parts Limbs
 - Blood
 - Body fluid and their containers
 - Obstetrical Waste (Placenta, Still birth)
- Contaminated equipment (Medical & Surgical)
 - Blood transfusion sets
 - Catheters
 - Colostomy bags

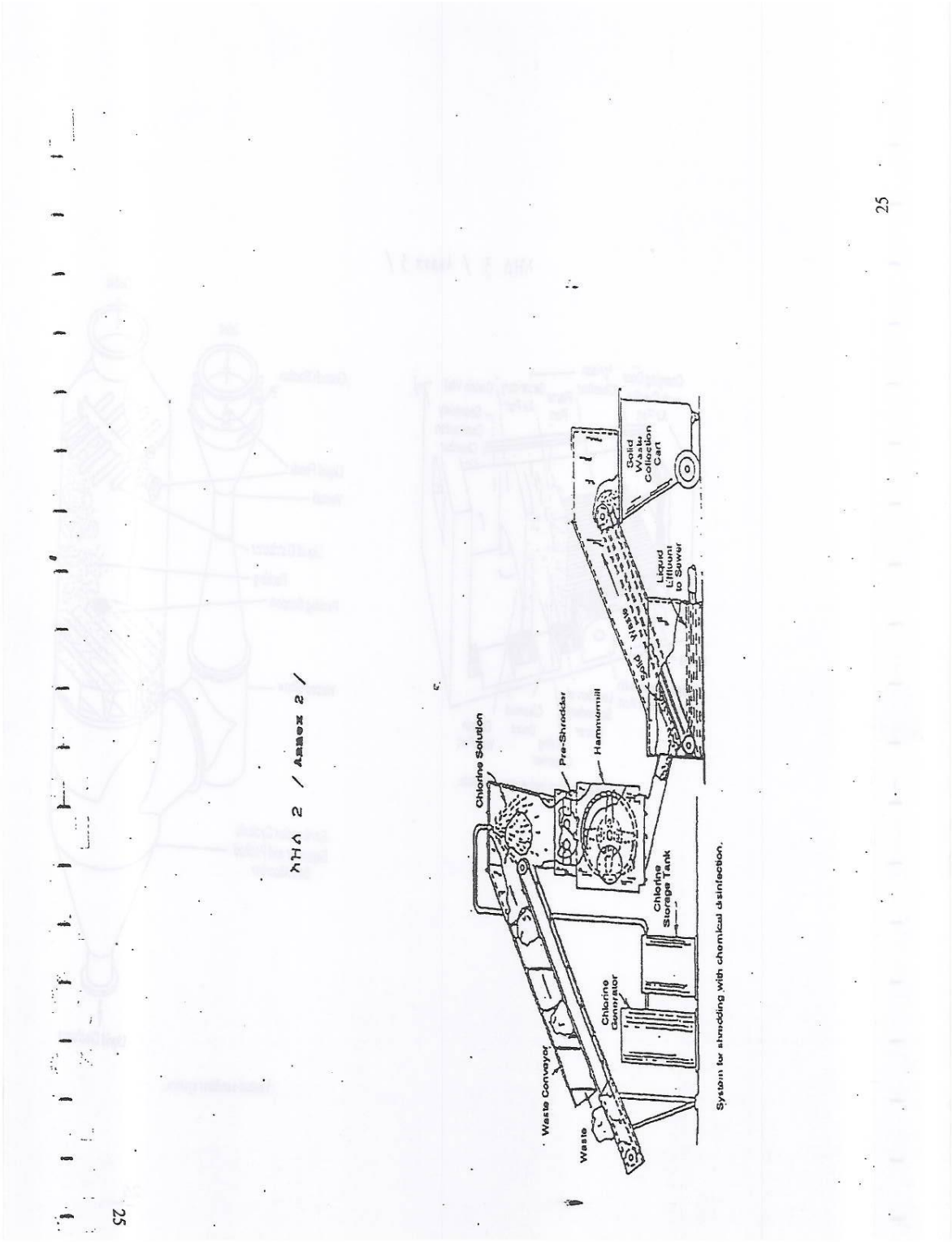
- Examination gloves
- Surgeon gloves
- Ryle's tubes
- Sputum Container
- Needles
- Syringes
- Spigots
- Oxygen mask
- Iv. Cannulae & infusion sets
- Urine, drainage bags and tubs
- Spatulae renal tubes
- Tracheostomy sets
- Scalpel blades
- Pasteour pipettes
- Blood vials (Slides and Coverslips)
- Broken and unbroken glass ware
- Swabs, absorbants
- Tongue depressors
- Beddings, Shavings, Faecal Matter
- Gauze, pads, bandages and garments
- Plastics, etc.
- Bed Pan covers
- Dressing towels

3. Laboratory and Pharmaceutical Chemicals (care should be taken in handling)

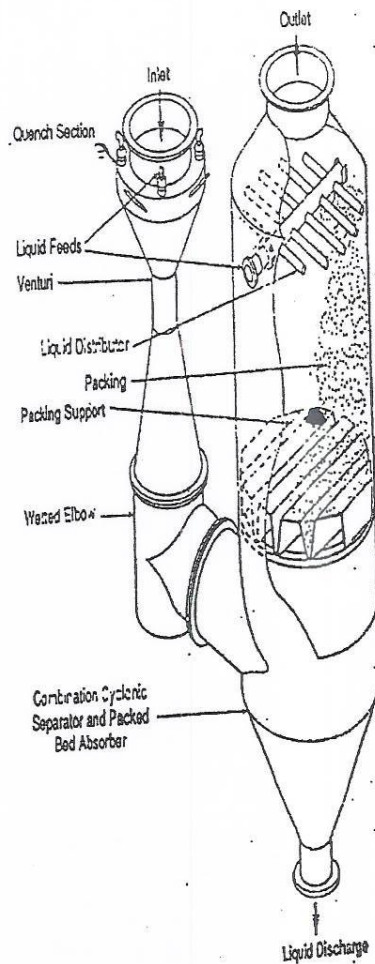
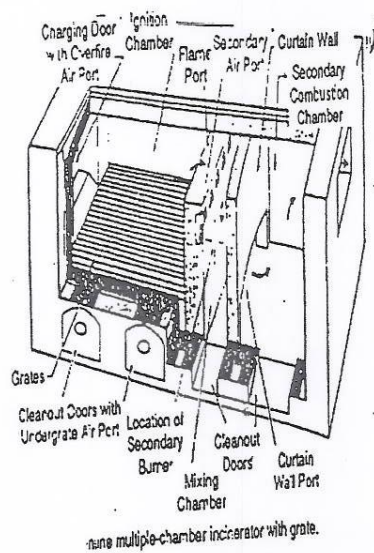
- Alcohols
- Disinfectants
- Antineoplastic agent
- Heavy metals
- Insecticides

4. Radioactive Waste

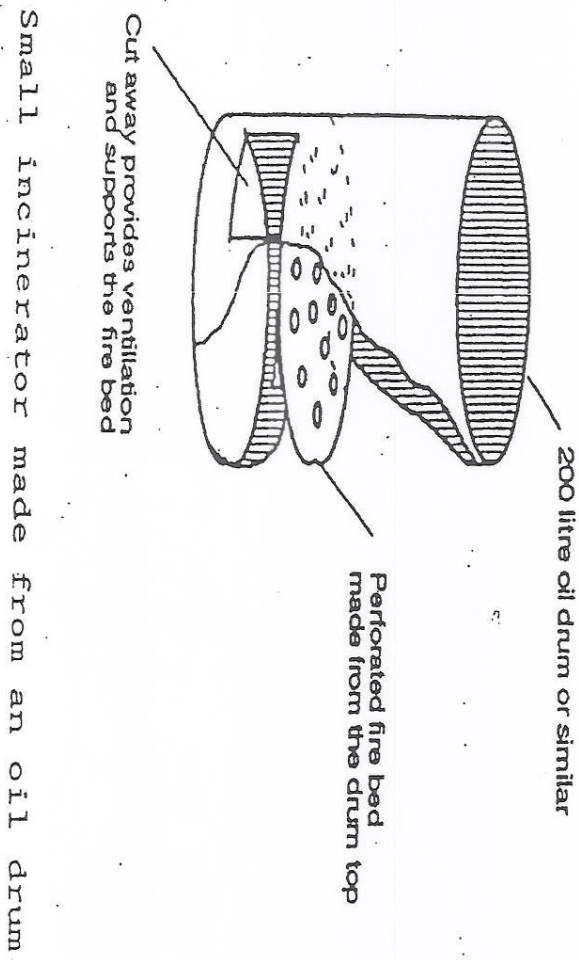
- Nuclear medicine diagnostic and therapeutic
- Contamination of radioactive spills
- Solid, Liquids and gases from analysis procedure, body organism imaging and tumors localization, and treatment



Annex 3 / Annex 3 /



Venturi-scrubber system.



Annex 5 / Annex 5/

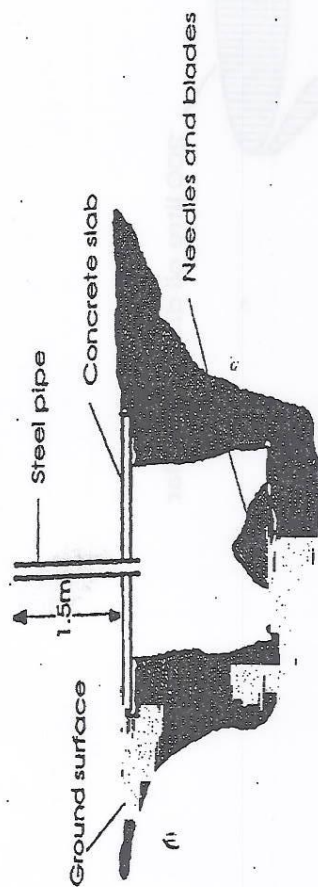
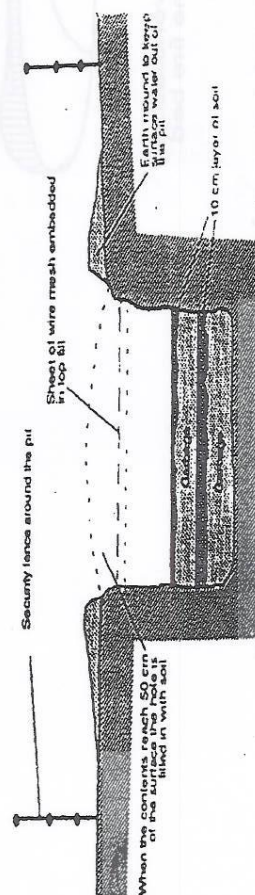


Figure 7.1 Pit for on-site disposal of sharps



Use of a pit for disposal of small quantities of waste

Annex 3: Safety Guidelines for Dams

Definition of the Height of a Dam

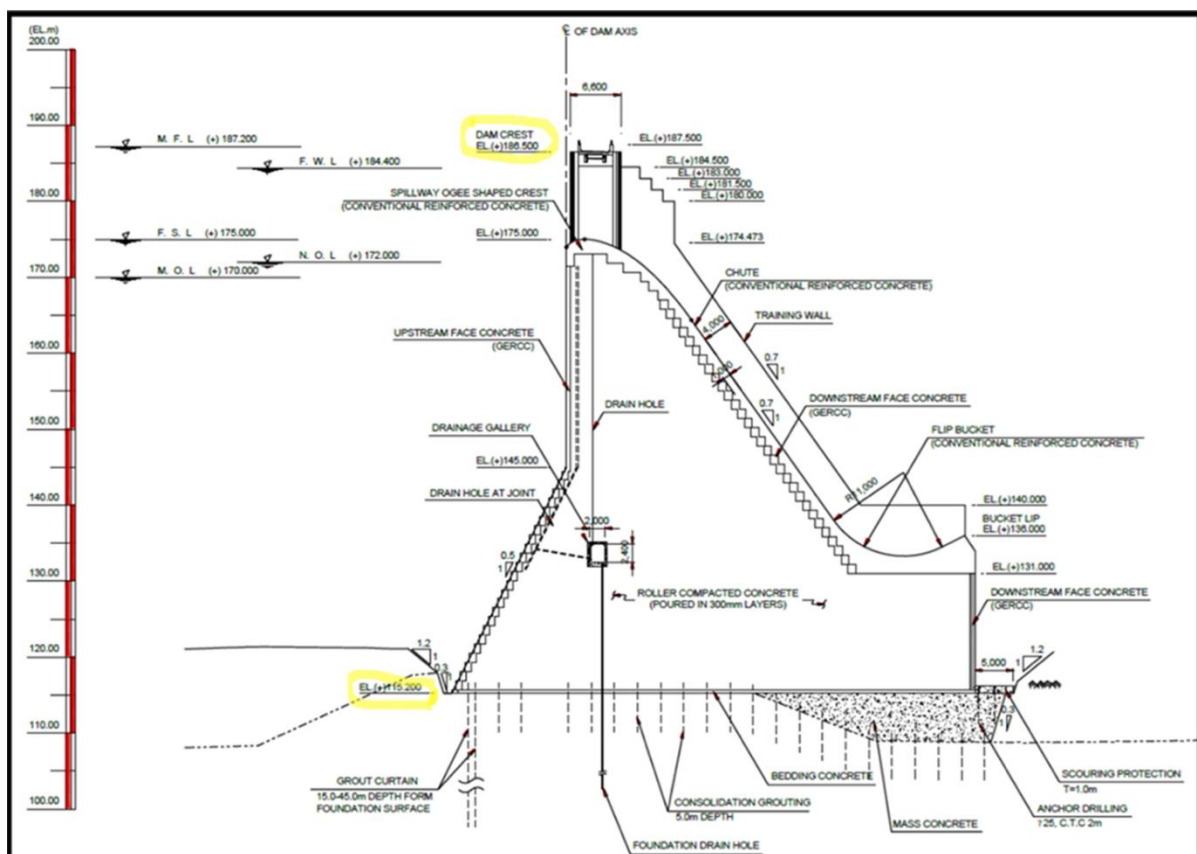
A Large Dam is one with a height of 15 metres or greater from the lowest foundation to crest, or with a height of between 5 and 10 metres impounding more than 3 million cubic metres

The “lowest foundation” means the lowest elevation of the dam’s body after foundation excavation. This does not consider additional foundation excavation and treatment, such as cutoff wall, in some local areas.

The example below refers to a concrete gravity dam. As highlighted in yellow, you can see that the dam crest elevation is 186.5 masl (metres above sea-level), and its foundation elevation is 115.2 masl.

Since the height is vertical distance between the dam crest and the lowest foundation, the height of this dam is 186.5 masl – 115.2 masl, i.e. 71.3 m.

The structural stability of the dam under various loading condition needs to be examined based on this profile.



A. Existing Dams

If the subproject involves depending on an existing dam or a dam already under construction (regardless of size), arrangements must be made for one or more independent dam specialists to:

- inspect and evaluate the safety status of the existing dam, or dam under construction, its appurtenances, and its performance history;
- review and evaluate the owner's operations and maintenance procedures;
- provide a written report of findings recommendations for any remedial work or safety-related measures necessary to upgrade the existing dam or dam under construction to an acceptable standard of safety.

B. Construction of Dams

Where the PW subproject involves construction of a Low-Risk Small Dam (i.e. not a Large Dam, and not a High-Risk Small Dam, which are ineligible), the following guidelines apply:

The dam safety measures must be designed by qualified engineers in accordance with Good International Industrial Practice, which will be adopted and implemented.

All small low-risk dams will require an Environmental and Social Impact Assessment (ESIA) determining that there will be no, or negligible, risk of significant adverse impacts, due to potential failure of the dam structure to local communities and assets, including assets to be financed as part of the proposed subproject.

For small dams with low risks, the DA is encouraged to consider possible participation of community organisations or water user groups for dam safety assurance, such as basic surveillance, monitoring, reporting, repairs, emergency preparedness, etc.

For small dams with low risks the following guideline should be followed:

C. Latest Ethiopian Small Dam Safety Guideline

1. Introduction

Benefits which will accrue from the promotion and achievement of adequate dam safety practices include environmental protection, public confidence, and the commercial benefits to the owner of constructing and maintaining in a safe and insurable condition, what is usually a significant investment.

The owner of a dam is responsible for:

- safely operating and maintaining the dam;
- giving appropriate warnings if the operation or failure of the dam could cause damage;
- compensating damage caused by the operation or failure of the dam.

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

- to control the release of damaging discharges downstream of the small dam,
- to restrict the likelihood of events that might lead to a loss of control over the stored volume and the spillway and other discharges,

- to mitigate through onsite accident management and/or emergency planning the consequences of such events if they were to occur.

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

2. Parties Involved

The main parties that are involved in dam are the owner or developer, the supervising body, the technical adviser/engineer, the contractor, and the public, who may be affected directly or indirectly by the dam. The dam owner for small dams to be constructed by PSNP5 is the Ministry of Agriculture. Small Dam owners are responsible for the safety and the liability of the dam and for financing its upkeep, upgrade, and repair. The common legal understanding is that the dam owner is the developer of the dam, and is therefore responsible for the potential impacts, which the impoundment of water may have on upstream or downstream life, property and environment. It is the owner who holds the various legal permits for the dam and is legally responsible for maintaining the dam in a safe condition and for operating it safely. For the detail of the parties involved and their roles and responsibilities, please consult the dam safety guideline.

3. Legal and Regulatory Framework

Ethiopian policies and legislation related to dams and dam safety issues are as follows:

- Ethiopian Water Resources Management Policy (1999)
- Ethiopian Water Resources Management Proclamation (Proclamation No. 197/2000)
- Water Resources Management Regulations
- Environmental Laws: The environmental laws related to the dam construction are: Environmental Policy of Ethiopia (1997), National Conservation Strategy, Environmental Pollution Control (No.295/2002), Environmental Impact Assessment (No 299/2002), EIA Assessment Guideline Document in 2002 and EIA Procedural Guideline in 2003.
- Occupational Health and Safety law (Proclamation No.42/1993).

4. Dam Failure and Dam Hazard Classification

Dam Failure

If a dam fails, the owner is likely to be held legally liable for all associated damage. To minimize the possibility of failure and the attached liability, the owner should use the services of a suitably qualified engineer to design and construct the dam; make periodic visual inspections of the dam; monitor conditions that may affect the safety of the dam; perform regular maintenance; carry out repairs where and when required to meet current design and construction standards; and have an experienced dam engineer investigate any unusual conditions which could result in partial or total failure.

The three major failures modes of small dams in Ethiopia are:

- Sedimentation behind dam: sediments deposited clog outlet and intake structures
- Seepage loss through foundation and embankment

- low catchment yield and low volume of stored water in dams

The most common causes for failure of small dams in Ethiopia would be as follows:

- Design is not adequate (hydrological, geotechnical, hydraulic).
- Very limited site investigations are undertaken and consequently understanding of site conditions is poor.
- Embankment placement methods are substandard e.g. soil compaction methods.
- lack of watershed management practices
- Maintenance or inspection frequencies are inadequate.

To avoid or minimize the problem, the dam owner is responsible for safety inspection of the dam periodically during all phases of the dam design, construction, and operation and maintenance.

Dam Hazard Classification

The destructive force unleashed by an uncontrolled escape of water stored behind a dam has the potential to harm people, property and the local environment. The consequential losses can include loss of life, socio-economic, financial and environmental losses. Measures can be taken to reduce the risk to an acceptable level and that is what dam safety is about. For this ESMF, three dam hazard classification levels are adopted as low, significant, and high, listed in order of increasing adverse incremental consequences. Dams assigned the low hazard potential classification are those where failure or mis-operation results in no probable loss of human life and low economic and/or environmental losses. Losses are principally limited to the owner's property. Dams assigned the significant hazard potential classification are those dams where failure or mis-operation results in no probable loss of human life but can cause economic loss, environmental damage, disruption of lifeline facilities, or can impact other concerns. Significant hazard potential classification dams are often located in predominantly rural or agricultural areas but could be located in areas with population and significant infrastructure. Dams assigned the high hazard potential classification are those where failure or mis-operation will probably cause loss of human life. The small dam safety guideline is

intended for the owner of dams with hazard potential classification of Low.

5. Planning of Small Dams

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

- the competence and experience of the owner's agents relative to the nature and dam hazard category of the dam, must be appropriate in all areas;
- there must be a cooperative and trusting relationship between the owner and technical advisers, and the designers must be given full control over decision making in critical areas;
- the owner must agree to apply the appropriate level of funding for investigations, design and construction to reduce the chances of critically important issues (particularly related to foundations) being not sufficiently well assessed or under protected;

- the designer/technical adviser has a duty not to compromise unduly due to financial pressures from the owner, developer or contractor;
- continuity of key technical advice should be maintained throughout all stages of the dam from development, through design, construction and commissioning, to reduce chances of critical points of design philosophy and intent being misinterpreted during construction or commissioning.

Dam Site Investigation

Selecting the Dam Site

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

Considerations at Investigation Stage

Technical Consideration

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

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

Environmental Considerations

Dams with their associated reservoirs can have substantial environmental effects and any existing dam or new project must comply with the Ethiopian environmental legislations and associated licensing or permit requirements. It also complies with World Bank ESF ESS4 . It should be recognized at the outset that dam developments have effects extending beyond the immediate confines of the dam and inundated areas. For example:

- Reservoir slope stability may become a dam safety issue due to the risk of overtopping caused by large volumes of reservoir water being displaced by slope failures.

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

Dam Design

Embankment Dams Design

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

Extreme Events

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

Sedimentation

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

6. Construction of a Dam

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

- the contractors must be suitably experienced and committed to achieving the standards of work specified;
- the level of supervision of the works, quality assurance procedures and designer continuity, must be appropriate to the scale and complexity of the dam;

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

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

Selecting the Contractor

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

Construction Supervision

Construction supervision is an important phase of dam construction. Supervision is meant to ensure that the design factors and specification requirements have actually been included in the final product. If foundation preparation, material selection, outlet/spillway installation and embankment compaction are not properly carried out then the safety of the dam will be compromised. So, for all small dam types (both earthen and rock fill) expected to be constructed, all the dam safety requirements applicable should be considered accordingly.

7. Safety Surveillance

Purpose of Regular Inspection

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

Frequency of Inspections

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

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

Adoption of the inspection frequency for a particular dam is the responsibility of the owner, though professional advice should be sought for large dams or those categorized under significant and high hazard dams. According to the dam safety guidelines prepared for PSNP, the suggested inspection frequencies for small dams of less than 15 m height for the two levels surveillance (quick visual inspection and comprehensive examination) is presented in the table below and should be followed critically.

Quick Visual Inspection	
<i>Dam Hazard Potential classification</i>	
High	Twice weekly
Significant	Weekly
Low	Fortnightly
Comprehensive Examination	
<i>Dam Hazard Potential classification</i>	
High	Monthly
Significant	3-monthly
Low	Twice-yearly

Special Inspections

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

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

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

Dealing with Problems

A systematic program of safety surveillance should maximize the likelihood that any developing conditions likely to cause failure would be found before it is too late. Surveillance will also help early detection of problems before they become major repair bills. As identified earlier typical problems (many of which are treatable if found early enough) are most likely to fall into one of the following categories: seepage/leakage; erosion; cracking; deformation/movement; concrete structure defects; and spillway blockage.

Instrumentation and Monitoring

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

- profiles and condition, deformations, seepages or damp areas (visual)
- reservoir water levels which relate to dam loads and flood behavior
- local rainfall which relates to background seepages

- drainage and distinguishable seepages which relate to control of leakage water flow
- clarity of seepage flow which relates to potential erosion of embankment or foundation material.
- water pressures within the dam and foundations which relate to structural behavior
- movement or deformation of the dam surface and internal structure which relates to structural behavior
- stresses within the dam which relate to structural behavior
- seismic acceleration which relates to structural behavior

8. Operation and Maintenance of Dams

Effective and ongoing operation, maintenance and surveillance procedures are essential to ensure the continued viability and safety of a dam and its appurtenant structures. Poor operation, maintenance and surveillance will invariably result in abnormal deterioration, reduced life expectancy and possibility of failure. The proper operation, maintenance and surveillance of a dam provide protection for the owner and the general public. Furthermore, the cost of good operation, maintenance and surveillance procedures is small compared with the cost and consequences of a dam failure which could include major repairs, loss of life, property damage and litigation. Because many small dams fail through lack of maintenance, it is prudent to have a definite and systematic maintenance plan. The maintenance plan should be decided upon when the construction work on the dam is completed. It will affect the life of the storage if it is not maintained properly. A good plan should include the practices to be used, as well as the approximate time of the year when they are applicable.

Annex 4: Physical Cultural Resources: Chance-Finds Procedure

A. Individual Small Artefact

If PW subproject excavation or construction encounters an individual small item of movable physical cultural resource (PCR) such as a coin, work can proceed but the artefact should be handed to the DA. The DA will then perform the following tasks:

- The DA will take the artefact to the Woreda Office of Tourism and Culture, together with a brief written *Chance Finds Report* (copied to the Woreda ESMF Focal Person) containing:
 - The date and time of discovery
 - Location of the discovery
 - Description of the PCR
 - Estimated weight and dimensions
- The DA will then arrange for the work force to resume work as before.
- If further artefacts are found in the same or similar location, the DA will follow procedure (B) below.

B. PCR Site or Cluster of Artefacts

If PW subproject excavation or construction encounters substantial PCR such as an archeological site, a historical site, a group of cultural or historic artefacts, a graveyards or individual grave(s) or any apparently human remains, the DA will perform the following tasks:

- The DA will stop the construction activities in the immediate area of the chance find, and proceed with alternative works elsewhere within the subproject;
- The DA will delineate the discovered site or area;
- The DA will secure the site to prevent any damage or loss of removable objects. In cases of removable antiquities or sensitive remains, the DA will arrange for day and night guards until the Woreda Office of Tourism and Culture can take over;
- The DA will submit to the Woreda Office of Tourism and Culture and the Woreda Environmental ESMF Focal Person a brief written *Chance Find Report*, containing:
 - The date and time of discovery
 - Location of the discovery
 - Description of the PCR
 - Estimated weight and dimensions
 - Temporary protection measures implemented.
- The Woreda Office of Tourism and Culture and/or Woreda Environmental Environmental/ESMF Focal Person will notify other concerned local authorities if necessary (e.g. Church, police, etc.);
- The Woreda Office of Tourism and Culture will be in charge of protecting and preserving the site before deciding on the appropriate procedures. This may require a preliminary evaluation of the findings to be performed by the archeologists or other experts of the Woreda Office or the Regional Bureau of Tourism and Culture, who will ascertain the significance and importance of the findings, according to the various criteria relevant to cultural heritage;

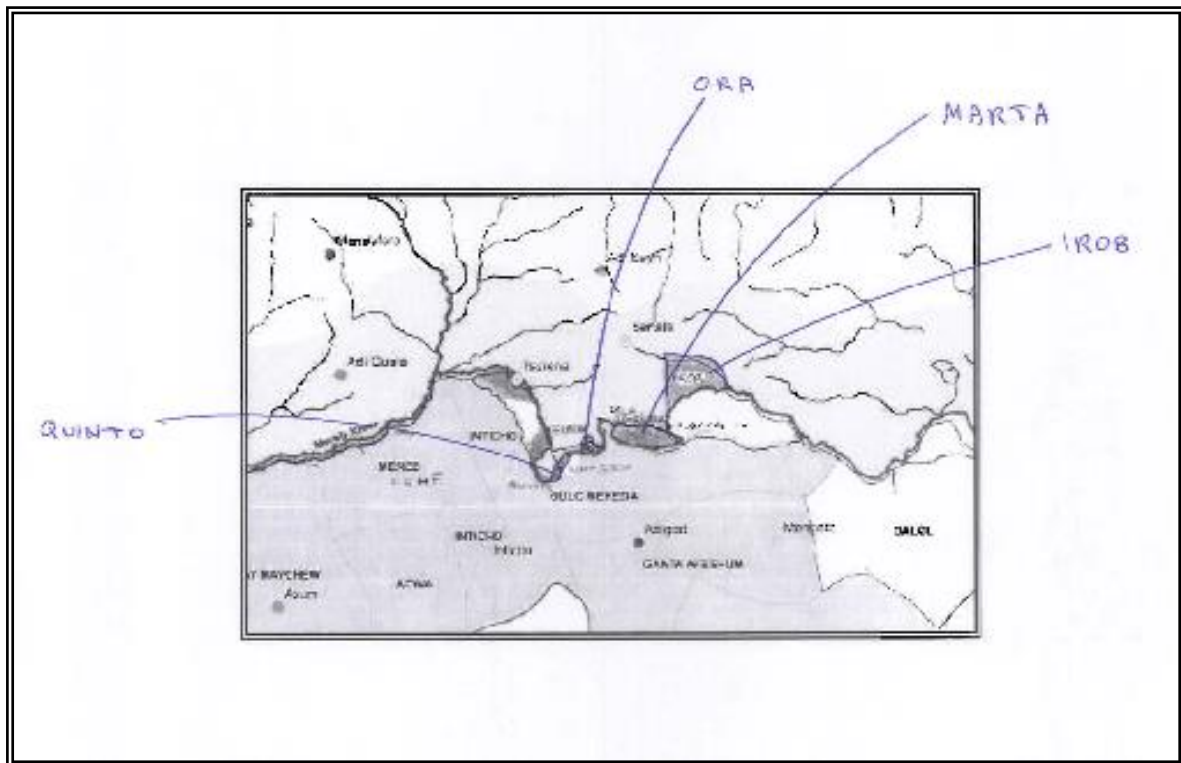
Annex 4: Physical Cultural Resources: Chance-Finds Procedure

- As soon as possible the Woreda Office of Tourism and Culture should notify the DA what measures are being taken to safeguard or remove the PCR, and whether, and when, work can resume in the concerned area. This notification may require the DA to change the design or layout of the subproject.
- Implementation for this decision shall be communicated in writing to the Woreda ESMF Focal Person and DA by the relevant local authorities. Construction or excavation work in the concerned area may be resumed only after such permission is received.

Annex 5: Internationally Disputed Areas

The PSNP5 ESMF disallows any PW activities within disputed areas.

The disputed areas in question were close to the Ethiopia-Eritrea border. Four such areas are identified on the sketch map below, which is based a map of the disputed areas provided to The World Bank by UNMEE in October 2004. Since there may still be residual issues in connection with these areas, and to err on the side of caution, the PSNP5 ESMF procedure



will retain these areas as internationally disputed until further notice.

The disputed areas are four in number:

- Irob (in Irob Woreda)
- Marta (in Gulomahda Woreda)
- Quinto (in Gulomahda Woreda)
- Ora (in Gulomahda Woreda)

It is essential that no Public Works activities whatsoever (including SWC) are carried out in, or adjacent to, these disputed areas. Therefore, if there are PSNP PW beneficiaries living in these areas, their PW activities should be organized outside the disputed area.

Annex 6: ‘Alignment of Operations’ Checklist and Procedure

When the DA (or woreda expert) screens a sub-project, he or she is now required to answer an additional question: “Will this sub-project be inside a Commune Centre, or close enough to a Commune Centre to have any potential direct or indirect impacts on it, or on the people in the Commune Centre?” Yes/No

- If ‘No’, there is nothing additional to be done. Proceed with the ESMF Screening as usual.
- If ‘Yes’, the checklist on page 2 should be completed by the DA (or woreda expert), then proceed with the ESMF Screening.
- The completed checklist should be forwarded, together with a copy of the completed ESMF Screening Form, to the Regional PWFU for onward transmission to the federal ESMF focal person.
- The package should then be forwarded to the PSNP World Bank Safeguards Team Member.

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

Annex 6: 'Alignment of Operations' Checklist and Procedure

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

Annex 7: Woreda Environmental and Social Profile: Guidelines

Typical Contents of a Woreda Environmental & Social Profile

1. General Description <ul style="list-style-type: none"> • Location • Total Area • Number of kebeles • Population • Altitude • Road Network 	2. Natural Resource Base <ul style="list-style-type: none"> • Terrain • Soils • Rainfall • Flora and Fauna • Cultural Sites
3. Agriculture <ul style="list-style-type: none"> • Farming systems • Principal crops • Cash: Food crops • Cropping Seasons • Plot sizes • Methods of Cultivation • Livestock systems • Grazing areas • Sources of Energy 	4. Existing Biophysical Issues Characteristics of ecosystems: Is it in balance? Is it in decline? Is it stable or unstable? Fragile? <ul style="list-style-type: none"> • Temperature • Human health • Water Supply/water-table/waterlogging • Health issues for livestock • Pressure on Land • Land productivity • Vegetation cover/overgrazing • Erosion hazards • Flooding hazards • Species diversity • Alien plant species
5. Existing Social Issues <ul style="list-style-type: none"> • Social aspects of health issues for humans • Social infrastructures including school, health, market, electric and water services, access road, economic situation • Community conflicts • Community attitude and acceptance towards various IGA • Reduced community access to resources • Social Pressures • Negative impact on gender issues including GBV • Negative impact on especially vulnerable groups (i.e. HIV/AIDS and others) • Negative impact on cultural heritage 	6. Current and Planned Interventions that might affect the Environment (Biophysical and Social) For example: <ul style="list-style-type: none"> • NRM programs • Agro- industrial projects • Villagisation programs • Resettlement schemes • Other large-scale projects

Example of a Woreda Environmental & Social Profile

Environmental and Social Baseline

Exemplar Woreda, with an estimated 2008 population of 150,000 consists largely of a valley running between two ranges of small, undulating mountains which are very steep and have low vegetative cover. The population consists of two distinct subsistence-farming ethnic groups. One group lives mainly to the east of the valley; the other to the west.

Some 75% of the woreda is covered by an alluvial floodplain consisting of silt deposition from seasonal rivers running in mountain gulleys, forming a relatively fertile, loamy soil. However, most of the topsoil from the mountains of the surrounding woredas is eroded. To the west is a 'peninsular' of mountainous, intermediate highland landscape.

The main road from Town One (to the north) and Addis Ababa (to the south) runs through Exemplar town, the principal town of the woreda, in which the two ethnic groups are equally represented. Traffic presently using the northern section of this road will in due course be diverted to a highway presently being reconstructed to the west of the woreda. All other roads in the woreda are secondary dirt roads linking areas in the east and west to the main road.

The farmers of both ethnic groups cultivate largely cereals (principally teff and sorghum) and vegetables and keep cattle and sheep. The woreda is drought-prone and the farmers traditionally employ only surface water and spate irrigation. The woreda is classified as chronically food insecure. Paradoxically, the annual run-off has led to a steadily increasing volume of unutilized ground water, resulting in a high water-table.

Household energy fuel is mainly sorghum residue. When not available (in the dry season), animal dung is often used.

There are no natural forests in the woreda. Vegetation on the mountain slopes consists mainly of bushes and shrubs. Acacia woodlands are found in some parts of the alluvial plain.

Fauna is limited mainly to the mountainous areas.

Cultural sites are principally churches, mosques and burial grounds. There may also be significant unregistered cultural sites in the woreda.

Environmental and Social Issues

There are six significant environmental and social issues in this woreda:

- Exemplar woreda is located in a low-lying area surrounded by mountains to the north and west, in adjoining woredas. This has made it vulnerable to flooding, and consequently potential issues: (a) Danger to human life; (b) conflict over land between the two ethnic groups, since fertile croplands can become covered by silt; and (c) Newly built roads and bridges are being damaged.
- Within the woreda, the steep slopes of the mountain slopes are being continually suffering loss of top-soil and vegetation, particularly from free-ranging livestock such as goats. Remedial actions taken so far have focused mainly on limited area-closure to enable revegetation, and basic soil & water conservation measures. However, some of these area closures have created difficulties for households not yet able to practice zero-grazing.
- Malaria and bilharzia have in recent years become increasingly common in the woreda, due largely to (a) the increasing stagnant water in the wetlands, and (b) the increasing number of water-harvesting ponds.
- Expansion of the wetlands has been accompanied by the appearance of plants and toxins in the water both of which have proved injurious to livestock, with consequent reduction in milk yield and water quality.
- Although salinity has not typically been a problem in the woreda, due to recent evidence of salinity in areas now used for cotton newly coming under irrigation, there have been complaints. Steps are now being taken to investigate the problem and come up with suitable solutions.

Annex 8: Environmental and Social Guidance for LH Business Plans

Developing Woreda Environmental Guidance for Business Plans:

Suggested Templates

Region ----- Zone----- Woreda----- Year-----

Table 1. Activities not permitted by Regional/Woreda Authorities (global decisions)

Table 2. Activities Disapproved (derived from table 9)

Table 3. Eligible Activities Requiring Mitigating Measures - The following livelihood activities may be implemented. However, the specified mitigating measures must be implemented.

Livelihood Activity	Mitigating Measures/Conditions	
	Kebele or Woreda Level	Household Level

Table 4. Cumulative Impact Assessment of Potentially Popular or Potentially Damaging Livelihood Activities

Name of Activity	Activity 1	Activity 2	Activity 3	Activity 4	Activity 5	Activity 6	Overall Combined Impact
Likely Cumulative Environmental & Social Impacts							
Likely Cumulative Impacts of the Environment on the Activity							
Practical Mitigating Measures at Household level							
Practical Mitigating Measures at woreda and Kebele level							
ESMF Guidance status:							
Approved							
Disapproved							

Signed: Livelihoods Woreda Focal Person

Name		Signature		Date	

Example of Environmental & Social Guidance

1. Livelihoods Activities Likely to Lead to Negative Cumulative Impacts

Of the activities available under the Livelihoods Strengthening component in Exemplar Woreda, the following are considered likely to prove popular, and likely to give rise to cumulative impacts if adopted by a large number of households:

- Cash-crop cultivation, typically using water-harvesting ponds, shallow wells, or river or lake water;
- Cutting and mixing sorghum residue as animal feed (an income-generating scheme, utilizing a simple piece of equipment);
- Animal purchase and fattening.

For each of these activities, potential negative environmental impacts have been identified. These impacts and recommended mitigating measures are as follows:

Matrix of Potential Environmental and Social Impacts and Mitigating Measures
(Indicative Example)

Activities	Development of Irrigation Potential	Animal Feed Production	Animal Purchase and Fattening
Potential Impacts	(i) Extensive use of irrigation may result in salinisation and consequent soil encrustation. (ii) Extensive use of irrigation may result in depletion of ground water and consequent social unrest. (iii) Shallow wells and water harvesting ponds may pose a hazard to human and animal life, especially children. (iv) Uncontrolled or careless use of agrochemicals may pollute the groundwater, resulting in health hazards for human and animal life, and may pose a hazard for bees.	The reduction in the availability of sorghum residue for household energy may cause a significant increase in the use of animal dung or fuelwood, with subsequent loss of dung for fertilizer, and deforestation.	(i) Careless use of veterinary chemicals can pollute the groundwater, resulting in health hazards for human and animal life. (ii) Uncontrolled grazing can cause environmental degradation.
Mitigating Measures	(i) Where drip and sprinkler irrigation are used, there are not expected to be major issues. However, in other areas measures will include balanced surface water use, choice of salinity-tolerant crops, and spate irrigation for flushing as appropriate. (iii) It is <i>intended</i> that there should be water-table reduction, to reduce the extent of waterlogged land. Water-table levels will be monitored by woreda agric. office. (iii) For shallow wells there should be cover or protection, and designs enabling anyone who falls in to climb out. For ponds: protection, and safer designs. (iv) An Integrated Pesticide Management (IPM) plan covering use of a combination of natural methods and agrochemicals will be drawn up and implemented, covering acquisition, application, accidents, storage and disposal of agrochemicals. In addition, the location of use will take into account proximity to PAs dependent on apiculture.	The likely depletion of household energy supply will be determined by the woreda agricultural office, which is engaged in a parallel programme to propagate the use of energy-saving stoves. New fuelwood and multipurpose crops will be introduced, to provide additional household energy sources to the extent that proves necessary.	(i) A Drugs and Chemicals Management Plan will be drawn up and implemented, covering acquisition, application, accidents, storage and disposal of livestock veterinary drugs and chemicals. (ii) This activity will be allowed only if there is adequate forage available from Area Closure or from the animal feed plant.

2. Examples of Potential Longer-term Environmental and Social Impacts

2.1 Lowering of Water-Table

Widespread success of the growing of irrigated crops can result in high water-extraction, leading to a significant reduction in the water-table and resultant human and animal suffering. In such cases the woreda agricultural office will closely monitor the water-table and will control any further establishment of shallow wells, etc., by informing the Woreda Extension Unit so as to avoid an undesirable reduction in ground-water levels.

2.2 Ratio of Cash: Food Crop Production

If the cultivation of cash crops becomes so popular that cash crops come to displace food crops to a significant extent, this could produce an imbalance that might lead to food shortages within, or outside, the woreda. However, the Woreda Agriculture Office and the Regional Food Security Office have planning systems to address such a trend before it becomes a problem.

2.3 Loss of Species Diversity

Uncontrolled adoption throughout the woreda of a newly introduced crop species could lead to a situation whereby the genetic base of the crop concerned is unduly narrowed. This could mean, for example, that in the event of an outbreak of disease, there is no alternative strain available.

It is thus recommended that the regional or woreda agricultural office should monitor production rates of new crop varieties, and should liaise with the Biodiversity Institute to ensure that the gene banks contain alternative varieties.

2.4 Urban Zero-Grazing

Although the Project is not promoting zero-grazing in high-density urban areas, the zero-grazing being promoted (which by reducing grazing and often livestock numbers is generally environmentally beneficial) in the less-dense area may eventually lead to uncontrolled adoption of zero-grazing in urban areas, with resultant health hazards, noise and smell pollution. To avoid this happening, the Woreda Extension Unit will liaise with the urban Public Health authority to ensure that any regulations controlling the keeping of cattle in the urban areas are recognized and enforced.

3. Possible Effects of the Environment on the Project

3.1 Rising Water Table

The most likely effect of the environment on the project would be a rising water-table, which would continue to have an increasingly detrimental impact on human and animal health and a reduction in cultivatable land. However, with expanded use of irrigation particularly for cotton, will help to reduce the water-table, this impact is not expected to occur.

3.2 Drought

Extended periods of drought would reduce the availability of surface water for irrigation of the small-scale cultivation of fruit and vegetables. However, the encouragement of individual shallow wells is designed to offset such eventualities.

3.3 Flood and Change of Course by Seasonal Rivers

Much of Exemplar Woreda is situated in the lowlands where flood water deposits silt from the surrounding mountains. As a result, fertile soils in the bottomlands of the woreda are being silted, affecting productivity of many farmlands. Although the woreda uses a lot of the flood water as a source of spate irrigation, when the intensity of the floods increases the floods make river courses to change and hence make a significant amount of farmlands out of production. It is expected that the surrounding woredas will enhance their watershed management schemes so that flood water affecting Exemplar is substantially reduced.

4. Ineligible Subprojects

Given the current environmental issues in the woreda, the following Livelihoods activities will not be eligible under the PSNP Livelihoods Strengthening component:

- Charcoal production
- Fuelwood production and trading
- Manufacture of traditional stools.

Annex 9: Environmental and Social Monitoring Plan (ESMP): For the Livelihoods Sub-Component: Hypothetical Example

Annex 9: Environmental and Social Monitoring Plan (ESMP): For the Livelihoods Sub-Component: Hypothetical Example

The following Table sets out indicators for monitoring the implementation of mitigating measures designed to address potential environmental and social impacts

Environmental and Social Monitoring Plan (Exemplar Woreda - Indicative Example)

Activities	Development of Irrigation Potential					Animal Feed Production	Animal Purchase and Fattening		
Likely Impacts	Extensive use of irrigation may result in salinisation and consequent soil encrustation.	Shallow wells and water harvesting ponds may pose a hazard to human and animal life, especially children.	Uncontrolled or careless use of agrochemicals leading to pollution of groundwater, leading to health hazards for human and animal life and social unrest.			The reduction in the availability of sorghum residue for household energy may cause a significant increase in the use of animal dung or fuelwood, with subsequent loss of dung for fertilizer, and deforestation	Uncontrolled or careless use may pollute groundwater, leading to health hazards for human and animal life.		As a result of increased livestock purchases and improved health, numbers may increase, leading to overgrazing.
Mitigating Measures	Drip and sprinkler irrigation should be encouraged	Recommend for shallow wells cover or protection, and designs enabling anyone who falls in to climb out. For ponds: protection, and safer designs.	Draw up an Integrated Pesticide Management (IPM) plan.	Implement IPM plan	Take into account proximity to kebeles dependent on apiculture, when determining location of use	Propagate the use of energy-saving stoves and plant multipurpose trees (MPTs).	Draw up a Drugs and Chemicals Management (DCM) plan, covering acquisition, application, accidents, storage and disposal of livestock veterinary drugs and chemicals.	Implement DCM Plan	Free grazing to be prohibited. Forage should come from area closure, to ensure sustainable livestock production.
Indicator	Area under drip/sprinkler irrigation	Number of shallow wells with cover/safely designed ponds;	Existence of IPM plan	IPM plan being used by DAs and farmers	Coverage of topic in location plan.	Number of stoves distributed and MPTs planted	Existence of DCM Plan	DCM plan being used by DAs and farmers	DAs and WoA are promoting these initiatives in FTCs, and they are being enforced
Who collects the data?	WoA	WoA	WoA	WoA	WoA	WoA	WoA	WoA	WoA

Annex 9: Environmental and Social Monitoring Plan (ESMP): For the Livelihoods Sub-Component: Hypothetical Example

Activities	Development of Irrigation Potential					Animal Feed Production	Animal Purchase and Fattening		
How?	Collect data from RDO	Planning office reports/Visits	Check whether IPM plan is published	Make spot checks on site	Check activity design document	Reports from Planning office	Check whether DCM plan is published	Make spot checks	Check FTC curriculum, and physical observation.
When?	Annual	Annual	Annual	Annual	Before activity starts	Annual	Annual ¹¹	Annual	Annual
Where?	WoA/RDO	WoA	WoA/RDO	Activity site	RDO/IPM S	WoA	IPMS Office	Activity sites	Woreda FTC Office

¹¹ Once publication of the DCM plan has been verified, subsequent annual checks should record reprints, updates, etc.

Annex 10: PW and LH ESMF Training Budgets

In order to effectively implement the ESMF requirements, capacity building training needs to be conducted for relevant government staffs from implementing partners including MoA, MoLSA and MoH. The capacity building training should be cascaded down to relevant regional bureaus, zone and woreda offices and to DA (Kebele level).

The thematic areas of capacity building training will cover both the Public Work (PW) and Livelihood (LH) related ESMF requirements. This ESMF Training Budget is therefore prepared based on the assumptions that the capacity building training will be delivered to the relevant staff from federal to kebele levels, considering the past experience and taking in to account the revised per diem rates of PSNP staffs at all levels.

Details of budget requirements are summarized in Table 1 for PW-ESMF and Table 2 for LH-ESMF.

Table 1. Training Budget for PW-ESMF

Description	No. Trainees	No. Days	Expense Per day/ Unit (Birr)	Total Expense (Birr)	Assumptions
TOT for federal & regional Stakeholders (62 trainees)					
Travel expense	48	-	5000.00	240,000.00	6 participants each from 8 regions
Perdiems (for 5 training days & 3 travel days)	66	8	1000.00	528,000.00	14 federal, 48 regional, & 4 support staff (finance, drivers)
Overhead costs (lump sum)				93,000.00	Includes hall rent, refreshment, stationery & others at two training locations
Sub Total				861,000.00	
ToT at regional level for zone & woreda staff (1805 trainees)					
Travel expense	1,805	-	200	361,000.00	5 trainees each from 350 woredas and 1 trainee each from 55 zones
Perdiems (for 5 training days & 2 travel days)	1,853	7	1000.00	12,971,000.00	1,805 trainees and 48 trainers
Overhead costs (lump sum)				2,779,500.00	Includes hall rent, refreshment, stationery & others at 8 training locations at 8 zones
Sub Total				16,111,500.00	
Training for NRM DAs and social workers (7,125 trainees)					

Annex 10: PW and LH ESMF Training Budgets

Description	No. Trainees	No. Days	Expense Per day/ Unit (Birr)	Total Expense (Birr)	Assumptions
Travel expense	6,425	-	200.00	1,285,000.00	6425 NRM DAs from all PSNP Woredas
Perdiems (for 5 training days)	7825	5	450.00	17,606, 250.00	6425 NRM DAs, 700 Social Workers and 700 Trainers
Overhead costs (lump sum)				1,956,250.00	Includes refreshment, stationery & others
Sub Total				20,847,500.00	
Grand Total Training cost for PW-ESMF (Birr)				37,820,000.00	
Equivalent US \$ @ 34 birr				\$ 1,112,353	

Table 2. Training Cost for Livelihoods Strengthening ESMF

Description	No. Trainees	No. Days	Expense Per Day/ Unit (Birr)	Total Expense (Birr)	Assumptions
Perdiems for federal and regional level participants	34	6	1000.00	204,000.00	10 participants from federal and 24 participants from regions (2 each from 8 regions)
Perdiem for zone level participants	55	6	1000.00	330,000.00	1participants from 55 zones
Perdiem for woreda level participants	700	6	1000.00	4,200,000.00	2 participants each from 350 woredas
Fuel for federal level participants/Lump sum	-	-	-	15,000.00	For two vehicles
Fuel for regional level participants/Lump sum	-	-	-	90,000.00	For 8 vehicles
Travel cost for zone and woreda level participants	755	-	400.00	302,000.00	For 55 participants from zone and 700 participants from woreda
Refreshment expense for federal and regional level training	789	3	300.00	710,100.00	For all participants from federal, regional, zone & woreda level
Per diem for DA (extension DA)	6,425	3	450.00	8,673,750.00	For Extension DAs from 6,425 PSNP Kebeles
Per diem for Kebele level trainers	700	3	1000.00	2,100,00.00	2 trainers each from 350 woredas
Sub Total				16,624,850.00	
Contingency 5%				831,242.50	
Grand total (Birr)				17,456,092.50	
Equivalent US \$ @ 34 Birr				\$ 513,415	

Table 3. Summary of ESMF Training Budget

Budget Title	Birr	US \$
Total PW-ESMF Training Budget	37,820,000.00	1, 112,353
Total LH-ESMF Training Budget	17,456,092.50	513,415
Grand Total	55,276,092.50	1,625,767

Annex 11: Occupational Health & Safety; Community Health and Safety

Introduction

20. Brief Project Overview

Productive Safety Net Program (PSNP), supported by the parent project Strengthen Ethiopia's Adaptive Safety Net, aims to provide predictable, adequate and appropriate safety net support (food or cash) to people in extreme poverty and vulnerability situation. The clients are selected into the project through a community-based targeting process. Labor-constrained households will receive unconditional all year-round transfers as Permanent Direct Support Clients (PDS) and are linked with complementary social services where possible. Households with able-bodied adult members will be asked to work on community planned Public Works (PW) in exchange for their transfers which they receive for six months of the year¹². These adults participate in PWs that rehabilitate the natural resource base, build health posts and schoolrooms, construct and rehabilitate roads, and build other public infrastructure as prioritized by the community.

PSNP has people employed or engaged specifically in relation to the project. These project beneficiaries are food insecure male and female community members, contractors who are engaged on infrastructure-related sub-projects following national bid standard and agreement and regular and contract employees. In addition, project affected community is people living around the project implementation areas who are negatively and positively affected by project activities.

The project workers, both clients and contractors including the communities' health and safety are expected to be protected as per the National Policy and Strategy on Occupational Health and Safety (OHS) which was endorsed by the Federal Democratic Republic of Ethiopia (FDRE) Council of Ministers in July 2014. The OHS policy and strategy was prepared to implement the rights of Labour as stipulated in article 42(2) of the Constitution and implement the requirements of International Conventions on Occupational Health and Safety (No.155) to which Ethiopia is a signatory, and the national OHS policy and strategy is applicable to all types of workplaces and economic activities in Ethiopia.

The involvement of project workers also triggers the World Bank's required application of ESS2 which focuses on the labor and working conditions of workers and ESS3 and ESS4 that sets out measures to avoid, minimize or mitigate impacts on the general community and the environment. As a result, the Occupational and Community Health and Safety (OCHS) guideline was prepared following the above stated legal frameworks for the design of SEASN.

¹² Please note, there are no public works planned in the Second Additional Financing of the SEASN project,

21. The need for Updating the OCHS

A Second Additional Financing (AF2) is being processed for SEASN to address the multiple concurrent crises the country is facing, such as consecutive inadequate rainy season and locust infestation on local production resulting in continuing drought, the impacts of the Coronavirus Disease 2019 (COVID-19), and the war in Ukraine, which has created implications on cereal availability and prices in Ethiopia. In addition, high inflation and the ongoing conflict in Tigray and the spread of the conflict to Afar and Amhara in late 2021 has impacted food security in affected areas and has impeded the delivery of humanitarian assistance with access constraints.

The legal covenants of the AF2 requires the government of Ethiopia to update and disclose some of the instruments of the Environmental and Social Management Framework (ESMF) in the context of the current situation in the country. Thus, the OCHS is modified as part of the ESMF prior to effectiveness of AF2.

The parent project's OCHS, with minor changes and edits, will continue to apply to project implementation areas not categorized as as High Risk of Ongoing Conflict Affected Areas (HROCA). However, for areas that are categorized as HROC (Tigray and some post-conflict woredas in Afar and Amhara) a Third-Party Implementer (TPI) will be responsible developing the OCHS according to the assessment that will be done for the HROCA. Thus, the document will outline guideline for developing OCHS in HROCA and post conflict areas. **It should be noted that the AF2 will only finance temporary food or cash support and not public works.** This means the occupational health and safety of the document for HROCA will only include project workers hired by the TPI and not community workers.

This document is separated in three sections. The first and second section part will outline the Occupational Health and Safety (OHS) and Community Health and Safety (CHS) for regular PSNP woredas and the final section will outline the OHS and CHS for HROCA and post conflict areas.

Section One

Occupational Health and Safety for Regular PSNP Woredas

The objective of the OHS is to protect the health and safety of project workers (PW and Livelihoods Strengthening participants, regular and contract workers) from injury, illness or impacts associated with exposure to hazards encountered in the workplace or while working through establishment and maintaining a safe working environment.

Comprehensive job safety or job hazard analyses¹³ were made for the key activities identified under both the PW and livelihoods subproject activities. And the potential hazards to project workers and community is presented on the below table.

¹³ A job hazard analysis is a technique that focuses on job tasks as a way to identify hazards before they occur. It focuses on the relationship between the worker, the task, the tools, and the work environment. Identified uncontrolled hazards will be eliminated or reduced to an acceptable risk level (U.S. Department of Labor Occupational Safety and Health Administration)

Annex 11: Occupational Health & Safety; Community Health and Safety

	Sub-projects/activities	Types of potential safety risks
1.	Soil and water conservation such as stone bunds, roads, small scale irrigation, small dams construction of flood control structures, bridges, etc	<ul style="list-style-type: none"> • Injuries and illnesses from labor intensive activities • Slips and Falls due to wet surface and hillside activities • Dust pollution (which affect eyes, and other respiratory problems for Public Work clients and children at childcare centers) • Minor cuts • Muscle spraining
2	Construction of latrines, shallow wells, ditches and trenches	<ul style="list-style-type: none"> • Limited access or outlet • Land slide • Injuries • Dust pollution
3	Small rainwater harvesting ponds	<ul style="list-style-type: none"> • Waterborne diseases such as malaria • Slip and fall of children and animals unless protected by fence
4	Water sub projects (drinking water)	<ul style="list-style-type: none"> • Waterborne diseases unless treated • Injuries
5	Area closure	<ul style="list-style-type: none"> • Beekeeping activities can cause Bee Sting
6.	Construction /rehabilitation of education and health facilities	<ul style="list-style-type: none"> • Risks related to construction (e.g. waste disposal, injuries)
7	Off-farm income generating activities	<ul style="list-style-type: none"> • Gender Based Violence while traveling to and from markets • Increased workload on girls
8	Implementation of all PW sub projects	Engagement of underage children replacing their parents

The project also conducted ¹⁴Risk Ranking to Classify worker hazard scenarios based on likelihood and consequence which the below table demonstrates.

Likelihood	Consequences					Remark
	Insignificant (In)	Minor (Mi)	Moderate (Mo)	Major (Ma)	Catastrophic (Ca)	
Almost Certain (A)			Eyes and respiratory disease			
Likely (L)	Bee sting Minor Cut		Slips and Fall Increased workload on girls			
Moderately likely (M)			Muscle sprain	Malaria Water borne diseases		
Unlikely (U)				Child ¹⁵	GBV ¹⁶	

¹⁴ The risk ranking table will be updated regularly to include other potential risks and hazards as it is identified

¹⁵ Detail guideline is expected to be elaborated in Labour part

¹⁶ Detail guideline is expected to be elaborated in GBV part

				lab our		
Rare (R)		Injuries from Land slide			Fall into unfenced ponds Fatalities from landslide	
Legend-Please read the legend below by following Likelihood versus consequences included in the table above. E.g. E (extreme risk will be defined as risks which Likely happen always (A) versus with Moderate consequences (M)-(AvsMo) E (AvsMo, AvsMa, AvsCa, LvsMa, LvsCa, MvsMa, MvsCa, UvsCa): Extreme risk; immediate action required H (LvsMo, MvsMo, UvsMa, RvsMa) : High risk; senior management attention needed M (UvsMo, RvsMo): Moderate risk; management responsibility should be specified L (EvsIn, EvsMi, RvsIn, RvsMi): Low risk; manage by routine procedures						

Preventive and Protective Measures

Article 92 of the Ethiopian constitution clearly spells out the fundamental obligations of an employer with regard to putting in place of all the necessary measures in order to ensure, workplaces are safe, healthy and free of any danger to the wellbeing of workers. Although the program is not an employer, in line with the ESS2 and the national OCH policy, it will implement the following measures to respond to the identified potential safety and health hazards and risks due to the implementation of PSNP 5 activities:

- **Woreda OCH focal person:** Assign and train woreda level OHS focal person preferably from the Natural Resource Management (NRM) of Bureau of Agriculture (BoA). The focal person will have clear roles and responsibilities regarding OHS and these responsibilities would be part of her/his performance assessment indicators
- **Safety officer:** Assign forewoman/man as safety officer and train on how to perform first aid during minor injuries
- **First aid kits:** provide first Aid kits with required materials at each watershed to treat workers during minor injuries
- **Training for Frontline Implementers:** Provide training for Development Agents (DAs), Health Extension Workers (HEWs) and Social Workers (SWs) on Health and safety hazards and how to prevent/minimize these risks.
- **Training for community workers:** Develop/adopt training materials tailored to PSNP program clients' level of understanding complemented by interactive materials like detail pictorial illustration of "DOs" and "DO NOTs" regarding accident prevention, response and reporting, and role playing.
- **OHS committee:** Establish an OHS committee with clear ToR which states their roles and responsibilities. This can be a joint committee comprised with regular staff DAs, SWs and HEWs and the community workers with the role of following up the implementation of the OHS measures enacted by the program
- Provide regular information to participants on appropriate actions to be taken to avoid accidents, communicable diseases etc
- Training for the PW clients on lifting and handling materials¹⁷

¹⁷ Please refer diagrams inserted the section below for sample recommended ergonomics practices to include during the trainings

- Placement of weight limits
- The process of reporting potential hazards and misses
- **Putting in place administrative control:** Implementing appropriate administrative controls into work processes, such as gender and social development provisions which include provisions for pregnant and lactating women, assignment of light works for women and people with HIV/AIDS, job rotations, etc.
- **Put in place environmental safety practices:** For the prevention of slips and falls, ensure the implementation of good house-keeping practices such as
 - Sort and place loose construction materials or demolition debris in established areas away from foot paths
 - Clean up excessive waste debris
 - Dust suppression techniques such as applying water during road-construction particularly where childcare centers are located near the PW sites
 - Use of excavation dewatering, side-walls support, and slope gradient adjustments that eliminate or minimize the risk of collapse, entrapment, or drowning (e.g. dam, pond,) Provide safe means of access and outlet from excavations such as graded slopes, graded access route, or ladders
 - For watershed related hazards, design must provide flat floors to the extent possible or ladders where appropriate to allow anyone who may fall into extricate themselves. The watershed should be fenced
- **Refresher information sharing:** Provide regular information to participants on appropriate actions to be taken to avoid accidents, communicable diseases etc.
- **Personal Protection Equipment (PPE):** Provide personal protection equipment when required. Such PPE will be identified during micro-planning stage when subprojects activities will be firmed up
- **Contracted workers:** ensure contractors abide by the program OHS guideline through integrating it into their contracts. Contractors should be contractually required to submit to Woreda Office of Food Security adequate training documentation before start of their assignment

Example of Pictorial Illustration on Safe Weightlifting to be considered during the preparation the program's OHS training materials

Figure 1. Weightlifting

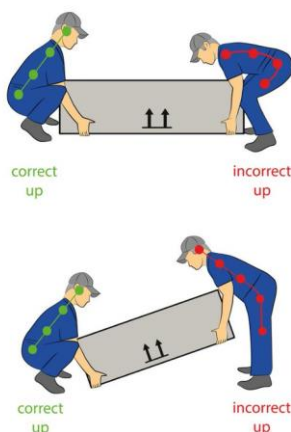
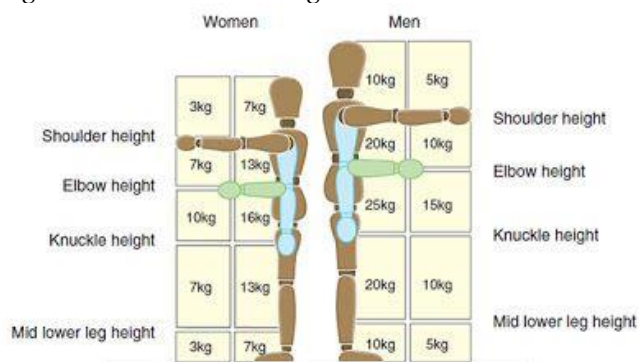


Figure 2. Maximum Weight Limit



Reporting Potential Work Risk at the Workplace: process for Community workers (PW and LH)

- PW and LH strengthening participants and semi-skilled laborers will report immediately to foreman/woman any situation they believe presents a serious danger to life or health of participants.
- The foreman/woman notifies the situation to the responsible DA immediately and the DA examines the situation and provides guidance to address the issue if it is under his/her capacity.
- In case of potential risks which require more comprehensive interventions, the work should be stopped until further notice is given by the DA.

The OHS focal person in close collaboration with the woreda Health and Labor office, will develop and implement appropriate solution for the reported risk.

Responding to Emergencies in the Workplace

- In case of PW related accidents, the foreman/woman will notify the case to the responsible DA and the two will take the victim of the accident to the nearest Health Post or Health Center for treatment or further referral.
- In case of minor injury, the forewoman/man will carry out first aid procedures.
- Every accident and misses will be recorded on the remark column of the attendance sheet.
- In case of serious injury or fatality, the livelihoods impacts will be addressed properly.
- While the DA with close support from the kebele level HEWs, SWs-whenever available and CFSTF identify measures necessary to prevent a recurrence of registered accident or misses, the OHS focal person will report the total incidents reported and investigated in the woreda and this will be integrated in the quarterly program implementation report at region and federal level.

The following reporting format will be used

*Format 1: Quarterly Occupational safety and health Accident Reporting**

Type and number of Accident	Fatality	Number of Days required to recover for non-fatal injuries	Measure taken to limit reoccurrence

*Proper documentation will be made regarding addressing of impacts on livelihoods due to the serious injury or fatality. Post fatality report include age of the deceased and documents on compensation.

Responsibility of implementers at Federal, Regional, Woreda and Kebele level

The safety and health of PW clients require close monitoring, follow up, support, documenting and reporting of occupational accidents, diseases and incidents by Federal, Regional, Woreda and Kebele coordinators and implementers.

Roles and responsibilities of Government stakeholders

- **The Federal and Regional coordinators and implementers:** Ministry of Labor and Social Affairs in close coordination with Ministry of Agriculture are responsible to build the capacity of project implementers at all level, monitor, evaluate, report and document health and safety incidents.
- **Woreda OHS focal person:** is selected at the program initial stage based on an agreed set of criteria by the WoA (NRM) and WoLSA, and in collaboration with the woreda Office of Health. She/he will receive an initial intensive training and follow up refresher trainings on occupational health and safety.
- **SW/DA18:** She/he will summarize all reported occupational accidents, occupational diseases, dangerous occurrences, and incidents together with near misses monthly and investigated with the assistance of the woreda OHS focal person. Participate during planning and can ensure integration of health and safety issues in the annual PW plan. This can ensure the PSNP5 PWs sub project activities to be safe and provide healthy work environment for its clients in general, women particularly, and for the community.

Roles of the PW and LH clients, semi-skilled laborer and contractors

As per the Ethiopian constitution's Article 93, workers are obliged to co-operate and put in to practice of the regulation and instruction given by the program in order to ensure safety health and working conditions at workplaces. The following are the major obligations set by the law for workers to abide with.

¹⁸ wherever SW is not available, this task will be carried out by DA. In areas where SW deployed, the DA will take supportive role

- To inform the employer (following the work process that the program establishes) of any defects related to the appliances used and injury to the health and safety of workers, he/she discovers
- Report to the responsible person as per the work process any situation, which he/she may have reason to believe could present a hazard and which he/she cannot avoid on his/her own or any accident or injury to health which arises in the course or in connection with work
- To make proper use of all safeguards, work processes for the protection of the health and safety of others
- To obey all the health and safety instructions issued by the program

Section two

Community Health and Safety (CHS) for Regular PSNP Woredas

PSNP V of the AF2 will be implemented in 485 woredas in located in nine regional states and one city administration. The communities located in/around the PSNP PWs site will be directly or indirectly, positively or negatively affected by the implementation of the different PW sub projects. The Community Health and Safety requirements in ESS4 sets out the measures to avoid, minimize or mitigate these unintended negative risks and impacts from the PW sub-projects. Further to these measures to avoid or minimize impacts on human health and the environment due to existing or potential pollution are set out in ESS3. These measures are integrated into the project design and implemented throughout the life cycle of the project. This Guideline is prepared following the above stated legal frameworks.

Taking the above stated requirements into consideration in general and recognizing the potential increase in community's exposure to health risks and unintended negative impacts, the program assessed the different risk level of the sub projects and set out measures to avoid or minimize the risks and impacts in the table below. Due focus was given during the process to see the possible risk and impact on vulnerable groups like women and people with disability and HIV/AIDS.

Sub-projects/activities	Types of potential safety risks	Mitigation Measures Identified
Soil and water conservation such as stone bunds, roads, small scale irrigation, small dams construction of flood control structures, bridges, etc	Slips and falls due to wet surface and hillside activities Dust can affect eyes, and other respiratory problems	Fence or put clear sign on projects sites with potential risk Implement dust suppression techniques Integrate strategies/measures to mitigate potential risk of sub projects in the project ESMF
Sub-projects associated with community earth ponds, hand-dug well, shallow wells	Water borne and vector borne diseases Slip and fall	Operation and Maintenance plan to ensure regular maintenance and maintain protection Allocate budget to treat drinking water
Construction of community latrines	Sources of disease if it is not maintained cleaned	Awareness raising events on hygiene and sanitation

Annex 11: Occupational Health & Safety; Community Health and Safety

Small rainwater harvesting ponds using labor-based construction	Can cause health hazards like malaria Safety of children and animals unless protected by fence	Integrate specific measures that could help minimize their incidence such as fencing as part of the subprojects
Water sub projects (drinking water)	Waterborne disease unless treated	Awareness raising events on hygiene and sanitation Train the water committee members on how to avoid contamination
Construction /rehabilitation of education and health facilities	Inaccessibility to people with disability Operational accidents when the new buildings are accessed by public due to debris	Consider universal access as part of the project design Put clear and visible signs on different functions before opening to public access
Income growth due to program transfer	Increased access to alcohol which results in violence (both domestic and community) and increased health risk	Regular consistent messaging and awareness raising activities Gender equality topics including GBV/SEAH integrated in the SBCC sessions

In addition to the specific preparedness measures included in the table above, the program will implement/establish the following key mechanisms to ensure community health and safety which aims preventing/minimizing risks.

- Assess PSNP5 PWs related community health and safety risks to get input for planning
- Plan for training and awareness creation on community health and safety hazards and possible protection measures for coordinators and implementers at all levels and for the communities
- Integrate community health and safety issues in the plan of the project activities
- Allocate budget to treat Water projects such as protected springs providing potable water for human consumption which need to be fenced in order to keep out cattle, which can contaminate the water, and which can result in serious public health hazards to protect water borne diseases (SLMP experience)
- Design, construct, operate, and decommission the structural elements of the project in accordance with national legal requirements (e.g bridges, drainage ditches, roadways, water and irrigation channels and dam)
- Get approval for design of infrastructures from responsible authorities
- Assign experts to monitor and support the sub projects like SWC, bridge, dam, etc which can create health and safety risks on the community
- Develop, implement and monitor appropriate mitigation measures during the design, construction and operation of projects which can affect community health and safety
- Plan for continuous awareness creation activities on avoiding/minimizing communicable diseases for communities
- Supervise the design and construction of dams
- Monitor, evaluate and report community health and safety implementation status and challenges according to the set timeframe

The following reporting format will be used to report Accidents.

Format 2: Quarterly Community Safety and Health Accident Reporting¹⁹

Type and number of Accident	Fatality	Number of Days required to recover for non-fatal injuries	Measure taken to limit reoccurrence

In case of accidents, there needs to be documentation on addressing the impacts on livelihoods due to fatality or serious injury.

Emergency Preparedness and Response

The subproject design and implementation will primarily focus on prevention from injuring the health and safety of the community; and minimize, mitigate for any impacts that may occur based on the provisions in the ESMF and local laws and regulations. In addition to the preparedness and response requirements described in the table above, the program will also assist and collaborate with the affected Communities, and stakeholders, in their preparations to respond effectively to emergency situations.

Section Three

Occupational and Community Health and Safety for High Risk of Ongoing Conflict Areas (HROCA) and Post Conflict Areas

High Risk of Ongoing Conflict Areas (HROCA)

Occupational Health and Safety (OHS)

OHS is aimed at protecting project workers from injury, illness or impacts encountered at workplace or while working.

The AF2 will benefit vulnerable households affected by drought shocks as well as households in Tigray affected by both conflict and drought. It will only finance food or cash support thus does not include any PW activities. As the AF2 does not fund any physical activities and only engages project workers under the TPI for HROCA or direct or contract workers in post conflict areas, the below guideline will only focus on

- TPI to conduct assessment to identify the potential hazards to project workers particularly those that may be life-threatening and develop response plan as part of the overall assessment

¹⁹ Reporting and documentation process will be similar to OHS work process

- Prepare emergency prevention and preparedness and response to emergency situations and effective communication of information
- Accommodation and other facilities (hygiene, canteens) provided must be in nondiscriminatory manner and protect the health, safety and well-being of the project workers.
- Document and maintain incidents related to the project and in the event of occupational fatality or serious injury, report to the Bank.
- Identify corrective actions and implement in response to project-related incidents or accidents.
- Where TPI engages contracted third-party workers, must ensure the legitimacy and reliability of the third party and have contractual agreement labor management procedure, and establish procedures for managing and monitoring performance of such third parties.
- Provide grievance mechanism for the project workers
- In relation to primary supply workers, TPI must ensure no child labor or forced labor cases arise related to the project, introduce procedures and mitigation measures to address safety issues
- TPI must provide OHS training at the start of engagement
- Work environments must have adequate first aid facilities with relevant training for the project workers
- TPI must conduct regular review of OHS procedures and working environment

Community Health and Safety (CHS)

The objective of this guideline is for TPI to anticipate and avoid adverse impacts on the health and safety of project-affected communities from both routine and nonroutine circumstances. The TPI must set out appropriate measures to avoid, minimize or mitigate potential risks and impacts related to the operation of the project as well as external risks that may impact the project.

- TPI conduct assessment to evaluate the risks and impacts of the project on the health and safety of the affected community as part of the overall assessment
- Conduct an Area-Specific Security Risk Assessment (ASSRA)) as part of the assessment. The intervention has a high potential to encounter emergency events thus the ASSRA must identify potential risks to community health and safety that are caused by emergency events (fire, explosion, etc...). The ASSRA describes the measures to be put into place to address the emergency and protect those at risk.
- Based on the ASSRA, the TPI will prepare Emergency Response Plan (ERP). This includes failure to implement according to design, notification procedures for emergency responders etc...
- Identify individual groups considered to be vulnerable because of their circumstances
- Include community health and safety issues in the intervention (targeting, food distribution etc)
- Develop strict protocol for interaction with local communities including code of conduct to avoid risks of service providers exploiting beneficiaries particularly vulnerable groups
- Put in place road and vehicle safety measures to avoid or minimize community exposure to project related road safety risks
- Develop measures and actions for food transportation, storage and distribution
- Ensure safeguarding of personnel and property is carried out in a manner that avoids or minimizes risks to the community

- Take measures to avoid or minimize the potential for community exposure to communicable and non-communicable diseases, water-related, and vector-borne diseases that could result from project implementation
- Monitor, evaluate and report community health and safety implementation status and challenges

Post Conflict Areas

- Conduct Third-Party Monitoring (TPM) in areas that are considered as post conflict
- Based on the findings of the TPM, the implementer that is the government will use the requirements of both OHS and CHS set in this document.

Reference

1. Environmental & Social Framework for IPF Operations ESS4 Community Health and Safety World Bank
2. Occupational Health and Safety world bank
3. Annex 13: PSNP IV Draft Guidelines for Health, Safety and Child Labour on PSNP PW Construction Sites
4. Environmental and Social Systems Assessment (ESSA) Ethiopia Climate Action through Landscape Management
5. (CALM) Program for Results (P170384) Addis Ababa, May 2019
6. Occupational Safety and Health profile for Ethiopia, Ministry of Labour and Social Affairs, October 2016
7. Environmental and Social Management Framework, The FDRE SLMP, Sept.2013
8. FDRE Constitution

Annex 12: Labour Management Procedures

1. Overview of Ethiopia's Adaptive Safety Net (SEASN) project

The World Bank financed Strengthen Ethiopia's Adaptive Safety Net (SEASN) project is designed to support the Government of Ethiopia (GoE) implement its fifth phase of the PSNP (PSNP5). The proposed program has three components. The first component focuses on the delivery of safety net operations for core program clients. It includes: the delivery of core transfers; the implementation of the public works sub-projects by which most beneficiaries earn their safety net benefits; services for children between 2 and 5 years old; and, complementary livelihood services to enable PSNP beneficiaries to enhance and diversify their incomes. Component 2 will enhance PSNP capacity to function as an integrated shock responsive social protection program, building on the Government of Ethiopia's recent decision to consolidate the operational management of humanitarian food assistance and PSNP under the Food Security Coordination Directorate (FSCD). The third component relates to the overall management of the PSNP. It includes activities focused on strengthening Government institutions' ability to manage all aspects of program implementation and the use of core instruments (such as targeting, Management Information Systems and Grievance Redress Mechanisms) to assist program operations, poverty and vulnerability; and full retargeting at the beginning of the program and every four years.

The project's proposed Second Additional Financing (AF2) will allow the Government of Ethiopia's flagship safety net to meet increasing and critical food security needs, both by switching core transfers from cash to food in selected woredas, and by allowing the program to vertically and horizontally expand to drought and conflict affected households through the shock responsive component of the project. Financing from the AF2 will also allow the reestablishment of critical implementation capacity in districts of Tigray, Afar, and Amhara affected by recent conflict. The AF2 also includes a Level II restructuring to revise implementation arrangements so that third-party agencies will implement and monitor this Second Additional Financing operation in Tigray and other conflict-affected areas.

Current projections suggest that 20.4 million people are in urgent need of food assistance (in cash or in kind) many of which live in areas categorized by the Integrated Food Security Phase Classification as in Crisis (IPC3) or Emergency (IPC4).

The proposed Additional Financing will be processed under the Bank Policy for Investment Project Financing, Paragraph 12.00, Projects in Situations of Urgent Need of Assistance or Capacity Constraints. A project is eligible under this policy exception when the borrowers/recipients are deemed to: (i) be in urgent need of assistance because of a natural or man-made disaster or conflict; or (ii) experience capacity constraints because of fragility or specific vulnerabilities (including for small states). The proposed AF2 meets both criteria:

(a) Urgent need of assistance because of a natural or man-made disaster or conflict: Ethiopia's food security situation is deteriorating as a result of a combination of aggravating factors including flooding, the COVID-19 pandemic, desert locusts, conflict and drought.

(b) Capacity constraints: The multiple crises (the COVID-19 pandemic, desert locusts, conflict and drought) currently facing Ethiopia are a drain on its limited capacity. In particular, the ability to achieve progress at district level in crisis-affected regions is currently severely hampered. The use of condensed procedures will reduce the burden on Government counterparts and allow them to focus on the delivery of safety net services in the current

fragile political and security context.

22. The need for Updating the LMP

Multiple concurrent crises such as consecutive inadequate rainy season and locust infestation on local production resulting in continuing draught, the impacts of the Coronavirus Disease 2019 (COVID-19), and the war in Ukraine has created implications for cereal availability and prices in Ethiopia. In addition, high inflation and the conflict in Tigray and the spread of the conflict to Afar and Amhara in late 2021 has impacted food security in affected areas and has impeded the delivery of humanitarian assistance with access constraints. As a result, a Second Additional Financing (AF2) was processed for SEASN. The legal covenants of the AF2 requires the government of Ethiopia to update and disclose some of the instruments of the Environmental and Social Management Framework (ESMF) in the context of the current situation in the country. Thus, the LMP is modified as part of the ESMF prior to effectiveness of the AF2.

The LMP with minor changes and edits will continue to apply. A Third-Party Implementer (TPI) will be responsible in customizing the updating LMP in according to the assessment that will be done for the HROCA. AF2 will only finance temporary food or cash support and not physical work.

These Labor Management Procedures (LMP) have been developed to:

- Promote safety and health at work;
- Promote the fair treatment, non-discrimination and equal opportunity of project workers;
- Protect project workers, including vulnerable workers such as women, persons with disabilities, youth (of working age, in accordance with Ethiopian legal provisions and WB's ESF-ESS2);
- Prevent the use of all forms of forced labor and child labor;
- Support the principles of freedom of association and collective bargaining of project workers in a manner consistent with Federal law; and
- Provide project workers with accessible means to raise workplace concerns.

2. OVERVIEW OF LABOR MANAGEMENT OF THE PROJECT

Number of project workers: The labor-intensive public works (PW) are envisaged to create productive assets at community level and provide temporary employment opportunities to beneficiary households, mainly people living under the food poverty in geographically targeted woredas in Ethiopia. However, the AF2 is mainly focusing on, and investing in, improving shock responsiveness of the Rural Safety Net, and the AF2 will not finance public works activities that engage labor.

The Project will maintain the same level of employment which was indicated in the parent project (a total of 4,367 staff in 485 woredas on a contractual basis based on National Labor Laws and Project Implementation Manual (PIM) of PSNP 5).

Characteristics of project workers

Community Workers (Participants): Because of the aforementioned reasons (as the AF2 objective is shock response), under the AF2, the Project will not deploy community workers, unlike the parent project.

The Project will employ contract and regular staff who are working based on terms and conditions stipulated in the civil service regulations. In addition, the civil servants at the local government level will be involved in the project implementation on full time or on a part-time basis. These include PSNP Food Security Head, Public Work and Livelihoods Coordinators and Technical Assistance (TA) specialists on Infrastructure, M&E, Gender and Social Development (GSD), as well as TAs at the Regional and Woreda levels, PSNP Accountants, and Sector Experts of various sectors such as from Ministry of Agriculture, Ministry of Labour and Social Affairs (social workers), and Ministry of Health (Health Extension Workers). The Woreda Government Administrations and sector staff are civil servants whose salaries are financed through the local government.

Timing of labour requirements: Direct Project workers are eligible to work for a fixed contract period that could be renewed as required.

Short Term Consultants: The Short-Term consultants are engaged by the Project to undertake short period assignments such as assessment and evaluation. These are consultants guided by specific contractual agreements between them and Ethiopia PSNP Food Security Coordination Directorate or NRM (Natural Resource Management) PW Coordination Unit at National level and the same Agreement could be made at Regional Food Security, PW and Livelihoods coordination units.

Timing of labour requirements: Short Term Consultants are engaged under short term period of not more than six months and the labour requirement including the time schedule and deliverables are stipulated in their respective contracts. Regarding Infrastructure related subprojects, contractors are engaged following the National Bid Standard Terms & Conditions applying to construction contracts.

3. ASSESSMENT OF KEY POTENTIAL LABOR RISKS

Project components and activities:

Component 1 – Adaptive Productive Safety Net (US\$14.875 million AF2)

This proposed AF2 will allow the SEASN project to finance the purchase of cereal (wheat) which will enable the government to switch core Permanent Direct Support Transfers to food in selected woredas in light of the severe drought, escalating food prices and dysfunctional markets. Three months of transfers (with a benefit level of 15 kg per beneficiary per month) for approximately 300,000 core beneficiaries in food and associated transportation costs will be financed out of this component. Woredas where the preferred transfer modality is food, or cash and food, woredas which have recently emerged from conflict and woredas badly affected by the current drought will be targeted for this switch. There will also be alignment between woredas in which Permanent Direct Support (PDS) transfers are made in food and woredas targeted for shock responsive transfers to ensure economies of scale with regard to the transportation of food.

In addition, the proposed AF2 will allow the Government to restore the purchasing power of cash transfers which have been severely hit by high food price inflation. The severe budget constraints faced by the program have risked Government plans to annually adjust benefit levels in line with inflation, resulting in a Government proposal to delay benefit level adjustments or limit the size of the change. Financing from AF2 will cover the cost of an adjustment in line with Food Price Inflation for the period of three months, to enable such an adjustment to be rolled-out during the peak of Ethiopia's annual hungry season. This adjustment will both restore the purchasing power of the cash transfers to core PDS beneficiaries (who are amongst the poorest) and improve the adequacy of shock responsive transfers which are indexed against core transfer benefit levels.

Component 2 – Improve Shock Responsiveness of the Rural Safety Net (US\$242.940 million AF2)

The food cereal purchased through this AF2 will also allow the government to scale up shock responsive transfers to drought and conflict affected communities. Approximately 5.5 million beneficiaries in Afar, Amhara, Dire Dawa, Harari, Somali, Oromiya, Sidama, South-West and SNNP will receive three months of shock responsive transfers as programmed through an update to the Food Security Coordination Directorate's Drought Response Assistance Plan (DRAP). The DRAP draws data on food assistance needs from the Government's Early Warning System and matches, through a prioritization process, these needs with the resources available. The DRAP will identify both the planned horizontal (additional beneficiaries) and vertical (additional support for core PSNP beneficiaries) expansion under Component 2. The DRAP will also determine which areas will receive benefits in food and in which areas cash will remain the preferred payment modality. This determination will be informed by analysis looking at availability and access. The DRAP will also allocate financing from the AF2 to facilitate the administration of shock responsive transfers at woreda level.

Implementation in non-High Risk of Ongoing Conflict Areas of Afar, Amhara, Dire Dawa, Harari, Somali Region, Oromia, Sidama, South-West Region and SNNP will follow the modalities already laid out in the Government's Shock Responsive Safety Net Operational Annex to the Program Implementation Manual. This Operational Annex describes how households will be targeted using already established community targeting committees, the ability of households to submit complaints to existing Kebele Appeals Committees and the use of the PSNP payment software for the beneficiary registry and to facilitate payroll generation. A separate module exists in the PSNP's Payroll and Attendance Sheet Software (RPASS) to manage clients temporarily enrolled into the PSNP as shock responsive beneficiaries. Food distributions should both enable direct beneficiaries to meet immediate food needs and increase availability of food, reducing inflationary pressures in markets serving the wider communities.

A further 1.5 million beneficiaries in High Risk of On-going Conflict Areas will also be supported through the Additional Financing under Component 2 with implementation contracted out to a Third-Party Implementer (TPI). Implementation in Tigray will follow streamlined procedures (to be documented and shared by the TPI) and will provide support to households identified as in need regardless of whether or not they were previously enrolled in the PSNP. The TPI will submit its distribution plans to Government, but will be given flexibility to adapt to changing circumstances in real-time given the potentially dynamic nature of the conflict. The AF2 will finance the provision of 15 kg of cereal per month for three months for each beneficiary. This may be supplemented by pulses and oil from other

sources depending on resource availability from humanitarian donors.

Component 3 - Systems, Capacity Development, and Program Management Support (US\$42.185 million AF)

The proposed AF2 will also support the re-establishment of critical implementation capacity in districts of Afar, Amhara, and – as appropriate – Tigray affected by recent conflict. The widespread conflict in Tigray and incursions by Tigray forces into Afar and Amhara have resulted in significant damage to and losses of Information and Communications Technology (ICT) equipment, vehicles and other physical capacity; and the weakening of community project management structures that play a key role in certain aspects of program implementation. Although some ICT equipment and vehicles have been purchased and are in the process of being distributed, financing constraints made it impossible to address all the capacity gaps resulting from this conflict. The Government has undertaken a damage and loss assessment in woredas affected by the conflict in Afar and Amhara. A portion of the AF2 will be used to support capacity restoration efforts including the purchase of additional ICT equipment, vehicles (including motorcycles) and office furniture. The AF will also be used to support any training needed to restore community structures and woreda capacity.

The TPI will conduct an assessment to inform any investments on re-establishment of capacity in Tigray. As part of their assignment, the TPI will undertake a capacity assessment in Tigray to obtain evidence on the level of damage inflicted on the implementation capacity of the PSNP at various levels, and will estimate the amount of investment needed to restore these capacities. Implementation in Tigray would take an adaptive approach by identifying and deciding on the level of investment while conducting timely conflict and security assessments.

Key Labour Risks: Potential risks that may arise from the nature of activities to be undertaken include incidents of child labor, accident and injuries, GBV/SEA and safety and health hazards.

The risk of child labour will be mitigated through certification of labourers' age. This will be done by using the legally recognized documents. In circumstances where these documents are not available, the Affidavit of Birth will be used. Further, awareness-raising sessions will be conducted regularly to the communities to sensitize on prohibition and negative impacts of Child and Forced Labour.

The risk of Sexual Exploitation and Abuse (SEA) will be mitigated through sensitization of beneficiaries and the community on the risks and prevention of Gender Based Violence (GBV), Sexual Exploitation and Abuse. Furthermore, provision of equal employment opportunities, promotion of fair treatment and non-discrimination and inclusion of specific and binding clauses in all the codes of conduct and contracts will be applied to mitigate the risks. PSNP has also provisions aimed at addressing gender-specific vulnerabilities of women, which includes limits for the distance of public work sites from the home as maximum of 1 hour's walking distance as well as reducing workload of women to 50% that allows them to arrive late and leave early.

To avoid the risk of accidents at work places, the site will be equipped with information and directions on all important areas, including Emergency Assembly Points; additionally, the site will have Sign Boards located in appropriate places, providing information on

precautions and appropriate actions to be taken to avoid accidents including mandatory wearing of protective equipment.

4. BRIEF OVERVIEW OF LABOUR LEGISLATION: Terms and Conditions

The labor law is applied to govern all aspects of employment relations based on a contract of employment that exists between a worker and an employer. The government of Ethiopia labour laws include the following:

- Labor Proclamation No. 42/1993 (replaced by Labor Proclamation No. 377/2003)
- Labor Proclamation No. 377/2003
- Federal Civil Servants Proclamation 1064/2017
- Labor Proclamation No.1156/2019 (complements (does not replace, Labor Proclamation No. 377/2003).
- Proclamation No. 632/2009, Employment Exchange Service Proclamation
- Proclamation No. 568/2008 Rights to employment for Persons with Disabilities:
The labour law covers formation of contract of employment defining the rules and conditions of employment, nondiscrimination, equal opportunity for women workers, the right to form trade unions (workers organizations), working conditions of young labor setting the minimum age for child labour to be 15 and working conditions, and arbitration/conciliation mechanism to handle grievances and disputes of workers in relation to employment. The labour law also covers occupational health and safety, and work environment aspects. Proclamation No. 568/2008 Rights to employment for Persons with Disabilities makes void any law, practice, custom, attitude and other discriminatory situations that limit equal opportunities for persons with disabilities.

Further, Ethiopia is a signatory to the international UN conventions and has ratified the major international human rights instruments. Ethiopia has also ratified the following ILO conventions:

- Forced Labor Convention No. 29/1930;
- Freedom of Association and Protection of the Right to Organize Convention, No. 87/1948;
- Employment Service Convention, No. 88/1948;
- Right to Organize and Collective Bargaining Convention, No. 98/1949;
- Abolition of Forced Labor Convention, No.105/1957;
- Minimum Age Convention No. 138/1973;
- Occupational Safety and Health Convention, No. 156/1981;
- Termination of Employment Convention, No. 158/1982;

- The Rights of the Child Convention, 1989; and
- The Worst Forms of Child Labor Convention No. 182/1999.

The labor law largely fulfills the requirements of ESS 2. In case of differences between the national legislation, regulations, and the World Bank Environmental and Social Standards, the more stringent provision will be applied.

As mentioned above various laws, policies, systems, standards and international codes of practice are applicable to the implementation of this Plan. These laws include Employment and Labour Relations. As per Proclamation No.1156/2019, No 89, Article 55, part 1 and 2 of Ethiopia labour law, Part seven, 2019, Occupational Safety and Health have relevant clauses that support ESS 2. Although community workers are not covered by the labour laws, Project workers will be provided with information that is clear and understandable regarding their terms and condition of employment.

The employment and labor relations as mentioned above is the main legislation that guide labor practices in Ethiopia. Terms and conditions provided by this Act includes prohibition of child labor, prohibition of forced labor, freedom of association, prohibition of discriminations, employment standards i.e. maximum hours of work, night work standards, right to break during working day, leave and fair terminations. The above terms and conditions apply to the long-term consultants. However, some of these terms and conditions applies to community workers i.e. prohibition of child labor, prohibition of forced labor, prohibition of discriminations and maximum hours of work.

The legislation requirements conform to guidance provided in WB Environmental and Social Framework (ESF) and Environmental and Social Standard 2 (ESS 2).

5. BRIEF OVERVIEW OF LABOUR LEGISLATION: Occupational Health and Safety (OHS)

Ethiopia has legal frameworks on Occupational Health and Safety (OHS). The Constitution (1995) under Article 42/2 stated the Rights of Labor as “workers right for healthy and safe work environment” Proclamation No. 4/1995. There are also different legal frameworks on OHS which include: the National Occupational Health Policy and Strategy, Occupational Health and Safety Directive (2008), Occupational Health and Safety Policy and Procedures Manual, and On Work Occupational Health and Safety Control manual for Inspectors (2017/18) which will apply to this Project. Occupational Health and Safety promotion is also included as priorities in the National Health Policy Statement (1993). Ministry of Labour and Skills (MOLS) and its regional counterparts are responsible for OHS at Federal and Regional levels.

According to ESS2, the OHS measures will be designed and implemented to address: (a) identification of potential hazards to project workers, particularly those that may be life threatening; (b) provision of preventive and protective measures, including modification, substitution, or elimination of hazardous conditions or substances; (c) training of project workers and maintenance of training records; (d) documentation and reporting of occupational accidents, diseases and incidents; (e) emergency prevention and preparedness and response arrangements to emergency situations; and (f) remedies for adverse impacts such as occupational injuries, deaths, disability and disease.

6. Workplace occupational health and safety (OHS) processes to protect public workers health and safety

Detailed OHS procedures for the PW program are set out in the PSNP 5 ESMF Annex 11, *Occupational Health and Safety (OHS) and Community Health and Safety (CHS)*. The provisions may be summarized as follows:

Identification of Potential Occupational Health and Safety risks

PW and LH related sub-projects and activities which can cause health and safety risks on participants were identified. Qualitative comprehensive job safety or job hazard analyses were made for the key activities identified as potential hazards.

Implementation of Preventative and Protective Measures

Safety measures to respond to the identified potential safety and health hazards and risks due to the implementation of PSNP 5 activities were established. This includes but not limited to assigning and train OHS focal person, developing simplified community level training and IEC materials, assigning community level safety officer who are trained on how to perform first aid during minor injuries, providing regular awareness raising to the communities using the simplified training and IEC materials, establishing an occupational, safety and health committee, implementation of good house-keeping practices, providing first aid kits with required inputs and providing personal protection equipment.

Establishing Workplace procedure for PW and LH clients and Semi-skilled workers to report and respond to potential work risks and emergencies

Clear workplace procedure was established for community workers and semi-skilled laborers to report immediately any situation they believe presents a serious danger to life or health of participants as well as occurrence of emergencies. The workplace procedures, work instructions and formats also include clear steps/measures which needs to be implemented and the responsible parties for responding to reported risks and emergencies.

Following implementation of Safety Procedures

Emergency incidents will be identified and reported. The workplace procedures as set out in Annex 15 of the PSNP 5 ESMF will be followed for responding to emergency incidents.

Responsibility of implementers at all level

The roles and responsibilities of project stakeholders at all level in relation to the implementation of the OHS guide were discussed, agreed and included in the OHS guide.

7. RESPONSIBLE STAFF

To ensure successful management of project workers there is a need to clearly define roles and responsibilities of key players and stakeholders at Community, Kebele, Woredas, Regions, and Federal levels:

- The Federal-level Food Security Directorate, and NRM PW Coordination Unit will prepare guidelines and all forms needed, capacity building to regional and woreda-level staff and monitoring; ensure provision of expert advice on labour management, ensure enforcement and monitoring role as stipulated by law, ensure periodical labour and working conditions

environmental audits and facilitate in conducting training for staff that will carry out LMP at all levels.

- Regional level - The Public Works Focal Unit (PWFU) Technical Team will support the Woreda PW staff and the Woreda Food Security Task Force and Technical Committees on the implementation of the LM procedures. They will also be responsible for training of Woreda leadership on safety measures to avoid workplace accident.
- Woreda level –The woreda PW staff provide the necessary training to DAs and kebele level government structures on the labor management procedures. They are responsible to oversee that the necessary forms are completed at kebele level and then communicate the same to the regional levels.
- Kebele level –DAs, Kebele Administration and Community Watershed Team (CWT) will be responsible to oversee the management of community workers at sites; this include undertaking both compliance monitoring and effects monitoring.
- **Third Party Implementer:**

As the AF2 does not fund any physical activities and only engages project workers under the TPI for HROCA or direct or contract workers in post conflict areas, the below guideline will only focus on

- TPI to conduct assessment to identify the potential hazards to project workers particularly those that may be life-threatening and develop response plan as part of the overall assessment
- Prepare emergency prevention and preparedness and response to emergency situations and effective communication of information
- Accommodation and other facilities (hygiene, canteens) provided must be in nondiscriminatory manner and protect the health, safety and well-being of the project workers.
- Document and maintain incidents related to the project and in the event of occupational fatality or serious injury, report to the Bank.
- Identify corrective actions and implement in response to project-related incidents or accidents.
- Where TPI engages contracted third-party workers, must ensure the legitimacy and reliability of the third party and have contractual agreement labor management procedure, and establish procedures for managing and monitoring performance of such third parties.
- Provide grievance mechanism for the project workers
- In relation to primary supply workers, TPI must ensure no child labor or forced labor cases arise related to the project, introduce procedures and mitigation measures to address safety issues
- TPI must conduct regular review of LMP procedures and working environment

8. POLICIES AND PROCEDURES

The participants of the Program will be enrolled through a community-based participatory approach, which will entail the following activities:

- i. PW staff and Woreda level extension personnel during village assemblies will introduce the Project, explaining thoroughly the components and the mode of its operations to the prospective participants.
- ii. Furthermore, during the community Assembly meeting, the DAs will elaborate on the nature,

type and eligibility of community driven labor.

- iii. The eligibility criteria of program participants will be established and agreed upon during the community meeting based on set of criteria. Some of common criteria include:
 - a) Extreme poor households identified in community-based targeting and verified through Proxy Means Test – these are households that do not meet daily consumption needs, have limited assets, high family size, elderly, orphans and child headed households, people with chronic illness and other forms of vulnerability.
 - b) For PWP, in addition to common criteria mentioned in a) above, there should be at least one able-bodied person who can provide labor on behalf of the Households, age 18-60.
 - c) Pregnant and lactating mothers will be exempted from participation in PW implementation as stipulated in the PIM.
 - d) All child-headed households will receive direct support, and will not participate in Public Works

ESS2 paras. 24-30 on Occupational Health and Safety will be complied with through a provision of PPE to every worker at all working site where beneficiaries undertake PW activities for the SEASN. Such PPE will be identified during Micro-planning stage when subprojects activities will be firmed up. Different PPE will be supplied and used in subprojects depending subprojects activities. PW Implementation manual also covers provisions of occupational health and safety at the project sites which includes but not limited to provision of sanitary facilities, solid waste collection and disposal points, use of appropriate PPE with respect to project implemented and provision of First Aid Kit in all sites. The cost for procuring PPE will be included in the PW non-labour budget. Woreda office of agriculture will be responsible for procurement of these inputs. Kebele Admin will maintain a stores ledger book where all tools procured will be recorded.

9. AGE OF EMPLOYMENT

- 10. As mentioned above, the AF2 will not involve PW activities due to the reason that the project is intended only to address the shock response. However, under the parent project, the project will target eligible households having at least one adult of working age of 18 to 60 years only to work in PW subprojects. The age of participants will be verified during subproject community based participatory planning. Such tools as the Registration Client Card (RCC) and National ID will be used to verify age of participants and validated in the Kebele Assembly meeting. In the same circumstances where these documents are not available, the Affidavit of Birth or Birth certificate will be checked. Further, awareness raising sessions will be regularly conducted to the community to sensitize on prohibition and negative impacts of **Child and forced Labor**.

11. TERMS AND CONDITIONS

There are three types of workers in the SEASN Project:

- (i) Civil Servants from the government at PSNP Woreda level and Regional PW Focal Unit (RPWFU) who have contracts that are governed by the National Civil Service Legislations and;
- (ii) Short Term Consultants.
- (iii) Community workers who will be working in the Project following rules as agreed in the respective PW Implementation Manual, including payment amount, method of payment and

hours of work for the SEASNP.

The government officials at the regional and Woreda levels are civil servants and their terms and conditions of employment are guided by National Civil Service Legislation.

The community workers will work on PW subprojects using guidance provided in the Community-Based Participatory Watershed Development Guideline (CBPWDG). The manual stipulates among others the eligibility criteria to participate in the PW. Community workers must be targeted and enrolled as a poor household participating in the PSNP. Eligible members must be resident in the respective community and the age ranges as mentioned above.

Working conditions will be made clear to the community members prior to commencement of the work. During community planning of PW, the Woreda Facilitators will explain to beneficiaries and entire community the PW objectives and working conditions.

Overall, although in the AF2 for SEASN there will be no PW activities, the parent project involves various works and workers. Thus the project will depend on various laws such as: (i) Labor Proclamation No. 42/1993 (replaced by Labor Proclamation No. 377/2003), (ii) Labor Proclamation No. 377/2003, (iii) labor Proclamation No.1156/2019 (complements (does not replace, Labor Proclamation No. 377/2003), (iv) Proclamation No. 632/2009, Employment Exchange Service Proclamation, and (v) Proclamation No. 568/2008, Right to Employment of Persons with Disability. Further, Ethiopia is a signatory to the international UN conventions and has ratified the major international human rights instruments. Ethiopia has also ratified the following ILO conventions:

- Forced Labor Convention No. 29/1930;
- Freedom of Association and Protection of the Right to Organize Convention, No. 87/1948;
- Employment Service Convention, No. 88/1948;
- Right to Organize and Collective Bargaining Convention, No. 98/1949;
- Abolition of Forced Labor Convention, No.105/1957;
- Minimum Age Convention No. 138/1973;
- Occupational Safety and Health Convention, No. 156/1981;
- Termination of Employment Convention, No. 158/1982;
- The Rights of the Child Convention, 1989; and
- The Worst Forms of Child Labor Convention No. 182/1999.

12. GRIEVANCE REDRESS MECHANISM

PSNP has established a Grievance Redress Mechanism (GRM) for PSNP5, set out in detail in PSNP 5 ESMF Annex 15, Grievance Redress Mechanism (GRM). In summary, the GRM addresses concerns and complaints at local level to improve performance and hold on the

program accountable. Since the implementation of the program activities involved interaction with the wider community, to enhance transparency and accountability, awareness creation concerning the GRM will be conducted through sensitization during the community sessions to clients and non-clients and through posters placed at public places. At federal level, focal person is assigned at Ministry of Agriculture, FSCD, to oversee and follow up on grievances that also come to national level in line with different components.

At the community level, grievances about the program will continue to be received and resolved through the established structure: the Kebele Appeals Committee (KAC) although the nature of grievance reported might necessitate involvement of higher level bodies in decision making such as the woreda, Region and Federal. Records of grievances and complains including occurrence date, grievance and date submitted; action taken and resolution dates, minutes of discussions, recommendations and resolutions as well as follow up to be made will be maintained at all levels and recorded in the newly established MIS system. For incidents such as GBV/SEA, the focal persons will report to their respective woreda and region which reaches the federal level MoA then to the World Bank. Moreover, the focal persons will refer the survivors to relevant service providers. Detail GBV referral pathways is indicated in the GBV/SEA assessment report.

Regarding labour grievances, community workers will use the community level appeal system described above. For civil servants and Contract staff²⁰ grievance mechanism for public sector, handled by committee of the institution their contract is managed under, described below, will apply.

The Federal Civil Servants Proclamation No. 1064/2017 Article 76 has laid down mechanisms and procedure for grievance handling within the internal structure of government institutions. It states that every government institution is expected to establish a grievance handling committee that investigate complaints lodged by civil servants²¹ referring to the relevant laws, regulations and practices and submit recommendations as to how to resolve it to the Head of the government institution.

The committee is expected to have five members and a secretary comprised of two elected by civil servants and three assigned by the head of the institution. The committee, however, is only responsible to hear grievances related to working condition. Other grievances such as GBV and corruption are to be lodged in or referred to each institution's Women and Child affair and anti-corruption directorates respectively.

Process of grievance mechanism

- Civil servant with grievance/appeal submits a completed grievance form to an inquiry officer that is assigned by the head of institution. The grievance form includes the below information.
 - the name and address of the grievant
 - his job titles
 - the name of immediate supervisor
 - causes of his grievance

- supporting evidences (if any)
 - the redress sought
 - date and signature
- The inquiry officer will see whether the grievant/petition can be resolved with discussion. Given that it cannot be resolved with discussion, the inquiry officer will present the written grievance to the grievance review committee.
 - The committee examine the grievance and any appropriate evidence and submit a report containing its findings and recommendations to the head of the government office within 15 working days from the date of receipt of the grievance.
 - The head of the government office approve the recommendation of the committee, give a decision different from the recommendation of the committee or instruct the committee to further review the case within ten working days from the date of receipt of the committee's report. The decision will be communicated to the petitioner in writing.
 - If a civil servant is not satisfied with the decision of the head of government or if decision is not given within the time limit, he/she may appeal to the Civil Servants Administrative Tribunal that has judicial power and is designated by the head of the institution. Decision made by the Administrative tribunal is considered as orders and decisions of any civil court.

13. CONTRACTOR MANAGEMENT

The work will be undertaken by the Community workers with technical supervision of Community facilitators and DAs. The Woreda technical experts will provide overall supervision to ensure sector norms and standards are followed. The Community facilitators will enter into contracts with Kebele Council (KC) prior to PW subproject implementation. There will be contractors engaged to work in the Program activities for those Activities needing industrial material and beyond labor and need high skill work. The National standard terms of condition construction of contract Agreement document will be used for contract management.

14. CODE OF CONDUCT

Code of conducts aim at preventing and/ or mitigating social and related risks within the context of the project. The social risks that may arise include GBV/SEA, child labor, as well as community health and safety risks. The PIM has detailed information and a respective code of conduct for workers at different levels.

15. COMMUNITY WORKERS

The program will engage the enrolled participants in the Program to work as community workers stipulated in the PIM. The community workers will be working based on the CBPWD Guideline, PIM and PW manual.

Annex 1: Community driven PW subprojects implementation arrangement

1. Implementation Arrangements

To begin the actual implementation of the PW, RPSNP PWU will disburse 25% as non-wages cost into RPSNP PWU Bank Account for procurement of non-wages inputs such as tools, equipment and administrative costs to make sure that implementation starts as planned. This will be done at least one month prior to start date of implementation.

The CWT will liaise with the Kebele Council (KC) and with the KFSTF to ensure proper storage of working tools, equipment and materials. The storekeeper will use store ledger to issue tools to the group leader who will issue to individual workers under their charge and similarly collect and return to the store by the same person.

Day-to-day management of public works at kebele level is the responsibility of the DAs and Community facilitator and Community Watershed Team (CWT) who plan and decide on activities to be carried on daily basis. Community facilitators contracted provide full time supervision. The DAs will be handed over the following documents that will guide implementation.

- The Community-Based Participatory Watershed and Rangeland Guideline (CBPWRG) on which most of the Technical drawing of the subproject holds detailing lay out plan, dimensions and cross sections
 - Operational Bills of Quantities showing tasks to be accomplished and work norms.
 - Environmental and Social Management Plans showing the identified impacts and proposed mitigation measures.
 - Client card generated from targeted beneficiaries names of household's and a substitute.
 - A list of tools that has been procured and be used for subproject implementation.
- Orientation on the fundamental principles of public works, participation, rules for attendance, cooperation, payment schedule and safety precautions will be given to all participants before starting the work.

A first aid kit will be availed to each public works work site.

1.1 Age of the participants.

The PW subprojects will be implemented by participants aged 18 to 60 years. The age of participants will be ascertained during the enrolment and through other means as Client cards and community assemblies. Participants under 18 years old will not be eligible to participate in subprojects activities.

Article 36 (1e) states that children are entitled to be protected from social or economic exploitation and shall not be employed in or required to perform work that is likely to be:

- Hazardous
- To interfere with their education
- Harmful to their health or physical, mental, spiritual, moral or social development.
- It does not allow children below the age of 18 years to be employed on any of the PW subproject sites.

1.2 Formation of work teams

Beneficiaries participating in public works will be organised in work teams. A work team consists of between 15 to 25 members and work is assigned to the work team, which they must complete. The Team members elect their leader, a Group Leader (GL) and if possible, the assistant group leader. These act as a link between the Development Agent (DA), Community Facilitators (CF) and Community Watershed Team (CWT) on daily planning and execution of work. If the selected Group Leader is male, the assistant should be a female and vice versa where possible. Group Leader will communicate to their members on the time and location of the public works activities and are responsible for sharing the work within the team. This arrangement helps to ensure cooperation within the teams, monitoring each other's attendance and ensuring each other arrive at work on time. The team will have balanced composition taking account of gender, age, skills ability and strength.

1.3 Work site management

Management of the worksites is the key part of implementation of a public works subproject. It will entail organization of labour, management of attendance, payment of beneficiaries, provision of required materials and other inputs, physical execution of works, technical support and resolving issue that might arise during execution.

Prior to the start of implementation, the Woreda Watershed Team (WWT) team will carry out the following tasks:

- i. Train the DA and CF at the site on interpretations of technical designs and putting on ground their sketch, work norms, setting out works so that work allocated correspond to the available labour.
- ii. Plan what activities needs to be accomplished in a month of slack (farming operation relatively Less) period, and allocation of tasks based on the number of beneficiaries. These should be document into the site instruction book and should be agreed among the CWT, DAs and Kebele Watershed Team (KWT).
- iii. Organize a Group of work groups into 15-25 beneficiaries to carry out specific tasks of the subprojects. The Group will elect a Group leader who will receive work orders from DAs. It is the task of the Group leader to ensure that the assigned task is completed for a day and community facilitators will follow day to day implementation
- iv. Due consideration will be given to women's needs.

Pregnant and lactating mothers will be exempted from participation in PW implementation as per the PIM.

Note: Allocation of light works for women is considered:

Team composition and assigning of teams for different activities should take into consideration the needs to allocate light duties for women. The definition of light can vary according to the specific activity. For example, watering of seedlings in a tree nursery if water is available near the site can be taken as light work. However, if water is not available in the nearby site, it will no longer be taken as light work, since beneficiaries will need to travel long distance to fetch water.

- v. The technical team must ensure that enough tools are available for the working group. The team will ensure that enough materials are available at the worksites to create quality of

assets

- vi. Inform participants that payment of community works will be based on the achievements of completed task. It is the duty of DAs and CF with the CWT and the Kebele Food Security Task Force (KFSTF) to plan and organize work to be undertaken based on targets.

After completion of a daily task, DAs, CF and CWT with KFSTF will check completeness of the work by measuring actual work done and records. Attendance sheets will also be prepared and filled at site level.

1.4 Technical Supervision and Management

During implementation of the subproject, technical supervision will be provided by WWT specific sector experts and Woreda Development staff. They will provide technical guidance and inspect the works to be carried out to ensure that works are carried out to acceptable standards and is of good quality. The supervision team will be required to check work progress, fill in and sign the site instruction book for any recommendations towards adherence to norms, standards and specifications and any other social issues. Supervision team will also be required to receive and document complaints and grievances, date occurred and redress mechanism. The team will also recommend specific actions to redress pending issues.

After the end of months working days, the DAs and CWT will prepare attendance sheet indicating the number of days a household has worked. All attendance sheets and Job cards will be signed by the DA, and must be sent to the Woreda Coordinator for review and approval within five days after completing the round of 30 days. The Woreda public works and livelihoods coordinators collect report from each Woreda Watershed technical team and Technical Assistants (TAs). The Woreda Food Security Desk Monitoring and Evaluation expert will also prepare a monthly report showing achievements against planned targets. Note that 30 working days will be completed in the fifth day of the month. Using the Work-norms following the CBPWDG depending on the type of work, the work executed in person-days will be calculated and multiplied by the wage rate. Finally, payroll will be prepared by woreda Finance Office, and the payment will be carried out.

Woreda Agricultural Offices (WAO) enter the information into the PW Management Information System (MIS) to enable them generate the pay list. Site visits by WWT sector technical team is a must to ensure that works is of good quality. Sectors are encouraged to coordinate within and across the sectors in the supervision, information and report sharing of progress of works. On monthly basis progress for each subproject will be discussed in the CWT meeting.

1.5 Measurement of Works

The objective of implemented subprojects under PSNP PW subprojects is to create durable assets and strengthening the livelihood resource base of the communities. A substantial amount of funds is used to pay participants labor and other inputs. Thus, if well implemented by following sector norms and standards, these subprojects have the potential of transforming the lives of many communities but also results in substantial infrastructural development and addressing land degradation. It is therefore paramount to ensure good quality and durability of the assets being created.

WWT technical staff will make measurements of the works after completing each round of 30 working days and make a joint plan of the next round of 30 days. Should any deviation occur, this has to be corrected and communicated to the Kebele Council. The WWT technical staff should strictly monitor the quality of works on four major aspects: Measurements, Specification, Workmanship and end Outcomes of each subproject.

Annex 1: Community driven PW Subprojects Implementation Arrangement

1. Implementation Arrangements

To begin the actual implementation of the PW, RPSNP PWU will disburse 25% as non-wages cost into RPSNP PWU Bank Account for procurement of non-wages inputs such as tools, equipment and administrative costs to make sure that implementation starts as planned. This will be done at least one month prior to start date of implementation.

CMT will liaise with KC with KFSTF to ensure proper storage of working tools, equipment and materials. The storekeeper will use store ledger to issue tools to the group leader who will issue to individual workers under their charge and similarly collect and return to the store by the same person.

Day-to-day management of public works at kebele level is the responsibility of the DAs and Community facilitator and CWT who plan and decide on activities to be carried on daily basis. Community facilitators contracted by provides full time supervision. The DAs will be handed over the following documents that will guide implementation.

- CBPW and Range land Guideline on which most of the Technical drawing of the subproject holds detailing lay out plan, dimensions and cross sections
- Operational Bills of Quantities showing tasks to be accomplished and work norms.
- Environmental and Social Management Plans showing the identified impacts and proposed mitigation measures.
- Client card generated from targeted beneficiaries names of household's and a substitute.
- A list of tools that has been procured and be used for subproject implementation.

Orientation on the fundamental principles of public works, participation, rules for attendance, cooperation, payment schedule and safety precautions will be given to all participants before starting the work.

A first aid kit will be availed to each public works work site.

1.1 Age of the Participants.

The PWP subprojects will be implemented by participants aged 18 to 60 years. The age of participants will be ascertained during the enrolment and through other means as Client cards and community assemblies. Participants under 18 years old will not be eligible to participate in subprojects activities.

Article 36 (1e) states that children are entitled to be protected from social or economic exploitation and shall not be employed in or required to perform work that is likely to be:

- Hazardous
- To interfere with their education
- Harmful to their health or physical, mental, spiritual, moral or social development.
- It does not allow children below the age of 18 years to be employed on any of the PW subproject sites.

1.2 Formation of Work Teams

Beneficiaries participating in public works will be organised in work teams. A work team is comprised of between 15 to 25 members and work is assigned to the work team, which they must complete. Team elect their leader, a Group Leader (GL) and if possible, the assistant group leader. These act as a link between DAs, CF and CWT on daily planning and execution of work. If the selected group Leader is male, the assistant should be a female and vice versa where possible. Group Leader will communicate to their members on the time and location of the public works activities and are responsible for sharing the work within the team. This arrangement helps to ensure cooperation within the teams, monitoring each other's attendance and ensuring each other arrive at work on time. The team will have balanced composition taking account of gender, age, skills ability and strength.

1.3 Work Site Management

Management of the worksites is the key part of implementation of a public works subproject. It will entail organisation of labour, management of attendance, payment of beneficiaries, provision of required materials and other inputs, physical execution of works, technical support and resolving issue that might arise during execution.

Prior to start implementation the WWT Technical team will carry out the following tasks:

- Train DA and CF at the site on interpretations of technical designs and putting on ground their sketch, work norms, setting out works so that work allocated correspond to the available labour.
- Plan what activities needs to be accomplished in a month of slack (farming operation relatively Less) period, and allocation of tasks based on the number of beneficiaries. These should be document into the site instruction book and should be agreed among the CWT, DAs and KWT.
- Organize a Group of work groups into 15-25 beneficiaries to carry out specific tasks of the subprojects. The Group will elect a Group leader who will receive work orders from DAs. It is the task of the Group leader to ensure that the assigned task is completed for a day and community facilitators will follow day to day implementation
- Due consideration will be given to women's needs.

Pregnant and lactating mothers will be exempted from participation in PW implementation as per the PIM.

Note: Allocation of light works for women is considered:

Team composition and assigning of teams for different activities should take into consideration the needs to allocate light duties for women. The definition of light can vary according to the specific activity. For example, watering of seedlings in a tree nursery if water is available near the site can be taken as light work. However, if water is not available

in the nearby site, it will no longer be taken as light work, since beneficiaries will need to travel long distance to fetch water.

- The technical team must ensure that enough tools are available for the working group. The team will ensure that enough materials are available at the worksites to create quality of assets
- Inform participants that payment of community works will be based on the achievements of completed task. It is the duty of DAs and CF with CWT and KFSTF to plan and organize work to be undertaken based on targets.

After completion of a daily task, DAs, CF and CWT with KFSTF will check completeness of the work by measuring actual work done and records. Attendance sheet will also be prepared and filled at site level.

1.4 Technical Supervision and Management

During implementation of the subproject, technical supervision will be provided by WWT specific sector experts and Woreda Development staffs. They will provide technical guidance and inspect the works to be carried out to ensure that works are carried out to acceptable standards and is of good quality. The supervision team will be required to check work progress, fill in and sign the site instruction book for any recommendations towards adherence to norms, standards and specifications and any other social issues. Supervision team will also be required to receive and document complaints and grievances, date occurred and redress mechanism. The team will also recommend specific actions to redress pending issues.

After the end of months working days, the DAs and CWT will prepare attendance sheet indicating the number of days a household has not worked. All attendance sheet and Job cards will be signed by DA, TA Officer must be collected to Woreda Coordinator for review and approval within five days after completing the round of 30 days. The Woreda public work and livelihood coordinator collect report from each Woreda Watershed technical team and TAs. The Woreda Food Security Desk Monitoring and Evaluation expert will also prepare a monthly report showing achievements against planned targets. Note that 30 working days will be completed in the fifth day of the month. Using the Work-norm following the CBPWDGL depending on the Work executed in person-days will be Calculated and multiplied by wage rate. Finally, payroll will be prepared by woreda Finance Office and the payment will be carried out.

WAOs enter the information from the into the PW MIS to enable them generate pay list. Site visits by WWT sector technical team is a must to ensure that works is of good quality. Sectors are encouraged to coordinate within and across the sectors in the supervision, information and report sharing of progress of works. On monthly basis progress for each subproject will be discussed in the CWT meeting.

1.5 Measurement of Works

The objective of implemented subprojects under PSNP PW subprojects is to create durable assets and strengthening the livelihood resource base of the communities. A substantial amount of funds is used to pay participants labor and other inputs. Thus, if well implemented by following sector norms and standards, these subprojects have the potential of transforming the lives of many communities but also results in substantial infrastructural development and

addressing land degradation. It is therefore paramount to ensure good quality and durability of the assets being created.

WWT technical teams will make measurements of the works after completing each round of 30 working days and make a joint plan of the next round of 30 days. Should any deviation occur, this has to be corrected and communicated to the Kebele Council. The WWT Technical Team should strictly monitor the quality of works on four major aspects; Measurements, Specification, Workmanship and end Outcomes of each subproject.

Annex 13: Gender Action Plan

PSNP5 Gender Action Plan

Overarching Entry Points		Proposed Action	Responsible Body
Awareness and Sensitization	Community	<ul style="list-style-type: none"> Developed and disseminate IEC materials on GSD provisions in local language Establish partnership with local radio stations as well as NGO sponsored radio programs/community listening groups to transfer messages on the GSD provisions Establish linkage with women affairs offices to include the issue of GSD into their different community mobilization 	FSCD, Regional FSBs Regional FSBs Regional FSBs and Woreda GSD experts, women machineries at all levels
Capacity Building, Knowledge Management	Community	<ul style="list-style-type: none"> Introduce experience sharing and establish networks among implementers and women's groups at all levels Organize annual training on gender to all members of committees Organize bi-annual training on life skill to women committee members Design appropriate incentives to kebeles with strong women's participation in committees Map NGOs working in women empowerment in implementation woredas and link women clients to their program 	FSCD, Regional FSBs Regional FSBs, Woreda GSD experts Regional FSBs Regional FSBs, Woreda GSD experts, women machineries at all levels
	Implementors	<ul style="list-style-type: none"> Plan 2 days annual GSD and Nutrition Consultation workshop with all regional and woreda GSD experts and Allocate budget Revise the PSNP 4 GSD training materials to reflect PSNP5 Allocate budget in annual plan to reach all local level implementers with GSD training Conduct technical support mission quarterly Develop two pagers on the GSD provisions on local language to be distributed to grass root level implementers 	FSCD FSCD, Regional FSBs Regional FSBs FSCD, CD facility FSCD, Regional FSBs
Strengthen System	M&E	<ul style="list-style-type: none"> Revise the routine monitoring tool indicator example to reflect sex disaggregation, hence all monthly and quarter reports mandatorily reflect that Use revised planning and reporting template Conduct annual GSD and nutrition specific monitoring mission Organize briefing session to all RRM participants on how and what to address GSD and Nutrition issues included in the RRM ToR Ensure the participation of woreda and regional GSD experts in regional and federal JRIS respectively 	FSCD and Regional FSBs Regional FSBs FSCD and SDTF FSCD and SDTF FSCD and SDTF FSCD and SDTF

Annex 13: Gender Action Plan

Overarching Entry Points		Proposed Action	Responsible Body
		<ul style="list-style-type: none"> Organize biannual extra ordinary SDTF meetings to allow different pilots do their presentation 	
	Accountability	<ul style="list-style-type: none"> Ensure the emplacement with follow up capacity development of woreda GSD experts Revise the ToR/job description of staff to include mainstreaming GSD issues as one of their responsibility which will be looked at during performance assessment Coordinate with the ESAP 3 to identify/modify, and implement social Accountability tools that measure the satisfaction of women Integrate annual gender case audit in the annual GRM review and disseminate learning in local language to KACs. Ensure the engagement of MoWCA structures at all level through signing an MOU 	<p>Regional FSBs FSCD, Regional FSBs</p> <p>FSCD and SDTF</p>
Behavioral Communication Change		<ul style="list-style-type: none"> Pilot the approaches identified in one woredas on each region to see whether the approaches contribute for women equally benefit from transfers and compile knowledge on intra-household dynamics regarding transfers and PWs Revise the program BCC to strengthen the gender equality sessions Use women nutrition champions as key to facilitate discussion within the community on gender equality Include the role of mobilizing women particularly during planning process in the ToR of youth community facilitators 	<p>FSCD, SDTF</p> <p>FSCD, SDTF, RFSBs</p> <p>FSCD, RFSBs RFSBs</p>
Setting Standards		<ul style="list-style-type: none"> Clarify the provision of targeting Polygamous HH in Afar context Revise the GSD provisions to reflect findings related to FHHs workload Expand PW sub project nine to include more gender sensitive and care related activities Allocate 3 percent of capital budget for implementation of sub-project nine Monitor the implementation on ECD pilot 	<p>FSCD, PWCU, SDTF</p> <p>FSCD, PWCU, SDTF FSCD, PWCU, SDTF PWCU, RFSBs</p>
Strengthen Linkage	Government Stakeholders	<ul style="list-style-type: none"> Ensure the directive sent out to regional BoH reaches woreda and kebele level health structures Train 2 women PW clients in each “<i>got</i>” as women nutrition champions to deliver gender and nutrition related regular BCC activities Adopt the format to linkage to social service from PSNP 4 pilots and 	<p>MoH, FSCD, RBOHs, RFSBs</p> <p>MOH, FSCD, SDTF, RFSBs</p> <p>FSCD, SDTF RFSBs, RBOH, MOLSA, BOLSAS</p>

Annex 13: Gender Action Plan

Overarching Entry Points		Proposed Action	Responsible Body
		NGO implementation learning <ul style="list-style-type: none"> Roll out the format 	MOLSA
	TFS And TCS	<ul style="list-style-type: none"> Negotiate with all TCs to have one joint meeting with SDTF whereby TCs will present GSD related progress and challenges 	FSCD, SDTF, TCs
	NGOs	<ul style="list-style-type: none"> Map the NGOs operating in the PSNP woredas Design potential approaches of partnership regarding GSD and Nutrition issues 	FSCD, RFSBs FSCD, SDTF
Improve Access to Services	Access to Livelihoods Services And Opportunities	<ul style="list-style-type: none"> Develop gender and nutrition sensitive LH package Design Appropriate technical support (including coaching and mentoring) for female clients in business skills (women from both MHH and FHH) 	FSCD/SDTF, LICU, MOLSA
Improved Implementation of the Gender Action Plan		<ul style="list-style-type: none"> Select one gender related learning agenda and work with NGO implementers to document and disseminate learning Establish a gender unit and multi sectoral team which oversee the implementation of the GAP and GBV action plan Review the implementation status of the Gender Action plan bi-annually 	FSCD, SDTF, RFSBs, NGOs FSCD, SDTF FSCD, SDTF SCD, SDTF, May/June JRIS SD and Nutrition Working group

Annex 14: Gender-Based Violence Assessment and Action Plan

1. Background

1.1 Introduction

The Productive Safety Net Program (PSNP) is the largest social protection program in Ethiopia and aims to improve the food security status of male and female members of food insecure households (HHs). It provides predictable support to chronically food insecure households in the form of cash and/or food transfers in exchange for labour on public works or directly to those households without able-bodied members. The fourth phase of the program targets 8 million people in 349 food-insecure woreda in 8 regions.

The World Bank is currently preparing the Strengthen Ethiopia's Adaptive Safety Net (SEASN) project to support the Government of Ethiopia (GoE) implement its fifth phase of the PSNP (PSNP5). Environmental and social issues related to the proposed project will be assessed using the World Bank's Environmental and Social Standards (ESS) set out under its new Environment and Social Framework (ESF). Under the ESF, the project is required to have in place safeguards and reporting mechanisms to guard against the risk of the program being a source of Gender Based Violence (GBV).

This report provides an overview of the findings of a recent GBV Assessment undertaken by Food Security Coordination Directorate (FSCD) and makes recommendations based on its findings that will feed into an action plan that will build the program's capacity to monitor and report on incidents of GBV and SEA. To date, the program has incorporated various gender sensitive provisions aimed at addressing the gender specific vulnerabilities of women. These provisions were based on the findings of a contextualized Gender Assessment conducted in 2008, and include provisions that consider the varying labour capacities of men and women, labour shortage of female headed households, greater time poverty of women, and women's primary responsibility for child-care. Despite all these provisions however, PSNP is not a program designed specifically to prevent and/or respond against gender-based violence. It goes without saying that the program is enormous, with diverse interests and institutional arrangements that make drastic changes impossible.

However, PSNP, as a flagship program on social protection and food security, has the burden and honor of learning from and transforming gendered risks and vulnerabilities that affect its implementation. Ethiopia's PSNP is categorized as a Transformative Social Protection program where social risks are integrated in the social protection design²². Another study on gender and social risks that looked at PSNP in Ethiopia and India concluded that the programs implemented a limited number of modalities, hence reducing the potential impact they might have on gender equality in intra-household and at the community level.²³ The same study stressed that transformativeness must be supported by explicit interventions to protect victims of domestic violence and discrimination (among others) or at least provide explicit linkages to complementary interventions such as micro-credit services, right awareness campaigns and skills training.

²² FAO (2016). *Social Protection for Rural Poverty Reduction. Rural Transformations Technical Papers Series #1.* Stephen Devereux – Centre for Social Protection, IDS. (page 9)

²³ Rebecca Holmes and Nicola Jones (2011). *Gender inequality, risk and vulnerability in the rural economy: refocusing the public works agenda to take account of economic and social risks.* Overseas Development Institute.

For the most part, PSNP has not intentionally explored whether the program has positive or negative results in relation to GBV broadly and nor specifically about the potential risk of Sexual Exploitation and Abuse (SEA) on beneficiaries. The aspect of staffs' behavior towards certain forms of exploitative situations such as procuring sex, engaging in sexual relationship with a child under 18 years or sexual harassment are not mentioned in any of the program documents. The program has yet to navigate how to address Protection against Sexual Exploitation, Abuse and Harassment (PSEAH).

The 2008 PSNP evaluation was designed to include the extent to which PSNP has addressed issues of gender-based violence. However, the published report did not include any reporting on this issue. A 2011 study further disproved the assertion the program made about linkages it has with other range of broader interventions such as community awareness training through women development package on early marriage and other issues as very weak on the ground. Until the 2017 study that suggested that the program has contributed positively in delaying the marriage of adolescent girls, there wasn't much to link PSNP either positively or negatively with gender-based violence.

This, however, does not mean that PSNP design has not paid attention to the global learning on safe programming. Despite the implementation challenges, examples of safe programming range from the attention given to the distance to and from food or cash payment/collection centers, watersheds, and availability of kebele appeal committees. This is an issue of responding to risks of violence- broadly for all beneficiaries but more particularly to address the need of women beneficiaries. Despite commendable improvements made to have food distributions centers closer, food payments still tend to be made through fewer distribution points with the result that clients have to travel longer distances, and longer waiting times were reported as major concern by recipients. There is also evidence to suggest that women who travel longer hours carrying children are exposed to harassment and robbery, but recent evidence suggests that as the program continues to construct more Food Distribution Centers (FDPs) along with the payment modality shift to cash and expansion of e-payment coverage resulted in significant improvement in travel time and distance, and harassment or robbery is rarely reported.

There is an enormous interest from the different stakeholders to learn more about the role of the program either negatively or positively on gender-based violence (and particularly violence against women and girls-VAWG). It is with this background that Ministry of Agriculture (MoA) commissioned a GBV Assessment recognizing that PSNP5 provides an opportunity to prevent for GBV to happen in some circumstances.

1.2 General and Specific Objectives

Under World Bank's ESS1, borrowers must assess risks related with gender including gender-based violence; equally, it requires health and safety of communities and individuals as outlined in ESS4. Accordingly, Ministry of Agriculture (MoA) is required to conduct GBV/SEA risk assessment for its Productive Safety Net Program (PSNP5) based on an in-depth understanding of the country context with a focus on its Public Works (PW), and Livelihood (LH) components. This includes an outline of the relevant risks, stakeholders related to it (including referral services) and develop a system for the project to handle respective risks (and incidents, if occurring) on different levels.

The overall objective of this assessment is to identify opportunities to strengthen PSNP5's capacity in order to reduce any risks of GBV/SEA linked to this program.

The assessment's **specific objectives** are to:

- Assess and analyze risks of GBV/SEA in PSNP5
- Conduct a stakeholder mapping of government and civil society actors that are currently working to address GBV/SEA in the program implementation areas;
- Assess the capacity of the implementers to address GBV/SEA risks in program implementation and operation
- Develop appropriate risk mitigation measures together with applicable and cost-effective implementation GBV action plan to address the identified GBV/SEA risks in the project

1.3 Scope of the Work

This report incorporates the findings of the broader GBV Assessment commissioned by FSCD and based on qualitative research, and a GBV Risk Assessment Tool extracted from the Environmental and Social Framework (ESF) good practice note. The GBV Assessment focused primarily on the following forms of GBV: (i) Intimate Partner Violence (IPV), including physical, sexual, emotional and economic violence; and (ii) forms of GBV experienced outside of the household such as sexual harassment, exploitation or abuse at point of service or delivery of benefits, or in other situations resulting from participation in the program activities. Understanding these types of major GBV context is covered through secondary material. Moreover, the following questions were incorporated in the assessment guide to illicit responses on GBV and SEA²⁴.

- Any experience or heard of experience by PSNP participant on SEA perpetrated by PSNP implementing people (government personnel or volunteers) as it relates to targeting (entry to the program) or targeting for any benefit from the program or implementation of any of the components of the program?
- Any experience or heard of experience of sexual or physical abuse traveling to, while or coming back from public works, transfer/distribution centers?
- Any experience or heard of experience on household conflict as a result of participating or benefiting in the program?
- Any experience or seeing of children under 18 engaging in public works? What situations prompted their engagement?
- Perception- Has the program brought about change in enhancing enrolment of and keeping children (boys and girls) in school?
- Perception – has the program contributed for reduction of early marriage?

1.4 Methodology

The qualitative GBV Assessment started with consolidating gendered findings through a desk review. An inception report was submitted detailing areas of exploration for the assignment and draft data collection tools. Upon agreement with the technical team overseeing the assignment (the Gender and Social Development Taskforce), field work was conducted from early March to Mid-April 2020. Out of the 8 regions initially planned for field work Amhara, Somali, Tigray, Oromia, Dire Dawa and Harari were covered as per plan. Due to the COVID 19 pandemic, the field work in Afar and SNNP was cancelled. Instead, these regions were

²⁴ Sexual Harassment differs from SEA in that it occurs between personnel/staff working on the project and not between staff and project beneficiaries or communities

covered using key informant interviews with key government staff through telephone only. Only 2 KIIs were available for telephone interview in Afar.

Key informant interviews (KIIs) with government and non-government stakeholders and experts were held at federal, regional, woreda and kebele level using interview guides/tools. Focus group discussions (FGDs) were conducted with male-only, female-only and mixed groups. In Amhara, Somali, Tigray and Oromia two woredas and 4 kebeles in each region were visited. In Dire Dawa and Harari one woreda and 2 kebeles in each city administration/region were visited. Federal level KIIs were conducted with government staffs²⁵ and development partners. Ministry of Labour and Social Affairs (MoLSA) KII were contacted repeatedly but were not able to be available for telephone interview. A total of 417 male and 303 women participated in one way or another. Forty-seven FGDs were conducted with 20 women only, 19 with men only and 8 mixed groups. Summary of the number of KIIs and FGDs is presented below.

To complement the GBV Assessment, a GBV Risk Assessment Tool extracted from the Environmental and Social Framework (ESF) good practice note²⁶ on GBV was used to provide a rating of the risk level of the program. The project involves distribution of cash and livelihood opportunities to 8 million people who live in draught prone woredas as well as and in areas affected by humanitarian crises, where the majority of the community members are in dire need of assistance. In addition to implementation in humanitarian and rural settings, the potential risks of GBV/SEA increases in relation to the need to be targeted/registration by the project. Similarly, the distance of the food distribution points as well as that of the PW sites also pose SEA risks to women and children. Gap in capacity of implementers and the system in place contributes to the risk. Despite the project put in place systems such as community based-targeting and appeal mechanism which aim to hold service providers accountable, such systems are not well-equipped or sensitized to dealing with GBV/SEA cases. Accordingly, the project's risk level falls under 'Substantial' category. The result is primarily to inform the program to develop risk mitigation action plan.

Region	Woreda	Kebeles	KIIs		Female FGD		Male FGD	Mixed (# of Participant s)	
			M	F				M	F
					DHH	FHH			
Tigray	Qola Temben	Dr. Ataklt	37	24	# of groups= 4		# of groups= 4	3	7
		Bega Shega			11	18			
	Tanqa Abergele	Lemlem							
		Hadinet							
Amhara	Tewledere	Itecha	44	17	# of groups= 4		# of groups= 4	5	5
		Bededo			18	15			
	Habru	Sirinka							
		Gosh Wuha							
SNNP	-	-	5	3	-	-	-	-	-
Afar	-	-	1	1	-	-	-	-	-
Oromia	Kombe	Gugsa	23	11	# of groups= 4		# of groups= 3	38	16
		Boset			14	28			
	Sire	Hura Agemsa							
		Koloba Bale							

²⁵ FSCD and NRM directorates of Ministry of Agriculture (MoA)

²⁶ World Bank (2018). Good Practice Notes- Addressing Gender Based Violence in Investment Project Financing Major Civil Works. Annex 4

Region	Woreda	Kebeles	KIIs		Female FGD		Male FGD	Mixed (# of Participant s)	
			M	F				M	F
					DHH	FHH			
Somali	Kebribeyah	Denebe	41	7	# of groups= 4		# of groups= 4	-	-
		Gerbi			25	9			
	Harshin	Langar							
		Ara`ari							
Dire Dawa	NA	Lega Oda	9	3	# of groups= 2		# of groups= 2	9	7
		Dujuma			15	7			
Harari	NA	Sofi	11	7	# of groups= 2		# of groups= 2	9	8
		Kile			12	8			
Federal	NA	NA	5	7	-	-	-	-	-
Total -sub			176	80	95	85	177	64	43
			256		180			107	
Total Female			303						
Total male			417						
Total # of groups			47						
Total assessment participants			720						

1.5 Challenges and Limitations

The interview guide was very cumbersome mainly because the project includes wide range of activities. Further to this, the amount of information needed by different stakeholders in the process has expanded the interview guide given the GBV risk assessment for the project is being done for the first time. This exercise was carried out after 5 years of the last gender and PSNP study. The information needed by different stakeholders in the process has expanded the interview guide. It has to some extent affected the depth of information gathered.

The assessment was done at the early stage of the COVID 19 pandemic time. Telephone interview of SNNP and Afar KIIs was difficult to get the depth of the information listed in the interview guide. Getting participants in all locations was difficult. Mixed groups were conducted to validate/verify only when the men and women groups have different perspectives on any given issue. Participant's fatigue was vivid. KIIs mentioned that PSNP participants are 'used' by government for all sorts of meetings and studies.

2. Findings of the GBV Assessment

2.1 National Context: Overview and Prevalence of GBV in Ethiopia

It is a difficult task to summarize all aspects of gender-based violence during the life cycle of women for a country like Ethiopia which has hugely diverse culture and norms, ethnicity, demography, and religion. At best, this assessment can only highlight those already identified as major violence types in different studies for women in general and for rural resident girls and women. The review has focused on intimate partner violence (IPV), child marriage and other harmful traditional practices- mainly Female Genital Mutilation/Cutting. In addition, the country context rating as per the World Bank's Risk Assessment Tool pre-populated is available²⁷.

One element that is rarely covered in program review in Ethiopia is incidence of Sexual Abuse, Exploitation and Harassment (SEAH). To date, there is no data in Ethiopia on

²⁷ Annexed with this report

magnitude or occurrence of SEAH in aid sector or linked with development interventions. There is no study or data does not, however, mean that the abuse is not happening. In recent years organizations are being challenged to look into their programming and organizational culture due to shocking founded allegations of using aid as bargaining chip to engage in sexual relation with children, rampant use of money in exchange for sex with community members they serve (in effect increasing the demand and supply for sex work in localities where aid workers are in large number).

Intimate Partner Violence (IPV)

Domestic violence is the most common form of violence perpetrated against women. Estimates of domestic violence in Ethiopia ranged from 9%-78% across the different studies reviewed²⁸. Over the years Ethiopian Demographic and Health Survey has been tracking different aspects of domestic violence (knowledge of laws on domestic violence and belief about justifiable acts of violence). In 2016 EDHS, 27% of married women have experienced one or more type of violence by their partner 12 months prior to the data collection²⁹. Afar and Somali have the lowest IPV reported, 6% and 4% respectively while Oromia has the highest reported IPV.

EDHS (2016) shows that women who participate in three or more household decisions and who do not agree with any reason for wife beating have a lower prevalence of spousal violence than women who participate in no household decisions and women who agree with most reasons for wife beating. This is an entry for programs not specifically designed for gender-based violence to look into IPV. IPV is one of the barriers to achieve project goals. The 2015 Ethiopian Poverty Assessment³⁰ has some discussion on how certain deprivations can contributed for poor wellbeing³¹. It took two violence related indicators- domestic violence (particularly IPV) and female circumcision and argued broadly that it is concerning that Ethiopia has the highest rate of men and women justifying domestic violence which is correlated with women who believe that a husband is justified in hitting his wife tend to have lower sense of entitlement, self-esteem and status and such perception acts as barrier to accessing health care for themselves and their children, and affects their attitude to family planning utilization³². The discussion does not include whether these conclusions vary by region or other factors such as urban/rural residency.

There is no formal data on whether PSNP has contributed to the decline or increase in IPV incidence in households supported by the program. Anecdotal information however indicates the prevalence of domestic violence in some areas due to disagreement between spouses on how to use program transfer. The program's 2018/19 annual Grievance Redress Mechanism (GRM) review revealed that that 58% (33% male and 25% female) of the respondents informed they decided on the use of the transfer jointly with spouse.

Child Marriage and Other Harmful Traditional Practices (HTPs)

²⁸ *Systematic Literature Review Gender-Based Violence in Ethiopia*

²⁹ *Central Statistical Agency (CSA) [Ethiopia] and ICF. 2016. Ethiopia Demographic and Health Survey 2016. Addis Ababa, Ethiopia, and Rockville, Maryland, USA: CSA and ICF. Page 294*

³⁰ *World Bank (2015). Poverty Global Practice Africa Region: Ethiopia Poverty Assessment.*

³¹ *Citing Carranza, E. and J. Gallegos (2013). Ethiopia Trends of Wellbeing 2000–2011. Poverty Reduction and Economic Management, Africa Region, World Bank.*

³² *Ibid*

Gender inequality is a result of many compounded life-time deprivations. Child marriage is more common among certain population groups, including girls who are poorer, less educated, or live in rural areas³³, which reflect the typical PSNP beneficiary household. Focus group discussions in rural communities in Amhara and Oromia indicated that child marriage is more rampant in wealthier households rather than the traditional narrative that women from poor households are married off early.³⁴ This finding seems to be supported in recent policy document, that while the traditional narrative may be true for some poor households, consolidating and demonstrating wealth rather than poverty is becoming an important consideration.³⁵

According to UNICEF, Ethiopia has the 15th highest prevalence rate of child marriage in the world and the fifth highest absolute number of child brides. 40% of girls in Ethiopia are married before the age of 18 and 14% are married before their 15th birthday. The lowest median ages of marriage are in Afar and Amhara, these are one of the eight regions where PSNP is being implemented.

Out of the 49 early marriage hot spots nationally³⁶ 8 are woredas where PSNP is implemented. The hot spots range from 53% prevalence in Tselemti (in Tigray) to 38% in Argoba Special (Afar).

Region	Woreda
Tigray	Tselemti
Amhara	Misrak Belesa and Shebel Berenta
Oromia	Babile, Fedis and Meyu Muluqe
SNNP	Girja
Afar	Argoba Special ³⁷

However, Ethiopia has made significant progress over the past decades in reducing child marriage, with prevalence rates dropping from 59 per cent of females (aged 20-24) married or in union by age 18 in 2005 to 40 per cent in 2015³⁸.

Several factors have brought about the decline in child marriage at least with more significant reduction for under 15-year old. The government's commitment to make policy revisions including the revision of the minimum age of marriage (lifted to 18)³⁹ and enacting more stricter criminalization of the practice and penalty for those who facilitate or participate in the act in any significant capacity (elders, witnesses, parents) and the progressively increasing

³³ FDRE Ministry of Women, Children and Youth (2019). *National Costed Roadmap to End Child Marriage and FGM/C 2020 -2024*.

³⁴ Michelle Gamber (2018). *Strengthening PSNP 4 Institutions and Resilience, Development Food Security Activity*. World Vision, ORDA, CARE

³⁵ *Ibid*, note 12

³⁶ Elizabeth Presler and et.al. (2015). *Child Marriage in Ethiopia: a review of the evidence and an analysis of prevalence of child marriage in hot-spot districts*.

³⁷ In the hot-spot analysis paper Argoba Special is listed under Amhara region while it is listed under Afar in the PSNP woredas list FY2012.

³⁸ UNICEF Ethiopia, March 2020 *Child Marriage and Ethiopia's Productive Safety Net Programme: Analysis of Protective Pathways in Amhara Region*

³⁹ Except in Afar and Somali regions who did not revise their family law and still apply the civil code of 1960 which sets the minimum marriageable age at 15 years.

expansion of education infrastructure in rural community have major contribution for the decline.⁴⁰

Social protection, especially cash transfers, have increasingly been advocated globally as a method to reduce child marriage, however the existing evidence is both limited and mixed on this topic. A previous study by Hoddinott and Mekasha in Ethiopia found that the government's social protection program, PSNP delayed the marriage of adolescent girls. However, the pathways of this promising impact are poorly understood. Nonetheless, the burden of child marriage in Ethiopia in general remains high with approximately 4 in 10 young women⁴¹ getting married or in union before their 18th birthday⁴².

An emerging issue for girls in rural area in recent years has been migration of domestic workers to Arab countries⁴³. Same report highlights that the major drivers are poverty, limited opportunity for employment and lack of access to formal education for rural women. Girl's migration specific study in Ethiopia corroborates the finding and has included another factor, which is intra-household abuse or violence is as a driving factor⁴⁴. Women from poor families often end up in exploitative work and end up with lifelong vulnerability⁴⁵. The gender disparity in rural areas widens starting the secondary cycle of primary education (grades 5-8) which are widely attributed to gender roles and tasks at household level⁴⁶. Young women face time poverty like their mothers. A qualitative study⁴⁷ that evaluated a PSNP-Plus project cautioned that when mothers are engaged intensively on income generating activities, the girl child often is limited in her participation in school and her school performance is challenged. There has not been study to understand these vulnerability variables for girls (and boys) in PSNP households.

Many girls are experiencing deprivations on multiple level- they are poor, are not in school and have (or will undergo) female circumcision⁴⁸. In the past 16 years FGM/C on women in reproductive age has dropped from 80% (2000 EDHS), to 74% (in 2005 EDHS) and to 65% (in 2016 EDHS). The practice is showing decline for different age groups. Accordingly, in 2016 EDHS, 47% of age 15-19 are circumcised. According to mother's report of FGC/M on girls age 0-14 is 16% (EDHS, 2016). This is a significant decrease. However, this has to be read with caution that mothers may be reluctant to report the truth knowing that the practice is outlawed. Knowledge of the negative consequences of FGM/C for women is very high nationally but more so in Afar and Somali (100%).

In all regions (except Gambella and Somali), there is a decline in the practice. However, some declines are insignificant such as Afar (92% in 2005 versus 91% in 2016) and Harari (85% in 2005 versus 82% in 2016). The most significant decline is in Dire Dawa (92% in 2005 versus 75% in 2016). It is unclear how to interpret figures from Afar, which show a

⁴⁰ Ibid, note 12

⁴¹ Defined as the percentage of women aged 20-24 years who were first married or in union before age 18.

⁴² UNICEF Ethiopia, March 2020: March 2020 Child Marriage and Ethiopia's Productive Safety Net Programme: Analysis of Protective Pathways in Amhara Region

⁴³ UN Women (2014). Preliminary Gender Profile of Ethiopia. Page 12

⁴⁴ Marina de Regt (2016). Time to look at Girls: Adolescent Girls Migration in Ethiopia.

⁴⁵ UN Women (2014). Preliminary Gender Profile of Ethiopia. Page 28

⁴⁶ Ibid.

⁴⁷ CARE (2015). Gender Lessons from the PSNP-Plus. unpublished

⁴⁸ Ibid

sharp increase in the incidence of cutting (from 61% in 2011 to 78% in 2016), other than to highlight that data quality issues are often larger with pastoralist communities.⁴⁹

The percentage of women who believe that female circumcision should continue has decreased (31% in 2005 to 18% in 2016 EDHS). Women who believe that circumcision is required by religion, who believe that the practice should continue are mostly not educated and are amongst the lowest wealth quintal. This shows that there is more work needed to change social norms that accept the practice. The KII and FGD discussions however did not provide any correlation (both positive and negative) between the implementation of the program and the prevalence of HTPs.

2.2 Legal Frameworks

There is no single, consolidated law on GBV or VAWG, but there are various provisions related to specific forms of GBV. The government of Ethiopia had taken extensive revisions of laws for the last 2 decades. Revision of the marriageable age from 15 (under the civil code of 1960) to 18 in the family laws of regions except those who have not revised their family law- Afar and Somali. Accordingly, Art 648 and 647 of the Criminal Law provides consequence of the marriage (annulment) and whoever participated in the ceremony (officiating, witnessing, being sent as elder, etc.) are punishable offenses. Under the revised Criminal Law (2005), domestic violence is recognized as a crime explicitly (Art 564). However, sexual violence within marriage is not criminalized. Female Genital Mutilation/Cutting is criminalized (Art 565-566) including participation and incitement for people to confirm to harmful traditional practices (Art 569-570).

The criminal code (Article 625) prohibits sexual exploitation of women: “Whoever procures from a woman sexual intercourse or any other indecent act by taking advantage of her material or mental distress or of the authority he exercises over her by virtue of his position, function or capacity as protector, teacher, master or employer or by virtue of any other like relationship”. Until recently sexual harassment was not recognized in local legal instruments. The revised labor law governing all non-civil servants (private organization, government enterprises, non-governmental organizations) recently included prohibition of sexual harassment. Under the labor law sexual harassment is defined broadly, does not give example of specific acts and has included consent as a determining factor: “to persuade or convince another through utterances, signs or any other manner to submit for sexual favour without his/her consent)⁵⁰.

The Civil Servants Proclamation 1016/2017 under Article 2(13) provides extensive definition of sexual harassment unlike the labor law as an “act of unwelcome sexual advance or request or other verbal or physical conduct of a sexual nature and includes unwelcome kisses, patting, pinching or making other similar bodily contact; following the victim or blocking the path of the victim in a manner of sexual nature; put sexual favour as prerequisite for employment, promotion, transfer, redeployment, training, education, benefits or for executing or authorizing any human resource management act”.

Different laws and different code of conducts govern employee-employer relations in various sectors and organizations. Private sector and NGOs are governed by the labor law while government employees are governed by the civil servant law. In addition to the national law,

⁴⁹ EDHS 2016

⁵⁰ Proclamation no 1156/2019 (art 2 (11))

different international organizations have separate code of conduct for their staffs. Some have strictly prohibited any romantic relationship with a beneficiary while others put it as ‘strongly discouraged’. Some organizations expect their employees not to purchase sex while they face strong challenge from their employees who see that the practice is acceptable in their culture and that the organization has no business in governing what they do after work hours⁵¹. Sexual relations with a minor (child under 18 years old) is clearly prohibited under the criminal law (Art. 626). However, the reporting system to the organization and from the organization to the formal authorities is a very sensitive matter. Reporting obligations (legal and/or organizational) and confidentiality or survivor-centered-approach are key issues that need attention and clear guidance before implementing a GBV and PSEAH procedure for a program.

The CEDAW committee⁵² has expressed concern over the pervasive prejudice and discrimination and sexual harassment against women in the work force. The Committee was not convinced that the provision in the labor law was enough and additional measures to effectively implement the provision were necessary. There is no data on extent of sexual harassment, pattern of reporting and measures taken in any sector.

Additionally, the Ethiopian government has established institutions, federally and regionally, such as the Ministry of Women, Children, Youth Affairs Offices (MOWCYA), special police units aimed at protecting children and women, and a Special Bench within the federal criminal court specifically for cases that relate to violence against women.

The 2010 Strategic Plan, and operation plan for an Integrated and Multi-Sectoral Response to VAWC and child justice in Ethiopia emphasize that to effectively combat GBV, cooperation between the justice, health, education and social welfare sectors is needed. It Plans to scale up the GBV response system, including coordination mechanisms, referral pathways, and one-stop centers. Despite the different legal frameworks have not included any GBV specific principles, the Federal Attorney General’s Office in collaboration with civil society stakeholders and MoWCA regularly facilitate trainings on survivor centered investigative techniques and key principles such as maintain confidentiality and the available integrated GBV response services to public prosecutors and judges, justice sector officials and police.⁵³

On the other hand, further to the formal legal systems at the national and local levels, there are community-based and religious legal structures which often are the primary system to mitigate the impact of GBV issues. These systems do not operate in tandem which complicates the enforcement of GBV laws.

However, despite the fact that the government has passed laws and implemented policies declaring gender equality and the protection of women’s rights, the GBV prevalence indicates that they are not effectively bringing an end to this violence in some cases due to the gaps in the laws while others are so poorly implemented and enforced that they fail to be effective.

2.3 Multi-sectoral Prevention and Response

⁵¹ ICSMAC (2019). *Committing to Change, Protecting People: Towards a more accountable Oxfam*. https://independentcommission.org/wp-content/uploads/2019/06/Oxfam_IC_Final_Report-EN.pdf [Accessed on April 16, 2020]

⁵² CEDAW (2019). *CEDAW/C/ETH/CO/8 Committee on the Convention for the Elimination of All Forms of Violence against Women* [accessed on 13 April 2020] <https://uhri.ohchr.org/>

⁵³ Civil Society Joint Report on VAW in Ethiopia, 2018

The types of services vary with the different type of gender-based violence. There are different entry points for the project depending on the type of violence the project wishes to address. A recent mapping of GBV services in relation to primary health care providers conducted in Amhara, Oromia, SNNP and Tigray⁵⁴ was reviewed to fill in the gap to some extent. This study could serve as a basis to show the gaps in the system with caution that no two woredas have the same situation. Woreda specific mapping needs to be done at the outset of PSNP5. The study concluded that capacity and resource constraint on the side of health care providers, lack of psychosocial service and weak multi-sectoral links has created a disjointed pathway of care for survivors of violence. It also added that norms that foster stigma for survivors and normalization of violence are big obstacles for survivors of violence to seek help.

EDHS 2016 confirms what was already known that most survivors (65%) of violence do not tell anyone about the abuse. Among those who told anyone, majority rely on neighbors and friends. Same study shows that women are more likely to report when the violence is severe (physical and sexual). In most cases, they seek services from police than other service providers (such as medical, psychosocial, etc.). Since 2013 a Standard of Operation (SOP) was developed under the leadership of Ministry of Health (MoH) to establish referral system for sexual abuse cases.

The formal service providers that are reported by the assessment participants (community and government stakeholders) related to reporting GBV are the police and women's affairs bureaus. The role of elders and religious leaders in arbitrating IPV's strongly came out in the assessment. Wherever available, the Community Care Coalition⁵⁵ structure also plays a critical prevention and mitigation role by identifying victims and linking them to legal and health services.

One-stop centers are available only in major regional towns. Women, Children and Youth Affairs at kebele⁵⁶ and woreda level are involved in receiving reports and have taken a coordination role however limited capacity in terms of budget and skilled human resource has negatively affected the coordination role of the machinery⁵⁷. Criminal cases are investigated and managed by police supervised by the public prosecutors in Attorney Generals' offices from Federal to woreda level. Before 2014, the Ethiopian Human Rights Commission used to run 111 free legal aid support clinics around the country. The coverage is mostly in urban areas mostly around main roads. Currently, the service is limited to 4 regional main towns and the Commission is undergoing an extensive reform process to identify the most vulnerable groups and areas where the need is high to avail the service in a most meaningful way. In 2013 a Legal Aid Providers Network for child rights related issues was established under the Supreme Court of Ethiopia, however currently the project is discontinued, and the

⁵⁴ Encompass LLC (2019). *Gender Based Violence Landscape Analysis. USAID/Ethiopia Transform: Primary Health Care Project* (Contract No. AID-663-A-17-00002)

⁵⁵ According to the National Social Protection Strategy of Ethiopia, CCC is community based social support mechanism which are formed by groups of individuals and/or organizations that join together for common purpose of expanding and enhancing care for HIV/AIDS infected, most vulnerable children in communities, and social safety net. They typically include representatives of churches, volunteers and other faith based organizations, the government, businesses, and other local NGOs or CBOs in the community. The service they provide ranges from material, financial to physical support.

⁵⁷ FAO. 2019. *National gender profile of agriculture and rural livelihoods – Ethiopia. Country Gender Assessment Series, Addis Ababa. 84 pp. Licence: CC BY-NC-SA 3.0 IGO*

formal referral linkage is discontinued except the legal aid service in Addis Ababa. The referral linkage is mostly driven by informal communications and is barely covering victims who have suffered severe physical and sexual violence and does not cater for needs of other survivors of violence. Up to date and functional woreda specific service providers mapping is required by all programs irrespective of their GBV risk rating before responding to GBV⁵⁸.

In Ethiopia, a PSEA network is established (UN Women-network chair) and trying to fill data gap on SEAH (at least in emergency interventions and camp setting) and DFID is in the process of setting up an online resource Hub which compiles nationally available researches, tools and service providers, in addition to providing technical support to smaller organizations. The Hub is also intended to serve as convener for community of practice. The Ethiopian Hub will be live around May 2020. There is no single complaints reporting system.

2.4 Mapping of Stakeholders and Services Available to Survivors of GBV

A number of institutions and individuals have a stake in one or another way to work on the prevention and mitigation⁵⁹ of GBV against women and girls. At regional and local levels, there is a formal platform called the Harmful Traditional Practices Eradication Committee (HTPEC) led by Bureau of Women, Children Affairs (BWCA) and where other sectors like justice, labour and social affairs, education, agriculture, schools, administration, police, and health bureaus are represented. Teachers, health extension workers, development agents, schools, parents-teachers associations, police, courts, individual households (parents and guardians), traditional and religious institutions are playing key roles as members of the HTPEC (MoE, 2013).

In addition, national and international UN agencies like UNFPA are also working with government sector offices like Women and Children Affairs and other members of the platform, both on the prevention and mitigation aspects of GBV issues through system strengthening, awareness raising, and provision of legal aid and safe houses for survivors. Safe houses (shelters) are only located in the capitals of the regional states making them inaccessible to the vast majority of rural women. Most of the shelters are understaffed and underequipped. In terms of the availability of comprehensive services, only some of the shelters provided healthcare services, economic empowerment initiatives, counseling and therapeutic activities, and referral to legal aid services.

Thus, local NGOs, CBOs working on common objectives on Sexual, Reproductive Health and Gender Based Violence (SRGBV) have also been identified as important players to address the issue of gender-based violence. The platform is closely working with law enforcement bodies, mainly the justice bureaus, together with the police who are among key stakeholders enforcing the law of the country that can protect girls and women from GBV risks and provide legal support for survivors. However, despite their mandate and responsibility, in most areas the platform is not active enough, members have capacity gaps on how to handle the issues, and highly influenced by traditional factors. The sectors like

⁵⁸ World Bank (2018). *Good Practice Notes- Addressing Gender Based Violence in Investment Project Financing Major Civil Works*, page 30

⁵⁹ There is a distinction made between '**prevention**' and '**mitigation**' of GBV. While there will inevitably be overlap between these two areas, **prevention** generally refers to taking action to stop GBV from first occurring (e.g. scaling up activities that promote gender equality; working with communities, particularly men and boys, to address practices that contribute to GBV; etc.). **Mitigation** refers to reducing the risk of exposure to GBV (e.g. ensuring that reports of 'hot spots' are immediately addressed through risk-reduction strategies; ensuring sufficient lighting and security patrols are in place from the onset of establishing displacement camps; etc.)

WCYA confirmed that their implementation capacity, budget shortage, loose coordination, weak accountability and monitoring system are among key challenges to work on the issue of GBV. They suggested that given the depth of the issue and deep-rooted nature of GBV problem in the society, it needs to strengthen stakeholders' collaboration, address capacity gaps and resource/budget issues, and ensure strong accountability among responsible bodies so that they can reach out to larger communities and significantly minimize the issue of GBV.

2.5 Capacity of PSNP Implementers in Prevention from and Response to GBV

At macro level, the GoE through its legal frameworks and institutional arrangement has demonstrated relatively improved commitment to address GBV issue in the country.

When it comes to translation of the policy and legal frameworks into action weak coordination and accountability system pose major challenge. GBV prevention and response system requires strong multi-sectoral engagement. Among others, sector offices such as women and children affairs, education, health, agriculture, labour and social affairs, and justice (attorney general, court, police) are mandated to ensure addressing gender inequality and GBV issues. In addition to the government structure, all actors including international organizations, as allowed in the recently revised CSO legislation, and local development stakeholders are equally responsible to work on gender issues including GBV. Accordingly, despite it is limited to a few types of GBV and in small parts of the country, Ethiopia in general has made progress over the past decades in reducing some GBV cases. For instance, child marriage, with prevalence rates dropping from 59 per cent of females (aged 20-24) married or in union by age 18 in 2005 to 40 per cent in 2015⁶⁰.

However, despite macro level commitment and progress being achieved in some components of GBV, the general response towards GBV at national level is still very weak and not to the level of its commitment. Reasons for such less performance are related to implementation capacity especially at frontline implementers' level, coordination among stakeholders, monitoring, evaluation and accountability issues. PSNP implementation woredas are not different from the other part of the country in terms of existing capacity of the system to prevent and specially to respond to GBV. Big flagship programs like PSNP, in contrary to the mandate vested on them, and their extensive reach, they remain blind and focus mainly on "do no harm" aspect.

In PSNP a Senior Gender Technical Assistant (TA) based in FSCD, in collaboration with a senior gender expert of Public Work Coordination Unit oversee the implementation of the program Gender and Social Development (GSD) provisions in collaboration with its regional counterparts. Further to this, Regional Food Security Offices in Oromia, SNNP, Tigray and Somali regions were able to recruit woreda level gender experts. The MoLSA's team responsible for the implementation of PSNP 4 related activities has not included a gender expert. The engagement of the federal and regional level Women and Children Affairs of the two ministries is close to non-existent. Similarly, MoWCA has never been engaged in the program, despite the near nationwide presence of their kebele level women machinery, which is actively engaged in the different program governance structures/committees (at the kebele level, Women, Children, and Youth Affairs has an assigned (and paid) focal person who

⁶⁰ UNICEF Ethiopia, March 2020 *Child Marriage and Ethiopia's Productive Safety Net Programme: Analysis of Protective Pathways in Amhara Region*

organizes and leads the kebele's women association. This focal person is also a member of the Kebele Food Security Task Force (KFSTF).

So far no specific capacity development specific to GBV has been provided to program staff responsible to implement the GSD provisions mainly because the program's focus on GBV was not explicitly defined. It is the same with other members of the program at all level. The overall capacity of PSNP implementers in terms of understanding and integrating GBV/SEA issues in the program implementation is very weak.

The assessment confirmed that at local level, women machineries are relatively stronger in terms of doing prevention works, including awareness raising events on gender in general and GBV in particular, in coordination with community care coalition wherever available (Tigray for instance). However, the referral pathway for GBV survivors is close to nonexistence. Similarly, the program staff's awareness on GBV and SEA is very blurry, and the program has not in placed any system for both GBV and SEAH prevention and redress.

2.5.1 Grievance Redress Mechanism to Respond to GBV in PSNP

As it is indicated in the section above, the program does not put any mechanism to respond to program implementation related GBV and SEA. The Kebele Appeals Committee (KAC) is an important local level PSNP focused core Grievance Redress Mechanism (GRM) to hear and resolve appeals regarding the program in a timely and impartial manner. A well-functioning GRM is crucial to ensure that the rights of the local community (beneficiaries and non-beneficiaries) are not violated due to the PSNP. To ensure the committees' sensitiveness towards issues related to the needs of women, 50% women representation in membership is expected; however, despite this, this provision has so far not been consistently reflected in the implementation⁶¹. Looking at inter-regional representation of women in KACs, the EFY 2010/11 GRM review reported that the highest proportion of females in KACs is recorded in Tigray region (60.0%), followed by Oromia (33.6%), and then SNNPR (31.2%) and Amhara (27.7%) and Harari (27.3%) and Somali (25.6%).

The KAC is one of the key frontline program structures /bodies that function at the operational level of PSNP. It is established in every safety net kebele to improve the overall operational efficiency and effectiveness of PSNP activities. The main responsibility of KAC, as clearly stated in PSNP-4's PIM (Program Implementation Manual), is related to hearing any program implementation related appeals in program entry and exit⁶². The roles played by KAC in the overall processes of the GRM ranges from complete documentation and transfer of records of appeals disaggregated in gender and resolution to the role of providing a decision to at least 95 percent of submitted appeals that fall within its jurisdiction. Accordingly, RPSNP has committed to conducting annual external reviews in addition to the program administrative M&E tool to assess the performance of the KAC and the effectiveness and functionality of the PSNP GRM.

Their potential role in terms of addressing program implementation caused GBV/SEA however is not explicitly included under the role and responsibilities of the PSNP4 GRM and in the roles of KACs. Similarly, the members have never been trained in how to address GBV related complaints, existing referral pathway for survivors and the sensitiveness of the issue including confidentiality. Further to this, the program has not developed any format to collect

⁶¹ PSNP GRM Manual (MoA, 2016)

⁶² Program Implementation Manual (PIM) - Productive Safety Net Programme Phase IV (MOA, 2014: 10-3)

and report GBV and SEA cases. Despite all these gaps however, as a matter of fact experiences from annual conducted GRM reviews showed KACs have received, investigated and made decisions in various forms of complaints including GBV/SEA issues raised in relation to the program in the kebele level and resolved it when it is operational issue. There are cases whereby wives lodged complaints with KACs on domestic violence incidents caused by disagreement on use of transfer. In such cases, as there is no clear guidance included in the program the process is not standard. Some KACs try to resolve the issue by deciding individual payment (contrary to HH payment of the program) for the two spouses while the others refer/escalate the case to legal system as it is not their mandate to play a judiciary role. The program is in the process of developing the program MIS and indicators in relation to number and type of cases the KACs received are included in the MIS prototype. Therefore, the program in the future is expected to be able to integrate details of grievances in its regular reports.

2.6 Prevalence, Reporting and Handling of Cases of GBV Related to PSNP Implementation

Sexual Exploitation, Abuse and Harassment (SEAH) has been in the aid world discussion more intensively after the Oxfam scandal in 2018. There is currently a growing movement to embed the risk awareness of programs by awakening them to the reality that programs are not implemented in vacuum. They are implemented in contexts where power imbalance is embedded in the organizational and social norm and as such it can be put to misuse intentionally or unintentionally.

The findings of this assessment show that the problem is not felt as eminent for most participants (more so at the community level and non-gender personnel at federal level). All key informants and beneficiaries mentioned that they have never heard about SEA case, except in one of the woredas in Tigray. It is widely known case (all key informants in the woreda mentioned the case in the interview). Five women complainants -one female head of household as primary target of SEA and 4 victims for being witnesses. They alleged that they were all targeted for PSNP 4 in the initial listing but were removed from the list later due to 'improper request' from a kebele administrator on the primary complainant. They claimed that the kebele manager has on numerous occasions 'indicated' that he has the power to help or remove help. A woreda team was composed of different sectors including women, Children and Youth Affairs Office to investigate. Although the kebele administrator denied using his power – he said he was 'joking', the investigation concluded that all the 5 women deserved to be in the beneficiary list and decided to include them back in the list. No administrative measure was taken on the administrator. Key informants indicated that there is no standard guideline in the program or nationally how to receive reports of such kind or how to manage. No protocol is set in place after that incident too.

All respondents (both key informants and beneficiaries) have never seen or heard of any abuse while traveling to or while at and returning to public works. They, however, have heard of cases of violence against women and girls happening during traveling to some place around the kebele, but very rare. Most key informants (in Amhara, Tigray, Oromia) indicated that although not verbally articulated by women, reluctance of women to use the late arrival and early departure might have been influenced by fear of risk for their safety. Federal level key informants also made similar assertion. Fear of violence was not expressed in any of the discussions with the beneficiaries. In Amhara, Tigray and Oromia, FGD participants mentioned that the distance to public works site is different for different residents of the kebele. For some the travel can take up to 2 hours walking time one way (about 2.5hrs for

women). Rarely heard about multiple public work sites selected to accommodate the distance challenge. In most cases, whether there is a violence case reported or not, there public work continues even if the distance is far. When risk mitigation plans in the PIM are violated, no accountability follows the inaction.

Although no incidence of violence is reported, remoteness of distribution centers was mentioned as key factor whether women or men collect transfers. Cash transfers and e-payments are paid closer to the locality requiring no over-night stay (mostly paid within the kebele).

Fear of violence (theft) was mentioned after collection of transfers in Tigray, Tanqa Abergele woreda where women mentioned that women are vulnerable to robbery by daily laborers who are paid to carry the food outside and to load on the donkey. Participants have heard of cases where the laborer runs off with their food, if they don't pay attention and don't run parallel with him to their loading area.

Regarding potential domestic violence related to decision on use of transfer, all focus groups beneficiaries mentioned that they are informed by the kebele people repeatedly that the resource is given by the government to keep the whole family from starving. Beneficiaries stressed that both spouses jointly make decisions and they have never heard of cases of physical violence particularly on this resource but there are some cases of domestic violence on different issues, although rare, in the community. This was stressed in all areas, irrespective of location. Key informants mentioned that they may not be aware of the cases because these cases are managed by police and women's affairs.

Domestic conflicts are often handled outside of the PSNP structure in all the regions. The social norm around family conflict management is still strongly gravitated to elders. Note here that until the revision of the family law in different regions (2001 -2004), arbitrators had a huge role in family cases and arbitration was a mandatory pre-condition before going to court. The family law revisions had made arbitration optional. Family arbitrators which can be elders (relatives of both spouses or not) and religious leaders (mostly mentioned in Tigray and Amhara). There appears to be no variation of responses on this across regions. The variation is mostly around the steps taken after the marriage ends formally through divorce or lengthy separation.

Participants reported different avenues of reporting in different regions and woredas with in the same region. In Somali and Dire Dawa, community elders (appears different from the KAC) and the kebele chairperson or development agent look at the case and settle the division of the PSNP transfer. In Oromia, Amhara and Tigray, it appears it is reported to Kebele Food Security Taskforce. There is no data about how many cases and whether the conflicts have escalated to physical violence or not.

It appears unanimous in all regions that the transfer division is settled mostly by who has the custody of the children often women are child custodians after divorce. This assessment did not inquire and has no information about the fairness of the household's property division. Couples who agreed on the division amicably, the kebele gives the client card to the woman and both go to collection center and take their share there. For those who have not managed to reach agreement or accept the decision of the kebele, the client card is kept at the kebele and during distribution assigned person will collect their share and give each their respective share. This continues until the annual re-targeting time where each will get separate card.

Anecdotal cases suggest loophole in the system. Lack of specific process for reporting may create challenge for women, who often are less aware than men on the different structures in the kebele. In Amhara (Habru woreda) and Tigray (Tanqa Abergele woreda) women focus group discussants mentioned that after two years of their divorce the client card was still in the name of their ex-husband. They have been complaining to the KAC but no result.

The PIM provides general guidance that a beneficiary can only continue to benefit from the program while he/she is resident there. Key informants at kebele level indicated that after divorce, often younger women leave the area either to their family or in search of work. Older women who have been married for longer years and have gained some fixed asset (house or share of the land) through the property division tend to stay in the locality and hence keep their support from the program. The woman who left the area have no guarantee that the kebele she goes to will target her. It all depends on the level of case load in the area and the wealth variance. In Dire Dawa, some kebele elders use this analysis to ‘push’ couples who have come to separate and divide their PSNP resource share to settle their difference and maintain the marriage. The assessment is not in a position to identify what type of disagreements were settled this way and whether this arrangement has contributed (albeit unintentionally) to keep women in abusive relationship or not.

In terms of livelihoods intervention putting women at risk, this assessment found no evidence of intervention that puts women at risk. Although there is no formal violence risk assessment for the livelihood interventions, it appears almost all interventions are on small ruminant rearing (shoat – sheep and goat fattening). It is not clear whether the program discourages it because of risk vulnerability, but it appears that in some areas (example in Tigray – Kola Temben, Hadinet Kebele) some women suggested that they were more interested in local liquor (*tella*) making and selling but they were asked to do small animal rearing instead. They thought the animal rearing is labor intensive (searching for feed) and it requires traveling to the woreda market more than once when they choose to sell. They also mentioned the local liquor making has faster returns and good profit margin. Albeit some debate amongst the women discussants whether local liquor has a good profit or not, they all concluded that such intervention is not generally supported by the program and financial institutions.

Although only one reported incident in relation to the program implementation has come to light, this finding needs to be taken seriously by the program considering that the most vulnerable households targeted in the program are female headed households. EDHS 2016 has indicated that divorced/separated/widowed women are more vulnerable to sexual violence and older women who have more than 5 children are likely to have experienced sexual violence. This merits further investigation and attention from the program to at least track incidence of violence in relation to the program implementation in PSNP supported households. Sexual relation with project beneficiary especially when the beneficiary is engaged in commercial sex work needs to be a high-risk concern for the program.

Key Findings

- One incident (with 5 complainants) reported
- Distance of food distribution centers raises significant risk on women
- Cash payment compared to the food payment (either direct by government or through e –payment (through agents paid directly in cash or deposited in account of beneficiaries) have reduced perceived or actual risk of violence on women

- Except the Gender and Social Development(GSD) provisions⁶³ of the program (developed in 2008) there is no formal tool/process in the program to explore the impact of specific interventions (such as during public work site selection, livelihood interventions) to aggravate existing power inequality or create new form of inequality
- No accountability is in placed when risk mitigations (GSD provisions) are violated such as when distribution center or when the public works sites is not within the recommended space
- PSNP 4 did not have any protocol in place to confidentially receive SEAH complaints, respond to allegations and respond appropriately. In the absence of a trusted system, it is very hard to conclude the absence of SEAH
- Misuse of PSNP provided cash/food by one person in the family is taken seriously and is reported to the kebele but through different points of contact
- No formal referral pathway is available to victims of IPV in the PSNP households
- The existing program GRM is not preferred by women for SEA related complaints reporting and redress as they feel they do not have the capacity to enforce their decisions
- No mapping of woreda level multi-sectoral GBV service providers
- Limited capacity of multi-sectoral GBV service providers to support reporting GBV survivors in line with the GBV guiding principles
- Lack of training on relevant GBV topics for relevant government and community stakeholders
- Lack of standardized approach to address GBV related complaints across the program implementation areas; and the Kebele Appeal Committees are under the influence of elders and religious leaders particularly in pastoral areas
- Lack of understanding of basic terms such as SEA and SH among relevant project stakeholders.

2.7 Beneficiaries Knowledge on GBV and Related Services

The term SEA/GBV is not understood by the program clients at first or is perceived as ‘rape’. It is understood after giving examples. The number of examples to explain the question increases when we go to grass root level and from key informants to community participants. The first response often starts with denying that such exists in the area because ‘people are religious’ (all regions in this assessment and both key informants and beneficiaries) or ‘it is suicidal to do that’ (in Tigray- where they felt that most of the people are/were ‘fighters’ and they know their rights). After a bit of dialogue about social norms particularly how easy/hard it is for an adult woman to be single and live alone in rural areas, there is more realization and acknowledgement of the risk and the response shifts to ‘it could happen but we have never heard about it’.

Women only focus groups were asked if they would report such incident and to who. Response from women focus groups in almost all regions ranges from ‘women won’t report this to no one’(majority) to ‘women definitely will report this to women affairs in their kebele’ (few) and very quiet (no response for the question) within the same group. Women discussants in Oromia had a more detailed discussion on this. The response varied in the two woredas we visited. In one woreda, women said they do not trust the formal structure for responding confidentially and in fair manner. In the other woreda, majority of the women mentioned that they will talk to only men officials in the kebele (particularly the development

⁶³ PSNP GSD provisions are annexed

agent and kebele administrator) and not to women officials due to fear that women officials will share the information with others and at the end they have no power to resolve the issue by themselves. None of the women participants mentioned using the Kebele Appeal Committee for this.

Participants reported different avenues of reporting in different regions and woredas with in the same region. In Somali and Dire Dawa, community elders (appears different from the KAC) and the kebele chairperson or development agent look at the case and settle the division of the PSNP transfer. In Oromia, Amhara and Tigray, it appears it is reported to Kebele Food Security Taskforce. There is no data about how many cases and whether the conflicts have escalated to physical violence or not.

It appears unanimous in all regions that the transfer division is settled mostly by who has the custody of the children, and often women are child custodians after divorce. This assessment did not inquire and has no information about the fairness of the household's property division. Couples who agreed on the division amicably, the kebele gives the client card to the woman and both go to collection center and take their share there. For those who have not managed to reach agreement or accept the decision of the kebele, the client card is kept at the kebele and during distribution assigned person will collect their share and give each their respective share. This continues until the annual re-targeting time where each will get separate card.

Anecdotal cases suggest loophole in the system. Lack of specific process for reporting may create challenge for women, who often are less aware than men on the different structures in the kebele. In Amhara (Habru woreda) and Tigray (Tanqa Abergele woreda) women focus group discussants mentioned that after two years of their divorce the client card was still in the name of their ex-husband. They have been complaining to the KAC but no result.

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Key Findings

- limited understanding on sexual exploitation, abuse and harassment (SEA) by both staff and community. The risk of SEA is present – moderate risk
- Women have limited information on where to lodge their complaint regarding SEA
- Lack of trust in formal institutions to manage and address complaints safely.
- PSNP does not have a system to routinely track incidence of IPV-if any- among PSNP beneficiaries

2.8 Assessment of Risk Level of GBV

This section summarizes the results of the GBV Risk Level Assessment for SEASN/PSNP5. The project's risk level falls under the category of 'Substantial'.

The program's main risk of GBV is mainly aggravated by the limited awareness of beneficiaries and staff. Further to this, lack of trustable reporting and complaints management system is also identified as a key gap the PSNP5 design that needs to fill proactively. There is no GBV tracking in the program monitoring plan and no formal referral linkage to services set up. Existing service providers also have limited capacity.

PSNP5 developed a GBV mitigation and response action plan (Annex 14) based on the findings of this assessment. The action plan, whose implementation progress will be monitored regularly, includes activities such as developing SEAH messaging, code of conduct and training package for staff, including communication materials in the program behavior change communication package that challenge social norms and attitudes that justify wife beating. The action plan will also include activities that will support the rolling out of woreda risk assessment and mitigation plan, referral service mapping and potential reporting and referral linkage process. Moreover, GBV and SEAH training will be part of the PSNP capacity building core trainings.

GBV Risk Assessment Tool⁶⁴

Section A: Country Context	
1. "Prevalence of intimate partner violence (select the country then in the 'Common Indicators' tab and scroll to "Physical or sexual violence by a husband/partner")"	0 Lower than regional average. Spousal violence: 34% of ever-married women age 15-49 have experienced spousal physical, sexual, or emotional violence. (EDHS, 2016). Regional average to 66 % (WHO,2013)
2. "Prevalence of any form of sexual violence (select the country then in the 'Complete List' tab and click the "Domestic Violence" tab. Select the "Experience of sexual violence" option, then select "Women who ever experience sexual violence" option)"	0 Lower than regional average. High levels of women and girls have been subjected to violence 26% of women aged 15 to 49 report either physical or sexual violence, or both (EDHS, 2016).
3. Prevalence of child marriage (defined as marriage before exact age 18 reported by women)	1 High prevalence ,40.3 % of women and 5 % of men were married before the legal age of 18 (EDHS, 2016)
4. State Department Trafficking in Persons report (Tier 1-3, with one low and 3 high risk)	0.25 The exact magnitude and extent of trafficking in Ethiopia has not yet been systematically documented
5. Presence of Peace-keeping mission	0 Not present – key Informants from Attorney General
6. "Laws on domestic violence (click on the "domestic violence" tab, scroll to the given country and in the second column, see the response to "Is there domestic violence legislation")"	0 Low risk. The Criminal Code of Ethiopia also hosts a number of provisions, which criminalize GBV and its different forms. The Code, unlike the previous Penal Law

⁶⁴ The questions are meant only as a starting point and are not intended to be exhaustive. As multiple forms of GBV have the same risk factors and drivers, the tool can be used to understand the overall context and how the project may interact with this context in relation to multiple forms of GBV, not just SEA/SH

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	of 1957, clearly criminalizes many of the GBV types and has also improved the punishments in some of the offenses committed against women. Article 561 to 570 criminalizes harmful traditional practices, including domestic violence (564), and female circumcision (565, 566).
7. "Laws on marital rape (click on the "marital rape" tab, scroll to the given country and in the first column, see the response to "Does legislation explicitly criminalize marital rape?")"	1 High risk
8. "Laws on sexual harassment (click on the "sexual harassment" tab, scroll to the given country and in the first column, see the response to "Is there legislation that specifically addresses sexual harassment?")"	0 Low risk, Criminal code not included Public service –yes
9. "Justification of wife beating (Select Country in ""Country"" menu, --> click on Indicator box -->Complete List-->Select ""Women's Empowerment"" category--> Select indicator ""Attitude toward wife beating"" --> select ""Wife-beating justified for at least one specific reason"""	0.5 High risk, the data shows 70% of women and 31% of men in rural areas agreeing that wife beating is justified compared with 39% of women and 15% of men in urban areas. (EDHS, 2016)
10. Help seeking to stop violence (Select Country in "Country" menu, --> click on Indicator box -->Complete List-->Select "Domestic Violence" category--> Select indicator "Help-seeking to stop violence" --> select "Sought help to stop violence" or "told someone about the violence"	1. High Risk Help seeking: About one-quarter of women 25% who have experienced physical or sexual violence has sought help. (EDHS, 2016).
11. National level capacity to respond to Gender-based violence	0.5 Moderate Risk, even if there is legal instruments and institutional mechanism including one stop services and safe house, implementation, availability and quality of services needs strengthening
12. GBV working group (national and regional working group)	0 High Risk
13. National referral pathway protocol	0 Low risk
Section B: Project Context	
Indicator	Score and Comments
1. Is project in a humanitarian area of the country? [Scoring: Yes = Higher risk is humanitarian or emergency situation in project area = 2; No = Lower risk is no presence of humanitarian or emergency situation in project area = 0]	2 High risk – most PSNP woredas are drought prone areas with recurrent emergency situation
2. How much infrastructure construction, upgrading or rehabilitation does your project entail? [Scoring: Higher risk is major rehabilitation and construction = 1; Medium risk is moderate rehabilitation and construction = 0.5; Lower risk is low rehabilitation and construction = 0]	0.5 Medium Risk– Livelihoods-based subprojects such as small-scale irrigation
3. According to the guidance from the labor influx note, rate your project as high, medium or low risk related to the level of labor influx. If there is no labor influx, choose the low risk option. This determination is a self-judgement based on project parameters, using the labor influx note guidelines. [Scoring: Higher risk can be associated with large number of workers, small remote community (low absorption capacity) context with pre-existing social conflicts, high prevalence of GBV, weak law enforcement, presence of specific marginalized, vulnerable, ethnic groups, etc. = 0 or 1 or 2]	0 Low risk, the program uses labor from the location – food for work program
4. During project preparation, consultation was undertaken with women's	0 Focus group discussions

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groups, groups that advocate for children and adolescent rights, and other stakeholders. (Please note consultations should have provided a safe enabling environment for open conversation by women, recognizing that power dynamics in communities often limit women's full participation). [Scoring: Higher risk is no engagement with women's children's and adolescents' rights groups = 1; Lower risk is engagement with women's, children's and adolescents' rights groups = 0; Unknown = 0.5]		(FGDs) were conducted with male-only, female-only and mixed groups on gender and GBV issues during preparation.		
5. During community consultations and project appraisal, issues related to GBV and GBV-related concerns about the project have arisen in the community engagement discussions. [Scoring: Higher risk is Yes = 2; Lower risk is No = 0; Unknown = 1]		2 some risk mentioned during this gender analysis and GBV risk Assessment.		
6. Are military or paid security forces being contracted as part of the project? [Scoring: Higher risk is Yes = 1; Lower risk is No = 0; Unknown = 0.5]		0.5 Medium, May be some security accompanying money payment		
7. Poverty in the project area is in bottom quartile of country? [Scoring: Higher risk is being in the bottom quartile of poverty = 1; Lower risk is not being in the bottom quartile of poverty = 0; Unknown = 0.5]		1 High Risk, Project Target poor rural areas		
8. Project in hard-to-supervise areas? (For instance, very remote or geographically diffuse projects) [Scoring: Higher risk is hard-to-supervise areas = 2; Lower risk is compact or easily accessed project areas = 1]		2 High Risk, Some of the areas could be hard to supervise for instance pastoralist areas		
9. Urban, peri-urban or rural? [Scoring: Higher risk is rural = 1; Medium risk is peri-urban = 0.5; Lower risk is urban = 0]		1 High Risk, Targets rural areas		
10. Project construction near school route or other pedestrian access that women and girls use for their daily activities? [Scoring - Higher risk is Yes = 1; Lower risk is No = 0]		0 Low Risk, No major construction		
11. Project able to monitor GBV and SEA risks across the full span of the work? [Scoring: Higher risk is No = 2 Lower risk is Yes = 0; Unknown = 1]		2 High Risk, Project covers geographically wide areas		
12. Female workers in close proximity to male workers with limited supervision? [Scoring: Higher risk is Yes = 1; Lower risk is No = 0; Unknown = 0.5]		1		
		Sub-total score = 12.0		
		TOTAL = 16.75		
Risk Tier	Lower risk 0-12.25	Moderate risk 12.5-16	Substantial Risk 16.25-18	High Risk 18.25-25

3. Conclusion and Recommendation

3.1 Conclusion as It Relates to Identification of Key GBV Issues

3.1.1 Key Findings

- The project has substantial risk scoring. The country context shows moderate risk (below the regional average) for intimate partner violence. Lower risk on sexual violence. High risk for early marriage and higher than the average for norms that justify wife beating.
- No GBV tracking in the program monitoring plan.
- There is limited understanding of what sexual, exploitation, abuse and harassment is by project beneficiaries and staffs

3.1.2 Recommendation

- PSNP5 needs to work closely with MoA-WAD or MOLSA to design a clear protocol defining what SEAH is and in local language, develop code of conduct to be signed

by all PSNP implementing personnel without considering their employment status (long term, contract, government recruited, placed, volunteers). Moreover, ensure codes of conduct are publicly disclosed in local languages and are widely accessible to all workers and all groups of people in project areas.

- Include GBV risk assessments into key processes, including environment and social management plans (ESMPs).

3.1.3 Suggested Action Plan

- Support MoA-WAD at federal and regional level to develop SEAH messaging, code of conduct and training package for staffs.
- The program will revise its SBCC materials to integrate session that challenge social norms and attitudes that justify GBVH to be part of the behavior change communication of the program.

3.2 Conclusion as It Relates to Addressing and Responding to GBV/SEAH

3.2.1 Key Findings

- Project beneficiaries have limited information on available GBV response services and how to report cases
- There is no woreda level service mapping of GBV service providers
- There is no clear and trusted reporting complaints mechanism for SEA and beneficiaries do not know where to go.
- PSNP does not have a system to routinely track reported GBV incidence among PSNP beneficiaries
- No formal referral linkage to services is set up and existing service providers have limited capacity.

3.2.2 Recommendations

- MoLSA to conduct mapping of multi-sectoral GBV service providers. WoLSA should be trained on service mapping tools and methodology.
- Assign Gender/GBV specialist at national level MoLSA and MoA, and focal persons at regional and woreda level
- Set up trusted system for reporting. Generally, Women and Children Affairs or affiliates at kebele level such as the Community Coalition network seems to be trusted by communities on violence issues. The system needs to have a trusted point of contact (different in different set ups) (who needs to be trained on creating safe space), information flow protocol and safe and confidential referral pathways. All PSNP staff including social workers need to be informed of the principles of process and protocol set in place and multiple avenues can be available to survivors of violence. Recommended if training packages and resources are available electronically and using audio-visuals (IRC has video for easy training on SEA) Skill training which is beyond the basics training will be provided for those who will directly handle reported complaints.
- All beneficiaries to be made aware of the reporting and complaints management using different communication channels (community meetings organized for other PSNP activities –such as payment/distribution time, beneficiaries’ rights posters, or separate poster on SEA, etc.)

- SEA related indicator to be part of the routine data monitoring plan. The indicator could be ‘number of GBV grievances that have been referred to GBV service provider’. Number of staffs/personnel connected with the program trained on GBV-SEAH would also be very useful.
- WAD, in collaboration with FSCD and MOLSA to develop a GBV and PSEAH training schedule to be part of all PSNP core trainings and PSNP to facilitate the availability of adequate time for the trainings. Attendance of the training of staffs on GBV/SEA at least once in the project lifetime to be mandatory for all staffs in the program.
- Strengthen the implementation of the Gender and Social Development provision of the program regarding women representation in the different community level governance structures including the Kebele Appeal Committee
- Support MoA and other actors in strengthening of confidential grievance reporting for complaints arising in the context of activities financed under the project

3.2.3 Suggested Action Plan

- Support MoA-WAD, FSCD, and MoLSA to develop roll out plan for woreda risk prevention and mitigation plan, GBV service mapping and potential reporting and referral linkage process in line with PSNP5. This plan should start with training about tools, methodologies and processes.
- Make GBV and SEAH training part of the PSNP capacity building core trainings. Develop at least half a day with the following contents (minimum)⁶⁵
 - Definition of types of violence and more particularly SEAH and how the project can diminish these.
 - Roles and responsibilities of staffs (code of conduct)
 - Confidential case reporting mechanism, accountability structures and referral procedure for staffs and for community members to report cases related to staffs;
 - Services available to survivors of violence
- Include GBV and SEAH indicators in the program result framework
- Ensure that assessment of gender and safety risks will be included in bidding process for contractors.

⁶⁵ A half day training schedule is available on World Bank (2018). Good Practice Notes- Addressing Gender Based Violence in Investment Project Financing Major Civil Works

4. GBV Action Plan

Introduction

PSNP targets the extreme poor and most vulnerable in the community. While there is increasing evidence that cash transfer (CT) programs decrease intimate partner violence (IPV) there is also probability that it may create intrafamily conflict i.e. Intimate Partner violence in households. Women traditionally have more limited access to resources like land, finance, and training opportunities than men. Social norms often restrict women's mobility and decision-making, as well as their access to education, employment, and means of livelihood. These limitations increase women's vulnerability and create greater barriers to social protection benefits. This cycle of deprivation exacerbates women's risk of IPV and can also hinder their ability to access available services for survivors of violence. These risks should be mitigated.

The World Bank requires borrowers under Environmental and Social Standards ESS1 to assess risks related with gender including Gender Based Violence (GBV) and the health and safety of communities and individuals as outlined in ESS4. Accordingly, Ministry of Agriculture (MoA) updated GBV risk assessment to identify gendered risks and vulnerabilities associated with the PSNP and developed risk mitigation action plan. The assessment highlighted the already identified major violence types in different studies for women in general and for rural resident girls and women. It primarily focused on Intimate Partner Violence (IPV), child marriage and other harmful traditional practices and GBV experienced outside of the household such as sexual harassment, exploitation, or abuse at point of service or delivery of benefits, or in other situations resulting from participation in the program activities.

Major findings of the assessments are:

- Even though the project has put in place systems such as community based-targeting and appeal mechanism which aim to hold service providers accountable, such systems are not well-equipped or sensitized to dealing with GBV/SEA cases. The SEA/SH continues to be substantial for the second AF. GBV action plan developed for the parent project is under implementation. The main findings of the parent project assessment included potential SEA risks linked to awareness gap on SEA/SH and gap in implementation capacity of the borrower, lack of procedure for complaints related to SEA/SH, sexual favors for registration and domestic violence due to disagreement between spouses on how to use program transfer. Though there has been some progress in strengthening the capacity by assigning Gender expert, providing orientation to staff and preparation of service mapping, the second additional financing has added potential risk of SEA/SH because of program implementation in conflict affected areas that pose risk both to the project workers and the beneficiaries. The assessment for the PSNP GBV risk only highlight those already identified as major violence types in different studies for women in general and for rural resident girls and women. The review has focused on intimate partner violence (IPV), child marriage and other harmful traditional practices- mainly Female Genital Mutilation/Cutting. Thus, to prevent and mitigate SEA/SH risks in conflict affected areas, specific update will be made in the GBV action plan in line with third party implementation arrangement, capacity building activities, any other relevant prevention and response measure
- Limited understanding on sexual exploitation, abuse and harassment (SEAH) by both staff and community (beneficiaries and non-beneficiaries).
- Project beneficiaries have limited information on available GBV response services

and how to report cases

- Lack of trust in formal institutions to manage and address complaints safely
- There is no woreda level service mapping of GBV service providers
- PSNP does not have a system to routinely track reported GBV incidents among PSNP beneficiaries and there is no tracking in the program monitoring plan
- No formal referral linkage to services is set up and existing service providers have limited capacity.

The GBV risk assessment established that the project risk level fall under category of ‘substantial’ since it provides direct support (cash and livelihoods) to marginalized people in rural areas. As a result, PSNP V developed GBV mitigation and response action plan based on the findings of the assessment. This action plan is under regular implementation and monitoring by the Linkages to Available Social Services (LASS) Technical Committee (TC).

Objectives of the GBV / SEA and SH Prevention and Response Action plan

The Action Plan details the measures that will be put in place to assess and mitigate the risks of GBV/ SEA/SH that are project-related. This includes procedures for mitigating GBV risks, responding to GBV cases reported in the project area, and ensuring effective management of GBV related grievances.

The need for updating the Action Plan

Multiple concurrent crises; consecutive inadequate rainy season and locust infestation on local production resulting in continuing draught, the impacts of the Coronavirus Disease 2019 (COVID-19), the implications of the war in Ukraine on cereal availability and prices in Ethiopia, inflation and the ongoing conflict in Tigray and the spread of the conflict to Afar and Amhara in late 2021 has impacted food security in affected areas and has impeded the delivery of humanitarian assistance with access constraints. The intersectionality of all these issues contribute to the poverty and vulnerability of communities and expose them to more GBV risks which requires the update.

Current projections suggest that 20.4 million people are in urgent need of food assistance (in cash or in kind) many of which live in areas categorized by the Integrated Food Security Phase Classification as in Crisis (IPC3) or Emergency (IPC4). This puts Ethiopia in urgent need of assistance because of a combination of aggravating factors mentioned above.

In addition, Ethiopia was included in the FY22 List of countries affected by Fragility, Conflict and Violence (FCV) for the first year since the World Bank started releasing annual lists in 2006. The FCV strategy aims to support countries in addressing the drivers and impacts of FCV and strengthening their resilience, especially for the most vulnerable and marginalized people. Specifically, the project supports two of the Strategy’s four pillars: Pillar 2: Remaining Engaged during Conflicts and Crisis Situations by continuing to operate in areas affected by conflict situations; and Pillar 4: Mitigating the spillovers of Fragility, Conflict and Violence. The FCV strategy highlights the role of safety nets in promoting equity and building resilience and opportunity and that can both ensure the welfare of affected populations in the short term and inject resources into local economies in the medium term. The strategy also recognizes the importance of restoring social contract through safety net programs, which in turn contributes to mitigating grievances and conflict situations.

As a result, a Second Additional Financing (AF2) was processed for SEASN and the legal covenants of the AF2 for SEASN requires borrower to update and disclose some of the

instruments of the ESMF which the GBV action plan is one of it. The updated GBV Action plan will be cleared as part of the ESMF prior to effectiveness of AF2.

The Action plan with minor edits will remain as is for project implementing areas that are considered ‘normal’ (non-ongoing conflict areas or post conflict areas). However, for High-Risk Ongoing Conflict Areas (HROCA), and post conflict areas, there will be significant change which will be mentioned below.

High Risk Ongoing Conflict Areas (HROCA) and Post-Conflict Areas

At present, the High-Risk Ongoing Conflict Area (HROCA) is Tigray where GBV is more likely to occur due to the heightened vulnerability of the people and culture of impunity. As PSNP implementation in the region is currently suspended because of lack of Federal Government access, AF2 will contract Third-Party Implementer (TPI) for one year. The TPI is responsible to ensure there are clear communication tools on the project at all levels on what this project is and what it is not; what and where it is operating.

Given that the use of a Third-Party Implementer will be a temporary shift in the program’s implementation arrangement and because of the higher risks of delivering the program in HROC areas, it has been agreed that an independent firm will be contracted to undertake third party monitoring in HROCAs and post-conflict woredas. Independent monitoring will pay specific attention to the heightened risk of Gender Based Violence (GBV), Sexual Exploitation and Abuse (SEA) and Sexual Exploitation (SE) and will both seek to provide an indication of the level of risk and review the functionality of systems through which incidents can be reported and addressed.

The project’s potential SEAH risks continues to be substantial for the AF2 related to targeting and security for frontline project workers and most importantly for the community and the PSNP clients. On the other hand, the AF2 has added potential risk of SEAH because of project implementation in conflict affected areas that pose risk both to the project workers and the beneficiaries. The potential risks could be associated with Sexual Exploitation and Abuse (SEA) related to targeting, security and SEA risks for the project workers and the community during the implementation in conflict affected areas. Thus, to prevent and mitigate SEAH risks in conflict affected areas, specific update has been made, prior to project effectiveness, to the GBV action plan in line with third-party implementation arrangement, capacity building activities, any other relevant prevention and response measures

Furthermore, the TPI operating in HROCAs will be required to put in place appropriate Grievance Redress Mechanisms for the context including mechanisms to address the heightened risk of GBV/SEA.

In post-conflict areas, the linkages to available social services component of the PSNP program will provide more emphasis to linkage to GBV protection and prevention services. Improved coordination and collaboration with regional humanitarian protection clusters is also being pursued.

For conflict affected areas where the TPI will be engaged, the borrower will also ensure that implementing partners assign three Environmental and Social (E&S) specialists (namely one environment, one social and one gender specialists) to support E&S implementation of the Project and undergo training as needed; and (2) commit to implement their activities in accordance with this ESCP and all E&S instruments and be accountable to MoA in this respect.

Existing Legal and Policy Framework on Gender-Based Violence

The Federal Democratic Republic of Ethiopia has ratified international and regional treaties and commitments to ensure gender equality and prevention of GBV as part of all programs, projects and plans of the country.

Internationally and Regionally: Ethiopia has ratified a number of international human rights treaties, including the Convention on the Rights of the Child (ratified by Ethiopia in 1991), the African Charter on the Rights of the Child (1999), and the Convention on the Elimination of Discrimination against Women (CEDAW).

Universal Declaration of Human Rights: According to the Universal Declaration of Human Rights, attaining equality between women and men and eliminating all forms of discrimination against women are fundamental human rights and United Nations values. Women around the world nevertheless regularly suffer violations of their human rights throughout their lives, and realizing women's human rights has not always been a priority. Achieving equality between women and men requires a comprehensive understanding of the ways in which women experience discrimination and are denied equality so as to develop appropriate strategies to eliminate such discrimination. Thus, the Universal Declaration of Human Rights (1948) stipulates;

- ✚ Article 1: that “all human beings are born free and equal in dignity and rights” that “everyone is entitled to all the rights and freedoms set forth in this Declaration, without distinction of any kind, such as race, colour, sex, language, religion.
- ✚ Article 2: all rights and freedoms equally to men and women and prohibits discrimination on the basis of sex. These freedoms and rights include equal pay for equal work, the right to health and the right to an education for all
- ✚ Article 7: all are equal before the law and are entitled without any discrimination to equal protection of the law.
- ✚ Article 16: Men and women of full age, without any limitation due to race, nationality or religion, have the right to marry and its dissolution, and to found a family; marriage shall be entered into only with the free and full consent of the intending spouses; and the family is the natural and fundamental group unit of society and is entitled to protection by society and the State.
- ✚ Article 25: everyone has the right to a standard of living adequate for the health and well-being of himself and of his family, including food, clothing, housing and medical care and necessary social services, and the right to security in the event of unemployment, sickness, disability, widowhood, old age or other lack of livelihood in circumstances beyond his control.

African Charter on Human and People's Rights: The Protocol to the African Charter on Human and Peoples' Rights on the Rights of Women in Africa (the Maputo Protocol) is the main legal instrument for the protection of the rights of women and girls in Africa. It stated that:

- ✚ Article 14.1.a), b) and c): the right to exercise control over one's fertility, decide one's maternity, the number of children and the spacing of births, and choice of contraceptive methods
- ✚ Article 14.1.f): the right to family planning education: State parties are required to provide complete and accurate information which is necessary for the respect, protection, promotion and enjoyment of health, including the choice of contraceptive methods.
- ✚ Article 14.2 a): the right to adequate, affordable health services at reasonable distances, including information, education and communication programs for women, especially those living in rural areas

- ✚ Article 14.2 c): the right to safe abortion in cases of sexual assault, rape, incest and when the pregnancy endangers the mental and physical health of the mother or the life of the mother or the fetus
- ✚ Article 15.1.b) of international Covenant on Economic, Social and Cultural Rights (ICESCR) states that every individual must benefit from scientific progress and its applications. Women see themselves denied the right to benefit from the fruits of this progress as soon as they are denied the means to interrupt an unwanted pregnancy safely, using effective modern services
- ✚ Article 5 of the African Charter prohibits cruel, inhuman and degrading treatments, a prohibition reiterated in Article 4 of the Protocol. State parties must ensure that women are not treated in an inhumane, cruel or degrading manner when they seek to benefit from reproductive health services such as contraception/family planning services or safe abortion care, where provided by national law and Specific obligations of the State

Nationally: The Constitution of the Federal Democratic Republic of Ethiopia (1995) includes articles on rights, including rights to life, security and liberty (Article 14, 16, 17); rights to equality (25) and marital, personal and family rights (34). Article 35 of the Convention on the Rights of the Woman advocates affirmative action to enable women "to compete and participate on an equal footing with men in political, social, and economic life, as well as in public and private institutions," while Article 42 protects their right to employment, promotion, and equal pay, and Article 53 ensures their right to access and control of resources, as well as their right to consult in the process. Article 9 (4) declares that all international agreements ratified by Ethiopia are an integral part of the law of the land, with implications for the enforcement of international provisions referred to above.

Laws and proclamations to protect the rights of women and to ensure gender equality and women's empowerment:

- **The Revised Family Code (2000)** has provisions to protect the rights and dignity of women, boys and girls at household level. It sets the legal age of marriage at 18 years, with full and free consent of both partners.
- **The Revised Rural Land Administration and Use Proclamation (No. 456/2005)** stipulates that women have a right to ownership of rural land. More specifically, article 5 sub article 1.c. of the proclamation provides that women who want to engage in agriculture shall have the right to get and use rural land. In addition, article 6 sub-article 4 provides for land ownership certificates.
- **The Criminal Code (2005)** specifies crimes and penalties prescribed by law, including early marriage, abduction, female genital mutilation/cutting (FGM/C) and child trafficking. It criminalizes various forms of violence against children, including ill-treatment, neglect or beating children by those responsible for them (up to 3 months imprisonment – Article 576.1) or if resulting in grave injury to the health or well-being of a child (minimum one year imprisonment-Article 576.2). Sexual intercourse with minors aged 13-18 sustains a penalty of 3-15 years imprisonment (13-25 years if the victim is under 13 years), or if the victim of sexual acts is their pupil, the penalty is 5-20 years imprisonment (Article 626).
- **The Civil Servant Proclamation (No. 1064/2017)** has provided for affirmative actions in recruitment, promotion, transfer, redeployment, education and training of women. Protected the pension rights of female employees.
- **The new Labor Law, Proclamation 1156/2019** Art 87 and Art 88 promote non-discrimination, affirmative action, less time and job burden for pregnant women, protection from hazardous works and workplaces and extended maternity leave.

Article 14 and Article 32.1.b also preclude the need for interpretation of sexual harassment and sexual violence by providing definitions, prohibitions and punishments specific to the acts.

- **Gender mainstreaming guidelines: Proclamation No.1097/2018** requires all ministries to ensure that the policies, laws, development programs, and projects they must benefit women, children, and youth. Accordingly, each sector is expected to develop their mainstream guidelines. As a result, the Ministry of Women, Children and Youth Affairs developed national gender mainstreaming guidelines and shared them with all line ministries so that they could develop their own guidelines.

National Policies and Plans

- **National Policy on Ethiopian Women (1993)** aims to institutionalize the political, economic, and social rights of women by creating appropriate structures in government offices and institutions so that public policies and interventions are gender-sensitive and equitable.
- **The National Strategy and Action Plan on Harmful Traditional Practices (HTPs) against Women and Children (2013)** is a national strategic framework that aims to reduce child marriage, abduction and FGM/C as part of broader gender and equity goals.
- **Education and Training policy (1994)**, MoE, addressed gender parity in access to education and training, along with mainstreaming gender equality in national curricula. As well as addressing access, relevance, quality and equity in education and training for girls and boys, it includes gender responsive principles such as mainstreaming gender equality in national curricula (Article 3.1.3).

The World Bank's Gender Strategy (2016-2023) has four strategic objectives which stand to ensure equal rights for women and promote and protect their social and economic rights. These are:

- Improving human endowment: specifically addressing women's access to health service, closing the remaining gender gap in education and expanding social safety nets
- Removing constraints for more and better jobs emphasizes the increment of women's participation in the labor force, their income-earning opportunities and access to and control over productive assets.
- Removing barriers to women's asset ownership and control focuses on ensuring women's rights to productive assets such as land, housing, and technology, as well as their access to financial and insurance services.
- Enhancing women's role, agency and engaging men and boys aims to promote and enhance women's participation and decision-making role in the prevention and response activities towards gender-based violence and in the services provided to survivors of GBV.

Guidance on the Action Plan for the TPI

- Develop a methodology for assessing the risk of GBV/SEA in context of the conflict area
- Based on the monitoring/assessment the TPM/TPI will identify specific risks related to GBV and prepare a GBV action Plan with prevention and mitigation measures

- The TPI will assign social specialist and gender specialist that will be responsible to lead the implementation and monitoring of the GBV action plan.
- Develop guidance and training materials to build staff capacity
- Define the scope of GBV types
- Develop brief notes, signs, posters that can create understanding of Gender Based Violence (GBV) including SEA/SH,
- Develop case reporting mechanism, accountability structures and referral procedure for staffs and for community members to report GBV and SEA/SH cases related to the project.
- Map and establish formal linkages with locally available multi-sectoral GBV service providers
- Require frontline project staff to sign Code of Conducts prohibiting SEAH and sex with minors explicitly
- Establish confidential and survivor centered entry points for GBV/SEA/SH related complaints, refer to available GBV response services
- Make the payment system and food distribution center accessible to all and avoid traveling long distance and staying overnight out of home to collect transfer.
- Build the awareness and train project staff and the community on the issue of GBV/SEAH
- Ensuring people in conflict affected areas are having special conditions to get their entitlements (waiving PW, lump sum payments, serving women and FHHs).
- Coordinate and network with platforms working on GBV/SEA/SH such as the Humanitarian Protection clusters/GBV Subcluster (federal and region) so that their partners operating in PSNP woredas consider enhanced protection issues linked to payments and food distributions
- Ensuring GBV issues are covered by post distribution monitoring and other monitoring and evaluation mechanisms of the program in conflict affected areas.

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Table 1: SEASNP GBV/SEA/SH Action Plan							
N o	Issues identified	Actions	Implementing body	Timelin e	Budget	M&E	Remarks
1	There is limited understanding of Gender Based Violence (GBV) including Sexual Exploitation and Abuse and Sexual Harassment (SEA/SH) by project beneficiaries and staffs	<ol style="list-style-type: none"> 1. Establish/strengthen strong team of technical experts under FSCD comprised from MoA-FSCD, NRM, WSAD, MoWSA, and MoH at Federal, regional, woreda and kebele level that will be responsible to lead the implementation and monitoring of the GBV action plan. 2. Make GBV and SEA/SH training part of the PSNP capacity building core trainings. <ol style="list-style-type: none"> a. Develop at least half a day training package for staff at all levels b. Content of the training should include at a minimum type of violence, how the project can exacerbate these, available program related systems, referral pathway, roles and responsibilities of stakeholders 3. Develop SEA/SH messaging 4. Develop case reporting mechanism, accountability structures and referral procedure for staffs and for community members to report GBV and SEA/SH cases related to the program. 5. Revise the program's SBCC tools to include sessions on GBV perpetrated because of social norms and attitudes 	<p>MoA, MoWSA & MoH (Inc. Regional, Woreda & Kebele levels) and TPI for HROCs</p> <p>MoA, MoWSA & MoH and TPI</p> <p>MoA, MoH, MoWSA and TPI</p> <p>MoA and MoWSA, and TPI</p> <p>MoA, MoH, and MoWSA; and TPI</p>	<p>Year 1</p> <p>Year 1</p> <p>Year 1</p> <p>Year 1</p> <p>Year 1</p>	<p>-</p> <p>-</p> <p>-</p> <p>-</p> <p>-</p>	<p>TPM for HROCs, MoA, and MoWSA</p> <p>TPM, MoA, MoWSA & MoH</p> <p>TPM, MoA & MoWSA</p> <p>TPM MoA & MoWSA</p> <p>TPM, MoA, MoH, & MoWSA</p> <p>TPM, MoA & MoWSA</p> <p>TPM, MoA & MoWSA</p>	<p>The multisectoral team which will be established under FSCD at federal, regional and woreda level will be the leading unit to monitor this action plan.</p> <p>The implementation of this action plan will be assessed by the independent review</p>

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		<p>6. Conduct regular awareness raising activities on GBV prevention and mitigation (similar content with the staff training) to PSNP beneficiaries</p> <p>7. Develop and display signs and posters around the project site that signal to workers and the community that the project site is an area where GBV/SEA is not tolerated</p> <p>8. Map out Stakeholder and engage them in response to the GBV/SEA/SH action plan implementation</p>	<p>MoA, MoWSA (Inc. R, W & K), and TPI</p> <p>MoA, MoWSA (Inc. R, W & K) and TPI</p> <p>MoA, MoWSA and TPI</p>	<p>Annually (year 1-5)</p> <p>Year 2</p> <p>Year 1 and</p>	<p>30,000</p> <p>200,000</p> <p>80,000</p>	<p>TPM, MoA & MoWSA</p>	
2	Loose preventive measures	<p>9. Make the payment system and food distribution centers accessible to all and avoid traveling long distance and staying overnight out of home to collect transfer.</p> <p>10. Develop awareness of PSNP stakeholders on the issue of GBV/SEA/SH</p> <p>11. Ensuring people in conflict affected areas are having special conditions to get their entitlements (waving PW, lump sum payments, serving women and FHHs).</p> <p>12. Coordinate and network with platforms working on GBV/SEA such as the Humanitarian Protection clusters/GBV Subcluster (federal and region) so that their partners operating in PSNP woredas take into account enhanced protection issues linked to payments and food distributions and provide service referrals for survivors of GBV/SEAH</p>	<p>MoA, MoWSA (Inc. R, W & K) and TPI</p> <p>MoA, MoWSA (Inc. R, W & K) and TPI</p> <p>MoA, MoWSA, (Inc. R, W & K) and TPI</p> <p>MoA, MoWSA, (Inc. R, W & K) and TPI</p>	<p>Year 1 and 2</p> <p>Annually (year 1-5)</p> <p>Annually (year 1-5)</p> <p>Year 1 and ongoing</p>	<p>-</p> <p>28,000</p> <p>-</p> <p>-</p>	<p>TPM MoA & MoWSA</p> <p>TPM MoA & MoWSA</p> <p>TPM MoA & MoWSA</p> <p>TPM MoA & MoWSA</p>	
3	There is no GBV tracking in the	13. Revise program monitoring templates to include information on GBV incidents. The following information	MoA, MoWSA and TPI	Year 1 and 2	-	TPM, with follow up by	

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	program monitoring plan	<p>will be included in the annual GSD review and report</p> <ul style="list-style-type: none"> • # of GBV reported cases by type • Status of actions taken • # of cases referred to appropriate response services 				MoA & MoWSA	
4	There is no formal referral linkage to services set up and existing service providers have limited capacity	<p>14. Conduct mapping and update referral pathways of locally available stakeholders, services, mechanisms, and their capacity in relation to GBV prevention and response services.</p> <p>15. Establish formal linkages with GBV Subcluster, locally available service providers and the formal structure which coordinates anti-GBV national platform led by MoWSA and , in areas where the platform exists.</p> <p>16. Based on the GBV stakeholders' mapping and analysis, facilitate capacity development support to multi-sectoral GBV responders under the national Anti-GBV prevention and response platform.</p> <p>17. Monitor the functionality of the Program responses to GBV cases</p>	<p>MoA, MoWSA, (Inc. R, W & K) and TPI</p> <p>MoA, MoWSA, & MoH (Inc. R, W, K) and TPI</p> <p>MoA, MoWSA, & MoH and TPI</p> <p>MoA, MoWSA, & MoH (Inc. R, W, K) and TPI</p>	<p>Year 1 and 2</p> <p>Year 1 and ongoing</p> <p>Year 1, 2 and 3</p> <p>Ongoing</p>	<p>20,000</p> <p>-</p> <p>20,000</p> <p>10,000</p>	<p>TPM,MoA MoWSA, & MoH</p> <p>TPI, with follow up by MoA, MoWSA, & MoH</p> <p>TPM MoA, MoWSA, & MoH</p> <p>TPMMoA, MoWSA, & MoH</p>	Budgeted as part of activity # 1 (8)
5	There are no clear and trusted complaints reporting mechanism for GBV including SEAH at program and community level	<p>18. Review existing GRM for GBV/SEA/SH response and integrate GBV/SEA/SH entry point.</p> <p>19. Enhance the role and capacity of KACs to apply GBV sensitive measures and ensure the needs of GBV survivors are taken into consideration</p> <p>20. Identify, clearly state roles and train GBV focal points within the GRM.</p>	<p>MoA and TPI</p> <p>MoA & MoWSA (Inc. R, W, K) and TPI</p> <p>MoA & MoWSA, TPI</p>	<p>Year 1</p> <p>Annually</p> <p>Year and 3</p>	<p>-</p> <p>200,000</p> <p>-</p>	<p>TPMMoA</p> <p>TPM MoA</p> <p>TPMMoA</p>	

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		21. Develop and require frontline project staff sign Code of Conduct that address SEAH.	MoA, MoWSA, & MoH, and TPI	Year 1 and 2	-	TPMMoA	
		22. Develop the capacity of the KACs in general and particularly on their GBV related role	MoA, MoWSA and MoLSA, and TPI	Year 2 and 3	300,000	TPMMoA	
		23. Provide training to religious and community gatekeepers on GBV (as part of SBCC and GSD trainings)	MoA & MoWSA (incl. R, W, K) and TPI		30,000	TPM, MoA	
		24. Carry out awareness sessions to PSNP beneficiaries on the roles and responsibility of the KACs	MoA & MoWSA (incl. R, W, K), TPI	Monthly basis (as part of monthly SBCC session)	30,000	TPM, MoA and MoWSA	
		25. Review logs for GBV/SEAH documentation to ensure it follows standards for documenting GBV/SEAH cases		Annually	-	TPM, MoA	
		26. Ensure GBV issues are covered by PDM and other monitoring and evaluation mechanisms of the program in conflict affected areas.		Ongoing	-	TPM, MoA	

Institutional capacity to prevent and Respond to GBV risks

The MoA will maintain the existing one Senior Gender and Social Development (GSD) specialist as coordinator, one GSD expert at NRMD, one (GBV focal person at FSCD, one social risk specialist/focal person at NRMD and one (GRM specialist and SEP focal person at FSCD). Similarly, the existing three Environmental Risk specialists will be maintained. The MoWSA shall also maintain two social development specialists. The MoA will contract out the service delivery in the conflict areas which are not accessible to international humanitarian agencies/implementing partners. The MoA will evaluate the E&S management capacity of any potential implementing partner (according to the ESMF) and require and ensure that implementing partner mainly the TPI (i) similarly assign E & S specialists including gender and GBV specialists to support the E & S as well as the GBV action plan implementation of the Project and undergo training as needed; and (ii) commit to implement their activities in accordance with all requirements

Effective implementation of the environmental, social and gender issues including GBV/SEH requires technical capacity in the human resource and logistics. Implementers need to understand inherent environmental, social and GBV/SEA/SH issues and values and be able to clearly identify their roles and responsibilities during project implementation. More importantly, it is necessary that a sound understanding, and dependable level of capacity exists in the institutions that would enable good implementation.

The MoA and other PSNP implementing agencies have gained some experience and capacity during implementation of the existing and previous PSNP Projects implemented in different times. In relation to this, at federal level there are a Social risk management experts and a Gender and **GBV expert** who have been working for the project.

ESRM and gender including GBV/SEA/SE trainings have been provided to relevant staff and the community at large during implementation of the parent project. In a similar way, during implementation of the parent project, due attention was provided to women and girls and prevent them from GBV/SEA/SE. The project has been striving to maintain and construct community subprojects near villages, convenient for vulnerable groups, mainly schools, animal health posts and Farmer Training Center (FTCs). The existing E&S risk management and gender and GBV implementation arrangement will be maintained.

From this perspective, the following observations were made regarding the existing capacities in the institutions during the consultations carried out with the stakeholders, host and refugee communities in the participating regions:

1. The implementation of SEASNP by the national project implementing agencies has created a certain level of institutional capacity and familiarity in implementing the E&S and gender and GBV procedures. At the national level the degree of awareness and institutional capacity is comparatively high owing to the presence of PCUs staffed with social and gender and GBV experts. Phase II can build upon the existing experiences of the national project implementing institutions
2. The implementing agencies found in different level needs an intensive sensitization training and some sort of awareness creation on the GBV/SEA/SH Action Plan.
3. The kebele administrations and its front line service providers such as the Development Agents (DAs) are rarely trained on gender and GBV/SEA/SH aspects. The woreda and kebele

staff will therefore need further training to strengthen their capacity to ensure adequate gender and GBV monitoring. Thus, there is a need to carry out capacity building at these levels to facilitate better implementation.

4. Although there are structures at woreda level, they still have a capacity gap in terms of skilled manpower to carry out GBV/SEA/SH related activities of investment projects implemented in the woreda. So, the respective level of Women, Children and Youth Affairs (currently changed in to Social and Women Affairs office) needs capacity development training on project investments. As a result, the training and skill development awareness as well as provision of inspection equipment should be done

5. There is going to be a need to fill the capacity gaps identified in the above stated areas for all the institutions involved in the GBV/SEA/SH Action Plan implementation. Capacity building and training will be required to:

- ❖ Enhance the capacity of all implementing entities at respective levels to be able to implement and monitor the execution of GBV/SEA/SH instruments; and

- ❖ To enhance capacity of community levels public administrative structures and CBO and implementing community committees to monitor issues related to same.

GBV/SAE/SE trainings have been provided to relevant staffs and the community at large during implementation of the previous PSNP. For example, trainings on gender issues, GBV, HIV and nutrition were provided for implementers and community members with the collaboration of Regional and woreda women, children, youth, affairs, and ministry of Agriculture directorate of women, children and youth Affairs. This has also an association with the prevention and response provision including service providers for survivors. Currently, provided that regional difference the service providers including referrals systems for GBV/SEAH cases has increased time to time and the awareness for the service is promising

Although, there are structures at woreda level, still have a capacity gap in terms of skilled manpower to carry out gender particularly GBV/SEA/SH related activities of investment projects being implemented in the woreda. So, the respective level of Women, Children and Youth Affairs (currently changed in to Social and Women Affairs office) and other service providers including Police, health institutions, psycho support providers and others need capacity development trainings on project financing investments. As a result, the training and skill development awareness creations as well as provision of inspection equipment's should be conducted as per their schedule so as to fill the gap in manpower, training, logistics, and in monitoring and logistics.

Therefore, there is going to be a need to fill in the capacity gaps identified to exist in the above stated areas for all the institutions involved in the GBV/SEA/SH action plan implementation. Capacity building and training will be required to:

- ❖ Enhance the capacity of all implementing entities at respective levels to be able to implement and monitor the execution of GBV/SEA/SH instruments; GBV Service mapping, exploring on the existing referral pathways, GBV service provision

- ❖ To enhance capacity of community levels public administrative structures and CBO and implementing community committees to monitor issues related to same.

Grievance Redress Mechanism for Addressing GBV/SEA/SH and Referral Systems

Locally accessible project-level GRM structures exist and are functioning well. There were various grievances related to project operations that are recorded, reviewed, resolved and reported. GRM guideline has been prepared to strengthen the effectiveness of the these activities.

Grievances related to beneficiary targeting and GBV and SEA/SH will be covered by the project GRM but for workers grievances, a separate GRM will be used, as detailed in the LMP prepared for this project. The project will ensure that grievances related to GBV/SEA/SH are recognized and referred to respective service providers through project GRM process based on a survivor-centered approach. Such grievances shall be handled better by the Woreda Women and Social Affairs Office or female GBV focal points to be selected and trained to provide basic referrals. The following are the working procedures of the woreda Women and Children Affairs to manage GBV/SEA/SH in project area.

- The respective Woreda Women and Social Affairs Office will receive capacity building/training on key principles of GBV/SEA/SH case management including confidentiality, non-judgmental, best interest of the survivor, services and referrals.
- Establish a proper channel to receive reports or project-related risks of sexual harassment and GBV, i.e., the risk factors that exacerbate or expose people to GBV.
- Conduct awareness raising campaign regarding the risks of GBV to both men and women in the project area; and key principles of GBV/SEA/SH case management including confidentiality, non-judgmental, best interest of the survivor, services and referrals.
- The program GBV focal person at the Kebele level will receive and log the allegation in the survivor's own words in a way that guarantees confidentiality.
- The focal person will provide the survivor with all information regarding the referral services available and details on how to access them.
- Based on the consent of the survivor, the GVB focal person will share the information to women affairs and social workers that will act as case manager to the woreda Women and social office.
- If the survivor's damage is a minor, the case MUST be reported to the Woreda Women and Social Office and the police
- The respective Woreda Women and Social Office representative in the Woreda GRC will be the focal point who can confidentially receive complaints or reports from the survivors through various forms of uptake channels including telephone call text message, email, face-to-face, and others.
- With the agreement of the survivor, the GBV/SEA case will be investigated and further information will be collected by the police based on the scope of risk involved.
- Record all the reported incidents based on the level of risks and follow-up or track the response process of the referred agency or court until the achievement of satisfactory resolution.

The project will strengthen/update the mechanism in the project target areas to enhance the capacity of the grievance redress mechanism (GRM) to resolve concerns in an effective and timely manner. Affected people will be fully notified about the GRM, including its functions, procedures, timelines and contact persons (Grievance Redress Committee) both verbally and through written materials (often using Kebele Center notice boards for posting) and information brochures during consultation meetings and other stakeholder engagement activities. Grievance will be notified in the community local languages. Thus, complaints will be actively managed and tracked to ensure that appropriate resolutions and actions are taken.

SEASNP-AF2 GRM Coordination setup

- Step 1: Affected parties present their Grievance to the GBV focal person of KAC at kebele level using the survivor's own words.

Step 2: The GBV focal person will inform the survivor what to expect and the available social services at each level, how to access them and the possibility of escalating it to the higher level.

Step 3: Given the consent of the survivor, the GBV focal person will share the information to the Woreda Women Affairs and the police.

Step 4: The MoA with its line agencies will follow up the case and report to the WB

Applicants can also present their grievances directly to respective level legal courts without following the above procedures.

Monitoring, Follow up and Reporting

To ensure the effectiveness of the project in preventing, mitigating and responding to GBV/SEA/SH, monitoring and evaluation will be undertaken. The Federal Project Coordination Unit (FPCU) will undertake monitoring and evaluation in collaboration with MOA women directorate on a quarterly basis. It will compile all reports from the regional project coordination unit and the regional WASOs, who will report on a monthly basis, as well as from the woreda level the woreda project coordination, WSAOs, and woreda grievance redress committee/WGRC, who also report on a monthly basis. All reports, including details on GRM cases will be compiled into a quarterly progress report to the World Bank. The GRM reporting will contain GBV/SEA/SH cases, but will maintain strict confidentiality and not transmit any names or other revealing details. Reporting on gender mainstreaming and GBV/SEA/SH will be based on the output indicators provided in Table 1 above, as well as information on numbers and trends of recorded GRM cases, including GBV/SEA/SH cases.

An independent firm will be contracted to undertake third party monitoring in HROCs: They will be contracted to: assess the extent to which transfers are reaching intended clients, review the functionality of systems and structures, provide information to feed into evidence-based decision-making in the event of challenges, and the functionality of systems through which incidents are being reported and addressed. The TPI will ensure that all parties involved in the implementation of the GBV/SEA/SH action plan carry out their roles and meet their obligations to address the GBV/SEA/SH

5. Complaint Handling Mechanism for GBV-related Cases

PSNP will allow for SEA/SH allegations to be received through both Kebele Appeal Committee (KAC) PSNP5 complaint handling committee and directly through other intermediaries (e.g., Kebele Manager, Women's Affair Focal Person, Health Center). The KAC include elected Kebele council member, Development Agent(DA),two members of community care collation (CCC) if existing in the kebele 1 female, Health Extension worker or volunteer community Health Worker (Female),One social Worker(if represented in the Kebele and if available female)two elder representatives(1 female).In case of the KAC ,focal person will be assigned to handle GBV/SEA related cases. These would give the grievant/survivor opportunity to choose where to report SEA/SH incidents. The intermediary will then respond to the allegations. The intermediary as a complaint intake channel should be an existing structure with which women are familiar with and feel comfortable to visit.

Woreda Labour and Social Affairs(WoLSAs) in consultation and collaboration with relevant bodies will be responsible to map and identify the intermediary at Woreda and Kebele level that can offer safe, confidential and enabling space for recording and addressing SEA/SH allegations, establish a referral linkage with clear roles and responsibilities and reporting protocol. WoLSA will also identify key referral service providers:

- Health and medical support services that provide testing and preventive care for sexually transmitted infections and HIV/AIDS, contraceptive counseling, prenatal care, psychological and mental health services
- Safety and security services such as police and others that provide temporary safe shelters
- Legal and justice-related service that provide legal counseling and legal representation when the survivor wishes to pursuit accountability measures against the perpetrator.
- Economic empowerment and livelihood support

Steps in PSNP SEA/SH GM

Awareness Raising

- Through relevant communication, the program will work in awareness-raising activities about gender-based violence and the availability and provision of a functioning referral services identified to respond to SEA/SH.

Uptake

- The selected entry points will log the allegation in the survivor's own words in a separate logbook that will be kept safe at the Kebele Council that guarantees the confidentiality of data.
- If grievance reported to KAC, DA or assigned focal person must only record:
 - Nature of the allegation with the survivor's own words without direct questioning
 - age and sex of the survivor
 - if the perpetrator is associated with the project
- Entry point will provide the survivor with all information regarding what to expect from the process, the referral services available and details on how to access them and how information is shared.

- Entry point using survivor-centered approach⁶⁶ explains what is documented, and the survivor provides consent by signing to confirm that it is correct.
- Based on the consent given by the survivor, entry point will refer the case to the SEA/SH service provider within 24 hours
- Develop an information-sharing protocol with multi-sectoral GBV service providers so that survivor-related information is carefully managed, and confidentiality is protected.

Confidential Referral Procedures

- Non-identifiable information of the survivor - the focal person shall use pseudo names/code if necessary, in storing data regarding survivors, or no identifiable information (like name, address etc.).
- The focal person assigned should assist GBV survivors by referring them to GBV Service Providers (s) and/or responsible actors for support immediately after receiving a complaint directly from the survivor.
- The GBV Service Provider(s) will have its own case management process which will be used to gather the necessary detailed data to support complainants and facilitate resolution to the case referred by the committee but the committee shall enter into information sharing agreement on the case management and outcome.
- The KAC focal person/ intermediary shall put in place processes to immediately notify the woreda food security desk, labor and Social Affairs and agricultural office of GBV/SEA complaints without disclosing personal information. The woreda in turn shares to regional agricultural office and regional shares to federal FSCD and Women Affairs Directorate (WAD).

Based on survivor's consent, the KAC (DA), Health extension workers, Kebele Women Children Affairs, should communicate the allegation, within 2 weeks of receipt of the compliant, to woreda level SEA/SH grievance investigation team.

Investigation

- Based on the consent of the survivor, the identified service provider will act as the representative of the survivor and with assigned investigation team that manage such grievances (Woreda Food Security Desk, Woreda Women and Children Affairs office, Woreda Council, and Woreda health Centers) launch an investigation, collect all supportive evidences from witnesses and through site visits.

Decision Making

- Given the allegation is linked to the PSNP, the program implementation unit and the investigation team should reach a decision and conduct disciplinary proceedings in accordance with the code of conduct.

⁶⁶ Clarifying relevant information while demonstrating emotional support to the survivor and alleviating feelings of shame and guilt by being nonjudgmental, empathetic, and compassionate

Monitoring and Evaluation (M&E)

- SEA/SH cases must be managed carefully and reported with minimal information that include the number of program related SEA/SH allegations received and/or referred by sex and age and the number of open and closed cases and the actions taken. This is to identify challenges of SEA/SH grievance mechanism and identify reported trends.

Notification of Decision

- When an investigation is concluded, the survivor must be informed first to assess his or her safety before the investigation's conclusions are communicated to the perpetrator
- Decision should be announced in a confidential manner. SEA/SH related decision will not be posted on public notice boards to protect the identity of the complaint.
- Given the grievant is not satisfied with the decision reached, the entry points should support referring the compliant to zonal level.

Annex 1: Complaint receiving form

(a) General data:

Complainant's sex _____

Age _____

Date and time _____

Place of incidence _____

Date and time of reporting _____

Contact address _____

(b) Brief description of the incident including physical and emotional state of the survivor _____

(c) Immediate action,

Care or support

required _____

Safety issues, if
any _____

Referral

(d) Consent on sharing of application _____

(e) Follow up

(f) Outcome _____

Annex 2: GBV/SEA Incident Reporting Format

	Incident Details	Describe Details	Remark
1	Case Category		SEA
			GBV
2	Nature of the incident reported		Basic facts of the incident. What was reported by the complainant (in his or her own words). Is the incident related to the project?
3	Source of information		How was it initially reported, entry point and by whom, survivor, victim's advocate, third party reporting
4	Where did the incident occur		Woreda
			Region
5	When did the incident occur		Date
6	Additional information (if available)		Sex, Age

Annex 3: Summary of PSNP 4: Gender, Social Development and Nutrition PIM Provisions

Targeting	<ul style="list-style-type: none"> Special consideration of female-headed households (i.e. all things being equal women headed-household is prioritized for inclusion). Special consideration of households which were covered by the woreda contingency budget the previous year because they had malnourished children In polygamous households, second and subsequent wives are considered as separate female headed household During annual retargeting any household members eligible for temporary direct support will be noted and referred to the relevant social services The new client Card includes information, picture and name of both spouses and adherence to the Public Work community BCC Even though transfers will only be provided for up to five household members, all household members should be documented and listed as clients of the program during the targeting process, which will allow for an inclusion of all members in the “linkages to social services” component
Annual Planning	<ul style="list-style-type: none"> Women and HEW should be represented and actively participate in annual watershed development planning (Community Watershed Task Force-50% women representation) to ensure women’s need as well as behaviour change communication sessions for public work clients and the linkages with social services for temporary direct support clients (see later) are properly integrated in the annual plan
Transfer	<ul style="list-style-type: none"> Payment sites are as close to clients as possible and should be within 3 hours walking distance Equal access to and control over use of transfer by husband and wife with jointly decision/ Implementation of actions which enhance women’s control over the use of cash or food transfers Use of contingency resource may be used to address transitory inclusion of non PSNP households in PSNP when they have a malnourished child under TSF/OTP treatment Permanent direct support clients receive a 12-month transfer
Transparency & Accountability	<ul style="list-style-type: none"> Woreda, kebele and community staff and Task Forces to make use of all opportunities to share relevant information (e.g. community meetings during targeting, PW planning meetings, community livelihood consultations, meetings to inform clients and communities, etc.) All Clients are issued a Client Card with name, photograph, details regarding entitlements and space to record receipt of transfers. Client lists posted in public locations in PSNP areas Charter of Rights and Responsibilities posted next to Client List but remains posted throughout the year (also included on Client Cards) PSNP Posters describing specific aspects of program implementation will be available and put up in offices at woreda and community level
Public Works	<ul style="list-style-type: none"> Women should work a reduced workload which allows them to arrive late and leave early (and adjusting their work commitment to 50% of the standard-women have 50% less working hours and loads than men) Plan and ensure Person Days (PDs) calculation during planning and implementation periods considers; <ul style="list-style-type: none"> Women’s 50% workload (early and late arrival) Transition of PLW to Temporary Direct Support Construction of temporary or permanent childcare centers at PW sites and provision of childcare services (Caring of the children in these childcare centers will also be considered as an eligible public work)

	<ul style="list-style-type: none"> ○ Participation of adult in BCC and financial literacy trainings ○ Labour support to labor poor FHH and other households • No participation of children (under 18) in PWs • Women need to be represented and participate in PWs planning team and process and 50% representation in the Kebele Watershed taskforce (KWSTF) • PLW: Pregnant woman should be transition to temporary direct support on confirmation from the health worker of her pregnancy or in the absence of this, from the 4th month of pregnancy); and continue to receive direct support until her child is 12 months old. • PW sites are located within one-hour's walking distance of Client's home • Primary caregivers of moderately or severely malnourished children (under five) under treatment need to transition to temporary direct support until the child is assessed as no longer requiring special treatment by the health care worker • Lighter works should be allocated to older people and women, especially women who are still breastfeeding and have children older than 12 months old (high-energy demands of breastfeeding) • PWs activities can be undertaken on private land belonging to female-headed households with severe labour shortages • PWs to give attention for nutrition sensitive PW activities in their plan and labour support: This includes for instance for the establishment of household gardens Promotion of nutrition sensitive PWs (including latrine construction; Health post construction School room construction; Development of homestead/kitchen gardens on the land of female-headed households with severe labour shortages (public works contribution can include land preparation, irrigation development, and production of nursery products, vegetable and legume seeds, and fruit tree seedlings) • PW sub-projects shall reduce women's regular time burden • PW team composition should be balanced with men and women; women-only teams for certain projects. The team leader or co-team leader should be a woman • Prioritize targets for women in PWs team leader/co-team Leader / forewoman positions to increase women's representation in PW leadership and supervisory roles on PW sites • Participation by adult male and female PW Clients in monthly community based health and nutrition and sanitation BCC sessions will be considered as a public work requirement (3 sessions equals one public work day; with a min of 6 sessions/year)) • PW clients can also participate in literacy/financial literacy and other forms of skills training activities which are counted toward their PW requirement while approval for their participation will be given on case by case basis
<p>Temporary Direct Support</p>	<ul style="list-style-type: none"> • The following vulnerable public work clients are transitioned from PWs to temporary direct support (TDS) because of: <ul style="list-style-type: none"> ○ sickness ○ Pregnant women will be transitioned to TDS on confirmation by a health worker that she has undergone a first ante-natal checkup (or in the absence of this referral, at four months of pregnancy). She will remain on direct support until the child is two-year-old ○ Transition of primary caregiver of a malnourished child under five years old (through a reference card from a health professional) • When a household member moves to temporary direct support, no other household member is expected to work to earn that transfer or to work any days beyond the existing labour cap of 15 days per able-bodied adult per month.
<p>Linkages to social service through co responsibilities or Soft-Conditionalities</p>	<ul style="list-style-type: none"> • Members in PW HH which are transitioned to temporary direct support will be expected to take up core elements of the health extension programme as a co-responsibility in return for being exempt from public works. <ul style="list-style-type: none"> ○ These HEP services include antenatal care, post-natal care, nutrition counseling, vaccination of children, attendance of growth monitoring and

Annex 14: Gender-Based Violence Assessment and Action Plan

	<p>promotion, regular health check-ups, and other services as guided by the HEW</p> <ul style="list-style-type: none"> • These co-responsibilities will be considered as soft-conditionalities, which means that - while households are informed of their co-responsibilities and basic monitoring is undertaken, no penalties are enforced (nothing is deducted from the transfer if they do not fulfil their co-responsibilities). These soft conditionalities will be phased in gradually as services are available. • Social workers, HEW, SW and DA will encourage HH to attend to these co-responsibilities
Livelihoods	<ul style="list-style-type: none"> • Livelihoods-related analyses to take into account the needs of women and youth • 50% of livelihoods clients are women (including female household heads as well as women in households with men) • Livelihoods support is provided at places and times that enable women to attend • Livelihoods transfers will target poor women and female-headed households • Promotion of nutrition sensitive livelihoods (e.g. milk marketing or processing of complementary foods for young children) are identified as a potential income generation activity, PSNP 4 may support their inclusion as off-farm enterprises eligible for program support. • Livelihoods will create an entry point for nutrition and health related behavioral change communication through the formation of Development Groups
Coordination and Institutional Arrangements	<ul style="list-style-type: none"> • Participation of women in committees and governance structures (50% quota for committee participation) • Ensure recruitment and placement of Social Development Officers at woreda level
Grievance Redress Mechanism	<ul style="list-style-type: none"> • Plan to address annually identified Grievances Redress Review (previously known as Roving Appeal Audit) findings and recommendations • Clients complaints are addressed timely (99% resolved within one month) • If Client not satisfied with KAC decision, complaint escalated to Kebele Council • Make required resources available to ensure complaints recorded and registered (i.e. use of standard formats to record complaints) • Ensure Kebele Appeals Committee membership is impartial and does not overlap with individuals involved in central roles in the implementation of the Program, particularly targeting (i.e. no member of the KAC should also be a member of the KFSTF or the CFSTF). • Women should be represented on KAC (50%) • KAC members should be elected by community representatives • Pre-schedule meetings times for KAC members • Timely reporting of summary of cases addressed to Kebele Council • Plan and budget for training on overall GRM, including KAC • Link KAC with the formal GRM structure at Kebele and woreda levels and ensure timely replacement of KAC members who drop-out
Social Accountability	<ul style="list-style-type: none"> • Ensure participation of PSNP implementers and Clients in ESAP3 • Regional Level: Participate in capacity building and awareness raising sessions on Social Accountability Regional PSNP Process Owners and Social Development Experts to participate in Social Accountability and Financial Transparency and Accountability (SA-FTA) Committee Participate in joint monitoring with ESAP3 Management Agency

	<p>and follow-up implementation of Joint Action Plans PSNP Social Development Expert to facilitate issues related to PSNP Social Accountability-Ethiopia Social Accountability Program Phase 3 (ESAP3) Cooperation</p> <ul style="list-style-type: none"> • Zonal Level: Agriculture Rural Development Office to Participate in relevant Woreda Interface Meetings Follow-up implementation of Joint Action Plan • Woreda Level and Kebele Levels: PSNP Social Development Officer to facilitate issues related to PSNP Social Accountability-Ethiopia Social Accountability Program Phase 3 (ESAP3) Cooperation PSNP implementers to participate in all aspects of Social Accountability Pilot process, including: (i) capacity building and awareness raising activities on Social Accountability; (ii) interface meetings; (iii) relevant Social Accountability Committee meetings; (iv) ensure implementation of Joint Action Plans. • Community Level: Community Food Security Task Force to participate in all aspects of Social Accountability process PSNP Service Users and Citizens to participate in Social Accountability Committee (elected as members on a rotating basis)
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Annex 15: Grievance Redress Mechanism

Section I. Review of the PSNP IV GRM

Grievance is concern or complaint raised by an individual or a group within communities affected by program/project operations. Grievance Redress Mechanism (GRM) is an effective tool of early identification, assessment and resolution of complaints, concerns, and environmental and social risks that may be associated with a project and sub-project activities throughout the designing, implementation and monitoring phases.

The PSNP, prior its 4th phase conducted a Roving Appeal Audit (RRA) to assess grievances in the program. GRM was incorporated in the PSNP IV and Kebele Appeals Committee (KAC) was mandated for hearing and addressing complaints regarding the delivery of support to program affected parties as a local structure⁶⁷. The costs associated with establishing and running the KAC is financed from the woreda administrative budget in all PSNP woredas.

The Kebele Council, Community Food Security Task Force (CFSTF) and Kebele Appeals Committee members will use every opportunity to inform PSNP clients and non-clients of the availability of the appeals mechanism, how it functions, and the timing of Kebele Appeals Committee meetings.

Project affected parties of community members may make a complaint about any aspect of programme implementation to the KAC. The KAC as the local body that hears complaints, is to be independent from the individuals and committees responsible for aspects of implementation. Thus, no member of the KAC should also be a member of the Kebele Food Security Task Force (KFSTF) or the Community Food Security Task Force (CFSTF).

Composition of KAC membership:

- One elected Kebele Council member (not the chairperson)
- One Development Agent (DA)
- One - two members of the community care coalition (if existing in the kebele) (1 female)
- One Health Extension Worker or Volunteer Community Health Workers (female)
- One Social worker (if represented in the kebele and if available female)
- Two elder representatives (1 female)

providing listing of appeals to kebele council.

The DA or the kebele council member, are responsible for the uptake of grievances, sorting, acknowledge and following up and

Other members of the committee are volunteers and come together quarterly to review appeals logged and provide resolution. During Decision making

Principles of GRM

Fairness; objectiveness and independence; simplicity and accessibility; responsiveness and efficiency; speed and proportionality; participation and social inclusion; and accountability and confidentiality

Alternative Mechanisms

KACs is linked to and complemented by the Government's emerging GRMs: the Ethiopian Institution of Ombudsman, the Regional and Woreda Grievance Hearing Offices and the ESAP.

⁶⁷ GRM is dealt with by the Appeals Committees at the Community, Kebele and Woreda levels in the PIM; however, currently, in actual practice only the community and Kebele levels appears to be functional.

sessions, there must be a minimum of four members i.e. 50% + one.

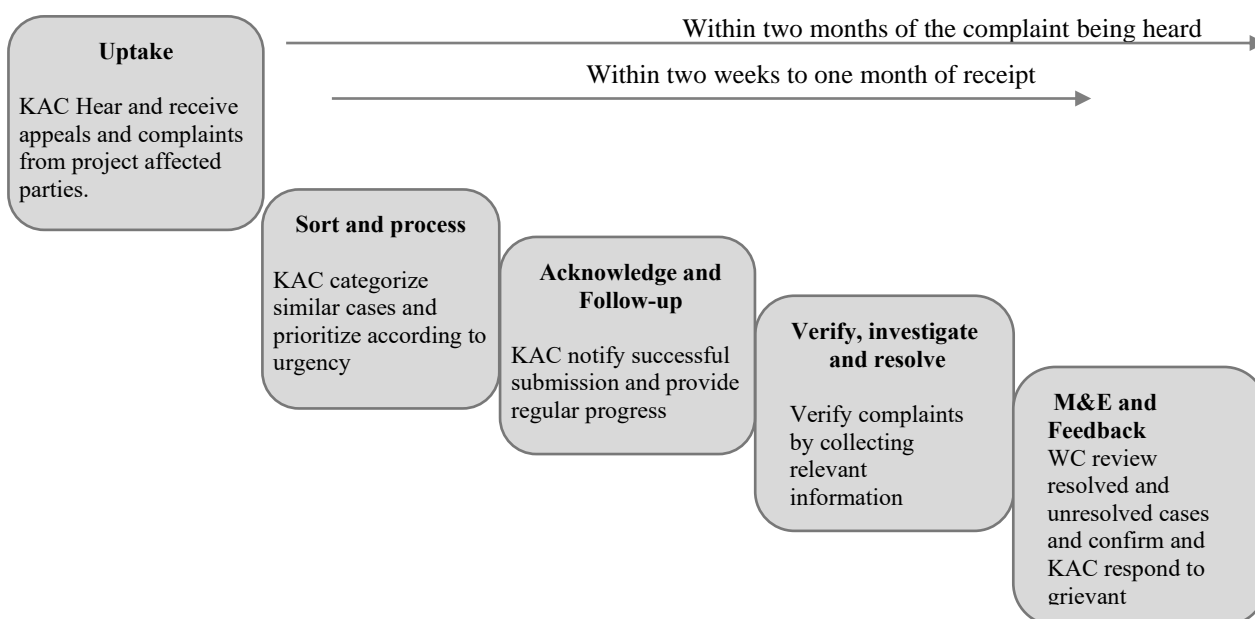
Table 1. Main Actors of PSNP GRM and Their Roles According to the PIM

Kebele Appeals Committees (KAC) <ul style="list-style-type: none"> • Receive, assess and resolve appeals and grievances to program affected parties related to the PSNP • Quarterly convene to give resolution for grievances and submit listing of appeals by gender of the appellant and resolved and unresolved appeals to the kebele council following each meeting • Required to resolve 95% of the grievances in their kebele within one month of new annual beneficiary listing 	Kebele Council <ul style="list-style-type: none"> • Assists in establishing and ensuring effective operation of KAC • Reviews unresolved appeals from KAC and forwards them to the woreda council every quarter • Forward the list of grievances, their resolutions and any unresolved cases to the woreda council for their resolution
Woreda Food Security Desk <ul style="list-style-type: none"> • Provides guidance for the formation of the Kebele Appeals Committee • Supports awareness-creation activities 	Woreda Council <ul style="list-style-type: none"> • Assists in resolving escalated and unresolved appeals and share outcomes with WFSTF • Ensures that up-to-date listings of clients and listing of appeals and appeal resolutions are posted in public locations at woreda, kebele and community levels. • Approve the use of woreda contingency budget

KAC is responsible to receive and respond to grievances in its jurisdiction. Given the KAC upholds a certain appeal, Kebele Council (KC) communicates the decision to Woreda Council (WC) in the quarterly appeal cases. If the WC also upholds, the decision is passed to the Woreda Food Security desk to be implemented. The WC also resolves appeals that KAC was unable to solve.

KAC → KC → WC → Woreda Food Security Desk

Steps of the GRM and Standards



The value chain above illustrates a five-step process that is performed in PSNP GRM to effectively handle grievance resolutions. KAC as the primary structure receives complaints from project affected parties on any aspect of the program implementation and acknowledge receipt, categorize the cases for processing and investigate to give resolution. Once the resolution is reviewed and confirmed by the WC, it is responded to the grievant.

Section II. Review of PSNP GRM and KAC Performances in PSNP IV

This section focuses on the practice of KAC by presenting the standard set on the PSNP GRM manual and Program Implementation Manual (PIM) with the actual performance of KAC.

Table 2. Review of GRM Standards and KAC Performances in PSNP IV

Standard	Performance
Uptake <ul style="list-style-type: none"> KAC meet quarterly to hear all individual complaints and appeals. One of these meetings will be convened within one month of a new annual listing of PSNP participants being produced to hear appeals related to the client selection process. Grievances (95%) are expected to be resolved within one month of the complaint being heard. 	<ul style="list-style-type: none"> 44% do not have regular schedule and 34% meet monthly while the rest meet weekly, quarterly and on need bases. KAC resolve more than 95% of the grievances submitted within the month heard No uniform mode of appeal uptake and more than 55% is done orally. The use of standard template to log appeals is very low
Sorting and Processing <ul style="list-style-type: none"> Using standardized internal processes, categorizing similar cases and prioritizing according to urgency 	<ul style="list-style-type: none"> More than 70% do not have internal guidance (GRM Manual) to guide the process of
Acknowledgment and follow up <ul style="list-style-type: none"> Use clearly defined timetables for 	<ul style="list-style-type: none"> Weak use of pre-determined timetable for

Standard	Performance
acknowledgment and outline the grievance process. <ul style="list-style-type: none"> Periodic updates on the status of grievances 	acknowledgement and follow up. More than 90% of KACs notify the receipt and progress of appeals, however, orally. <ul style="list-style-type: none"> Progress update is not done proactively but upon request from the complainant.
Verification and investigation and resolution <ul style="list-style-type: none"> Collecting additional information and investigating through field visit, consultation with community elders and residents and cross- checking documents (PIM, PSNP GRM Manual) 	<ul style="list-style-type: none"> Close to 60% conduct investigation to verify grievances and refer documents as needed, however, very few documents the process.
Feedback and Monitoring and Evaluation <ul style="list-style-type: none"> Provide a listing of the grievances (resolved and unresolved) to the Kebele Council and Woreda Council quarterly for validation Inform grievant about the resolution of their appeal and their right to escalate the appeal if they are not satisfied with the decision. 	<ul style="list-style-type: none"> Over 80% KAC report to the KCs on the listing of appeals, however, with no regular schedule and 60% of Kebele Councils checked the validity of the reports Around 90% inform grievant the resolution and the right to escalate the appeal orally and through public postings within one to two weeks of resolution

While the availability of KACs in every PSNP kebele makes the PSNP GRM highly accessible for stakeholders to raise concerns and grievances, irregular meetings held to collect appeals, lack of clear and easily accessible guideline (GRM Manual), the failure to use standard templates, the limited practice of documentation in almost all steps of the process makes the monitoring of the GRM process hardly possible. Though trends and recurring grievances are identified, no remedial action seems to have been issued to prevent or limit future recurrences. In addition, the reviews show that significant number of decisions on grievances were not acted upon. All these gaps indicate the poor supervision and monitoring from Kebele and Woreda councils as well as the regional and federal levels.

Recent field visit by PIM revision team show that Woreda Council and kebele Council (the local M&E bodies for GRM) play insignificant role (sometimes non-existent) in the GRM processes and Kebele Food Security Task Force (KFSTF) and Woreda Food Security Task Force (WFSTF) that are implementers of the PSNP program facilitate the GRM process.

Complaints about the client selection process (both targeting and graduation) make up the majority of appeals KAC handles in PSNP IV. Concerns about the management of public works, timeliness and completeness of transfers, prioritization of households for livelihoods interventions were also recorded.

Section III

GRM Improvements

The PSNP IV GRM review rated the performance of KAC as above average. However, since KACs are established to make the PSNP IV program achieve its objectives by addressing grievances, above average achievement does not suffice for the efficacy of the program. Thus, the programme should attempt to build on the existing system while addressing the weaknesses. Below are some short term and medium-long term gaps and issues to be

improved to enhance the overall effectiveness of the PSNP GRM. The system should be reviewed and updated around the recommendations here.

Table 3. PSNP GRM Challenges and Improvements for PSNP5

Challenges	Improvements
Short-term Improvements	
Lack of standing Secretariat for KAC for complaint collection In the majority kebeles, the DAs of the KAC assume the heavy lifting of the grievance processes. As a standing member of the committee in the Kebele, they are responsible for uptake, sorting, acknowledgement/ follow up, and submitting listing of grievances to WC quarterly. In addition, DAs are also involved in other components of the programme and managing the workload comes with the cost of underperformance.	Assigning a specific time and date during a week for uptake of grievances could improve the situation Having a standing member in the committee (Youth Assistants) that can serve as a secretariat and benefit from the program would support the efficient and effective functionality of the KAC especially in the area of uptake and record maintenance of grievance process at all stages. Availing required office supplies and provide capacity development for KAC members
Irregular meetings KAC members besides the DA and the Kebele Council member are all volunteers and thus convening quarterly as put on the PIM has not been practical	Considering participation of KAC members in the meetings as Public Work? incentives to increase motivation and commitment of GRM implementers (KAC),
Lack of clearly defined decision-making responsibilities of different bodies involved in administering the grievance mechanism. KAC is responsible to review grievances raised, examine evidences and make recommendations on how the cases should be resolved. This is communicated to the Woreda Council via the Kebele Council so the resolution can be validated and implemented. However, latest field study shows that the role of the Kebele council and the Woreda council has not been significant (sometimes non-existent). In most woredas the grievances are addressed by the KFSTF and WFSTF that are programme implementing bodies. This causes lack of independence from the issue that a complainant is wishing to raise a grievance about.	Strengthening the link to locally available government's grievance redress systems available (Ethiopian Institution of Ombudsman, the Regional and Woreda Grievance Hearing Offices, the ESAP) would serve in the absence of functional KC and WC.
Lack of detailed process and step in the PIM	The PIM should include clear direction of responsible bodies for resolving grievances (not just appeals), escalated cases; resolved cases that the grievant is not satisfied with and grievances that KAC left unresolved as it is above their capacity to handle needs to be included in the PIM. PIM only shows how appeals are handled.
Poor utilization of standardized procedure (GRM Manual, Forms)	Enforce and monitor the use of PSNP GRM manual across regions. PSNP GRM manual should be updated, brief, define detailed processes and timeframe, specify responsibilities of different parties. The manual also needs to be translated into local languages. Intake forms such as acknowledgement slip/receipt, grievance receiving and listing should be standardized, translated to local languages Training on PSNP GRM and the processes should be given to the KAC, KC and WC
Stakeholder engagement Much of the recurrent grievances and the repetitive challenges that come out of the reviews signify the misunderstanding about the program both from clients	The programme needs to ensure aggressive and continuous engagement and appropriate project information disclosure. There should be clear and strong communication

Annex 15: Grievance Redress Mechanism

Challenges	Improvements
and frontline implementers.	strategy for the GRM process. And consideration within this should be given for those with difficulty in accessing written forms of communication (i.e. persons with disabilities, hard of sight and hearing....)
Lack of structured accountability RPSNP has committed to conduct annual reviews as an M&E tool to assess the performance of the KAC and the effectiveness and functionality of the PSNP GRM. However, the persistent gaps indicate that the recommendations and best practices from the reviews have not been integrated and acted up in the programme. This is due to the lack of structured accountability mechanism for GRM.	Revise the annual plan and reporting formats to capture the GRM process in the feedback loop of the programme. Having a dedicated focal person for PSNP GRM at every level (woreda, region and federal) and strengthening the link with support from project staff that oversees the KAC function would increase its effectiveness of KAC. PSNP is a large program already in terms of human resources. Given that GRM touches upon a number of existing 'domains' in the program, perhaps a GRM Working Group of existing staff required to compile and review the main findings of the quarterly reports and make recommendations to their team. PIM should indicate the GRM chain above the woreda level to Regional and Federal level. FSCD will take lead of the GRM Working Group at all levels and MoLSA will be core member of the working groups
Absence of budget earmarked to GRM	Budget earmarked for GRM improvement in the program in the areas of training and capacity building, provide required office facilities for KAC
Link with mainstream GRM	Having multiple outlets through which stakeholders can lodge grievances by strengthening the link and putting in place clear lines of referral system and communication with the available government's formal GRM structure and Grievance Hearing Offices. Elements of the rural safety net are incorporated in the mainstream GRM with in the RPSNP All grievances should be linked with the mainstream GRM however, complaints related to major issues like right issues, corruption, nepotism, GBV should be directed to the regular GRM mechanism for further follow up, technical aspects and to link with legal procedures.
KAC membership of women and people with disability	Ensure a trusted woman from the community or from the woman's affairs to encourage women grievant on GBV Ensure the representation of people with disability
Making the GRM MIS based	The MIS development accompany improvement of processes and standardization of forms, greater categorization of complaints and their resolution processes. The MIS can be especially helpful in tracking individual complaints through the resolution process, and in monitoring GRM performance at the Regional and National levels.

Challenges	Improvements
Long-term Improvements	
Integrating PSNP and Ethiopia Social Accountability Program (ESAP)	The reviews indicated that KAC located in Social Accountability woredas perform better as social accountability complement the GRM process. Thus, expanding the use of social accountability tools to the PSNP and fully integrating the PSNP into the ESAP would improve the functionality of the PSNP GRM.

PSNP5 GRM Improvement

In PSNP5, the first phase of the PSNP MIS that will be rolled out in June 2020 will include the function of registering appeals and resolutions on MIS at the Woreda level after complaints have been resolved. This means that the GRM processes will continue to take place outside the MIS thus improvement should be in phases. On the first phase, improvement must consider both paperwork and MIS and should involve

- (a) Categorizing complaints
- (b) Standardizing processes
- (c) Standardizing templates

(a) Categorizing Complaints

The table below categorizes complaints into complaint types, resolution mechanisms and the chain of grievance redress for each.

Grievance Type

- Appeals: disagreement with decisions passed by programme implementers
- Implementation concerns: dissatisfaction with the quality of implementation
- Program design: procedures and parameters set by the National level or the Region that requires changes to the program
- Transparency and right based: cases that filing and investigating must ensure greater delicacy and anonymity.

Resolution Mechanism

- Category 1: Complaints that requires looking at MIS data pertaining to a household/individual for resolution. This category requires exhaustive list of complaints and highly standardized resolutions.
- Category 2: Complaints that affect more than one person/household and doesn't require standardized resolutions.

Table 4. Grievance Categorization According to Grievance Types, Resolution Mechanisms and Chain of Handling

Household/Beneficiary level Complaint	Complaint Types	Resolution Mechanism	Recommended Resolution	Review and Endorse Resolution	Implement
Program exit and entry Exclusion from the PSNP programme	Appeal	Category 1	KAC	KC/WC	WFSD/FSTF
Inclusion of non-poor community members	Appeal	Category 1	KAC	KC/WC	WFSD/FSTF
Unjustified exit /graduation	Appeal	Category 1	KAC	KC/WC	WFSD/FSTF
Payments					
Missed payment/transfer	Appeal	Category 1	KAC	KC/WC	WFSD
Delay in payment/transfers	Implementation	Category 2	KAC	KC/WC	WFSD
Incomplete payment/transfers		Category 1	KAC	KC/WC	WFSD/FSTF
Deduction of payment/transfers by implementers	Appeal	Category 1	KAC	KC/WC	WFSD/FSTF
	Transparency				
Public Work Neglect to standardized work norm (Schedule, location, leave)	Implementation	Category 2	KAC	KC/WC	WNRMD
PW workload on women	Implementation	Category 2	KAC	KC/WC	WNRMD
Occupational hazards	Implementation	Category 2	KAC	WC	WNRMD
Dissatisfaction with the selection of youth in beneficiary households to work as community facilitators	Program Design	Category 2	KAC	KC/WC	WNRMD
Mis categorization of households as able bodied to participate in PW	Appeal	Category 1	KAC	KC/WC	WFSD/FSTF
Livelihoods Exclusion from livelihoods transfers	Appeal	Category 1	KAC	KC/WC	WFSD/FSTF
Provision of livelihoods trainings at inconvenient time/place for women	Implementation	Category 2	KAC	KC/WC	WFSD/FSTF/W Extension Desk
GBV Physical or verbal abuse in the context of PSNP implementation (work or payment site)	Transparency	Category 1	KAC	KC/WC	

Annex 15: Grievance Redress Mechanism

Household/Beneficiary level Complaint	Complaint Types	Resolution Mechanism	Recommended Resolution	Review and Endorse Resolution	Implement
Others Replacement/reissue of client card Nepotism/bias/unfair treatments/discrimination and unequal opportunities by implementers Inappropriate selection criteria of clients/mothers who participate in the ECD center as caretaker	Appeal Transparency Program Operations	Category 1 Category 1 Category 2	WC KAC KAC	WFSTF WC KAC	Regional FSTF W/K FSD/ FSTF WoLSA
Community Level Grievances					
Inadvertent risk Disturbance of environmentally sensitive areas, wildlife habitats and downstream ecosystem Earth moving that might disturb and destroy the cultural heritage Health risks from agro-chemicals and medical wastes of project related constructions	Program Design Program Design Program Design	Category 2 Category 2 Category 2	KC/WC KC/WC KC/WC	WPWTC WPWTC WPWTC	Federal FSCD Federal FSCD Federal FSCD
Mismatch between targeting system developed and social structure of the community Grievances related to inappropriate food (quality and type) being delivered Inconsistencies between PW and the lifestyle and livelihoods of the community	Program Operations Program Design Implementation	Category 2 Category 2 Category 2	WC WC WC	RFSTF/RFSB RFSTF/RFSB RFSTF/RFSB	Federal FSCD Federal FSCD FPWCU

(b) Standardizing Processes

While some features of the GRM will be included in the first phase of MIS rollout at the Woreda level, KAC will continue to undertake its task as before. PSNP IV GRM manual sets out standard for the process as; uptake of complaints, investigate and resolve and M&E and feedback. To further strengthen and standardize this process, the detail should be considered in each step

- Uptake: Kebele must assign date for receiving complaints and inform community

- DA receives complaints, gives on the spot responses for misinformation
- DA records complaint using standardized templates to log the complaints
- DA gives acknowledgement slips with unique identifier number (detachable/tear-off receipt on the GRM Form which bears a unique identifier also found on the form.
- DA categorizes complaints according to type
- Investigation: KAC members convene on the regular meeting date set a
 - 50% + one members of the KAC must be available to resolve complaints
 - Minutes of each meeting recorded
 - Each logged complaint heard by the KAC members and discussed and resolved
 - If investigation (field visit) is needed, DA and KAC members assign another date for investigation. This call for another meeting with KAC members to give resolution (or the DA and the KAC member that investigate can give decision?)
- Notification of resolution: KAC is required to notify the Kebele and Woreda councils as well as the grievant on the decision within four weeks of the grievances received.
 - Resolution is posted for the public at the Kebele and Woreda level (what about for transparency and right based complaints?)
 - Date assigned for DA to give explanation for grievant that seek further explanation on the resolution of the complaint and if grievant does not agree with the decision DA informs the right for escalating the complaint.
 - Given grievant request for escalation of the complaint, DA use a standardized template to refer the complaint to the kebele/woreda councils, attach a copy of the original complaint form and pass it to the Kebele/Woreda Council and provides grievant acknowledgment slip of the escalated complaint.
 - DA submits list of complaints to the Kebele/Woreda council
 - Resolved complaint with negative outcome and uncontested/accepted by the grievant is considered closed.
 - Resolved complaint with negative outcome and contested by the grievant are escalated to the Kebele/Woreda and would still require follow up by the KAC so final resolution could be provided to the grievant
 - Complaints that are beyond the KAC are escalated to the Kebele/Woreda Councils and require follow up by KAC to give resolution to grievant
 - Resolved complaints with positive outcome and need woreda approval (if it involves budget) would still require approval/validation from the woreda followed by implementation thus cases are still considered open and will only be closed until implementation.

(c) Standardizing Templates

Standardized templates should capture the details needed for when it is entered into the MIS.

- Uptake/registering template
- Acknowledgement slip
- Minute template
- Referral template/for escalated complaints
- Template for listing of complaints to be submitted to the kebele/woreda

Section IV

PSNP Grievance Redress Mechanism Manual (To be developed)

PSNP GRM Manual should outline operating procedures and structures, guidelines, flowcharts and performance standards detailing how the grievance redress process should unfold and how it will be monitored and reported within the PSNP GRM. It should be short and prescriptive to be used as reference.

1. Introduction

1.1 PSNP

In 2005, the Government of Ethiopia (GoE) launched the Productive Safety Net Program (PSNP). It provides predictable safety net support to 8 million chronically food insecure people in chronically food insecure rural areas in exchange for participation in public works (PW) or as direct support.

1.2 Grievance Redress Mechanism (GRM) and PSNP GRM

Grievance is concern or complaint raised by an individual or a group within communities affected by program/project operations. Grievance Redress Mechanism (GRM) is an effective tool of early identification, assessment and resolution of complaints, concerns, and environmental and social risks that may be associated with a project and sub-project activities throughout the designing, implementation and monitoring phases

As a safeguard requirement for the successful implementation of the PSNP and to establish program site specific GRM that ensures effective and efficient procedure for program affected parties to settle their complaints and grievances, GRM was integrated in the PSNP IV.

1.3 Objective of PSNP GRM manual

The PSNP GRM Manual is prepared to serve as a resource material to provide awareness for PSNP frontline implementers in general and KAC members in particular. It presents detailed grievance management procedures such as standardized references for processes, decision making, roles and responsibilities of the grievance system across the program implementation locations. The GRM shall integrate the principles of environment and social management; Proportionality, Accessibility and Simplicity, Flexibility, Consistency and Fairness, Shared Responsibility, Transparency and accountability, Cultural Appropriateness, Social Inclusion in the day to day working practices.

1.4 Scope of PSNP GRM

The scope of the PSNP GRM shall be applicable to all complaints arising from the project and subproject activities and implementations from program clients and non-clients. It shall also be extended to receive, file, investigate and resolve and/or refer issues related to environmental and social impacts/risks caused by the project activities.

2. PSNP GRM Actors

2.1 Kebele Appeals Committee (KAC)

It is local level PSNP focused core GRM structure that is set up to hear and resolve appeals regarding the program in a timely and impartial manner from all project affected parties (program clients or non-clients). KAC is established in all project kebeles.

(a) Formation and Membership

The KAC as the local body that hears complaints, is to be independent from the individuals and committees responsible for aspects of implementation. Thus, no member of the KAC should also be a member of the kebele Food Security Task Force (KFSTF) or the Community Food Security Task Force (CFSTF).

KAC Membership is comprised of:

- 1 elected Kebele Council member (not the Chairperson)
- A Development Agent
- 1-2 members of the community care coalition (if existing in the kebele)
- A Health Extension Worker or Volunteer Community Health Worker
- Social worker (if represented in the kebele)
- 2 elder representatives (1 female)

(b) Roles and Responsibilities of KAC

- Receive and record the submitted complaints through any means of communication (oral, written).
- Investigate the submitted complaints, resolve the issues or refer to the next mandated body if it is beyond their capacity.
- Submit a complete listing of appeal cases by sex of appellant, appeals resolutions, and unresolved appeals to the Kebele Council each quarter
- Convene within one month of the establishment of a new annual listing of clients to hear appeals submitted in their jurisdiction and to resolve a minimum of 95 percent of these cases within one month

2.2 Kebele Council

- Assist in establishing and ensuring effective operation of the Kebele Appeals Committee
- Review unresolved appeals from the Kebele Appeals Committee and forward them to the Woreda Council and the WAO every quarter
- Forward list of grievances, their resolutions and any unresolved cases to the Woreda Council for their resolution.

2.3 Woreda Council

- Assist in resolving unresolved appeals submitted to them by the kebele council and share the outcomes of these appeals cases with the WFSTF.
- Work with kebele councils to ensure that up-to-date listings of clients are posted in public locations at woreda, kebele levels

- Work with Kebele Councils to ensure that up-to-date listing of appeals and appeals resolutions are posted in public locations at woreda, kebele and community levels.
- Approve the use of the woreda contingency budget (including for use to respond to successful targeting appeals)

2.4 WFSD

- Provide guidance to the formation of the Kebele Appeals Committees
- Support awareness creation activities.
- Monitor the functionality of KAC
- Collect and report the PSNP related GRM performance activities in the woreda

2.5 KFSTF

- Provide KACs with the necessary documentation and information they required for investigation of complaints
- Implement KACs decisions which approved at woreda level and communicated to the kebele for its implementation

2.6 WFSTF

- To strengthen KACs functionality plan capacity support development for KAC members
- Take immediate action on implementation of approved KAC decisions.

3. PSNP GRM Procedure

3.1 KAC Meeting

The Committee meets every 4 weeks under the auspices of the Kebele Council. One of these meetings will be convened within one month of a new annual listing of PSNP participants being produced to hear appeals related to the client selection process. During these meetings all individual complaints and appeals regarding PSNP matters will be heard, considered and as much as possible resolved.

3.2 Steps in PSNP GRM

3.2.1 Grievance Collection

The PIM states that grievance hearing process should not be as formal as the normal court system.

- Program affected party present complaint or concern to KAC.
- KAC member receive grievance either orally or in writing using a standard format (Annex uptake format) and give acknowledgement slip (Annex acknowledgement format)
 - Oral complaints are recorded on a standardized intake form; KAC member then explains what he or she has written, and the complainant provides a signature to confirm that it is correct.
- Sort the grievance documented according to type, category and urgency
- Give on the spot resolution if possible

3.2.2 Grievance Investigation

- Investigate the grievance using the documented appeal submitted as an input, collect all supportive evidences through site visit (as needed),
- Investigate the grievances, through collecting all supportive evidences as well as site visit, community consultation, and document review (PIM, manual, asset assessment document) as needed
- Record the investigation process (where? Another format like minute keeping format??)

3.2.3 Decision Making

- Members discuss on the findings of the investigation and reach to a resolution.
- Decision making sessions must include a minimum of 50% + 1 members

3.2.4 Monitoring and Evaluation

- Following each meeting, the KAC will submit a complete listing of grievance cases, grievance resolutions and unresolved grievances to the Woreda Council and Woreda Rural Development Office

3.2.5 Notification of Decisions

- Decision is announced by posting on public notice boards that are accessible by the wider community in the kebele this increase public awareness of their rights and responsibility in PSNP and raising public confidence on the service providers.
- Given the grievant is not satisfied with the decision reached, KAC is responsible to notify the grievant the right to escalate it to the Woreda (What is the referral system?)
- Sign off/Close out

4. Documentation

Record all grievances at all steps serves as a database for future reference and monitoring over the status of decisions made.

Proper documentation also helps the committee to further refer the case given the case is escalated by the grievant or if the grievance is beyond KAC's capacity to resolve.

5. Stakeholder Engagement

The Kebele Council, CFSTF and Kebele Appeals Committee members will use every opportunity to inform PSNP clients and non-clients of the availability of the appeals mechanism, how it functions, and the timing of Kebele Appeals Committee meetings.

6. Monitoring and Reporting of PSNP GR Related Activities Accomplishment

Household/Beneficiary level Complaint	Complaint Types	Resolution Mechanism	Recommended Resolution	Review and Endorse Resolution	Implement
Program exit and entry Exclusion from the PSNP programme	Appeal	Category 1	KAC	KC/WC	WFSD/FSTF
Inclusion of non-poor community members	Appeal	Category 1	KAC	KC/WC	WFSD/FSTF
Unjustified exit /graduation	Appeal	Category 1	KAC	KC/WC	WFSD/FSTF
Payments					
Missed payment/transfer	Appeal	Category 1	KAC	KC/WC	WFSD
Delay in payment/transfers	Implementation	Category 2	KAC	KC/WC	WFSD
Incomplete payment/transfers		Category 1	KAC	KC/WC	WFSD/FSTF
Deduction of payment/transfers by implementers	Appeal Transparency	Category 1	KAC	KC/WC	WFSD/FSTF
Public Work					
Neglect to standardized work norm (Schedule, location, leave)	Implementation	Category 2	KAC	KC/WC	WNRMD
PW workload on women	Implementation	Category 2	KAC	KC/WC	WNRMD
Occupational hazards	Implementation	Category 2	KAC	WC	WNRMD
Dissatisfaction with the selection of youth in beneficiary households to work as community facilitators	Program Design	Category 2	KAC	KC/WC	WNRMD
Mis categorization of households as able bodied to participate in PW	Appeal	Category 1	KAC	KC/WC	WFSD/FSTF
Livelihoods					
Exclusion from livelihoods transfers	Appeal	Category 1	KAC	KC/WC	WFSD/FSTF
Provision of livelihoods trainings at inconvenient time/place for women	Implementation	Category 2	KAC	KC/WC	WFSD/FSTF/W Extension Desk
GBV					
Physical or verbal abuse in the context of PSNP implementation (work or payment site)	Transparency	Category 1	KAC	KC/WC	

Annex 15: Grievance Redress Mechanism

Household/Beneficiary level Complaint	Complaint Types	Resolution Mechanism	Recommended Resolution	Review and Endorse Resolution	Implement
Others Replacement/reissue of client card Nepotism/bias/unfair treatments/discrimination and unequal opportunities by implementers Inappropriate selection criteria of clients/mothers who participate in the ECD center as caretaker	Appeal Transparency Program Operations	Category 1 Category 1 Category 2	WC KAC KAC	WFSTF WC KAC	Regional FSTF W/K FSD/ FSTF WoLSA
Community Level Grievances					
Inadvertent risk Disturbance of environmentally sensitive areas, wildlife habitats and downstream ecosystem Earth moving that might disturb and destroy the cultural heritage Health risks from agro-chemicals and medical wastes of project related constructions	Program Design Program Design Program Design	Category 2 Category 2 Category 2	KC/WC KC/WC KC/WC	WPWTC WPWTC WPWTC	Federal FSCD Federal FSCD Federal FSCD
Mismatch between targeting system developed and social structure of the community Grievances related to inappropriate food (quality and type) being delivered Inconsistencies between PW and the lifestyle and livelihoods of the community	Program Operations Program Design Implementation	Category 2 Category 2 Category 2	WC WC WC	RFSTF/RFSB RFSTF/RFSB RFSTF/RFSB	Federal FSCD Federal FSCD FPWCU

7. Annex

7.1 Uptake format

7.2 Acknowledgment format

7.3 Meeting Minute format

7.4 Format for listing of Grievances to be submitted to KC/WC

7.5 Format for notification of decision to be posted in public

7.6 Referral format for escalated complaints

7.1 Uptake format



Productive Safety Net Programme (PSNP) Complaints and Updates Form Food Security Coordination Directorate (FSCD)

SECTION A: Household Information (Mandatory For Updates and Household-Specific Complaints Only)			
• PSNP Client Card ID	• First Name:	• Father's Name:	
• Grandfather's Name:	• Kebele:	• Community:	

SECTION B: Household-Specific Complaints

• <input type="checkbox"/> Appeal	• Targeting Recertification <input type="checkbox"/>	• For use by KAC: <input type="checkbox"/> Successful <input type="checkbox"/> Rejected <input type="checkbox"/> Escalate
	Livelihoods Transfer <input type="checkbox"/> PW Work Capacity <input type="checkbox"/>	
• <input type="checkbox"/> Payment	• Missed Payment <input type="checkbox"/> Wrong Amount <input type="checkbox"/>	17. Comments (from DA or KAC):
• <input type="checkbox"/> TDS	• Request TDS Status <input type="checkbox"/> Extend TDS Status <input type="checkbox"/>	
	Dispute End of TDS Status <input type="checkbox"/>	
• <input type="checkbox"/> Request Replacement Client Card		

SECTION C: Program Implementation and Program Design Complaints. These Cases can be filed anonymously; Section A can be left blank.

NOTE: A full complaint report should be recorded separately and provided to the KAC for review and forwarding to the Woreda. The case will be tracked against the Form No. provided to the person filing the complaint. The Form No. should therefore be referenced in the separate record and all subsequent reports.

• <input type="checkbox"/> Implementation Quality (Resolved by K/WAC)	• <input type="checkbox"/> Targeting <input type="checkbox"/> Payment <input type="checkbox"/> Recertification <input type="checkbox"/> PW <input type="checkbox"/> PDS <input type="checkbox"/> TDS <input type="checkbox"/> Exit <input type="checkbox"/> Livelihoods <input type="checkbox"/> Graduation <input type="checkbox"/> Other
• <input type="checkbox"/> Program Design (to be escalated to Region)	• (For use by KAC): <input type="checkbox"/> Resolved <input type="checkbox"/> Escalated <input type="checkbox"/> Recategorized as Program Design Case

• Date Complaint Made (dd/mm/yyyy):	• Date of KAC Review (dd/mm/yyyy):
-------------------------------------	------------------------------------

DA Name (First, Father, Grandfather): Other KAC Member Name (First, Father, Grandfather):

DA Signature: Other KAC Member Signature:

This portion to be detached and retained by the person filing the complaint. Form No. can be used as a tracking number for this case
Form No. 123-456-7891011-1

Date Complaint Collected (dd/mm/yyyy):

DA Name (First, Father, Grandfather):

Type of Update/Complaint:

Date of Expected Resolution: (dd/mm/yyyy):

• DA Signature:

Annex 16: Stakeholders' Engagement Plan

1. Introduction

1.1 Project Background

The World Bank is currently preparing the Strengthen Ethiopia's Adaptive Safety Net (SEASN) project to support the Government of Ethiopia (GoE) implement its fifth phase of the Productive Safety Net Program (PSNP5). Environmental and social issues related to the proposed project will be assessed using the World Bank's Environmental and Social Standards (ESS) set out under its new Environment and Social Framework (ESF). One of the Standards - ESS10 - relates to stakeholder engagement. This report identifies SEASN's stakeholders and the arrangements for the government's engagement with them during project preparation as well as implementation. It will also provide a summary of the project's information disclosure plan and grievance redress mechanism (GRM) and its associated activities.

SEASN's Project Development Objective (PDO) is to expand geographic coverage and enhance service delivery of Ethiopia's adaptive rural safety net to improve the well-being of extremely poor and vulnerable households in drought-prone communities. Below is a description of the project components.

- **Component 1: Adaptive Productive Safety Net.** This component will provide labor intensive Public Works (PW) opportunities for selected rural poor households in drought-prone woredas; support a mother and child package of early childhood development services targeted for selected PW participants in temporary direct support status; safety net transfers; and complementary Livelihoods (LH) services for client households .
- **Component 2: Improved Shock Responsiveness of the Rural Safety Net.** This component will support the expansion of PSNP to additional drought-prone woredas in PSNP regions, invest in underlying systems to deliver timely and adequate assistance to households affected by drought shocks, and finance vertical and horizontal expansion of transfers in case of emergency (drought).
- **Component 3: Program Management Support.** Activities in this component aim to consolidate several important initiatives to build systems under previous phases of the PSNP. This will enhance service delivery in the areas of payments, information for operations, and program dynamism and responsiveness to beneficiaries, including taking advantage of technology to improve the program's efficiency and governance.

The proposed project is being prepared under the World Bank's Environment and Social Framework (ESF). As per ESS 10: Stakeholders Engagement and Information Disclosure, implementing agencies should provide stakeholders with timely, relevant, understandable and accessible information, and consult with them in a culturally appropriate manner, which is free of manipulation, interference, coercion, discrimination and intimidation. To meet best practice approaches, the project will apply the following principles for stakeholder engagement:

- **Openness and life-cycle approach:** public consultations for the project will continue during the whole project lifecycle from preparation through implementation. Stakeholder engagement will be free of manipulation, interface, coercion, and intimidation;

- **Informed participation and feedback:** information will be provided and widely distributed among all stakeholders in an appropriate format; conducted based on timely, relevant, understandable and accessible information related to the project; opportunities provided to raise concerns and assure that stakeholder feedback is taken into consideration during decision making;
- **Inclusiveness and sensitivity:** stakeholder identification is undertaken to support better communications and building effective relationships. The participation process for the project is inclusive and the stakeholders are always encouraged to be involved in the consultation process. Equal access to information is provided to all stakeholders. Sensitivity to stakeholders' needs is the key principle underlying the selection of engagement methods. Special attention is given to vulnerable groups, particularly women headed households, youth, elderly and the cultural sensitivities of diverse ethnic groups.

The environmental risk of the Project is **Substantial**. Although the PW subprojects are aimed at enhancing the environment and increasing the productive capacity of the natural resource base, they also have the potential for adverse environmental impacts on human populations and/or the biophysical environment if their location, design or construction do not follow good environmental practices. Based on the experience of the previous phases of the PSNP, these environmental risks, without an ESMF, could arise from site-specific impacts such as (i) disturbance of environmentally sensitive areas or downstream ecosystems by soil-and-water conservation (SWC) subprojects, including flood control, which, despite being intended to improve the environment, might be badly designed or sited; (ii) vegetation removal, erosion or pollution caused by poorly designed or located social infrastructure such as community roads or health posts; (iii) salinization, water logging or pollution resulting from small-scale irrigation subprojects including the use of agro-chemicals; (iv) disruption of downstream ecosystems or water flows by water subprojects. Furthermore, the expansion of PSNP5 to the lowlands which could be fragile and the potential for community water development subprojects can make the environmental risk substantial.

The social risk is assessed as **Substantial**. While the potential direct social impacts of the Public Work and Livelihoods components will be generally site-specific and manageable, those associated with entire communities such targeting issues, the delivery of transfers and reallocation of case-load are less easily addressed, and given the large scale of the project, could prove significant. This assessment of the potential for Substantial negative social impacts takes place within the context of developments in recent years in Ethiopia that have seen an increased level of political turmoil, including a significant rise in social unrest and inter-ethnic conflict.

1.2 Purpose of the Stakeholders Engagement Plan (SEP)

This SEP aims to:

- Establish a systematic approach to stakeholder engagement that will help SEASN project implementers identify stakeholders and build and maintain a constructive relationship with them, in particular project affected parties.
- Assess the level of stakeholder interest and support for the project and to enable stakeholders' views to be taken into account in project design and environmental and social performance.

- Promote and provide means for effective and inclusive engagement with project-affected parties throughout the project life cycle on issues that could potentially affect them.
- Ensure that appropriate project information on environmental and social risks and impacts is disclosed to stakeholders in a timely, understandable, accessible, and appropriate manner and format.
- Define roles, and responsibilities for implementation of the SEP
- Define monitoring and reporting measures to ensure effectiveness of the SEP
- Provide project-affected parties with accessible and inclusive means to raise issues and grievances and allow project implementers to respond to and manage such grievances.

2. Brief Summary of Previous Stakeholder Engagement Activities

SEASN follows a series of World Bank-project phases that, since 2005, have supported the GoE's rural Productive Safety Net Program (PSNP). Over the past fifteen years, PSNP has embedded regular consultations with its various stakeholders into its programming. The below table lists those consultations that have recently taken place and affected SEASN project design. The dynamics of COVID-19 transmission and the recently imposed State of Emergency (SOE) aiming to address it via social distancing measures has restricted some of the planned consultations. Therefore, the environment and social planning process relied on prior consultations and the consultations conducted at the early stage of the pandemic with relevant government officials.

Table 1. List of Recent Consultations that SEASN's Design Takes Into Account

Consultation	Description	Modality	Frequency	Impact
PSNP5 Design Workshop	Discussion between government and donor partners to improve program design for PSNP5	Workshop	September 2019	Consolidated decision to shift program focus to extreme poverty, instead of food insecurity
Federal and regional Joint Review & Implementation Status (JRIS)	Consultation for federal and regional PSNP government stakeholders as well as donor partners to discuss various aspects of program performance	National and regional meetings	Bi-Annual	Highlighted timeliness of payments as a key issue to tackle for PSNP5 (proposed PBCs for SEASN)
Impact evaluation workshop	Discussed and presented findings of 2018 impact evaluation	Workshop	January 2019	Highlighted program implementation and impact gaps in specific areas, including timeliness of payments, nutrition
Timeliness of payments workshop	Discussion between government and donor partners to improve persistent challenges around timeliness of payments	Workshop	October 2019	Joint government and donor partner decision to introduce new/innovative solutions and resulted in the introduction and roll-out of automatic payments.
PIM consultation	Brought together governmental representatives from FSCD, NDRMC and regions to	Workshop	November 2019	Build consensus around changing aspects of PSNP design to facilitate

Consultation	Description	Modality	Frequency	Impact
	improve PIM for frontline implementers so that it is more operational and modular, and provides more clarity on processes and upcoming design changes of PSNP5.			operational efficiency
Early Warning System – Scalability Workshop	Discussion between government, donor partners and stakeholders on the preliminary findings from the review of the national early warning system.	Workshop	October 2019	Presented preliminary options to improve the early warning system to better meet information requirements to enable early and scalable food and cash response.
Technical Working Groups	Discussion among working groups comprised of government and development partner experts on specific subject areas – livelihoods, public works, payments, shock responsive safety net, social and gender development, program management, etc.	Meetings	Bi-weekly	Inputs are consolidated into log frame for PSNP5 design.

3. Stakeholder Identification and Analysis

This stakeholder analysis identifies and determines the likely relationship between the project and its various stakeholders. Stakeholders are those directly or indirectly affected by a project, as well as those who may have interests in a project and/or the ability to influence its outcome, either positively or negatively. Stakeholder analyses help to identify the perceptions, interests, needs, and influence of actors on the project. ESS10 classifies stakeholders in two broad categories: “Project-affected parties” (PAPs) and “other interested parties”. Within these categories, persons or groups may be categorized as especially disadvantaged or vulnerable.

Project-affected parties: persons, groups and other entities within the project area of influence that are directly influenced (actually or potentially) by the project and/or have been identified as most susceptible to change associated with the project, and who need to be closely engaged in identifying impacts and their significance, as well as in decision-making on mitigation and management measures. Table 2 provides a list of key stakeholder groups identified as project-affected parties.

Other interested parties: individuals/groups/entities that may not experience direct impacts from the project but who consider or perceive their interests as being affected by the project and/or who could affect the project and the process of its implementation. Table 3 provides a list of key stakeholder groups identified as other interested parties.

Disadvantaged or vulnerable groups: persons who may be disproportionately impacted or further disadvantaged by the projects as compared with any other groups due to their vulnerable status, and that may require special engagement efforts to ensure their equal representation in the consultation and decision-making process associated with the projects. Table 4 provides a list of key stakeholder groups identified as disadvantaged or vulnerable.

Table 2. Description of the Project-affected Parties

Name of Stakeholder	Description	Issues	Significance Level
Community/kebele level			
PSNP Core beneficiaries	Public Works beneficiaries	Due to lack of access to information of program provisions (PIM, GSD), many lack a clear understanding of their rights and responsibilities in regard to targeting and exit criteria, work norms, transfer schedule. Should have awareness about GBV/SEAH and its related complaint handling, GRM	High
	Temporary Direct Support beneficiaries	Due to lack of access to information on program provisions (PIM, GSD), hesitate to request time off from PW activities or lack confidence to request their entitlement without participating in PW; are unaware of existence of GRM or may lack confidence in the GRM body (KAC) to present their appeals	High
	Permanent Direct Support beneficiaries	Due to lack of access to information on program provisions (PIM, GSD), lack confidence to complain about the delay or reduction of their PSNP entitlement; are unaware of existence of GRM or may lack confidence in the KAC to present their appeals; may lack awareness on GBV/SEAH issues and its related complaint handling procedures. Due to mobility issues, may require assistance collecting payments, and accessing relevant social services including health/CBHI, nutrition and education services for dependents.	High
PSNP Emergency response beneficiaries (HFA)	Those targeted through the horizontal scaling up of PSNP to enable them to withstand shocks	Low access to information regarding who is entitled to benefits, its duration, and the transfer amount. May be unaware of existence of GRM or may lack confidence in the KAC to present their appeals,	High
PSNP Woreda contingency beneficiaries	Beneficiaries included in program through use of contingency budget because they: a) have successfully appealed for their inclusion into program; b) are affected by small-scale localized shocks; c) are mothers of families of children enrolled in emergency nutrition programs	May lack access to information on their entitlements and the duration of their benefits, what conditionalities are expected from them, and the GRM and complaint procedures for GBV/SEAH.	High
Waitlisted - potential beneficiaries	Community members who are pursuing GRM or waitlisted for PSNP	May lack access to information on the basic principles and operational procedures of the program including targeting and exit (time, criteria), transfer (schedule/timeliness, amount, mode of transfer); correct GRM procedure for filing an appeal and following up; may lack awareness of what GBV/SEAH	High

Annex 16: Stakeholders' Engagement Plan

Name of Stakeholder	Description	Issues	Significance Level
		violations are and how to file a complaint.	
Development Agents (DAs)	Responsible for coordinating and implementing all PSNP-related activities in kebeles	May not have access to the guidelines and procedures needed for properly planning PW, livelihoods, GSD and nutrition activities and facilitating payments and linkages to social services for beneficiaries. Due to lack of a clear procedure for the confidential management of GBV, DAs may not properly manage GBV-related issues.	High
Community members affected by PW	Those who live in the watershed and benefit from the improved physical environment as a result of PW activities	May be unaware of the program's GRM	Medium
Youth in PSNP kebeles	Selected youth may serve as community facilitators (assistant to the DAs)	Require training on their assigned support tasks, the program's GRM, and the nature of GBV/SEAH violations and their related complaint procedures.	High
Kebele Food Security Task Force (KFSTF)	Responsible for targeting beneficiaries	May lack access to guidelines on the appropriate inclusion and exit criteria for program. Due to lack of awareness or accountability regarding the boundaries of their role, may not forward grievances to the KAC. Lack of awareness regarding the nature of GBV/SEAH violations may expose potential beneficiaries to risk.	High
Kebele Appeals Committee (KAC)	Manage all grievances related to PSNP	Lack stationary to record complaints, do not have an assigned office space. May lack access to procedures and guidance on how to resolve specific types of grievances. Due to lack of a clear procedure for the confidential management of GBV, KAC may not properly manage GBV-related issues.	High
Kebele Council	Need to support KAC by reviewing GRM recommendations and communicating with the Woreda Council	In some areas, lack of capacity has prevented the Kebele Council from supporting the PSNP's GRM as expected.	High
Health extension workers (HEWs)	Deliver SBCC consultations to PW beneficiaries	Overburdened with other health projects, and not specifically incentivized to work on PSNP. Absent in lowland areas. Should they receive GBV/SEAH related complaints from PSNP beneficiaries, may not be aware of the correct procedure to manage them.	High
Kebele	Will support the planning,	Need to know which linkages are relevant	High

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Name of Stakeholder	Description	Issues	Significance Level
Women Development Army	implementation and monitoring of gender and GBV issues related to the program. Will be part of KAC to address GBV issues through the GRM	to the different types of PSNP clients and how to facilitate referrals; have awareness of GBV/SEAH violations and the current procedures for handling complaints related to them	
Community Care Coalitions (CCC) and associations for elderly and persons with disability	Support linkages of relevant PSNP clients such as TDS and PDS to available and relevant social services like health, nutrition, education	In areas where they exist, may be weak because they are a voluntary group.	High
<p>Woreda level (in previously PSNP woredas, former Humanitarian Food Assistance (HFA) woredas, and split woredas)</p> <p>* Woreda level program operators include government (285 woredas), WFP (45 woredas in Somali), and NGOs (53 woredas)</p>			
WoA FS desk	Lead overall coordination of the PSNP planning, implementation and monitoring in woreda	In some woredas, overlapping responsibilities and weak coordination between FS desk and DRM/EW, resulting in duplication of efforts.	High
EW and Response desk	Lead the timely collection and communication of woreda level EW data for accurate and timely early warning information.	In some woredas, overlapping responsibilities and weak coordination between FS desk and DRM/EW, resulting in duplication of efforts.	High
WOLSA	Oversee the provision of linkages to social services for PDS and TDS beneficiaries and facilitate case management Upon request, need to be available to dispense guidance on labor-related grievances submitted to the KAC. May collaborate with Women, Children and Youth Affairs desk in Office of Agriculture, which will take the lead to address issues related to gender mainstreaming and GBV	In some areas, low capacity of WOLSA affects implementation of PDS case management (although available at the woreda level, may not reach kebele easily)	High
Women, Children and Youth Affairs desk in Agriculture office	Will oversee implementation and reporting on gender and GBV. It will also collaborate with WoLSA on child labor related issues.		
Office of Women, Children and Youth Affairs	Depending on capacity at woreda level, will advise on gender mainstreaming in the project planning and implementation, and consult	Need to be familiar with program objectives and activities, as well as safeguards. Has not previously engaged with PSNP.	High

Annex 16: Stakeholders' Engagement Plan

Name of Stakeholder	Description	Issues	Significance Level
	on issues related to gender, GBV, children and youth		
Woreda Health Office	Technically responsible for mainstreaming of nutrition component of the program	Are not well integrated into PSNP activities; PSNP overlaps with a lot of hotspot woredas and Woreda Health Offices are busy managing emergencies	High
Woreda Council	Support KACs by reviewing their recommendations for GRM and forwarding their decisions to the WoA FS desk	In some areas, due to lack of knowledge or capacity, has not engaged in the management of the PSNP GRM to level of responsibility assigned in the PIM.	
Finance Office	Oversee the financial management of PSNP in woreda, responsible for timely preparation of payroll and disbursement		High
WFP	Implement PSNP in 45 woredas in Somali, implement humanitarian responses, support food management		High
NGOs	Provide transfers and oversee public works across 53 woredas. Supported by USAID. Coordinate with government woredas and share experience regarding implementation of GSD and nutrition and livelihood components.	Need support from donors and government bodies to discharge their responsibilities	High
Regional level			
BoA - Regional FS	Coordinates annual implementation plans and budgets for the region, support training and capacity buildings for woredas, print and distribute client cards		High
BoA - NRM	Approve and monitor PW activities		High
BOLSA	Responsible for ensuring compliance with labor and social standards		High
Bureau of Finance	Ensure suitable accounting system for regional and woreda levels is established; collect, aggregate, and report on all financial data from BOLSA, BOA, woredas		High
EW and Response Directorate	Transfer EW data to the federal level on a monthly basis, coordinate humanitarian interventions		High
BoWCYA	Oversee gender, children, and youth issues mainstreaming in the project planning and implementation	Need to be familiar with program objectives and activities, as well as safeguards. Has not previously engaged with PSNP.	High

Annex 16: Stakeholders' Engagement Plan

Name of Stakeholder	Description	Issues	Significance Level
BoH	Technically responsible for mainstreaming of program's health and nutrition component.		High
Federal level			
MoA- FSCD	Responsible for program's overall coordination, implementation, and monitoring		High
MoA - NRM	Responsible for program's community asset building component and ensure full functioning of regional substructures		High
MoA- Women, Children, and Youth Affairs	Responsible for overseeing and monitoring of GBV. It will also collaborate with MoLSA on child labor related issues		High
NDRMC	Ensure full functioning of key systems such as early warning and needs assessments	Government has issued directive revising institutional arrangement for emergency response, which has yet to be operationalized.	High
MoF	Responsible for program's overall financial management, and transfer of funds to BOFEDs, FSCD		High
MoLSA – Social Affairs Directorate, Women Affairs Directorate	Responsible for coordinating with the regional substructure to provide necessary training and support to enable the monitoring of social safeguards of SEASN – OHS, GBV, child labor – as well as the tracking of labor-related grievances submitted to the program GRM		High
MoH	Responsible for overseeing of nutrition mainstreaming, coordinating with regional substructure to provide necessary training and support to enable the delivery of health services	PSNP works with the Nutrition Case Team but to be effective, needs to collaborate with other MoH directorates such as the Health Extension Directorate. Need for MoU to be signed at a ministerial level.	High
Jobs Creation Commission	Engages in design of livelihood component		High
E-payment providers	Provide technological service to speed up cash transfer payment	Dependent on network to facilitate payments.	High

Table 3. Description of Other Interested Parties

Name of Stakeholder	Description	Significance Level
Ministry of Women and Children Affairs	Provide policy direction and technical guidance on issues related to the welfare of women, children and youth.	High
Ministry of Environment, Forest and Climate Change	Regulatory agency for the management of environmental and social issues associated with the implementation of subprojects.	High
Donors	Development partners who co-finance the PSNP.	High
Media	May report on impacts of PSNP to the general public.	High
Water, Roads, Education	Provide technical backstopping to ensure quality PW implementation.	Medium
Financial Service Providers	Third party payment service providers.	Medium
ESAP Steering Committee	Coordinates ESAP at the federal level, comprised of government, civil society, and DPs.	Low

Table 4. Disadvantaged and Vulnerable Groups

Name of Stakeholder	Issues	Significance Level
Sub Saharan African Historically Underserved Traditional Local Communities	Includes pastoralist communities. Project interventions may have unintended consequences on their communities.	High
Pregnant women and lactating mothers	May be forced to engage in PW.	High
Women in male-headed and female-headed beneficiary households	May experience GBV/SEAH at home, or on their way to PW site or payment collection.	High
Polygamous households	Co-wives and their children are dependent on one male household head and may therefore be treated (irrespective of the number of dependent children each of them has) as one family during the targeting for PSNP.	High
The elderly	May have challenges accessing payments.	High
Disabled/persons affected by chronic diseases/bedridden	May have challenges accessing payments.	High
Children	May be exposed to harm when taken to PW sites by their caretakers or left at home alone when parents are performing PW. May be withdrawn from school to attend PW.	High
Protracted IDPs	May be excluded from project interventions despite vulnerability.	High

4. Stakeholder Engagement Plan

Stakeholder engagement activities need to provide specific stakeholder groups with relevant information and opportunities to voice their views on topics that matter to them. PSNP is a highly interactive program, and beneficiaries have frequent opportunities to interact face to

face with program implementers (for example, during PWs, SBCC consultations, livelihood consultations, and transfer pickups). Taking into account the large-scale directly affected population (approximately 8 million), and the fact that the project will extend support to 'new', currently excluded, woredas as well as re-allocate the caseload geographically, the SEP will capture the views of sample communities in:

- Existing PSNP-supported woredas where no significant caseload changes are planned;
- Existing PSNP-supported woredas where caseload re-allocation is planned;
- 'New', currently excluded woredas in PSNP regions where the PSNP will be introduced for the first time.

The SEP will pay particular attention to:

- any historically underserved traditional communities affected, to ensure that services provided will be appropriate;
- especially vulnerable and disadvantaged groups, including the elderly, persons with disabilities, female-headed households, orphans and vulnerable children;
- Neighboring communities that might be directly or indirectly affected by the project.

Due to the Covid-19 pandemic, consultations that were scheduled to take place prior to appraisal have been postponed. Following the lifting of State of Emergency, additional field-based consultations will be made in selected new and old woredas to verify the early results and update the instruments.

Table 5 outlines the consultations scheduled to take place during project implementation.

Table 5: Planned Stakeholder Engagement Activities

Consulting/ Entity	With Whom	Frequency	Channels of Engagement	Engagement Methods	Purpose
Targeting					
CFSTF (Community Food Security Task Force)	Community	Every 2 years for large scale retargeting of core caseload, and annually for minor adjustments; and as required for targeting of transitory clients	Community committee Through posting of client lists	Community meeting	Full retargeting, partial retargeting - To ensure inclusion of poor and vulnerable PAPs in program
KAC/ESAP in select communities	Community	After each targeting/program exit exercise and periodically thereafter	Through availing the service of KAC to Community following listing of client list.	GRM/ Through hearing of grievances of any appellant	To hear any complaints regarding targeting inclusion and exclusion. To receive, respond or escalate to other complaints regarding PSNP implementation
Kebele Food Security Task Force(KFSTF)	Community	At the beginning of the program and every two years.	Community General Assembly	Community meeting	To discuss and verify the results of the targeting processes, as well as the list of eligible households and whether they are categorized for Permanent Direct Support (PDS) or PW, views on project design, target subproject environmental and social potential risks, mitigation measures, grievance redress mechanisms and SEP
Planning for PW					
Development Agents (DAs)	Community	Annual and every 5 years	Community gathering and discussion.	Community discussion for need identification and prioritization	To request and plan for type of PW required for watershed
DAs	Concerned households	Annual	Consultations with affected households	Environmental and social screening	ESMF for PW
Social Development					
FSCD	Disadvantaged and	Once	Enhanced Social	Community	For the ESS, this study will be undertaken to ensure

Annex 16: Stakeholders' Engagement Plan

Consulting/ Entity	With Whom	Frequency	Channels of Engagement	Engagement Methods	Purpose
	vulnerable groups		Assessment and Consultations	consultations	SEASN meets the needs of all beneficiaries in the appropriate manner, with a particular focus on the most vulnerable and historically underserved populations.
FSCD	Beneficiaries and program implementers	Once	Gender Analysis and GBV Risk Assessment	FGDs and KIIs	Assess and analyze risk of GBV/SEAH in program and develop risk mitigation measures, conducted during the project preparation
Program Review and Monitoring (*on a sample basis)					
FSCD	PSNP Beneficiaries and implementers at regional and woreda level	Every 2 years	Impact evaluation*	FGDs and household surveys	To assess program impacts on beneficiaries.
FSCD	PSNP Beneficiaries and implementers at regional and woreda level	Bi-Annual	National Spot Checks*	KIIs and household surveys	To ensure program operational compliance
FSCD	Implementers + Regions + Woreda Donors	Bi-Annual	JRIS	Meetings	To monitor progress on results
FSCD	PSNP Beneficiaries and implementers at regional and woreda level	Annual	PW and Livelihoods Reviews*	Key informant interviews, focus group discussions	To assess program compliance and results
FSCD	PSNP Beneficiaries and implementers at regional and woreda level	Annual	GRM Review*	Key informant interviews, focus group discussions	To assess functionality and performance of the program's GRM
NRMD	Community and PW implementers	Every two years	Public Works Impact Assessment*	Key informant interviews, focus group discussions	To assess impact of PW interventions
WOLSA	Community and PW implementers, PW sites	Monthly	Monitoring Visits		To assess labor standards on PW sites with regard to child labor, OHS, and GBV

5. Implementation Arrangements for Stakeholder Engagement Plan

The FSCD is responsible for the PSNP's day-to-day program management, including environmental and social management and addressing potential environmental and social risks. MoA-FSCD will be responsible for engaging with stakeholders and managing the program's GRM and MoA –Women, Children and Youth Affairs Directorate will also be responsible for GBV.

Roles and Responsibilities

Previously, FSCD processed the majority of stakeholder engagement activities on an individual basis, by assigning an available expert to review its terms of reference and oversee its contracting. Moving forward, FSCD will formalize this role by establishing a Stakeholder Engagement Focal Person to regularly follow up and track Stakeholder Engagement.

To implement the various activities envisaged in the SEP, the Stakeholder Engagement Focal Person will need to closely coordinate with other key stakeholders, including other government agencies and PAPs. The roles and responsibilities of these actors/stakeholders are summarized in Table 6 below.

Table 6. Responsibilities of Key Actors/Stakeholders in SEP Implementation

Actor/Stakeholder	Responsibilities
National level	
MoA - Food Security Coordination Directorate	<ul style="list-style-type: none"> • Planning and implementation of the SEP (lead all related activities) • Management and implementation of program GRM • Coordination/supervision of contractors on ESCP/SEP activities • Monitoring and reporting on social performance to GoE and WB • Assign Stakeholder Focal Person to manage PSNP stakeholder engagement and monitor the management, resolution, and reporting of grievances by communicating with the regional GRM focal person
MoA – Women's Affairs Directorate	<ul style="list-style-type: none"> • Monitoring of and reporting on issues related to GBV and reported to program GRM.
MoLSA – Social Affairs Directorate, Women's Affairs Directorate	<ul style="list-style-type: none"> • Sign a tripartite MoU with MoA and MoH for joint coordination, implementation and monitoring of linkages for the program's social services component • Monitoring of and reporting on issues related to OHS and child labor, and as well as tracking labor-related issues reported to the program GRM • Collaborate with MoA-WAD on GBV issues and participate in federal taskforce.

Annex 16: Stakeholders' Engagement Plan

Actor/Stakeholder	Responsibilities
MoH - MCHD	<ul style="list-style-type: none"> • Sign a tripartite MoU with MoA and MoLSA for joint coordination, implementation and monitoring of linkages for the program's social services component • Provide technical support on the implementation of health and nutrition provisions of the program • Monitor and report on SBCC, health and nutrition status as part of the national nutrition reporting system
Regional level	
BoA-FSCD	<ul style="list-style-type: none"> • Inform FSCD of any issues related to their engagement with stakeholders; • Monitoring and reporting on gender and social development performance to federal FSCD • Transmit and resolve complaints caused by the project interventions in close collaboration with and as directed by FSCD • Assigns GRM focal person to monitor the management, resolution, and reporting of grievances. This focal person will be responsible for receiving the list of appeals and resolutions from the woreda level and transmitting them to the federal GRM focal person. • The gender desk in regional BoA will be monitoring issues related to GBV and reported to the program GRM, to report to FS bureau
BOLSA	<ul style="list-style-type: none"> • Monitoring of issues related to OHS, child labor, as well of tracking of labor related grievances reported to the program GRM, to report to FS bureau • Monitoring of progress and status of stakeholders with regard to linkages to social services, to report to FS bureau
Woreda level	
Woreda Food Security Desk	<ul style="list-style-type: none"> • Participate in the implementation of assigned activities in the SEP; • Provide report on all grievances submitted to the GRM to the Regional GRM focal person; • Make available project information (brochures, flyers) and GRM procedures to the public. • Provide guidance for the formation of the Kebele Appeals Committee • Support awareness-creation activities • In woredas with MIS, input list of grievances and their resolution into the system • Approve the use of woreda contingency budget • The women, children and youth desk in office of agriculture will monitor issues related to GBV and reported to the program GRM, to report to FS bureau. WolSA will be part of the woreda BoA women, children and youth desk .
Woreda NRM	<ul style="list-style-type: none"> • Regarding Voluntary Asset Donation, along with DA, confirms that the voluntary asset donor understands the procedure to be followed. Once confirmed, facilitates the signing and filing of four copies of the agreement (one completed copy is filed at the Kebele Land Administration Office; one at the DA's office, one remains with the donor, and one is filed at the Woreda NR Case team office.)
Woreda Council	<ul style="list-style-type: none"> • Assist in resolving escalated and unresolved appeals

Actor/Stakeholder	Responsibilities
WOLSA	<ul style="list-style-type: none"> • Raise awareness about program and provide guidance to community structures (CCCs, associations of elderly and persons with disability) • Conduct mapping of potential stakeholders for social service linkages • Upon request, provide guidance to KAC on labor-related grievances submitted to GRM • Monitor and report on social safeguards – OHS, child labor. WoLSA will be part of the woreda office of agriculture Women, Children and youth desk and collaborate on the implementation.
Woreda Health Office	<ul style="list-style-type: none"> • Plan and implement health and nutrition component of the program • Jointly (with woreda office of agriculture (WoA)/Food security desk and WoLSA) implement, monitor and report on SBCC and linkages to social services component of program
Woreda Women, Children, and Youth Affairs	<ul style="list-style-type: none"> • Depending on capacity, will advise on gender mainstreaming in the project planning and implementation, and consult on issues related to gender, GBV, children and youth
Community level	
KAC	<ul style="list-style-type: none"> • Receive grievances from PAP • Provide a listing of the grievances received and their resolution to the Kebele Council and Woreda Council within two months of the complaint being heard.
Kebele Council	<ul style="list-style-type: none"> • Assist in establishing and ensuring the effective operation of the KAC • Review unresolved appeals from KAC and forward them to the Woreda Council and the Woreda Food Security Desk every quarter • Forward the list of grievances, their resolution and any unresolved cases to the Woreda Council
DA or KFSTF	<ul style="list-style-type: none"> • Ensures that up-to-date listings of clients and listing of appeals and appeal resolutions are posted in public locations at woreda, kebele and community levels. • With regard to voluntary asset donation, after satisfying him/herself that the donor is making the donation on a voluntary basis, the DA arranges a meeting between the donor(s), the DA, the Chair of the Kebele Land Administration Committee, and the Woreda NR Expert.
PAP	<ul style="list-style-type: none"> • Invited to engage and ask questions about the Project during community gatherings • Lodge their grievances using the Grievance Resolution Mechanism defined in the SEP

Stakeholder Engagement Methods To Be Used

Public/Community Meetings

At the national level, FSCD will organize a project launch meeting for national and regional stakeholders. At the community level, DAs will organize community gatherings to disclose relevant project information including information on targeting, environment and social impacts and the GRM.

Enhanced Social Assessment and Consultation

The project will conduct consultations to capture the views of disadvantaged and vulnerable members of the community. Due to the Covid-19 pandemic, consultations that were scheduled to take place prior to appraisal have been postponed. Following the lifting of State of Emergency, field-based consultations will be made in selected new and old woredas.

Communication Materials

Written information will be disclosed to the public through a variety of communications materials, including brochures, flyers, posters, etc. The communications materials will be produced by the FSCD. FSCD will also create a webpage on the Ministry of Agriculture's website, to be updated regularly with key project updates and reports on the project's performance. The website will also provide information about the grievance mechanism for the project's GRM.

Information Table at the Woreda Level

Information tables at the Woreda Food Security Desk will provide information to local residents, PAPs and stakeholders on SEASN's project interventions and contact details of the stakeholder engagement focal point. Brochures and fliers on various project related social and environmental issues will be made available at these information tables.

Program Review and Monitoring Surveys

FSCD will organize a number of surveys to assess the quality of program implementation. These will include: Impact Assessments, PW and Livelihoods Review, GRM Reviews, PW impact assessment, and GSD and nutrition (see Table 5).

Grievance Redress Mechanism

In compliance with the World Bank's ESS10, a project- specific grievance mechanism will be set up for the project to handle complaints and issues (see Chapter 8). Detailed communications materials (specifically a GRM brochure or pamphlet) will be developed to help PAPs become familiar with the grievance redress channels and procedures. SEASN will also work to establish an MIS-based GRM to better enable FSCD to capture and track grievances from submission to resolution and communication with complainants. The initial effort to resolve grievances to the complainant's satisfaction will be undertaken by the KAC. The KACs will provide a listing of the grievances submitted and their resolution to the Kebele and Woreda Councils, who will then submit it to the Regional GRM focal person for final submission to the FSCD.

Training, workshops

Trainings on a variety of topics and issues will be provided to FSCD and other relevant government service providers. Issues covered will include sensitization to targeting, PIM, environment and PW, livelihoods, FM, labor issues, gender, case management and linkage, and GRM.

PSNP beneficiaries will receive SBCC consultations to raise awareness about GSD and nutrition. PW beneficiaries who receive livelihood interventions will also participate in financial literacy and skills training.

Technical skills training courses will be designed and offered to woreda-level stakeholders (e.g., WOLSA, EW desk, Finance Office etc.), in line with the activities they intend to carry out as part of the program.

Review

Program biannual review meetings will be organized to provide and collect periodic feedback on project implementation progress and identify and discuss new and emerging issues.

6. Information Disclosure for SEASN

Disclosing project information is essential for meaningful consultation on project design and for stakeholders to understand the potential opportunities of the project as well as its risks and impacts. To enable meaningful consultations with stakeholders, FSCD will disclose the following information:

- The purpose, nature and scale of the project
- The duration of proposed project activities
- Information from the environmental and social assessment process, regarding potential risks and impacts of the project on local communities, including:
 - Proposals for mitigating risks and impacts
 - Potential risks and impacts that might disproportionately affect vulnerable and disadvantaged groups
 - Description of differentiated measures taken to avoid and minimize disproportionate risks and impacts
- The proposed stakeholder engagement process, highlighting ways in which stakeholders can participate and contribute during project design and/or implementation
- The time and venue of proposed public consultation meetings, and the process by which meetings will be notified, summarized and reported
- The process and means by which grievances can be raised and addressed

To disclose project information widely, FSCD will set up a webpage on the Ministry of Agriculture's website. All future project-related social monitoring reports listed in the above sections will be disclosed on this webpage. An easy to understand guide to the terminology used in the social reports or documents will be provided on the website. All information brochures/fliers will be posted on the website. Contact details of the Stakeholder Engagement Focal Person will also be made available on the website.

Upon disclosure of project information, provision will be made for secure portals where the general public and concerned stakeholders may submit their comments, observations and questions regarding the project. For information disclosed through meetings, instant feedback will be collected through designated rapporteurs who will be available during the meetings. Participating stakeholders shall also be given freedom to take their own minutes of the proceedings and share a copy with the rapporteurs.

After the deadline for submission has passed, comments placed in suggestion boxes will be collected from the sites for consolidation, analysis and inclusion into the project documents. A summary of how comments were taken into account will be made and shared with the stakeholders through project implementation inception meetings once concerned authorities make the final decision on the project.

Table 7 provides information on other means of project disclosure.

Table 7. Information Disclosure for SEASN

	With Whom	Frequency and Timing	Channels of Engagement	Engagement Methods	Purpose
FSCD	All stakeholders	Once, beginning of implementation	National project launch meeting	Meetings	To launch project and disclose information to general public
FSCD	Regional stakeholders	Once, beginning of implementation	Project launch meeting	Meetings	To launch project and disclose information to general public
Woreda and Kebele FS offices	Community	Throughout implementation	Information table	Fliers, brochures, posters, GRM summary	To disclose information about SEASN and its GRM to local communities in relevant languages
KFSTF/DAs/ KAC	PSNP Beneficiaries/ Community	Annual throughout implementation	GRM	Community gathering/Face to face meetings	To ensure beneficiaries are informed about the project level GRM.
FSCD	All stakeholders	During project implementation	Project website	Key project updates, information about GRM	To disclose information about SEASN to general public

7. Estimated Budget for Information Disclosure

The FSCD, through its Stakeholder Engagement Focal Person, will be responsible for planning and implementation of stakeholder engagement activities, as well as other relevant outreach and disclosure activities. In order to ensure successful SEP implementation, a series of capacity building activities are necessary for which the project has to provide adequate funding. The stakeholder engagement activities so far mentioned may be part of other project documents, so it is possible that they have also been budgeted for in other plans.

A tentative budget for the project's information disclosure is reflected in Table 8. **This table will be updated to include all stakeholder activities, including workshops, trainings, and program review and monitoring activities.**

Table 8: Information Disclosure Activities – Estimated Budget (TBD) (5 years)

Stakeholder Engagement Activities	Quantity	Unit Cost, USD	# of years	Total cost (USD)
Stakeholder Engagement Focal Person	1	12,000	5	60,000
Information Disclosure				
Project launch meeting at national level	1	5,000	1	5,000
Project launch meeting at regional level	8	3,000	1	24,000
Program wide community gatherings on project design and GRM (via cascading	1	2M	1	2M

Stakeholder Engagement Activities	Quantity	Unit Cost, USD	# of years	Total cost (USD)
through government structures)				
Information table and communications materials at woreda	384		5	10,000
Total				2,099,000

8. Grievance Redress Mechanism

A grievance redress mechanism system is currently in place for the PSNP, and modernizing this paper-based system through the establishment of an MIS is envisioned under Component 3 of the project: Enhanced Service Delivery. However, until the MIS becomes operational across all PSNP woredas, the GRM system currently in place will have to be modified so that it can become accessible to the full range of project stakeholders.

FSCD will be responsible for managing the GRM by assigning a Stakeholder Engagement Focal Person at the federal level. This focal person will communicate with the regional GRM focal persons assigned by the Regional BoA, who will receive listings of appeals and their resolution from the Woreda Food Security Desk, which in turn would have received it from the Woreda Council, Kebele Council, and KAC. Through this arrangement, FSCD should be able to address and report on grievances raised at the grassroots level.

8.1 Grievance Resolution Process

Information about the GRM will be shared during the community gatherings, and posters will be displayed in public spaces such as government offices and health posts. Information about the GRM will also be posted on FSCD's webpage.

The overall process for the GRM is comprised of five steps.

Step 1: Uptake. At the Kebele level, project stakeholders will be able to provide feedback and submit complaints through the KAC, which is comprised of several focal persons.⁶⁸ A member of the KAC will be available at kebele office once a week (e.g., Monday afternoons) to receive grievances in person resolve.⁶⁹ Standardized intake forms for acknowledgement receipt and grievance listing will also be developed and distributed.

Step 2: Sorting and processing. Complaints and feedback will be compiled by the DA or an assigned KAC member and recorded in a register. Cases should be resolved within one month of being heard. KACs in PSNP4 were expected to use standardized internal processes

⁶⁸KAC is comprised of the following: 1 elected Kebele Council member (not the chairperson), 1 DA, 1 or 2 members of the Community Care Coalition (if existing in the kebele, 1 of whom should be female), 1 health extension worker, one social worker (if represented in the kebele and if available female), two elder representatives (one of whom should be female).

One Development Agent (DA). Aside from the DA and Kebele Council member, everyone else is a volunteer and may or may not be literate. To mitigate this, the project will establish a literate youth community facilitator as a member of the KAC to serve as its secretariat.

⁶⁹ During PSNP4, it was found that 44% of KACs do not have a regular schedule to meet and 34% meet monthly while the rest meet weekly, quarterly and on a as needed basis. It was also found that there was no uniform mode of appeal uptake and more than 55% is done orally. The use of standard template to log appeals is very low.

to categorize similar cases and prioritize them according to urgency. However, 70 percent of KACs were found to be without a GRM manual to guide the process of sorting. The project will support the development, translation, and program-wide distribution of a GRM manual. Cases will initially be sorted and processed into the following four categories: i) appeals (disagreement with decisions passed by program implementers); ii) implementation concerns (dissatisfaction with the quality of implementation); iii) program design (procedures and parameters set by the National level or the Region that requires changes to the program); iv) transparency and right based (cases that filing and investigating must ensure greater delicacy and anonymity).

Step 3. Acknowledgement and follow up. During PSNP4, it was found that a weak use of pre-determined acknowledgement and follow up was prevalent among KACs, and if follow up occurred, it happened orally. The project will establish literate youth community facilitators as members of the KAC, so that in lieu of their PW hours, they can facilitate timelier and more proactive follow up of cases. Standardized intake forms for acknowledgement receipt and grievance listing will also be developed and distributed.

Step 4. Verification, investigation and resolution. The KAC will be responsible for collecting additional information and investigating through field visits, consultation with community elders and residents and cross-checking documents (PIM, PSNP GRM Manual). When relevant, the KAC will reach out to confer with the social worker at WOLSA. A template document will be provided to the KAC so that they can document their verification, investigation and resolution process.

The KAC will give resolution to the appeals and send a listing of the cases to the Kebele and Woreda Council, who in turn will validate the recommendation and forward the appeal to the Woreda Food Security Task Force for implementation.

Step 5. Feedback and Monitoring and Evaluation. The KAC will inform the grievant about the resolution of their appeal and their right to escalate the appeal if they are not satisfied with the decision. Within four weeks of the complaint being heard, the KAC will report and provide a listing of all the grievances heard and resolved to the Kebele Council, who in turn will share the list to the Woreda Council. In woredas where the MIS system is operational, the Woreda Food Security Desk will be responsible for inputting the grievances into the system. In woredas where the MIS is not yet operational, the Woreda Food Security Desk will forward the appeals listing to the regional GRM focal person, and they in turn will forward it to FSCD.

8.2 Grievance Logs

KACs will maintain grievance logs, and regularly submit copies to the Kebele and Woreda Councils, who will then distribute upwards. FSCD will maintain a master grievance log. The grievance logs will include the following information.

- Individual reference number
- Name of the person submitting the complaint, or other feedback, address and/or contact information (unless the complaint has been submitted anonymously)
- Details of the complaint or feedback
- Date of the complaint
- Name of committee person who registered the complaint (acknowledge to the complainant, investigate, propose resolutions, etc.)

- Details of proposed resolution, including person(s) or body (e.g., WFSTF) who will be responsible for authorizing and implementing any corrective actions that are part of the proposed resolution
- Date when proposed resolution was communicated to the complainant (unless anonymous)
- Date when the complainant acknowledged, in writing if possible, being informed of the proposed resolution
- Details of whether the complainant was satisfied with the resolution, and whether the complaint can be closed out
- Date when resolution is implemented (if any, whether successful or otherwise. If unsuccessful, reason it wasn't resolved).

9. Monitoring and Reporting

The Stakeholder Engagement Plan will be periodically revised and updated as necessary in the course of SEASN project implementation to ensure that the information presented herein is consistent, and that the identified methods of engagement remain appropriate and effective in relation to the project context. Any major changes to the project related activities and to its schedule will be duly reflected in the SEP.

Biannual summaries and internal reports on public grievances, enquiries, and related incidents, together with the status of implementation of associated corrective/preventative actions will be collated by responsible staff and referred to FSCD's senior management. The summaries will provide a mechanism for assessing both the number and the nature of complaints and requests for information, along with the Project's ability to address those in a timely and effective manner.

Information on public engagement activities undertaken by the project during the year may be conveyed to stakeholders in two possible ways:

- **Publication of a standalone annual report on project's interaction with the stakeholders.**

FSCD will maintain a Stakeholder Engagement Log that chronicles all stakeholder engagement undertaken or planned. The Engagement Log includes location and dates of meetings, workshops, and discussions, and a description of the project-affected parties and other stakeholders consulted. The Project will also develop an evaluation form to assess the effectiveness of every formal engagement process. The questions will be designed as appropriate for the relevant audience.

- **A number of Key Performance Indicators (KPIs) will also be monitored by the project on a regular basis, including the following parameters:**
 - Number of public consultations held by woredas on beneficiary entitlements (annually)
 - Number of communications materials on beneficiary rights developed and disseminated to beneficiaries
 - Number of press materials published/broadcasted in the local, regional, and national media

10. Central Point of Contact

The point of contact for the Stakeholder Engagement Program is:

Name: [To be Assigned]

Organization: Ministry of Agriculture, Food Security Coordination Directorate

Address:

Email:

Telephone: 011 646 0746

Annex 17: ESIRT

1. Introduction

The PSNP Public Works (PW) program typically contains up to 46,000 subprojects per annum. These subprojects are designed and implemented such that they will be environmentally and socially beneficial (e.g. soil and water conservation measures, degraded land restoration, tree seedling planting, removing invasive species, opening up feeder roads, classrooms expansion, health post construction and etc.). However, one cannot rule out the occurrence of incidents that might have adverse effect on the environment, social and occupational health & safety of the program beneficiaries. To overcome these effects the program considered the importance of incorporating proper mitigation and safety mechanisms during design, planning and implementation of the subprojects.

The type of incident that should occur as result of safety net and related PW activities will vary from one place to another place or from sub project to sub project. Indeed, some of the incidents could be indicative, i.e., relatively minor affecting few people while others could be serious, creating actual or potential significant harm to environment, PW participants, other communities, natural or cultural resources. In addition, there could occur serious incidents such as use of child labour and major on-site injuries. Failure to respond in a timely manner to these incidents could pose unnecessary operational risks to the communities, and reputational risk to Project stakeholders.

Recognizing this, the Government of Ethiopia (GoE) has prepared a guidance note / tool kit to help the local level implementers (woreda and kebele officers) and frontline workers (Development Agents (DA), and Health Extension Workers (HEW)) to be able to systematically track, monitor and report on incidents that may occur in the course of program implementation including PW, livelihoods support (LH), and other program components. The GoE noted that ESIRT does not replace the regular supervision and reporting system.

16. Identification of Types of Incidents

The GoE identified the following types of environmental, social and occupational safety incidents that could occur during the program implementation. At this stage it is difficult to have an exhaustive list of incidents, the below table is just to provide examples of possible incidents under the three thematic areas which are considered to be relevant to key program elements including public works and complementary livelihoods service.

Environmental	Social	Occupational health & Safety
<ul style="list-style-type: none"> Localized dust pollution 		
<ul style="list-style-type: none"> Poorly functioning erosion-control measures 	<ul style="list-style-type: none"> Grievances due to project use of public roads 	<ul style="list-style-type: none"> Minor job site injuries
<ul style="list-style-type: none"> Risk of introduction of invasive exotic species 	<ul style="list-style-type: none"> Minor impacts on livelihood restoration and/or access to community natural resources 	<ul style="list-style-type: none"> Serious on-site injuries and fatalities
<ul style="list-style-type: none"> Gulley erosion caused by poorly designed roads 	<ul style="list-style-type: none"> Minor social conflict related to or affecting the project 	<ul style="list-style-type: none"> Almost empty first aid kit at site
<ul style="list-style-type: none"> Medical waste disposal as result of health post construction 		<ul style="list-style-type: none"> Poorly organized or sporadic health & safety induction and training
	<ul style="list-style-type: none"> Delays by GRM in handling/addressing 	

Environmental	Social	Occupational health & Safety
	grievances	

17. Incidents Classification

Considering experience from the past four phases of the PSNP and the anticipated level and intensity of PSNP5 implementation, GoE has reviewed the potential incidents into two i.e., indicative, serious /severe, as classified by the World Bank. Such classification will help to design appropriate supervision and monitoring systems and enable implementing agencies provide the necessary attention or focus to the indicative one which could frequently happen and widely affect the program. The below table sets out examples of incidents classified as indicative and serious/severe.

Indicative	Serious / Severe
<ul style="list-style-type: none"> Localized dust pollution Poorly functioning erosion-control measures Small-scale crop damage - as a result of Public works sub projects Grievances due to project use of public roads Minor impacts on livelihood restoration and/or access to community natural resources Minor social conflict related to or affecting the project Delays by GRM in handling/addressing grievances Local increase in the occurrence of communicable disease (human and livestock) Minor job site injuries Almost empty first aid kit at site Poorly organized or sporadic health & safety induction and training Risk of introduction of invasive exotic species 	<ul style="list-style-type: none"> GRM not functioning (<i>serious</i>) Injuries requiring off-site medical attention(<i>serious</i>) Over-exploitation of local natural resources (could occur if the Livelihoods ESMF is not well implemented) (<i>serious</i>) Child labour (<i>severe</i>, along with human trafficking) Accidents resulting in lasting damages /disability or (<i>severe</i>) Gender based violence at the public work site; Gulley erosion caused by poorly designed roads

18. Incidents Supervision and Monitoring System

The GoE will periodically supervise, monitor and report on the occurrence of incidents through periodic reports (monthly, quarterly, bi-annual and annual), and field monitoring visits in accordance with the agreement with the World Bank. Necessary trainings will be provided to the staff working at all levels such that they will be able to monitor and report on time to their respective supervisors per the standard template (See Annex 2). By doing that the GoE will ensure a periodic flow of information on each incident following a bottom-up approach where:

- Kebeles will provide information on each type of incident to woreda on weekly basis;
- Woredas compile and aggregate each incident data and report to zones on monthly basis
- Zones compile woreda incident reports and submit to Regions on monthly basis and;

- Regions include incidents⁷⁰ report into their periodic reports that they submit to the Federal Government

19. Responsible Body at Different Levels

This section describes list of relevant institutions / responsible body expected to collect data on the actual incidents occurred in the process of project implementation and report to the next higher hierarchy as per the agreed template and timeline.

5.1 Kebele Level

- DAs in collaboration with HEWs will collect and compile each incident and report to kebele administration / agriculture office,
- Kebele administration / agriculture office will review and submit the woreda office of agriculture with a copy to woreda food security task force.

5.2 Woreda Level

- Woreda office of agriculture will compile and analyses incident reports received from different kebeles
- Woreda Agriculture and Health offices s⁷¹ will conduct field supervision, assess the root causes and share their observation to Woreda food security taskforce and PWTC
- Woreda agriculture and health offices will jointly prepare incidents report and formally submit to the zonal office of agriculture⁷²

5.3 Zonal Level

- Zonal Agriculture office will compile woreda reports and prepare aggregated incident report and formally submit to regional food security office and copy to natural resources and livelihoods coordination units,

5.4 Regional Level

- Regional natural resources and livelihoods coordination units will jointly undertake periodic supervision and provide technical support to woredas staff
- Regional natural resources and livelihoods coordination units consolidate woreda/zonal incident reports and submit to the regional food security task force for clearance and endorsement
- Regional bureaus of agriculture will include incident report into its periodic progress report to Ministry of Agriculture and copy to Food Security Coordination as well as Natural resources management Directorates,

5.5 Food Security Coordination and Federal Natural Resources Management Directorates

⁷⁰ Program progress or performance reports to be prepared by implementing agencies including regions, zones and woreda should consider a separate section for events related to incident.

⁷¹ It is expected that these offices will assign focal persons who will undertake this task

⁷² Where the zonal structure is functional; otherwise submit to the regional food security office

- Will jointly provide training of trainers on the ESIRT to the respective regional staff which will be cascaded to frontline implementors (woreda experts, DAs and HEW, ETC.,
- Will jointly conduct supervision and oversighting role to ensure that the tool is used, and incidents are properly reported
- Will jointly Analyses and aggregate regional incident report

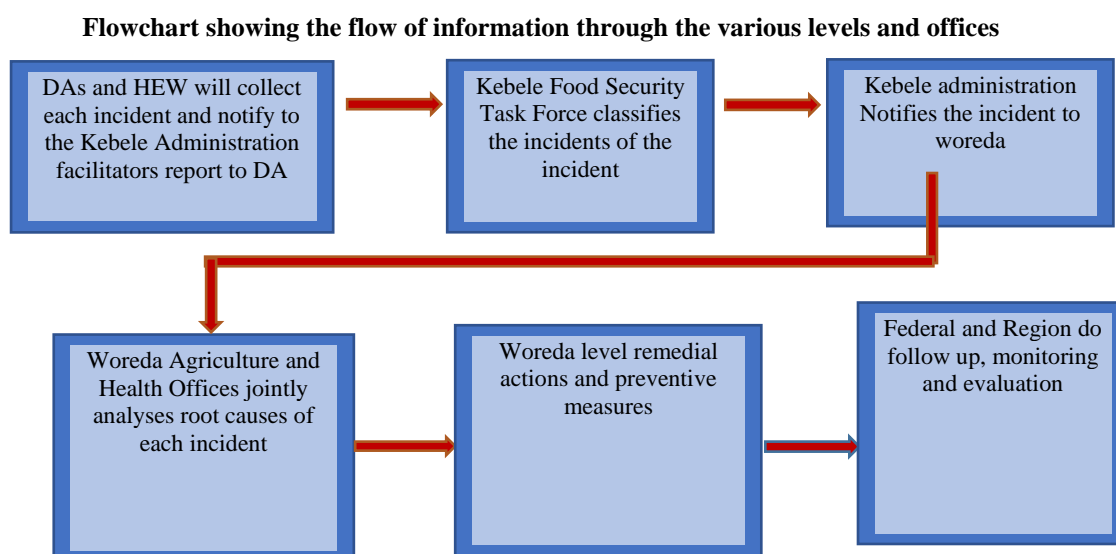
6. Incident Monitoring and Reporting Flow Chart:

PSNP5 quarterly progress reports of the GoE will have a separate section for the incidents⁷³ occurred in different regions such that the World bank will have adequate information on quarterly basis

As indicated in the World Bank ESIRT the incident management and reporting process comprises the following steps.

- On site incident notification
- Incidents classification at kebele level
- Incidents notification to the woreda implementers
- Joint incidents root cause analysis by relevant woreda offices
- Remedial actions and prevention measures taken
- Monitoring and evaluation

These steps are summarized in the following flowchart.



⁷³ To facilitate incident reporting processes, a separate template will be developed and included into the PSNP 5 performance

Annex 1: Reporting Templates**1. DAs and HEWs Incidents Notification⁷⁴ Template**

Region ----- Zone ----- Woreda ----- Kebele -----
 -----Watershed -----

Budget year (EFY): ----- Reporting period: Month----- Week -----

No.	Site name	Subproject type	Type of incident ⁷⁵	No. of Affected people	Affected environment

Reported by (DA/HEW): -----

Signature: -----

Date: -----

2. Kebele Level Incidents Classification Template

Region ----- Zone ----- Woreda ----- Kebele -----

Budget Year (EFY): ----- Reporting period: Month-----

No.	Type of incidents	List of Incidents	Number of people affected	Affected environment	Incident classification

Reported and approved by Kebele officials:

Signature: -----

⁷⁴ Development agents and Health Extension Workers are responsible to collect data and fill incidents notification template that will be submitted to and kebele administration officials to do classification and reporting to the woreda officials

Date: -----

3. Woreda Level Incidents Reporting Template

Regions ----- Zone ----- Woreda -----

Budget Year (EFY): ----- Reporting period: Month-----

No	Type of incidents	List of incidents	# of People affected	Affected environment	Incident classification

Root causes and remedial actions⁷⁶ taken:

Indicative: -----

Serious / on site injuries -----

Severe / on site fatalities -----

⁷⁶ The is where woredas will provide detailed information on the causes and remedial action taken to respond to every incident. In necessary it is possible to use extra space to explain what happened, why it has happened and how it was dealt with in terms of taking appropriate preventive measures for each incident.

4. Zonal⁷⁷ Level Incidents Reporting Template

Region ----- Zone ----- Budget Year (EFY): -----

Reporting period: Month-----

No.	Type of incidents	# of Woredas reporting incidents	List of Incidents occurred in the Zone	Total people affected by incidents	Estimated areas affected environment

Supervision and follow up support⁷⁸: ----------

Reported by (Responsible person for PW): ----- Approved by: ----

Signature: -----

Date: -----

Signature: -----

Date: -----

⁷⁷ This is conditioned to where the zonal level PSNP structure is functional and it does not apply where there is no zonal structure responsible for the PSNP

⁷⁸ This mainly focuses on effectiveness of the remedial actions that woreda have taken and document lessons and good practice to be shared with other woredas with in and outside the zone

5. Regional Level Incidents Reporting Template

Region ----- Budget Year (EFY): ----- Reporting period:
Quarter-----

No.	Type of incidents	#Incidents occurred in the region	#Woredas reporting incidents	Total population affected by incidents	Estimated Areas Affected

Supervision and follow up support : -----

Reported by (ESMF or NRM Specialist): ----- Approved
by: -----

Signature: -----

Signature: -----

Date: -----

Date: -----

6. Federal Level Incidents Reporting Template outline:

It is noted that Federal Government is expected to provide a summary of incident report (maximum of 2 pager) every quarter to the development partners including the World bank using a standard template. Thus, the below outline will help the government report⁷⁹ capture the necessary information:

Project name -----

Type of incidents (environment, social and human) summary:

- Environmental
- Social
- Human

Levels of incident classification⁸⁰

- Indicative
- Serious
- Sever

Regions where incident has occurred, and remedial action taken:

- Tigray -----

- Amhara-----

- Oromia-----

- SNNPR-----

- Somali -----

- Afar-----

- Dire Dawa-----

⁷⁹ This refers to the quarterly, bi-annual and annual performance reports that FSCD will submit to the development partners

⁸⁰ Brief definition or explanation on the levels of classification in highlighted in section 3 of this guideline

- Harari

Lessons learnt:

Annex 18: Voluntary Land Donation (VLD) Procedure

1. Background

Food insecurity has become one of the defining features of rural poverty, particularly in drought-prone areas of Ethiopia. Poverty is widespread in both rural and urban areas. However, the magnitude is much greater in drought-prone rural areas than in urban areas.

The Government of Ethiopia has decided that there is an urgent need to address the basic needs of extremely poor and chronically food insecure households via a productive safety net system financed through multi-year predictable resources, rather than through a system dominated by emergency humanitarian aid.

PSNP was launched in 2005 with the intention to address rural food insecurity, build resilience, and reduce the need for humanitarian appeals. Over the years the program expanded gradually to cover about 8 million direct beneficiaries from 2.5 million rural households in 40 percent of the country's districts (woredas).

The PSNP provides:

- Transfers of cash or food to the food insecure population in chronically food insecure woredas in a manner that prevents asset depletion at the household level and creates assets at the community level. This programme incorporates community-based Public Works (PW) subprojects, which are implemented by the communities in return for the transfers;
- Services to foster and support micro-level activities enabling beneficiaries to build assets at the household level and strengthen livelihoods, known as the Livelihood Strengthening Subcomponent.

The Voluntary Land Donation (VLD) procedure addresses issues that may arise in the Public Works (PW) programme.

The PW subprojects, which constitute a portfolio of some 43,000 community-level activities each year, are intended to create or renovate community-level assets, and contribute to rural transformation.

The subprojects are selected by the communities following a participatory procedure, and are designed in accordance with good-practice technical guidelines.

Subprojects will be implemented in rural areas, within the identified regions. In cropping areas, they are expected to be within one-hour's walking distance from the homes of the intended beneficiaries, or less in areas of steep or difficult terrain.

In pastoral areas, subprojects will be organized at strategic locations such as nearby villages or range lands to which families can send selected able-bodied members.

2. Public Works Projects: Eligibility Criteria

PSNP5 PW subprojects are labour-intensive, community-based activities designed to contribute to watershed/rangeland development, respond to the needs of Climate Change, Disaster Risk Management and Ethiopia's Nutrition policy, and to provide employment for chronically food insecure people who have "able-bodied" labour. The Programme

Implementation Manual (PIM) requires that to be eligible for financing under the PSNP, the subprojects must be environmentally sound and socially acceptable. It specifies that projects should be adapted to local conditions and protect the biophysical and social environment. They should be based on sound technical advice, and adequate technical supervision should be available to ensure the quality of work.

The subprojects are also required to meet the following criteria:

- *Labour intensity*: Subprojects activities must be labour-intensive and use simple tools as much as possible.
- *Community and household level benefits*: The subprojects must benefit the community as whole or groups of PSNP beneficiary households within a given area.
- *Community and PSNP household acceptance*: The subprojects must be accepted and approved by the community and the targeted households. They should have active community support and commitment.
- *Feasibility and sustainability*: The subprojects must be technically sound, socially acceptable and economically feasible. They should be simple and manageable in implementation and also in on- going maintenance in order to be sustainable.
- *Productive*: The subprojects should create durable community assets which should contribute to watershed development and to the reduction of poverty and food insecurity.
- *Gender sensitivity*: Priority should be given to subprojects that are assigned to enable women to participate and which contribute to reducing women's regular work burden and increase access to productive assets.

The following types of project are ineligible under the PSNP Project:

- Subprojects within, or adjacent to, internationally-disputed territory;
- Subprojects that are not labour-intensive;
- Subprojects located in or affecting a Prime Forest Area, a wetlands, or a modified, natural, critical or legally protected area of recognised biodiversity value;
- Subprojects likely to involve involuntary resettlement, or involuntary loss of assets or access to assets;
- Subprojects incorporating a dam more than 10 metres in height.

While noting that there will be no PW subprojects potentially involving relocation, or *involuntary* loss of assets or access to assets, it may nonetheless occur that a subproject may involve, for example, voluntary loss of use of a piece of land utilised by a pipe traversing a farmer's plot, or voluntary loss of access to a piece of grazing land used for an irrigation canal. This VLD procedure requires that such potential land donation be well assessed in line with voluntary land donation principles in the World Bank Standard ESS5, and the donor may request monetary or non-monetary benefits or community assistance/incentives as condition for donation. In such cases, the members make the voluntary land donation in return for benefits or services related to the subproject. The benefits may include getting priority in employment opportunity (like as a guard) by the project, and the like.

Alternatively, if appropriate, the member may receive in-kind compensation such as a piece of replacement land. The in-kind compensation is at replacement cost (in lieu of cash compensation) and the replacement land provided has to have a combination of productive potential, locational advantages, and other factors at least equivalent to that being lost.

3. Types of Subproject

The selection of activities to be undertaken under the PW component will be driven by the local planning process, which will include inputs from both men and women as well as representatives from vulnerable groups, in order to identify community and PSNP households' needs and prioritise activities based on those needs. This will allow a pipeline of subprojects to be developed.

Priorities, desirable outcomes and connected activities will vary based on location. Examples of outcomes and activities in settled cropping areas such as are typically found in highland mixed farming areas, are outlined in the Table below.

Table 1. Examples of PW Subprojects and Expected Outcomes

Typical Subprojects	Expected Outputs	Expected Outcomes
<ul style="list-style-type: none"> • Biophysical soil and water conservation • Forestry and agro forestry 	Improved land productivity Increased land availability for land-poor and landless soil fertility restoration	Improved crop production, crop yields and livelihoods
<ul style="list-style-type: none"> • Water, small scale irrigation sub projects 	Improved access to drinking and irrigation water	Improved crop production and livelihoods Improved health, improved food production and livelihoods
<ul style="list-style-type: none"> • Vegetative fencing and fodder belts • Conservation measures • Fodder seed collection 	Increased availability of fodder,	Improved crop production, livestock management and livelihoods
<ul style="list-style-type: none"> • Social infrastructure construction and rehabilitation 	Improved school and health facilities	Improved health and education
	Improved access to health, education and farmer training services and to markets	Improved health, education, marketing of on-farm and off-farm products, and livelihoods
<ul style="list-style-type: none"> • Nutrition sensitive PWs 	Improved access to child- care facilities	Improved mother and child care, health and safety

Pregnant and lactating women (PLW) clients will substitute participation in social service ('soft conditionality') programmes for all of their PW labour-days. These social service programmes include the following:

Table 2. ‘Soft Conditionality’ Programs and Expected Outcomes

Typical Services	Expected Outputs (Examples)	Expected Outcomes (Examples)
<ul style="list-style-type: none"> Nutrition classes 	Improved knowledge of nutrition	Improved nutrition status of community members
<ul style="list-style-type: none"> Ante-natal classes 	Improved knowledge of ante-natal care	Improved health status of mother and child
<ul style="list-style-type: none"> Behavioral Change Communication classes 	Improved knowledge of use and benefits of latrines, and of the use of health facilities	Improved community health and nutrition status

4. Principles of the VLD Procedure

This VLD procedure applies when a household is making a voluntary donation of assets or access to assets in exchange for subproject benefits or services. In the context of Ethiopia, where all land is owned by the Government, “land donation” is taken to mean “donation of land use”.

In cases where household in effect, after adequately consulted and informed all the project benefits and available alternatives, compensations, etc. and still has no choice, and no alternative site for the subproject, loss of land would be regarded as involuntary. Such cases are not eligible as PSNP PW subprojects, and in any case the Voluntary Land Donation Policy would not apply.

In some circumstances, it may be proposed that part or all of the land to be used by the project is donated on a voluntary basis without payment of full compensation. Subject to prior Bank approval, this may be acceptable providing the Borrower demonstrates that:

- The potential donor or donors have been appropriately informed and consulted about the project and the choices available to them;
- Potential donors are aware that refusal is an option, and have confirmed in writing their willingness to proceed with the donation;
- The amount of land being donated is minor and will not reduce the donor’s remaining land area below that required to maintain the donor’s livelihood at current levels;
- The proportion of land that may be donated must not be the donor’s main source of income and should not significantly affect the donor’s livelihood, voluntary land donation cannot exceed 10% of an individual’s holdings
- No household relocation or physical displacement is involved; donation of land should not occur if it requires any household relocation, loss of structures or fixed assets on affected portion of land.
- The donor is expected to benefit directly from the project; and
- For community or collective land, donation can only occur with the consent of individuals using or occupying the land i.e. verification of the voluntary nature of land donations must be obtained from each person donating the use of land; The Borrower will maintain a transparent record of all consultations and agreements reached.
- The land required to meet technical project criteria must be identified and agreed by the affected community, not only by line agencies or project authorities;
- The land in question must be free of squatters, encroachers, or other claims or encumbrances;

- If community services are to be provided under the project, land title must be vested in the community, or appropriate guarantees of public access to services must be given by the private titleholder;
- A Grievance Redress Mechanisms (GRM) must be available

5. Voluntary Land Donation Procedure

When each subproject is selected by the community during the annual community planning, the Development Agent (DA) checks the subproject site, conducts a preliminary design, and carries out Screening according to the principles of the Environmental and Social Management Framework (ESMF).

The DA Screening procedure includes the following provisions:

- Elimination of any subproject likely to involve household relocation or physical displacement, involuntary loss of assets or access to assets;
- The amount of land being donated should be minor, should not significantly affect the donor's livelihood and not reduce the donor's remaining land area below that required to maintain the donor's livelihood at current levels. Voluntary land donation cannot in any circumstances exceed 10% of an individual's land holdings;
- No household relocation or physical displacement may be involved;
- The donor is expected to benefit directly from the project; and
- For community or collective land, donation can only occur with the consent of individuals using or occupying the land.

In the case of potential voluntary land donation, the DA may still approve the subproject (subject to the other Screening requirements), but is required to notify the Woreda Natural Resources (NR) Expert in the NR Case Team (hereafter referred to as the Woreda NR Expert) that the subproject has been earmarked as a subproject requiring *Special Attention*.

When the Woreda NR Expert receives the subproject file, he or she passes it on to the Woreda NR Case Team for review and consolidation into the kebele plan, but also triggers the following procedure:

- The Woreda NR Expert contacts the DA responsible for the Screening, and requests the DA to meet with the potential voluntary asset donor(s).
- After satisfying him/herself that the donor is making the donation on a voluntary basis, the DA arranges meeting/consultation⁸¹ between the donor(s), the DA, the Chair of the Kebele Land Administration Committee, and the Woreda NR Expert.
- At that meeting the Woreda NR Expert satisfies him/herself that the donation is being made on a voluntary basis, and that each donor understands the procedure being followed.
- The Voluntary Land Donation Form is then completed, signed and dated in four (4) copies by the concerned parties.
- One completed copy is filed at the Kebele Land Administration Office; one at the DA's office, one remains with the donor, and one is filed at the Woreda NR Case team office.

⁸¹ Community consultation will be conducted during the planning phase of the subprojects

In the event of a grievance, complaint or dispute being lodged the cases will be resolved following the PSNP5 Grievance Redress Mechanism (GRM).

6. Consultation, Documentation and Reporting

Consultation

- Voluntary land donations for a sub-project must be openly discussed in public consultations to establish that (i) the donor is the legitimate owner of such land (ii) the donor is fully informed of the purpose of the donation and of the implications of donating the land (iii) the donor is aware that refusal is an option and should not be coerced.
- For communal lands donated by the Kebele/Woreda, individuals using or occupying the land must also be identified and consulted to minimize the risk of settlers or migrants losing their livelihood due to the land donation decision.
- For family lands, family members (including spouses) must be aware of the donation, in order to minimize the risks of cross-generational conflicts.
- For government lands, through sub-project screening should establish that the land is free of claims (e.g. from squatters or encroachers)

Documentation

Evidence of consultation (minutes of consultation indicating among others list of stakeholders and their affiliations or interest to land, all agreed actions from consultations, Assessment of the procedure against the principles

A formal statement or documentation (e.g., Memorandum of understanding, deed of donation, minute etc.) for each instance of land donation establishing informed consent and signed by each owner or user involved

Reporting

The report should include but not limited to the following information

- Number and types of subprojects requiring Voluntary Land Donation
- Name and Sex of the land donor
- The land size voluntarily donated to the project
- Proportion of the donated land
- Consultations held
- Numbers of land donations processed and documented
- Delivery of entitlement or assistance in compliance with the terms and conditions for VLD if any.
- Grievances and action take to address

Productive Safety Net Voluntary Land/Asset Donation Form

Region: Woreda: Kebele:

Name of the donor:.....
(Separate sheet/form may needed for communal donation by community members)

Name of spouse :.....

Community/Village:

PW Subproject Name:

I/we , [name(s)] hereby declare that I/we are donating use of the following land/asset for the benefit of the above-named PSNP Public Works subproject:

<p>Description of land/asset being donated:</p> <p>Location:</p> <p>Area:</p> <p>Land Use certificate Number (if any):</p>	<p>Sketch Plan showing donation (attach separate sketch if necessary):</p>
--	--

I also confirm that:

1. The amount of land/assets being donated is minor, and will not reduce my/our remaining land area below that required to maintain my/our livelihood at current levels, is less than 10% of my/our landholdings.
2. The land/asset donation does not involve relocation or physical displacement of the donor(s).
3. The community has determined, and is satisfied, that this land/asset donation is required by the subproject.
4. The land/asset being donated is free of squatters, encroachers, or other claims or encumbrances.
5. I/we had a free choice as to whether to make this donation or not.

Annex 18: Voluntary Land Donation (VLD) Procedure

6. I/We have voluntarily donated without any imposition; I/we are satisfied, and hereby confirm, that any loss suffered by me/us as a result of this donation is compensated for by:
 - (i) The benefits I/we will receive from the subproject (tick:.....), or
 - (ii) Land/asset that I/we have received in compensation, Land Use Cert. No: (tick:....).
7. This donation is being made entirely on a voluntary basis.
8. I/we hereby grant community access rights to the land/asset donated for the use of the subproject.

Signed (donor) Name: Date:
(Separate sheet may needed for communal donation by community members)

Signed (spouse) Name: Date:

Signed Name: Date:
(Witness: Woreda Natural Resources Expert)

Signed Name: Date:
(Witness: Development Agent)

I hereby witness the above declaration, confirm the contents thereof, and hereby further confirm that the individual donating the land , the community has land use rights to the land donated, and that guarantees of public access has been given by the donor, as required.

Chair, Kebele Land Administration Committee, Kebele

VLD: Public Consultation Documentation Template/Form

1. Consultation Date: _____
2. Sub-project Type: _____
3. Specific Name of the Project: _____
4. Place of Consultation: Region: _____, Zone: _____,
Woreda: _____, Kebele: _____
5. Sub-kebele (specific village/place): _____
6. Purpose of Consultation: _____
7. Consultation Time Started: _____
8. Consultation Method: _____
9. Consultation Agendas/ Issues:
 1. _____
 2. _____
 3. _____

Additional Issues Raised During Consultation

10. Agreed Agendas/ Issues

11. Disagreed Agenda/issues including Reasons for Disagreement

12. Consultation Ended Time: _____

Consultation Facilitators Names:

Signature:

1. _____
2. _____
3. _____

Kebele Seal: _____

13. Consultation Attendants/ Participants:

No.	Name of Participant	Age	Gender	Position	Telephone	Signature
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						
11						
12						

Annex 19: Enhanced Social Assessment and Consultation (ESAC) Phase I & II

Phase I

1. Executive Summary

The fifth phase of the Productive Safety Net Project (PSNP) of the Government of Ethiopia (GoE) will be launched by December 2020 and have a duration of five years (FY 2020/21-2024/25).

The World Bank is currently preparing the Strengthen Ethiopia's Adaptive Safety Net (SEASN) project to support the Government of Ethiopia (GoE) implement its fifth phase of the PSNP (PSNP5). Environmental and social issues related to the proposed project will be assessed using the World Bank's Environmental and Social Standards (ESS) set out under its new Environment and Social Framework (ESF). As part of the preparation for the PSNP5, the GoE (Ministry of Agriculture) has prepared the Enhanced Social Assessment and Consultation (ESAC) first phase Assessment to address World Bank's requirements in respect of Environment and Social Standard (ESS7); Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities and ESS1 on Assessment and Management of Social Risks and Impacts under the ESF.

Productive Safety Net Project-Phase five (PSNP5)

The Outcome of PSNP5 is “*Enhanced resilience of extremely poor and vulnerable female and male members of rural households in PSNP woredas.*” The project includes the following six outputs.

- (a) **Output 1:** Timely, predictable, appropriate and adequate transfers received by eligible core caseload of male and female PSNP clients
- (b) **Output 2:** Households affected by climate-induced⁸² shocks receive adequate transfers which help them to manage shocks when needed
- (c) **Output 3:** Sustainable, appropriate, and gender and nutrition responsive public works respond to community and PSNP households' livelihood needs and contribute to climate change adaptation and mitigation
- (d) **Output 4:** Linkages to available social services facilitated for eligible core caseload PSNP clients focusing on the most vulnerable (PDS, TDS, PLW)
- (e) **Output 5:** Tailored, nutrition, climate and gender responsive and diversified livelihood options accessed by PSNP clients through accountable delivery system
- (f) **Output 6:** Strengthened program management, coordination and capacity development with accountable mechanism to ensure effective and efficient overall program delivery

The Project Development Objective (PDO) is to expand geographic coverage and enhance service delivery of Ethiopia's adaptive rural safety net to improve the well-being of extremely poor and vulnerable households in drought prone communities.

⁸² Climate change-induced shocks refers to climate change-related events, including rapid onset shocks (like floods, disease outbreaks, food price increase, etc.) and slow onset shocks (like drought, food price volatility, environmental degradation, etc.). However, in the context of PSNP5 shock responsive safety net, the use of the term is limited to refer to the following shocks: drought, flood, frost and pest.

Enhanced Social Assessment and Consultation (ESAC): The Enhanced Social Assessment and Consultation for the project will combine assessing the needs of historically underserved local communities (ESS7) and potential indirect and community level social impacts for the public work, livelihoods and transfer component (ESS1). It includes assessing the potential social benefits and risks and its implications for program design and implementation; and provide practical recommendations for dealing with the challenges and risks identified.

This ESAC aims to ensure that the design of the PSNP5 is inclusive and equitably supports the most vulnerable and historically underserved populations⁸³ in Ethiopia through assessing their specific needs and realities, identifying the potential social impact of the proposed interventions of the PSNP5 on their sociocultural, economic and political wellbeing. It also assesses the progress towards implementation of the PSNP IV and Ethiopia Rural Safety Net Project (ERSP)' Social Development Plan (SDP), prepared as part of the (2014) PSNP IV ESAC, and 2017 ERSP ESAC.

The PSNP5 ESAC has two phases. The first phase represented by this volume presents the findings of the studies and consultations conducted before and during the course of PSNP IV, and explains how they have been integrated in the design of PSNP5. Since PSNP5 does not involve any fundamental changes in the design of the PSNP, these findings have been adopted as entirely relevant for the preparation of PSNP5. The second phase of the ESAC, will carry out community consultations with specific vulnerable groups, particularly those new to the PSNP in selected new and old woredas, in order to develop any community-specific or area-specific adjustments in project design or implementation and update of instruments that may be required in order to ensure that the project fully responds to those community needs.

Accordingly, the first phase of ESAC reviewed key studies and evaluation reports which engaged community at large and the vulnerable groups in particular. Recent community level analysis such as PSNP5 gender analysis and GBV risk assessment report help the ESAC to ensure community level perception and voice are integrated in this phase. The findings of the evidence review were also supplemented by discussion with federal level government and development-partner specialists.

Key Findings

According to the analysis of existing information and discussion with federal level government and development partners based experts, the main social issues and challenges are: (i) limited access to Muslim friendly financial services; (ii) PW plans may not necessarily prioritize projects identified by women or alleviate their work burden; (iii) possible negative impacts on children of parents working on PWs in the limited access to child care services; (iv) remote nature of pastoralist communities and limited access to social services; (v) resentment among PSNP clients caused by differing transfer value between PSNP and humanitarian food assistance (HFA); (vi) community health, safety and child labor risk on PW construction sites; (vii) limited awareness and access to GBV prevention and response services; (viii) exclusion of newcomers in Afar and Somali who may not belong to the extended family, lineage or even the clan which controls the territory; (x) ineffectiveness

⁸³ *most vulnerable and historically underserved populations often includes: women in male headed and female-headed households, polygamous households, pastoralist households, unemployed rural youth, labour-poor households, the elderly, pregnant and lactating mothers, malnourished children, people living with HIV/AIDS (PLHIVs) and labour-poor households, in existing and new woredas of the project*

of the GRM system as the Kebele Appeals Committee (KAC) lacks the capacity to carry out its responsibility; (xi) unmet demand in pastoral areas for livelihoods support services; (xii) PW plans may not necessarily prioritize projects identified by women or alleviate their work burden; (xiii) limited awareness and access to Gender Based Violence (GBV) prevention and response services, potential Sexual Exploitation and Abuse (SEA) risks linked to sexual favors for registration, domestic violence in some areas due to disagreement between spouses on how to use program transfer, lack of procedure for complaints related to GBV/SEA xi) Gap in women's meaningful participation during project targeting, public work planning and implementation; (xii) women's dissatisfaction and conflict between spouses resulted from transfer collection husbands in married HHs, (xiii) social unrest as a result of inappropriate implementation of procedure over voluntary loss of assets for social infrastructure, and conflict between up and down stream users due to resource sharing especially small scale irrigation are also stated as social risks.

Among the social issues and challenges specific to historically underserved communities (pastoral communities), the followings are prioritized as the key ones.

- **Limited access to Muslim friendly financial services:** Muslim clients are not accessing loans due to the interest, which is considered as a breach of religious norms or 'haram', and given residents in pastoral regions are predominantly Muslim, the challenge is more pronounced in pastoral areas;
- **Exacerbated Workload of Women specially in pastoral areas:** women in pastoral areas are forced to cover for all PSNP PW requirements of the household particularly during dry season. This further adds to an already heavy workload on women;
- **Remote nature of pastoralist communities and limited access to social services:** clients in in most of the pastoral woredas might not benefit out of the project's effort to link them with key social services given there are extreme supply side constraint in availability of these services;
- **Exclusion of newcomers in Afar and Somali who may not belong to the extended family lineage or even the clan which controls the territory:** residents or newcomers who do not belong to the extended family, lineage or even the clan which controls the territory are often not targeted for a project; and
- **Increased unmet demand in pastoral areas for livelihoods support services:** communities and implementers in Somali and Afar regions considered the fact that the project has not started the implementation of its LH output as unfair

In order to address these and other social issues identified by the ESAC, the project integrated measures such as a plan to work with financial service providers to develop Muslim friendly financial services, align the PW implementation with non-migration season, contribute to the improvement of social services in pastoral areas by constructing/renovating structures which provides social services using PW labour, improving accountability and capacity in pastoral areas for implementing the project's targeting criteria, and the project will roll out its livelihood strengthening output in the pastoral regions by contextualizing it to the need and realities of the area.

Similarly, among the social issues and challenges that affected the most vulnerable community groups such as women and children include the following. PW plans may not necessarily prioritize projects identified by women or alleviate their work burden mainly because participation of women in PW planning has been suboptimal. The limited availability of childcare services in PW sites forced mothers to leave their child at home whenever

possible for longer hour which affects their continued breastfeeding. In some cases, mothers work in the PW sites while carrying their children on their back pose high risk to the children.

Equality and fairness in accessing benefits of the project will be ensured as per the project key principles; and unintended negative impact will be prevented, minimized and addressed as much as possible. Details on potential vulnerabilities specific to the identified vulnerable groups and strategies/actions to address them are identified and included in the program's Social Development Plan (SDP). These includes but not limited to (i) using Proxy Means Testing (PMT) as a means of strengthening project exit, (ii) annual Grievance Redress Mechanism (GRM) review and integrating the recommendation of the review in annual project plan to improve the functionality and impartiality of the kebele appeal committees and its linkage to the wider government grievance system; (iii) consider the engagement of poor and landless qualified youth as community facilitators; (iv) Implement the GBV action plan to respond to the identified risks; (v) Revision and application of key Gender and Social Development (GSD) provisions such as participation of women in PW planning process as well as reducing women's burden, are revised; (vi) pilot and gradual expansion of Early Childhood Development (ECD) services; (vii) extension of lactating women's PW exemption to 24 months; (viii) harmonize all operating procedures of PSNP5 and HFA, including targeting structures, processes and transfer values to improve on the effectiveness of current arrangements for a continuum of response; (ix) expanded role of MoLSA structures at all level to support the project to ensure linkage to social services including GBV responses and child labour; (x) livelihood strengthening output will be implemented in selected woredas of pastoral areas as well as committed to work with financial service providers to avail Muslim-friendly financial services; (xi) Ensure appropriate implementation of ESMF procedure over voluntary loss of assets for social infrastructure; and (xii) create mutual understanding among up and down stream irrigation users. Summary of the ESAC and Social Development Plan have been included in the Environment and Social Management Framework (ESMF).

Ministry of Agriculture (MoA) directorates mainly Food Security Coordination Directorate (FSCD), Women and Youth Affairs Directorates (WYAD), and Natural Resource Management Directorate (NRM), and Ministry of Labour and Social Affairs (MoLSA) and their regional and woreda counterparts are the main responsible institution for monitoring and implementation of the proposed mitigation measures.

2. Introduction

In 2005, the Government of the Federal Democratic Republic of Ethiopia (GoE) in collaboration with a group of donors has initiated a long-term development-oriented approach/strategy to respond the recurring chronic food insecurity in rural Ethiopia. The strategy consists of three components which are a safety-net component, Other Food Security Programme (OFSP), and the Resettlement Programme components.

The Productive Safety Net Project (PSNP); which is the key element of the Safety Net component of the strategy; was launched in February 2005 by providing support to 4.8 million people living in 192 of the most chronically food insecure woredas in four major highland regions (Amhara, Tigray, Oromia and Southern Nation and Nationality People (SNNP) regions). It aims to smooth the consumption of chronically food insecure households through the provision of food and cash transfers which are intended to fill the food gap. The support was provided in a way that it strongly contributes to the prevention of asset depletion at the household level and creates/restores assets at the community level.

How to improve the food security situation of all beneficiaries while being relevant to and also contributing to the transformation of their differing socio-cultural, economic and ecological contexts has been a major challenge that PSNP has been dealing with since its inception. To this end, designs of successive phases of PSNP have increasingly expanded its geographic reach (400 woredas) through including more woredas in the initial four regions, and covering woredas in pastoral and agro-pastoral regions (Afar, Somali and Harari) and city administration (Dire Dawa). The number of its clients also tremendously increased (8 million) and key elements relevant to transform the wellbeing of the clients have been introduced.

The project in general and its implementation progress in highland regions in particular, is widely regarded as a success. It has reduced rural poverty and helped the poor buy food during a severe drought in 2016 that might have led to famine (The Economist, 2018). It has been successful in improving household food security (Gilligan et al. 2009; Berhane et al. 2015). Evaluation findings have shown that PSNP clients are more resilient to droughts and can bounce back twice as fast as households outside of the project. The public works output has added benefits for communities, for example turning 1.2 million hectares into productive land with soil and water conservation activities (MoA, 2019). In the lowland regions however, evaluations found no significant impact on most relevant outcomes except a decrease in food insecurity.

The project; which is the largest of its kind in Africa; currently is concluding the implementation of its 4th phase and in the process of designing the next generation based on the evidences and learning documented by a sheer numbers of studies, assessments and impact evaluations which have been carried out for the past couples of years of its implementation.

The previous rounds of PSNP ESACs identified pastoral woredas for their high vulnerability to chronic food insecurity and being home to historically underserved groups. They are inhabited by distinct socio-cultural groups, each with distinct culture and language. However, a number of social and cultural similarities may be identified among these groups. Among these similarities is the role that traditional authority structures still play in the social organization of these communities, a predominantly pastoral mode of livelihood, the strength of the traditional social protection system, low levels of urbanization, large household sizes and common polygamous family structures, a conception of wealth/ poverty which appears to be primarily tied to depth and multiplicity of social ties and secondarily to acquisition of material wealth. Moreover, all groups have experienced and/or continue to deal with social conflict with neighboring socio-cultural groups - in some cases, among clans within the same socio-cultural group. These social conflicts are mainly economic - largely due to competition over natural resources (mainly water and pasture) and which may involve cattle raiding (MoA. 2014 and 2017). Similarly, most vulnerable and historically underserved populations often includes: women in male headed and female-headed households, polygamous households, pastoralist households, unemployed rural youth, labour-poor households, the elderly, pregnant and lactating mothers, malnourished children, people living with HIV/AIDS (PLHIVs) and labour-poor households, in existing and new woredas of the project.

2.1 Project Overview

Productive Safety Net Programme 5

The fifth phase of the PSNP maintains the key outputs, principles, number of clients and regional scope of its previous phases; and at the same time has introduced and/or further strengthened key elements and strategies. It aims to contribute to the ten years development plan GoE (2020-2030), and to the achievement of four key government policies, strategies such as the Social Protection Policy, the National Disaster Risk Management Policy and Strategy (NDRMS), and the Climate Resilient Green Economy (CRGE) strategy. It aims not only to respond to chronic food insecurity but also to prevent asset depletion and protect against short-term shocks in chronically food-insecure areas as well as to create assets at the community level, to enhance access to services, to prevent the depletion of natural resources and to rehabilitate ecosystems. The project is expected to further strengthen the already started transition from a series of time-bound programs to the development of an efficient and effective system for delivering rural safety net through consolidation of the PSNP and the Humanitarian Food Assistance (HFA) under a single scalable safety net.

The project provides cash and/or food transfer for its clients. Households that have able-bodied adult labor are expected to engage in public works (PWs) and receive transfer for 6 months of the year. While Permanent Direct Support (PDS) clients; households that are unable to provide labor for public works; receive 12 months of unconditional transfers. It also facilitates access to complementary livelihood services which aims to improve the access of PSNP clients to technical and financial livelihoods support services.

PSNP5's overall Project Development Objective is “*expand geographic coverage and enhance service delivery of Ethiopia’s adaptive rural safety net to improve the well-being of extremely poor and vulnerable households in drought prone communities*”.

The Outcome of PSNP5 is “*Enhanced resilience of extremely poor and vulnerable female and male members of rural households in PSNP woredas.*” The project will attempt to achieve this through implementing the following 6 outputs i) timely, predictable, appropriate and adequate transfers received by eligible core caseload of male and female PSNP clients, ii) Households affected by climate-induced shocks receive adequate transfers which help them to manage shocks when needed, iii) Sustainable, appropriate, and gender and nutrition responsive public works respond to community and PSNP households’ livelihood needs and contribute to climate change adaptation and mitigation, iv) Linkages to available social services facilitated for eligible core caseload PSNP clients focusing on the most vulnerable (PDS, TDS, PLW), v) Tailored, nutrition, climate and gender responsive and diversified livelihood options accessed by PSNP clients through accountable delivery system, and vi) Strengthened program management, coordination and capacity development with accountable mechanism to ensure effective and efficient overall program delivery.

Overall, the proposed project has three components. The first component focuses on the delivery of safety net operations for core project clients. It includes: the delivery of core transfers; the implementation of the public works sub-projects by which most beneficiaries earn their safety net benefits; services for children between 2 and 5 years old; and, complementary livelihood services to enable PSNP beneficiaries to enhance and diversify their incomes. Component 2 will enhance PSNP capacity to function as an integrated shock responsive social protection program, building on the Government of Ethiopia’s recent decision to consolidate the operational management of humanitarian food assistance and PSNP under the FSCD. The third component relates to the overall management of the PSNP. It includes activities focused on strengthening Government institutions’ ability to manage all aspects of project implementation and the use of core instruments (such as targeting,

Management Information Systems and Grievance Redress Mechanisms) to assist project operations, poverty and vulnerability; and full retargeting at the beginning of the project and every four years.

The project will continue to operate in eight regions (Afar, Amhara, Dire Dawa, Harare, Oromia, Somali, SNNP and Tigray). It aims to provide predictable, adequate and appropriate safety net support to people in extreme poverty and vulnerability situation. These people will be selected into the project through a community-based targeting process. Households with able-bodied adult members will be asked to work on community planned public works in exchange for their transfers, which they receive transfer for six months of the year. These adults participate in PW that rehabilitate the natural resource base, build health posts and schoolrooms, construct and rehabilitate roads, and build other public infrastructure as prioritized by the community. Pregnant and Lactating Women (PLW) will be exempted from PW during pregnancy and the second-year postpartum, during which they are linked with the Health Extension Program (HEP) to receive antenatal counselling, growth monitoring, and other services.

Labor-constrained households will receive unconditional all year round transfers as Permanent Direct Support Clients (PDS) and are linked with complementary social services where possible. Transfers are provided in cash or food through the GoE's financial management and food management systems. Livelihoods activities aim to enable PSNP clients to diversify and increase their incomes thereby moving out of poverty (and graduating from participation in the PSNP). The PSNP has been designed so that safety net support can be expanded in response to drought. The project has flexibility to provide extended months of support to existing clients and include additional households as temporary clients.

2.2 Objectives of Enhanced Social Assessment and Consultation (ESAC)

The objective of the Enhanced Social Assessment and Consultation is to assess the potential social impact of the proposed interventions of PSNP5 on communities including the underserved and most vulnerable populations with a view to ensuring inclusivity and appropriateness of the project design and implementation. It mainly focuses on identifying the most vulnerable and historically underserved population, recording their opinions and perceptions about the proposed interventions of PSNP5; assessing the potential social impacts and its implications for project design and implementation; and provide practical recommendations for dealing with the challenges and risks identified.

The Enhanced Social Assessment and Consultation for the project will combine assessing the needs of historically underserved local communities (ESS7) and potential indirect and community level social impacts for the public work, livelihoods and transfer component (ESS1). It includes assessing the potential social benefits and risks and its implications for project design and implementation; and provide practical recommendations for dealing with the challenges and risks identified.

2.3 Methodology

The ESAC has two phases. The first phase of the ESAC; this report; mainly employed desk review of relevant secondary information to identify vulnerable communities, critical social risks the project implementation might pose on community members in general and on vulnerable community members in particular, and to propose recommendations and identify mitigation measures to be included in the social development plan of PSNP5. It is also

supplemented by discussion with federal level government and development-partner specialists.

Key findings from relevant exiting studies and assessments of the project were reviewed; and at the same time the next phase(Phase II) of the community consultation is planned. In fact, the issue identification and setting recommendation effort is highly benefited out of the availability of studies particularly carried out in relation to underserved communities which ranges from outputs' implementation review to impact assessments; and the success of the projecting terms of ensuring geographic and issues representation. Since no fundamental changes are proposed to the design of PSNP5, the studies reviewed and consultations conducted, and their geographic range and coverage of representative issues have proved indispensable to improving the design and procedures of the Project to enhance its performance in respect of social development.

This ESAC has therefore reviewed the progress towards implementation of the PSNP IV Social Development Plan of 2014-2020 and the Social Development action plan, prepared as part of the rural safety net project of 2017-2020, and the impact of interventions of both PSNP IV and rural safety net projects on the most vulnerable and historically underserved populations. It has also reviewed and analyzed the findings of the following important studies: (i) (2016/17 and 2018/19) Project Grievance Redress Mechanism Reviews; (ii) (2018) PSNP midline Survey; (iii) (2020) Evaluation of the Nutrition Sensitive Features of the Productive Safety Net Project IV: Process and Impact; (iv) (2018) PSNP and Gender, Social Development (GSD) and Nutrition Issues in Afar and Somali Regions; (v) (2020) Gender analysis and GBV risk assessment of PSNP carried out as input to PSNP5 design processes; and (vi) (2014 and 2017) Enhanced Social Assessment and Consultation conducted by the Ministry of Agriculture (MoA) designed to ascertain what project design features might be necessary with regard to underserved or particularly vulnerable peoples to make sure that their voices are fully heard and that their interests are fully reflected in the project.

Despite the project is unable to conduct community consultation as part of PSNP5 ESAC, its gender analysis and GBV risk assessment exercises were able to conduct extensive community consultations with vulnerable groups, including women in male-headed and female-headed households, polygamous households, pastoralist households, unemployed rural youth, and labor-poor households. In addition to these consultations however, it will be necessary to consult with beneficiary communities who will be joining the project for the first time in PSNP5, and to consult with established beneficiary communities on community-specific or site-specific issues that can be addressed at woreda- or community-level. As it is indicated above, these consultations, none of which is expected to make any fundamental changes to the project design with the key interventions of SEASN/PSNP5 being more or less the same with its predecessors, are delayed due to the COVID-19 pandemic, and will thus be conducted in the second phase assessment of ESAC, when conditions permit to conduct the necessary fieldwork. The fact that the previous PSNP ESACs did the consultation with community, narrowed down the potential gaps. The second phase ESAC is planned to be finalized by the program effectiveness, the Ministry of Agriculture(MoA) will conduct related consultation involving online, telephone and in person consultation taking the necessary precautionary measures to manage COVID-19 effects.

2.4 Applicable ESS

The World Bank Environmental and Social Framework (ESF) sets out the World Bank's commitment to sustainable development. As part of the preparation for the PSNP5, the Government of Ethiopia (GoE) has prepared documentation to address World Bank's requirements in respect of ESS7; on Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities and ESS1 on Assessment and Management of Social Risks and Impacts under the ESF. This Enhanced Social Assessment and Consultation (ESAC) will ensure that the design of the PSNP5 is inclusive and equitably supports the most vulnerable and historically underserved populations in the project implementation areas.

3. Potential Benefits and Social Risks of the Project

The implementation of PSNP5 will capitalize on the achievements registered during the previous phases. The following key benefits are documented by a number of studies as a result of the implementation of PSNP.

Improved food security and consumption: the participation of households in PSNP has positive and statistically significant effect on food consumption and on their livelihoods (Mohamed, 2017). Studies found that PSNP is effective in improving household level measures of food security and consumption (Yablonski, 2007; Berhane et al., 2014). In Berhane et al. (2014), beneficiaries who had received the project benefit for at least three years experienced improvements in their food security. In addition, the program enhanced the consumption smoothing and asset accumulation of beneficiaries (Welteji et al., 2017).

Avoid risky coping mechanism: households enrolled in the PSNP avoided selling assets in situations of food shortages, and 36% avoided using savings to buy food (Alderman and Yemtsov, 2012).

Improved children wellbeing related outcome: A study for USAID (2012) show statistically significant evidence of increased number of meals consumed by children from households in public works. A study based on information from 2013 mathematics test scores of 12-year-old children show that the PSNP has positive impact on child cognitive outcomes through providing short-term nutritional benefits (Porter, 2017).

Improved livelihood and natural resource conservation: A study conducted by the World Food Program (WFP) in 2012 showed that the livelihoods of households were improved due to participation in PSNP. Moreover, the program made a significant contribution in enhancing community-level assets, improving environmental rehabilitation, increasing asset creation and protection, increasing utilization of social services and enhancing agricultural productivity. A study using data from a cross-sectional household survey in eight woredas over the first year of PSNP implementation showed that 65 percent of PSNP beneficiary households had improved their incomes. Thus, PSNP has positive effect on consumption, livestock holdings and productive assets of the household as indicated by Gebresilassie (2014).

Improved self-esteem of women: PSNP have improved the livelihood of female headed households, enhanced the empowerment of women both at the household and community levels, and their "participation in public works (PWs) has enhanced their role in public life and earned them greater respect (Yohannes & Gissila (2017).

Potential Social Risks and Impacts

On the other hand, some unintended outcomes that resulted from the implementation of PSNP were also documented. The followings are some of the negative outcomes.

Developing sense of dependency syndrome: 67.66 percent of PSNP clients that participated in a study have showed an interest to receive PSNP transfer as long as possible (Hayalu, 2014).

Limited impact in pastoral areas: The impact of PSNP on pastoral communities has not gone beyond consumption smoothing mainly because the livelihood strengthening element of the project is not being rolled out (Teka, A. M., & Weldu, G. T. (2018). PSNP targeting in pastoral regions is beset with difficulties (ESSP, Working Paper 124 |2018).

A mismatch between the targeting system deployed by the PSNP and the social structures of the community: PSNP has a targeting mechanism where it allows various stakeholders to engage in the process. However, studies have shown that the roles and participation of traditional leaders and other influential group from the community is very limited. This is particularly true in the case of pastoral areas where the clan and religious leaders are supposed to played a great role in the PSNP targeting system but they are not, which resulted for social discontent that the program is less considerate to the social structure.

Inappropriate transfer: it is reported that type of food transfer by the project does not match to the needs of the beneficiaries particularly pastoral areas where wheat is not considered as staple food.

Increased child time spent on paid and unpaid work: Tafere and Woldehanna (2012) found that the project increased time spent on both paid and unpaid work. Camfield (2014) finds considerable evidence of girls working in the PSNP project or increasing their household chores in response to caregivers' participation in the project. (Porter, 2017) indicated that the PSNP participant children spend less time studying than non-participants.

Exacerbated Workload of Women especially in pastoral areas: women in pastoral areas are forced to cover for all PSNP PW requirements of the household particularly during dry season. This further adds to an already heavy workload on women. Moreover, when types of work chosen for PW are similar to activities which are traditionally considered as women's domain, women tend to carry much of the burden of participation even when men might be in physically present MoA (2014), MoNAR and Yohannes & Gissila (2017).

Certain PW sub-projects may not adhere to the local needs and less considerate to socio-cultural practices of the community: it is documented that some PW sub-projects especially in pastoral areas did not well address the life-style and livelihoods systems of the community (MoNAR, 2017).

Social discontent: area closure is an integral part of Soil and Water conservation (SWC) sub-project allowed in PSNP PW component. However, non-participatory planning and implementation of this activity (area closure) has resulted in discontent among community members as it affects their access to resources. Absence of clear guidance on the utilization of the developed resources from closed areas might also be another source of community discontent. Similarly, social discontent may arise due to land degradation and deforestation

caused by livestock overgrazing as a result of animal-fattening, and reduction in local energy sources due to trading in fuelwood, poles or charcoal.

Social unrest as a result of inappropriate implementation of procedure over voluntary loss of assets for social infrastructure such as community roads or health posts: PSNP has ESMF guideline and it has a clear procedure on how to manage the voluntary donation/loss of asset when land is needed for social infrastructures. However, in some incidents it is reported that there is gap on frontline implementors when they apply the procedures of voluntary loss of asset, and provision of compensation for the person who lost his or her original asset. This has resulted social dissatisfaction among those community members.

Health and safety as well as equity issues arising from disruption of downstream water users: small scale irrigation is one of the nine sub-projects of PSNP where irrigation schemes have been developed and households under the command areas are being benefited. However, in some areas of the project implementation, due to unfair sharing of irrigation water which resulted for inequitable benefits from small-scale irrigation sub projects among the households in the command areas, social unrest might occur. The other concern is that the use of agro-chemicals and pesticides by upper stream households have been affecting the health and safety of households in the downstream.

In addition to the abovementioned direct social risks, there are also wider-ranging potential indirect and community-level risks arising from the PW implementation. The followings are some examples.

Child labour in Public Work, which affects children's school retention: PSNP does not allow children under 18 to attend the PW activities. However, due to less understanding to the provision both by the community and frontline implementers and some cultural factors that promotes children engagement in labor tasks, the provision is not properly implemented. This has definitely adverse effect on proper attending of children to schools.

Gender Based Violence and SEA: is another risk that may happen when the PW sites are far and not safe. PSNP has a provision that limits the distance of PW sites from the village as maximum 2 hours walking distance. However, in some regions the watersheds are very large and PW clients travelled a long distance which might increase the vulnerability of women to GBV. GBV/SEA potential risks are also linked to sexual favors for registration, domestic violence in some areas due to disagreement between spouses on how to use program transfer, lack of awareness and procedure for complaints handling related to GBV/SEA

Household and community Health issues: since poultry is one of the livelihood options for PSNP clients under the on-farm pathway, households engagement in poultry has a great potential risk for fests of chickens that will affect the health and nutrition status of children and even that of adult family members unless the waste is well managed. Similarly, it is realized that the PSNP clients who engaged in crop and livestock pathway are expected to use various forms of drugs and chemicals which will have health risks for the community unless it is well managed.

4. Consultations/Assessment Findings

According to the analysis of the findings of the documents indicated in section 2.3. as well as discussion with federal level government and development partners-based experts, the main social issues and challenges are:

- **Limited access to Muslim friendly financial services:** Muslim clients are not accessing loans due to the interest, which is considered as a breach of religious norms or 'haram' (MoA, 2017 and Joint Review Mission Reports).
- **PW plans may not necessarily prioritize projects identified by women or alleviate their work burden:** Participation of women in PW planning has been suboptimal. Watershed committees have one or two female representatives (different in each region) with no real engagement due to restrictive gender norms in rural communities. Decision about capital investments are most often influenced by woreda level different sector offices. Once primary decisions are made elsewhere, community consultation may happen but does not result in changing the plan. The participation of women in planning is not monitored beyond presence of number of women during the public meeting (2020). This may explain Yohannes & Gissila's (2017) findings that PW plans may not necessarily prioritize projects identified by women or alleviate their work burden. This is contrary to the provision of The PIM that requires KFSTF to "ensure that the interests of women and vulnerable groups are properly integrated in public work plan" (Daniel et al, 2018).
- PW in Afar has further aggravated the already disproportionate share of workload of women particularly during the dry season when men and male adolescents migrate to the satellite/camel camps, as they are forced to cover for all PSNP PW requirements from the household. Moreover, when types of work chosen for PW resemble to those that are traditionally carried out by women, women tend to carry much of the burden of participation even when men might be in physically present (Alemayehu et al, 2018, Semhal, 2020). Distance to public work sites still poses a challenge. Within the same kebele different HHs travel time varies. There are kebeles where men walk 2 hours (one way) to PW site. It takes women longer to walk the same distance (2020). More to this challenge, many of the GSD provisions (childcare availability-3.5% in 2018; transition of pregnant women to TDS- 81.3 had stopped by the sixth month of pregnancy in 2020) are not being implemented in most places (ibid).
- **Possible negative impacts on children of parents working on PWs in the limited access to childcare services:** the availability of childcare services in PW sites ranges from 3.5% in highland areas to totally missing in pastoral areas (Alemayehu et al, 2018). This forced mothers to leave their child at home whenever possible for longer hour which affects their continued breastfeeding. In some cases, mothers work in the PW sites while carrying their children on their back which pose high risk to the children.
- **Remote nature of pastoralist communities and limited access to social services:** it is difficult to implement the linkage to social service component of the project in most of the pastoral woredas given there are extreme supply side constraint in availability of these services. 48 percent and 56 percent of women age 15-49 did not receive any antenatal care in Afar and Somali respectively according to EDHS 2016.
- **Resentment among PSNP clients caused by differing transfer value between PSNP and humanitarian food assistance (HFA):** MoANR (2017) reported that the food basket provided by HFA consisted of a further two items in addition to that

which is provided under PSNP; namely, oil and pulse. On the other hand, PSNP places labour requirement on its PW beneficiaries while HFA does not. PW beneficiaries complained that these differences have put them at a disadvantaged position although both groups are equally affected by the drought.

- **Community Health, safety and child labor on PW construction sites:** Health and safety risks on public work construction site associated with participation of pregnant and lactating women in PW is another social risk reported by the recent Gender Analysis (Semhal, 2020). According to the PW and Livelihood reviews (2018 and 2019) and Gender Analysis (Semhal, 2020) pregnant mothers in most of the project implementation regions have been exempted from the PW participation after five to six months of pregnancy while the project has a provision that allows pregnant mothers to be exempted before or at the fourth month of their pregnancy. Participation of children in PWs are also part of the major social risks assessed.
- **Limited awareness and access to GBV prevention and response services:** The GBV assessment reported that the term SEA/GBV is not understood by the project clients as well as implementers at first or is perceived as 'rape' only. Similarly, the awareness on the availability and package of the GBV response pathway is very limited. The project neither have GBV tracking in its monitoring plan, nor trusted complaints reporting mechanism for SEA and beneficiaries do not know where to go. There is no woreda level service mapping of GBV service providers which resulted in the lack of formal referral linkage to services. The PSNP does not have a system to routinely track reported GBV incidence among PSNP beneficiaries. Based on the findings of the GBV assessment, PSNP5 develop detail action plan. Actions such as regular capacity development activities for both the community and implementers, revising project monitoring and reporting formats to include incidence of GBV, establish GBV service referral pathway and revising the role of the project grievance redress mechanism to provide safe, and confidential services to GBV related complaints, are some of the key activities included in the action plan.
- **Exclusion of newcomers in Afar and Somali who may not belong to the extended family, lineage or even the clan which controls the territory:** in any Afar and Somali clan territory, residents or new comers may live (identified by the ethnographies as 'clients') who do not belong to the extended family, lineage or even the clan which controls the territory and are often not targeted for a project. Examples of such group is groups living in the Wabishebele riverbanks known as Somali bantu and other groups (such as those belonging to Oromo ethnic groups) speaking different language in the Bale side of the Wabishebele river banks whose livelihood is dependent on the river. Despite the fact that they are highly vulnerable to food insecurity particularly in times of drought, these groups were marginalized from mainstream society and have no access to various social services including PSNP benefits (Daniel, 2018). Similarly, MoA (2014) reported that in the project targeting practices, new migrants may not be considered eligible or priority may be given to long-time residents.
- **Ineffectiveness of the Program GRM system:** The functionality of the Kebele Appeals Committee (KAC) is reported as weak in most kebeles. This is because the membership of the KAC is comprised of volunteers (chaired by a DA or Kebele Council member) which makes convening regularly to discuss and resolve grievances a challenge. DAs that receive and record complaints are overburdened as they are also members of other task teams. In addition, the broader capacity challenge of the KAC to carry out their role is a challenge. Thus, providing GRM focused trainings to

implementers on the proper handling of grievances and the timeliness of doing so is essential. The limited practices of documentation, lack of uniform procedures and templates are also identified as key challenges which need to be addressed. Increasing the awareness level of beneficiaries and non-beneficiaries on the availability of the program GRM, the appeals process, the existence of KAC as well as involving women and influential community leaders in the KAC would encourage project affected parties to seek support in response to concerns about the program.

- **Increased demand in pastoral areas for livelihoods support services:** Communities and implementers in Somali and Afar regions considered the fact that the project has not started the implementation of its Livelihoods(LH) output as unfair. Both urged the start of livelihood support activities so that beneficiaries may benefited from these interventions and build individual assets relevant for graduation.
- **Targeting in the pastoral areas are considered not fair** by significant percentage of the population. The midline survey data indicated that 36 percent in Afar and 45 percent in Somali do not perceive the targeting process was fair. Daniel (2018) indicated the fact that Regional and woreda officials in Somali observed that while the KFSTF may not be adhering to PSNP criteria in allocation of quota to various communities, the CFSTFs may not be adhering to criteria for selection of beneficiaries. Similarly, there are concerns that targeting will lead to tensions in the community. There is a critical divergence in the definition of family/ household between the project and the communities. MoANR (2017) found that from the perspective of PSNP, if a man had multiple wives, each wife with her children would constitute a household while for all pastoralist community consulted; the man, all his wives and children constituted a single nuclear family. Newcomers along boarder areas in Somali and Afar may not be targeted during community targeting process as they will not be able to fulfil the targeting criteria which states a HH should live in the in the community for 3 years to be illegible for the project.
- **Transfer:** Timely and predictability of payment remains a significant problem in all regions. Most beneficiary households feel that PSNP payments are unpredictable despite predictability increases between 2014 and 2018 in Oromia and SNNP (Alemhayehu eta al. 2018). Due to the expanded coverage of epayment service, the distance traveled to collect payment has reduced. But the fact that the M-Birr PIN and the Dede-bit MFI cards PIN are attached to client card which was felt by many as the PIN privacy is violated (Semhal, 2020).

Except in Harari and Somali regions, collection of transfers in Married HHs is often done by husbands as the project uses payment to the HH. This creates dissatisfaction and, in some cases, even conflict between spouses as women felt that there is misuse of the cash transfer collected by men (ibid).

Adequacy of transfers (quality and quantity) has been raised by many as critical issue especially in low market access areas (ibid). The main challenge repeatedly came up by reviewed studies is the fact that communities were either not consulted or only men were consulted regarding the transfer modality especially in pastoral areas (MoA (2014) and MoANR (2017). Although Distance to Food Distribution Points (FDPs) is increasingly improving through additional constructions, distance to FDPs still pose significant challenge to clients in most of part of the lowland areas.

- **Livelihood Strengthening:** The livelihood transfer is considered by many as insufficient both in terms of coverage of PSNP beneficiaries and low transfer amounts (Alemayehu, 2018, Semhal, 2020). The livelihood intervention's quality is significantly constrained by lack of investment and institutional setup. No tailored

activities are being implemented as per the PIM. There is some complaint by FHHs that livelihood transfers often do not target them due to bias. *"we are not selected for credit or livelihood transfer because they are looking for better HH who can change quickly"* (Semhal. 2020).

- **Monitoring and Evaluation:** the following five core challenges related to effective and meaningful implementation of M&E in PSNP identified.
 - Incomplete understanding of the purpose of M&E: implementers understood that purpose of M&E as to punish implementers for bad performance. Hence, they may submit inaccurate or false performance reports to save face before seniors in the PSNP hierarchy.
 - Limited skill in implementing effective monitoring and evaluation practices: there are significant skill gap from the implementer side to use existing format and report progresses.
 - Absence of reporting system for project implementation related GBV
 - Gaps identified and recommendations made on the program GRM have never been included in the project plan and reports which affects the implementation of critical actions.
 - The project monitoring and reporting system is weak in identifying and reporting the implementation of the GSD provisions. At kebele level sex disaggregated data is available. However, starting woreda level the data is extracted manually even though the data is entered in Rural Payroll and Attendance Sheet System (RPASS) but extracting is disabled.

5. Mitigation and Management of the Social Risks

PSNP5 project design process identified and integrated mitigation measures for most of the risks identified as the result of the first phase of the ESAC. Further to this a Social Development Plan (SDP) has been developed with clear strategy and actions. This plan will be implemented to address those risks which require more analysis or series of activities so that equality and fairness in accessing benefits of the project will be ensured as per the project key principles; unintended negative impact is prevented, minimized and addressed as much as possible. The implementation of the social development plan will be regularly monitored by the joint government and non-government technical committee which is responsible for the implementation of social development and linkage to social services aspect of the project. The technical committee (TC) will liaise with other technical committees and taskforces in the process and will report biannually to the Coordination and Management Committee (CMC), on the progress of the SDP implementation. The update will also be included in project progress report.

The followings are some of the design features influenced by the outcomes of the ESAC; i) using Proxy Means Testing as a means of strengthening project exit and building capacity of the community level food security taskforce for fair targeting ii) annual GRM review and integrating the recommendation of the review in annual project plan to improve the functionality and impartiality of the KACs and its linkage to the wider government grievance system; iii) consider the engagement of poor and landless qualified youth as community facilitators; iv) assess potential project implementation related GBV risk and develop action plan to respond to the identified risks; v) key Gender and Social Development (GSD) provisions such as participation of women in PW planning process as well as reducing women's burden, are revised; vi) pilot and gradual expansion of early childhood services; vii) extension of lactating women's PW exemption to 24 months; viii) the necessary measures are

considered to implement scalable safety net-it is currently considered one of the project 6 output areas; viii) expanded role of MoLSA structures at all level to support the program to ensure linkage to social services including GBV responses and child labour and the institutional set up of the project reflected this new role; ix) livelihood strengthening output will be implemented in selected woredas of pastoral areas as well as committed to work with financial service providers to avail Muslim-friendly financial services; x) the formal collaboration which was established between the PSNP and ESAP2 in the form of a pilot covering initially four and then nineteen overlapping woredas has been transformed to PSNP being considered as one the few key sectors in ESAP 3 design. Similarly, the number of PSNP woredas which will be covered by the Social Accountability initiative is increased to 119. This expansion will support PSNP5's effort to consider the voice and concern of its clients in general and the most vulnerable sections in particular in improving the quality and reach of its implementation. The collaboration will also contribute to improve PSNP clients' access to different social services. In addition, Labor Management Procedure, Voluntary Land/Asset Donation Procedure and GBV action plan have been incorporated in the PSNP5 ESMF.

The following section elaborates more on the SDP which includes identified social risks and mitigation measures agreed in response to the identified risks.

5.1 Key Identified Risks and Mitigation Measures by Program Output

Output One: Timely, predictable, appropriate and adequate transfers

The major social risks identified through the review over abovementioned studies and assessments under output one is summarized as follow. The 2017 ESAC consultation revealed that sharing of PSNP transfers and the consequent dilution effect in pastoral woredas and women felt that there is misuse of the cash transfer collected by men. The PSNP midline report showed that cash transfers might fall below the value of food transfers, delays in transfers leading to increased risk of asset depletion and other negative coping strategies (IFPRI, 2019). The GSD and nutrition report (2018) indicated that there are inappropriate types of transfer especially in pastoral areas, and distant payment site (food and cash) (Daniel, 2018).

The following actions as mitigation measures are integrated in the program to address the social risks stated above. Implement participatory community interventions aimed at bringing about social and behavioral changes through educational measures; pilot paying HH transfer to women in two woredas of the 6 regions and in 20% kebeles of Harar and Dire Dawa; and carryout regular transfer benchmarking to revise the rate against a transfer value equivalent. Further to this, payment of transfers will be harmonized with seasons when food gaps are experienced and labor demand is less. Other transfer related social issues will be addressed through implementing measures such as addressing capacity gaps and root causes to ensure beneficiaries receive transfers on time, displaying transfer schedule in kebele, paying Permanent Direct Support (PDS) clients on schedule separate from PW payment, ensuring community consultation on their preference for cash or food or mix of cash and food, expanding e-payment coverage and constructing temporary FDP sites by PW labour.

Output Two: Shock Responsive safety net

According to the MoANR (2017) report, PSNP clients have complained that there is difference on value of transfer for regular or core PSNP clients and food support for

Humanitarian food assistance clients (HFA). Overlapping of targeting of clients for PSNP and HFA is another challenge of the project. The role of traditional authority structures was not fully taken into account in the design of the PSNP (Daniel, 2018). The midline report (2019) indicated that there is insufficient coverage of food insecure households during drought periods (IFPRI, 2019), and inconsistency and loose coordination between the operations of the PSNP and Humanitarian Food Assistance (HFA).

The recommended mitigation measure to address the social risks mentioned under this output are to strengthen the implementation of shock responsive safety net system through addressing the institutional arrangement, engaging traditional leaders especially clan leaders in pastoral areas to actively participate in the process of shock responsive safety net.

Output Three: Sustainable community assets and human capital investments

Findings from the ESAC (2017) and Gender Analysis (2020) reports have revealed that participation in PWs may contribute to additional burden on women, leaving women with little time to engage in other regular livelihoods or domestic activities, and PW distance might expose women to various forms of GBV. PSNP5 would strengthen the implementation of the 50% workload reduction for women PW participants' entitlement by strengthening the capacity of implementers as well as ensuring the planning and monitoring framework of the project is responsive to social and gender issues.

The 2018 and 2019 PW and Livelihood review by MoA shows that there is poor quality of community assets certain sub-projects including water and road sub-projects. According to the PWs and Livelihood review, the problem of poor quality in community asset is mainly dominant in pastoral areas of the project regions.

Another social risk of the project is that annual PW plans do not strategically identify activities that may address the practical and strategic needs of women as stated by Yohannes and Gissila's (2017). The Project GAP include actions such as building the capacity of the community food security taskforce, which aims to address issues related to improving the women active participation in the PW project planning processes. Sub-project nine (nutrition sensitive PW) will be expanded to Gender and Nutrition sensitive sub-project by amending the list of activities to include projects which address women workload including childcare responsibilities. Moreover, the project allocated three percent of capital budget to implement gender and nutrition sensitive PW subprojects.

Health and safety risks associated with participation of pregnant and lactating women in PW is another social risk reported by the recent Gender Analysis (Semhal 2020). According to the PW and Livelihood reviews (2018 and 2019) and Gender Analysis (2020) pregnant mothers in most of the project implementation regions have been exempted from the PW participation after five to six months of pregnancy while the project has a provision that allows pregnant mothers to be exempted before or at the fourth month of their pregnancy. Participation of children in PWs is also part of the major social risks assessed.

In addition, there is a concern relate to safety of children older than 2 years as their mothers participate in PW, and at the same time girls may be forced not to attend school to support their mothers with HH chores.

Actions such as improving the implementation of the project's GSD provisions through regular capacity development of community and implementers, conducting GSD review

mission, reviewing planning and reporting format to better reflect the GSD provisions, establishing stronger multisectoral GSD unit, and engaging women machineries in the project implementation and monitoring are some of the key actions included in the project GAP. Further to these, the PSNP-Social Behavioral Change Communication (SBCC) job aid will be revised to include relevant Gender Equality and GBV issues; institutional accountability and reporting mechanism to the projects' gender result will be strengthened, lactating women will be exempted from PW participation for 2 years postpartum; and the implementation of the project Occupational and Community Health (OCH) guideline will be regularly monitored and reported. Community based Early Childhood Development (ECD) services will also be piloted and scaled out.

Output Four: Linkage to Social Services

Most PSNP prescriptions related to links to social services are implementable only in a few pastoral communities where the services are available (Daniel, 2018). The PSNP5 draft Program Implementation Manual (PIM) seeks to create demand for the health and nutrition services by attaching corresponding co-responsibilities on respective TDS beneficiaries. However, the GSD and nutrition review in pastoral areas revealed that there is weak implementation of the co-responsibilities included in the project regarding PLW and caretakers of malnourished children and weak implementation of SBCC aspect of PWs. The review by Daniel indicated that there is extreme supply side constraint in availability of these services in pastoral regions (EHDS 2016). There is loose linkage of various service providers such as MoH, MoA, MoE, MoLSA.

To address this challenge, a tripartite MoU between MoA, MoH and MoLSA will be signed. The MoU is expected to strengthen coordination and accountability through clarifying the roles and responsibilities and reporting mechanisms and provide regular capacity development support to frontline implementers. Moreover, in areas where NGOs operate, joint platform will be established where GoE could work closely with relevant NGOs, which is very critical to expand the services to remote areas using various mechanisms including Mobile Health and Nutrition Teams (MHNT).

Output Five: Livelihood

The review from various assessments of the project revealed the following key issues as social risks that need critical attention and mitigation measures in the new project. According to the Gender analysis report (2020), women in married HHs may not be targeted for livelihoods support activities as the husband is considered as HH head and credit providers often targets the HH head, and there is lack of tailored support for women to develop business plans (Semhal, 2020).

The 2017 ESAC assessment revealed that lack of Muslim friendly credit service, beneficiaries may receive credit without understanding and readiness to engage in livelihoods activities, and increased demand for Livelihood strengthening support in pastoral areas (Daniel, 2017).

The PSNP midline report shows that youth issues continue to be overlooked. The PSNP 4 livelihoods output is designed to give special attention to young people through the off-farm and employment pathways. Yet, awareness of the prioritization of young people is generally low. Implementation progress along these pathways is not satisfactory and young people in

particular face specific challenges (such as lack of guarantees and income to pay for licenses and tax) that remain unaddressed (IFPRI, 2019).

Among others, the following are proposed mitigation measure, which will be part of the design of PSNP5. These are ensure the implementation of actions included in the Gender Action Plan (GAP), invest in technical capacity of credit service providers to develop Muslim friendly credit services, ensure PSNP5 outputs are implemented in an inter-complementary and mutually reinforcing way from the outset, include being a 1000 days HH (HHs with children under 2 years old) to be one of the key criteria to receive LH transfer to take advantage of 1000 days window of opportunity, increase the amount of livelihood transfer that will help the client to engage on livelihood options in their business plan, and scale up learning from NGO woredas regarding diverse LH strengthening strategies.

Output Six: Program Management

This output is focusing on targeting, graduation/exit, GRM, system, monitoring and evaluation, and capacity development. Review of existing documents showed that one of the major social risks under this output of the project is less participation of traditional leaders in local level program management in general and that of targeting process in pastoral areas (Daniel 2018). In order to promote a more participatory community based targeting processes, the PSNP 4 PIM required that targeting be undertaken by a Community Food Security Task Force (CFSTF) to be appointed in each subdivision of a PSNP kebele, which includes core government officers, representatives of men, women and youth. The PIM also allows inclusion of one elected elder in the community (MoANR, 2014, 8-6). However, the social risk is that by including only one elder appears that PSNP 4 design does not sufficiently recognize the distinctive role elders play in pastoral communities (Daniel, 2018). Various PSNP 4 related evaluations and assessments reported that traditional/clan leaders would have played a more prominent role in Afar, Somali, and SNNP as members of community targeting committees or appeal committees, if they would have given adequate position in the program management aspects.

Another targeting related social issue is the existence of large numbers of rural population (including youth and new residents to woredas) in need of a safety net (ESAC, 2017). In fact, PSNP 4 planned to scale up to a national rural programme systematically into new households and woredas experiencing the greatest vulnerability in the existing program regions. This was assumed to be happened when existing clients graduate from the project and new clients were assumed to be added on a needs basis, using the targeting system, as long as there are unmet needs in the country. However, due to the 2017 and 2018 El Nino effect and weak implementation of the livelihood output, graduation of clients did not happen as planned and the scaling up and inclusion of new needy people was not implemented (FSCD Livelihood and Graduation assessment, 2019).

The other social risks mentioned in pastoral regions of Afar and Somali is that there are inclusion and exclusion errors, and potential exclusion of newcomers who may not belong to the extended family, lineage or even the clan which controls the territory (ESAC 2017). According to the Gender Analysis (2020) and the PSNP GBV report of 2020, the gender provision related to targeting (The husband in polygamous HHs to be targeted with one of the wives as one HH while the remaining wives to be targeted as FHHs) are not properly implemented, and there is limited understanding/capacity of community food security taskforce members about GBV (Semhal, 2020). Some clients' specifically old people that should be eligible to participate in DS are targeted for PW.

GBV is another social risk, finding shows that there is limited understanding/capacity, implementation and reporting on Gender Based violence including sexual, exploitation, abuse and harassment is by project beneficiaries and staffs (Ibid).

According to the PSNP GRM manual (2016), Grievance Redress Mechanism (GRM) is one of the safeguard mechanisms of the project, which intends to address complains of beneficiaries about the program (FSCD, 2016). However, though GRM has been implemented in the last phase of PSNP program and some good lessons were achieved, the 2019 GRM review has identified social risks related to the GRM system such as limited functionality and effectiveness of the Kebele Appeals Committee (KAC) and less involvement of female members in the committee.

Capacity is another issue where there is low implementation capacity at woreda and kebele levels, the availability of woreda level GSD experts is not universal. At kebele level, the DAs are expected to implement most of the social and gender related actions in the absence of formal accountability measures in their performance assessment. These community level implementers are overburdened by PSNP and other project related assignments which makes difficult for them to be actively engaged. The staff turnover because of poor motivation and remuneration resulting in the aggravation of the problem related to project implementation, and weaknesses in monitoring and evaluation.

The mitigation measures for above mentioned risks under this output will include introducing PMT for project exit, strengthen downward and upward accountability of the project to ensure that people feel secure about their rights and entitlements (SA tools), and create awareness among traditional authority structures and undertake information campaign to ensure that purpose and principles of PSNP5 are well understood. The capacity building work shall include targeting procedures, etc., design-targeting structures with careful consideration to the balance between formal and informal traditional authority structures; and design and implement evidence based project exit strategy, and strengthening the responsiveness of the project monitoring and evaluation system to social and gender issues. The use of community youth facilitators also considered. Moreover, multisectoral team which will be led by FSCD will be established to regularly monitor the actions included in the GAP and GBV action plans, targeting and GRM.

With regards to the GRM related social risks, the PSNP5 annual GRM review will be carried out and its recommendations will be included in the project annual plan and reporting. It is also recommended to conduct capacity development and awareness raising for KAC members, and the traditional leaders concerning the objectives of PSNP to effectively address the needs of vulnerable social groups including women and will pay more attention for gender and social issues. Since ESAP, another World Bank financed, program by the GoE that coordinates all service delivery components in the public sector, suggested to strengthen the linkage and coordination of KAC roles with that of ESAP. The linkage of PSNP GRM system with that of ESAP 3 will improve the implementation of social accountability mechanisms, which creates the environment that enables beneficiaries to demand better responsiveness and accountability from implementers and managers. In PSNP5 it is also agreed to provide trainings on social accountability principles and the PIM for KACs.

Capacity building trainings for members of the various PSNP related grassroots committees including KFSTF and CFSTF and others, advocate for the harmonized program salary scale are among key mitigation measures to address abovementioned social risks related to project implementation capacity under PSNP5. It is recommended to carry out spot checks, revise

reporting templates to make space for reporting on challenges related to participation in PWs and Gender and Social Development PIM provisions, initiate a functional PSNP MIS that would help to address monitoring, and evaluation gaps.

5.2 Risks, Mitigating Measures Planned to Address the Risks

Output	Potential Risks and Challenges	Mitigating Measures
Timely, predictable, appropriate and adequate transfers	<ul style="list-style-type: none"> • Women in some regions felt that there is misuse of the cash transfer collected by men • Cash transfers may fall below the value of food transfers • Delays in transfers leading to increased risk of asset depletion and other negative coping strategies • Inappropriate types of transfer specially in pastoral areas • Distant payment site (food and cash) 	<ul style="list-style-type: none"> • Pilot paying HH transfer to women in 2 woredas of the 6 regions and in 20% kebeles of Harar and Dire Dawa • Carryout regular transfer benchmarking to revise the rate against a transfer value equivalent • Harmonize payment with seasons when food gaps are experienced and labor demand is less (community specific) • Ensure beneficiaries receive transfers on time by addressing capacity gaps and root causes; display transfer schedule in kebele • Delink Direct Support payments from PW payment schedule • Ensure communities are consulted on their preference for cash, food or mix of cash and food • Expand e-payment and construct temporary FDP sites by PW labour
Shock Responsive safety net	<ul style="list-style-type: none"> • Resentment by PSNP clients due to differing transfer value between PSNP and humanitarian food assistance (HFA) 	<ul style="list-style-type: none"> • Strengthen the implementation of shock responsive safety net system through addressing the institutional arrangement
Sustainable community assets and human capital investments	<ul style="list-style-type: none"> • Participation in PWs may contribute to additional burden on women, leaving them with little time to engage in other regular livelihoods or domestic activities • Quality of community assets suffer as a result of competing activities during farming season which make it difficult for beneficiaries to fully engage in activities • Health and Safety risks associated with participation of Pregnant and Lactating Women (PLW) in PW • Participation in PWs may result in health and safety risks • Increased workload of women in general and labour constrained FHHs due to PW participation • PW plans do not include women's practical need • Safety of children older than 2 years as their mothers participate in PW • Girls may not attend school to support HH chores 	<ul style="list-style-type: none"> • Expand Sub project nine (nutrition sensitive PW) as Gender and Nutrition sensitive sub project and amend the list of activities to include projects which address women workload including childcare responsibilities • Revise the PSNP-SBCC job aid to include relevant Gender Equality issues and strengthen institutional accountability and reporting mechanism • Follow up the implementation of the flexible PW schedule allowed by the project • Revise HH labour cap of the labour constrained FHHs to only work her share • Extend the exemption of lactation women from PW for 2 years post-partum • Strengthen the implementation of GSD provisions by following up the implementation of the GAP and

Annex 19: Enhanced Social Assessment and Consultation (ESAC) Phase I & II

Output	Potential Risks and Challenges	Mitigating Measures
	<ul style="list-style-type: none"> • Certain PW sub-projects may not adhere to the local needs and less considerate to socio-cultural practices of the community • Social discontent may arise due to inappropriate planning and implementation of area closure • Social unrest may arise as a result of inappropriate implementation of procedure over voluntary loss of assets for social infrastructure such as community roads or health posts • Health and safety as well as equity issues arising from disruption of downstream water users and the use of agro-chemicals and pesticides by upperstream households • Child labour in PW, which affects children's school retention. • Gender Based violence/Sexual Exploitation and abuse is another risk that may happen when the PW sites are far and not safe as well as in relation to transfers 	<p>GBV action plan</p> <ul style="list-style-type: none"> • Implement, regularly monitor and report the implementation of the project OCH guideline • Pilot and scale out Early Childhood Development (ECD) services • PW planning process to strictly follow the revised Community Based Participatory Watershed Planning Guide • Ensure adequate local community participation and appropriate measures in planning and implementation of PW sub projects • Ensure appropriate implementation of ESMF procedure over voluntary loss of assets for social infrastructure such as community roads or health posts • Create mutual understanding among up and down stream users of irrigation water users and set functioning water users group to address health, safety and equity issues raised from irrigation water usage • Conduct regular spot-checks to address child labour issues in Public Work • Implement the project's GBV action plan
Linkage to Social Services	<ul style="list-style-type: none"> • Weak implementation of the co-responsibilities included in the project regarding PLW and caretakers of malnourished children • Weak implementation of SBCC aspect of PWs 	<ul style="list-style-type: none"> • Sign implement and monitor a tripartite MoU between MoA, MoH and MoLSA which clarifies roles and responsibilities and reporting mechanisms • Provide regular capacity development support to frontline implementers

Annex 19: Enhanced Social Assessment and Consultation (ESAC) Phase I & II

Output	Potential Risks and Challenges	Mitigating Measures
Livelihoods	<ul style="list-style-type: none"> • Due to local customs, women married HHs may not be targeted for livelihoods support activities • Lack of tailored support for women to develop business plans • Absence of Muslim friendly credit service • Beneficiaries may receive credit without understanding and readiness to engage in livelihoods activities • Increased unmet demand for Livelihood strengthening support in pastoral areas • Social discontent may arise due to land degradation and deforestation caused by livestock overgrazing as a result of animal-fattening and reduction in local energy sources due to trading in fuelwood, poles or charcoal • Inappropriate use of drugs and pesticides, while the PSNP clients engaged in crop and livestock pathways, may affect the health status of children and other community members • Weak waste management practices especially in the case of poultry and livestock may affect the health status of households 	<ul style="list-style-type: none"> • Invest in technical capacity of credit service providers to develop Muslim friendly credit services • Ensure PSNP5 outputs are implemented in an inter-complementary and mutually reinforcing way from the outset • Include being a 1000 days HH to be one of the key criteria to receive LH transfer • Increase the amount of livelihood transfer that will help the client to engage on livelihood options in their business plan • Scale up learning from NGO woredas regarding diverse LH strengthening strategies • Carry out adequate consultation and training with the community when business plans on charcoal, poultry and firewood collection are planned on how to manage waste of chicken and properly use drugs and pesticides • Ensure planning and implementation of livelihood options like animal fattening should follow the national guideline that strictly orders zero-grazing approach so as to avoid the potential risks of fattening and social discontent
Program management, coordination and capacity development	<p>Targeting</p> <ul style="list-style-type: none"> • Inclusion and Exclusion errors • Exclusion of newcomers in Afar and Somali who may not belong to the extended family, lineage or even the clan which controls the territory • The gender provisions related to targeting of polygamous HHs is not properly implemented • There is limited project beneficiaries and staffs' understanding/capacity, implementation and reporting on GBV • Influence of traditional authority structures on targeting • Some clients specifically old people that should be eligible to participate in DS are targeted for PW <p>GRM</p> <ul style="list-style-type: none"> • Limited functionality, effectiveness and gender sensitiveness of Kebele Appeals Committees (KAC) 	<ul style="list-style-type: none"> • Introduce use of PMT for exiting • Strengthen downward and upward accountability of the project to ensure that people feel secure about their rights and entitlements (Social Accountability tools) • Create awareness among traditional authority structures and undertake information campaign to ensure that purpose and principles of PSNP5 are understood, including targeting procedures, etc. • Design targeting structures with careful consideration to the balance between formal and informal traditional authority structures • Implement and monitor the actions included in the GAP and GBV action plans related to targeting, GBV and GRM

Output	Potential Risks and Challenges	Mitigating Measures
	<p>Graduation</p> <ul style="list-style-type: none"> • People may graduate before they are ready <p>Capacity</p> <ul style="list-style-type: none"> • Low capacity at woreda and kebele levels • Lack of staff and staff turnover as a result of poor motivation and remuneration resulting in the aggravation of the problem related to project implementation • Weaknesses in monitoring and evaluation 	<ul style="list-style-type: none"> • Conduct annual GRM review and include the recommendations of the review in the project annual plan and reporting • Capacity development and awareness raising for KAC members and traditional leaders concerning the objectives of PSNP • Coordinate with ESAP 3 to implement social accountability mechanisms which creates the environment that enables beneficiaries to demand better responsiveness and accountability from implementers and managers. KACs should also receive adequate training on social accountability principles and the PIM in order to function effectively • Design and implement evidence-based project exit strategy • Regular and focused capacity building trainings for members of the various PSNP-related grassroots committees • Advocate for the harmonized project salary scale • Carry out spot checks • Revise reporting templates to make space for reporting on challenges related to participation in PWs and Gender and Social Development PIM provisions • Initiate a functional and PSNP MIS

Phase II

THE FEDERAL DEMOCRATIC REPUBLIC OF ETHIOPIA

MINISTRY OF AGRICULTURE

FOOD SECURITY COORDINATION DIRECTORATE

Strengthen Ethiopia's Adaptive Safety Net (SEASN)/

PRODUCTIVE SAFETY NET PROGRAM (PSNP5)

REPORT ON ENHANCED SOCIAL ASSESSMENT AND CONSULTATION, PHASE TWO

January 2021

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Acronyms

SEASN	Strengthen Ethiopia's Adaptive Safety Net
PSNP5	Productive Safety Net Programme 5
ESAC	Enhanced Social Assessment and Consultation
ESF	Environmental and Social Framework
GOE	Government of Ethiopia
NSPP	National Social Protection Policy
NDRMS	National Disaster Risk Management Policy and Strategy
CRGE	Climate Resilient Green Economy
NFNP	National Food and Nutrition Program
HFA	Humanitarian Food Assistance
PWS	Public Works
PDS	Permanent Direct Support
TDS	Temporary Direct Support
PLW	Pregnant and Lactating Women
FSCD	Food Security Coordination Directorate
ESS	Environmental and Social Standards
GBV	Gender Based Violence
CRW	Crisis Response Window
CERC	Contingency Emergency Response Component
SNNP	Southern Nation, Nationalities and People
KII	Key Informant Interview
SEP	Stakeholders Engagement Plan
ESMF	Environmental and Social Management Framework
SAs	Social Assessments
DRDIP	Development Response to Displacement Impact Project
PCDP	Pastoral Community Development Project
RPLRP	Regional Pastoral Livelihood Resilience Program
LFSDP	Livestock and Fisheries Sector Development Project
LLRP	Lowland Livelihood Resilience Project
NRMD	Natural Resources Management Directorate
WCYAD	Women, Children and Youth Affairs Directorate
MOLSA	Ministry of Labor and Social Affairs
NDRMC	National Disaster Risk Management Commission
NGOS	Non-Governmental Organizations
MOA	Ministry of Agriculture
BOA	Bureau of Agriculture
WOA FS	Woreda Administration Food Security
EW	Early Warning
DAs	Development Agents
TOR	Terms of Reference
SDGs	Sustainable Development Goals
PASC	Pastoral Affairs Standing Committee
HPR	House of Peoples' Representatives

Annex 19: Enhanced Social Assessment and Consultation (ESAC) Phase I & II

GTP	Growth and Transformation Plan
EPD	Ethiopian Pastoralist Day
PASDEP	Plan for Accelerated and Sustained Development to End Poverty
NDRMPS	National Disaster Risk Management Policy and Strategy
PDP	Pastoral Development Policy
IGAS	Income Generating Activities
RPSNP	Rural Productive Safety Net Program
CMCU	Commodity Management Coordination Office
IPPS	Indigenous Peoples Plans
SSAHUTLLC	Sub-Saharan African Historically Underserved Traditional Local Communities
CSA	Central Statistical Agency
GDP	Gross Domestic Product
PW	Public Works
KFSTF	Kebele Food Security Task Force
FSTF	Food Security Task Force
KAC	Kebele Appeal Committee
GRMS	Grievance Redress Mechanism
FGD	Focus Group Discussion
RUSCCO	Rural Saving and Credit Cooperatives
MFI	Micro Financial Institutions
BCC	Behavior Change Communication
MOU	Memorandum of Understanding
CSOs	Civil Society Organizations
NNP	National Nutrition Program
SD	Gender, Social Development
CBHI	Community Based Health Insurance

Executive Summary

Introduction

The Enhanced Social Assessment and Consultation (ESAC) assessed the potential impacts and risks of the proposed interventions of Productive Safety Net Program V Strengthen Ethiopia's Adaptive Safety Net (PSNP5/SEASN) on the historically underserved traditional local communities and vulnerable groups. Thus, the PSNP5 program should reflect the needs of the most vulnerable groups to inform the design decision on how to avoid the adverse impacts of its development interventions on underserved communities and vulnerable groups, or when avoidance is not possible, to minimize, mitigate and/or compensate for such impacts. The proposed interventions of the PSNP5 are required to promote sustainable development benefits and opportunities for underserved communities and vulnerable groups in a manner that is accessible, culturally appropriate and inclusive. The first phase of the ESAC was conducted. But community consultation was not conducted due to the COVID-19 pandemic. Thus, the first phase of ESAC was mainly based on the review of secondary sources: desk review, earlier findings and assessment related to PSNP. The main social issues and challenges identified in ESAC I to update the design of the PSNP5 are: limited access to Muslim friendly financial services; lack of participatory public work planning; resentment among PSNP clients caused by differing transfer value between PSNP and humanitarian food assistance (HFA); limited awareness and access to GBV prevention and response services; and ineffectiveness of the GRM system as the Kebele Appeals Committee (KAC) lacks the capacity to carry out its responsibility. The second phase of the ESAC aimed to address the gaps in the first phase by providing adequate and detail analysis based on extensive consultations with the community and other key stakeholders taking into consideration COVID 19 precautionary measures.

Background to Productive Safety Net Program (PSNP5/SEASN)

The fifth phase of the PSNP maintains the key outputs, principles and number of clients of its previous phases; and at the same time has introduced new outputs focusing on response to shocks and strengthening of linkages to social services for the PSNP clients focusing on the needs of Permanent Direct Support (PDS) and Transitory Direct Support (TDS) clients. The overall development objective of the PSNP5 is to expand geographic coverage and enhance service delivery of Ethiopia's adaptive rural safety net to improve the well-being of extremely poor and vulnerable households in drought prone communities with further strengthened elements and strategies. The project provides cash and/or food transfer for its clients. Households that have able-bodied adult labor are expected to engage in Public Works (PWs) and receive transfer for 6 months of the year. While PDS —households that are unable to provide labor for public works— and TDS —those adults who generally engaged in public works but exempted temporarily— clients receive 12 and 6 months of unconditional transfers, respectively. It also facilitates access to complementary livelihood services, which aims to improve the access of PSNP clients to technical, and financial livelihoods support services. Overall, the proposed SEASN project has three components. Component 1 focuses on the delivery of safety net operations for core project clients. Component 2 enhances PSNP capacity to function as an integrated shock responsive social protection program, building on the Government of Ethiopia's recent decision to consolidate the operational management of humanitarian food assistance and

PSNP under the FSCD. Component 3 relates to the overall management of the PSNP. PSNP5 will be implemented in six regions: Oromia, Amhara, SNNPS, Tigray, Somali and Afar.

Objectives of the ESAC

The objective of the ESAC is to assess the potential social impact of the proposed interventions of PSNP5/SEASN on communities including the underserved and most vulnerable populations with a view to ensuring inclusivity and appropriateness of the project design and implementation. To this end, it focuses on identifying the most vulnerable and historically underserved population, recording their opinions and perceptions about the proposed interventions of the PSNP5; assessing the potential social impacts and its implications for project design and implementation; and provides practical recommendations for dealing with the challenges and risks identified; and determining how the relationships between stakeholder groups will affect or be affected by the Project. Likewise, the ESAC provides an overview of the demographic, social, cultural and political characteristics of the vulnerable and disadvantaged groups in the participating regions.

Methodology

The second phase of the ESAC for PSNP5 used both secondary and primary sources of data. Part of the secondary sources reviewed related policy, legal and institutional frameworks. The national policy documents and statutes covered include The Constitution of Ethiopia, Pastoral Development Policy, Women's Rights Policy, Social Protection Policy, Growth and Transformation Plan (GTP I and II), the revised National Disaster Risk Management Policy and Strategies and FDRE 10-Year Strategic Development Plan (2020-2030). Besides, the preparation of the ESAC is in line with the World Bank Environmental and Social Frameworks (ESF), particularly ESS1, ESS7 and ESS10. Part of the secondary sources focused on a desk review of PSNP related documents: PSNP Household Impact Assessments (2006-2012), SEASN Phase I Enhanced Social Assessment and Consultation, Enhanced Social Assessment and Consultation (2014 and 2017), PSNP Midline Survey (2018), Gender Analysis and GBV Risk Assessment of PSNP5 (2020) and the first phase of ESAC for PSNP5 to mention but only the major ones.

The primary sources of data depend on consultations conducted with key informants at federal, regional, woreda, NGOs and development partners as well as beneficiaries, vulnerable and disadvantaged groups. Key informant interviews and email exchanges were conducted at federal level with Ministry of Agriculture (MOA), Food Security Coordination Directorate (FSCD) (1), Natural Resource Management Directorate (NRMD) (1), Women, Children and Youth Affairs Directorate (WCYAD) (1), Ministry of Labor and Social Affairs (MoLSA) (1), Natural Disaster Risk Management Commission (NDRMC) (1) and World Vision (1), Care Ethiopia (1) and World Food Program (1) with total of 8 individuals. Whereas, fieldwork was conducted in six regional states and 8 old and new PSNP woredas selected. Thus, key informant interview was conducted with 97 implementing stakeholders from all involving Regional Bureaus, Woreda Sector Offices and Kebele level program implementers. Further, consultations with the beneficiary community and key informant interview with disadvantaged and vulnerable groups in the respective selected woreda were covered in the fieldwork.

Sampling Procedure and Woredas Covered

Eight woredas were selected from six PSNP regions: Mille, Elida'ar (Afar), Kebribeya, Mula (Somali), Tsiraie wonberta (Tigray), Ebinat (Amhara), Boset (Oromia), and Bolosso Sore (SNNP). The sampling procedure considered existing and new/recently joined PSNP woredas of pastoral and agro-pastoral communities, vulnerable groups with special needs, local security and accessibility issues and covered one sample kebele from each selected woreda for the community consultation and key informant interviews.

Institutional and Implementation Arrangements

Implementation arrangements for the PSNP under this phase of support will build on the structures put in place for the ongoing projects (PSNP4 and RPSNP). The PSNP is implemented through the Ministry of Agriculture by The Food Security Coordination Directorate (FSCD), which is responsible for the overall coordination and management of the project, and other line ministries responsible for delivering services related to their mandates. The management of e-payment contracts will shift from the Ministry of Finance to the Food Security Coordination Directorate to ensure better integration of program functions into one main agency at federal level. MOLSA, MOF, CMCU, NDRMC, The Jobs Creation Commission and the Rural Job Opportunities Commission as well as Regional Bureaus and Woreda Offices corresponding to each line Ministry/Agency are responsible for the implementation of program activities. Specific to social management, the FSCD social development unit will be responsible for coordinating and overseeing the planning, implementation and monitoring of the social management instruments and work in close collaboration with Women, Children and Youth Affairs Directorate of MoA, MoLSA, and Natural Resources Management Directorate (NRMD) to address social issues.

Gaps Analysis of the First Phase of ESAC for PSNP5

The following major gaps of the first phase of ESAC (ESAC I) for PSNP5 were identified. Firstly, community consultation was not conducted due to the COVID-19 pandemic. Thus, the first phase of ESAC was exclusively based on the review of secondary sources: desk review, earlier findings and assessment related to PSNP. Despite providing backdrop, the first phase of ESAC lack primary data sources. To adequately substantiate the potential social impacts of the proposed interventions of the PSNP5 on communities including the underserved and most vulnerable populations, fieldwork was conducted among these groups during the second phase of ESAC (ESAC II) to address the gap by generating primary data from the different sources. Second, ESAC I is shallow in depth presenting just a summary of each component of the PSNP5. With the preparation development, ESAC II filled the gap by providing detailed data and description regarding each component of PSNP5. Third, ESAC I did not describe the socio-economic profiles of the historically underserved regions and vulnerable communities in the program target areas. Similarly, relevant national policies and strategies are not discussed. In contrast, ESAC II dealt with both themes in adequate detail.

Key Findings of the ESAC

Vulnerable and Disadvantaged/Underserved Groups

In order to avoid or mitigate any project intervention that may bring exclusion, restriction, discrimination or disproportionate impacts and benefits, the findings of the ESAC II identified and analyzed the situations of the following disadvantaged and vulnerable groups for SEASN/PSNP5 to draw special attention to:

The World Bank requirements ESS 7 about underserved peoples/Sub-Saharan African historically underserved traditional local communities' standard is applicable in the project implementation areas of Ethiopia, particularly the people in Afar, Somali, parts of Oromia and SNNPR. The ESAC findings analysed that the food insecurity and loss of livelihood leading to increased malnutrition, food insecurity, shocks and poverty disproportionately and significantly impact vulnerable groups of the community more specifically: pregnant women and lactating mothers, women in male-headed households, female-headed households, pastoralist households, polygamous households, elderly-headed households, disabled/persons affected by chronic diseases, children, unemployed rural youth, people living with HIV/AIDS, labour-poor households, ex-pastoralists, and new residents to woredas.

ESAC found that there are several sources of vulnerability in the disadvantaged regions including deterioration of grazing/range land due to natural and human-made factors, drought, deforestation of rangeland, epidemic diseases on human and livestock, market failure, poor socio-economic infrastructures: health, education, and market facilities, and rural road connection, conflict over resource competition; and deterioration of customary institutions. Even at present time, human population increases pressure on natural resources while conflict and insecurity often make these resources inaccessible. More to the point, unequal socio-economic dynamics could be resulted due to favouritism or corruption made by local/ kebele leadership or other economically influential community members who can misuse resources to their benefit from the proposed project. Thus, the PSNP5 should give due attention to these vulnerable or disadvantaged sections of the community during its implementation.

Local Knowledge

ESAC findings revealed enormous local knowledge in soil and water conservation, area closures for pasture, digging water wells and management and community labour organization that could be utilized as good opportunity for better implementation of the PSNP5, particularly the public work sub-component. Nevertheless, the prevailing experience showed lack of participatory public work planning for the use of such traditional knowledge. It is imperative conducting a kind of analysis over existing community's local knowledge and devise ways to utilize them.

Potential Social Impacts and Risks

Below, the summary of the assessment findings describe the social benefits and risks, related gaps and specific recommendations in line with each component of the proposed SEASN/PSNP5.

Component 1: The Delivery of Productive Safety Net

Targeting: Consultation revealed that the program implementers, particularly those at the woreda and kebele level lack awareness of the shift of the targeting criteria in PSNP5 and what facts necessitates the change. The exclusion and inclusion errors are the common problems in all PSNP woredas. Yet, the risk of exclusion error is higher for vulnerable groups due to weak performance of KFSTF, elite captures, acts of nepotism, favoritism, abuse of power, and corruption by kebele administrators and DAs, weak or none responsive KAC, and lack of proportional representation and active women members in KFSTF and KAC. Mitigation measures suggested include: first, ensure proportional representation and active involvement of women in FSTF and KAC, provide training and technical supports to enhance the capacity of the FSTF and KAC members on PSNP provisions, GBV/SEA response mechanisms of handling complaints; second, provide close supervision by Woreda Sector Experts; and serious supervision and follow-up measures and actions on those members of the FSTF, DAs and kebele administrators engaged in acts of nepotism, favoritism, abuse of power and corruption.

Transfers: PSNP transfer has improved household food security and consumption. Consultation with PW clients, TDS and PDS revealed that had it not been for the PSNP transfer many households would face challenge to survive. Before the intervention of the PSNP, these households used to live under critical food poverty. Hence, clients expressed PSNP as “a live saving program or the insurance of the poor people.” However, delay of cash payment and food transfer, culturally inappropriate food transfer, and inadequacy of transfers coupled with the high eroded value of wage rate are invariably reported as the serious problems in the study PSNP woredas. This caused increased household asset depletion and negative coping strategies. ESAC further assessed that the problem is more severe for the disadvantaged and vulnerable groups. Because, key informant interview with these groups uncovered, they cannot afford the price of the high rate of the inflation or cannot resort to other coping mechanisms such as loan from private lenders. Yet, there are two more factors with disproportionate impacts for vulnerable groups. First, the inaccessibility or the distance of the payment and food distribution center disproportionately impacts on female-headed, elderly-headed and labour-poor households. Second, clients and program implementers have illustrated cases of mismanagement or misuse of transfers such as alcohol drinking, cigarettes, *khat* chewing or unintended purposes when collected by men. On time commodity movement from federal to region and from region to woreda, review and compensation adjustment for the eroded value of the cash wage rate as per the high rate of inflation in short-time interval than being annually, and devising a system of payment whereby transfers are collected by wife than husband are among the key measures recommended.

Public Works (PWs): Consultations found that the PW component of the PSNP has been engaging in various community asset creation activities including soil and water conservation, forestry and agro forestry, the constructions of small-scale irrigation schemes (in some woredas) and construction and maintenance of social services. Consequently, community consultation participants and stakeholder interviewees alike acknowledged improved community asset creation, natural resources conservation and production and productivity of land. On the other hand, community consultation participants expressed the mismatch between PW timing and their annual farming/pastoral calendar resulting from lack of participatory public work planning. Despite workload was noted by all participants, the ESAC finding indicates the differential

impacts for women in male-headed (participating in PWs in place of their husbands) and female-headed households due to their double-labour engagement. For women without having adult person at home to look after their children or those who take their children to PW site, children safety and health risks were reported. To mitigate the identified risks, the following measures are proposed in Social Development Plan (SDP): first, ensure the active participation of the beneficiary households to prioritize PW activities and decide on convenient timing of PWs; and second, ensure effective participation of women in the planning process of PWs to properly reflect and prioritize their special needs of labour engagement, consider reduction of the working hour, number of days or share of the household labor for female-headed and women in male-headed households having no adult member at home for support, assign women to light works to reduce the physical exhaustion of labour-work.

Livelihood support: In those four regions (Oromia, Amhara, SNNP and Tigray) where the livelihood support of the PSNP has been implemented, targeting households have witnessed improvement in their livelihood status owing to the technical and financial supports received in this respect. Partly, livelihood-targeting clients expressed that the improvement is attributable to the technical training received on livelihood diversification, financial literacy, income generating activities, and business management skills. In part, the creation of additional household assets is indebted to the financial supports (facilitating access to credit, livelihood transfer and livelihood grant) received. Several sources of discontent were discussed as well. Community consultation participants and interviewed program implementers in Somali and Afar regions have a serious complaint mentioning that the PSNP livelihood support sub-component has not been commenced in their woredas yet. In the woredas where the livelihood support operating, limited access to micro-credit, unbearable pre-conditions for loan, lack of culturally appropriate loan, inadequacy of loan amount and livelihood grant were discussed as the major hindering factors. The ESAC findings uncovered the targeting of livelihood support is unfair for vulnerable groups. Owing to cultural norms, women in male-headed households are not targeted for livelihood support. As targeting is exclusive to husband, polygamous households cannot compete for more than one targeting chance. Landless unemployed rural youth and new residents to woredas cannot afford the pre-condition for loan. To address the aforesaid negative social impact, the ESAC recommends the following mitigation measures: PSNP5 should launch the livelihood support sub-component in Afar and Somali regions; for male-headed households, prioritize women for the targeting of livelihood support; for polygamous household, consider the chance of targeting for livelihood per co-wives; re-consider previous PSNPs targeting criterion for the inclusion of vulnerable groups such as landless unemployed rural youth and new residents to woredas; and affirmative action (e.g. assign quota system) to fairly target for elderly-headed households and people with disability /persons affected by chronic diseases.

Linkages to social services for PDS and TDS: ESAC finding exposed the PSNP interventions have improved linkages to social services, particularly for PDS and TDS clients in two major ways. The first major way is by providing Social and Behavioral Change (SBCC) training sessions that boost client households' social service seeking behavior. The tremendous increment of pregnant and lactating women seeking for ante- and post-natal care services was discussed by community consultation participants and interviewed program implementers as one typical illustrative example. The second major way is through the constructions of schoolrooms, health post, and rural roads construction and rehabilitation. In contrast, access to basic adult education, Community Based Health Insurance (CBHI) and legal services was none or insignificant in all

the PSNP woredas. Therefore, PSNP5 should create a platform that assess the special needs of the PDS and TDS clients and make linkages to appropriate social services accordingly.

Nutrition: Community consultations assessed the important contribution of the PSNP in improving the nutrition of children. Clients and program implementers have witnessed the contribution from two major points of views: PSNP transfer payment enabled households feed their children with diverse meals relative to what has been the case before joining the program and household's enhancement of the soft conditionality due to attendance of nutrition based BCC sessions.

Asset loss and loss of access to assets (involuntary resettlement): Consultations found that there is no public works induced asset loss or loss of access to assets in all PSNP woredas covered in the assessment.

Component 2: Shock-responsive Safety Net

Recurring sources of shock: ESAC found that drought; flooding, livestock diseases, locust, and snow (for highland areas) are the major recurring sources of shock in the study woredas. In addition, land slide is very critical source of hazard in Bolosso Sore woreda in SNNPR. Furthermore, consultation showed that displacement and eviction of a large number of people from different parts of the country due to the recent social and political unrest poses a critical problem in various kebeles of the woreda. Of all listed shocks, drought is the major recurring source of shock both in the agricultural and pastoral communities. However, consultation assessed that pastoral communities are more vulnerable to drought shocks. Consequently, over years, the situation has overwhelmingly reduced the productivity of the livestock while mass death of livestock occurred from the outbreak of animal epidemic accompanied by prolonged drought. These particular features of the pastoral communities recommended the need to use effective risk assessment and early warning systems to avoid and significantly reduce or mitigate the impacts of drought shocks. PSNP5 livelihood intervention should be tailored towards these peculiar livelihood contexts of the pastoral communities.

Monitoring and prediction of sources of shock: Manual and poor quality based early warning data management system make poor capacity of monitoring and prediction of short- and long-term sources of shock. That makes the proactive interventions so difficult to avoid, reduce or properly mitigate the impacts of shocks on people, economy and environment. The finding of the ESAC for PSNP5 recommends the automation of the collection, management and access of early warning data to enhance the existing poor capacity of monitoring and prediction of short- and long-term sources of shock. In addition, providing adequate training for early warning staffs at all levels on the automation system is necessary for enhancing the capacity of monitoring and prediction of shocks.

System of needs projection: Manual and poor based early warning data management system caused poor capacity of needs projection in terms of: the number of people needing emergency assistance, the number of vulnerable people with special needs, the volume of food needed/consumption gaps, the duration of support required, and the months of support that is needed. This makes drought response plan and disaster risk financing plan so difficult. The same

mitigation measures suggested above for effective monitoring and prediction of sources of shock is considered here to enhance the system of needs projection.

Shock-delivery system: ESAC finding uncovered the current shock-delivery system is ineffective for several reasons. First, the core PSNP and Humanitarian Food Assistance (HFA) are delivered independently leading to overlapping in the targeting of clients for PSNP and HFA, differing transfer value between PSNP and HFA, and parallel institutional arrangements. Second, the existing shock-delivery system has no standard operating rules and procedures that define the system's scales-up, how it will scale-up, to which groups of population, for how long and how much assistance shall be received. These factors resulted in the delay of the HFA exacerbating the impacts of shock. The shock impacts are even more severe for vulnerable groups such as children, pregnant and lactating women, elderly, people with disabilities/persons affected by chronic diseases and people living with HIV/AIDs who are in urgent need of food assistance. Thus, stakeholders underline that it would be good to have a strategy that make analysis over the special need of vulnerable groups and respond to their needs accordingly. The existing poor shock-delivery system urges the upcoming PSNP5 to undertake appropriate mitigation measures. First, change the current multiple delivery mechanisms to a single delivery system which combines Humanitarian Food Assistance and the core PSNP. Second, develop standard rules and procedures that define the system's scales-up, how it will scale-up, to which groups of population, for how long and how much assistance shall be received. Third, develop system for effective shock response plan and disaster risk financial plan.

Component 3: Program Management Support

Effectiveness of the institutional arrangements: ESAC finding uncovered existing institutional arrangements from federal to kebele level are good. However, interviewed federal, regional and woreda stakeholders alike expressed difficulty of effectively fulfilling duties and responsibilities due to continuous reshuffling of leaders and staffs' lack of commitment. In addition, stakeholders discussed weak coordination and cooperation among implementing offices/agencies of GOs, NGOs and development partners at different levels. Thus, informants suggested a strong linkage between the higher-level program staff and the front line implementers has to be improved so that everybody can be on the same page, update each other on programmatic level changes and timely resolve challenges that the front line staff facing. Strengthening the GO-NGO forum and providing space in the JRIS agenda to share key learning and experience is recommended.

Capacity gaps: Staffs' knowledge and skill gaps from federal to kebele level on gender and nutrition sensitive PSNP provisions, TDS and PDS risk the equal benefits of women, children, TDS and PDS clients by properly implementing the program. In view of identified gaps, informants suggest several measures: automation of data management system, regular capacity building trainings for staffs, incentives for the frontline staff, providing educational opportunities for the DAs and the technical staff, allocation of enough capital, admin and CD budget, and quality technical support for split woredas.

Grievance redress mechanisms: Stakeholders identified the following major sources of grievance: exclusion and inclusion errors, delay of cash payment and food transfers, claim over access to payment by divorced husband and wife, discontent due to unfair livelihood support

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targeting, inaccessibility of the distance of payment and food distribution center, and mismatch between public work timing and clients' annual farming/pastoral calendar. Nevertheless, the existing GRM is none responsive for the reasons already stated above. In addition, recommended measures are stated earlier.

Overall summery on key identified social risks and related issues and recommended actions have been included in Social Development Plan.

1. Introduction

Social Assessment is an instrument used to identify and analyze the potential social impacts and risks of the proposed World Bank supported project, evaluate alternatives and design appropriate mitigation, management, and monitoring measures. Such assessment is a flexible process that can use different tools and methods depending on the scale and details of the proposed project. It is thus the primary means of ensuring World Bank supported projects that are socially sound and sustainable and would be used to inform decision making in project design. This *Enhanced Social Assessment and Consultation (ESAC)* assesses the potential impacts and risks of the proposed interventions of SEASN/PSNP5 on the historically underserved traditional local communities and vulnerable groups. The World Bank Environmental and Social Framework (ESF) require PSNP5 to ensure that its development interventions foster full respect for the special interests, identity, culture, and natural resource based livelihoods of historically underserved traditional local communities. Likewise, the PSNP5 program design should reflect the needs of the most vulnerable groups in a community.

Thus, this social assessment is conducted to inform the design decision of PSNP5 on how to avoid the adverse impacts of its development interventions on underserved communities and vulnerable groups, or when avoidance is not possible, to minimize, mitigate and/or compensate for such impacts. The proposed interventions of the PSNP5 are required to promote sustainable development benefits and opportunities for underserved communities and vulnerable groups in a manner that is accessible, culturally appropriate and inclusive. As part of these requirements, the World Bank agreed with the Government of Ethiopia that each new project would undertake an Enhanced Social Assessment and Consultation. Accordingly, the first phase of the ESAC was conducted with focus on secondary review due to the COVID 19 outbreak. Since that was mainly based on the review of secondary sources, second phase ESAC, this study, aimed to address the gaps in the first phase by providing adequate and detail analysis using primary data was conducted.

1.1. Background to Productive Safety Net Program (PSNP5/SEASN)

The fifth phase of the PSNP maintains the key outputs, principles and number of clients of its previous phases; and at the same time has introduced new outputs focusing on response to shocks and strengthening of linkages to social services for relevant PSNP clients. Phase five will expand geographic coverage and enhance service delivery of Ethiopia's adaptive rural safety net to improve the well-being of extremely poor and vulnerable households in drought prone communities with further strengthened elements and strategies. It also aims to contribute to the ten years development plan of the GoE (2020-2030) and other policies including the National Social Protection Policy (NSPP), the National Disaster Risk Management Policy and Strategy (NDRMS), the Climate Resilient Green Economy (CRGE) strategy, and the National Food and Nutrition Policy (NFNP). It aims not only to respond to extreme poverty and vulnerability through the provision of food and cash assistance but also to prevent asset depletion and protect against short-term shocks in poor and vulnerable areas as well as to create assets at the community level, to enhance access to services, to prevent the depletion of natural resources and to rehabilitate ecosystems. The project is expected to further strengthen the already started transition from a series of time-bound programs to the development of an efficient and effective

system for delivering rural safety net through consolidation of the PSNP and the Humanitarian Food Assistance (HFA) under a single scalable safety net.

The project provides cash and/or food transfer for its clients. Households that have able-bodied adult labor are expected to engage in Public Works (PWs) and receive transfer for 6 months of the year. Moreover, Permanent Direct Support (PDS) clients, households that are unable to provide labor for public works, receive 12 months of unconditional transfers. It also facilitates access to complementary livelihood services, which aims to improve the access of PSNP clients to technical and financial livelihoods support services.

The Outcome of PSNP5 is “*Enhanced resilience of extremely poor and vulnerable female and male members of rural households in PSNP woredas.*” The project will attempt to achieve this through implementing the following 6 outputs: i) timely, predictable, appropriate and adequate transfers received by eligible core caseload of male and female PSNP clients, ii) Households affected by climate-induced⁸⁴ shocks receive adequate transfers which help them to manage shocks when needed, iii) Sustainable and appropriate public works respond to community and PSNP households’ livelihood needs and contribute to climate change adaptation and mitigation, iv) Linkages to available social services facilitated for eligible core caseload PSNP clients focusing on the most vulnerable (Permanent Direct Support (PDS), Temporary Direct Support (TDS), Pregnant and Lactating Women (PLW), v) Tailored, nutrition, climate and gender responsive and diversified livelihood options accessed by PSNP clients through accountable delivery system, and vi) Strengthened program management, coordination and capacity development with accountable mechanism to ensure effective and efficient overall program delivery.

Overall, the proposed SEASN project financed by World Bank has three components. The first component focuses on the delivery of safety net operations for core project clients. It includes: the delivery of core transfers; the implementation of the public works sub-projects by which most beneficiaries earn their safety net benefits; services for children between 1 to 5 years old; and, complementary livelihood services to enable PSNP beneficiaries to enhance and diversify their incomes. Component 2 will enhance PSNP capacity to function as an integrated shock responsive social protection program, building on the Government of Ethiopia’s recent decision to consolidate the operational management of humanitarian food assistance and PSNP under the FSCD. The third component relates to the overall management of the PSNP. It includes activities focused on strengthening Government institutions’ ability to manage all aspects of project implementation and the use of core instruments (such as targeting, Management Information Systems and Grievance Redress Mechanisms) to assist project operations, poverty and vulnerability; and full retargeting at the beginning of the project and every four years.

Labor-constrained households will receive unconditional all year-round transfers as Permanent Direct Support Clients (PDS) and are linked with complementary social services where possible. Transfers are provided in cash or food through the GoE’s financial management and food management systems. Livelihoods activities aim to enable PSNP clients to diversify and increase

⁸⁴Climate change-induced shocks refer to climate change-related events, including rapid onset shocks (like floods, disease outbreaks, food price increase, etc.) and slow onset shocks (like drought, food price volatility, environmental degradation, etc.). However, in the context of PSNP 5 shock responsive safety net, the use of the term is limited to refer to the following shocks: drought, flood, frost and pest (PSNP 5 draft design document).

their incomes thereby moving out of poverty (and graduating from participation in the PSNP). The PSNP has been designed so that safety net support can be expanded in response to drought. The project has flexibility to provide extended months of support to existing clients and include additional households as temporary clients.

1.2. Objectives of the ESAC

The objective of the Enhanced Social Assessment and Consultation is to assess the potential social impact of the proposed interventions of PSNP5/SEASN on communities including the underserved and most vulnerable populations with a view to ensuring inclusivity and appropriateness of the project design and implementation. It provides an overview of the demographic, social, cultural and political characteristics of the vulnerable and disadvantaged groups in the participating regions and the project's potential and adverse effects of the vulnerable and disadvantaged groups and how the positive impacts can be enhanced and social risks managed. The Social Assessment mainly focuses on identifying the most vulnerable and historically underserved population,⁸⁵ recording their opinions and perceptions about the proposed interventions of PSNP5; assessing the potential social impacts and its implications for project design and implementation; and provides practical recommendations for dealing with the challenges and risks identified.

The assessment was focused on identifying the key stakeholder groups in the Project areas (including their livelihood and socio-cultural characteristics of beneficiary communities, etc.); the degree of harmonization in project interventions and the system in place, recording their opinions and perceptions about the Project; assessing the social impacts; and determining how relationships between stakeholder groups will affect or be affected by the Project. The ESAC for the project assessed the needs of historically underserved local communities (ESS7). Furthermore it assessed the potential social benefits, risks, indirect and community level social impacts for the public work, livelihoods, and transfer component with its implications for project design and implementation; and provide practical recommendations for dealing with the challenges and risks identified (ESS1).

Unlike the previous ESACs for Productive Safety Net Programs (PSNP), the PSNP5 was carried out in two phases due to the COVID-19 pandemic. The first phase (which was already prepared by the GoE) heavily depended on secondary data, reviewed key studies and evaluation reports which engaged community at large and the vulnerable groups in particular. It presented the findings of the studies and consultations conducted before and during the course of PSNP IV, and explain how they have been integrated in the design of PSNP5. Recent community level analysis such as PSNP5 gender analysis and GBV risk assessment report help the first phase ESAC to ensure that community level perception and voice are integrated in this phase. The findings of the evidence review were also supplemented by discussion with federal level government and development-partner specialists. Since PSNP5 does not involve any

⁸⁵Most vulnerable and historically underserved populations often includes: women in male headed and female-headed households, polygamous households, pastoralist households, unemployed rural youth, labour-poor households, the elderly, pregnant and lactating mothers, malnourished children, people living with HIV/AIDS (PLHIVs) and labour-poor households, in existing and new woredas of the project

fundamental changes in the design of the PSNP, these findings have been adopted as entirely relevant for the preparation of PSNP5.

For the second phase of the ESAC community consultations with specific historically underserved or vulnerable groups, in selected new and old woredas, were conducted in order to develop community-specific or area-specific adjustments in the project design or implementation and update of instruments that may be required in order to ensure that the project fully responds to those community needs. The ESAC:

- Establish an appropriate gender and inter-generationally inclusive framework that provides opportunities for consultation at each stage of project preparation and implementation among the borrower, the affected vulnerable and disadvantaged groups or communities, their representative organization, if any, and other civil society organizations (CSOs) identified by the affected, the vulnerable and disadvantaged groups as representative or able to promote their development needs;
- Use consultation methods in the context of COVID 19 appropriate to the social and cultural values of the affected vulnerable and disadvantaged groups and their local conditions and, in designing these methods, it gave special attention to the concerns of vulnerable and disadvantaged women, people with disability, youth, and children and their access to the development opportunities and benefits; and
- Provide a framework to provide affected vulnerable and disadvantaged communities with all relevant information about the project (including an assessment of potential adverse effects of the project on the affected vulnerable and disadvantaged) in a culturally appropriate manner at each stage of project implementation.

1.3. Project Development Objective

PSNP5's/SEASN's overall Project Development Objective is “*expand geographic coverage and enhance service delivery of Ethiopia's adaptive rural safety net to improve the well-being of extremely poor and vulnerable households in drought prone communities*”.

1.4. Components of the Project

The proposed project will support the fifth phase of the Government of Ethiopia's Productive Safety Net Program (PSNP5).⁸⁶ This phase of support, SEASN will build on experiences and lessons learned from early phases of implementation and will seek to make key enhancements to the program under three components:

Component 1: focuses on the delivery of safety net operations for core program beneficiaries. It includes the delivery of core transfers; the implementation of the public works sub-projects by which most beneficiaries earn their safety net benefits; services for children between 1 to 5 years old; and complementary livelihood services to enable PSNP beneficiaries to enhance and diversify their incomes.

⁸⁶The fourth phase of the Government program was supported by two World Bank projects: the Productive Safety Net Project IV and the Rural Productive Safety Net Project.

Component 2: will (i) support the Government to expand the geographic coverage of PSNP in additional drought-prone woredas; and (ii) enhance PSNP capacity to function as an integrated shock responsive social safety net, building on the Government of Ethiopia's recent decision to consolidate the operations management of humanitarian food assistance and PSNP under the Food Security Coordination Directorate in the Ministry of Agriculture. This component also includes a pre-allocated Crisis Response Window (CRW) Contingency Emergency Response Component (CERC) which will facilitate an early response to emerging food insecurity crises.

Component 3: relates to the overall management of the PSNP. It includes activities focused on strengthening Government institutions' ability to manage all aspects of project implementation and the use of core instruments (such as targeting, Management Information Systems and Grievance Redress Mechanisms) to assist project operations, poverty and vulnerability; and full retargeting at the beginning of the project and every four years. Within these components, there are three priority themes underpinning the support SEASN provides: integration, sustainability, and modernization.

1.5. Scope of the Work

The Enhanced Social Assessment and Consultation was a combination of three stages. First, engaged in a Rapid Context Assessment of available data, identifying stakeholders and key issues, and undertaking a gap analysis of where additional data or consultations are required. Second, on the basis of the context assessment, collect and organize data and information to fill the gap, specifically focusing on potential project impacts on underserved and vulnerable groups and thirdly, conducted an in-depth consultation process with the identified stakeholders, specific to the SEASN project. With these three stages, the specific activities undertaken are described in detail as follows:

Reviews and assessment on key social issues: Review the project background documents, Phase I ESAC and understand the full extent of the proposed project, its general location, size, schedule and planned sequence of activities, available resources, expected implementation arrangements and life-span. The ESAC write-up covered a description of each component of the proposed project as it relates to social analysis. The consultants, with support of GoE and Social Development Task Force (SDTF), conducted literature review to complement the first phase of PSNP5 ESAC in the areas of:

- The socio-cultural, institutional, historical and political characteristics and contexts of the affected communities in which the PSNP operates;
- Qualitative descriptions of relevant development trends such as significant demographic changes, patterns of asset ownership and livelihoods, external political or economic and environmental aspects. The data was disaggregated in such a way as to assist with understanding the key risks and impacts of the project. The finding on the baseline described the social/cultural features that differentiate social groups in the project area. Furthermore, it described their different interests in the project, and their levels of influence and involvement. It also described the social organization of underserved communities, degree of social conflicts, networks, and support systems, conflict resolution mechanisms and local institutions (customary and other) and proposed mechanism to avoid elite capture of project benefits. Besides, assessment included the

religious, cultural and political context and how it is likely to affect and be affected by the proposed project interventions and methods of community engagement at all stages.

- Description of the constraints and opportunities of the context poses to the project;
- Updated the relevant national legislation and regulations related to the most vulnerable and disadvantaged groups, gender equality, etc.
- Assessment of likely Social Risks and Positive Impacts. This identified social risks (e.g. country risks, political economy risks, institutional risks, and vulnerability risks). Social risk analysis examined the social groups vulnerable to stress and shocks and the underlying factors that contribute to this vulnerability. The consultants examined these key elements in order to assess and describe the opportunities, constraints and likely social impacts of the project. Advised whether Involuntary Resettlement and Physical Cultural Resources related standards are likely to apply; map the gender patterns of existing community institutions (both formal and informal), assessed women's roles and how to promote participation in the project and mitigating measures and assess the participation of various social groups (women/men/youth/vulnerable groups), including their involvement in leadership.
- Assessed the institutional capacity and the institutional arrangements from national to local level proposed under the project as well as resources requirements to manage and monitor social safeguard issues/risk management measures. Also assessed the validity of the training programs as well as extent that gender-sensitive participatory approaches are employed.
- A gap analysis was undertaken to determine what additional data and research is required in terms of identification of stakeholders, social issues, geographical areas, livelihood groups and socio-cultural characteristics not already covered; addressed by the field work.

Fieldwork Plan: Based on reviews and assessment of available data that identify the particular agro-ecological conditions, livelihood and specific socio-cultural groups, including most vulnerable and disadvantaged groups and areas, which have not been sufficiently covered and for which additional data is required. Fieldwork was carried out in eight woredas from six regions (two woredas each from Afar and Somali, one each from SNNP, Oromia, Tigray and Amhara). The woredas were comprised from existing and potential new program areas. FSCD worked closely with its regional counterparts to ensure relevant woredas for this consultation. Key findings and recommended actions of the first phase of PSNP5 ESAC was also validated.

Data Collection and Consultation: Data collection had taken the form of informed consultation (including focus group discussions and KII as appropriate) which takes the COVID-19 related measures into consideration. This task covered the following activities:

- Identified the potential vulnerable groups in the study areas. The team from MOA went to potentially disadvantaged areas in consultation with consultants to conduct focus group discussions and community consultations and draft the main outcomes of the consultations;
- Targeted groups for data collection and focus group discussions were based on guidance provided by the World Bank's Social Development Team;
- Presented the key points of the proposed project as it relates to equity issues;

- Following the brief description of the proposed actions, asked specific questions on the needs of the community in terms of the rural safety net interventions (adequacy, sustainability, quality, accessibility, etc.). The World Bank reviewed the instruments developed. The questions were phrased appropriately to get feedback on the needs of the community in providing better service;
- Provided description or explanation of their customary or cultural, social institutions/organizations that might have implication to the project. The report reflected literature on the unique cultural characteristics or establish what makes them different and about their customs and values that could assist in delivery of the project.
- Additional questions included: information about livelihood issues, land certification, community participation, grievance redress and benefit sharing plans and effective use of these; the extent to which the ongoing Phase of the PSNP has benefited the particular group and specific questions regarding appropriate interventions required to improve social outcomes of PSNP5. Moreover, the appropriateness and potential impact of project activities which are newly introduced in PSNP5 were explored.

The consultation process was focused on ascertaining the extent to which the Ethiopia Rural Safety Net Project's Social Development Plan has been implemented, including the appropriateness of the recommendations and possible areas for strengthening in addition to impacts of its activities to date. The team of consultants developed/updated Phase I Social Development Plan to ensure that the project and its implementing agencies respect the dignity, rights and culture of underserved communities and ensure that these people benefit from the program in a sustainable manner. The team of consultants, together with the client also defined/updated monitoring indicators for identified measures.

To ensure broad participation, consultations with communities included a description of the PSNP5 in a way that community members can understand.

Based on the findings of the previous steps, the consultants, in consultation with government counterparts, updated the first phase of PSNP5 ESAC's report and social development action plan in such a way that the complete report provides guidance to project managers and other stakeholders on how to strengthen the integration of social development issues into project design and implementation arrangements. The consultants, together with the client and relevant SDTF members, verified early results, including findings in the report and updated sections in the ESMF.

2. Methodology of the Enhanced Social Assessment and Consultation for PSNP5

As part of the assessment, desk review, key informant interviews with federal, regional, woreda, NGOs and development partners, vulnerable and disadvantaged as well as community consultation were conducted. In the following sections, each of the aforementioned methods, sampling procedures and data analysis are discussed in detail.

2.1. Desk Review

The Enhanced Social Assessment and Consultation was carried out mainly on the basis of the study already carried out in the SAs, ESMF and SEP prepared for this and other projects of

World Bank in Ethiopia such as DRDIP, PCDP-3, RPLRP, LFSDP and LLRP and in particular the various documents prepared for PSNP, including enhanced social assessment for PSNP IV. Relevant documents and studies were reviewed, including the National and International Laws and Proclamations as well as Ethiopian government rules and regulation related to vulnerable groups, gender equality and historically underserved or disadvantaged regions. The review of the existing social safeguards instruments were conducted in the context of the PSNP5 ESAC document and the situational potential social risks. The review also involved the assessment of policy/legal conditions that may have changed and institutional changes that may have occurred and thus need due consideration. The relevant policy, legislative and administrative frameworks of Ethiopia, World Bank ESF and pertinent International Conventions were reviewed. In addition, PSNP Household Impact Assessments (2006-2012) and the first phase of the PSNP5 ESAC report were reviewed to identify information gaps. Besides, baseline information included based on the demographic, social-cultural, historical and political characteristics of the historically underserved communities where the PSNP operates with particular emphasis to the sampled woredas selected for data collection. Description on the social aspects of underserved communities were done such as degree of social conflict, networks, support systems, conflict resolution mechanisms and local institutions that play role in the process of project benefits.

2.2. Key Informant Interviews and Email Exchanges with Stakeholders at Federal Level

In order to collect and organize data from the federal and regional levels stakeholders in the situation of COVID 19, communications were made through phone calls and emails as appropriate to avoid contact and dissemination of the pandemic. At the federal level, the consultants in collaboration with FSCD consulted stakeholders working in close collaboration with PSNP5/SEASN. One key informant was profoundly consulted from each of the following stakeholders:

- Ministry of Agriculture, Food Security Coordination Directorate (FSCD)
- Ministry of Agriculture, Natural Resources Management Directorate (NRMD)
- Ministry of Agriculture, Women, Children and Youth Affairs Directorate (WCYAD)
- Ministry of Labor and Social Affairs (MoLSA) (Harmonious Industry and Labour Management)
- Ministry of Labor and Social Affairs (MoLSA), Social Affairs Directorate
- National Disaster Risk Management Commission (NDRMC)
- NGOs (World Vision, Care Ethiopia and World Food Program)

2.3. Key Informant Interview with Stakeholders at Regional and Woreda Levels

The team from the federal (MOA, FSCD) conducted fieldwork in six regional states in collaboration with the regional heads of the BOA, particularly PSNP coordination office. They played an important role in organizing interviews and exchange of information through interviews. For this purpose, interview guide and checklist of questions for key informants are prepared ranging from management, coordination and capacity of implementing and collaborative institutions. From each region, key stakeholders who are working with PSNP are selected for key informant interviews. The assigned individual from federal level (MOA) had carried out discussion with key stakeholders based on the interview guide and prepared the

summary of the consultation in collaboration with PSNP coordinator at the regional level. They also took photos and lists of the participants. The followings are the office they consulted.

- BoA, DRM and Food Security Directorate,
- BoA, NRM directorate/process: Public Works Focal Unit,
- BoA, Women, Children and Youth Affairs process,
- Bureau of Labor and Social Affairs, and
- Bureau of Finance and Economic Development

At woreda level, the assigned federal level facilitators in collaboration with food security process-owners in each selected sample woredas (either existing or new), and regional level facilitators, had conducted discussions and consultations with relevant stakeholders:

- WoA FS desk
- EW desk
- Woreda Office of Labor and Social Affairs
- Woreda office of Women, Children and Youth Affairs
- Development Agents (DAs)

2.4. Community Consultation

The federal level assigned team in collaboration with food security process-owners at selected woreda levels and regional facilitators had conducted discussion with Kebele Food Security Task Force (KFSTF) and Kebele Appeal Committee (KAC). Furthermore, they conducted community consultation with beneficiaries in the public work, cash transfers, and livelihood services taking into account the COVID 19 situation. The following are the groups (project-affected parities/project beneficiaries and disadvantaged and vulnerable) that were selected to participate in the community consultation:

Project-affected parities/Project beneficiaries

- PSNP core beneficiaries (households that have able-bodied adult labor)
- Permanent Direct Support (PDS) clients
- Temporary Direct Support (TDS)
- Emergency response beneficiaries (HFA)
- PSNP Woreda contingency beneficiaries
- Ex-pastoralists: are households who have lost their livestock and now depend largely on the ‘sale’ of family labour.
- Waitlisted -potential beneficiaries

Disadvantaged and vulnerable groups

- Underserved Communities/groups
- Pregnant women and lactating mothers
- Women in male-headed and female-headed beneficiary households
- Pastoralist households

- Polygamous households
- Elderly households
- Disabled/persons affected by chronic diseases
- Children
- Unemployed rural youth
- People living with HIV/AIDS
- Labour-poor households
- New residents to woredas
- Protracted IDPs

Consultation with the Community and other stakeholders covered the views, needs, priorities and concerns of the people from PSNP5. During the assessment, the socio-cultural and economic factors that exclude, restrict, discriminate or disproportionately impact on the participation and benefits of vulnerable or disadvantaged groups were considered. During the community consultation, the communities were informed about the objectives, components and the overall planning and implementation activities of the PSNP5/SEASN. It was also focused on the targeting processes considering extreme poverty, vulnerability and shocks. This needed considering the current situation or changes. In addition, the discussion considered the exclusion and inclusion criteria as well as the fairness and transparency during beneficiary selection. Moreover, the formal and informal authorities' role in the targeting process was assessed during community and stakeholders consultation.

Besides, the ESAC with the community and stakeholders assessed several issues including the satisfaction of beneficiaries from the project in light of cash transfers such as payment modality, timeliness, predictability, and payment location, payment schedule from the perspectives of household farming/pastoral activities, complaint-handling mechanisms and to further assess better means of improvements. Moreover, information was gathered regarding able-bodied households' participation in the community-planned public works and labor-constrained households who receive unconditional all year-round transfer as Permanent Direct Support Clients. Livelihoods activities aiming PSNP clients to diversify and increase incomes thereby moving out of poverty was assessed. Finally, the discussion with the stakeholders and the community identified social impacts (positive and negative), risks, concerns, challenges, benefits and opportunities that will encounter the Program during implementation as well as mitigation measures where applicable. This ensured the project design to gather qualitative data and information on the social concerns, suggestions and recommendations to avoid and minimize potential risks and adverse impacts. The consultants supported the Client in analyzing the relative vulnerability context and differentiated risks to be caused by the proposed project activities. This includes the key impacts on different groups of people such as women in male-headed households, female-headed households, pregnant women and lactating mothers, polygamous households, pastoral households, elderly headed households, unemployed rural youth, children, disabled/persons affected by chronic diseases, people living with HIV/AIDS, labour-poor households and new residents to Woredas.

2.5. Key Informant Interviews with Vulnerable and Disadvantaged Groups

Key informant interviews with vulnerable and disadvantaged groups were carried out in order to assess the special needs of vulnerable, disadvantaged groups, and propose for the PSNP5 to take into account their specific needs and priorities during the implementation of the program. In addition to the community consultation conducted with these groups, individual interview with these groups was undertaken in order to understand their special needs and priorities in a detailed manner. This helped in triangulating the data gathered through other methods.

2.6. Sampling Procedure

Based on the ESAC ToR, eight woredas were selected from six PSNP regions. The proposed PSNP woredas are Mille and Elida'ar in Afar region, Kebribeya and Gursum woredas from Somali regions, Tsiraie wonberta woreda from Tigray region, Ebinat woreda from Amhara region, Boset woreda from Oromia, and Bolosso Sore woreda from SNNP. To generate adequate and representative data, the selection of the sample woredas considers several points. First, woredas were selected both from the existing and new/recently joined PSNP woredas. Thus, Tsiraie wonberta from Tigray region, Elidar woreda from Afar region and Gursum woreda from Somali region are among the new/recently joined woredas selected for assessment. While the remaining five (Mille, Kebribeya, Ebinat, Boset, and Bolosso Sore) were selected from the existing woredas. Second, the selection of the sample woredas considered both the pastoral and agro-pastoral communities. The particular agro-ecological conditions, political, socio-cultural and livelihood features of the study communities are emphasized accordingly. Third, the sample selection has given due attention to vulnerable groups with special needs such as pregnant women and lactating mothers, women in male-headed and female-headed households, polygamous households, pastoral households, elderly households, disabled/persons affected by chronic diseases, unemployed rural youth, labour-poor households and new residents in the selected woredas. Fourth, the woreda selection considers local security and accessibility issues. Finally, it is suggested to cover one sample kebele from each selected woreda for the community consultation and key informant interviews. Kebeles from the respective sample woredas were selected purposively.

2.7. Data Analysis

In this enhanced social assessment and consultation, qualitative data analysis techniques were used. Thus, the thematic data analysis method is useful to analyze and interpret the qualitative data collected from the field in terms of code, quotation, memos, network and category. Qualitative data were categorized and identified by themes using patterns and matrix systematically. It included verbatim notes or transcribed recordings of interviews or focus groups, jotted notes and more detailed “field-notes” of observational study. In qualitative research, the analytical process begins during data collection as the data already gathered are analyzed and shaped on the on-going data collection. This interim analysis has the advantage of allowing the team to go back, refine questions, and pursue emerging avenues of inquiry in further depth.

3. Policy, Legal and Institutional Framework

3.1. National Policies and Legal Frameworks related to Productive Safety Net Program

PSNP5 is expected to contribute towards the realization of most of the 17 Sustainable Development Goals (SDGs). It has direct relevance to at least 12 of the 17 SDGs, namely: no poverty; zero hunger; good health and well-being; quality of education; gender equality; clean water and sanitation; decent work and economic growth; industry, innovation and infrastructure; reduced inequality; climate action; life on land; and partnerships. To this end, there are several complementary national policies that provide a more specific framework for PSNP5.

Constitution of Ethiopia: The declared principle of the GoE pillars are based on respect for diverse collective identities (nationalities); and for individual rights (citizens). The GoE refers to Ethiopia as a “developmental state”, based on a strong popular consensus. Under the Constitution, the GoE guarantees equitable access by all Ethiopian people to public goods and services recognizing distinct group rights according to which sovereignty resides in nations, nationalities and peoples.⁸⁷ *Article 39* of the constitution recognizes the rights of groups identified as “Nations, Nationalities and Peoples”, defined as “a group of people who have or share a large measure of common culture or similar customs, mutual intelligibility of language, belief in a common or related identities, a common psychological make-up, and who inhabit an identifiable, predominantly contiguous territory.” The Constitution recognizes their right to self-determination, including the right to secession; speak, write and develop their own languages; express, develop and promote their cultures; preserve their history; and, self-government (including the right to establish institutions of government in the territory that they inhabit and equitable representation in state and federal governments). Consistent with this, PSNP5 is designed to ensure that goods and services that are appropriate are delivered effectively to all population groups.

Developing Regional States: The Ethiopian Constitution also recognizes the rights of pastoral groups inhabiting the lowland areas of the country. *Article 40 (4)* states “Ethiopian pastoralists have a right to free land for grazing and cultivation as well as a right not to be displaced from their own lands”. *Article 41(8)* also affirms, “Ethiopian...pastoralists have the right to receive fair prices for their products, that would lead to improvement in their conditions of life and to enable them to obtain an equitable share of the national wealth commensurate with their contribution”. This objective shall guide the State in the formulation of economic, social and development policies.

Owing to their limited access to socioeconomic development and underserved status over the decades, the Ethiopian government has designated four of the country’s regions, namely: Afar, Somali, Benishangul-Gumuz, and Gambella as Developing Regional States. In this respect, *Article 89(2)* states, “The Government has the obligation to ensure that all Ethiopians get equal opportunity to improve their economic situations and to promote equitable distribution of wealth among them”. *Article 89 (4)* states: ‘Nations, Nationalities and Peoples least advantaged in economic and social development shall receive special assistance’. Recognizing that these communities constitute a significant part of the population in Developing Regional States, GoE

⁸⁷*Constitution of the Federal Democratic of Ethiopia*, 1994. Preamble.

adopted a number of measures designed to improve the living conditions of pastoral groups. These measures, manifesting the special attention given to pastoralists, and consolidate the efforts being made in the development of the pastoral sub-sector include the following:

- Formation of the Pastoral Affairs Standing Committee (PASC) in the House of Peoples' Representatives (HPR);
- Inclusion of pastoral development strategies in the *Growth and Transformation Plan (GTP)*;
- Design and implementation of participatory, community driven, and livelihood focused series of three five-year projects in Somali, Afar, Oromia, and SNNP regions as part of a 15-year Pastoral Community Development Project (PCDP)
- Establishment of a Directorate within the Ministry of Peace responsible for coordinating multi-sectoral support including pastoral development endeavors in pastoral regions;
- Establishment of research institutes focusing on pastoral development; and
- The recognition and observance of Ethiopian Pastoralist Day (EPD).

Language Policy: One of the objectives of Cultural Policy of Ethiopia is to enable the languages, heritage history, handicraft, fine arts, oral literature, traditional lore, beliefs and other cultural features of the various nations, nationalities and peoples of Ethiopia to receive equal recognition and respect; and to preserve and conserve these and pass them over to future generations.

Women's Rights Policy: The Constitution aims at enabling women to play constructive roles in political, social and economic spheres and thereby share equal benefit with the rest of the citizens. Article 35, sub-article 7 of the Constitution states that women have the right to acquire, administer, control, use, and transfer property, and have equal right with respect to use, transfer and control of land. However, studies show that Ethiopian women lack productive assets, particularly land, and are underserved with agricultural extension services, credit, oxen and farm inputs.

As part of a policy measure, the government of Ethiopia has established Ministry of Women Affairs (MoWA) in 2006 for representing women issues in the Council of Ministers. A National Action Plan on Gender Equality was developed. Gender mainstreaming guidelines are being developed at Federal level. Some regions have developed their own gender mainstreaming guidelines.

Growth and Transformation Plan (GTP): The GoE's 5-year growth plan, with projected GTP growth of 11-15% per year, a higher growth target than any of Ethiopia's earlier national plans, outlines opportunities in agricultural and industrial sectors.

The GTP has "develop the system of transparency and accountability," as one of its core objectives and calls for improved transparency in service delivery. Good governance initiatives were first introduced during the GoE's Plan for Accelerated and Sustained Development to End Poverty (PASDEP), which included a range of interventions that contributed to human development, democratization, and enhancing people's participation and building well integrated institutional capacity and ensuring transparency and accountability. The GTP seeks to build on

and expand these initiatives to ensure efficiency, effectiveness, transparency and accountability at all levels.

FDRE 10-Year Strategic Development Plan (2020-2030): The plan asserts that one of the serious development problems facing the country is youth unemployment. According to the document, the rate is estimated at 25.3% (18.6 among males and 30.9 among females). Estimated at 2%, rural unemployment seems much lower than urban unemployment. However, the document further states that due to the declining smallholder farmers' land-holding size, there is high 'hidden rural unemployment⁶'. Thus, one of the sub-components of the PSNP5 is job creation for unemployed youth in rural Ethiopia. It will hire rural youth as community facilitators to support the livelihoods, nutrition and other elements of the program. Further, the livelihoods output of the program promotes off-farm activities and wage employment.

Social Protection Policy: The Government of Ethiopia has ratified a new Social Protection Policy that lays out a vision for social protection in Ethiopia. The policy has identified five key strategic focus areas: i) social safety nets; ii) livelihood and employment promotion; iii) social insurance; iv) access to health, education and other social services; and v) addressing violence, abuse and neglect and providing legal protection and support. Further, the policy commits the Government to move beyond the partial, and fragmented, provision of social protection to establish a social protection system. In this connection, PSNP5 supports the Social Protection Policy by reducing institutional budgetary fragmentation among services supporting the same client (such as the safety net, livelihoods support, and nutrition and health services). Specifically, PSNP5 pursues the harmonization activities referenced above and serves as platform to facilitate linkage to social services to its clients. Through the Public Work (PW) subprojects (e.g. construction of social infrastructure), PSNP also contributes to further development of basic services for health and education for its clients. The program design also supports livelihood and employment schemes.

National Disaster Risk Management Policy and Strategy (NDRMPS): The Government of Ethiopia has endorsed a new NDRMPS in 2013 that amends the earlier National Policy on Disaster Prevention and Management, which has been under implementation since 1993. The new NDRMPS marks a paradigm shift in doing business differently —moving away from a system focused on drought and emergency assistance to a comprehensive disaster risk management approach. To complement the new NDRMPS, the design of PSNP5 entails a shift from response and recovery to a multi-sectoral and comprehensive approach that focuses on disaster prevention, mitigation and preparation. In this, PSNP5 contributes to disaster risk management by helping to improve national risk management in three major ways. First, the transfer sub-component helps poor households mitigate and cope with the impact of climate change induced shocks. Second, the PW sub-component reduces the probability of a weather shock turning into a production shock and/or reduces the severity of a shock when it occurs. This prepares households and communities against the impacts of disasters. Finally, by strengthening and adjusting the response instruments (PSNP contingency budgets, disaster risk financing mechanisms and humanitarian resources) and putting in place single delivery system PSNP5 enable timely and in adequate responses.

National Food and Nutrition Security Policy and strategy (2019): The goal of national food and nutrition policy is to attain optimal nutritional status at all stages of life and conditions to a

level that is consistent with good health, quality of life and productivity. Its objectives are to improve the availability and accessibility of adequate food to all Ethiopians at all times, improve access to quality and equitable nutrition and health services to all Ethiopians at all, improve consumption and utilization of diversified and nutritious diet throughout the life cycle, improve the safety and quality of food throughout the value chain, reduce food and nutrient losses along the value chain, improve food and nutrition emergency risk management, preparedness and resilience systems, and improve food and nutrition literacy of all Ethiopians. It is overseen by a National Nutrition Coordinating Body that is chaired by the Federal Ministry of Health (FMoH) and co-chaired by the Ministries of Agriculture (MoA) and Education (MoE).

Climate Resilient Green Economy (CRGE): CRGE was launched in 2011 with the aim to build Ethiopia into a middle-income country by 2025 in a way that is both resilient to the negative impacts of climate change and does not result in a rise in greenhouse gas emissions. PSNP5 contributes to climate resilience in two major ways: it strengthens household resilience to shocks by increasing food security and livelihoods; and it reduces carbon emissions and increasing carbon sequestration through public works.

Pastoral Development Policy (PDP): Afar, Somali and parts of Oromia and SNNP regions form the lowland areas where most of the pastoralist community in the country occupies. The PDP endorsed in 2019 informs PSNP5's design and implementation in lowland areas. PSNP5 underscores the importance of context specificity whereby development programs are based on pastoral communities' natural resources and the NRM styles applicable to their environment. PSNP5 recognizes that for pastoralists who are not successful in nomadic livestock herding, it is important to engage them in sedentary farming and income generating activities (IGAs), hence, the inclusion of livelihoods component in this phase of PSNP.

The National Nutrition Program (NNP): In order to combat the challenges of malnutrition in Ethiopia the Government embarked on the second National Nutrition Program (NNP II) in 2016, focusing on the first 1,000 days of life to eradicate chronic malnutrition by 2030. The principles for implementation of the program include breaking the lifecycle and intergenerational transmission of malnutrition; stepping up public health interventions; addressing chronic and recurrent food insecurity; and engaging a large number of stakeholders including but not limited to Ministries of Health; Agriculture and Natural Resources; Education; Livestock and Fisheries; Water, Irrigation and Electricity; Finance and Economic Cooperation; Labor and Social Affairs; Women and Children Affairs. The ministries have recognized that high malnutrition rate in Ethiopia is unacceptable and have stressed the need for strengthened collaboration to reduce the impact of malnutrition in the country.

As malnutrition remains to be the underlying cause of more than one in five child deaths in Ethiopia, the goal of the NNP II is to provide a framework for coordinated and integrated implementation of multisector nutrition interventions. The NNP II was developed taking into account past experiences and lessons learned from the implementation of the NNP I and integrating new initiatives from the second Growth and Transformation Plan (GTP II). The updated aims of the NNP II include reducing the prevalence of three crucial indicators for children under five: stunting from 40 per cent to 26 per cent; underweight from 25 per cent to 13 per cent and wasting from 9 per cent to 4.9 per cent. With the following five strategic objectives,

the NNP II envisions Ethiopia free of malnutrition and diet-related non-communicable diseases by 2050:

- Improve the nutritional status of women (15 -49 years) and adolescent girls (10 – 19 years)
- Improve the nutritional status of children from birth up to 10 years
- Improve the delivery of nutrition services for communicable and non-communicable/lifestyle related diseases
- Strengthen the implementation of nutrition-sensitive interventions across sectors
- Improve multi sector coordination and capacity to implement the national nutrition program

PSNP IV will support the NNP by integrating nutrition sensitive approaches throughout the new design and by designing specific linkages to ongoing health and nutrition interventions, which will help to maximize the positive and minimize any negative social impacts.

3.2. Institutional and Implementation Arrangements

Implementation arrangements for the PSNP under this phase of support will build on the structures put in place for the ongoing projects (PSNP4 and RPSNP). The PSNP is implemented through the Ministry of Agriculture, which is responsible for the overall coordination and management of the project, and other line ministries responsible for delivering services related to their mandates. Key implementing agencies include:

The Food Security Coordination Directorate (FSCD) within the MoA coordinates all aspects of the PSNP, ensures timely transfer of resources to regions⁸⁸ and coordinates and oversees the on-farm and off-farm livelihood-related services under the program; it also ensures compliance of the Livelihoods activities with Environmental and Social Standards (ESS). During this phase, the Government is taking steps to consolidate core operations. This includes operationalizing its decision to merge the operations management of the PSNP and food assistance within one institution – the FSCD. As such, the FSCD has become responsible for planning, coordinating the financing, and implementing the cash and food assistance to households in response to drought and other economic shocks to households (for example, the economic impacts of natural disasters including pandemics). The FSCD social development unit will be responsible for coordinating and overseeing the planning, implementation and monitoring of the social management instruments and works in close collaboration with Women, Children and Youth Affairs Directorate of MoA, MoLSA, and Natural Resources Management Directorate (NRMD) to address social issues. In another effort to streamline and consolidate operations, the management of e-payment contracts will shift from the MoF to the FSCD to ensure better integration of program functions into one main agency at federal level.

The Natural Resources Management Directorate (NRMD) also within the MoA, provides implementation support, technical coordination, and oversight of the PW component. They also have responsibility for ensuring compliance with the environmental and social standards for the PW subprojects.

⁸⁸Budgets are released upon approval by MoA. MoF distributes the funds to the federal agencies and regions.

The Ministry of Labor and Social Affairs, which has a mandate to support vulnerable members of society including PDS beneficiaries and will play an increasing role in ensuring that labor and social standards for the project PDS beneficiaries are adhered to. This will entail assessing and providing technical support to address the social and occupational health and safety related risks of the project, documenting due diligence during project implementation and taking appropriate measures to mitigate these risks. Specifically, MoLSA will undertake labor inspections at PW sites with a special focus on identifying and documenting any child labor cases, perform case management of families with children at risk of child labor, encourage and assist these children to enroll in school, support the monitoring and reporting of any incidents of GBV in relation to the PSNP and implementation of light work and flexible work provisions for women. MoLSA will also monitor and report on the implementation of occupational health and safety standards.

The Ministry of Finance is responsible for overall financial management and reporting and for the channeling of PSNP resources to the implementing agencies at federal and regional levels.⁸⁹ It also commissions the audits of the cash resources for the PSNP and emergency response.

The Commodity Management Coordination Office (CMCU)⁹⁰ on instruction from the FSCD will procure, manage, and ensure transportation of government managed food commodities both for PSNP's core caseload and for temporary beneficiaries to whom the program scales up to in response to drought.

The National Disaster Risk Management Commission within the Ministry of Peace has overall responsibility for the coordination of Disaster Risk Management activities, including the consolidation and dissemination of early warning information and ensuring timely release of any assessments of need.

The Jobs Creation Commission and the Rural Job Opportunities Commission will be responsible for technical support to the implementation of the wage employment pathway.

Regional Bureaus and Woreda Offices corresponding to each line Ministry/Agency are responsible for the implementation of program activities. They are accountable to subnational governments (Regional and Woreda level).

The following table shows the Stakeholders and their responsibilities

Stakeholders	Responsibilities
Federal Level	
MOA-Food Security Coordination Directorate (FSCD)	○ Coordinates all aspects of PSNP. Ensures timely transfer of resources to regions, ⁹¹ coordinates and oversees the livelihood-related services under the PSNP and is responsible for ensuring compliance of the Livelihoods activities with the ESS.

⁸⁹Regional Bureaus distribute the budgets to woredas. For payments to beneficiaries Woreda Offices of Agriculture process the attendance sheets (received from kebeles) for payrolls preparation. Woreda Offices of Finance make payments to beneficiaries through cashiers in the case of manual payments.

⁹⁰ The CMCU currently sits within the NDRMC but under PSNP 5 it will move to the Ministry of Agriculture. Its responsibilities regarding the PSNP will remain the same.

⁹¹Budgets are released upon approval by MoA. MoF distributes the funds to the federal agencies and regions.

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Stakeholders	Responsibilities
	<ul style="list-style-type: none"> Responsible for planning, coordinating the financing for, and implementing the cash and food assistance to households in response to drought and other economic shocks to households. The FSCD social development unit will be responsible for coordinating and overseeing the planning, implementation and monitoring of the social risk management instruments and will work in close collaboration with Women, Children and Youth Affairs Directorate of MoA, MoLSA, and NRMD to address social issues.
MOA-Natural Resources Management Directorate (NRMD)	<ul style="list-style-type: none"> Provides implementation support, technical coordination, and oversight of the public works component. Responsible for ensuring compliance with the environmental and social standards for the public work component.
MOLSA-Social Welfare Development Directorate	<ul style="list-style-type: none"> Support to PDS and TDS clients, including identifying appropriate services to which they can be linked.
MOLSA-Occupational Safety, Health and Working Environment Department	<ul style="list-style-type: none"> Ensure that labor standards are adhered to, including putting in place a system for ensuring that labor inspections take place at public work sites and that monitoring and reporting procedures are in place.
Jobs Creation Commission and Rural Job Opportunities Commission	<ul style="list-style-type: none"> Technical support to and implementation of the Wage Employment Pathway
MOF-Channel One Programs Coordinating Directorate	<ul style="list-style-type: none"> Responsible for overall financial management and reporting and for the channeling of PSNP resources to the implementing agencies at federal and regional levels. It also commissions the audits of the cash resources for the PSNP and HFA.
MOP-National Disaster Risk Management Commission	<ul style="list-style-type: none"> Responsibility for the overall coordination of Disaster Risk Management activities, including the consolidation and dissemination of early warning information and ensuring timely release of any assessments of need.
MOA-Commodity Management Coordination Office	<ul style="list-style-type: none"> On instruction from the FSCD will procure, manage and transport government managed food commodities both for the PSNP core caseload and for temporary beneficiaries to whom the program scales up to in response to drought or other agreed shocks.
Payment Service Providers	<ul style="list-style-type: none"> Ensure timely account-based payments to client households in accordance with woreda requests and ensure an adequate network of payment agents
Woreda Level	
Food Security Desk (FSD)	<ul style="list-style-type: none"> Coordinates of all PSNP activities at the woreda level and maintains accurate records of safety net activities and clients.
Natural Resources Desk	<ul style="list-style-type: none"> Managing public works in coordination with the FSCD including: Reviewing public works plans and consolidating them into one overall woreda plan; Ensuring adherence to environmental standards; Supervising and providing technical backstopping in the construction of works; and Maintaining monitoring data on public works
Social Welfare Desk	<ul style="list-style-type: none"> Reviews needs of permanent and temporary direct support clients and refer them to any available services; Supports the oversight of PDS related social standards and selected M&E activities of the PSNP
Employer-Worker Affairs Desk	<ul style="list-style-type: none"> Undertakes labor inspections at public work sites and Ensures adequate monitoring and reporting of compliance with selected

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Stakeholders	Responsibilities
	environment and social standards.
Woreda Office of Finance	<ul style="list-style-type: none"> Ensures effective financial management of the program and, in woredas with manual cash payments, Undertakes timely PSNP payments to client households.
Early Warning and Response Desk	<ul style="list-style-type: none"> Provides key inputs into early warning system; and Supports the geographic targeting of scaled up transfers in response to droughts and other shocks.
Woreda Food Security Task Force	<ul style="list-style-type: none"> Oversees and coordinates program implementation among all implementing institutions at woreda level; Reviews and consolidates annual plans and ensures such plans are integrated into woreda office work plans; and Monitors progress of the program.
Woreda Council	<ul style="list-style-type: none"> As part of its role for the oversight of all activities in the woreda, the Woreda Council has ultimate responsibility for overseeing the implementation of the PSNP.
Kebele and Community Level	
Community Food Security Task Force	<ul style="list-style-type: none"> Identifies PSNP clients,⁹² Undertakes data collection related to the identification of households that may be ready to exit the PSNP, Supports the mobilization of the community for participatory public works planning.
Kebele Food Security Task Force	<ul style="list-style-type: none"> Coordinates all safety net activities at kebele level including preparation of Kebele PSNP Work plan in consultation with woreda sectoral offices and supports monitoring and supervision
Kebele Appeals Committee	<ul style="list-style-type: none"> Hear and resolve targeting appeals and other grievances regarding PSNP matters in a timely manner; and Ensure active recording and reporting of the same to the Woreda

3.3. World Bank Environmental and Social Standards Applicable to the Program

The preparation of the Enhanced Social Assessment and Consultation (ESAC) of SEASN/PSNP5 is in line with the World Bank Environmental and Social Frameworks (ESF), which comprises of 10 Standards. The standards are designed to help governments to manage the risks and impacts that will prevail during the implementation of PSNP5, and to improve environmental and social performance, consistent with good international practice and national and international obligations. The ESF places the emphasis of environmental and social risk management on achieving better development outcomes. It allows for adaptive management of project risks and impacts, which utilizes feedback from project monitoring to change project design and/or environmental and social risk management as necessary throughout implementation. The World Bank will also evaluate those aspects of the Government's policy, legal and institutional framework that are relevant to the project, including national, regional or sectoral implementing institutions that are applicable laws, regulations, rules and procedures and the implementation capacity.

This ESAC for PSNP5 focuses on meeting the standards stated under ESS7 Sub-Saharan African Historically Underserved Traditional Local Communities and or/Underserved or Vulnerable

⁹² In future, this may include gathering more detailed household data to support the maintenance of a household registry.

Groups who are present in, or have collective attachment to the project area. It also assessed the nature and degree of the expected direct and indirect economic, social, cultural (including cultural heritage), and environmental impacts the project will bring upon them. This standard applies to a distinct social and cultural group identified in accordance with paragraphs 8 and 9 of ESS7. As a result of this, Social Assessment should be developed, consulted, and disclosed prior to appraisal to guide the development of Indigenous Peoples Plans (IPPs)/social development Plans during implementation.

4. Key Findings on the Enhanced Social Assessment and Consultation

4.1. Vulnerable and Disadvantaged/Underserved Groups

As per the World Bank requirements ESS 7, the program includes Sub-Saharan African historically underserved traditional local communities. This standard is applicable in the project implementation areas of Ethiopia, particularly the people in Afar, Somali, pastoral and agro-pastoral parts of Oromia and SNNPR. Coupled with vulnerability and being disadvantaged groups, the food insecurity and loss of livelihood disproportionately impact vulnerable group of the community. Though the exact number unknown, vulnerable group of the community, which include women, women headed household, elders, children, and disabled people significantly and disproportionately affected due to increasing malnutrition and food insecurity, shocks and poverty.

From the previously assessed World Bank social assessments in Ethiopia, livelihood based cultural disparities for five occupational groups: pastoralists, shifting cultivators, fishermen, hunters and craft workers were mentioned. During the ESAC with the community and stakeholders, several issues were raised related to customary institutions, inclusions, and exclusion risks and such risks should be minimized or avoided in the historically underserved regions during the implementation of the PSNP5.

The form of polygamy (multiple marriages) which is practiced in Ethiopia is polygyny (a marriage of a man to two or more women at a time). Among the Ethiopian societies where polygyny is practiced (e.g., Afar, Somali, Oromo), a woman joins her husband in his patrilineal village on his ancestral land, the characteristic of a patriarchal society. The women do not own land and other major assets and are vulnerable to economic insecurity and often experience chronic food insecurity as the man often lacks resources to provide for the basic needs of his wives and their children. Since targeting is based on husband, the same amount of transfer is shared among the co-wives and this makes them vulnerable.

The underserved communities historically in Ethiopia are the pastoral and agro-pastoral groups that are estimated to be eight to ten million people, 10% of the country's total population that practice pastoralism as their predominant mode of livelihood across the lowlands of Ethiopia. The rangelands where pastoral practices are extensively carried out represent two-third of the total national land area. Pastoralists are mainly living in Somali, Afar, the Borana and Guji in Oromia Region, and the South Omo Zone of the SNNPR. They belong to some twenty-nine ethno-linguistic groups. Since the recent past, the herding populations in the lowlands have largely been impoverished and food insecure.

The arid climate of the region characterized by frequent cases of drought has been a principal contributory factor to the prevailing conditions. Resource degradation and water scarcity aggravated by steady increases in human and livestock population and the conversion of sizable areas of pastoral territory into dry land agricultural zones have resulted in the reduction of rangelands in terms of both quality and size. Poverty among the pastoral populations extends far beyond food insufficiency. They also have little access to socioeconomic benefits like health and education services and opportunities to income generating activities outside of the livestock domain. There is a direct correlation between livestock feed shortages and malnutrition in children. Coupled with these challenges among the pastoral communities, the various kinds of shocks and extreme poverty would worsen the situation.

The situation of pastoral communities was further compounded by lack of due policy attention by previous government administrations. The needs and interests of pastoral groups were, in previous times, not given the attention they deserved in the design and implementation of development policy interventions, as compared to smallholder agricultural communities in the highlands. As a result, a substantial portion of the development investment was devoted to the promotion of the non-pastoral sector of the economy. In addition to the ecological stress that pastoralists suffered, they also experienced economic and political marginalization as well as food insecurity because they have been seriously affected by recurrent drought and other climate-change related factors.

There are several sources of vulnerability in pastoral areas of Ethiopia as stated in various assessments and community consultation and discussion with key stakeholders such as deterioration of grazing/range land due to natural and human-made factors, drought, deforestation of rangeland epidemic diseases on human and livestock, market failure, poor socio-economic infrastructures: health, education, and market facilities, and rural road connection, conflict over resource competition; and deterioration of customary institutions. Even at present time, human population increases pressure on natural resources while conflict and insecurity often make these resources inaccessible.

Ex-pastoralists are herding groups who were predominantly involved in pastoral pursuits and can be described as well off by local standards of wealth and social differentiation. However, they have over the years lost their livestock wealth to recurrent droughts, veterinary diseases, and inter-group conflicts to the point of being ejected from the pastoral livelihood system. There are also challenges reflected by consulted stakeholders in pastoral communities such as exclusion errors of vulnerable groups in some projects. More to the point, unequal socio-economic dynamics could result due to favouritism or corruption made by kebele leadership or other economically influential community members who can misuse resources to their benefit from projects.

In most PSNP woredas, beneficiaries discussed that the distance of the payment or food distribution center is inaccessible. In particular, this influences the life of the disadvantaged and vulnerable groups. The worst scenario was reported in Boset woreda where women, elderly, and people with disabilities travel about 30 kms to collect transfers. Hence, elderly and people with disabilities forced to delegate people or spent one night around the payment and food distribution center. This may have potential risk for these beneficiaries by way of extra cost or dishonest act

of the delegate person. In Tsiraie wonberta and Ebinat woredas these beneficiaries reported that they travel up to 3 hours on foot to reach the payment and food distribution center.

In addition to women in polygamous households and pastoralists, it is important to consider the vulnerability of the youth into account as many sources showed the youths have become vulnerable because of unemployment, dependence on the family, landlessness and the shortage of cash to start their own productive ventures. Measures should be taken to target youths as beneficiaries of economic and social empowerment initiatives of the project. In general, as observed in the ESAC, there are risks that underserved peoples, ethnic minorities in the pastoral and agro-pastoral communities, which are regarded as historically underserved and culturally distinct groups, may be left out and/or not be duly included in the project because of their peculiar resource management system. Thus, the PSNP5 should give due attention to these vulnerable or disadvantaged sections of the community during its implementation.

4.2. Socio-economic Profiles of the Historically Underserved Regions and Vulnerable Communities in the Assessment Areas

Ethiopia is a country where many nation, nationalities and people are living with diverse geographies, languages, and cultures. The country was divided into nine regions and two city administrations. The PSNP5 will be implemented in six regions. The ESAC requires consideration of ESS7 that deals with Sub-Saharan African Historically Underserved Traditional Local Communities (SSAHUTLC). In Ethiopia, the regions and communities considered as historically underserved are Somali, Afar, and Parts of Oromia and SNNP. Thus, a clear description of these regions' locations, livelihood activities, ethnic and religious compositions of the people was reviewed. Out of the eight selected PSNP woredas, four of them are historically underserved: Mille and Elida'ar in Afar region and Kebribeya and Gursum woredas from Somali regions. These helps to recognize the beneficiary profile, which are quite diverse comprising a number of sub-groups identifiable on the basis of their differential endowment, gender, ethnicity, different economic groups and other regional features. It is also imperative to give special attention to the poor and socially vulnerable groups during the design and development of mitigation measures for the social risks and challenges that may be encountered during the implementation of the project in the regions.

4.2.1. Afar Region

Afar regional state is situated in the northeastern part of Ethiopia with an area of around 150,000 km² that stretches into the lowlands covering the Awash valley and the Dankil depression. Geographically, the region is situated longitudinally between 39°34' and 42°28' East and Latitudinal between 8°49' and 14°30' North. The region is bordered to the northwest by Tigray region, to the southwest by Amhara region, to the south by Oromia region and to the southeast by the Somali region of Ethiopia. It is also bordered to the east by Djibouti and to the northeast by Eritrea. Administratively, the region is divided into 5 zones, 32 *Woredas* and 401 *Kebeles*. Afar people belong to the Cushitic-speaking language groups in Ethiopia and the society is structured into clans and sub-clans.

Afar regional state is characterized by an arid and semi-arid climate with low and erratic rainfall that has frequently been affected by drought. The north-eastern part of the region is chronically

water insecure due to a lack of perennial rivers, leaving the people of Afar largely dependent on ponds and traditional wells for their water supply. To illustrate the region, two sample woredas are discussed as follows.

A. Elidar Woreda

Elidar is part of administrative zone 1 in the Afar Region of Ethiopia. It is bordered on the south by the Awash River, which separates it from Asayita, on the west by Dubti, on the northwest by Kori, on the north by the Administrative Zone 2, on the northeast by Eritrea, and on the east by Djibouti. Towns in Elidar include Bure, Diche Oto, Elidar and Manda. According to CSA (2007), the woreda has a total population of 58,087, of whom 31,780 are men and 26,307 women; with an area of 11,636.48 square kilometers. Elidar has a population density of 4.99. The residents of the woreda are dominantly followers of Islam religion, which is 97.24% of the population, and followed by 2.63% of Orthodox Christians. Over the past years, it was stated that conditions in Elidar woreda of Afar were classified as 'critical'. Elidar is also one of the areas that continue to receive water trucking due to ongoing water shortages.

B. Mille Woreda

Mille Woreda has an altitude that ranges from 420-650 meters above sea level. It has two types of landscapes: vast flat land and very few hills. The Mille River is a river of Ethiopia and a tributary of the Awash. It drains parts of the Semien (North) Wollo and Debub (South) Wollo Zones of the Amhara Region, as well as Administrative Zone 4 of the Afar Region. Desert and semi-desert agro-ecological zones characterize Mille woreda. The climate is characterized by high temperature and low rainfall. The mean annual rainfall is 130-584 mm. In Mille, in 2006, there was a significant violent conflict between Afar and Issa Somali pastoralists, leading to a high number of casualties on both sides. Other years (e.g. 2007 in Mille) were identified with reference to diseases such as acute watery diarrhoea affecting people and diseases caused by floods or droughts affecting livestock, especially camels. In Mille, the combination of floods and droughts were seen to degrade rangelands. The number of trees has significantly reduced in recent years as a result. The recent dramatic floods have also caused degradation of agricultural land, reducing the alternative sources of food for most people. According to Mille residents, increasingly hot summers are also leading to less regeneration of trees, which in turn means that they can no longer be used for fodder.

4.2.2. Somali Region

Somali Regional State is the second largest region in Ethiopia next to Oromia region, covering 350,000 km², situated in the southeastern part of the country. It is situated between latitude 4° and 11' N, and longitude 40° and 48' E. The area is arid, and mostly hot (18-45°C), largely plain with its altitude ranging from 400-1600 meters above sea level. The average annual precipitation ranges from 150mm-650 mm and has bimodal precipitation. The area has perennial rivers such as Wabi Shebelle, Genale, Dawa and Weyib, and seasonal rivers such as Erer, Daketa and Fafen. Therefore, the area has irrigated and rain-fed potential for localized farming. However, the key constraints are low rainfall, high temperature, lack of infrastructure. The creation of irrigated farming in fertile areas of the above river basins and the exploitation of perennial springs, seasonal floods and rainwater harvesting elsewhere in the region for the production of irrigated

crops and pastures maybe taken into consideration. The use of drought-resistant crop varieties in the rain-fed areas along with soil and water conservation techniques will increase farm production.

Somali region has a population of 5.3 million with average household size of 6.6 according to CSA projection (CSA 2013). The zone consists of 11 zonal administration, 93 districts, 6 city administrations and 1,224 Kebeles. The people rely primarily on pastoralism. In the region, livestock is both considered a social reputation and a means of accumulating wealth. Therefore, the area has a livestock population of 30,536,000 million animals, including cattle (24%), goats (36.5%), horse (32.2%), camel (7.2%) and (1%) equine (CSA, 2014). The region has 17 rural livelihood zones, generally classified as pastoral, agro-pastoral, riverine, and sedentary farming. Livestock is the main livelihood pillar in the Somali region that supports around 86 per cent of the population. It provides home-consuming milk and meat, and live animals for sale.

A. Gursum Woreda

Gursum Woreda is one of the Woredas in the Somali Regional states of Ethiopia and part of Fafen zone that cover a total area of 937 square Kilometer. The Woreda is bordered to the south by Babilie, to the west by Oromia Region, to the north by Ajersagoro, to the east by Jijiga as well as to the southeast by Kebri Beyah. According to CSA (2007) the total population of the Woreda was 27,510, of whom 14,815 are men and 12,695 women. Almost all (98.79%) of the population was followers of Islamic religion. The Woreda is primarily inhabited by obbo (akisho) and gadabuursi ethnic groups. The livelihoods of the community in the woreda depend on pastoralism, agro-pastoralism, farming and urban residents are making a living from formal and informal employment. Its latitudinal location is 9°19'60.00" North and longitudinally on 42°34'59.99" East.

B. Kebri Beyah Woreda

Kebri Beyah is bordered on the south by the Degehabur Zone, on the southwest by the Fig Zone, on the northwest by Gursum, on the north by Jijiga and Awbare, on the northeast by Somaliland, and on the east by Harshin. The City administrative center is Kebri Beyah. The average elevation in this woreda is 1530 meters above sea level. The only perennial rivers in Kebri Beyah are the Fafen and the Jerer. As of 2008, Kebri Beyah has 55 kilometers of asphalt road, 48 of all-weather gravel road and 2642 kilometers of community roads; about 13.1% of the total population has access to drinking water. According to CSA (2007), the woreda has a total population of 165,518, of whom 89,703 are men and 75,815 women. While 25,493 or 15.4% are urban inhabitants, a further 19,806 or 11.97% are pastoralists. 98.77% of the populations were followers of Islamic religion.

4.2.3. Parts of Oromia

The regional state of Oromia is the largest region in Ethiopia, with a total land area of about 353,000 km². It borders on all regions of the country except Tigray; to the east, it borders on the Somali region; to the north, it borders on the Amhara region, the Afar region and the Benishangul-Gumuz region; to the west, it borders on South Sudan, the Gambella region and on Southern Nations, nationalities and peoples. According to National population projection data

from 2014-2017, the region has an estimated population of 32, 815,995 (CSA 2013). Non-Oromo ethnic groups (Amhara, Hadiya, Sidama, etc.) accounted for 12 per cent of the population in the region. Forty-eight percent of the region's population is Islamic followers, led by 30 percent Orthodox Christians, 18 percent Protestants, 3 percent traditional believers, 0.5 percent Catholics, and others 1 percent. Oromia Regional State's economy is dependent on agriculture, which contributes about 66 percent of regional GDP and provides more than 89 percent of the regional population with an opportunity for jobs. The mixed agriculture dominates the region's livelihood. Oromia accounts for 51.2 percent of crop production, 45.1 per cent of temporary crop area and 44 per cent of Ethiopia's total livestock population. The coffee, wheat, barley, teff, sorghum and oil seeds are the main crops grown in the area. Coffee is the main cash crop in the region. Administratively, the Region is divided into 18 administrative zones, 304 woredas (out of which 39 are towns and 265 rural woredas). Among these woredas, Boset, an agro-pastoral woreda was selected as a sample and briefly discussed as follows. .

A. Boset Woreda

Boset Woreda is one of the Woredas in East Shewa zone that lies between 8°24' to 8°51' North latitude and 39°16' and 39°50' East longitude which is located about 125 Kilometers south east of the capital Addis Ababa. Fentale Woreda in the East, Awash River in the West, Arsi Zone bound it in the south and Amhara region in the north. The Woreda is divided into 33 rural kebele administrations and 4 sub-urban towns. The total land area of the Woreda is 1378.4 square kilometers. According to CSA (2007), the total population of the woreda is estimated to be 142, 112, of which 52.02% were male and 47.98% were female. The average population density of the woreda is 111.5 persons per square kilometers. The people of the area practice various livelihoods and income-generating activities mainly crop production and animal husbandry in addition to petty trading daily labor.

4.2.4. Parts of SNNP

SNNPR is one of the nine Ethiopian regional states bordered by Kenya in the south, Gambella in the northwest, Oromia in the north and east, and Sudan in the southwest. It is located approximately between latitude 4°43'-8°58' in the north and longitude 34°88'-39°14' in the east. According to the official Websites of the region, the region is divided into 13 zones based on the ethnic and linguistic identities. These are sub-divided into 126 Woredas 8 special Woredas and 3678 rural *kebeles*. The total area of the region is 113,539 square kilometers. It enjoys ecological variation and cultural diversity. The lowland areas have arid and semi-arid characteristics, while the highlands have cool temperate climate and high rainfall. Eighty per cent of the populations in the region live in the highlands while 20 per cent live in arid and semi-arid areas (Yohannes, et al 2005). According to SNNPR's Official Website, the region comprises of 56 ethnic groups with diverse and distinct languages, geographies, traditions, personalities, survival mechanisms and socio-political histories. The SNNPR population was 15, 042,531 in 2007 (CSA 2007). Two woredas that are historically underserved were selected as a demonstration for the pastoral areas of the region and briefly discussed as follows.

A. Bolosso Sore

Bolosso Sore woreda is one of the rural and densely populated woredas of Woliata Zone, in SNNPR. It is located at 37°47' E longitude with 7°69' N latitude. The district was organized in to 31 kebeles. The great majority of the population depends on subsistence agriculture. Most of the kebeles lie between 1750 to 2200 meters above sea level. The altitude is about 1800 meters above sea level with an average rainfall of about 1538.44 mm. The woreda has 1 Maternity Hospital, 7 Health Centers, 31 Health Posts and 62 HEWs. The total area of the woreda is 33,600 hectares of which 26193.751 hectares are cultivable, 1975.57 covered by grazing lands, 1644.41 hectares forest and bush land, 159.75 hectares uncultivable land, 252.26 hectares, currently irrigated land, swamp and degraded 1869.13 hectares and 1505.129 hectares other. The total livestock population of the area is cattle 59011 sheep 15605, goat 8032, equine 318, and poultry 67809 (Bolosso Sore woreda Agriculture office, 2001 unpublished). According to CSA (2007), the total populations of the woreda was estimated at 166,472 out of which 33,837 (20.33%) were females aged 15-49.

4.2.5. Amhara Region

The Amhara National Regional State is located between 9° N and 13° 45' North latitude and 36° to 40°30' East longitude. It is bounded by Tigray region in the north, Oromia in the south, Benishangul Gumuz in the west and Afar region in the east. The Regional State is divided into ten Zonal administrations and has a land area of about 161,828 km² (15% of the land area of Ethiopia). According to the 2007 census, 82.5% of the population of the Amhara Region was Ethiopian Orthodox; 17.2% were Muslim, and 0.2%, were Protestants. The ethnic groups found in the region are the Amhara, Agaw, Oromo, Qemant, Argobba and Tigre. According to CSA (2007), the region has a population of 17.2 million, 88 per cent living in rural areas. As per the population estimates of the CSA, in July 2016 the Region's total population was estimated to be 20,769,985, which constituted 10,401,995 males and 10,367,990 females. In the same estimation, the rural population was estimated to be 83.2% whereas the urban population constituted 16.8%.

The region covers a total area of around 154,000 km². The plot size averages 0.3 ha/household. There are 105 woredas including 3 Special Woredas. The main crops grown in the Amhara are cereals, pulses, and oilseeds. The main crops grown in the region are teff, barley, wheat, maize, sorghum, and millet. The pulses include horse beans, field peas, beans, haricot, chickpeas and lentils. The region also possesses extensive livestock resources. Most parts of the region, is on a plateau of highlands and characterized by rugged mountains, hills, valleys and gorges. As a result, the area has varied landscapes consisting of steep fault escarpments and adjacent lowland plains in the east, nearly flat plateaus and mountains in the middle, and landforms eroded in the north. Most of the western part is a flat plain that stretches to the lowlands of Sudan. The region's high population growth rate has brought extreme land scarcity and increasing depletion of natural resources.

A. Ebinat Woreda

Ebinat is located at a distance of 122 kms from Bahirdar, the present capital of Amhara region and 109km away from the zonal capital Debre Tabor. It is one of the ten woredas under south Gonder zone. It is bordered by north Gonder zone Belesa Woreda on the north, FartaWoreda on

the south, north Wollo Bugna woreda and Waghimra zone Dahina woreda on the east, Lai Gaint woreda and with Libo Kemkem woreda on the west. The Woreda covers a total land area of 2494.27 km². Ebinat woreda is structured with 37 Kebeles of which two of them are urban and the remaining 35 are rural. About 93% of the local people lived in rural areas. In the Woreda, there are about 25 governmental and 5 non-governmental bureaus which serve the community. According to CSA (2007), the total population of the Woreda is 242,787. The data of different years indicated that the people of the woreda suffered by recurrent drought appearing in the area.

4.2.6. Tigray Region

Tigray region shares borders with Eritrea in the north, Afar and Amhara in the east and in the south, and Sudan in the west. The region has a total area of 53,000 km² consisting of 6 administrative zones and 35 woredas. CSA population census of 2007 indicated that there are 4.3 million people in the region. The average regional land holdings are estimated to be 0.5ha/household. In the Western lowlands the kind of food crops produced are characterized by sorghum, maize, teff, barley, and wheat. Despite lower soil fertility and rainfall, yields are usually lower than in the middle highlands. Tigray is home to a variety of special, original grain species in Ethiopia, especially various wheat and barley varieties adapted for shorter or longer rainy seasons. For the fieldwork, Tsiraie wonberta woreda was selected. This woreda is a newly splitted woreda. Thus, there is a dearth of information on socio-demographic profile.

4.3. Gaps Analysis of the First Phase of the PSNP5 ESAC

The major gaps of the first phase of the PSNP5 ESAC are the following. The first major gap is that ESAC Phase One is exclusively based on the desk review of PSNP related secondary sources including PSNP Household Impact Assessments (2006-2012), Enhanced Social Assessment and Consultation (2014 and 2017), PSNP Midline Survey (2018), PSNP and Gender, Social Development (GSD) and Nutrition Issues in Afar and Somali Regions (2018), Project Grievance Redress Mechanism Reviews (2016/17 and 2018/19), and Gender Analysis and GBV Risk Assessment of PSNP5 (2020). Despite providing backdrop, thus, the first phase of ESAC lack primary data sources to adequately substantiate the potential social impacts of the proposed interventions of PSNP5/SEASN on communities including the underserved and most vulnerable populations. Therefore, the second phase of the PSNP5 ESAC addressed the gap by conducting fieldwork that generates primary data from different sources (beneficiary communities, disadvantaged and vulnerable groups, implementing stakeholders from federal to kebele levels and NGOs operating in the area). In doing so, ESAC Phase Two provides the latest information to guide the design document of the PSNP5 and update SDP, SEP and ESMF accordingly.

The second major gap is the depth of the ESAC Phase One. It presented just a summary of each component of the proposed PSNP5 that failed to provide adequate contexts and facts. ESAC Phase Two filled the gap by presenting adequate data and detail description of each component and its sub-components in the way that help the design improvement of the PSNP5.

The third major gap is that ESAC Phase One did not describe the socio-economic profiles of the historically underserved regions and vulnerable communities in the program target areas. Likewise, the national policies and strategies informing the purpose and design of the proposed PSNP5 were not discussed. In contrast, ESAC Phase Two discussed the socio-economic profiles

of the target communities and relevant national policies providing backdrop to the design of the PSNP5.

4.4. Social Conflict

Various social assessments and informants consulted for this ESAC listed different reasons for the presence of conflicts in the pastoral, agro-pastoral and farming communities of Ethiopia. It is therefore important to know the sources of conflicts during the implementation of the project in the areas it covers. The main sources of conflicts mentioned during consultation with stakeholders and review from previous social assessments include livelihoods, rangeland or pasture, the situation of the youth being unemployed and underemployed, information and misinformation.

With reference to PSNP related social conflicts, community consultations and key informant interviews conducted in the six regions and woredas revealed various ways of social conflicts due to the implementation of PSNP though they are minor. The dissatisfactions are mainly related to the targeting of PSNP. The none-beneficiary community members felt that they are excluded from the program while they are eligible and taken that as a source of social dissatisfaction. They complain that they are being treated as if they are not community members and that they are not given care and attention. As a result, nonbeneficiary community members refuse to participate in various activities requested by the local government. Though the degree varies, such sort of social dissatisfaction was observed across the study PSNP woredas.

Besides social dissatisfaction associating with PSNP targeting, individual dissatisfaction was reported. The following quotation from Somali region, Kebribeya woreda illustrates the case:

There was a divorce case, when the divorce was completed; the father took some of the children with him while the mother kept some of the children with her. As a result, the father and mother were fighting for the PSNP Client card and the transfer because the father wanted to take both the transfer and the client card but the mother did not accept it. So, the case was finally resolved by the kebele FSTF and KACs by dividing their household size between the two sides.

Generally, whatever the forms of conflicts, it can easily erode community assets built through PSNP support or individual assets unless it is managed properly. In order to resolve such risks, the implementers suggested that consultations be held with local elders and ritual leaders involving the concerned clans to identify public work sites that would not be potential sources of conflict between communities. Moreover, it is important to make the targeting criteria more clearly for the community, and if possible, to include all needy people in the society as they have intangible economic and social problem. Furthermore, it is needed to reduce the workload of PW inline to their capacity and arrange the PW sites in areas close to their village and to make the monthly payment timely. More to the point, awareness raising and capacity building for the community and kebele committee members are imperative.

4.5. Local Knowledge

Discussion with stakeholders at regional and woreda levels as well as community consultations in the sampled kebeles revealed that public work activities were carried out in a participatory and consultative manner. They stated their involvement in the planning stages. In this regard, discussion with the community in SNNP/Bolosso Sore woreda confirmed that they are part of the planning process and used their traditional knowledge on land and water management as part of the PSNP planning and implementation. Moreover, both female and male community representatives are part of the PSNP Community Watershed Management committee. This gives an opportunity to make use of the local knowledge on various forms of subprojects of the program including land management, water and soil conservation and it would be good if the program in the future strengthen the participation of community in the planning process. It is imperative conducting a kind of analysis over existing community's local knowledge and practices in relation to PSNP PW related activities.

ESAC in Somali region also indicated the need to use traditional institutions involving clan leaders, elders and religious/ritual leaders in the implementation process of PSNP, as the local knowledge is important in activities of public works such as area closures for pasture, water wells, and community engagement. Women should also participate in the process through representation on the Kebele FSTFs. Thus, it is relevant making use of traditional knowledge by brainstorming and carrying out community consultation. More specific in Kebribeya woreda, informants stated that local knowledge on watershed treatment from the base unlike the watershed treatment from the upper side, which is adopted in PSNP. Sometimes, traditional institutions/structures and religious leaders might try to influence the selection process and thus need to consider them in targeting process with the support of the kebele food security taskforce (KFSTF). The same way, in Boset woreda, informants indicated the need to involve local knowledge in the process of solving water related problems as the community has an experience of pond digging and how to manage the water collected in the pond during the rainy season. However, in Amhara, respondents indicated that they are implementing PSNP based on the training received from government institutions, there is no practice in the kebele in terms of utilizing local knowledge for PSNP implementation, and informal institutions do not have as such significant influence in the kebele.

Generally, it can be deduced from the above discussions that there is a need to take into account local knowledge in the planning and implementation process of PSNP5. This should also be in line with the context of the different regions and woredas variations.

4.6. The Delivery of Productive Safety Net

4.6.1 Targeting

Targeting in PSNP5 refers to the process of defining, identifying and reaching out the intended beneficiaries of the program and ensuring the neediest receive adequate assistance, meeting program objectives, and assuring the effective use of limited resources as much as possible. It also involves a range of decisions at various stages of program design and implementation. This includes *who* should receive the program's benefits, *where*; *when* and *for how long*; *what*; and

how the target beneficiaries will be identified. To this end, PSNP5 set fair and transparent client selection as its key principle.

Targeting criteria

Previous phases of the PSNP used the criterion of chronic food insecurity as the basis to target clients. However, recent analysis indicate that food insecurity has fallen rapidly in Ethiopia between 2005 and 2016, notably in Afar and Somali regions, while extreme poverty for the poorest 10% has deepened with the highest levels in SNNPR and Amhara regions. Likewise, empirical evidence showed that historically underserved communities and vulnerable groups are disproportionately living in extreme poverty or they are at higher vulnerability to shocks.⁹³ For example, the specific vulnerability of women in married households and female-headed households is considered. Evidence showed that female farmers are less educated and have lower access to land and finance compared to their male counterparts. They are also less likely to attend extension programs and use agricultural inputs like fertilizers, pesticides and herbicides. As a result, agricultural productivity is lower for female farmers.⁹⁴ Owing to these facts, unlike previous phases of the PSNP, the design of the PSNP5 makes a shift in the previous targeting criterion. Instead, it will use extreme poverty as the targeting criterion for the core caseload and extreme vulnerability for the transitory (shock-responsive) caseload.

The ESAC team consulted the program implementers, particularly those at the woreda level about their awareness of the shift of the targeting criteria in PSNP5 and what facts necessitates the change and the impact of the change on the community. Some program implementers superficially aware of the change but lacked knowledge on what facts necessitate PSNP5 to change the targeting criteria. However, many woreda and kebele level program implementers have no idea even about the changing of the targeting criteria let alone what facts necessitate the change. When probe on to discuss the targeting criteria in PSNP5, these program implementers still referred to the selection criterion (chronic food insecurity) in the previous phases of the PSNP. Consequently, lack of awareness on the design changes of the PSNP5 by the grassroots program implementers may have the risk to apply the earlier selection criteria when targeting for the upcoming PSNP5. In turn, that may exclude a significant number of vulnerable groups who are living in the extreme poverty or at higher risks of vulnerability to shocks —the very reason why the PSNP5 change its targeting criteria. Therefore, the ESAC team highly recommended proper awareness raising training for the woreda and kebele level program implementers on the design changes of the PSNP5 well before the commencement of the new targeting.

Exclusion and inclusion errors

As several studies revealed including *PSNP Household Impact Assessments (2006-2012)*⁹⁵ and *PSNP IV ESAC*, the exclusion and inclusion errors were the common experience of the selection process in previous PSNPs. The current ESAC reinforces the same finding. For example, in ***Boset*** woreda of Oromia region during community consultation, participants and interviewed program implementers stressed the severity of the problem for prompt remedial action. In ***Ebinat*** woreda, Amhara region during community consultation, participants urged the intervention of

⁹³ World Bank (2019) and World Bank (2020).

⁹⁴ World Bank (2019) Ethiopia Gender Diagnostic Report.

⁹⁵ Household Impact Assessment (2006-2012)

experts from woreda sector offices in times of the full targeting and verification process to avoid or reduce the exclusion and inclusion errors.

The finding of the ESAC for PSNP5 summarized the degree of the prevailing exclusion and inclusion errors that contradict with the key principle of the PSNP: The targeting of the program should ensure that the neediest receive adequate assistance and that limited resources are used as effectively as possible. Likewise, the exclusion of those who are eligible and inclusion of those who are not has been generating a great discontent among those local community members who unfairly excluded from the benefits of the program. The same trend of exclusion and inclusion errors may persist in the implementation of PSNP5 unless proper mitigation measure is in place; for example, make sure that the inclusion of beneficiaries is managed in a fair and transparent manner by undertaking continuous community participation.

Risk of exclusion error for vulnerable groups

PSNP Household Impact Assessments (2006-2012) and PSNP IV ESAC that have documented the experience of the previous phases of the PSNP showed that the rate of exclusion error is higher for disadvantaged and vulnerable groups. A review of these empirical studies uncovered that the exclusion error may occur during one or the other of the following targeting process. The first way is the omission during the process of the *full targeting* that takes place once in every four year —during the first year of every new phase of the PSNP. Exclusion from the full targeting means the exclusion of the vulnerable groups from the benefits of the PSNP for the whole phase. Interview with the disadvantaged and vulnerable groups showed exclusion error during the full targeting is common. Yet, though not common as the exclusion error during the full targeting, vulnerable groups may still be at the risk of exclusion error during the retargeting (annual retargeting and recertification) processes. An annual retargeting is undertaken to confirm the caseload and adjust for clients who are divorced, no longer living in the area or exit the program due to death. The recertification process is the process by which the welfare of a beneficiary household is reassessed through the application of light Proxy Means Test (PMT) so as to make decision whether to retain its eligibility for inclusion or not.

Community consultations and key informant interviews revealed major factors contributing for the exclusion error in general, and vulnerable groups such as female-headed and women in male-headed households in particular. Participants and key informants in all woredas invariably stated weak kebele community Food Security Task Force (FSTF) and Kebele Appeal Committee (KAC) as one key factor. Perhaps, an explanation by one community consultation participant in **Boset** woreda can express the ideas of all others on the point as follows:

To challenge the male-dominant decision making and other gender-based bias, women are not adequately represented in the community-based targeting structures such FSTF and KAC. Even those women members of the FSTF and KAC are not actively involved in the selection process. Thus, their membership has no role in avoiding or reducing unfair selection against women or handling complaints of exclusion error through responsive grievance redress mechanisms.

Community consultation participants and program implementers in all PSNP woredas covered in the assessment persistently mentioned lack of awareness and other capacity issues related to

kebele FSTF and KAC as a major contributing factor for the existing exclusion and inclusion errors. A program implementer from Amhara region highlighted the issue as follows:

Members of FSTS and KAC lack adequate awareness and technical skills on community-based selection process, gender sensitive PSNP provisions and mechanisms of handling complaints. Establishing the kebele FSTF and KAC by itself cannot do the job or solve the problem of exclusion and inclusion errors. Hence, provision of training, close technical supports and supervision by Woreda Sector Experts is mandatory to enhance the performance of the members of the FSTS and KAC.

Among other things, to strengthen the implementation, the finding of the ESAC recommends PSNP5 to comprise effective measures that enhance the performance of the FSTF and KAC in line with awareness and technical skills, proper numerical representation and active participation of women, and close supervision by Woreda Sector Experts.

Community members and program implementers added that sometimes, in some cases, DAs and kebele administrators engaged in acts of nepotism, favoritism, and abuses of power by some members of the kebele FSTF as the critical factors causing the exclusion and inclusion errors. The ESAC found out that these factors were due to lack of good governance. This can be mitigated through serious follow up and supervision as well as technical support by woreda.

Elite captures

In the woredas where ESAC PSNP5 conducted, there are numerous local socio-cultural organizations and informal structures including clan, elders, community leaders, and religious leaders that play a crucial role in people's day-to-day life. Community consultation participants and interviewed program implementers expressed that these socio-cultural organizations and informal structures are actively involving in the selection process. There are many positive roles of these socio-cultural organizations and informal structures for fair targeting. Specially, their role can be strengthened by providing training in line with the PSNP targeting principles.

Despite the aforementioned positive roles, consultation in Afar and Somali regions' PSNP woredas exposed instances of clan leaders and community elders influence for unfair targeting outcomes. In addition, elite captures can be loudspeaker/orator community members, leaders of informal local institutions and people with relatively better economic status are dominant among pastoral communities. Assessments on previous phases of the PSNP, *Programme Performance Reviews and Impact Assessments (2006–2012)* and *PSNP IV ESAC*, revealed the same finding in this regard. In line with this, the experience from Mille and Elida'ar woredas in Afar region indicated that between the various clans in Afar people, the principal status distinctions are the Assayamara (red/nobles) and the Adoyamara (white/commoners). Further, the head of the Afar clan families is called Mekaban, under him each clan is ruled by a KedoAba. These clan hierarchies strictly maintained in the political, social and cultural spheres of the people's life. Thus, clan leaders are not always objective in the way they influence the decision of targeting.

The finding revealed three potential risks of elite capture. Firstly, not only clan members but also woreda and kebele FSTF are mostly under the influence of the clan leaders and, thus, they make less effort to correct the exclusion and inclusion errors. Secondly, people are obliged to adhere to

the clan leaders' decision and, thus, they do not present appeal for the unfair exclusion. Thirdly and more importantly, the impact is differential for women. Based on these findings, the following mitigation measures are recommended to improve targeting process such as reminding community member and clan leaders as well as other elites to care for their community and the public announcement/posting of targeting decision.

Appeal structures

PSNP5 is aimed at selecting beneficiaries through community-based targeting with an effective appeal mechanism to address the inclusion or exclusion errors. Kebele Appeals Committees (KACs) are the primary mechanism for communities to raise complaints or objections regarding all PSNP activities including the exclusion and inclusion errors. However, in all PSNP woredas covered in the ESAC PSNP5, community consultation participants and interviewed program implementers unanimously revealed the weak and none-responsiveness of the existing appeal structures, mainly at kebele level. The major reasons provided across woredas were:

- Though few in number, there are kebeles operating without KAC.
- High attrition rate of KAC committee members.
- KAC committee members lack awareness on GRMs, Some of KAC members, and Kebele Cabinet or Kebele Chairperson are not capable to handle complaints as per the GRMs stated under ESS 7 and 10.
- Committee members of KAC are not committed to discharge their duties and responsibilities.
- Women are not proportionally represented in KAC.
- Interference of Kebele Cabinet, Kebele Chairperson and grassroots level program implementers (DAs).

The above-mentioned weaknesses of the appeal structures further exacerbated the problem of exclusion error for the disadvantaged and vulnerable groups. Therefore, PSNP5 should provide awareness creation trainings for KAC and GRM committees and strengthen the responsiveness of the appeals structures.

4.6.2 Transfers

Transfers in PSNP5 refer to the payments provided to the clients in the form of cash or food, and are equivalent to the value of 15 kg of cereals and 4 kg of pulses per month only in NGO woredas. Depending on how they are categorized, households receive either six or twelve months of support. Accordingly, *PW clients* are those households with adult labour available to work on community-based public works. *Transitory Direct Support (TDS) clients* are those adults such as PLW and caretakers of sick or malnourished children who generally engaged in PW but are exempted temporarily. *Permanent Direct Support (PDS) clients* are those households who do not have adult labour available for PW. While both PW and TDS clients are entitled to receive six months PDS clients receive twelve months support. The focus PSNP5 is to ensure transfers are of sufficient value, in the most appropriate form, received with low transaction costs, and arrive predictably on time. In order to understand existing situations, community consultations and key informant interviews were conducted pertaining to timelines of transfers,

predictability of transfers, adequacy of transfers, and appropriateness of transfers. These issues are discussed in the following sections.

Timeliness and predictability of transfers

Timeliness and predictability of transfers is a high priority for PSNP5. It states two important principles. The first is that transfers must be received in accordance with the program standards: Payment must correspond to the time prior to or during households' greatest need; disbursement schedules for cash and food will be included in annual plans; and payments shall be made within 30 days of receipt of cash or food by the woreda. The second principle expects that clients must know what they will receive (in terms of food commodities and/or cash values) and when they will receive it, and they must have the confidence that the transfer will arrive on time.

Community consultation participants and interviewed program implementers in some sampled PSNP woredas for this ESAC assessment indicated that e-payment system was launched and there is relative improvement in meeting the timeliness and predictability of cash payment. However, poor network service, technical capacity gaps on the side of M-birr paying agent, late payroll preparation, and delay in budget transfer from region to woredas has still delaying cash payment.

The delay of payment in foods is reported as a serious problem across consulted PSNP woredas during this ESAC. Interviewed program implementers identified a number of reasons for the delay of transfers, but not limited to:

- Delay of commodity movement from federal to region and from region to PSNP woredas.
- Delay of budget release from federal to region and from region to PSNP woredas.
- Delay in request form submission by woreda to region and related offices works.
- Delay in payroll preparation.
- Clients may not complete the required PWs on time.
- Inaccessibility of some PSNP kebeles due to road infrastructure problem, especially during the rainy season.

Community consultations exposed that delay in transfers leading to increased risk of household asset depletion and other negative coping strategies. In particular, the impacts of lack of food due to transfer delay is more severe for children, pregnant and lactating women, elderly, persons affected by chronic diseases and people living with HIV/AIDs.

Appropriateness of transfers

Clients were consulted on the appropriateness of transfers from different perspectives such as accessibility of the location of payment or food distribution center, their preference of the payment modalities (where transfers are preferred in cash, foods or mix of cash and foods), whether the kind of food received is appropriate to their food habits or not and the appropriateness of the payment method, if payment is received in easy payment system (e.g. e-payments) or manual cash payments. These issues are discussed in some details as follows.

Overall, community consultations revealed that clients prefer payment in mix of cash and foods. However, the reasons given for the preference varied from woreda to woreda. The first reason concerns PSNP woredas such as Ebinat in Amhara, Boset in Oromia, and Boloso Sore in SNNP regions clients preferred the payment in cash during (January-March in Ebinat woreda for example) good local markets where the needed grain is available for relative low price. While at times when there is shortage of grain supply in market or when market price for grain is high (May-October in Boset for example), clients prefer the payment in cash. The second reason illustrates the case of pastoral communities in Mille and Elida'ar woredas in Afar and Kebribeya and Gursum woredas in Somali region where clients exclusively prefer the payment in cash. This is because the kinds of grain provided are not appropriate to the food habits of the clients. The vulnerable groups including FHHs, labour-poor households, elderly households, and people with disabilities/persons affected by chronic illness preferred the cash payment modality. They prefer cash to avoid the cost of transportation if transfer is received in foods. On the other hand, beneficiaries expressed that the decision on the payment modality is not participatory and what is decided at the federal level is imposed.

Adequacy of transfers

The principle of PSNP5 asserts that the amount of transfers should be sufficient to allow the recipients to manage their household economy effectively, avoid asset loss, avoid resorting to negative coping mechanisms, and maintain consumption levels. However, community consultation participants stressed frequently that the received amount is not adequate to sustain their households for the whole month. Participants further expressed that the monthly household consumption gap is even more when the transfers are received in cash. Moreover, they mentioned the major reasons that accounted for the problem is the existing trend of the PSNP, the wage rate reviews and compensation adjustment for the eroded value of the wage rate is made annually. However, the inflation rate of Birr or the eroded value of the wage rate is increasing within a short-interval (in a month or week time) while the price of the grain significantly increases within the same time interval. What is more, the price amount, rate of price increment and the time-speed of price increment for the same type of grain varies from one PSNP kebele to another. The experience in Tsiraie wonberta from Tigray region was the worst case in this regard, where the price of the grain is unpredictable or grain is not available in the local market. In such instances, households resort to negative coping mechanisms resulting in household asset depletion such as taking loan from private lenders, sale of animals and using the livelihood grant or credit to buy foods.

This situation would have special impacts for historically underserved and vulnerable groups such as pastoral households, female-headed households, early-headed households, people living with HIV/AIDS, people with disabilities/persons affected by chronic diseases. These groups of people are facing a special challenge because they cannot afford the price of the high rate of the inflation or cannot resort to other coping mechanisms such as loan from private lenders. Besides, the problem aggravates the nutrition problem for children and pregnant as well as lactating women. Therefore, the aforesaid aim of the PSNP5 will be hardly achieved unless appropriate mitigation measures are taken.

Mismanagement or misuse of transfers

During the community consultations and key informant interviews beneficiaries expressed the prevailing practice in male-headed household is that it is the husband who collects transfers. Consequently, clients and program implementers have illustrated cases of mismanagement or misuse of transfers. Some of such practices may include men spend the received cash or selling the grain for the use of alcohol drinking, cigarettes, *khat* chewing or unintended purposes. Community consultation participants and interviewed program implementers alike repeatedly noted two basic problems of such mismanagement or misuse of transfers when collected by husbands. The first basic crisis manifested in terms of aggravating the household food consumption gap in general and nutrition problem for children in particular. International evidence shows that transfers are more likely to be used to improve household nutrition if given directly to women. Furthermore, the gender analysis conducted to inform the design PSNP5 revealed that most of women FGD participants and some men felt that there is misuse of the transfers collected by men.⁹⁶

The second basic problem stated during the community consultations and key informant interviews is that mismanagement or misuse of transfers by men caused disagreements and conflicts between husband and wife. There are cases where disagreements and conflicts escalate to actions of gender-based violence by men against women. Therefore, the implementation of the PSNP5 requires reconsidering the existing trend and devises a system of payment where women collect transfers.

4.6.3 Public Works (PWs)

In PSNP, the primary purpose of *public works* is to create community assets through development of watersheds and the provision of social infrastructures in PSNP areas, thereby contributing to increasing resilience, climate change adaptation and mitigation. Thus, public works on common land is the conditionality attached to receipt of transfers by PSNP able-bodied clients. Backdrop to this, beneficiaries participating in community consultations and interviewed program implementers forwarded problems related to planning process, workload, timing of public works, participation of children in PWs, and health and safety issues. These are discussed as follows on after the other.

Planning of public works

The implementation of PWs affects and in turn affected by other PSNP activities and the labour needs of the beneficiary households. These facts make the active participation of the beneficiary households in the planning process as a matter of necessity for its effective implementation. Community consultation participants from Gursum woreda, Bambas kebele and Kebribeyah woreda, Garbi kebele in Somali region expressed that program implementers let them actively take part in PW planning process and their comments and suggestions were seriously incorporated in the final plan. To the contrary, in Ebinat woreda of Amhara region, Boset woreda in Oromia and Tsiraie wonberta woreda in Tigray community consultation showed that the beneficiaries were not active participant in prioritizing PW activities and deciding the convenient

⁹⁶Productive Safety Net Program (PSNP5) Design Document, 2020-2025

timing of PWs. Perhaps, the following expressions by two of the community consultation participants can depict the common pictures of the PW planning:

Development agents and community watershed committee prepare public work plans. We [the beneficiary households] do not involve to prioritizing public work activities and deciding suitable timing/season. Development agents and watershed committee forward us what they prioritize and decide for implementation. Yes, the beneficiary households do participate in the planning process; nominate our priority PW activities and timing of PWs. However, our suggestions and comments are not incorporated in the final planning. Our participation is done just for the sake of reporting. Otherwise, what is implemented on the ground is what program implementers have planned.

For PSNP5, lack of beneficiary households' participation in the planning of PW has the potential risks and necessary to effectively consider during the implementation of the program. In particular, the activities of PWs require ensuring women's active engagement in the planning process to properly reflect and prioritize their special needs. Failure to do so may seriously risk the women by putting them under pressing workload. Therefore, PSNP5 needs to ensure the active participation of beneficiary households in prioritizing PW activities and convenient timing of PWs.

Workload

In PSNP5, a pre-requisite for PWs sub-projects is that they are labor-intensive, that is, they demand much labour contribution of the PW clients in line with the requirements of the program. Hence, PSNP5 maintains the PWs conditionality of 5 days per person per month and a maximum of 15 days per month for the share of the household as a whole. During community consultations, clients unanimously noted that the PWs conditionality is competing their time and labour need for regular household livelihood activities. Despite workload was noted by all participants, the ESAC findings indicate the differential impacts of workload for women in male-headed and female-headed households. A further analysis on the point uncovered a different context for women in the agricultural and pastoral-based PSNP woredas.

The timing of the public works corresponds to the timing of the hungry season. Conversely, community consultation participants in agricultural-based PSNP woredas expressed that the hungry season is not the time where idle household labour is available. Rather, the hungry season is the time when all able-bodied household members engaged in various coping strategies. Boset woreda from Oromia region provides a typical case in point. The woreda is located near to the Adama town, the biggest commercial center in Oromia region connecting activities from all the four corners (Bale-Arsi, Batu-Shashamane-Hawassa, Bushoftu-Addis Ababa and Metehara-Harar routes) and along the Ethio-Djibouti highway. Using this as a good opportunity and to overcome the hungry season, not only the father but also matured sons and daughters resort to other means of earning income such as working as daily-labourer in big construction sites and petty-trades. Thus, the mother is the only household member available for the responsibilities of the PWs as well as domestic chores putting the women under the heavy workload. Even more, female-headed households without able-bodied labor in their house suffer critical workload as part of their daily life.

Turning to the context of the pastoral PSNP woredas covered in the assessment, the timing of the hungry season is the timing of high mobility too. Male household heads, adolescents, and youths move with their cattle in search for pasture and water. The direction and travel distance is depending on where pasture and water is available. In contrast, PW activities are carried out around the base camp making women the only household member responsible for the PWs and domestic tasks. To worsen the matter, sometimes, the public work sites require a travel of 6 hours in double trip. The physical fatigue from such workload for women is inevitable.

Heavy workload due to double-labour engagement has still a differential impact for women having small kids with no adult person available at home to look after the kids. For those women who left the kids behind with teen household member (if there is any), the life of the children is seriously affected as there is no adult person to properly feed them on time and take care of them from harming situations. Some women don't have even teens at home to look after the kids while they are engaged in PW. In such the case, an informant from Ebinat woreda Akuha kebele stated: *"I take my child with me and do PW activities caring him on my back."* Therefore, the ESAC recommends PSNP5 should reduce the differential impacts of workload for women and children.

Timing of public works

The ESAC revealed that the effective implementation of PWs necessitates proper planning of the timing of PWs. As stated earlier, community consultation in Gursum woreda, Bambas kebele and Kebribeyah woreda, Garbi kebele in Somali region showed that decision about the timing of PWs is reached in discussion with the beneficiaries. Hence, the timing of the PWs suits to the pastoral activities of the beneficiary households. Nevertheless, in most PSNP woredas, beneficiaries felt complaints about the mismatch of PW timing and their annual farming calendar. For example, community consultation participants in Ebinat woreda, Akuha kebele stated that the timing of PWs sustains throughout the year and that collide with their annual farming calendar. Responding to further probe why the timing of PWs sustains throughout the year one participant explained:

Besides PWs, we engage in mass labour mobilization annually implemented by the Amhara regional state. To harmonize public work with mass labour mobilization, the regional government introduced the 40:10:50 time allocation approach. That is to say, beneficiaries are required to complete 40% of PWs before, 10% during and 50% after mass labour mobilization. This time allocation approach extends PW activities throughout the year which leaves us no adequate time for carrying out the regular farming activities.

Community consultation participants in Boset, Bolosso Sore, and Tsiraie wonberta woredas expressed that the timing of PWs begins in the late slack season that extends until the first few months of the main agricultural season. For example, a participant from Boset woreda stated:

The beginning of PW timing is normally scheduled from January and continues until the first two months (May and June) of the main farming season. But, the slack season commence in November. That means if PW timing begins in November (instead of January) we could have completed it two months earlier than now or just before the beginning of the main farming season.

Therefore, lack of proper planning of PWs timing in consultation with the beneficiaries have potential risk of reducing the productivity of the beneficiary households by reducing the time of main farming season. The finding of the ESAC recommends that decision about suitable timing of PWs should take into account the timing of the PWs that fit to the annual farming or pastoral calendars of the beneficiary households.

Participation of children in PWs

PSNP5 provision states that children are strictly forbidden from providing labor on behalf of a household for PSNP public work activities. In all PSNP woredas, there wasn't a single case of the participation of children below 18 years of age in PW. Community consultation participants and program implementers alike have witnessed that PW site foremen are committed in enforcing the PSNP provision that prohibit child-labour while MoLSA's social development affairs at the respective PSNP woreda closely monitor the case through inspections on public works sites. So, PSNP5 should keep up such strong enforcement of the provision to evade the participation of children in PWs.

Health and safety of pregnant women

Though there is some variation, consultation with beneficiaries and program implementers finds the PSNP provision, which state that pregnant and lactating women (PLW) are assigned to TDS from confirmation of pregnancy until a child is two years old is implemented in all PSNP woredas. Contrary to this, community consultations in Mille and Elida'ar woredas in Afar region indicated that woman participate in PWs until her sixth month of pregnancy. According to the discussion with informants from Ebinat woreda of the Amhara region and Gursum woreda of the Somali region, it was found out that the prevailing cultural norms showed that women do not tell anyone about their pregnancy or visit health center for pregnancy test. Consequently, pregnant women participate in PWs until several months of their pregnancy. This may expose pregnant women and the fetus to serious health and safety problems. In general, ESAC finding draws that the awareness of ante-natal care is basically low in the above stated PSNP woredas. Thus, the implementation of the PSNP5 requires effective training of Behavioral Communication Change for women to culminate the prevailing socio-cultural misunderstanding about ante-natal care.

4.6.4 Livelihood Support

The livelihood support services in PSNP5 are provided in three pathways: on-farm income generations for crop and livestock, off-farm income generation activities, or employment opportunities. These livelihood intervention pathways are tailored to the available resources, capabilities of the clients and area-specific contexts. PSNP5 aimed at maximizing the impacts of livelihood support services. To this end, it adopts a new livelihood intervention strategy known as a *big-push approach*. That is, the livelihood interventions focus on manageable client size, intensive technical support, and increased inputs to enable improvements in the livelihoods of the targeting clients, thereby accelerate their exit/graduation from the program. In that way, the livelihood supports in PSNP5 will contribute to building sustainable livelihoods and resilient rural PSNP households.

Targeting for livelihood support

Community consultation participants and interviewed program implementers discussed the various livelihood support provided to the target clients. The technical supports are provided to clients targeted both in the on-farm and off-farm pathways. These are trainings on livelihood diversification, income-generating activities, financial literacy, business management skills, and developing business plan and market skills. Coaching, mentoring and follow-up were also provided as part of technical supports. Clients targeted in the on-farm pathway were facilitated with access to mature watersheds, water harvesting and small-scale irrigation schemes to increase the productivity and production of their land. The financial support was provided in the form of livelihood grant. Besides, livelihood target clients were facilitated with linkages to financial service providers through referrals. Nevertheless, ESAC found out numerous complaints related to the differential opportunity in the livelihood targeting. As discussed below, complaints raised by community consultation participants and interviewed program implementers are varied.

During consultation, communities and program implementers in Somali and Afar regions have a serious complaint mentioning that the PSNP livelihood support component has not been commenced yet. Participants stressed that building sustainable livelihoods and resilient rural PSNP households in the two regions without livelihood support is a futile exercise. Thus, community consultation participants and interviewed program implementers urged PSNP5 to launch the livelihood support interventions.

In Oromia, Amhara, SNNP and Tigray regions where the PSNP livelihood support component and sub-components have been implementing for years, ESAC findings revealed that there are serious complaints related to the unfair targeting of livelihood support for the disadvantaged and vulnerable groups. In all PSNP woredas in these regions, the ESAC findings uncovered the targeting of livelihood support is unfair for women in male-headed and female-headed households, polygamous households, elderly-headed households, disabled/persons affected by chronic diseases, unemployed rural youth, labour-poor households, people living with HIV/AIDS, and new residents to woredas. The common reasons invariably stated by community consultation participants and key informant interviews are quoted below:

- Women in male-headed households are not targeted for livelihood support. Because, the prevailing socio-cultural norms expect men are the “bread-winners” and women are “home-makers.” Hence, targeting for livelihood is exclusive to men. Men exclusively received the technical and financial supports provided by the program too.
- The targeting criterion in the previous phases of the PSNP exclude landless unemployed rural youth and new residents to woredas for the PSNP services in general and livelihood support in particular.
- As targeting is exclusive to husband, polygamous households cannot compete for more than one targeting chance.
- There is a general thinking that engaging in all the three livelihood pathways of the PSNP require able-bodied person. This is taken as a pretext for the exclusion of the vulnerable groups such as elderly-headed households and disabled/persons affected by chronic diseases.

The ESAC indicates that the exclusion of women from the targeting of livelihood support would impair women’s technical knowledge while the management of the livelihood financial supports

at the hands of men would have the risk of misuse. Alternatively, evidence (Semhal 2020; PSNP IV ESAC) showed that women have better experience and skill than men do in income generating activities even without taking technical trainings. Besides, women are less extravagant than men are. Thus, PSNP5 should take remedial action to alter the prevailing gender bias in the targeting of livelihood support.

Access to micro-credit service

In all PSNP woredas, micro-credit service is provided either by respective regional government managed MFI (Omo Micro Finance in SNNP, Oromia Saving and Credit Share Company in Oromia, Amhara Saving and Credit Share Company in Amhara and Dedebit Micro Finance in Tigray) or Rural Saving and Credit Cooperatives (RUSCCO). Consultations revealed that there is high demand for credit service by clients in general. However, the existing MFIs could only provide a limited credit fund. In addition, most of the MFIs impose 5,000 birr as a maximum loan amount per client household which is not enough to finance the proposed business activities.

Furthermore, community consultations and key informant interviews exposed access to micro-credit service is even more limited to the disadvantaged and vulnerable groups. The common explanations consistently stressed by the participants and interviewees are summarized below:

- Due to limited availability of loan fund by Micro Financial Institutions (MFIs) operating in the respective region, credit is provided on a competitive term. Besides, prior saving of about 10-20% of the total loan request and group collateral approach are pre-conditions to receive credit. Thus, FHHs, elderly-headed households, landless unemployed rural youth, disabled/persons affected by chronic diseases, and new residents to woredas cannot access credit. That is because they cannot compete, cannot make prior saving or cannot provide group collateral.
- Competent FHHs, elderly-headed households and people with disabilities (if there are any) still cannot receive credit. Because MFIs are in fear of default if provide credit to these groups.

Numerous constraints for limited access were mentioned during consultations. These include limited credit fund, lack of basic infrastructures and technical staffs to reach wider remote geographic areas among the major supply side constraints. Likewise, high interest rate, default, unaffordable pre-saving and collateral requirements were mentioned among the chief demand side constraints.

Adequacy of the livelihood grant

Community consultation participants in the four regions (Oromia, Amhara, SNNP and Tigray) where the livelihood support component has been implementing expressed that the livelihood grant is not adequate to boost the livelihood pathway currently engaged in or to expand future investments. Therefore, ESAC found that the prevailing limited access to micro-credit service combined with the adequacy of the livelihood grant might affect PSNP5's interventions for big-bush impacts of the household livelihood.

Culturally appropriate credit and saving services

Consultations found that the Micro Financial Institutions operating in the PSNP targeting woredas provide loans in return of interest and clients receive interest too for saving. In fact, community consultation participants unanimously stated that MFIs expect high interest rate to provide loan. However, ESAC found that interest based credit and saving services is not culturally appropriate for some PSNP clients. For example, believers of Muslim region expressed that to take loans on interest is a breach against their religious norms. Owing to such religious imperative, Muslim adherents never take loan even if they need it badly for the investment of the livelihood pathway at hand. Specially, this poses a serious challenge for PSNP5 to launch its livelihood support sub-component in Afar and Somali regions where the people are predominantly followers of Islamic religion. Therefore, ESAC finding strongly recommends the facilitation of culturally appropriate credit and saving services.

4.6.5. Linkages to Social Services for PDS and TDS

PSNP5 will put in place a referral mechanism to link clients, particularly PDS and TDS to a specific set of social services to boost their wellbeing. The linkages to social services for PDS and TDS is consistent with the notion that they invariably experience multiple overlapping deprivations and the wider the social services available to them the better their chances to be resilient.

The ESAC analyzed the availability of social services (health, education, legal services, and community-based health insurance) to PDS and TDS. Community consultations showed better availability of the health services in most PSNP woredas. The state of service use as well as the soft conditionality of the pregnant women and mothers' on the first and second year as TDS regarding ante- and post-natal checkups, uptake of the routine immunization on behalf of the child as informed by health extension workers, and attendance of Behavior Change Communication (BCC) sessions were seen relatively better in Boset, Bolosso Sore and Tsiraie wonberta. Whereas, despite access to health service, the soft conditionality in Ebinat, Mille, Elida'ar, Gursum and Kebribeyah is basically low. Consultations in these woredas revealed that owing to the longstanding socio-cultural perspective, pregnant women and mothers on the first and second year as TDS do not use ante- and post-natal checkups as informed by health extension workers. For example, a program implementer at Ebinat woreda stated that, *It is not culturally appropriate for a woman to tell outsiders about her pregnancy until it is visible due to the ensuing physical change. It is not appropriate to visit health center for ante-natal checkup either.* This recommends PSNP5 to enhance the soft conditionality of the TDS in this regard.

On the other hand, access to basic adult education, Community Based Health Insurance (CBHI) and legal services to PDS and TDS were basically limited in all PSNP woredas covered in the assessment. Therefore, PSNP5 should create a platform that assess the special needs of the PDS and TDS clients and make linkages to appropriate social services accordingly.

4.6.6. Nutrition

Like gender, nutrition is a cross-cutting issue and the design of the PSNP5 mainstreamed it in all the components of the program. By mainstreaming nutrition, PSNP5 aims to address the

underlying determinants of child nutrition and thereby contribute toward the country's overall effort of achieving zero stunting by 2030.

Community consultations assessed the important contribution of the PSNP in improving the nutrition of children. Clients and program implementers have witnessed the contribution from two major points of view. First, consultations in all woredas revealed that PSNP transfer payment enabled households to feed their children with diverse meals relative to what has been the case before joining the program. Perhaps, an expression by a mother from Kebribeyah woreda, Gerbi kebele can well illustrate the case that, *Every time I receive transfer payment, I give priority for buying my children foods of high nutritional values such as milk, meat, fruits, and vegetables.* A mother from Ebinat woreda, Akuha kebele further substantiated that, *I used to feed my children rarely three times a day, one type of food even. However, after I was targeted for PSNP transfer, I normally feed with relatively diverse meals three times a day.*

The second contribution relates household's enhancement of the soft conditionality due to attendance of nutrition based BCC sessions. To illustrate this, one of the community consultation participants in Boset woreda explained that:

Development Agents, Health Extension Workers and expertise from woreda health office provided us nutrition sensitive Behavioral Change Communication trainings. The BCC focused on several topics including the health benefits of breast-feeding, child immunization, and the need for diverse meals for children, hygiene management and homestead farming. The trainings have raised my awareness on children nutrition.

During consultation with the community and key informant interviews, they explained the factors that hinder the nutrition of children. Even though the length varies across woredas, all client households raided transfer delay as a serious problem. As discussed by community consultation participants, transfer payment rarely received on time. The paying date of the next round is also unpredictable. Children suffer most during the delay, as they cannot properly feed. In some woredas like Mille and Elida'arin Afar region, for instance, there are no nutrition sensitive BCC trainings. Thus, parents have low awareness and the traditional way of feeding children sustains. Therefore, ESAC recommends that PSNP5 should take measures to improve the timeliness and predictability of transfers. It is also needed to ensure the provision of nutrition sensitive BCC in every PSNP kebeles.

4.6.7. Asset Loss and Loss of Access to Assets (Involuntary Resettlement)

Consultations found that there is no public works induced asset loss or loss of access to assets in all PSNP woredas covered in the assessment.

4.7. Shock-responsive Safety Net

The shock-responsive safety net is centered on the concept of resilience to shocks of participating clients. *Resilience* is understood in PSNP5 as 'the ability of households and communities to absorb and recover from shocks, whilst positively adapting and transforming their structures and means for living in the face of long-term stresses, change and uncertainty.' ESAC analyzed the shock-responsive safety net system in line with: recurring sources of shock,

early warning systems, shock-responsive delivery system, drought response plan and disaster risk financing plan.

4.7.1. Recurring Sources of Shock

ESAC found that drought, flooding, livestock diseases, locust, and snow (for highland areas) are the major recurring sources of shock in the study woredas. In addition, landslide is very critical source of hazard in Bolosso Sore woreda in SNNPR. Furthermore, consultation showed that displacement and eviction of a large number of people from different parts of the country due to the recent social and political unrest poses a critical problem in various kebeles of the woreda.

Of all listed shocks, drought is the major recurring source of shock both in the agricultural and pastoral communities. However, consultation assessed that pastoral communities are more vulnerable to drought shocks and the ensuing impacts are severe as well. This is due to two major reasons. The first major reason is related to frequent and prolonged drought in pastoral than in highland areas. Unlike farming households with relative livelihood diversification, pastoral households predominantly subsist on livestock herding. This fundamentally weakens the ability of pastoral households to absorb and recover from drought shocks. The second major reason states that prolonged drought is accompanied by shortage of pasture and water for the livestock. There is no provision of modern fodder either. Consequently, over years, the situation has overwhelmingly reduced the productivity of the livestock while mass death of livestock occurred from the outbreak of animal epidemic accompanied by prolonged drought. These particular features of the pastoral communities recommended the need to use effective risk assessment and early warning systems to avoid and significantly reduce or mitigate the impacts of drought shocks. Furthermore, PSNP5 livelihood intervention should be tailored towards these peculiar livelihood contexts of the pastoral communities.

4.7.2. Existing Early Warning System

Early warning (EW) is understood in PSNP5 as “the provision of timely and effective information, through identified institutions that allows individuals exposed to hazard to take action to avoid or reduce their risk and prepare for effective response”⁹⁷. Thus, ESAC was focused on assessing the capacity of the national government-led early warning systems for: monitoring and predicting sources of shock, systems of disseminating early warning information, and cash and food needs projection model.

Monitoring and prediction concern about the capacity of the existing early warning systems to effectively check and forecast short- and long-term shocks to plan for proper mitigation actions. The basic idea behind effective early warning system is that the earlier and more accurately we are able to predict short- and long-term potential risks associated with natural and human induced hazards, the more likely we will be able to manage and mitigate a disaster’s impact on people, economies, and environment.

According to consultations with federal, regional and woreda level stakeholders, information is regularly collected for monitoring and prediction of shocks. Key early warning indicators includes: weather condition, crop performance, livestock situation, water and pasture, animal

⁹⁷United Nation’s International Strategy for Disaster Reduction (2006)

diseases, market situation, types of hazards, death, migration, and logistics challenges and situations. In the consultations held in the six regions, there have been variations across woredas regarding the regularity of data collection on those key early warning indicators. In most woredas, the raw data is collected from each kebele on a weekly basis. Unlike in other woredas, in Bolosso Sore woreda, the raw data is collected from each kebele by DAs on a daily basis and signs of shocks are reported weekly to the woreda. Despite the aforesaid variation, each woreda carryout a large scale bi-annual assessment. A team deployed from federal to kebele levels and comprising expertise from various sectors conducts it.

Nevertheless, consultations with stakeholders at federal, regional and woreda levels found that the collection and management of data is done manually. That makes it difficult to consolidate data and ease accessible for use. The stakeholders also expressed that the quality of the data is poor. These weaknesses seriously hamper to make effective monitoring and prediction of short- and long-term sources of shock to avoid and significantly to reduce or mitigate timely the impacts. Therefore, stakeholders at all levels suggest the need to enhance the existing early warning system by way of improving the quality and management of data for effective monitoring and prediction of the short- and long-term sources of shock.

In early warning system, having an accurate data has no meaning by itself. However, an effective early warning system needs an effective *system of disseminating information*. Thus, means of communication are needed for delivering warning messages to the potentially affected locations to alert communities, local, regional and federal level stakeholders for pro-active measures. The messages of early warning need to be reliable and simple to be understood by authorities and the public. Assessed in line with this, ESAC revealed that the existing early warning system is so poor regarding both components of the communication system. First, reliable and robust means of communication is lacking for delivering early warning messages to the potentially affected people. Second, appropriate and effective means of communication among the key stakeholders is lacking for the coordination and mobilization of resources on time. Hence, ESAC suggested that it is essential for the PSNP5 to strengthen the existing early warning system on both components of the communication system.

Effective shock response depends on the existence of effective *system of cash and food needs projection*. To allocate and deliver the required resources, the needs of projection model should reveal information on the number of people needing emergency assistance, the number of vulnerable people with special needs, the volume of food needed/consumption gaps, the duration of support required, and the months of support that is needed. The system of cash and food needs projection is poor. Thus, an expertise at Boset woreda reported that, *the discrepancy between what is actually needed and what is delivered for emergence assistance is common. Even then, the emergency assistance is not delivered on time making the impacts of the shock more severe*. Consultations with stakeholders at the federal, regional and woreda levels uncovered the same problems of technical and quality of data management due to poor monitoring and prediction of shocks that hinder the cash and food needs projection. Hence, it is essential for the PSNP5 to strengthen the existing needs projection system.

4.7.3. Shock-responsive delivery system

A shock-responsive delivery system is one that takes a pro-active approach rather than a reactive approach. Consultations with stakeholders and previous assessment pinpointed several key weaknesses of the current shock-responsive delivery system that have seriously impeded the overall effectiveness. First, the regular or core PSNP and Humanitarian Food Assistance (HFA) operate independently. As a result, there has been the problem of overlapping in the targeting of clients for PSNP and HFA. Besides, there is a difference in the transfer amount for the core caseload and HFA clients that has generated a serious discontent by the clients. Second, the cash and food transfers and management systems in response to drought shocks is delivered using the different system from the core cash and food transfers for PSNP. Hence, the scalable assistance is inefficiently provided via multiple delivery mechanisms and that have increased the financial and transaction costs. Third, the scale of food needs, the complexity of meeting these needs and parallel institutional arrangements interrupted the accomplishment of an effective shock-delivery system. Fourth, the current shock-responsive delivery system has no standard operating rules and procedures that define the system's scales-up, how it will scale-up, to which groups of population, for how long and how much assistance shall be received. Finally, the process of identification, targeting, registration and food and cash transfer in the current shock-delivery system is done manually or in paper-based system. That caused a substantial delay of the emergence assistance. As one woreda level expertise expressed, *sometimes the emergency assistance reaches after people had already migrated from their home*. Therefore, to improve the existing shock-responsive delivery system, it is necessary for the PSNP5 to devise remedial actions in line with the above stated major weaknesses.

Consultations vividly showed that the delay of the emergence assistance owing to the overall ineffectiveness of the delivery system has a differential impacts and risks for vulnerable groups such as children, pregnant and lactating women, elderly, people with disability/persons affected by chronic diseases and people living with HIV/AIDS who are in need of even more urgent food assistance because of their special status. Besides, consultation with stakeholders expressed the existing shock-delivery system has no way to consider the special needs of the vulnerable groups. Thus, stakeholders underline that it would be good to have a strategy that make analysis over the special need of vulnerable groups and respond to their needs accordingly.

4.7.4. Shock Response Plan

It is clear that sources of shock cannot be fully prevented, but their human and socio-economic impacts can be significantly minimized or mitigated through effective annual shock response plan that update information as per the dynamics in the monitoring and prediction of shocks. On the contrary, mostly, consultation with stakeholders discussed shock-response in Ethiopia is reactive than being pro-active. That is to say, the preparation for response begins after the shock occurs than being in advance. Stakeholders consultation highlight on three fundamental hindering factors in this respect. The poor monitoring and prediction of the sources of shock due to lack of automated and quality data management system on key early warning indicators is the first hindering factor. Effective annual shock response plan is hardly possible without the knowledge of the type of disaster ahead of its occurrence. Poor projection of the amount of the resources needed for emergency assistance, how many people in need and for how long account for the second major factor. However, effective disaster risk financing plan depends on the existence of effective system of cash and food needs projection. The third main reason states that the resources in government emergency stock rarely enough. Humanitarian aids from

Development Partners and NGOs are not provided on time or full cover the need gap. The cumulative consequence is a delay of shock responsive transfer making the impacts of shock more severe, especially for the most disadvantaged and vulnerable groups.

4.8. Institutional Arrangements and Capacity

4.8.1. The Effectiveness of the Institutional Arrangements

Key informant interviews at various levels with stakeholders revealed the difficulty of effectively fulfilling their duties related to PSNP due to reshuffling of leaders. The lack of the necessary capacity and commitment were also found to be a challenge in the effectiveness of PSNP activities. These affect the successful implementation of the program by making full use of the technical staff available. In order to motivate and qualify the leadership for the proper execution of their responsibilities, it is important to provide consistent and focused capacity building trainings for various committee members engaged in PSNP-related activities.

Evidence from field data suggests that the existing regional institutional arrangements are completely efficient and functional, although there are some gaps at the woreda and kebele levels. Regional experts indicated the need to reinforce existing arrangements at the level of woreda and kebele. There is good coordination and cooperation at all levels between government implementing agencies, but there is a problem of coordination and collaboration with the PSNP implementers of GOs and NGOs. That was due to a lack of knowledge sharing and harmonization. In this regard, they recommended the need to enhance the leadership accountability, commitment, regular awareness and guidance on how to coordinate and collaborate with clear roles and responsibilities for PSNP GOs and NGOs implementers.

In Gursum woreda of the Somali region, informants noted that there is effective collaboration and cooperation between the various implementers of the program, including GOs and NGOs, for example, by implementing a livelihood project in the woreda, where both PSNP and non-PSNP clients benefited. On the contrary, the coordination and cooperation with NGOs and GOs operating in Kebrebeya woreda were not effective. Similarly, interviews with informants from the Oromia regional office have revealed that the cooperation and coordination of PSNP institutional implementation arrangements at woreda and kebele were not effective as expected. These institutions are expected to organize various sectors, whether task forces, steering committees or various technical committees that have a stake in the implementation of the PSNP but do not discharge their responsibilities as expected. The reasons for this are the absence of a mechanism of accountability to discharge their expected responsibility and the lack of leaders' attention.

It is imperative that PSNP5 be launched in the presence of higher political leaders in order to improve the coordination mechanisms for discharging accountability/responsibility. Informal cooperation between the PSNP implementing NGOs and the regional directorate of implementation of the PSNP is take place and joint action is taken to address the implementation of problems encountered. Except for engaging in various program monitoring events such as JRIS and submitting their plan and report to the regional FS coordination office, no formal and regular coordination process exists for PSNP implementing NGOs. Coordination forums, which

clearly demonstrate how to meet, how to share information, when and where to meet, must be set up to resolve this coordination issue.

To be precise, the existing institutional arrangements for the implementation of the PSNP are not effective in Boset Woreda. The FSTF did not meet as stipulated in the PIM, but rather most of the time they met for admin budget allocation at the beginning of the year and some time when severe problems needed them. Otherwise, they failed to meet and track the program on a regular basis. In the woreda, there is no PSNP implementation NGO. At present, the attention provided to PSNP from the higher level (regional) is not adequate, and unlike other normal government projects and programs, each and every PSNP implementing sector is not evaluated for its PSNP effectiveness. Similarly, the discussion in Ebinat woreda also revealed that the institutions mandated for implementation were not effective and that the technical committee on livelihoods was better than other technical committees in terms of follow-up operations, regular meetings and decision-making. The Office of Health is also not on board to track practices linked to nutrition. There is loose cooperation between the GOs and NGOs. The disparity between the physical year of the government and of NGOs also affects the joint planning and execution of PSNP operations. From the Tigray region, the same impression was reflected that the coordination was extremely weak, the Steering Committee is almost not functional, and the woreda FSTF and Technical committees are in a good place. The RSC and FSTF are not operational at all, and somehow the regional TCs work well.

On the contrary, the Elidar Woreda informants argued that coordination and cooperation between and with other implementing partners outside the PSNP, such as GOs and NGOs, is effective. For example, DRSLP, RPLRP, and local NGOs and other donor partners are actively involved in implementing PSNP activities from planning to implementation by prioritizing activities at Kebele level projects in such a way that both PSNP and other partners can shift their implementation to other activities if the same project is implemented in one Kebele and community.

Therefore, in order to increase the effectiveness of cooperation and coordination, encouragement should be put in place to ensure sustainable and fruitful coordination and cooperation throughout the year, with the same energy and self-initiation that began with the reform of the government. In addition, the planning and execution periods of GOs and NGOs need to be harmonized. More to the point, there is a need to reinforce periodic recognition of TFs, TCs, and the need to provide strong regional and federal support and monitoring, providing a strong accountability system.

4.8.2. Capacity Gaps

Community consultation and stakeholders' discussions were made at different levels while conducting ESAC PSNP5. One of the assessments was focused on the capacity of existing PSNP implementation gaps and the way forward during the implementation of PSNP5. In view of that, in the subsequent sections discussions with regional levels (Somali, Afar, Amhara, Tigray, and Oromia), federal levels, NGOs, and development Partner has identified capacity gaps in the implementations of PSNP and summarized their views as follows.

According to key informants from Gursum, Kebrybeya, Boset, Elidar, and Ebinat woredas, as well as the informants consulted at the regional and federal level, the main institutional capacity

gaps in the implementation of the program were almost similar, except in a few instances. These involve:

- High staff turn-over due to lack of salary increments, lack of incentives for the frontline staff and lack of educational support for the model staff. In addition, due to the large pay gap between PSNP and similar channel 2 projects, several experienced PSNP contract employees left PSNP.
- Continues leadership reshuffle by the government
- Shortage of technical trainings for staff with little knowledge and skills
- Shortage of physical equipment's like laptops, desktops and office materials, mainly in the split woredas
- Lack of efficient information flow system, especially at the program grass root levels
- The annual budget allocated for human capacity development and for follow up of an implementation of livelihood is very small
- The program resource, especially the vehicle meant for an implementation of the program is rarely used for the assumed purpose.
- Shortage of admin, capital and CD budget
- Weak coordination and cooperation between and among implementing agencies of GOs, NGOs and development partners at different levels
- The department responsible for coordinating NGOs is hosted in the bureau of finance in Amhara region and there is no information exchange between the department and regional food security office. Regional food security office does not have official communication about NGOs operating in the region. Previously the department coordinating NGOs placed under the bureau of food security.
- There is still gap on technical skills like data analysis, data base management and other software's

In order to address existing capacity gaps, the informants provided the following recommendations:

- Increase awareness creation and provision of relevant trainings for the staff
- Arrange educational opportunities for the DAs and the technical staff
- The capacity gaps related to social issues should be improved by coordination among different implementers through strong monitoring, supervisions and awareness creation.
- Putting in place regular assessment
- Allocating enough capital, admin and CD budget,
- Arranging transportation facilities
- Quality technical support for split woredas
- Proper communication and integration between the governments and NGOs with proper accountability mechanism. The NGO coordinating department should be placed at regional food security office.
- Disburse capacity building budget timely
- Institutional arrangement and management should be strengthened using different capacity development activities from higher level to Woreda and kebeles.

4.8.3. The Coordination and Cooperation of Stakeholders and Measures to Improve

The cooperation and coordination of stakeholders plays an important role in ensuring the successful execution of any project. Consultations and discussions were held with stakeholders from the Federal, Regional, Woreda as well as with NGOs and development partners in order to understand the status of PSNP implementer coordination and cooperation. The summary of the findings is described in the section below.

Informants from Care Ethiopia discussed about Livelihoods for Resilience Activity that close cooperation with the PSNP could enhance the impact of both sets of interventions and allow the project to contribute effectively to the target of the PSNP. As an NGO project collaborating with PSNP households, the project has a separate Federal and Regional Food Security memorandum agreement that formalizes the relationship between the two effective cooperation and harmonization programs. As a result, the project regularly carried out joint monitoring supervision with PSNP experts from the government structures at the Federal to Kebele level, and shared project plans, reports and learning documents. The project has further developed coordination tools that direct the basic activities of the partnership from the kebele to the regional level, involving PSNP structures.

In addition, the project management team regularly takes part in the higher level PSNP regular forums (JRIS), participated in the Regional Livelihoods Technical committee meetings and close involvement with Kebele and Woreda level Food Security Task force where responsibilities shared for regular implementation support. The Livelihoods for Resilience Activity is also committed to build the capacity of institutions that provide last mile services for PSNP households and multiplying its impact by involving government PSNP stakeholders wherever relevant as advisors, feedback providers, trainers, and trainees. Informant from Care Ethiopia further indicated their cooperation and coordination with the government as follows:

We are working in a close consultation with government stakeholders at all level (starting from federal to kebele level). Our government partners are supportive and collaborative in every aspect. A monthly and quarterly review meeting brings the implementing partners on the same table to discuss on the programmatic level bottlenecks and provide joint and timely solutions. We have had good enabling environment in terms of partnership which allow us considering our self as part of the program.

Contradictory to the above opinion, the following informant from World Vision pinpointed the restriction and low cooperation and coordination and the processes they went through in order to improve that:

In the beginning of our program partnering in PSNP-4 was restricted to implementing agencies only. The GOs were less cooperative, unwillingness to coordinate and collaborate and less transparent including refusing to transfer GO woreda to NGOs especially in the woreda setting. There was and still is discrepancy among regions and in some regions among woredas. Besides, difference in execution and translation of PIM. After recurrent discussion, explanation, and engagement at all level they started building confidence. Later they become partly transparent.

The discussion with stakeholders revealed that currently the government is open for collaboration and coordination in the following components of PSNP:

- Cooperation in project area selection: the GOs involve in woreda selection for efficient resource utilization and to avoid overlap but still there was some overlap
- Coordination of GOs for utilization of existing resources and systems (human resource, capital resource, policies, standard design, guide lines, etc)
- Annual program planning process including
 - Identification and selection of nutrition sensitive capital projects
 - Nutrition sensitive public work program: ensuring the timely transition of Temporary Direct Support (TDS)
 - Facilitation and follow up behavior change communication session at public work site and health posts
- Coordination in program implementation such as capacity building, it includes (need assessment, developing/adopting training manuals, trainee selection, conducting training and post training follow up).
- Willingness of GOs for the expansion of PSNP-4 to humanitarian: Timely utilization of 5% contingency budget and proper targeting such as considering non- PSNP households with malnourished children and families affected by shock still with limitations.
- Program monitoring and follow ups: GOs involve NGOs quarter, bi-annual and annual review meetings, integrated field level supervision, experience sharing visit, sharing research study finding and actively engaged in food security task force coordination meeting at all levels.
- Involving NGOs in PSNP-4 joint program review process and PSNP-5 Design process. Besides, PSNP-5 design adopted learnings and best practices of NGOs.

Measures to improve Coordination and Cooperation among the Stakeholders

Discussions with federal, regional, woreda stakeholders as well as with NGOs and development partners have more or less expressed similar impressions on how to enhance stakeholder cooperation and coordination during the implementation of the PSNP5. The informants consulted have identified the following interventions:

- Joint responsibility to develop a conducive enabling environment for last mile service providers in terms of working place, license, attractive working environment, e.g. for agro-dealers, private MFIs and other technology service providers.
- NGOs to participate in targeting and recertification/graduation process.
- NGOs to be counted as key members and active participants of PSNP platforms at all levels where relevant.
- The PSNP reporting and planning templates to have separate sections to reflect NGOs' contributions.
- Strengthening the GO-NGO forum and providing space in the JRIS agenda to share key learning and experience.
- Government has to establish a strong and functional platforms where the implementing partners, decision makers and all stakeholders can seat together and review the program and made a programmatic level change.

- A strong linkage between the higher level program staff and the front line implementers has to be improved so that everybody can be on the same page, update each other on programmatic level changes and timely resolve challenges that the front line staff (including NGO's) facing in a timely manner.
- It needs capacity strengthening of the government in terms of system and infrastructure as government has to give due attention to move away from traditional paper based system to replace it with technology supported systems that can enhance transparency and accountability.
- Open and transparent system in beneficiary selection process to reduce exclusion and inclusion errors
- Improving social accountability and cohesion of each government implementing agencies (sectors offices) at all levels:
 - Strengthen participatory community services scorecards and social audits of social services
 - Strengthen community led advocacy to government to ensure government policy commitments and service technical standards are followed up by government agencies and key decision makers. For example, the co-responsibility of TDS is to use social service even if the beneficiaries seek the service most of the time, the services are limited or unavailable or not ready to provide service as needed
- Involving stakeholders in annual beneficiary targeting and retargeting process to give priority for Nutrition program such as ensuring the targeting of poor pregnant and lactating women and care taker of malnourished children
- Improving capital project selection, implementation and follow up process
- Uniform translation and implementation of PIM provisions across the regions
- Introducing continuous job embedded capacity building and quality improvement process
- PSNP PIM should include components and indicators that allow committees structures to include organizations other than PSNP in the institutional Arrangement
- There should be additional MoU between PSNP IAs and GO, NGOs and other office on coordination and cooperation to make it legally signed and to increase accountability to PSNP implementation.
- Periodic awareness raising and capacity development activities for committee members in organized manner.
- PSNP should be the agenda of political leaders(the steering committee should follow up the Task forces and the Task force also follow up the work of technical committee.

4.9. Grievance Redress Mechanisms

4.9.1. Grievance related to PSNP ESAC

Understanding the sources of grievances during project implementation is a pivotal role and is necessary to establish functional redress mechanism. Although most of the informants during community consultation and key informant interviews said that there is no serious grievance case in the community related to PSNP, when they probed they confirmed that some cases of grievance has been happening for various reasons. According to the ESAC carried out in the six regions (Oromia, Amhara, Tigray, SNNP, Somali and Afar), the informants unanimously with very few cases revealed major source of grievances during the implementation process of PSNP.

Among others, they have mentioned exclusion errors, delay of payment, deduction of payment by kebele [government] officials in the name of fertilizer, and the likes, claim over access to payment by husband and wife conflict when they get divorced, access to livelihood grant or credit to expand the kind of livelihood path at hand, exclusion and inclusion errors during targeting, , long distance of traveling to the food transfer site, delay of transfer due to cash liquidity and cash holding capacity of banks. For example, in Gursum woreda, an informant indicated the main sources of grievance related to PSNP that, *“targeting and selection process (inclusion and exclusion errors), inadequate quota, delay of transfer and payment of cash once in every 2-3 months in a lamp sum.”* The same reasons were forwarded from other woredas sampled for the ESAC: Kebribya, Ebinat, Bolosso, Mille, Elidar and Boset.

In specific terms, informants from Amhara region, Ebinat woreda, forwarded family cap, retargeting, admin and capital budget allocation as the major sources of grievances. The same way with a bite difference, informants from Oromia region revealed delay of transfer, shortage of credit service, incomplete family targeting, being in PW instead of PDS, dissatisfaction on the concession given for owner of asset lost due to PSNP PW are some of the source of grievances. In Afar region, Elidar woreda, specific reasons for grievance forwarded include high interest of able-bodied PW participants to transfer to PDS and limited number of quota/caseloads, but all the needy people wanted to join to the program, 15 kg for one person per month is not enough and non-PSNP clients are providing appeals to include them in PSNP as the drought is repeatedly affecting them and they lost their asset from time to time. From the aforementioned discussions, one can deduce that almost all the sources of the grievances in all regions with minor difference and specificity seems similar. Thus, PSNP5 should take into account these sources of grievances while implementing the project.

Ways of Submitting Grievances

The objective of a GRM is to establish a system for project stakeholders, including communities, to address grievances (requesting information and providing feedback on project implementation) in an amicable way. According to informants from consulted woredas during ESAC revealed that majority of the grievances are submitted orally at the kebele level while the grievances are submitted on paper at the woreda level. This means grievances have been submitted to the Kebele Appeals Committee (KAC) where the committee reaches decision. In Gursum and Kebribeya woredas, for example, the decision of the grievance is issued within 3-5 days. In Oromia, Boset woreda specific case reported that client's grievances are recorded by DA or kebele manager on the template prepared for acceptance of grievance. In the case of Afar/Elidar, appeals were most of the time presented orally via community elders and kebele managers and can be resolved in the same time as quick as possible. However, they provide their appeals in a written manner especially if they assume their appeals are not resolved quickly. In SNNP/Bolosso Sore woreda usually community submit their complaint to kebele KACs and get solution there but in case they are not satisfied with KACs decision, they complain to woreda administration and agriculture offices. The representative from women, children and youth affair showed difference on this point and said that usually women community members came to their office with complaint on PSNP as they don't get fair decision. Then, WCYA office submits the appeal to woreda FS desk.

In almost all the regions consulted, there are Kebele Appeals Committee and it depends on the various kebeles to effectively handle any grievances because some of the kebeles effectively handle the grievances they receive within a short period up to couple of days while other kebeles might not handle the grievances as effectively as expected. For instance, in Amhara region, Ebinat woreda, informants stated that the beneficiaries submit their grievances directly to the woreda food security office. They are not served by the kebele appeal committee. They indicated that there is kebele appeal committee but clients are not using it to redress their grievance. The woreda food security is not supporting appeal committee to function their duties. Informants from Afar/Elidar mentioned reasons for weak performance of appeal committee at Kebele levels were due to the location or office of the committee inconvenience to vulnerable groups or have no regular office but the names of KAC members are posted on wall of Kebele office to keep transparency. In SNNPR, Bolosso sore woreda, there are kebele appeal committees in all 29 PSNP kebeles. However, functionality and strengthen of the KACs are not the same, as they are strong and well represented by community in some kebeles while there are kebeles where the KACs are weak and less functional. There is a kebele appeal committee and they said that they submit their complaint to the KAC. However, it seems that there is confusion over the roles of kebele food security taskforce and kebele appeal committee as the same persons are represented in those two committees. The communities have mentioned that dominantly kebele administrator runs the KAC and PSNP frontline implementers like the DA, however, they confirmed that some community representatives are also part of it. In general, it is observed that the communities have less awareness on the objective and roles of KACs to address grievances related to PSNP.

Community consultation and key informant interviews with stakeholders held in the six regions pinpointed the process of grievance redress and identified more or less similar findings. This include logging grievances, which are registered at the kebele levels but the time it takes for the KACs for reaching resolutions actually depends on the nature and the capacity because some of the kebeles are equipped to effectively handle the grievances received from the community within couple of days. Clients submit their appeals in writing and orally. It is indicated that the maximum date to resolve the grievance took 30 days and the minimum 5 days. In Oromia, for example, the KAC exist almost in all kebeles but, for different reasons (weak capacity of KACs, lack of power, not readily available, low confidence on power of KACs by the community, even if they are expected to be accountable for kebele council practically they are accountable for kebele administration). Thus, the majority of appeals are submitted for different parties such as kebele administration, DAs, manager, or woreda food security task force and in rare cases for KAC. Since appeals are submitted for different parties, there is no as such standard grievances redress on the ground. Some of the participants expressed that they know the existence of KAC but mostly the community do not want to visit them due to the fact they do not have any decision making power, most of them have limited knowledge, they do not have clear time place to access them.

Informants suggested the need to strengthen the existing PSNP Kebele Appeals Committees (KACs) during PSNP5 implementing time as the main mechanism for grievance redress in the PSNP by improving the gaps observed so far. They also explained the relevance of awaking the community to properly use KACs and the difficulties the KACs may face should be resolved. It was also noted during community consultations that community members may not trust or have confidence in KACs to fairly review their grievances. Thus, they urged the KACs to build better trust and confidence of beneficiaries to follow the appropriate KAC procedure by improving

their capacity to process appeals. This suggests the importance of capacity building work through educational and awareness raising programs, to enable appeal structures to earn the confidence and trust of community members to be more effective during PSNP5.

4.9.2. Proposed Grievance Redress Mechanism for the PSNP5

A GRM is oriented toward providing solutions and incorporates the principles of transparency, accessibility, due diligence, and responsiveness. The PSNP5 will use grievance mechanism in a transparent ways having a kind of trainings. The project will recognize customary and/or traditional conflict resolution mechanisms. It will provide resources to ensure the functioning of the GRM system. Grievance information will be recorded and reported in the regular implementation progress reports. The project will equally ensure that grievances related to GBV are recognized and referred to respective service providers based on a survivor-centered approach (that is always based on the demands of survivors and ensuring confidentiality). Such grievances shall not be handled according to standard GRM procedures but by the Woreda Women and Children Affairs Office or female GBV focal points to be selected and trained to provide basic referrals. Monitoring and reporting on issues related to GBV issues are reported to the program GRM. MoLSA will be part of the federal taskforce and collaborating with WCYD on GBV issues.

Key Considerations for PSNP5 GRM Procedure

No.	Key considerations	Detail about the GRM procedure
1	Disclosure of the GRM	GRM uptake locations need to be established at Regional and Woreda levels and Kebele Appeals Committee (KAC). The existence and condition of access to register (how, where, and when) shall be widely disseminated within the Project implementation areas.
2	Expectation When Grievances Arise	Affected or concerned persons expect to be heard and taken seriously. Thus, the MOA (FSCD) and other respective regional, <i>Woreda</i> , and Kebele Appeals Committee (KAC) levels implementing agencies and stakeholders need to provide adequate information to people that they can voice grievances and work to resolve without fear of retaliation.
3	Grievance Submission Method	Complaints can be submitted formally and informally through telephone (hotline), e-mail, MoA websites, program staff, text message (SMS) or in person. However, once the complaint is received, it will have to be documented in writing using a standard format containing detailed timeline for resolving conflict/complaint.
4	Registration of Grievances	Complaints will be recorded in a log using standard format, examined, investigated and remedial actions will be taken.
5	Management of Reported Grievances	The procedure for managing grievances should be as follows: 1) The affected or concerned person files his/her grievance, relating to any issue associated with the PSNP5 in writing or phone to the KAC. Where it is written, the grievance note should be signed and dated by the aggrieved person. In addition, where it is phone, the receiver should document every detail. 2) Where the affected or concerned person is unable to write, the KAC will write the note on the aggrieved person's behalf. 3) Assigned/focal staffs at Regional and Woredas PIUs will collaborate with <i>Kebele</i> administrators/KACs by giving them awareness training on how to document and report grievance.
6	Grievance Log and Response Time	The process of grievance redress will start with registration that should contain a record of the person responsible for an individual complaint, and records of

No.	Key considerations	Detail about the GRM procedure
		<p>date for the complaint reported; date the Grievance Logged; date of information on proposed corrective action sent to complainant (if appropriate), the date the complaint was closed out and the date response was sent to complainant.</p> <p>Kebele Appeals Committee (KAC), Woredas and regions should keep compliant lodger recording all grievances, date and results of the closure with all supporting documents available (completed compliant logging forms, decision minutes, emails, etc.) and ensure that each complaint has an individual reference number, and is appropriately tracked and recorded actions are completed. The response time will depend on the issue to be addressed but the grievance at different levels should be addressed in 30 calendar days.</p>
7	Grievances Reporting Mechanism	<p>A focal person at Woredas and Regions will be responsible for compiling submitted and processed complaints/grievances on regular basis and report to relevant stakeholders every quarter. The Woreda should report the complaints registered and addressed to regions every month. The regional focal persons from each region will report quarterly to MOA, FSCD, safeguard experts. The Kebele Appeals Committee (KAC) should report the complaints registered and addressed to Woreda. Review unresolved appeals from KAC and forward them to the Woreda Council and the Woreda Food Security Desk every quarter. Forward the list of grievances, their resolution and any unresolved cases to the Woreda Council.</p>

4.9.3. World Bank Grievance Redress Service

Communities and individuals who believe that they are adversely affected by a World Bank–supported project may submit complaints to project-level GRMs or the World Bank Grievance Redress Service. The Grievance Redress Service ensures that complaints received are promptly reviewed to address project-related concerns. Project-affected communities and individuals may submit their complaint to the World Bank’s independent Inspection Panel, which determines whether harm occurred, or could occur, because of World Bank 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 corporate Grievance Redress Service, visit <http://www.worldbank.org/en/projects-operations/products-and-services/grievance-redress-service>. For information on how to submit complaints to the World Bank Inspection Panel, visit www.inspectionpanel.org.

4.10. Stakeholders Consultation and Public Disclosure

4.10.1. Introduction

The constitution of Ethiopia recognized that citizens have a right to full consultation and expression of their views in the planning and implementation of environmental policies and projects that directly affect them. Likewise, the World Bank Environmental & Social Standards (ESSs 10) recognizes the importance of open, transparent and effective stakeholder engagement plan to improve the environmental and social sustainability of projects, enhance project acceptance, and make a significant contribution to successful project design and implementation. The World Bank’s Environmental and Social Framework (2016) recognizes the importance of early and continuing engagement and meaningful consultation with all stakeholders. One among

the eligible category is the communities living in the project catchment area who are historically underserved, vulnerable and marginalized groups. The other unit of interest of the stakeholder engagement deliberation includes the key stakeholders, which have a significant contribution to the successful project design, implementation and monitoring and evaluation activities. These stakeholders include main implementing agencies or government offices, NGOs or other development partners.

The overall moral of the stakeholder consultation and participation activities is in order to understand the concerns of affected people, and how the Borrower (FDRE) in project design and mitigation measure is in accordance with ESS10 address such concerns. Moreover, in line with ESS7 the underserved peoples found in the project area needs to be consulted about, and have opportunities to actively participate in project design and the determination of project implementation arrangements. Hence, as part of the comprehensive ESAC, the stakeholder consultation –particularly the community consultation was conducted to assess the various social concerns and issues, which enable to understand the views and opinions of various community members.

Apart from the above-mentioned documents, the National Social Protection Policy⁹⁸ clearly indicated that inclusiveness is one of the nine principles in implementing social protection affiliated projects and interventions. The same policy document also states that; the various government and international organization (the World Bank) financed projects should be implemented in a way it “*protects poor and vulnerable individuals, households, and communities from adverse effects of projects*” and “*increase access to equitable and quality basic services (like energy and electricity power and light supply).*”⁹⁹ This should go in line with the aspiration to achieve SDGs agenda of ‘*leaving no one behind.*’ Therefore, this community consultation activity is tuned in a way that captures the multi-faceted socio-cultural contexts, views, opinions and concerns of the Historically Underserved and Traditional Local Communities during the different stages of the PSNP5 project’s life span.

In line with the requirements of the ESS7 underserved community representatives and organizations needs to be involved. Accordingly, community consultations were conducted with vulnerable, disadvantaged, and implementing bodies in the 8 sample woredas consulted in the six regions.

4.10.2. Objectives of the Public Consultations

The objective of the public consultation is to provide a plan to achieve effective stakeholder participation and promotes better awareness. Accordingly, it helps the project to effectively implement within budget and on time to the satisfaction of all concerned parties. It is also to provide MOA, FSCD:

⁹⁸FDRE’s Ministry of Labor and Social Affairs (2012). National Social Protection Policy of Ethiopia: Addis Ababa.

⁹⁹ Generally there are six major areas of emphasis of the National social Protection Policy of Ethiopia such as; protecting the poor and the vulnerable, increase access to social insurance, guarantee a minimum level of employment for long term unemployed and underemployed, increase access to equitable and quality basic and social welfare service, enhance the realization of social and economic rights of the excluded and the marginalized, and ensure the different levels are taking responsibilities the various policy components.

- Status of implementation of the identified measures;
- A sense of the concerns, priorities and aspirations of the stakeholders and implementing parties as they implement the measures;
- Information to shape the project as it progresses; whenever possible, to recommend and implement specific recommendations and proposals;
- Provide the participating regions including Woredas with a forum to interact constructively and make progress towards solutions and actions; and feedback from MOA, FSCD on information received and steps to follow.
- Allowing the community members to influence project design, Project Appraisal Document and related implementation.
- Obtain comprehensive local knowledge and integrating it with PSNP5.
- Increase community confidence and trust on PSNP5 and World Bank financed projects in the area.
- Improve transparency and accountability in decision-making process in association with PSNP5.
- Reduce conflict that likely created in relation to the project implementation process of PSNP5.

MOA, FSCD that will be involved in project implementation shall establish a platform for coordination among stakeholders to strengthen and improve the efficiency and transparency of the execution of the planned project activities, which is supported by the Constitution and other proclamations of the country. It is also a plan within proposed implementation, to improve consultation for the most vulnerable and underserved groups and their communities so that they could benefit even more from the project activities. More use that is effective can be made of women's groups, youth groups and community conversations targeting women, traditional leaders, and other vulnerable groups. Involving these groups, with meaningful representation and participation in public forums will be endorsed as part of project implementation.

Generally, public and stakeholders' consultation anticipates attaining the following:

- Develop and maintain avenues of communication between the program and stakeholders to ensure that their views and concerns are incorporated into project design and implementation with the objectives of reducing or offsetting negative impacts and enhancing benefits from the project;
- Inform and discuss about the nature and scale of adverse impacts and to identify and prioritize the remedial measures for the impacts in a more transparent and direct manner;
- Include the attitudes of the community and officials who will be affected by the project so that their views and proposals are mainstreamed to formulate mitigation and benefit enhancement measures;
- Create a sense of the concerns, priorities and aspirations of the stakeholders and implementing parties as they implement the proposed measures and actions;
- Increase public awareness and understanding of the projects, and ensure its acceptance; and Inform relevant authorities of the impacts, solicit their views on the project and discuss their share of the responsibility for the smooth functioning of the overall project activities.

4.10.3. Summary of Stakeholders and Community Consultation of the ESAC PSNP5

Summary of stakeholders and community consultations are discussed below taking into account the components of the PSNP5. A more detailed discussion on the key points raised and corresponding responses are given in the annexes.

A. Community Consultation

Community consultation participants comprised project beneficiaries (PW clients, TDS clients, PDS clients and PSNP emergency response clients) of the kebele selected from the respective sampled PSNP woreda. Issues related to awareness, targeting, transfers, public works, livelihood support, nutrition, and program impacts (positive and negative) were raised to guide the discussions during community consultation. Community Consultation participants stated that they are aware of the objectives and components of the PSNP. Nevertheless, participants expressed, their active participation in the planning of each component of the PSNP is minimal. Particularly, the participation of women is almost none.

Participants discussed the exclusion and inclusion errors as the key problem during PSNP targeting. The rate of exclusion error is higher for disadvantaged and vulnerable groups. Participants identified numerous contributing factors for lack of fair and transparent selection process: lack of proportional representation and active involvement of women in FSTF and KAC; lack of awareness and technical skills by FSTF and KAC members on community-based selection process; acts of nepotism, favoritism, abuse of power and corruption by DAs and kebele administrators; elite captures; and none responsive appeal system.

Community consultation participants discussed that household food security is improved because of PSNP transfers. However, they mentioned that delay in transfers caused household asset depletion and other negative coping strategies. Inaccessibility of the location of payment and food distribution center, particularly for vulnerable groups, inadequacy of transfers, and high-eroded value of the wage rate were discussed. Further, participants discussed cases of mismanagement and misuses of transfers when received by male.

Community consultation participants expressed public work activities improved community asset creation and natural resource conservation. A number of limitations were raised as well including lack of participatory planning of PWs, workload especially for women, mismatch between the timing of PWs activities and clients' annual farming/pastoral calendar. Community consultations discussed, in some PSNP woredas, pregnant women participate in PWs until several months of their pregnancy. That may expose pregnant women and the fetus to serious health and safety problems.

In those four regions (Oromia, Amhara, SNNP and Tigray) where the livelihood support of the PSNP has been implemented, targeting households have witnessed improvement in their livelihood status owing to the technical and financial supports received in this respect. Participants stated that the PSNP livelihood support sub-component has not been commenced yet in Afar and Somali regions that generated discontent. Community consultation participants discussed several constraints related to financial supports: inadequacy of livelihood grant,

mismatch between demand and supply of micro-credit, pre-conditions put for loan and absence of cultural appropriate credit service (**Please, see annex 5 for the detail**).

B. Consultation with Woreda Level Stakeholders

The key issues raised during consultation with woreda level stakeholders relate to awareness, targeting, transfers, public works, livelihood support, shock-responsive safety net and institutional arrangements, and capacity gaps.

Woreda level program implementers lack awareness of the shift of the targeting criteria in PSNP5 and what facts necessitate the change. During consultation, these program implementers still referred to the criterion of “chronic food insecurity” that has been used for the previous phases of the PSNP instead of the new selection criteria of “extreme poverty” and “extreme vulnerability to shock” for PSNP5.

Woreda level stakeholders identified exclusion and inclusion errors as a key problem. In this regard, they mentioned the same contributing factors expressed by community consultation participants: lack of proportional representation and active involvement of women in FSTF and KAC; lack of awareness and technical skills by FSTF and KAC members on community-based selection process; acts of nepotism, favoritism, abuse of power and corruption by DAs and kebele administrators; elite captures; and none responsive appeal system.

Woreda level stakeholders identified several reasons for the delay of transfers including: delay of commodity movement from federal to region and from region to PSNP woredas; delay of budget release from federal to region and from region to PSNP woredas; delay in request form submission by woreda to region and related offices works; delay in submission of payment request form and payroll preparation; and inaccessibility of some PSNP woredas and kebeles due to poor road and communication network infrastructure.

According to woreda level stakeholders, the biophysical soil and water conservation based PWs in communal land (such as land rehabilitation through area enclosure, integrated watershed developments, range land management, soil bund construction and bench terracing) and forestry and agro forestry related public work activities (such as nursery site establishment and management, introduction of animal fodder species and establishment of tree seedling centers) that have been carried out for years improved community asset creation and natural resource conservation. But, consulted woreda level stakeholders admitted lack of participatory in planning PWs as a limitation.

During consultation, woreda level program implementers in Somali and Afar regions expressed that the PSNP livelihood support component has not been commenced yet. They stressed that building sustainable livelihoods and resilient rural PSNP households in the two regions without livelihood support is a futile exercise. Thus, community consulted program implementers urged PSNP5 to launch the livelihood support interventions.

Stakeholders at woreda level identified that drought; flooding, livestock diseases, locust, and snow (for highland areas) are the major recurring sources of shock in the study woredas. Of all listed shocks, drought is the major recurring source of shock both in the agricultural and pastoral

communities. However, the stakeholders discussed that pastoral communities are more vulnerable to drought shocks and the ensuing impacts are severe as well.

Stakeholders at the study woredas expressed poor capacity of monitoring and predication of sources of shock. They explained that manual and poor quality based early warning data management system make poor capacity of monitoring and prediction of short- and long-term sources of shock. That makes the proactive interventions so difficult to avoid, reduce or properly mitigate the impacts of shocks on people, economy and environment. Likewise, they discussed that the existing system of cash and food needs projection is poor for the same reasons just stated. Furthermore, stakeholder at the study woredas discussed that the existing early warning system lack effective and easily accessible means of delivering warning messages to alert the potentially affected communities and among the key stakeholders for pro-active measures.

During consultation, stakeholders at the study woredas stated poor shock-delivery system for several reasons: the core PSNP and Humanitarian Food Assistance (HFA) are delivered independently leading to overlapping in the targeting of clients for PSNP and HFA, differing transfer value between PSNP and HFA, and parallel institutional arrangements; the existing shock-delivery system has no standard operating rules and procedures that define the system's scales-up, how it will scale-up, to which groups of population, for how long and how much assistance shall be received.

Core institutional arrangements and capacity related issues identified by stakeholders in the study woredas include: high staff turn-over due to lack of salary increments, lack of incentives for the frontline staff and lack of educational support for the model staff; shortage of technical trainings for staff with little knowledge and skills; shortage of physical equipment's like laptops, desktops and office materials; shortage of admin, capital and CD budget; and weak coordination and cooperation between and among implementing agencies of GOs, NGOs and development partners at different levels.(See annex 5 for detail).

C. Consultation with Federal Level Stakeholders

The same key issues raised to the woreda level stakeholders were raised for the stakeholders at the federal level: awareness, targeting, transfers, public works, livelihood support, shock-responsive safety net and institutional arrangements, and capacity gaps. Stakeholders at federal level discussed more or less the same points with the stakeholders at the woreda level. For example, stakeholders at federal level identified the same major recurring sources of shock mentioned by stakeholders at the woreda level: drought, flooding, livestock diseases, locust, and snow (for highland areas).

Federal level stakeholders also expressed poor capacity of monitoring and predication of sources of shock and poor system of needs projection due to manual and poor quality based early warning data management system make poor capacity of monitoring and prediction of short- and long-term sources of shock. That makes the proactive interventions so difficult to avoid, reduce or properly mitigate the impacts of shocks on people, economy and environment. Similarly, stakeholders at the federal level discussed that the existing early warning system lack effective and easily accessible means of delivering warning messages to alert the potentially affected communities and among the key stakeholders for pro-active measures Further, stakeholders at

the federal level identified the same reasons with the stakeholders at the woreda level for the weak shock-delivery system: the core PSNP and Humanitarian Food Assistance (HFA) are delivered independently leading to overlapping in the targeting of clients for PSNP and HFA, differing transfer value between PSNP and HFA, and parallel institutional arrangements; the existing shock-delivery system has no standard operating rules and procedures that define the system's scales-up, how it will scale-up, to which groups of population, for how long and how much assistance shall be received.

Core institutional arrangements and capacity related issues identified by stakeholders at the federal level are not different either: high staff turn-over due to lack of salary increments, lack of incentives for the frontline staff and lack of educational support for the model staff; shortage of technical trainings for staff with little knowledge and skills; shortage of physical equipment's like laptops, desktops and office materials; shortage of admin, capital and CD budget; and weak coordination and cooperation between and among implementing agencies of GOs, NGOs and development partners at different levels (**See annex 5 for detail**).

4.10.4. Public Disclosure

The World Bank ESF requires that the government of Ethiopia and the WB to disclose the ESAC. First Phase ESAC has been approved and disclosed as part of the ESMF earlier to appraisal as per the Bank requirements. To address COVID 19 related limitation in ESAC Phase I preparation, follow on ESAC Phase II that includes extensive consultation was conducted. The disclosure of this ESAC should be both in GoE where it can be accessed by the public, including affected groups and at the World Bank external website.

The MOA, FSCD will make copies of the ESAC accessible in selected public places perhaps at national levels at the MOA and at applicable Regional government offices for information and comments. The sub-projects will be publicized via various means of communications. The notice will contain a short explanation of the programs alluded to where and when the ESAC can be viewed, period of the display, and contact information for comments.

For meaningful consultations between the MOA, FSCD and potential project affected groups and beneficiaries, the MOA, FSCD with the relevant body shall provide a relevant material in a timely manner before consultation and in a form and language that are understandable and accessible to the groups being consulted. In this respect, all concerned entities shall prepare/compile the requisite materials beforehand.

To meet the consultation and disclosure requirements of the Bank, the Government of Ethiopia will issue a disclosure letter to inform the Bank of,

- The Government's approval of the ESAC;
- The actual disclosure of these documents to all relevant stakeholders and potentially affected persons in Ethiopia; and
- The Government's authorization to the Bank to disclose these documents in its Info shop.

5. Potential Social Benefits, Negative Impacts and Mitigation Measures

5.1. Potential Social Benefits

Community consultations and stakeholders' interviews found immense social benefits attributable to the implementation of the previous phases of the PSNP. These social benefits inform that the implementation of the proposed PSNP5 to capitalize on earlier achievements. The discussions that follow summarize the various social benefits.

Improved household food security and consumption: Consultation with PW clients, TDS and PDS revealed that had it not been for the PSNP transfer many households would face challenge to survive. Before the intervention of the PSNP, these households used to live under critical food poverty. As a result, community consultation participants have used different expressions to show the indispensable role of the PSNP in improving their households' food security and consumption. Some participants expressed PSNP as "a live saving program or a divine intervention to save the lives of the poorest and most vulnerable people." Other expressed the role of the PSNP as "the insurance of the poorest people." Due to the participation in PSNP, participants have witnessed that their household food security and consumption has been significantly improved.

Avoid household asset depletion and negative coping strategies: Before targeting for PSNP interventions, community consultation participants discussed that the sale of household assets such as animals or they used their savings to buy foods and basic consumption and consumption of seed reserved for the next farming season were common to overcome the problem of critical food shortage. That has caused household asset depletion and further persist absolute poverty. Participants also mentioned several negative coping strategies during critical food shortage: borrowing money from neighbors or friends, making charcoal, asking support from relatives with better economic status, and having meal just once a day to mention but only a few. Nevertheless, all beneficiaries consistently expressed, household asset depletion and negative coping strategies to overcome critical food shortage and consumption gap have been basically avoided since targeting for PSNP transfer. Thus, the interventions of the fifth phase of the PSNP would further prevent household asset depletion and negative coping strategies.

Improved community asset creation and natural resource conservation: Consultations found that the PW component of the PSNP has been engaging in various community asset creation activities including the following ones. Biophysical soil and water conservation based PWs in communal lands such as land rehabilitation through area enclosure, integrated watershed developments, range land management, soil bund construction and bench terracing. Forestry and agro-forestry related public work activities such as nursery site establishment and management, introduction of animal fodder species and establishment of tree seedling centers have been carried out for years. In some PSNP woredas, particularly in the highland areas, the constructions of small-scale irrigation schemes have been carried out as part of public work activities. Consequently, community consultation participants and stakeholder interviewees alike acknowledged the enhancement of production and productivity at the individual household level owing to one or the other community asset creation of public work activities just to mention. Thus, similar PSNP5 public work activities would contribute to increasing household resilience, climate change adaptation and mitigation.

Improved household livelihood: In those four regions (Oromia, Amhara, SNNP and Tigray) where the livelihood support of the PSNP has been implemented, targeting households have witnessed improvement in their livelihood status owing to the technical and financial supports received in this respect. Partly, livelihood-targeting clients expressed that the improvement is attributable to the technical training received on livelihood diversification, financial literacy, income generating activities, and business management skills. In part, the creation of additional household assets is indebted to the financial supports (facilitating access to credit, livelihood transfer and livelihood grant) received. In this regard, the big-push approach, which the PSNP5 adopts, has potential benefit to boost the quality of the impacts of the livelihood supports toward building sustainable livelihoods and resilient rural PSNP households.

Improved nutrition of children: Community consultations assessed the important contribution of the PSNP in improving the nutrition of children. Clients and program implementers have witnessed that PSNP transfer payment enabled households to feed their children as required times a day and with diverse meals relative to what has been the case before joining the program. An expression by a mother of three can provide a good illustration in this regard: *I used to feed my children rarely three times a day, one type of food even. However, after I was targeted for PSNP transfer, I normally feed with relatively diverse meals three times a day.* Therefore, by mainstreaming nutrition in all the components of the program, PSNP5 would significantly address the underlying determinants of child nutrition and thereby contribute toward the country's overall effort of achieving zero stunting by 2030.

Improved awareness or the soft conditionality of the clients: ESAC found that the Social Behavioral Change Communication (SBCC) training sessions have improved the awareness or soft conditionality of the target households on ante- and post-natal care, children nutrition, personal hygiene and other essential issues for the betterment of the household day-to-day life. During community consultation, clients have witnessed that their knowledge on the abovementioned vital life aspects has been basically raised after attending series SBCC training sessions by Development Agents, Health Extension Workers and expertise from different woreda sector offices. Accordingly, the implementation of the PSNP5 would have the benefit to further enhance the social and behavior changes both at the community and at individual household level.

Improved linkages to social services: The finding of the ESAC for PSNP5 expose that the PSNP interventions have improved linkages to social services in two major ways. The first major way is through the constructions of schoolrooms, health post, and rural roads construction and rehabilitation. The second major way is by providing SBCC training sessions that boost client households' social service seeking behavior. The tremendous increment of pregnant and lactating women seeking for ante- and post-natal care services was discussed by community consultation participants and interviewed program implementers as one typical illustrative example. Therefore, by capitalizing on existing achievements of PSNP5 may have significant potential benefit of boosting the wellbeing of the clients, particularly for PDS and TDS by linking them to social services.

Women empowerment: Despite unsatisfactory, ESAC finding revealed the benefits of the interventions of the previous PSNPs in the areas of SBCC, gender-based violence, and gender sensitive provisions among other things. The SBCC focused on several topics including the

gender sensitive agendas, ante- and post-natal care, and health benefits of breast-feeding, child immunization, and the need for diverse meals for children, hygiene management and homestead farming. The trainings have basically raised women's awareness and, thus, empowering them in decision making in this regard. Hence, the mainstreaming of gender in all the components of the PSNP5 has potential social benefit for better empowering women.

5.2. Potential Negative Social Impacts by Program Output

In spite of all those social benefits discussed in the preceding sub-section, ESAC found potential negative social impacts for due attention which otherwise may exclude, restrict, discriminate or disproportionately brought impact among the members of the beneficiary community in the course of implementing PSNP5. The next few pages sketch the negative social impacts and areas for addressing needs of the communities along with mitigation measures.

Component 1: Adaptive Productive Safety Net

This component has four sub-components/outputs. The next discussions present potential social impacts and mitigation measures in line with these outputs.

Output 1: Timely, predictable, appropriate and adequate transfers

In line with output 1, the findings of the ESAC for the PSNP5 identified the following potential negative social impacts that are worth for mitigation measures.

Program implementers' lack of awareness on the new targeting criteria of the PSNP5: The key informant interview finding showed, program implementers, particularly those at the woreda and kebele level lack awareness of the shift of the targeting criteria in PSNP5 and what facts necessitates the change. When probing for the targeting criteria in PSNP5, these program implementers still referred to the criterion of "chronic food insecurity" that has been used for the previous phases of the PSNP instead of the new selection criteria of "extreme poverty" and "extreme vulnerability to shock" for PSNP5. As woreda and kebele level program implementers are responsible frontline staffs, lack of awareness on the design changes of the PSNP5 may have the risk to use the earlier selection criteria while targeting for PSNP5. To avoid any risk of misunderstanding by woreda and kebele level program implementers in the course of the upcoming selection process, proper awareness raising training for these responsible frontline staffs on the overall design changes of the PSNP5 should be given well before the commencement of the new targeting.

Exclusion and inclusion errors: The experience of the previous phases of the PSNP showed the exclusion and inclusion errors as one key limitation. More importantly, ESAC found that the rate of exclusion error is higher for disadvantaged and vulnerable groups. Community consultation identified, the ensuing negative impacts are seen at least from two major angles. Firstly, the exclusion and inclusion errors contradict with the key principle of the PSNP: the exclusion of those who are eligible and inclusion of those who are not. Secondly, the exclusion of those who are eligible and inclusion of those who are not has been generating a great discontent among those local community members who unfairly excluded from the benefits of the program. The same trend of exclusion and inclusion errors may persist in the implementation of PSNP5.

To prevent or significantly reduce the risk of exclusion and inclusion errors in PSNP5, the following key mitigation measures are needed. First, ensure proportional representation and active involvement of women in FSTF and KAC. Second, provide training and technical supports to enhance the capacity of the FSTF and KAC members on gender sensitive PSNP provisions, GBV, and mechanisms of effectively handling complaints. Besides, close supervision by Woreda Sector Experts is essential. Third, serious supervision and follow-up measures and actions on those members of the FSTF, DAs and kebele administrators engaged in acts of nepotism, favoritism, abuse of power and corruption. Finally, provide training for informal and traditional leaders to strengthen their positive role in the targeting process. In addition, it is important to devise system to check the subjective or unfair decision of the informal and traditional leaders such as clan leaders and community elders.

Delay of payment and transfer: The delay of payment and transfer is reported as a serious problem across consulted PSNP woredas during this ESAC. This has potential risk of increased household asset depletion and other negative coping strategies. In particular, the impacts of lack of food due to transfer delay is more severe for children, pregnant and lactating women, elderly, persons affected by chronic diseases and people living with HIV/AIDs. The implementation of the PSNP5 needs to take appropriate mitigation measures. To avoid or significantly reduce the potential risks due to delay of payment and transfer, it is highly important for PSNP5 to take the following mitigation measures. First, on time commodity movement from federal to region and from region to PSNP woredas. Second, avoid delay in budget release from federal to region and from region to PSNP woredas. Third, on time payment request form submission and preparation of payroll by woreda to region. Fourth, promote e-payment system. Finally, in PSNP woredas and kebeles with poor road infrastructure transport commodities before the rainy season.

Inaccessibility of payment and food distribution center: The location of payment and food distribution centers is not accessible. Specifically, this influences the life of the disadvantaged and vulnerable groups. Community consultation revealed, in some PSNP woredas FHHs, elderly, people with disabilities, labour-poor households and people living with HIV/AIDS travel about 30 kms to collect transfers. Thus, these groups of client spent one night around the payment and food distribution center that incur them an extra cost. Therefore, PSNP5 should mitigate the problem by making the center accessible to all by constructing a new center (as part of PW activities) at relatively short distance. Besides, promoting e-payment system for cash transfer is highly recommendable.

The food transfer is not culturally appropriate for clients in pastoral areas: Community consultation participants from the pastoral communities in Mille and Elida'ar woredas in Afar and Kebribeya and Mula woredas in Somali region complained that the kind of food transfer received is not appropriate to their food habit. To mitigate the inappropriateness of food transfer in the pastoral woredas, consult the preference of the pastoral communities over payment modality or provide the kind of food transfer that is appropriate to the food habit of the pastoral communities.

Household food and consumption gap: Community consultation participants stressed frequently that the received transfer amount is not adequate to sustain their households for the whole month. The food and consumption gap is even more when the transfers are received in cash. Participants explained the trend in PSNP is that the wage rate reviews and compensation

adjustment for the eroded value of the wage rate is made annually. However, the inflation rate of Birr or the eroded value of the wage rate is increasing within a short-interval (in a month or week time) while the price of the grain significantly increases within the same time interval. Thus, food and consumption gap is another potential risk of increased household negative coping strategies and asset depletion. This risk shall be mitigated through two major remedial actions. Primarily, review and compensation adjustment for the eroded value of the cash wage rate should be made as per the high rate of inflation in short-time interval than being annually. The second major way is to increase the amount of the current food basket with 15 kg of grain and 4 kg of pulses.

Mismanagement or misuse of transfers: The finding of the ESAC shows cases of mismanagement or misuse of transfers when received by men: Spend the received cash or selling the grain for the use of alcohol drinking, cigarettes, *khat* chewing or unintended purposes. Two ensuing risks are envisaged here for the mitigation measures in PSNP5. The problem may aggravate the household food consumption gap in general and nutrition problem for children in particular. Besides, mismanagement or misuse of transfers may lead to disagreements and conflicts between husband and wife. To avoid potential risks associating with mismanagement or misuse of transfers when received by men, the implementation of the PSNP5 needs to devise a system of payment whereby wife than husband collects transfers. Such system may include changing the PSNP client card in the name of a wife. Likewise, promote e-payment system whereby cash transfer is directly deposited to the saving account of a wife instead of husband.

Output 2: Public Works respond to community livelihoods needs and contribute to disaster risk reduction, climate change adaptation and mitigation

In line with this output, the findings of the ESAC for the PSNP5 identified the following potential negative social impacts that are worth for mitigation measures.

Lack of participatory planning in PWs: Community consultation found, mostly, the active participation of the clients is not ensured in the planning of PWs. This has potential negative social impacts for the PW clients. Thus, the timing of PWs is not harmonious with the beneficiaries' annual farming/pastoral calendar risking the quality of PW activities and consuming beneficiaries' time of farming/pastoral activities. To avoid the mismatch between the implementation of PW activities and beneficiaries' annual farming/pastoral calendar it is essential that PSNP5 ensure the active participation of the beneficiary households to prioritizing PW activities and deciding on convenient timing of PWs. Besides, it should consider the specific contexts of household livelihood in the highland and lowland areas.

Workload for women participating in PWs: For the special reasons already discussed in the finding section, participation in PWs has additional workload on women leaving them with little time to engage in other regular livelihoods and domestic activities. The critical workload due to participating in PWs can be lessening by putting different mitigation measures in place: ensure effective participation of women in the planning process of PWs to properly reflect and prioritize their special needs of labour engagement; consider reduction of the working hour, number of days or share of the household labor; and assign women to light works to reduce the physical exhaustion of labour-work.

Health and safety risks: ESAC found that in some PSNP woredas women participate in PWs until several months of the pregnancy. In such PSNP woredas, it was found out that the prevailing cultural norms showed that women do not tell anyone about their pregnancy or visit health center for pregnancy test to exempt from participation in PWs. This may expose pregnant women and the fetus to serious health and safety problems. For pregnant women participate in PWs awareness rising on the health benefits to begin early ante-natal follow-up for exception from PWs participation should be given.

Children safety and nutrition risks: Community consultation revealed some women have no adult person at home to look after the kids while they are engaged in PW. Thus, they take children to PW sites and do the works caring kids on their back. This may have safety and nutrition risks for the children. To mitigate the risk, establish daycare centers for those women take children to PW sites and do the works caring kids on their back.

Output 3: Tailored livelihood options accessed by eligible PSNP clients

In line with output 3, the findings of the ESAC for the PSNP5 identified the following potential negative social impacts and appropriate mitigation measures are stated accordingly.

Livelihood support is not launched in pastoral areas: The PSNP livelihood support sub-component has not been commenced yet in Afar and Somali regions. Community consultations and key informant interviews in these two regions found out numerous complaints related to the differential opportunity in the livelihood targeting. Therefore, PSNP5 should launch the livelihood support sub-component in Afar and Somali regions.

Livelihood targeting is unfair for vulnerable groups: In those regions where the livelihood sub-component has been implanted for years, targeting for livelihood support is unfair for women in male-headed households. Because, community consultation participants expressed, the prevailing socio-cultural norms expect men are the “bread-winners” and women are “home-makers.” Hence, targeting for livelihood is exclusive to men. Men exclusively received the technical and financial supports provided by the program too. Likewise, targeting for livelihood support is unfair or excludes FHHs, polygamous households, elderly-headed households, disabled/persons affected by chronic diseases and unemployed rural youth. The detail reasons are discussed in the finding section. To address this negative social impact, the ESAC recommends the following mitigation measures: for male-headed households, prioritize women for the targeting of livelihood support; for polygamous household, consider the chance of targeting for livelihood support per co-wives and this needs re-considering the previous PSNP targeting criterion; re-consider previous PSNPs targeting criterion for the inclusion of vulnerable groups such as landless unemployed rural youth and new residents to woredas; and affirmative action (e.g. assign quota system) to fairly target for elderly-headed households and disabled/persons affected by chronic diseases.

Constraints related to financial supports: Community consultation participants discussed several constraints related to financial supports: inadequacy of livelihood grant, mismatch between demand and supply of micro-credit, pre-conditions put for loan, and absence of cultural appropriate credit service. Thus, facilitate cultural appropriate credit service, increase the amount of the livelihood grant and expand the access of micro-credit service as the mitigation measures.

Output 4: Linkages to available social services facilitated for core PSNP clients with emphasis on PDS and TDS

ESAC found that access to basic adult education, Community Based Health Insurance (CBHI) and legal services to PDS and TDS are basically limited in all PSNP woredas. Hence, PSNP5 should pay special attention to link the needs of PDS and TDS clients to basic adult education, Community based Health Insurance and legal services.

Component 2: Shock-responsive Safety Net

In relation to shock-responsive safety net, the findings of the ESAC for the PSNP5 identified the following potential negative social impacts that are worth for mitigation measures.

Poor capacity of monitoring and predication of sources of shock: Manual and poor quality based early warning data management system make poor capacity of monitoring and prediction of short- and long-term sources of shock. That makes the proactive interventions so difficult to avoid, reduce or properly mitigate the impacts of shocks on people, economy and environment. The finding of the ESAC for PSNP5 recommends the automation of the collection, management and access of early warning data to enhance the existing poor capacity of monitoring and prediction of short- and long-term sources of shock. In addition, providing adequate training for early warning staffs at all levels on the automation system is necessary for enhancing the capacity of monitoring and prediction of shocks.

Poor system of needs projection: Ineffective system of cash and food needs projection owing to manual and poor quality based early warning data collection and management system making drought response plan and disaster risk financing plan so difficult. The same mitigation measures stated just before are proposed to enhance the system of needs projection.

Lack of system of disseminating early warning messages: The existing early warning system lack effective and easily accessible *means* of delivering warning messages to alert the potentially affected communities and among the key stakeholders for pro-active measures. Therefore, it is highly important for PSNP5 strengthening the existing early warning system for effective and easily accessible means of delivering warning messages to alert the potentially affected communities and initiate the key stakeholders for pro-active measures to avoid, reduce or properly mitigate the impacts. Establishing community radios in PSNP woredas and using SMS can be among the means of strengthening the system.

Poor shock-delivery system: The current shock-delivery system is ineffective for several reasons. First, the core PSNP and Humanitarian Food Assistance (HFA) are delivered independently leading to overlapping in the targeting of clients for PSNP and HFA, differing transfer value between PSNP and HFA, and parallel institutional arrangements. Second, the existing shock-delivery system has no standard operating rules and procedures that define the system's scales-up, how it will scale-up, to which groups of population, for how long and how much assistance shall be received. That result in the delay of the HFA exacerbating the impacts of shock. The shock impacts are even more severe for vulnerable groups such as children, pregnant and lactating women, elderly, people with disabilities/persons affected by chronic diseases and people living with HIV/AIDs. The existing poor shock-delivery system urges the

upcoming PSNP5 to undertake appropriate mitigation measures. First, change the current multiple delivery mechanisms to a single delivery system, which combines Humanitarian Food Assistance and the core PSNP. Second, develop standard rules and procedures that define the system's scales-up, how it will scale-up, to which groups of population, for how long and how much assistance shall be received. Third, develop system for effective shock response plan and disaster risk financial plan.

Component 3: Program Management Support

High turnover of experienced staff particularly at the woreda and kebele level due to lack of salary increments, lack of incentives and large pay gap between PSNP and similar channel 2 projects seriously impede to effectively implement the program. To mitigate the problem, restructuring the salary and incentive payment system is highly recommended. Allocating enough capital, admin and CD budget is also helpful mitigation measure.

Staffs' knowledge and skill gaps from federal to kebele level on gender and nutrition sensitive PSNP provisions, TDS and PDS risk the equal benefits of women, children, TDS and PDS clients by properly implementing the program. Therefore, short-term training and update on PSNP provisions regarding the previously mentioned issues is highly important to mitigate the problem.

Lack of coordination and cooperation among implementing stakeholders was seen as a serious problem hindering the effective performance of the program. Hence, the upcoming PSNP5 should mitigate the problem by undertaking the following measures. First, strengthening the GO-NGO forum and providing space in the JRIS agenda to share key learning and experience. Second, government has to establish a strong and functional platform where the implementing partners, decision makers and all stakeholders can seat together and review the program and made a programmatic level change. Third, a strong linkage between the higher level program staff and the front line implementers has to be improved so that everybody can be on the same page, update each other on programmatic level changes and timely resolve challenges that the front line staff (including NGO's) facing in a timely manner. Finally, there should be additional MoU between PSNP IAs and GO, NGOs and other office on coordination and cooperation to make it legally signed and to increase accountability to PSNP implementation.

5.3. Social Development Plan: Potential Social Risks/Impacts, Mitigation Measures, Responsible Body and Budget

The social development plan will make certain that the interventions of the PSNP5 and its implementing agencies at various levels will respect and meet ESS1, ESS7 and ESS10 of the World Bank ESF requirements and ensure that people should benefit from the interventions of the PSNP5 in a sustainable manner. The plan could be restructured during implementation and further consultations will be undertaken for the historically underserved regions and vulnerable groups to ensure their full participation and equal benefits from the interventions of the PSNP5. The matrix in the following table summarizes potential social risks, impacts and challenges, along with their mitigation measures, responsible bodies and budget of the project.

Component	Output	Potential Social Risks, Impacts and challenges	Mitigation Measures	Responsible Body	Budget	Timeline
Component 1: Productive Safety Net	Output 1: Timely, predictable, appropriate and adequate transfers	<ul style="list-style-type: none"> Lack of proportional representation and active involvement of women in kebele FSTF and KAC cause exclusion error for women. Members of FSTF and KAC lack adequate awareness and technical skills on community-based selection process that may have the risk of exclusion error for vulnerable groups . Nepotism, favoritism, corruption and abuses of power by some members of the kebele FSTF, DAs and kebele administrators are factors for exclusion and inclusion 	<ul style="list-style-type: none"> Ensure at least 30% of women members in FSTF and KAC. Provide annual awareness raising and technical-based training for FSTF and KAC on gender sensitive PSNP provisions to express the interest of women for fair inclusion during targeting process and throughout the implementation period of the PSNP as well as to enhance their capacity for effective targeting and mechanisms of handling complaints. Woreda FSTF and administrators should make quarterly follow-up measures on those members of the FSTF, DAs and kebele administrators engaged in acts of nepotism, 	MoA FSCD, NDRMC and their Regional and Woreda counterparts	1,015.000 \$	Short and Medium terms

Annex 19: Enhanced Social Assessment and Consultation (ESAC) Phase I & II

Component	Output	Potential Social Risks, Impacts and challenges	Mitigation Measures	Responsible Body	Budget	Timeline
		<p>errors.</p> <ul style="list-style-type: none"> While they play many positive roles, informal and traditional leaders are not always objective for the fair targeting of vulnerable groups. Delays in transfers leading to increased risk of household asset depletion and other negative coping strategies. The location of payment and food distribution centers is not accessible for FHHs, elders, people with disability/persons affected by chronic diseases, labour-poor households and people living 	<p>favoritism, abuse of power and corruption.</p> <ul style="list-style-type: none"> Provide annual awareness raising trainings for informal and traditional leaders before the commencement of targeting/recertification for PSNP5 to strengthen their positive role in the targeting, recertification and exit process. Woreda FSTF should check the decision of the informal and traditional leaders and correct the exclusion and inclusion errors accordingly during the re-targeting, recertification and exit periods. On time commodity movement from federal to region and from region to PSNP woredas, avoid delay in budget release from federal to region and from region to PSNP woredas and promote e-payment. Make the payment and food distribution center accessible to all by constructing a new center (as part of PW) at relatively short distance. Strengthen & scale-up e- 			

Annex 19: Enhanced Social Assessment and Consultation (ESAC) Phase I & II

Component	Output	Potential Social Risks, Impacts and challenges	Mitigation Measures	Responsible Body	Budget	Timeline
		<p>with HIV/AIDS</p> <ul style="list-style-type: none"> The type of food transfer may not always appropriate to the food habit of the pastoral communities. Household consumption gap due to high inflation rate/the eroded value of the cash transfer combined with the inadequacy of transfer may increase risk of negative coping strategies and asset depletion. Potential risk of mismanagement or misuse of transfer when received by men and, thus, potential risk on household food security and ensuing disagreements and conflicts between husband and wife. 	<p>payment system for cash transfer.</p> <ul style="list-style-type: none"> Consult the preference of the pastoral communities over payment modality or provide the kind of food transfer that is appropriate to the food habit of the pastoral clients. Review and adjust the compensation for the eroded value of the cash wage rate should be made as per the high rate of inflation annually. Ensure joint-client card ownership by wife and husband for equal access of program resources or transfers Promote awareness creation among the PSNP clients on the importance of women ownership over program transfers and household resources 			
	Output 2: Public Works respond to community livelihoods needs and contribute to disaster risk reduction, climate change adaptation and mitigation.	<ul style="list-style-type: none"> In many PSNP kebeles the active participation of the clients is not ensured in the planning of PWs. 	<ul style="list-style-type: none"> Ensure the active participation of the beneficiary households in the Kebele PSNP PW watershed planning committee to prioritize PW activities and deciding on convenient timing of PWs. during annual PSNP PW planning and verified during annual PW review 	MoA FSCD, MOLSA and MoH and their Regional and Woreda counterparts	843,000 \$	Short and Medium terms

Annex 19: Enhanced Social Assessment and Consultation (ESAC) Phase I & II

Component	Output	Potential Social Risks, Impacts and challenges	Mitigation Measures	Responsible Body	Budget	Timeline
		<ul style="list-style-type: none"> Participation in PWs has additional workload on women, leaving them with little time to engage in other regular livelihoods and domestic activities The timing of PWs is not harmonious with the beneficiaries' annual farming/pastoral calendar risking the quality of PW activities and consuming beneficiaries' time of farming/pastoral activities. Health and Safety risks associated with participation of pregnant women in PWs in some woredas. Children safety and nutrition risks for those women who left the kinds 	<ul style="list-style-type: none"> Ensure effective participation of women in the planning process of PWs to properly reflect and prioritize their special needs of labour engagement; Consider reduction of the working load and hours, share of the household labor for female-headed and women in male-headed households having no adult member at home for support; and assign women to light works to reduce the physical exhaustion of labour-work. The timing of the PWs should be decided in consultation with the beneficiary households during the planning process. Besides, it should consider the specific contexts of household livelihood in the highland and lowland areas. Awareness raising for pregnant women to begin early ante-natal follow-up for exemption from PWs participation during SBCC sessions. Construct daycare centers as part of PWs and facilitate with the 			

Annex 19: Enhanced Social Assessment and Consultation (ESAC) Phase I & II

Component	Output	Potential Social Risks, Impacts and challenges	Mitigation Measures	Responsible Body	Budget	Timeline
		<p>behind without having no adult person at home for proper care or taking kids to do PW activities by caring on their back.</p> <ul style="list-style-type: none"> Health and safety as well as equity issues arising from disruption of downstream water users and the use of agro-chemicals and pesticides by upperstream households 	<p>necessary equipment in pilot woredas.</p> <ul style="list-style-type: none"> Create mutual understanding among up and down stream users of irrigation water users annually and set functioning water users group to address health, safety and equity issues raised from irrigation water usage 			
	Output 3: Tailored livelihood options accessed by eligible PSNP clients	<ul style="list-style-type: none"> The PSNP livelihood support component has not been commenced yet in Afar and Somali regions. In some regions where the livelihood component has been implemented for years, women in male-headed and polygamous households are not targeted. There are serious complaints related to the unfair targeting of livelihood support for the disadvantaged and vulnerable groups. Absence of Muslim friendly 	<ul style="list-style-type: none"> Launch the livelihood support component of the PSNP in Afar and Somali regions as per the plan in design document For male-headed households, encourage women for the targeting of livelihood support. For polygamous household, consider the chance of targeting for livelihood support per co-wives. Re-consider previous PSNPs targeting criterion for the inclusion of vulnerable groups such as landless unemployed rural youth and new residents to woredas. Provide affirmative action to fairly target for elderly-headed households and disabled/persons affected by chronic diseases as deemed necessary 	MoA FSCD with Regional and Woreda Food Security	1,790,000 \$	Short and Medium terms

Annex 19: Enhanced Social Assessment and Consultation (ESAC) Phase I & II

Component	Output	Potential Social Risks, Impacts and challenges	Mitigation Measures	Responsible Body	Budget	Timeline
		<p>credit service.</p> <ul style="list-style-type: none"> The livelihood grant is not adequate to boost the livelihood pathway currently engaged in or to expand future investments by the targeted clients. 	<ul style="list-style-type: none"> Facilitate the provision of Muslim friendly credit service. Increase the amount of the livelihood grant. 			
	Output 4: Linkages to available social services facilitated for core PSNP clients with emphasis on PDS and TDS	<p>Access to basic adult education, Community Based Health Insurance (CBHI) and legal services to PDS and TDS are limited in all PSNP woredas.</p>	<ul style="list-style-type: none"> Pay special attention to link the needs of TDS and PDS clients to locally available social services such as health and nutrition, education, Community based Health Insurance and legal services. Sign, implement and monitor a tripartite MoU between MoA, MoH and MOLSA, which clarifies roles and responsibilities and reporting mechanisms. 	MoA FSCD, MOLSA and MoH and their Regional and Woreda counterparts	100,000 \$	Short and Medium terms
Component 2: Shock-responsive Safety Net	Shock-responsive transfers received by eligible clients when needed	<ul style="list-style-type: none"> The existing early warning system lack effective and easily accessible <i>means</i> of delivering warning messages to alert the potentially affected communities and among the key stakeholders for pro-active measures. The core PSNP and Humanitarian Food Assistance (HFA) are delivered independently 	<ul style="list-style-type: none"> Strengthening the existing early warning system for effective and easily accessible means of delivering warning messages to alert the potentially affected communities and initiate the key stakeholders for pro-active measures to avoid, reduce or properly mitigate the impacts. Change the current multiple delivery mechanisms to a single delivery system, which combines Humanitarian Food Assistance and the core PSNP. 	MoA FSCD and NRMD-PWCU with Regional Food Security and NRM counterparts	250,000 \$	Short and Medium terms

Annex 19: Enhanced Social Assessment and Consultation (ESAC) Phase I & II

Component	Output	Potential Social Risks, Impacts and challenges	Mitigation Measures	Responsible Body	Budget	Timeline
		<p>leading to overlapping in the targeting of clients for PSNP and HFA, differing transfer value between PSNP and HFA, and parallel institutional arrangements.</p> <ul style="list-style-type: none"> • Delay of HFA due to shortage of reserved food in stock and delay associated with the commodity movement and manual registration of targeted clients make the impacts of hunger even more for vulnerable groups such as children, pregnant and lactating women, elderly, people with disabilities/persons affected by chronic diseases and people living with HIV/AIDs. 	<ul style="list-style-type: none"> • Develop an automation system of registration, and devising a strategy that make analysis over the special need of vulnerable groups for emergence assistance and respond to their needs accordingly. 			
Component 3: Program Management Support	PSNP management and capacity enhanced	<p>Targeting</p> <ul style="list-style-type: none"> • Inclusion and Exclusion errors • Exclusion of newcomers in Afar and Somali who may not belong to the extended family, lineage or even the clan which controls the territory • The gender provisions related to targeting of polygamous HHs is not properly implemented • There is limited project beneficiaries and staffs' understanding/capacity, implementation and 	<ul style="list-style-type: none"> • Introduce use of PMT for exiting • Strengthen downward and upward accountability of the project to ensure that people feel secure about their rights and entitlements (Social Accountability tools) • Create awareness among traditional authority structures and undertake information campaign to ensure that purpose and principles of PSNP5 are understood, including targeting procedures, etc • Design targeting structures 	MoA FSCD with regional and woreda Food Security, WCYAD of MoA and MOLSA	830,000 \$	Short and Medium terms

Annex 19: Enhanced Social Assessment and Consultation (ESAC) Phase I & II

Component	Output	Potential Social Risks, Impacts and challenges	Mitigation Measures	Responsible Body	Budget	Timeline
		<p>reporting on GBV</p> <ul style="list-style-type: none"> Some clients specifically old people that should be eligible to participate in DS are targeted for PW <p>GRM</p> <ul style="list-style-type: none"> Limited functionality, effectiveness and gender sensitiveness of Kebele Appeals Committees (KAC) <p>Exit from the program</p> <ul style="list-style-type: none"> People may graduate before they are ready <p>Capacity</p> <ul style="list-style-type: none"> Low capacity at woreda and kebele levels Lack of staff and staff turnover as a result of poor motivation and remuneration resulting in the aggravation of the problem related to project implementation Weaknesses in monitoring and evaluation 	<p>with careful consideration to the balance between formal and informal traditional authority structures</p> <ul style="list-style-type: none"> Implement and monitor the actions included in the GAP and GBV action plans related to targeting, GBV and GRM Conduct annual GRM review and include the recommendations of the review in the project annual plan and reporting Capacity development and awareness raising for KAC members and traditional leaders concerning the objectives of PSNP Coordinate with ESAP 3 to implement social accountability mechanisms, which creates the environment that enables beneficiaries to demand better responsiveness and accountability from implementers and managers. KACs should also receive adequate training on social accountability principles and the PIM in order to function effectively Design and implement evidence based project exit strategy Regular and focused 			

Annex 19: Enhanced Social Assessment and Consultation (ESAC) Phase I & II

Component	Output	Potential Social Risks, Impacts and challenges	Mitigation Measures	Responsible Body	Budget	Timeline
			<p>capacity building trainings for members of the various PSNP-related grassroots committees</p> <ul style="list-style-type: none"> • Carry out spot checks • Revise reporting templates to make space for reporting on challenges related to participation in PWs and Gender and Social Development PIM provisions 			

6. Monitoring and Reporting

The Social Development Plan will be reviewed bi-annually by the Social Development Team based in FSCD in collaboration with the multisectoral GSD team which will be comprised from MOLSA, FSCD, MOA-Women Affairs Directorate (WAD), and NRM. The SD taskforce¹⁰⁰ will provide support in the processes. Further to this, key social-related indicators are selected to be regularly monitored. Furthermore, the overall implementation of the Social Development Plan, GBV action plan, Gender and Social Development Provisions, Stakeholders Engagement plan, Voluntary Land /Asset Donation procedure will be monitored. Please see the following table for details on indicators.

Table 1: Proposed Indicators for the Six Months Social Management Report

No	Indicator	Source	Responsible for Collection
Grievance Redress Mechanism			
1	Number of Monitoring and Evaluation (M&E) carried out by Woreda Council on the KAC	Woreda Council	FSCD
2	Number of grievances logged by <ul style="list-style-type: none"> Type Sex of grievant Resolution status Implementation 	MIS	FSCD
3	Number of grievances escalated from KAC by <ul style="list-style-type: none"> Type Sex of grievant Resolution status Implementation 	Woreda Council	FSCD
Voluntary Land/Asset Donation (VLAD)			
4	Number of HHs that provided VLAD by <ul style="list-style-type: none"> region and subproject type 	Project report and Review	MoA, FSCD
Gender Based Violence			
5	Number of GBV reported cases by <ul style="list-style-type: none"> Type Status of actions taken Referral to appropriate response services 	Project Report and Review	MoA, MoLSA
Child Labor			
6	Number of child labor incidence	Spot Check	MoLSA
Gender and Social Development (GSD)			
7	Number of pregnant women transition to Temporary Direct Support (TDS) disaggregated by at or before 4 months, and beyond 4 months of pregnancy	Project report and Review	MoA
8	Number of labour constrained FHHs received PW labour support	Project report	
Stakeholder Engagement Plan			
9	Number of public consultations held by woredas on beneficiary entitlements (annually)	FSCD	FSCD
10	Number of communications materials on beneficiary rights developed and disseminated to beneficiaries	FSCD	FSCD

¹⁰⁰ The Program SD Taskforce comprised from both government and development partners; chaired by FSCD

No	Indicator	Source	Responsible for Collection
11	Number of press materials published/broadcasted in the local, regional, and national media	FSCD	FSCD
Labour Management Procedure (LMP)			
12	Percentage of community watersheds that are aware of LMP	Woreda Agricultural and Natural Resource Office	MoLSA
13	Percentage of PW participants who are not below the age 18 and above 60	Kebele Administration/KFSTF	MoLSA
14	Percentage of watersheds sites with temporary or permanent childcare centers	Kebele Cabinet/KFSTF	MoLSA

7. Conclusion and Recommendation

The outcomes of the 2014 and 2017 ESACs as well as the recent gender analysis and GBV assessment exercise in 2020 documented the project's strong acceptance by the community, both clients and non clients. Community consultations in the reviewed documents found appreciation for PSNP by the most vulnerable and historically underserved groups in all reviewed woredas.

Community level of understanding of the project key outputs and elements including the newly introduced innovations has showed some improvements over the years. This has resulted improved participation of wider ranges of community members over the years in the planning and implementation of PSNP with some regional and type of community variation. This does not mean however there is no awareness and participation gap. The project needs to strengthen its previous efforts regarding awareness raising activities both in terms of regularity, quality, reach and contextualization.

Positive contribution of the projectsuch as; reduction of hunger risk, and use of risky coping mechanism during emergency situation; facilitation of stronger community ties due to joint participation in PWs; improved social acceptance and trust of vulnerable community members who used to be socially excluded from participation in traditional institutions such as *iddir* and *equb* due to their relatively low economic status; restoration of trust of fellow residentswhich gave them access to informal sources of credit such as for the care and medication of sick family members; improved community participation, acceptance and self-confidence by women, and better saving culture are reported during the community consultation of the ESACs.

On the other hand, the consultation documented key gaps and areas of improvement and interventions from PSNP5 side. While the details are included in the SD plan, the summary of these issues are the following; (i) limited access to Muslim friendly financial services; (ii) PW plans may not necessarily prioritize projects identified by women or alleviate their work burden; (iii) possible negative impacts on children of parents working on PWs in the limited access to child care services; (iv) remote nature of pastoralist communities and limited access to social services; (v) resentment among PSNP clients caused by differing transfer value between PSNP and humanitarian food assistance (HFA);(vi) health, safety and child labor on PW construction sites; (vii) limited awareness and access to GBV prevention and response services; (viii) exclusion of new comers in Afar and Somali who may not belong to the extended family, lineage or even the clan which controls the territory; (x) ineffectiveness of

the program GRM system; (xi) increased unmet demand in pastoral areas for livelihoods support services.

The outcome of the consultation is integrated in the different part of the PSNP5 design and implementation guidelines so that equality and fairness in accessing benefits of the project will be ensured as per the project key principles; and unintended negative impact is prevented, minimized and addressed as much as possible. These include but not limited to i) using Proxy Means Testing as a means of strengthening project exit ii) annual GRM review and integrating the recommendation of the review in annual project plan to improve the functionality and impartiality of the kebele appeal committees and its linkage to the wider government grievance system; iii) consider the engagement of poor and landless qualified youth as community facilitators; iv) assessed potential project implementation related GBV/SEA risks and developed action plan to respond to the identified risks; v) key GSD provisions such as participation of women in PW planning process as well as reducing women's burden, are revised; vi) pilot and gradual expansion of early childhood services; vii) extension of lactating women's PW exemption to 24 months; viii) the necessary measures are considered to implement scalable safety net; ix) expanded role of MoLSA structures at all level to support the project to ensure linkage to social services including GBV responses and child labour; x) livelihood strengthening output will be implemented in selected woredas of pastoral areas as well as committed to work with financial service providers to avail Muslim-friendly financial services.

The formal collaboration which was established between the PSNP and ESAP2 in the form of a pilot covering initially four and then nineteen overlapping woredas has been transformed to PSNP being considered as one of the few key sectors in ESAP 3 design. Similarly, the number of PSNP woredas which will be covered by the Social Accountability initiative is increased to 119. This expansion will support PSNP5's effort to consider the voice and concern of its clients in general and the most vulnerable sections in particular in improving the quality and reach of its implementation. The collaboration will also contribute to improve PSNP clients' access to different social services. In addition, Community Health, Safety guideline, Voluntary Land/Asset Donation procedure and GBV action plan have been incorporated in the PSNP5 ESMF.

The findings of the two rounds of the annual GRM review of PSNP 4 coupled with the review and analysis from the above-mentioned studies and the program GRM manual informed the actions included in PSNP5 Social Accountability and Grievance Redress Mechanism guideline to strengthen the system. Some of these considerations are (i) strengthening independence and composition of PSNP KAC with active women participation and influential community leaders; (ii) provide regular capacity building support, ensure structural accountability for operation of KACs; (iii) strengthening the link to the Government's core grievance redress systems available (Ethiopian Institution of Ombudsman, the Regional and Woreda Grievance Hearing Offices, the ESAP); (iv) Update existing GRM manual and clearly defining the decision-making responsibilities of different bodies involved in administering the grievance mechanism; (v) provide training on PSNP GRM and the processes to the KAC, KC and WC; (vi) Revise the annual plan and reporting formats to capture the GRM process in the feedback loop of the project.

PSNP5 will continue to create an enabling environment in which citizens have equitable access to social protection services. It will build on and deepen community based initiatives on service delivery by targeting and protecting the most vulnerable households from further

loss of livelihoods, preventing deterioration in assets and promoting households' livelihoods strengthening activities and will engage different community groups, particularly the underserved and vulnerable to ensure that project funds will be shared in a culturally appropriate and socially inclusive manner among different groups within communities. A detailed Environmental and Social Management Framework (ESMF) describing voluntary asset donation/loss procedure has been developed to ensure that appropriate measures are in place to address related issues including potential land acquisition and or restriction of access to communal natural resources, such as land, pasture, water, public services, or crops, fruit trees, or household infrastructure such as toilets or kitchen under the Project. Due to the limited management capacity at kebele level, and the large scale of the PW project, subprojects involving involuntary loss of assets in any form, or any form of resettlement, will be prohibited under the PSNP5, and will be eliminated at ESMF Screening stage. Similarly, the labour management procedure and related Gender and social development provisions are placed to address related social risks.

Annex 1: Sample Lists of Community and Stakeholders Consultations

Amhara Region

ENHANCED SOCIAL ASSESSMENT AND CONSULTATION PHASE TWO PRODUCTIVE SAFETY NET PROGRAM (PSNP) V IN ETHIOPIA, COMMUNITY CONSULTATION ATTENDANCE SHEET

Date: _____

Region: Amhara

Woreda: Ebinat

Kebele: Akuha

No.	Name	Age	Sex	Signature
1	Desalegn Lakew	25	F	
2	Simeon Geraw	35	F	
3	Workebe Adanu	50	M	
4	Tesfaw Ambachew	34	M	
5	Tekleba Mengestie	60	M	
6	Wodaj Sisay	25	M	
7	Etenat Sendeku	67	F	
8	Humaye Beza	70	F	
9	Yerbaalem Shumet	70	F	
10	Destaw Kebede	70	M	
11	Abebe Makenen	40	M	
12	Tafire Getaneh	40	M	

ENHANCED SOCIAL ASSESSMENT AND CONSULTATION PHASE TWO PRODUCTIVE SAFETY NET PROGRAM (PSNP) V IN ETHIOPIA, STAKEHOLDERS (FEDERAL, REGIONAL, WOREDA AND KEBELE LEVELS) ATTENDANCE SHEET

Date: _____

Region: Amhara

Woreda: Ebinat

Kebele: _____

No.	Name	Position	Sex	Signature
1	Kindu Sewalem	Cooperative Expert	M	
2	Bewket Kindu	Livelihood Expert	M	
3	Netsere Mekete	Food Security process owner	M	
4	Mekuriyaw Yalem	Livestock process owner	M	
5	Mosef Tsefaye	PSNP Coordinator	M	
6	Melesse Engidaw	Agriculture office head	F	
7	Getahun Asmanaw	Natural resource process owner	M	
8	Yezena Ejisu	Extension process owner	F	
9	Destaye Kertalem	Early warning process owner	M	
10	Betha Asmare	PSNP Natural Resource expert (OTV-gam)	F	
11	Akililo Kebede	Job creation entrepreneur	M	

Annex 19: Enhanced Social Assessment and Consultation (ESAC) Phase I & II

ENHANCED SOCIAL ASSESSMENT AND CONSULTATION PHASE TWO PRODUCTIVE SAFETY NET PROGRAM (PSNP) V IN ETHIOPIA, STAKEHOLDERS (FEDERAL, REGIONAL, WOREDA AND KEBELE LEVELS) ATTENDANCE SHEET

Date: _____

Region: Amhara

Woreda: _____

Kebela: Kezema 1444

No.	Name	Position	Sex	Signature	
1	Tadesse Beyene	M&E officer	M		Livelihood DRM Public works Food security labour & social aspect Logistic
2	Moges Ambaw	RM officer	M		
3	Simachew Biresaw	CSD PW	M		
4	Workebe Kebede	PSNP officer	M		
5	Habtewariam Alem	PSNP officer	M		
6	Endalew Gaiwon	EW expert	M		
7	Sisay Alemu	FMIP Expert	M		

Oromia Region

ENHANCED SOCIAL ASSESSMENT AND CONSULTATION PHASE TWO PRODUCTIVE SAFETY NET PROGRAM (PSNP) V IN ETHIOPIA, COMMUNITY CONSULTATION ATTENDANCE SHEET

Date: Oct 1/2020

Region: Oromia

Woreda: Boset

Kebela: Kumbe Gussa

No.	Name	Age	Sex	Signature
1	Abe Boricha	38	M	
2	Ebissa Balcha	38	"	
3	Ebissa Dabi	36	"	
4	Woldie Lemma	35	"	
5	Ababo Bedada	40	F	
6	Babisa Gemedo	38	M	
7	Balcha Wajji	55	"	
8	Sultan Abegho	37	"	
9	Betola Dogaga	66	"	
10	Desta Tambo	42	F	
1	Abera Kezela	38	M	
2	Lamie Dumbi	45	M	
3	Sisay Aman	65	"	
	Woto Tuu	50	"	
	Samado Aliyi	30	"	
	Eganem Qixuu	25	F	
	Ite Ayela	30	F	

Annex 19: Enhanced Social Assessment and Consultation (ESAC) Phase I & II

ENHANCED SOCIAL ASSESSMENT AND CONSULTATION PHASE TWO PRODUCTIVE SAFETY NET PROGRAM (PSNP) V IN ETHIOPIA, STAKEHOLDERS (FEDERAL, REGIONAL, WOREDA AND KEBELE LEVELS) ATTENDANCE SHEET

Date: October 06, 2020

Region: Oromia

Woreda: —

Kebele: —

No.	Name	Position	Sex	Signature
1	Guatemala Takar	Z. SMZ	M	
2	Tefera Jiru	MDE	M	
3	Getachew Legesse	PSNP - GSD EXP	M	
4	Tyffima Guta	Nutrition TA	M	
5	Abdulah Ahmed	PSNP-PDS coord	M	
6	Solomon Begne	Food Security Director	M	
7	Birhanu Fekadu	LICU coordinator	M	
8	Meseret Alemu	SWD expert	M	
9	Algan Abebe	RLC.D.S (FASC)	M	

Afar Region

ENHANCED SOCIAL ASSESSMENT AND CONSULTATION PHASE TWO PRODUCTIVE SAFETY NET PROGRAM (PSNP) V IN ETHIOPIA, COMMUNITY CONSULTATION ATTENDANCE SHEET

Date: 02/10/20

Region: Afar

Woreda: Mine

Kebele: Mine

No.	Name	Age	Sex	Signature
1	Mohammeda Bilek	27	F	
2	Hantale Laanta	67	M	
3	Hussein Assefa	56	M	
4	Ebrahim Ahmed	44	M	
5	Kadir Kamil	52	M	
6	Mohammeda Ali	48	M	
7	Fatuma Ahmed	40	F	
8	Assefa Wabir	62	M	
9	MID Ali	65	M	
10	Ahmed Ali	55	M	
11	Redina Ossa	42	F	

ENHANCED SOCIAL ASSESSMENT AND CONSULTATION PHASE TWO PRODUCTIVE SAFETY NET PROGRAM (PSNP) V IN ETHIOPIA, COMMUNITY CONSULTATION ATTENDANCE SHEET

Date: 02/10/20

Region: Afar

Woreda: Elidar

Kebele: Elidar

No.	Name	Age	Sex	Signature
1	Dawud Abdela		M	
2	Mohammed Ali			
3	Mur Ahmed			
4	Fatuma Mohammed		F	
5	Uthman Mohammed			
6	Entes Said			
7	Mohamed Ahmed			
8	Mohamed Abdalla			
9	Mohamed Abdalla			
10	Ishtu Kadir			
11	Hoda Gado			
12	Mid Ahmed			
13	Ali Hummed			
14	Ali Hummed			

Annex 19: Enhanced Social Assessment and Consultation (ESAC) Phase I & II

PROGRAM (PSNP) V IN ETHIOPIA, (KII WITH Disadvantaged and Vulnerable Groups)
ATTENDANCE SHEET

Regional Stateholders Attendance Sheet

Date: 05/10/20
Region: Afar
Woreda:
Kebele:

No.	Name	Age	Sex	Signature	
1	YASO MASHANWED	31	M	[Signature]	DIR
2	M/lt Ebirghion	30	M	[Signature]	TASC
3	Kadun Abate		M	[Signature]	PW
4	Bogale Tassew	42	M	[Signature]	FSED
5	Fozia Ahmed	25	F	[Signature]	BOISA
					PW/G

SNNP Region

- SNNPR -
- COMMUNITY CONSULTATION -
- Gurmo Kōsha Kebele

ENHANCED SOCIAL ASSESSMENT AND CONSULTATION PHASE TWO PRODUCTIVE SAFETY NET PROGRAM (PSNP) V IN ETHIOPIA, COMMUNITY CONSULTATION ATTENDANCE SHEET

Date: 21/11/2013 to 1/10/2020 G.C
Region: SNNPR
Woreda: Boloso Sore
Kebele: Gurmo Kōsha

No.	Name	Age	Sex	Signature
1	M/lt Y. Y. Y.	38	M	[Signature]
2	A. B. A. B.	40	F	[Signature]
3	A. B. A. B.	50	F	[Signature]
4	A. B. A. B.	55	F	[Signature]
5	A. B. A. B.	30	F	[Signature]
6	A. B. A. B.	60	F	[Signature]
7	A. B. A. B.	55	F	[Signature]
8	A. B. A. B.	70	M	[Signature]
9	A. B. A. B.	40	M	[Signature]
10	A. B. A. B.	60	M	[Signature]
11	A. B. A. B.	25	F	[Signature]
12	A. B. A. B.	50	F	[Signature]
13	A. B. A. B.	70	F	[Signature]
14	A. B. A. B.	60	F	[Signature]
15	A. B. A. B.	75	F	[Signature]
16	A. B. A. B.	72	F	[Signature]
17	A. B. A. B.	71	F	[Signature]
18				

Annex 19: Enhanced Social Assessment and Consultation (ESAC) Phase I & II

Bolosso Sore Woreda Woreda Stakeholders Attendance

ENHANCED SOCIAL ASSESSMENT AND CONSULTATION PHASE TWO PRODUCTIVE SAFETY NET PROGRAM (PSNP) V IN ETHIOPIA, (KII WITH Disadvantaged and Vulnerable Groups)
ATTENDANCE SHEET

Date: 5/10/2020
Region: SNNPR
Woreda: Bolosso Sore
Kebele: _____

No.	Name	Age	Sex	Signature/Position	Signature
1	Fekere Fatta		M	FGD Secretary	
2	Tademes Nekoro		M	Wolisa	
3	Kastro Kallasa	48	M	FS	PSNP
4	Fekere Fatta		M		Health
5	Selamawit Yoseph		F	GSD (TA)	
6	Addisu Bajore	33	M	W/A/office	
7	Merkneh Kurucke		M	NRM	
8	AYELE TESTHOME	36	M	Public work Coordinator (CTA)	
9	Afewerk Mekonnen	31	M	DRM-EW/DRM	

Somali Region

ENHANCED SOCIAL ASSESSMENT AND CONSULTATION PHASE TWO PRODUCTIVE SAFETY NET PROGRAM (PSNP) V IN ETHIOPIA, STAKEHOLDERS (FEDERAL, REGIONAL, WOREDA AND KEBELE) ATTENDANCE SHEET

Date: 02/10/20
Region: Somali Region
Woreda: Gardula
Kebele: _____

No.	Name	Position	Sex	Signature
1	Amor Yusuf	DA	M	
2	Amor Hassan Ahmed	Chief/Chairman	M	
3	Abdi Mawad Hassan	Assistant Vice-Chair	M	
4	Mahamed Abdi Ismail	Public Work Coordinator	M	
5	Mahamed Abdi Ismail	Public Work Coordinator	M	
6	Abdi Mawad Hassan	Assistant Vice-Chair	M	
7	Abdi Mawad Hassan	Assistant Vice-Chair	M	
8	Abdi Mawad Hassan	Assistant Vice-Chair	M	
9	Abdi Mawad Hassan	Assistant Vice-Chair	M	
10	Abdi Mawad Hassan	Assistant Vice-Chair	M	
11	Abdi Mawad Hassan	Assistant Vice-Chair	M	
12	Abdi Mawad Hassan	Assistant Vice-Chair	M	
13	Abdi Mawad Hassan	Assistant Vice-Chair	M	
14	Abdi Mawad Hassan	Assistant Vice-Chair	M	
15	Abdi Mawad Hassan	Assistant Vice-Chair	M	
16	Abdi Mawad Hassan	Assistant Vice-Chair	M	
17	Abdi Mawad Hassan	Assistant Vice-Chair	M	
18	Abdi Mawad Hassan	Assistant Vice-Chair	M	

Annex 19: Enhanced Social Assessment and Consultation (ESAC) Phase I & II

Region: Somali
Woreda: Kebri baya
Kebele: _____

No.	Name	Position	Sex	Signature
1	Eng. Ahmed Nur muxumed Ali	Water m/x. biyaha	m	
2	Abdihakim Ismail	Health office	m	
3	Abdulkadir xawariyad	Agriculture	m	
4	Tahir Ahmed Aden	Cooperative	m	
5	Istahil Khadas muxumed	E P O L	F	
6	Kader Ahmed Ali	DRMB Head	m	
7	Ahmed Yusuf mohammed	education head off	m	
8	Nimco bade mohamed	Women. Children	F	
9	Yigbaad / Godi Ahmed	Financial and econ	F	
10	Eng. Ahmed Ali	chair head	m	

ENHANCED SOCIAL ASSESSMENT AND CONSULTATION PHASE TWO PRODUCTIVE SAFETY NET PROGRAM (PSNP) V IN ETHIOPIA, STAKEHOLDERS (FEDERAL, **REGIONAL**, WOREDA AND KEBELE LEVELS) ATTENDANCE SHEET

Date: _____
Region: Somali
Woreda: —
Kebele: —

No.	Name	Position	Sex	Signature
1	Badal Kenadiel	NRM-Director	m	
2	Abshayn mohamed	DRM early warning office	m	
3	Mohamed Hasan	Borsa, PSNP Coordinator	m	
4	Ahmednur Shant Fale	Faad. Sel. m	m	
5	Mohamed Abadi	BOFED PSNP Team	m	
6	Ahmed Abdi Dada	PSNP-coor	m	
7	Mohamed Ali Ali	TASK-R	m	
8	Khadas			

Annex 19: Enhanced Social Assessment and Consultation (ESAC) Phase I & II

Tigray Region

ENHANCED SOCIAL ASSESSMENT AND CONSULTATION PHASE TWO PRODUCTIVE SAFETY NET PROGRAM (PNSP) IN ETHIOPIA, COMMUNITY CONSULTATION ATTENDANCE SHEET

Date: _____

Region: Tigray

Woreda: Tigray (Gondar)

Kibbe: Avitac

No.	Name	Age	Sex	Signature
1	Abbe Eshu	31	F	[Signature]
2	Desta Haiman	40	F	[Signature]
3	Tarek Alher	52	F	[Signature]
4	Rebe Teku	33	F	[Signature]
5	Meer Ahmed	29	F	[Signature]

ENHANCED SOCIAL ASSESSMENT AND CONSULTATION PHASE TWO PRODUCTIVE SAFETY NET PROGRAM (PNSP) IN ETHIOPIA, COMMUNITY CONSULTATION ATTENDANCE SHEET

Date: 08.05.2020

Region: Tigray

Woreda: _____

Kibbe: _____

No.	Name	Age	Sex	Signature
1	Tsega Tsega	40	F	[Signature]
2	Wong Yawit	40	F	[Signature]
3	Abneto Adeto	40	M	[Signature]
4	Abneto Adeto	39	M	[Signature]
5	Abneto Adeto	43	M	[Signature]
6	Yitalem Gebre	35	M	[Signature]
7	Berhanu Negusie	51	M	[Signature]
8	Abneto Adeto	30	F	[Signature]
9	Abneto Adeto	29	M	[Signature]
10	Hafsa Begay	38	M	[Signature]
11	Habtu Lemso	58	M	[Signature]

Annex 2: Sample Lists of Photos during Community and Stakeholders Consultations

Afar Region



Annex 19: Enhanced Social Assessment and Consultation (ESAC) Phase I & II



Tigray Region



Oromia Region



Annex 3: Lists of Community and Stakeholders Consultation Participants

No.	Federal, Region and woredas	No. of Community Consultation Participants	No. of Implementing Stakeholders participants	Total
	Federal Level	-	8	8
1	Afar (Mille and Elidar)	26	19	45
2	Amhara (Ebinat)	26	18	44
3	Oromia (Boset)	18	9	27
4	SNNP	19	8	27
5	Somali (Gursum and Kebri beyah)	54	27	81
6	Tigray	21	16	37
7	Grand Total	164	105	269

Annex 4: Interview Guide Questions (1-3)**4.1: Interview Guide Questions for Community Consultation**

Social Issues	Detail Questions	Response
<i>Vulnerable or disadvantaged groups</i>	<p>What are the socio-cultural and economic factors that exclude, restrict, discriminate or disproportionately impact on the participation and benefits of the following groups from PSNP:</p> <ul style="list-style-type: none"> • Women in male-headed households • Female-headed households • Pregnant women and lactating mothers • Polygamous households • Pastoral households • Elderly headed households • Unemployed rural youth • Children • Ex-pastoral households • Disabled/persons affected by chronic diseases • People living with HIV/AIDS • Labour-poor households • New residents to Woredas 	
PSNP Topics	Detail Questions	Response
<i>Awareness</i>	<ol style="list-style-type: none"> 1. Are you aware of the objectives and components of PSNP/SEASN? 2. Did you participate and reflect your opinion in the planning and implementation of PSNP? If yes, how 3. Are there periodic awareness raising activities on overall aspects of PSNP? If yes , give examples 4. Are the people aware of the special provisions of PSNP for vulnerable groups? If yes, give examples 5. Do you have suggestion to strengthen the awareness and consultation mechanism for the program? 	
<i>Targeting</i>	<ol style="list-style-type: none"> 1. Do you know PSNP inclusion and exclusion criteria? [Probe: if yes, discuss the criteria] 2. Do you suggest for changes in the current inclusion and exclusion criteria of the PSNP? [Probe: if yes, explain the reason and suggested change] 3. How do you evaluate the fairness and transparency of the beneficiary selection process so far? [Probe on: is there targeting error, how can that be improved] 4. Is there Kebele Community Food Security Task Force (FSTF)? If exist, does it properly discharge its duties in selecting the right beneficiaries? Do also women participate as Keble FSTF?? 5. How do you see the role of traditional/informal authority structure such as clan leaders, elite capture, elders and religious/ritual leaders in ensuring the fairness and transparency of targeting process? 6. How can the targeting process be better suited to the needs of the most vulnerable groups in a community? 7. What do you recommend to improve the current selection process? 	
<i>Transfers</i>	<ol style="list-style-type: none"> 1. What payment modality would you prefer? [Probe: cash, food or a mix of the two] What is your reason? 2. Are you satisfied with the amount of transfer? 3. How do you evaluate the timeliness and predictability of transfer? [Probe: is the transfer regular? is the transfer schedule suite to the household farming/pastoral activities? is transfer location suitable and safe?] 4. What suggestions do you have for improvements in transfers? [Probe on: payment modality, timeliness, predictability, payment location, payment schedule]. <p>What are the social benefits and risks in line with transfers? For</p>	

Annex 19: Enhanced Social Assessment and Consultation (ESAC) Phase I & II

	PDS,TDS and Public Work clients	
Public works	<ol style="list-style-type: none"> 1. Do you participate in public work planning process? [Probe: decision on the kind of productive/development works, workload, convenient timing . . . etc] 2. How do you explain the impact of workload on household farming/pastoral activity? [Probe: how does your participation in PWs affect your time for farming/pastoral activities, your time for domestic chores, care for children etc] 3. How do you see the convenience of timing of public works with season of regular farming activities? 4. Which member of the household participates in public work? [Probe: if pregnant women, lactating women, children, elderly, person with disability participate in public works] 5. Have you ever experienced physical injury or other health problems while engaging in public works? If yes , what measures were taken after that, what should be done in case of injury/fatality 6. For pregnant women, what are the challenges faced in switching from PW to Direct Support? 7. Do you send children under 18 year to PWs? If yes, explain what forces you to do so? 8. Describe what impacts the participation in PWs has on the life of the working children? 9. Are you willing to donate your land if it is needed for community development/public work activity? 10. Have you come across cases where compensation for land or asset is provided in the context of public work? If yes, how is land or other asset compensation affected? 11. To whom do you notify or where do you submit if you have concerns or complaints related to public work? 12. What are the social benefits and risks/concerns in line with public work? What are the mitigation mechanism to address the risks and impacts? 	
Livelihood support/service	<ol style="list-style-type: none"> 1. Is there access to micro credit and saving services? 2. Do existing micro credit and saving services accessible? [Probe: culturally appropriate, equally accessible to vulnerable groups, etc] 3. Depending on the kinds of tailored livelihood options you were engaged in, describe what is the technical/skill trainings, financial and follow-up supports received? 4. Explain the impacts of the aforesaid livelihood support interventions? [Probe: how improving various knowledge and skills on livelihoods, contribute to household livelihood diversification, contribute to building household sustainable livelihoods, enhance household nutrition, etc] 5. What are the constraints/barriers in receiving livelihood support services? 	
Grievance redress	<ol style="list-style-type: none"> 1. What are the sources of grievance in line with PSNP Interventions? 2. Do you know where you can submit your appeals? What are the different ways in which you can submit your grievances? Has there been workers/public work related complaint, which compliant mechanism was used? 3. Grievance redress mechanism [Probe: up-take location, response time, disclosure] What are the strengthens ,what needs to be improved 	
Social conflict	<ol style="list-style-type: none"> 1. What impacts does the PSNP have on social conflicts? [Probe: for public works, targeting, transfers, etc] 2. Are there any known social conflicts arising among different groups in relation PSNP that may affect program implementation? 3. How can the PSNP ensure that it doesn't trigger social conflict? 	

Annex 19: Enhanced Social Assessment and Consultation (ESAC) Phase I & II

Local knowledge	<ol style="list-style-type: none"> 1. How do traditional institutions of land/resource/rangeland/water management contribute to the PSNP? How does the PSNP make use of such structures? 2. How does the PSNP utilize local knowledge resources related to traditional land use and conservation knowledge and practice? 3. Is customary law dominant in your area compared to formal law? 4. In what ways do traditional institutions/structures, social dynamics (e.g., clan, class, etc.) affect the PSNP [Probe for possible positive and negative impacts]? In what ways does the PSNP affect traditional institutions, structure, social dynamics, ways of life, etc. [Probe for possible positive and negative impacts]? 	
Program impacts (positive and negative)	<ol style="list-style-type: none"> 1. What are the main benefits and opportunities of the PSNP5 to the community (transfer, public work, livelihood, linkage to social service) 2. What are the main challenges and risks that may encounter in the process of implementing PSNP5? 3. What could be/are the mitigation measures to address risks and negative impacts? 	
Additional information	<p>How do you see the involvement of civil society organizations in the area?</p> <p>Are women actively engaged in program activities? How?</p> <p>Are vulnerable groups actively engaged? How, What needs to be improved or strengthened?</p> <p>You are cordially invited to suggest if there is any additional information</p>	

4.2: Interview Guide Questions for Stakeholders at Federal, Regional, Woreda and Kebele Levels

PSNP Topics	Detail Questions	Response
Awareness	<ol style="list-style-type: none"> 1. Are you adequately aware of the PSNP? [Probe: objectives and components]. 2. What institutional systems are there to periodically refresh the knowledge of the existing staffs? 	
Targeting	<ol style="list-style-type: none"> 1. What suggestion do you give to improve the existing inclusion and exclusion criteria? [Probe: reconsidering residence, livelihood and social changes] 2. Do the community participate in a fair and transparent ways in the targeting process? 3. Is there Kebele Community Food Security Task Force (KFSTF) in all PSNP Kebeles? If no, explain why? and what measures were taken to establish KFSTF or replace inactive members? If exist, how do you ensure whether each members of the FSTF properly discharge his/her duties in the targeting process? 4. What are the mechanisms to avoid or reduce the influence of the traditional authority structures such as clan leaders, elite capture, elders and religious/ritual leaders in the selection process? 5. How do you ensure that the needs and interests of the vulnerable groups are equally considered in the selection process? [for Food security, women, children and youth process owner in BoA/Office of Women, Children and Youth Affairs, Office of Labor and Social Affairs] 	
Transfer	<ol style="list-style-type: none"> 1. Do you have a means to regularly consult the clients on their preference of payment modality? If no why? If yes [Probe: what means was used? what views was obtained? what efforts have been made to consider their preference in the previous PSNPs? 2. What are the factors that hinder the proper timeliness, predictability, and 	

Annex 19: Enhanced Social Assessment and Consultation (ESAC) Phase I & II

PSNP Topics	Detail Questions	Response
	<p>schedule of transfer?</p> <p>3. To what extent the location/distance of the payment or food distribution centres considered the special needs of vulnerable groups such as elderly-headed households, people with disability, PLWHA and labor-poor households? [for food security, women affairs process in BoA/ Office of Women, Children and Youth Affairs, Office of Labor and Social Affairs]</p> <p>4. What are the major social benefits and risks of transfer for the different categories of clients? What are the proposed recommendations in line with concerns and risks</p>	
Public works (PWs)	<p>1. How do you evaluate the overall activities of PWs?</p> <p>2. What mechanisms are used to ensure effective community participation in the planning and implementation of PWs? [Probe on: decision on the kind of productive/development works, workload, convenient timing, etc]? How women are actively engaged in planning and implementation?</p> <p>3. What measures were taken to harmonize the implementation of PWs and the household labor needs and local labor seasons? [Probe on: the impact of workload on the time for regular farming/pastoral activities, women's time for domestic chores, compatibility of PWs with farming/pastoral seasons; harmonization between PWs and GoE's Mass Labour Mobilization Program]</p> <p>4. What health and safety measures are taken in implementing PWs? [Probe: gender-based violence and its management, exemption of pregnant and lactating women, prohibition of children's participation]. [for PW, FS, Women, Children and Youth Affairs process in BoA/BoWCYA, Office of Labor and Social Affairs, Ministry of Health]</p>	
Livelihood Support Services	<p>1. Do micro credit and saving services accessible at the grassroots level? [Probe: availability of micro credit and saving institutions, culturally appropriate services, equally accessible to vulnerable groups, etc]</p> <p>2. How do you assess the impacts of the livelihood support interventions? [Probe: how improving various knowledge and skills of the clients on livelihoods, contribute to household livelihood diversification, contribute to building household sustainable livelihoods, enhance household nutrition, etc]</p> <p>3. What are the constraints/barriers in providing livelihood support services?</p>	
Institutional Arrangements	<p>1. What is the current institutional arrangement to manage social issues under your institution?</p> <p>2. Are institutional arrangements effective?</p> <p>3. Is there effective coordination and cooperation among key implementers on social Management? What are the related recommendations?</p> <p>4. Is there effective coordination and cooperation among the various PSNP implementing GOs and NGOs? If no, explain why?</p> <p>5. What intervention measures do you suggest to improve the coordination and cooperation?</p>	
Capacity gaps	<p>1. What are the major institutional capacity gaps in the implementation of social management activities in the PSNP?</p> <ul style="list-style-type: none"> • Institutional (management and management information systems, etc) • Staffs (knowledge, skills, and turn-over, etc) • Financial and material supply <p>2. What specific measures do you suggest to address the capacity gaps?</p>	
Grievance Redress	<p>1. Describe what are the sources of grievance in implementing PSNP?</p> <p>2. What are the different ways in which beneficiaries can submit their grievances? What Appeal mechanism is used/best apply for public works/workers concerns?</p>	

Annex 19: Enhanced Social Assessment and Consultation (ESAC) Phase I & II

PSNP Topics	Detail Questions	Response
	<ol style="list-style-type: none"> 3. Is there Kebele Appeals Committee (KAC)? If exist, does it effectively handle the various grievances by community members? 4. Describe what are the processes of grievance redress? [Probe on: a log where grievances are registered in writing, the length of time users can expect to wait for response and resolution of their grievances, transparency about the grievance procedure, governing structure and decision makers]. 5. What are the strengths and improvement areas of the GRM? 	
Shock responsive safety net	<ol style="list-style-type: none"> 1. What are the recurring sources of shocks? 2. How do you assess the effectiveness of the existing early warning system? [Probe: key early warning indicators, the data sources, the quality of data for projection, accessibility/automation of data, and frequency of data updating/year] 3. What scientific procedure and data are used in estimating: (a) the number of people needing emergency assistance every year, (b) the volume of food needed/consumption gaps, (c) the duration of support required, (d) the months of support that is needed, and (e) develop annual shock response plan accordingly. 4. How do you assess the effectiveness of the existing shock-responsive delivery system? [Probe: identification, targeting, registration and food and cash transfer system]. 5. What mechanisms do you suggest to enable more rapid and effective responses to shocks? 6. How do you ensure the special needs of the disadvantaged and vulnerable groups in the needs estimation and delivery systems? 	
Challenges, impacts and opportunities	<ol style="list-style-type: none"> 1. What are the potential opportunities and challenges during PSNP5 implementation? 2. What are the potential (positive and negative) impacts of PSNP5? 3. What are the lessons learnt from the implementation of the previous phases of the PSNP? [Probe: targeting, transfers, public works, direct support, etc] 	
NGOs Operating in the Same Areas	<ol style="list-style-type: none"> 1. Are there NGOs operating on areas (natural resource management, emergency supports, livelihood support services, etc) that would complement PSNP components? 2. If there is any, how would this be the opportunity for the better implementation of PSNP5? 	
Additional Information	You are cordially invited to suggest if there is any additional information	

4.3: Interview Guide Questions for Disadvantaged and Vulnerable Groups

	Detail Questions	Response
For pregnant, lactating or women in general	<ol style="list-style-type: none"> 1. Explain the burden of PW workload on your domestic activities. 2. What are the health and safety risks experienced while participating in PWs? 3. Describe the impacts of your participation in PWs on the life of your kids? 4. Is there any gender-based violence encountered while travelling to and from PW sites? If there is any, describe in detail. 5. Who collects (you or your husband) the cash transfer? If husband, probe on: if there is a misuse or disagreement on how to use the cash? 6. Who attends (you or your husband) technical/awareness raising trainings on livelihoods (such as livelihood diversification, financial literacy, business skills, credit and saving services, etc)? 7. Who manage (you or your husband) the livelihoods transfer, 	

Annex 19: Enhanced Social Assessment and Consultation (ESAC) Phase I & II

	Detail Questions	Response
	livelihood grant or livelihood credit service? 8. If husband, describe how that limits your awareness and contribution to household livelihood enhancement? 9. What challenges do women face as the beneficiaries of the PSNP? 10. How do you see the role of PSNP in empowering women?	
<i>Elderly-headed households, people with disability, PLWHA, labor-poor households</i>	Is the distance or location of the payment and food distribution centres accessible to you? If not, describe what ways do you use to overcome the problem?	
<i>Polygamous households</i>	1. Describe how the transfer is shared among the co-wives? 2. Explain what are the impacts of the sharing? 3. What measures do you suggest in PSNP5 to consider your special need?	
<i>Unemployed rural youth</i>	1. Did you receive any support to create your own job opportunity? 2. How do you explain being unemployed youth? 3. Do you know PSNP? How do you want to be targeted?	
<i>Pastoralist and Ex-pastoralists</i>	1. What are your household means of livelihood after being dropped-out of pastoral life? 2. What is your reflection in the targeting process of PSNP? 3. Do you think the PSNP services are locally and culturally appropriate?	

Annex 5: Summary of Community and Stakeholders Consultations

5.1: Summary of Consultation with Regional Stakeholders

PSNP Topics	Detail Questions	Response
<i>Awareness</i>	1. Are you adequately aware of the PSNP? [Probe: objectives and components]. 2. What institutional systems are there to periodically refresh the knowledge of the existing staffs?	<ul style="list-style-type: none"> • Yes, we are aware of the objectives and components of the PSNP. The objectives of the PSNP are filling of food gap, creating communal asset, and supporting households to create households level asset. In addition, the program has Public Works, Permanent Direct Support, Livelihood support and Disaster Risk management components. • In some regions there no system to periodically refresh the knowledge of the existing system. While stakeholder in some regions (Amhara for example) identified the following mechanism: <ul style="list-style-type: none"> ○ Experience sharing events ○ Technical Trainings ○ Program reviews
<i>Targeting</i>	1. What suggestion do you give to improve the existing targeting criteria, to improve inclusion and exclusion problems? [Probe: reconsidering residence, livelihood and social changes] 2. Do the community participate in a fair and transparent ways in the targeting process? 3. Is there Kebele Community Food Security Task Force (KFSTF) in all PSNP Kebeles? If no, explain why? And what measures were taken to	<ul style="list-style-type: none"> • In some regions, (Oromia for example) stakeholders believe that the existing targeting criteria have no problem, and they do not have any suggestion for improvement. But, stakeholders in other regions suggested the following: <ul style="list-style-type: none"> ○ Access to land and land productivity to be included as main criteria for targeting beneficiaries. ○ Community based targeting needs to be supported by technology and technical personnel. ○ There should be time bound for

Annex 19: Enhanced Social Assessment and Consultation (ESAC) Phase I & II

PSNP Topics	Detail Questions	Response
	<p>establish KFSTF or replace inactive members? If exist, how do you ensure whether each members of the FSTF properly discharge his/her duties in the targeting process?</p> <p>4. What are the mechanisms to avoid or reduce the influence of the traditional authority structures such as clan leaders, elite capture, elders and religious/ritual leaders in the selection process?</p> <p>5. How do you ensure that the needs and interests of the vulnerable groups are equally considered in the selection process? [for Food security, women, children and youth process owner in BoA/Office of Women, Children and Youth Affairs, Office of Labor and Social Affairs]</p>	<p>graduation as clients hide their asset to stay in the program.</p> <ul style="list-style-type: none"> Area targeting of PSNP woredas for the coming PSNP5 to be done by the region or the region must have a stake during geographic targeting. Yes, the targeting exercise is done with an active participation of the community. The targeting exercise starts from the community (sub-kebele) level, based on the quota given for that specific community the community food security-targeting target the clients and the community discuss on the proposed list. The KFST compile and review the proposal from the community and read for the community for their comment. However, in some regions stakeholders expressed the level of community participation in the targeting process is not to the level required in PSNP provisions. Yes, KFSTF exist in almost all PSNP kebeles. However, they are not effectively performing. Thus, stakeholders suggested various measures to strengthen the capacity of the KFSTF: <ul style="list-style-type: none"> Regular capacity building trainings. Incentive to the KFSTF members. Close supervision by woreda FSD. Technology based targeting process. Stakeholders reported there is no influence of the traditional authority structures such as clan leaders, elite capture, elders and religious/ritual leaders in the selection process. To ensure the needs of vulnerable groups considered during the selection process, it is suggested to adhere with the existing targeting criteria's. In the existing criteria's the interests of vulnerable groups is given due attention.
Transfer	<p>1. Do you have a means to regularly consult the clients on their preference of payment modality? If no why? If yes [Probe: what means was used? what views was obtained? what efforts have been made to consider their preference in the previous PSNPs?</p> <p>2. What are the factors that hinder the proper timeliness, predictability, and schedule of transfer?</p> <p>3. To what extent the location/distance of the payment or food distribution centres considered the special needs of vulnerable groups such as elderly-headed households, people with disability, PLWHA and labor-poor households? [for food security, women affairs process in BoA/</p>	<ul style="list-style-type: none"> The payment modality is decided by the federal. The region has no stake in this process. It is indicated that still the payment modality is a source of grievance between beneficiaries and the government. Only in few regions, that the stakeholders expressed the transfer modality is decided in consultation with the community. Beneficiaries are consulted on their preference once during the annual planning. Among the factors that contributed for deviation of the timelessness, and predictability of transfer include: <ul style="list-style-type: none"> Delay of effecting cash transfer at all levels from federal to woredal Delay of commodity movement from federal to region and from region to woreda.

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PSNP Topics	Detail Questions	Response
	Office of Women, Children and Youth Affairs, Office of Labor and Social Affairs]	<ul style="list-style-type: none"> ○ Poor road infrastructure in some PSNP woredas. ○ Inefficient institutional capacity of MFIs ○ Electronic payment network problem ○ Shortage of transportation for community movement • The location or distance of payment and food distribution center is affecting not only vulnerable groups but also able-bodied beneficiaries of the program. There are woredas, which are not accessible to transport. In these woredas, clients are forced to travel up to two days on foot to collect transfer. To avoid the cost of taking grain to home, some client sell it for low price. Most vulnerable groups are forced to delegate others to receive payments.
Public works (PWs)	<ol style="list-style-type: none"> 1. How do you evaluate the overall activities of PWs? 2. What mechanisms are used to ensure effective community participation in the planning and implementation of PWs? [Probe on: decision on the kind of productive/development works, workload, convenient timing . . . etc] 3. What measures were taken to harmonize the implementation of PWs and the household labor needs and local labor seasons? [Probe on: the impact of workload on the time for regular farming/pastoral activities, women's time for domestic chores, compatibility of PWs with farming/pastoral seasons; harmonization between PWs and GoE's Mass Labour Mobilization Program] 4. What health and safety measures are taken in implementing PWs? [Probe: gender-based violence and its management, exemption of pregnant and lactating women, prohibition of children's participation]. [for PW, FS, Women, Children and Youth Affairs process in BoA/BoWCYA, Office of Labor and Social Affairs, Ministry of Health] 	<ul style="list-style-type: none"> • Consulted stakeholders acknowledge the crucial contribution of the public work activities based on biophysical, soil and water conservation, agro-forestry, construction of small-scale irrigation schemes and social services for community asset creation, natural resource conservation and increment of productivity and production at household level. • Stakeholders expressed that there is community watershed committee where community are represented by elderly people and women who participated and consulted during annual PW planning, implementation and monitoring as well. Nevertheless, they all agreed, that is far from ensuring the active participation of community members. • Stakeholders discussed that there is a challenge to harmonize public work implementation vis-à-vis clients' regular farming/pastoral activities and women's time for domestic chores. Only informants stated there is no burden of PWs or confirmed harmonization. Similarly, in some regions (Amhara for example), interviewed woreda stakeholders mentioned that the timing of PW is overlapping with the annual Mass labour mobilization. Hence, to harmonize public works with free labour mobilization, the region made 40-10-50 arrangement which means 40% of PD to be covered before free labour mobilization, 10% during free labour mobilization and 40% after free labour mobilization • Stakeholders reported no experience of GBV • The common health and safety measures identified include awareness raising on health and safety issues, first aids, use of mouth and nose cover when working in dusty areas, how to care for themselves

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PSNP Topics	Detail Questions	Response
		<p>when working in dangerous areas such as sliding areas, when digging in deep holes.</p> <ul style="list-style-type: none"> • Pregnant and lactating women are exempted from PWs as per the PSNP provision.
Livelihood Support Services	<ol style="list-style-type: none"> 1. Do micro credit and saving services accessible at the grassroots level? [Probe: availability of micro credit and saving institutions, culturally appropriate services, equally accessible to vulnerable groups . . . etc] 2. How do you assess the impacts of the livelihood support interventions? [Probe: how improving various knowledge and skills of the clients on livelihoods, contribute to household livelihood diversification, contribute to building household sustainable livelihoods, enhance household nutrition . . . etc] 3. What are the constraints/barriers in providing livelihood support services? 	<ul style="list-style-type: none"> • Regional stakeholder discussed no different idea from woreda stakeholders and clients regarding accessibility of micro-credit and saving services. Access to credit is very much limited owing to the following reasons: <ul style="list-style-type: none"> ○ Discrepancy between demand and supply ○ Inadequacy of loan amount. ○ Pre-conditions for loan ○ Lack of culturally appropriate loan • Regional stakeholders have discussed the impacts of the livelihood support interventions from different perspective: <ul style="list-style-type: none"> ○ The technical supports provided for targeting households have improved their knowledge and skills regarding livelihood diversification, income generating activities, financial literacy, business management skills, developing business plan and market skills. ○ Clients targeted in the on-farm pathway are facilitated with access to mature watersheds, water harvesting and small-scale irrigation schemes that have increased the productivity and production of their land. ○ The financial supports in the form of livelihood transfer, livelihood grant and facilitation of access to micro-credit helped targeting clients to engage in different income generating activities. That has helped the clients to diversify means of household livelihood, thereby build household assets. • Stakeholders identified the following major constraints: <ul style="list-style-type: none"> ○ Limited access to micro-credit services owing to limited number and capacity of MFIs. ○ Inadequacy of livelihood grants. ○ Inadequacy of loan given. ○ Poor internet infrastructure. ○ Group collateral system by MFI restricting youth and vulnerable groups to access credit. ○ Poor saving culture among the major constraints.
Institutional Arrangements	<ol style="list-style-type: none"> 1. Are institutional arrangements are effective? 2. Is there effective coordination and cooperation among the various PSNP implementing GOs and NGOs? If no, explain why? 	<ul style="list-style-type: none"> • Despite capacity gaps, the existing institutional arrangements are effective. • Stakeholders discussed there is a weak coordination and cooperation between and among implementing agencies of GOs,

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PSNP Topics	Detail Questions	Response
	3. What intervention measures do you suggest to improve the coordination and cooperation?	<p>NGOs and development partners at different levels</p> <ul style="list-style-type: none"> Regional stakeholders suggested several measures to improve the coordination and cooperation among the Stakeholders: <ul style="list-style-type: none"> Joint responsibility to develop a conducive enabling environment for last mile service providers in terms of working place, license, attractive working environment, e.g. for agro-dealers, private MFIs and other technology service providers. NGOs to participate in targeting and recertification/graduation process. NGOs to be counted as key members and active participants of PSNP platforms at all levels where relevant. The PSNP reporting and planning templates to have separate sections to reflect NGOs' contributions. Strengthening the GO-NGO forum and providing space in the JRIS agenda to share key learning and experience. Government has to establish a strong and functional platforms where the implementing partners, decision makers and all stakeholders can seat together and review the program and made a programmatic level change. A strong linkage between the higher level program staff and the front line implementers has to be improved so that everybody can be on the same page, update each other on programmatic level changes and timely resolve challenges that the front line staff (including NGO's) facing in a timely manner. Improving social accountability and cohesion of each government implementing agencies (sectors offices) at all levels. Improving capital project selection, implementation and follow up process Uniform translation and implementation of PIM provisions across the regions There should be additional MoU between PSNP IAs and GO, NGOs and other office on coordination and cooperation to make it legally signed and to increase accountability to PSNP implementation.
<i>Capacity gaps</i>	<p>1. What are the major institutional capacity gaps in the implementation of the PSNP?</p> <ul style="list-style-type: none"> Institutional (management and management information systems 	<ul style="list-style-type: none"> Regional stakeholders identified the same core institutional, staffs, financial and materials supply gaps mentioned by other stakeholders consulted during ESAC II: <ul style="list-style-type: none"> High staff turn-over due to lack of

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PSNP Topics	Detail Questions	Response
	<p>etc)</p> <ul style="list-style-type: none"> • Staffs (knowledge, skills, and turn-over . . . etc) • Financial and material supply <p>2. What measures do you suggest to address the capacity gaps?</p>	<p>salary increments, lack of incentives for the frontline staff and lack of educational support for the model staff.</p> <ul style="list-style-type: none"> ○ Continuous leadership reshuffling by the government. ○ Shortage of technical trainings for staff with little knowledge and skills. ○ Shortage of physical equipment's like laptops, desktops and office materials, mainly in the split wordedas. ○ Lack of efficient information flow system, especially at the program grass root levels. ○ The annual budget allocated for human capacity development and for follow up of an implementation of livelihood is very small. ○ The program resource, especially the vehicle meant for an implementation of the program is rarely used for the assumed purpose. ○ Shortage of admin, capital and CD budget. ○ The department responsible for coordinating NGOs is hosted in the bureau of finance in Amhara region and there is no information exchange between the department and regional food security office. Regional food security office does not have official communication about NGOs operating in the region. Previously the department coordinating NGOs placed under the bureau of food security. ○ There is still gap on technical skills like data analysis, data base management and other software's <ul style="list-style-type: none"> • Regional level informants identified the following measures in order to address the above identified capacity gaps: <ul style="list-style-type: none"> ○ Increase awareness creation and provision of relevant trainings for the staff ○ Arrange incentives for the frontline staff, including DAs. ○ Arrange educational opportunities for the DAs and the technical staff ○ The capacity gaps related to social issues should be improved by coordination among different implementers through strong monitoring, supervisions and awareness creation. ○ Putting in place regular assessment ○ Allocating enough capital, admin and CD budget, ○ Arranging transportation facilities

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PSNP Topics	Detail Questions	Response
		<ul style="list-style-type: none"> ○ Quality technical support for split woredas ○ Proper communication and integration between the governments and NGOs with proper accountability mechanism. The NGO coordinating department should be placed at regional food security office. ○ Disburse capacity building budget timely ○ Institutional arrangement and management should be strengthened using different capacity development activities from higher level to Woreda and kebeles.
Grievance Redress	<ol style="list-style-type: none"> 1. Describe what are the sources of grievance in implementing PSNP? 2. What are the different ways in which beneficiaries can submit their grievances? 3. Is there Kebele Appeals Committee (KAC)? If exist, does it effectively handle the various grievances by community members? 4. Describe what are the processes of grievance redress? [Probe on: a log where grievances are registered in writing, the length of time users can expect to wait for response and resolution of their grievances, transparency about the grievance procedure, governing structure and decision makers]. 	<ul style="list-style-type: none"> • Regional level stakeholders identified the following major source of grievances: mentioned exclusion errors, delay of payment, deduction of payment by kebele [government] officials in the name of fertilizer, and the likes, claim over access to payment by husband and wife conflict when they get divorced, access to livelihood grant and credit, targeting related issues, long distance of traveling to the food transfer site, delay of transfer due to cash liquidity and cash holding capacity of banks. • Grievances are mostly submitted to kebele officials and KAC orally. Only few cases are submitted on paper and forwarded it to the woreda. • Informants said that KAC exists in all PSNP kebeles but KACs are not responsive for several reasons: KAC is not functional, high turn-over of the members, lack of commitment by members of KAC, members of KAC lack awareness and technical knowledge on GRM, influence of kebele administrators, DAs and traditional leaders, and lack of proportional representation and active involvement of women in KAC. • Stakeholders expressed that as beneficiaries usually submit their grievance orally and bypass the role of KAC there is no standard procedures in GRM.
Shock responsive safety net	<ol style="list-style-type: none"> 1. What are the major sources of shocks? 2. How do you assess the effectiveness of the existing early warning system? [Probe: key early warning indicators, the data sources, the qualitative of data for projection, accessibility/automation of data, and frequency of data updating/year] 3. What scientific procedure and data are used in estimating: (a) the number of people needing emergency assistance every year, (b) the volume of food 	<ul style="list-style-type: none"> • They identified drought, flooding, livestock diseases, locust, and snow (for highland areas) are the major recurring sources of shock in the study PSNP woredas. • According to regional stakeholders, information is collected for monitoring and prediction of shocks on key early warning indicators including weather condition, crop performance, livestock situation, water and pasture, animal

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PSNP Topics	Detail Questions	Response
	<p>needed/consumption gaps, (c) the duration of support required, (d) the months of support that is needed, and € develop annual shock response plan accordingly.</p> <p>4. How do you assess the effectiveness of the existing shock-responsive delivery system? [Probe: identification, targeting, registration and food and cash transfer system].</p> <p>5. What mechanisms do you suggest to enable more rapid and effective responses to shocks?</p> <p>6. How do you ensure the special needs of the disadvantaged and vulnerable groups in the needs estimation and delivery systems?</p>	<p>diseases, market situation, types of hazards, death, and migration.</p> <ul style="list-style-type: none"> • However, informants expressed that the capacity of the existing early warning system for monitoring and predication of short- and long-term sources of shock is so poor. The existing system of cash and food needs projection is not different either. Poor quality of early warning data, manual based data management system, inaccessibility of early warning data and early warning staffs limited capacity are indentified as the major reasons. • Informants discussed lack of effective system of disseminating early warning information as a serious problem. • Shock-response plan is reactive than being pro-active. According to informants the following are the hindering factors: poor monitoring and prediction of the sources of shock due to lack of automated and quality data management system, poor projection of the amount of the resources needed for emergency assistance, how many people in need and for how long, the resources in government emergency stock rarely enough and humanitarian aids from Development Partners and NGOs are not provided on time or full cover the need gap • Informants stated the existing shock-responsive delivery system is poor. They restate the same problems with worded stakeholders in this regard: the regular or core PSNP and Humanitarian Food Assistance (HFA) operate independently; the cash and food transfers and management systems in response to drought shocks is delivered using the different system from the core cash and food transfers for PSNP; the scale of food needs, the complexity of meeting these needs and parallel institutional arrangements interrupted effective shock-delivery system; and the current shock-responsive delivery system has no standard operating rules and procedures that define the system's scales-up, how it will scale-up, to which groups of population, for how long and how much assistance shall be received. • To enhanced early warning system, informants suggested the automation of the collection, management and accessible of early warning data and capacity building trainings for staffs at all levels
Challenges, impacts and	<p>1. What are the potential opportunities and challenges during PSNP5</p>	<p>Major opportunities identified:</p> <ul style="list-style-type: none"> • Lessons learned from the implementation

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PSNP Topics	Detail Questions	Response
<i>opportunities</i>	<p>implementation?</p> <ol style="list-style-type: none"> What are the potential (positive and negative) impacts of PSNP5? What are the lessons learnt from the implementation of the previous phases of the PSNP? [Probe: targeting, transfers, public works, direct support . . . etc] 	<p>of the previous PSNP phases.</p> <ul style="list-style-type: none"> Existence of experienced staff, better awareness about the program. Even their effectiveness is under question existence institutional arrangements. Enhancement of the livelihood of clients Building resiliency of clients Improvement of nutrition security of clients Graduation of self-sustained households. <p>Major challenges mentioned:</p> <ul style="list-style-type: none"> The prevalence of COVID-19 E-payment infra structure problem The ongoing restructuring of new zones and woredas Development of dependency syndrome on the side of clients.
<i>Nutrition</i>	<ol style="list-style-type: none"> How do you see the contribution of the PSNP transfer in reducing the number of severely malnourished children? How do you see the impacts of mainstreaming nutrition-sensitive agendas in the Social and Behavioural Change Communication? Do you have awareness on PSNP5 Nutrition Provisions and how they will be implemented? 	<ul style="list-style-type: none"> Stakeholders confirmed that it is well recognized that PSNP transfer has positive roles to address household level food gap and contributing for household nutrition. Of course, PSNP is not providing all types of food items, rather it is providing cash. Of course they also confirmed that cash payment is helping them to buy different types of food items from local markets as their understanding through BCC increased and provide those various food items for their children. BCC is being conducted, they do have the jobaid at all kebeles, and it is facilitated by HEWs and DAs. However, the quality of BCC is not the same in all kebeles. It is well conducted in kebeles where there is good coordination between HEWs and DAs, but its functionality is weak in kebeles where there is weak coordination between DAs and HEWs. In general, BCC is reported as it is significantly helping to rise community awareness on nutrition issues, complementary feeding preparation, maternal and child nutrition, exclusive breast-feeding, and personal and environmental hygiene. No awareness on PSNP5 Nutrition Provisions.
<i>Loss and loss of access to assets</i>	<ol style="list-style-type: none"> Is there Public Works induced asset loss and loss of access to assets? If there is any, did the loss involve participatory decision and follow the Voluntary Asset Loss Procedure? If there is any, explain how asset loss or loss of assets has impacted on the local social relations and traditional institutions? Is there effective grievance redress mechanism in case of involuntary loss 	<ul style="list-style-type: none"> All informants reported that there is no public works induced asset loss or loss of access to assets in all PSNP woredas covered in the assessment.

PSNP Topics	Detail Questions	Response
	of asset and loss of access to assets?	
<i>NGOs operating in the same areas</i>	<ol style="list-style-type: none"> Are there NGOs operating on areas (natural resource management, emergency supports, livelihood support services . . . etc) that would complement PSNP components? If there is any, how would this be the opportunity for the better implementation of PSNP5? 	<ul style="list-style-type: none"> Yes there are many NGOs such as CARE, WFP, MCS and HCS which are directly engaged on direct implementation of PSNP Their presence is an opportunity in different ways such as by bringing additional resources, knowledge and skill to the region.
<i>Additional information</i>	<ol style="list-style-type: none"> You are cordially invited to suggest if there is any additional information 	

5.2: Summary of KII with Woreda Level Stakeholders

PSNP Topics	Detail Questions	Response
<i>Awareness</i>	<ol style="list-style-type: none"> Are you adequately aware of the PSNP? [Probe: objectives and components]. What institutional systems are there to periodically refresh the knowledge of the existing staffs? 	<ul style="list-style-type: none"> Stakeholders from Agriculture and DRM partly confirmed that they do have better understanding about the objectives and major components of the program. However, it is realized that stakeholders from Women, children and youth affairs and health have inadequate awareness. However, woreda level stakeholders mostly lack awareness on the shift of the targeting criteria in PSNP5 and what facts necessitate the change. When asked to respond on the targeting criteria for the upcoming PSNP5, these program implementers still referred to the selection criterion (chronic food insecurity) in the previous phases of the PSNP.
<i>Targeting</i>	<ol style="list-style-type: none"> What suggestion do you give to improve the existing inclusion and exclusion criteria? [Probe: reconsidering residence, livelihood and social changes] Do the community participate in a fair and transparent ways in the targeting process? Is there Kebele Community Food Security Task Force (KFSTF) in all PSNP Kebeles? If no, explain why? and what measures were taken to establish KFSTF or replace inactive members? If exist, how do you ensure whether each members of the FSTF properly discharge his/her duties in the targeting process? What are the mechanisms to avoid or reduce the influence of the traditional authority structures such as clan leaders, elite capture, elders and religious/ritual leaders in the selection process? How do you ensure that the needs and interests of the vulnerable groups are equally considered in the selection process? [for Food security, women, 	<ul style="list-style-type: none"> Woreda level stakeholders suggested the proposed PSNP5 to re-consider the existing targeting criteria to be inclusive for unemployed rural youth, new residents to woreda, and ex-pastoralist households. Interviewed program implementers at woreda level discussed that communities participate in kebele level validation meetings and the list of retargeted and graduated beneficiaries posted in the kebele notice board. Nevertheless, community members still felt complaints for lack of fair and transparent targeting process. Despite high turnover rate of members and lack of commitment, program implementers confirmed the existence of KFSTF in all PSNP kebeles. However, as program implementers stated, members of FSTS lack adequate awareness and technical skills on community-based selection process, gender sensitive PSNP provisions and mechanisms of handling complaints. They further expressed, establishing the kebele FSTF by itself cannot bring faire and transparent

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PSNP Topics	Detail Questions	Response
	children and youth process owner in BoA/Office of Women, Children and Youth Affairs, Office of Labor and Social Affairs]	<p>selection process. Hence, provision of training, close technical supports and supervision by Woreda Sector Experts is mandatory to enhance the performance of the members of the FSTS.</p> <ul style="list-style-type: none"> • Informants forwarded that close supervision and follow-up of the operation of informal and traditional leaders by woreda stakeholders would reduce their influence for unfair targeting outcome. • To ensure the interest of vulnerable social groups during targeting, consulted woreda stakeholder suggested different measures: <ul style="list-style-type: none"> ○ Special PSNP provisions that give priority for disadvantaged and vulnerable groups. ○ Strengthening Kebele Appeal Committee (KAC) capacity of handling complaints. ○ Concerned woreda stakeholder (Labour and Social Affairs Office and Women Children and Youth Office) should form serious monitoring team to oversee the process of re-targeting and the implementation of the PSNP provisions for vulnerable groups. ○ Post the final targeted community in public space as well as reading in community meeting collect feedbacks and take corrective measures accordingly.
<i>Transfer</i>	<ol style="list-style-type: none"> 1. Do you have a means to regularly consult the clients on their preference of payment modality? If no why? If yes [Probe: what means was used? what views was obtained? what efforts have been made to consider their preference in the previous PSNPs? 2. What are the factors that hinder the proper timeliness, predictability, and schedule of transfer? 3. To what extent the location/distance of the payment or food distribution centres considered the special needs of vulnerable groups such as elderly-headed households, people with disability, PLWHA and labor-poor households? [for food security, women affairs process in BoA/ Office of Women, Children and Youth Affairs, Office of Labor and Social Affairs] 	<ul style="list-style-type: none"> • Stakeholders responded differently regarding regular means of assessing clients' preference for payment modality: <ul style="list-style-type: none"> ○ Some discussed that there is no consultation with clients to assess preference. Rather, federal officials make the decision on the payment modality. ○ Others expressed that beneficiaries consult once in the begging of the program through the FSTF. ○ Still some others stated consultation with client is made annually. • Program implementers identified several reasons accounted for the delay of transfer: <ul style="list-style-type: none"> ○ Technical, financial and administrative related constraints of MFI won to management e-payments. ○ Delay of commodity movement from federal to region and from region to PSNP woredas. ○ Delay of budget release from federal to region and from region to PSNP woredas. ○ Poor internet and mobile network

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PSNP Topics	Detail Questions	Response
		<p>coverage in some PSNP kebeles.</p> <ul style="list-style-type: none"> ○ Delay in request form submission by woreda to region and related offices works. ○ Inaccessibility of some PSNP kebeles due to poor road infrastructure. <ul style="list-style-type: none"> • All stakeholders invariably stated that no consideration is given for the special needs of vulnerable groups when deciding the distance of the payment or food distribution centers.
Public works (PWs)	<ol style="list-style-type: none"> 1. How do you evaluate the overall activities of PWs? 2. What mechanisms are used to ensure effective community participation in the planning and implementation of PWs? [Probe on: decision on the kind of productive/development works, workload, convenient timing . . . etc] 3. What measures were taken to harmonize the implementation of PWs and the household labor needs and local labor seasons? [Probe on: the impact of workload on the time for regular farming/pastoral activities, women's time for domestic chores, compatibility of PWs with farming/pastoral seasons; harmonization between PWs and GoE's Mass Labour Mobilization Program] 4. What health and safety measures are taken in implementing PWs? [Probe: gender-based violence and its management, exemption of pregnant and lactating women, prohibition of children's participation]. 	<ul style="list-style-type: none"> • Consulted stakeholders acknowledge the crucial contribution of the public work activities based on biophysical, soil and water conservation, agro-forestry, construction of small-scale irrigation schemes and social services for community asset creation, natural resource conservation and increment of productivity and production at household level. • Consulted stakeholders expressed that there is community watershed committee where community are represented by elderly people and women who participated and consulted during annual PW planning, implementation and monitoring as well. Nevertheless, they all agreed, that is far from ensuring the active participation of community members. • Mostly, interviewed program implementers expressed that there is a challenge to harmonize public work implementation vis-à-vis clients' regular farming/pastoral activities and women's time for domestic chores. Only few key informants deny the burden of PWs or confirmed harmonization. Similarly, in some regions (Amhara for example), interviewed woreda stakeholders mentioned that the timing of PW is overlapping with the annual Mass labour mobilization. • Informants reported the prevailing of cuts and other physical injuries. Further, they stated that PW has first aid measures to address such minor health and safety risks. • Generally, program implementers stated the PSNP provision which state that pregnant and lactating women (PLW) are assigned to TDS from confirmation of pregnancy until a child is two years old is implemented. Nevertheless, in some woredas of Amhara and Afar region, informants reported health and safety

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PSNP Topics	Detail Questions	Response
		risks in association with pregnant women who participate in PWs due to failure to disclose their pregnancy or failure to make early pregnancy test for exemption.
Shock responsive safety net	<ol style="list-style-type: none"> 1. What are the major sources of shocks? 2. How do you assess the effectiveness of the existing early warning system? [Probe: key early warning indicators, the data sources, the qualitative of data for projection, accessibility/automation of data, and frequency of data updating/year] 3. What scientific procedure and data are used in estimating: (a) the number of people needing emergency assistance every year, (b) the volume of food needed/consumption gaps, (c) the duration of support required, (d) the months of support that is needed, and (e) develop annual shock response plan accordingly. 4. How do you assess the effectiveness of the existing shock-responsive delivery system? [Probe: Identification, targeting, registration, food, and cash transfer system]. 5. What mechanisms do you suggest to enable more rapid and effective responses to shocks? 6. How do you ensure the special needs of the disadvantaged and vulnerable groups in the needs estimation and delivery systems? 	<ul style="list-style-type: none"> • Informants identified drought, flooding, livestock diseases, locust, and snow (for highland areas) are the major recurring sources of shock in the study PSNP woredas. Besides, landslide is very critical source of hazard in Bolosso Sore woreda in SNNPR. Compared to other shocks, drought is the major recurring source of shock both in the agricultural and pastoral communities. • Informants discussed that information is regularly collected for monitoring and prediction of shocks. Key early warning indicators includes: weather condition, crop performance, livestock situation, water and pasture, animal diseases, market situation, types of hazards, death, migration, and logistics challenges and situations. • All informants invariable stated that the capacity of the existing early warning system for monitoring and predication of short- and long-term sources of shock is so poor. The existing system of cash and food needs projection is so poor too. Informants identified the major reasons why: <ul style="list-style-type: none"> ○ Poor quality of early warning data ○ Manual based data management system ○ Inaccessibility of early warning data ○ Early warning staffs limited capacity • Informants discussed lack of effective system of disseminating early warning information as a serious problem. As to informants, information flow is poor regarding both components of the early farming communication system: <ul style="list-style-type: none"> ○ Reliable and robust means of communication is lacking for delivering early warning messages to the potentially affected people. ○ Appropriate and effective means of communication among the key stakeholders is lacking for the coordination and mobilization of resources on time. • Woreda level stakeholders discussed that shock-response plan is reactive than being pro-active. Stakeholder identified the major reasons hindering effective annual shock response plan: <ul style="list-style-type: none"> ○ Poor monitoring and prediction of the sources of shock due to lack of

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PSNP Topics	Detail Questions	Response
		<p>automated and quality data management system.</p> <ul style="list-style-type: none"> ○ Poor projection of the amount of the resources needed for emergency assistance, how many people in need and for how long. ○ The resources in government emergency stock rarely enough. ○ Humanitarian aids from Development Partners and NGOs are not provided on time or full cover the need gap <ul style="list-style-type: none"> • Informants expressed the existing shock-responsive delivery system is poor for the following major reasons: <ul style="list-style-type: none"> ○ The regular or core PSNP and Humanitarian Food Assistance (HFA) operate independently. ○ The cash and food transfers and management systems in response to drought shocks is delivered using the different system from the core cash and food transfers for PSNP. ○ The scale of food needs, the complexity of meeting these needs and parallel institutional arrangements interrupted effective shock-delivery system. ○ The current shock-responsive delivery system has no standard operating rules and procedures that define the system's scales-up, how it will scale-up, to which groups of population, for how long and how much assistance shall be received. ○ The process of identification, targeting, registration and food and cash transfer is done manually or in paper-based system. • Informants suggested the following measures to improve early warning system: <ul style="list-style-type: none"> ○ Automation of the collection, management and accessible of early warning data ○ Provide training for staffs on IMS of early warning system.
<i>Institutional Arrangements</i>	<ol style="list-style-type: none"> 1. Are institutional arrangements are effective? 2. Is there effective coordination and cooperation among the various PSNP implementing GOs and NGOs? If no, explain why? 3. What intervention measures do you suggest to improve the coordination and cooperation? 	<ul style="list-style-type: none"> • Relatively, the institutional arrangement is effective and working well. However, the WOLSA structure is not fully organized at woreda level, and unlike the agriculture and health offices, WOLSA has no formal structure at kebele level. This is one of the main challenges in institutional arrangement and implementation of linkage to social services. The engagement of health office is also lagging behind and not to the required level.

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PSNP Topics	Detail Questions	Response
		<ul style="list-style-type: none"> • Technical committees, taskforces and steering committees are there where relevant sectors are represented and participated. However, the level of TCs and TF functionality is not adequate. This is mainly because of lack of accountability on those who are assigned by each sector to engage in the TCs and TFs. • Informants stated that there is good coordination and cooperation at all levels between government implementing agencies, but there is a problem of coordination and collaboration with the PSNP implementers of GOs and NGOs. • Informant suggested the following majors to improve the coordination and cooperation among stakeholders: <ul style="list-style-type: none"> ○ Intuitional arrangement with accountability measures among all relevant sectors and representatives to be part of TCs and TFs. ○ Regular awareness creation and joint monitoring are very critical. ○ WoISA and Women children and youth affair offices should strengthen their structures at woreda as well as kebele levels.
<i>Capacity gaps</i>	<ol style="list-style-type: none"> 1. What are the major institutional capacity gaps in the implementation of the PSNP? <ul style="list-style-type: none"> • Institutional (management and management information systems etc) • Staffs (knowledge, skills, and turn-over . . . etc) • Financial and material supply 2. What measures do you suggest to address the capacity gaps? 	<ul style="list-style-type: none"> • Informants identified the following as the main institutional capacity gaps: <ul style="list-style-type: none"> ○ High staff turn-over due to lack of salary increments, lack of incentives for the frontline staff and lack of educational support for the model staff. In addition, due to the large pay gap between PSNP and similar channel 2 projects, several experienced PSNP contract employees left PSNP. ○ Continuing leadership reshuffle by the government ○ Shortage of technical trainings for staff with little knowledge and skills ○ Shortage of physical equipment's like laptops, desktops and office materials, mainly in the split woredas ○ Lack of efficient information flow system, especially at the program grass root levels ○ The annual budget allocated for human capacity development and for follow up of an implementation of livelihood is very small ○ The program resource, especially the vehicle meant for an implementation of the program is rarely used for the assumed purpose. ○ Shortage of admin, capital and CD

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PSNP Topics	Detail Questions	Response
		<p>budget.</p> <ul style="list-style-type: none"> Weak coordination and cooperation between and among implementing agencies of GOs, NGOs and development partners at different levels There is still gap on technical skills like data analysis, data base management and other software's Measures suggested to improve the institutional capacity gaps: <ul style="list-style-type: none"> Increase awareness creation and provision of relevant trainings for the staff Arrange incentives for the frontline staff, including DAs. Arrange educational opportunities for the DAs and the technical staff The capacity gaps related to social issues should be improved by coordination among different implementers through strong monitoring, supervisions and awareness creation. Putting in place regular assessment Allocating enough capital, admin and CD budget, Arranging transportation facilities Quality technical support for split woredas Proper communication and integration between the governments and NGOs with proper accountability mechanism. The NGO coordinating department should be placed at regional food security office. Disburse capacity building budget timely Institutional arrangement and management should be strengthened using different capacity development activities from higher level to Woreda and kebeles.
Grievance Redress	<ol style="list-style-type: none"> Describe what are the sources of grievance in implementing PSNP? What are the different ways in which beneficiaries can submit their grievances? Is there Kebele Appeals Committee (KAC)? If exist, does it effectively handle the various grievances by community members? Describe what are the processes of grievance redress? [Probe on: a log where grievances are registered in writing, the length of time users can expect to wait for response and resolution of their grievances, 	<ul style="list-style-type: none"> According to interviewed woreda level program implementers, the following are the common sources of grievances: exclusion errors, delay of payment, deduction of payment by kebele [government] officials in the name of fertilizer, and the likes, claim over access to payment by husband and wife conflict when they get divorced, access to livelihood grant and credit, targeting related issues, long distance of traveling to the food transfer site, delay of transfer due to cash liquidity and cash holding capacity of banks. Informants discussed that beneficiaries

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PSNP Topics	Detail Questions	Response
	transparency about the grievance procedure, governing structure and decision makers].	<p>usually bypass KAC and kebele officials and submit their grievances directly to the woreda food security office orally. However, some submit their grievances in written.</p> <ul style="list-style-type: none"> • Interviewed woreda level program implementers stated that KAC exists in almost all kebeles. However, KACs are not effective to handle grievances. The informants restate the same reasons with the consulted clients in this regard: <ul style="list-style-type: none"> ○ KAC is not functional ○ Members of KAC lack awareness and technical knowledge on GRM ○ Lack of commitment by members of KAC ○ Influence of kebele administrators, DAs and traditional leaders ○ Lack of proportional representation and active involvement of women in KAC ○ As a result, most participants' beneficiaries do not want to visit them. • Informants discussed that the majority of appeals are submitted orally for different parties such as kebele administration, DAs, manager, or woreda food security task force and in rare cases for KAC. For this reason, there are no formal procedures followed for GRM.
Challenges, impacts and opportunities	<ol style="list-style-type: none"> 1. What are the potential opportunities and challenges during PSNP5 implementation? 2. What are the potential (positive and negative) impacts of PSNP5? 3. What are the lessons learnt from the implementation of the previous phases of the PSNP? [Probe: targeting, transfers, public works, direct support . . . etc] 	<ul style="list-style-type: none"> • In the discussion woreda PSNP stakeholders have mentioned that growing commitment of leadership, growing awareness and understand of stakeholders about the objectives of PSNP, improved coordination are among key opportunities for PSNP5. • The challenges are mentioned as growing number of youth unemployment, large number of new residents in the woreda who came from different parts of the country due to the recent conflict, and still growing number of caseloads needy people who need our support, coordination gap, weak institutional arrangement among some of the key PSNP stakeholders like WoLSA and WCYA offices are some of the challenges to PSNP5.
Nutrition	<ol style="list-style-type: none"> 1. How do you see the contribution of the PSNP transfer in reducing the number of severely malnourished children? 2. How do you see the impacts of mainstreaming nutrition-sensitive agendas in the Social and Behavioral Change Communication? 3. Do you have awareness on PSNP5 	<ul style="list-style-type: none"> • Stakeholders confirmed that it is well recognized that PSNP transfer has positive roles to address household level food gap and contributing for household nutrition. Of course, PSNP is not providing all types of food items, rather it is providing cash. Of course, they also confirmed that cash

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PSNP Topics	Detail Questions	Response
	Nutrition Provisions and how they will be implemented?	<p>payment is helping them to buy different types of food items from local markets as their understanding through BCC increased and provide those various food items for their children.</p> <ul style="list-style-type: none"> • However, they said that the amount of cash is not adequate to buy all required types of food items. • BCC is being conducted, they do have the jobaid at all kebeles, and it is facilitated by HEWs and DAs. But the quality of BCC is not the same in all kebeles. It is well conducted in kebeles where there is good coordination between HEWs and DAs, but its functionality is weak in kebeles where there is weak coordination between DAs and HEWs. In general, BCC is reported as it is significantly helping to rise community awareness on nutrition issues, complementary feeding preparation, maternal and child nutrition, exclusive breast-feeding, and personal and environmental hygiene. • Woreda level stakeholders lack awareness on the new nutrition provisions of the PSNP5 and its way of implementation.
Asset loss and loss of access to assets	<ol style="list-style-type: none"> 1. Is there Public Works induced asset loss and loss of access to assets? 2. If there is any, did the loss involve participatory decision and follow the Voluntary Asset Loss Procedure? 3. If there is any, explain how asset loss or loss of assets has impacted on the local social relations and traditional institutions? 4. Is there effective grievance redress mechanism in case of involuntary loss of asset and loss of access to assets? 	<ul style="list-style-type: none"> • All informants reported that there is no public works induced asset loss or loss of access to assets in all PSNP woredas covered in the assessment.
Additional Information	<ol style="list-style-type: none"> 1. You are cordially invited to suggest if there is any additional information 	<ul style="list-style-type: none"> • They wanted to re-emphasize on those critical issues so that the program should address them for PSNP5. These are: delay of transfer by agents of Omo MFI, growing caseload of community especially from elderly people, women and children to be targeted and considered by the new program, youth unemployment and the issue of new residents to the woredas are very critical issues to the woreda and the upcoming program should address them.

5.3: Summary of Community Consultation

PSNP Topics	Detail Questions	Response
<i>Awareness</i>	<ol style="list-style-type: none"> 1. Are you aware of the objectives and components of PSNP? 2. Did you participate and reflect your opinion in the planning and implementation of PSNP? 3. Are there periodic awareness raising activities on overall aspects of PSNP? 4. Are the people aware of the special provisions of PSNP for vulnerable groups? 	<ul style="list-style-type: none"> • Community Consultations have confirmed that participants have better awareness about the objectives and components of PSNP. Participants stated that the objectives of the PSNP are to help the poor people to fulfil their food gap and improve livelihood. • Community consultation participants expressed that they engage in the annual meeting of the program. Nevertheless, active participation in the planning of each component of the PSNP is minimal. Particularly, the participation of women is none. • Since PNP has the kebele and community level food security taskforces where community representatives are members such as youth, women, elderly people, the annual planning process is consulted with those community representatives than directly with the beneficiary communities. • In most PSNP woredas, community consultation participants expressed there is no periodic awareness raising activities on overall aspects of PSNP. If there is anything to mention in this regard it is the annual meeting of the program. • Community consultation participants stated that they superficially aware of the special provisions of PSNP for vulnerable groups. Even then, the level of awareness varies among community members in the same and across PSNP kebele. They indicated that they are aware of special provision of PSNP for vulnerable group but the level of understanding to special provisions is different. Boloso Sore woreda is exceptional here where participants stated that the special provision of PSNP for vulnerable groups is discussed through SBCC on a monthly basis and, thus, gaining a good awareness.
<i>Targeting</i>	<ol style="list-style-type: none"> 1. Do you know PSNP inclusion and exclusion criteria? [Probe: if yes, discuss the criteria] 2. Do you suggest for changes in the current inclusion and exclusion criteria of the PSNP? [Probe: if yes, explain the reason] 3. How do you evaluate the fairness and 	<ul style="list-style-type: none"> • Consultations in all PSNP woredas revealed that participants are aware of the inclusion and exclusion criteria's of the program. They have mentioned that PSNP is targeting poorest of the poor, those who have no means of livelihood and support, elderly and chronically ill

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PSNP Topics	Detail Questions	Response
	<p>transparency of the beneficiary selection process so far? [Probe on: is there targeting error]</p> <p>4. Is there Kebele Community Food Security Task Force (FSTF) and Kebele Appeal Committee (KAC)? If exist, does it properly discharge its duties in selecting the right beneficiaries? Do also women participate as Kebele FSTF??</p> <p>5. How do you see the role of traditional/informal authority structure such as clan leaders, elite capture, elders and religious/ritual leaders in ensuring the fairness and transparency of targeting process?</p> <p>6. How can the targeting process be better suited to the needs of the most vulnerable groups in a community?</p> <p>7. What do you recommend to improve the current selection process?</p>	<p>people who need support of others.</p> <ul style="list-style-type: none"> Community consultation participants from most PSNP woredas did not give any suggestion for the current inclusion and exclusion criteria of the PSNP. But, in some woredas (Bolosso Sore for example) participants suggested the need to re-consider the inclusion criteria so as to targeting for unemployed rural youth and those new residents in the woreda who returned from different parts of the country over the last few years due to ethnic based conflicts and evictions. Community consultation participants noted the existence of FSTF and KAC. However, they invariably expressed that FSTF and KAC are weak to properly discharge their duties and responsibilities for fair and transport selection process. Participants further discussed that lack of women's proportion representation and their inactive participation in FSTF and KAC, FSTF and KAC members' lack of adequate awareness and technical skills on GRM and gender sensitive PSNP, act of nepotism and favoritism by some FSTF and KAC members, members turn-over, inactive participation and lack of commitment by members of FSTF and KAC as the contributing factors for the weak performance of the FSTF and KAC. Participants identified numerous local socio-cultural organizations and informal structures including clan, elders, community leaders, and religious leaders. Participants expressed that these socio-cultural organizations and informal structures are actively involving in the selection process. There are many positive roles of these socio-cultural organizations and informal structures for fair targeting. However, community consultation participants from pastoral areas exposed instances of clan leaders and community elders' influence for unfair targeting outcomes. In addition, elite captures can be loudspeaker/orator community members, leaders of informal local institutions and people with relatively better economic. Participants suggested the following measures to improve the unfair selection: strengthening the capacity of the KFSTF and KAC, avoid the unnecessary

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PSNP Topics	Detail Questions	Response
		interventions of the woreda and kebele politicians and administrators, supervision and follow-up measures and actions on those members of the FSTF, DAs and kebele administrators engaged in acts of nepotism, favoritism, abuse of power and corruption and devise system to check the unfair decision of the informal and traditional leaders.
Transfers	<ol style="list-style-type: none"> 1. What payment modality would you prefer? [Probe: cash, food or a mix of the two] What is your reason? 2. Are you satisfied with the amount of transfer? 3. How do you evaluate the timeliness and predictability of transfer? [Probe: is the transfer regular? is the transfer schedule suite to the household farming/pastoral activities? is transfer location suitable?] 4. What suggestions do you have for improvements in transfers? [Probe on: payment modality, timeliness, predictability, payment location, payment schedule]. 	<ul style="list-style-type: none"> • Community consultation participants expressed that they prefer payment in mix of cash and foods. However, the reasons given for the preference varied between highland and lowland areas. <ul style="list-style-type: none"> ○ Participants in the highland areas preferred the payment in cash during good local markets where the needed grain is available for relative low price. While at times when there is shortage of grain supply in market or when market price for grain is high, they prefer the payment in cash. ○ Community consultation participants from pastoral areas exclusively prefer the payment in cash. Because they explained that, the kinds of grain provided are not appropriate to their food habits. ○ Yet, vulnerable groups including FHHs, labour-poor households, elderly households, and people with disabilities/persons affected by chronic illness preferred the cash payment modality. They prefer cash to avoid the cost of transportation if transfer is received in foods. • Community consultation participants unanimously expressed the inadequacy of transfer. They said that high inflation rate/the eroded value of the cash transfer combined with the inadequacy of transfer widen household food and consumption gap. • Community consultation participants discussed that household food security is improved because of PSNP transfers. However, they mentioned that delay in transfers caused household asset depletion and other negative coping strategies. • Participants discussed that the distance of the payment or food distribution center is inaccessible. As stated by participants in some PSNP woredas, they need to travel about 30 kms to real payment and food

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PSNP Topics	Detail Questions	Response
		<p>distribution center.</p> <ul style="list-style-type: none"> • Participants suggested the construction of payment and food distribution center in the nearby location and e-payment system to make transfer collection easy. • During the community consultations, participants expressed the prevailing practice in male-headed household is that it is the husband who collects transfers. Consequently, they have illustrated cases of mismanagement or misuse of transfers. Some of the identified practices of this sort include men spend the received cash or selling the grain for the use of alcohol drinking, cigarettes, <i>khat</i> chewing or unintended purposes. According to participants, mismanagement or misuse of transfers by men aggravates the household food gap and nutrition problem for children. In addition, the causes disagreement and conflicts between husband and wife.
Public works	<ol style="list-style-type: none"> 1. Do you participate in public work planning process? [Probe: decision on the kind of productive/development works, workload, convenient timing . . . etc] 2. How do you explain the impact of workload on household farming/pastoral activity? [Probe: how does your participation in PWs affect your time for farming/pastoral activities, your time for domestic chores, care for children etc] 3. How do you see the convenience of timing of public works with season of regular farming activities? 4. Which member of the household participates in public work? [Probe: if pregnant women, lactating women, children, elderly, person with disability participate in public works] 5. Have you ever experienced physical injury or other health problems while engaging in public works? 6. For pregnant women, what are the challenges faced in switching from PW to Direct Support? 7. Do you send children under 18 year to PWs? If yes, explain what forces you to do so? 8. Describe what impacts the participation in PWs has on the life of the working children? 	<ul style="list-style-type: none"> • Community consultation participants in all PSNP invariably expressed public work activities improved community asset creation and natural resource conservation. • In very few woredas (e.g. Boloso Sore), beneficiaries discussed that the planning of PWs is participatory. In contrast, community consultation participants in most PSNP woredas stated that they are not active participant in prioritizing PW activities and deciding the convenient timing of PWs. Instead, development agents and community watershed committee prepare public work plans. Then, participants further stated, what is planned is forward to them for implementation. • Beneficiaries expressed the PWs conditionality of 5 days per person per month and a maximum of 15 days per month for the share of the household put them under workload pressure: Competing their time and labour need for regular household livelihood activities. • In those PSNP woredas where public work planning is not participatory, beneficiaries felt complaints about the mismatch of PW timing and their annual farming/pastoral calendar. In line with this, participants from agricultural based woredas discussed that the beginning of PW timing is normally scheduled from January and continues until the first two months (May and June) of the main farming season while their slack season

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PSNP Topics	Detail Questions	Response
		<p>commence in November.</p> <ul style="list-style-type: none"> The participation of children in public work activities is not reported in any of the study PSNP woredas. Community consultation in some woredas (e.g. Ebinat woreda of the Amhara region and Gursum woreda in Somali region) discussed that the prevailing cultural norms is that women do not tell anyone about their pregnancy or visit health center for pregnancy test. Consequently, there are pregnant women who participate in PWs until several months of their pregnancy. To improve the implementation of PWs, community consultation participants suggested several remedial actions including the following: <ul style="list-style-type: none"> Make public work planning participatory. The activities of PWs require ensuring women's active engagement in the planning process to properly reflect and prioritize their special needs. The timing of the PWs should fit to the annual farming or pastoral calendars of the beneficiary households. The timing of the PWs should consider the specific contexts of household livelihood in the highland and lowland areas.
Livelihood support/service	<ol style="list-style-type: none"> Is there access to micro credit and saving services? Do existing micro credit and saving services culturally appropriate? Are existing micro credit and saving services equally accessible to vulnerable groups such as female-headed households? What are the constraints/barriers to access credit and saving services? Know-how/skills on how to use micro credit service for on-farm and off-farm income generating activities (livelihood diversification)? How do you evaluate the success of PSNP for your household? 	<ul style="list-style-type: none"> In those four regions (Oromia, Amhara, SNNP and Tigray) where the livelihood support of the PSNP has been implemented, targeting households have witnessed improvement in their livelihood status owing to the technical and financial supports received in this respect. In contrast, community consultation participants in Afar and Somali region stated that the PSNP livelihood support sub-component has not been commenced yet in their respective woreda and that generated discontent. Beneficiaries discussed that access to credit is very much limited. The major reasons they stated for this include: <ul style="list-style-type: none"> Discrepancy between demand and supply Inadequacy of loan amount. Pre-conditions for loan Lack of culturally appropriate loan In targeting for livelihood support, community consultation participants identified various reason for the unfair or exclusion of vulnerable groups:

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PSNP Topics	Detail Questions	Response
		<ul style="list-style-type: none"> ○ The prevailing socio-cultural norms expect men are the “bread-winners” and women are “home-makers.” ○ The targeting criterion exclude landless unemployed rural youth and new residents to woredas ○ As targeting is exclusive to husband, polygamous households cannot compete for more than one targeting chance. ○ Engaging in all the three livelihood pathways is thought unfit for elderly-headed households and disabled/persons affected by chronic diseases. ● Beneficiaries expressed that the livelihood grant is inadequate to properly invest the business plan at hand.
<i>Grievance redress</i>	<ol style="list-style-type: none"> 1. What are the sources of grievance? 2. Do you know where you submit your appeals? What are the different ways in which you can submit your grievances? 3. Grievance redress mechanism [Probe: up-take location, response time, disclosure] 	<ul style="list-style-type: none"> ● Major sources of grievance identified by participants during community consultation are: <ul style="list-style-type: none"> ○ Disagreement/conflict between husband and wife ○ Inclusion and exclusion errors ○ Delay of transfer ○ Deduction of transfer by kebele [government] officials in the name of fertilizer, and the likes. ● Participants have responded differently regarding where to submit appeals: <ul style="list-style-type: none"> ○ To kebele Appeal Committee ○ To kebele cabinet ○ To kebel chair manager ○ To Development Agents ● What community consultation participants responded to the effectiveness of the existing GRM are summarized into: <ul style="list-style-type: none"> ○ KAC is not functional ○ Members of KAC lack awareness and technical knowledge on GRM ○ Lack of commitment by members of KAC ○ Influence of kebele administrators, DAs and traditional leaders ○ Lack of proportional representation and active involvement of women in KAC ○ As a result, most participants expressed that they know the existence KAC but they do not want to visit them because KAC is not responsive for anything
<i>Social conflict</i>	<ol style="list-style-type: none"> 1. What impacts does the PSNP have on social conflicts? [Probe: for public works, targeting, transfers, . . .etc] 2. Are there any known social conflicts arising among different groups in relation PSNP that may affect program 	<ul style="list-style-type: none"> ● The main sources of conflicts mentioned during community consultation include livelihoods, rangeland or pasture, the situation of the youth being unemployed and underemployed, information and

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PSNP Topics	Detail Questions	Response
	<p>implementation?</p> <p>3. How can the PSNP ensure that it doesn't trigger social conflict?</p>	<p>misinformation.</p> <ul style="list-style-type: none"> Based on community consultations, the ESAC team realized that none PSNP beneficiaries has felt that they are excluded from the program while they are eligible. That creates tension and conflicts between beneficiaries and non-beneficiary community members. PSNP beneficiaries have mentioned that the far distance of PW, the workload of PW, and delay of transfer are among key social dissatisfaction in relation to PSNP. Beneficiaries suggested to make the targeting criteria more clear for the community, and if possible to include all needy people in the society as they have also in tangible economic and social problem Participants also suggested reducing the workload of PW inline to their capacity, and to arrange the PW sites in areas close to their village.
<i>Local knowledge</i>	<p>1. How do traditional institutions of land/resource/rangeland/water management contribute to the PSNP? How does the PSNP make use of such structures?</p> <p>2. How does the PSNP utilize local knowledge resources related to traditional land use and conservation knowledge and practice?</p> <p>3. In what ways do traditional institutions/structures, social dynamics (e.g., clan, class, etc.) affect the PSNP [Probe for possible positive and negative impacts]? In what ways does the PSNP affect traditional institutions, structure, social dynamics, ways of life, etc. [Probe for possible positive and negative impacts]?</p>	<ul style="list-style-type: none"> Community consultation identified several traditional knowledge in relation to: <ul style="list-style-type: none"> Area closures for pasture Land and water management Water wells Community engagement. Both female and male community representatives are part of the PSNP Community Watershed Management committee. This gives an opportunity to the program to make use of the local knowledge on various forms of subprojects of the program including water and land management, soil conservation. Traditional institutions/structures and religious leaders might try to influence the selection process and thus need to consider them in targeting process with the support of the kebele food security taskforce (KFSTF). In some woredas (Boset for example), community consultation participants indicated the need to involve local knowledge in the process of solving water related problems as the community has an experience of pond digging and how to manage the water collected in the pond during the rainy season. However, community consultation summarized, even though there is a good initiative, we observed that this may not be enough to acknowledge and make use of the local knowledge; and it would be good if the program in the future to

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PSNP Topics	Detail Questions	Response
		strengthen the participation of community in the planning process. To conduct a kind of analysis over existing community or local knowledge and practices in relation to PSNP PW related activities.
Program impacts (positive and negative)	<p>4. What are the main benefits and opportunities of the PSNP5I to the community (transfer, public work, livelihood, linkage to social service)</p> <p>5. What are the main challenges and risks that may encounter in the process of implementing PSNP5?</p>	<ul style="list-style-type: none"> Community consultation participants have used different expressions to show how far they are benefiting from the PSNP interventions: <ul style="list-style-type: none"> PSNP is a live saving program. PSNP is a divine intervention to save the lives of the poorest and most vulnerable people. PSNP is the insurance of the poorest people. Consequently, participants have identified numerous benefits from the earlier PSNP interventions including but not limited to: <ul style="list-style-type: none"> Improved household food security and consumption Avoid household asset depletion and negative coping strategies Improved community asset creation and natural resource conservation Improved household livelihood Improved nutrition of children Improved awareness or the soft conditionalities Improved linkages to social services Community consultation participants envisaged that the upcoming PSNP5 will sustain the abovementioned benefits and opportunities even in a better degree. On the other hand, participants identified the following challenges and risks for PSNP5: <ul style="list-style-type: none"> Inclusion and exclusion errors The caseload or number of people who are waiting for PSNP support is too large than the current number of beneficiaries. The amount of monthly payment/transfer is inadequate and very small to cover the livelihood need of a household Delay of transfer/payment Deduction from the transfer/payment Distance of PW sites Limited access of livelihood grant and credit

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PSNP Topics	Detail Questions	Response
Nutrition	<ol style="list-style-type: none"> 1. How do you assess the contribution of the PSNP transfer in fulfilling the nutrition need of the child member of the household? 2. Do you discuss nutrition-sensitive agendas in the Social and Behavioral Change Communication sessions? If you do, explain how that have helped you in raising awareness about child nutrition? 3. Do have awareness on PSNP5 Nutrition Provisions? 	<ul style="list-style-type: none"> • As discussed by the community, the PSNP transfer has a lot of benefit to address the household level food demand and especially that of children as it helped them to buy various forms of food items to the family. Before PSNP, there is a big food gap and they often ate similar types of food items that they got from their backyard. However, since they get cash from the program, this makes them able to buy at least two and three types of food items from the market and feed their children. • Participants confirmed that they gain basic knowledge due to nutrition sensitive SBCC training sessions on the health benefits of breast-feeding, child immunization, and the need for diverse meals for children, hygiene management and homestead farming.
Asset loss and loss of access to assets	<ol style="list-style-type: none"> 1. Is there Public Works induced asset loss and loss of access to assets? 2. If there is any, did the loss involve participatory decision and follow the Voluntary Asset Loss Procedure? 3. If there is any, explain how asset loss or loss of assets has impacted on the local social relations and traditional institutions? 4. Is there effective grievance redress mechanism in case of involuntary loss of asset and loss of access to assets? 	<ul style="list-style-type: none"> • Overall, community consultation participants have witnessed that there is no public works induced asset loss or loss of access to assets in all the PSNP woredas covered in the ESAC.
Additional information	<ol style="list-style-type: none"> 1. You are cordially invited to suggest if there is any additional information 	<ul style="list-style-type: none"> • In PSNP woredas such as Boloso Sore, community consultation participants added that population pressure (high population density /per sqm), small land size, high demand of new residents who are displaced from various regions and towns in the country, and growing number of unemployed youth are very critical social issues.

5.4: Summary of KII with Disadvantaged and Vulnerable Groups

	Detail Questions	Response
For pregnant, lactating or women in general	<ol style="list-style-type: none"> 1. Explain the burden of PW workload on your domestic activities. 2. What are the health and safety risks experienced while participating in PWs? 3. Describe the impacts of your participation in PWs on the life of your kids? 4. Is there any gender-based violence encountered while travelling to and from PW sites? If there is any, describe in detail. 5. Who collects (you or your husband) the 	<ul style="list-style-type: none"> • Culturally, married women are represented by their husbands for almost all public affairs including participation in community meeting and consultations. It is very rare case that those women in male headed households are member of taskforces, attending meetings. This has limited their access to participate in the program, information and decision making roles. • The impacts of lack of food due to

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	Detail Questions	Response
	<p>cash transfer? If husband, probe on: if there is a misuse or disagreement on how to use the cash?</p> <p>6. Who attends (you or your husband) awareness raising trainings on credit and saving services, business planning and management skills, livelihood diversification and other livelihood support services? If husband, describe how that limits your awareness and contribution to household livelihood enhancement?</p> <p>7. What challenges do women face as the beneficiaries of the PSNP?</p> <p>8. How do you see the role of PSNP in empowering women?</p>	<p>transfer delay is more severe for children, pregnant and lactating women, elderly, persons affected by chronic diseases and people living with HIV/AIDs.</p> <ul style="list-style-type: none"> • Despite workload was noted by all participants, key informant interview indicated the differential impacts of workload for women in male-headed and female-headed households. • Women in male-headed households are not targeted for livelihood support. Because, the prevailing socio-cultural norms expect men are the “bread-winners” and women are “home-makers.” Hence, targeting for livelihood is exclusive to men. Men exclusively received the technical and financial supports provided by the program too. • Competent FHHs, elderly-headed households and people with disabilities (if there are any) still cannot receive credit. Because MFIs are in fear of default if provide credit to these groups. • FHHs are labour-poor. Thus, they are overloaded both at household chores, public work activities and community level social responsibilities. • Key informant interviews in some woredas revealed that culturally women don’t disclose their pregnancy for non-family members until they are sure of it i.e. when they are 4-5 months pregnant. Participation of these women in PWs would have health and safety issues for them and fetus too. • Despite unsatisfactory, the key informant interview finding shed light to the benefits of the interventions of the previous PSNPs in the areas of SBCC, gender-based violence, and gender sensitive provisions among other things. Hence, the mainstreaming of gender in all the components of the PSNP5 has potential social benefit to scale-up women empowerment.
<i>Elderly-headed households, people with disability, PLWHA, labor-poor households</i>	<p>1. Is the distance or location of the payment and food distribution centres accessible to you? If not, describe what ways do you use to overcome the problem?</p>	<ul style="list-style-type: none"> • Key informants discussed that the distance of the payment or food distribution center is inaccessible for elderly-headed households, people with disability, PLWHA, and labor-poor household. In some PSNP woredas (Boset for example), these groups of

	Detail Questions	Response
		people need to travel up to 30 kms to correct payment or food transfer. Hence, they are forced to delegate people or spent one night around the payment and food distribution center.
<i>Polygamous households</i>	<ol style="list-style-type: none"> 1. Describe how the transfer is shared among the co-wives? 2. Explain what are the impacts of the sharing? 3. What measures do you suggest in PSNP5 to consider your special need? 	<ul style="list-style-type: none"> • Culturally, their husband represents all wives in the polygamous households. There is a common understanding that a man (husband) represents all his wives in targeting, community consultation, as member of various taskforces, and training opportunities. The benefits of the PSNP are also shared accordingly. • In polygamous household, consider the chance of targeting as per co-wives than a husband.
<i>Unemployed rural youth and new residents to woreda</i>	<ol style="list-style-type: none"> 1. Did you receive any support to create your own job opportunity? 2. How do you explain being unemployed youth? 3. Do you know PSNP? How do you want to be targeted? 	<ul style="list-style-type: none"> • Informants discussed that the targeting criterion in the previous phases of the PSNP exclude landless unemployed rural youth and new residents to woredas for the PSNP services in general. Thus, these informants urge for PSNP5 re-consider earlier selection criteria.

5.5: Summary of Development partners or NGOs (World Vision, Care Ethiopia and World Food Program)

Guiding questions	Responses
1. Please tell us your area of engagement in line with PSNP?	<p>Informant from Care stated that Development Food Security Activity (DFSAs) /Strengthening PSNP 4 Institutions and Resilience (SPIR) is working by sharing Ethiopian government productive safety net program goal to enhance livelihoods, increase resilience to shocks, and improve food security and nutrition for rural households vulnerable to food insecurity in Ethiopia. The program is sporting PSNP 4 in building the implementation capacity of PSNP institution per the PIM standard including timely transfer, technical support for livelihood client, facilitating access to finance, participatory PW planning and need based public work activity with GSD consideration and etc.</p> <p>Informant from World Food Program pinpointed the following areas of engagement in relation with PSNP:</p> <ul style="list-style-type: none"> • Programme design <ul style="list-style-type: none"> ○ Played active role in preparation of design document for different phases of the programme and preparation of PSNP roll-out document to Pastoral areas; ○ Took a leading role in the development of Watershed Management Guidelines; ○ Supported Ministry of Agriculture and Natural Resources on the development of Pastoral Public Work Guideline. • Capacity building /capacity development <ul style="list-style-type: none"> ○ Provision of skill development trainings and workshops for government frontlines staff in lowland areas; ○ Organized and financed experience sharing visit for Somali and Afar regions. • Implementation monitoring <ul style="list-style-type: none"> ○ Regularly participate and facilitate regional and federal JRIS missions; ○ Monitor life and post food and cash distributions to PSNP

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Guiding questions	Responses
	<p>beneficiaries.</p> <ul style="list-style-type: none"> • Programme management and coordination <ul style="list-style-type: none"> ○ Member of different technical working groups (livelihood, public work, resource management...); ○ Member of Donor working group. • Logistic <ul style="list-style-type: none"> ○ Manage entire food movement in the Somali region.
<p>2. How do you explain your cooperation and coordination with PSNP implementing GOs?</p>	<p>Informant from Care stated that since SPIR share PSNP goal and working to strengthen PSNP institutions, we are working in a close consultation with government stakeholders at all level (starting from federal to kebele level). Our government partners are supportive and collaborative in every aspect. A monthly and quarterly review meeting bring the implementing partners on the same table to discuss on the programmatic level bottlenecks and provide joint and timely solutions. We have had good enabling environment in terms of partnership, which allow us considering our self as part of the program.</p> <p>Another respondent described as follows</p> <p>In beginning of our program partnering in PSNP-4 was restricted to implementing agencies only. In addition, the GOs were less cooperative, unwillingness to coordinate and collaborate and less transparent including refusing to transfer GO woreda to NGOs especially in the woreda setting. There was and still is discrepancy among regions and in the some regions among woredas . Besides difference in execution and translation PIM. After recurrent discussion, explanation, and engagement at all level they started building confidence. Later they become partly transparent. Currently the GOs open for collaboration and coordination in the following components of PSNP-except in some components</p> <ul style="list-style-type: none"> • Cooperation in project area selection: the GOs involve in woreda selection for efficient resource utilization and to avoid Overlap but still there was some overlap • Coordination of GOs for utilization of existing resources and systems (human resource, capital resource, policies, standard design, guidelines. • Annual program planning process including <ul style="list-style-type: none"> ○ Identification and selection of nutrition sensitive capital projects ○ Nutrition sensitive public work program: ensuring the timely transition of Temporary Direct Support (TDS) ○ Facilitation and follow up behavior change communication session at public work site and health posts • Coordination in program implementation such as capacity building, it includes (need assessment, developing /adopting training manuals, trainee selection, conducting training and post training follow up) <ul style="list-style-type: none"> ○ Implementation of capital projects: such as the GOs provide standard design, do feasibility studies and site selection> the GOs also compensate for the value of land acquired for capital project or mobilize the community for this process ○ Coordination and working together with food security task forces at all levels • Willingness of GOs for the expansion of PSNP-4 to humanitarian: Timely utilization of 5% contingency budget and proper targeting such us considering non- PSNP House Hold with malnourished children and families affected by shock still with limitations. • Program monitoring and follow: GOs involve NGOs quarter, bi annual and annual review meetings , integrated field level supervision, experience sharing visit , sharing research study finding and actively engaged in food security task force coordination meeting at all levels • Involving NGOs in PSNP-4 joint program review process and PSNP-5 Design process. Besides PSNP-5 design adopted learnings and best

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Guiding questions	Responses
	<p>practices of NGOs</p> <p>In general, informant from WFP stated that WFP has established a very good relationship with Ministry of Agriculture, Ministry of Finance, NDRMC and respective regional bureaus.</p>
<p>3. What measures do you suggest to improve the cooperation and coordination with PSNP implementing GOs?</p>	<p>Informant from Care stated the following measures to be taken:</p> <ul style="list-style-type: none"> • Government has to establish strong and functional platforms where the implementing partners, decision makers and all stakeholders can seat together and review the program and made a programmatic level change. • A strong linkage between the higher level program staff and the front line implementers has to be improved so that everybody can be on the same page, update each other on programmatic level changes and timely resolve challenges that the front line staff (including NGO's) facing in a timely manner. • It will be good to also consider government capacity strengthening in terms of system and infrastructure as government has to give due attention to move away from traditional paper based system to replace it with technology supported systems, that can enhance transparency and accountability. <p>Another informant listed measures as follows:</p> <ul style="list-style-type: none"> • Proper geographical and program mapping of NGOs preferably using electronic data base and GIS • Open and transparent system in beneficiary selection process to reduce exclusion and inclusion errors • Improving social accountability and cohesion of each government implementing agencies (sectors offices) at all levels • <ul style="list-style-type: none"> ○ Strengthen participatory community services scorecards and social audits of social services ○ Strengthen community led advocacy to government to ensure government policy commitments and service technical standards are followed up by government agencies and key decision makers. ○ example one of the co-responsibility of TDS is to use social service even if the beneficiaries seek the service most of the time the services are limited or unavailable or not ready to provide service as needed • Involving stakeholders in annual beneficiary targeting and retargeting process to give priority for Nutrition program such as ensuring the targeting of poor pregnant and lactating women and care taker of malnourished children • Improving capital project selection, implementation and follow up process • Uniform translation & implementation of PIM provisions across the regions • Introducing continuous job embedded capacity building and quality improvement process <p>Informant from WFP revealed that overlapping of responsibilities between different government institutions and lack of coordination among different ministerial offices and regional bureaus should be minimized. May be review of institutional arrangements and consolidation of responsibilities needed.</p>
<p>4. What challenges did you encounter in the process of implementing PSNP related activities?</p>	<ul style="list-style-type: none"> • The high PSNP staff turnover at woreda and kebele level (took longer time to create common understanding). • Low responsiveness of MFI's for PSNP client (Lack of access to finance for the program participants). • Weak linkage between woreda accountability and regional as well as federal level decision makers and policyholders. • Hectic schedule of woreda partners with other assignments. • Miss categorization of PW client in to PDS. • Weak accountability mechanism in the program

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Guiding questions	Responses
	<p>Another informant listed the following challenges:</p> <ul style="list-style-type: none"> • High staff turnover (trained and skilled staff) • Capacity gap and misunderstand • Closed system / less transparent • Uncooperative leaders or technical staff • Less time concept and poor utilization of resources • Limited practice of social accountability • Alignment and integration among GO sector offices and limitation in program layering and sequencing <p>WFP informant mentioned low implementing capacities in some regions, inaccessibility due to security and poor road networks, shifting priorities of implementing partners- prioritizing meetings and <i>political assignments</i>.</p>
5. Any additional information you want to add?	No additional issues raised

Annex 6: Summary of PSNP5: Gender, Social Development and Nutrition PIM Provisions

Targeting	<ul style="list-style-type: none"> • Special consideration of female-headed households (i.e. all things being equal women headed-household is prioritized for inclusion). • Special consideration of households which were covered by the woreda contingency budget the previous year because they had malnourished children • In polygamous households, second and subsequent wives are considered as separate female headed household • During annual retargeting any household members eligible for temporary direct support will be noted and referred to the relevant social services • The new client Card includes information, picture and name of both spouses and adherence to the Public Work community BCC • Even though transfers will only be provided for up to five household members, all household members should be documented and listed as clients of the program during the targeting process, which will allow for an inclusion of all members in the “linkages to social services” component
Annual Planning	<ul style="list-style-type: none"> • Women and HEW should be represented and actively participate in annual watershed development planning (Community Watershed Task Force-50% women representation) to ensure; women’s need as well as behaviour change communication sessions for public work clients and the linkages with social services for temporary direct support clients (see later) are properly integrated in the annual plan
Transfer	<ul style="list-style-type: none"> • Payment sites are as close to clients as possible and should be within 3 hours walking distance • Equal access to and control over use of transfer by husband and wife with jointly decision/ Implementation of actions which enhance women’s control over the use of cash or food transfers • Use of contingency resource may be used to address transitory inclusion of non PSNP households in PSNP when they have malnourished children under TSF/OTP treatment • Permanent direct support clients receive a 12 month transfer
Transparency & Accountability	<ul style="list-style-type: none"> • Woreda, kebele and community staff and Task Forces to make use of all opportunities to share relevant information (e.g. community meetings during targeting, PW planning meetings, community livelihood consultations, meetings to inform clients and communities, etc.) • All Clients are issued a Client Card with name, photograph, details regarding entitlements and space to record receipt of transfers. • Client lists posted in public locations in PSNP areas • Charter of Rights and Responsibilities posted next to Client List but remains posted throughout the year (also included on Client Cards) • PSNP Posters describing specific aspects of program implementation will be available and put up in offices at woreda and community level
Public Works	<ul style="list-style-type: none"> • Women should work a reduced workload which allows them to arrive late and leave early (and adjusting their work commitment to 50% of the standard-women have 50% less working hours and loads than men) • Plan and ensure Person Days (PDs) calculation during planning and implementation periods considers; <ul style="list-style-type: none"> ○ Women’s 50% workload (early and late arrival) ○ Transition of PLW to Temporary Direct Support ○ Construction of temporary or permanent childcare centers at PW sites and provision of child care services (Caring of the children in these child care centers will also be considered as an eligible public work)

	<ul style="list-style-type: none"> ○ Participation of adult in BCC and financial literacy trainings ○ Labour support to labor poor FHH and other households • No participation of children (under 18) in PWs • Women need to be represented and participate in PWs planning team and process and 50% representation in the Kebele Watershed taskforce (KWSTF) • PLW: Pregnant woman should be transition to temporary direct support on confirmation from the health worker of her pregnancy or in the absence of this, from the 4th month of pregnancy); and continue to receive direct support until her child is 12 months old. • PW sites are located within 1 hour's walking distance of Client's home • Primary care-givers of moderately or severely malnourished children (under five) under treatment need to transition to temporary direct support until the child is assessed as no longer requiring special treatment by the health care worker • Lighter works should be allocated to older people and women, especially women who are still breastfeeding and have children older than 12 months old (high-energy demands of breastfeeding) • PWs activities can be undertaken on private land belonging to female-headed households with severe labour shortages • PWs to give attention for nutrition sensitive PW activities in their plan and labour support: This includes for instance for the establishment of household gardens Promotion of nutrition sensitive PWs (including latrine construction; Health post construction School room construction; Development of homestead/kitchen gardens on the land of female-headed households with severe labour shortages (public works contribution can include land preparation, irrigation development, and production of nursery products, vegetable and legume seeds, and fruit tree seedlings) • PW sub-projects shall reduce women's regular time burden • PW team composition should be balanced with men and women; women-only teams for certain projects. The team leader or co-team leader should be a woman • Prioritize targets for women in PWs team leader/co-team Leader / forewoman positions to increase women's representation in PW leadership and supervisory roles on PW sites • Participation by adult male and female PW Clients in monthly community based health and nutrition and sanitation BCC sessions will be considered as a public work requirement (3 sessions equals one public work day; with a min of 6 sessions/year)) • PW clients can also participate in literacy/financial literacy and other forms of skills training activities which are counted toward their PW requirement while approval for their participation will be given on case by case basis
Temporary Direct Support	<ul style="list-style-type: none"> • The following vulnerable public work clients are transitioned from PWs to temporary direct support (TDS)...because of: <ul style="list-style-type: none"> ○ sickness ○ Pregnant women will be transitioned to TDS on confirmation by a health worker that she has undergone a first ante-natal checkup (or in the absence of this referral, at four months of pregnancy). She will remain on direct support until the child is two-year-old ○ Transition of primary care-giver of a malnourished child under five years old (through a reference card from a health professional) • When a household member moves to temporary direct support, no other household member is expected to work to earn that transfer or to work any days beyond the existing labour cap of 15 days per able-bodied adult per month.
Linkages to social service through co responsibilities or Soft-Conditionali	<ul style="list-style-type: none"> • Members in PW HH which are transitioned to temporary direct support will be expected to take up core elements of the health extension programme as a co-responsibility in return for being exempt from public works. <ul style="list-style-type: none"> ○ These HEP services include antenatal care, post-natal care, nutrition counseling, vaccination of children, attendance of growth monitoring and promotion, regular health check- ups, and other services as guided by the HEW • These co-responsibilities will be considered as soft-conditionalities, which means that

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ties	<ul style="list-style-type: none"> - while households are informed of their co-responsibilities and basic monitoring is undertaken, no penalties are enforced (nothing is deducted from the transfer if they do not fulfil their co-responsibilities). These soft conditionalities will be phased in gradually as services are available. • Social workers, HEW, SW and DA will encourage HH to attend to these co-responsibilities
Livelihoods	<ul style="list-style-type: none"> • Livelihoods-related analyses to take into account the needs of women and youth • 50% of livelihoods clients are women (including female household heads as well as women-headed households with men) • Livelihoods support is provided at places and times that enable women to attend • Livelihoods transfers will target poor women and female-headed households • Promotion of nutrition sensitive livelihoods (e.g. milk marketing or processing of commodities for young children) are identified as a potential income generation activity, PSNP support their inclusion as off-farm enterprises eligible for program support. • Livelihoods will create an entry point for nutrition and health related behavioral change communication through the formation of Development Groups
Coordination and Institutional Arrangements	<ul style="list-style-type: none"> • Participation of women in committees and governance structures (50% quota for committee participation) • Ensure recruitment and placement of Social Development Officers at woreda level
Grievance Redress Mechanism	<ul style="list-style-type: none"> • Plan to address annually identified Grievances Redress Review (previously known as Roving Appeal Audit) findings and recommendations • Clients complaints are addressed timely (99% resolved within one month) • If Client not satisfied with KAC decision, complaint escalated to Kebele Council • Make required resources available to ensure complaints recorded and registered (i.e. use of standard formats to record complaints) • Ensure Kebele Appeals Committee membership is impartial and does not overlap with individuals involved in central roles in the implementation of the Program, particularly targeting (i.e. no member of the KAC should also be a member of the KFSTF or the CFSTF). • Women should be represented on KAC (50%) • KAC members should be elected by community representatives • Pre-schedule meetings times for KAC members • Timely reporting of summary of cases addressed to Kebele Council • Plan and budget for training on overall GRM, including KAC • Link KAC with the formal GRM structure at Kebele and woreda levels and timely replacement of KAC members who drop-out
Social Accountability	<ul style="list-style-type: none"> • Ensure participation of PSNP implementers and Clients in ESAP3 • Regional Level: Participate in capacity building and awareness raising sessions on Social Accountability Regional PSNP Process Owners and Social Development Experts to participate in Social Accountability and Financial Transparency and Accountability (SA-FTA) Committee Participate in joint monitoring with ESAP3 Management Agency and follow-up implementation of Joint Action Plans PSNP Social Development Expert to facilitate issues related to PSNP Social Accountability-Ethiopia Social Accountability Program Phase 3 (ESAP3) Cooperation • Zonal Level: Agriculture Rural Development Office to Participate in relevant Woreda Interface Meetings

	<p>Follow-up implementation of Joint Action Plan</p> <ul style="list-style-type: none"> Woreda Level and Kebele Levels: PSNP Social Development Officer to facilitate issues related to PSNP Social Accountability-Ethiopia Social Accountability Program Phase 3 (ESAP3) Cooperation PSNP implementers to participate in all aspects of Social Accountability Pilot process, including: (i) capacity building and awareness raising activities on Social Accountability; (ii) interface meetings; (iii) relevant Social Accountability Committee meetings; (iv) ensure implementation of Joint Action Plans. Community Level: Community Food Security Task Force to participate in all aspects of Social Accountability process PSNP Service Users and Citizens to participate in Social Accountability Committee (elected as members on a rotating basis)
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Annex 20: Public Works Subproject ESMF Screening and ESMP Forms

Each type of subproject has its own ESMF Form. The form is similar for all types of subproject, with the exception of the ‘Typical Features and Impacts’ Table, which is Type-specific. There are none Screening forms for the nine subproject types in the Highlands, and nine for the Lowlands.

Subproject Screening Form: Highland**Subproject Type: 01: Biophysical Soil and Water Conservation**

Region:.....**Zone:**.....**Woreda:**

Kebele:**Watershed:****Community:**

Subproject Name:

Activities Involved:

DA Name:

Step (i) Subprojects Ineligible as PSNP PW

Ineligible Features	Yes	No
Subproject is not labour-intensive		
Subproject is in, or adjacent to, an internationally-disputed area*		
Subproject involving the physical relocation of individuals or households, involuntary loss of land or any other asset or access to asset		
Subproject is within, or in the vicinity of, a known cultural heritage site, including World Heritage sites		
Subproject incorporates construction of a Large Dam, ie, with a height of 15 m or more from the lowest foundation to crest, or with a height between 5 and 10 m impounding more than 3 mn m ³ .		
Subproject incorporates construction of a Small Dam (ie. not a Large dam, above) that (i) could cause safety risks, such as: a. an unusually large flood-handling requirement b. location in a zone of high seismicity, c. foundations that are complex and difficult to prepare d. retention of toxic materials e. potential for significant downstream impacts (ii) is expected to become a Large Dam during its operating life.		
Subproject is located in, or could affect, a Priority Forest Area, or habitat of significant biodiversity value, or natural habitat, or critical habitat, or legally protected area of recognised biodiversity value		
Subproject involves the procurement of pesticides by PSNP5, or by the local government		

Step (ii) a: Subprojects of Environmental or Social Concern

	Yes	No
Subproject has high or unknown potential negative impacts identified during Screening		
Subproject located in the vicinity of a National Park or other designated wildlife area, or within a buffer zone of such a park or area.		
Subprojects incorporates construction of a dam, (regardless of size)		

Step (ii) b: Subprojects Requiring a Special Procedure

Feature Requiring a Special Procedure	Yes	No
Subproject likely to involve generation and disposal of medical waste		
Subproject likely to use pesticides or other agro-chemicals		
Subproject incorporates construction of a dam (regardless of size) or is dependent on an existing dam, or on a dam already under construction		
Subproject that might involve Voluntary Land /Asset Donation		
Sub-project inside a Commune Center or close enough to a CC to have a potential direct or indirect impact on it or on the people in a CC.		

Step (iii) Subproject Screening

01. Biophysical Soil and Water Conservation Typical Features and Impacts	Potential for Adverse Impacts				
	None	Low	Med	High	Unknown
New access (road) construction					

Annex 20: Public Works Subproject ESMF Screening and ESMP Forms

01. Biophysical Soil and Water Conservation Typical Features and Impacts	Potential for Adverse Impacts				
	None	Low	Med	High	Unknown
Wet season soil disturbance					
Sensitive downstream ecosystems					
Introduction of plant/tree species; invasion of native species					
Risk of reducing access to natural/community resources					
Risk of physical danger to communities below the site					
Risk of physical danger to subproject site workers					
Wildlife habitats or populations disturbed					
Environmentally sensitive areas disturbed					
Risks from Insufficient capacity to manage Area Closure					
Risks from failure to prohibit or control open grazing					
Risks from insufficient cap. to manage new plantations/pastures					
Other (specify):					
Other (specify):					
Other (specify):					

Mitigating Measures Required

Potential Impacts	Mitigation Measures

Approved Unconditionally ☐ Approved subject to Special Procedures and/or Mitigating measures ☐

Notify to REPA as Subproject of Environmental and Social Concern:

Rejected: ☐

☐

Screening conducted by (DA name):

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

Screening supervised by:

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

Environmental and Social Management Plan

Mitigating Measure (MM)	Time of implementation (D/M/Y)	Responsible body to implement & monitor MM	Issues to be monitored	Responsible person to monitor	Date of monitoring (D/M/Y)	Estimated resources required to implement MM	
						Cost (birr)	In-kind
1.							
2.							
3.							
4.							

Monitoring

Mitigating Measure (MM)	Report	Name	Signature	Date

Submission

Date submitted _____	
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Subproject Screening Form: Highland**Subproject Type: 02: Forestry, Agro-Forestry and Forage Development**

Region:.....**Zone:**.....**Woreda:**

Kebele:**Watershed:****Community:**

Subproject Name:

Activities Involved:

DA Name:

Step (i) Subprojects Ineligible as PSNP PW

Ineligible Features	Yes	No
Subproject is not labour-intensive		
Subproject is in, or adjacent to, an internationally-disputed area*		
Subproject involving the physical relocation of individuals or households, involuntary loss of land or any other asset or access to asset		
Subproject is within, or in the vicinity of, a known cultural heritage site, including World Heritage sites		
Subproject incorporates construction of a Large Dam, ie, with a height of 15 m or more from the lowest foundation to crest, or with a height between 5 and 10 m impounding more than 3 mn m ³ .		
Subproject incorporates construction of a Small Dam (ie. not a Large dam, above) that (i) could cause safety risks, such as: a. an unusually large flood-handling requirement b. location in a zone of high seismicity, c. foundations that are complex and difficult to prepare d. retention of toxic materials e. potential for significant downstream impacts (ii) is expected to become a Large Dam during its operating life.		
Subproject is located in, or could affect, a Priority Forest Area, or habitat of significant biodiversity value, or natural habitat, or critical habitat, or legally protected area of recognised biodiversity value		
Subproject involves the procurement of pesticides by PSNP5, or by the local government		

Step (ii) a: Subprojects of Environmental or Social Concern

	Yes	No
Subproject has high or unknown potential negative impacts identified during Screening		
Subproject located in the vicinity of a National Park or other designated wildlife area, or within a buffer zone of such a park or area.		
Subprojects incorporates construction of a dam, (regardless of size)		

Step (ii) b: Subprojects Requiring a Special Procedure

Feature Requiring a Special Procedure	Yes	No
Subproject likely to involve generation and disposal of medical waste		
Subproject likely to use pesticides or other agro-chemicals		
Subproject incorporates construction of a dam (regardless of size) or is dependent on an existing dam, or on a dam already under construction		
Subproject that might involve Voluntary Land /Asset Donation		
Sub-project inside a Commune Center or close enough to a CC to have a potential direct or indirect impact on it or on the people in a CC.		

Step (iii) Subproject Screening

02: Forestry, Agro-Forestry and Forage Development Typical Features and Impacts	Potential for Adverse Impacts				
	None	Low	Med	High	Unknown
New access (road) construction					
Wet season soil disturbance					
Sensitive downstream ecosystems					

02: Forestry, Agro-Forestry and Forage Development Typical Features and Impacts	Potential for Adverse Impacts				
	None	Low	Med	High	Unknown
Introduced plant/tree species; invasion of native species					
Wildlife habitats or populations disturbed					
Risk of reducing access to natural/community resources					
Environmentally sensitive areas disturbed					
Impacts of change of community land use on former users					
Risks from insufficient capacity to manage Area Closure					
Risks from failure to prohibit or control open grazing					
Risks from Insufficient cap. to manage new plantations/pastures					
Other (specify):					

Mitigating Measures Required

Potential Impacts	Mitigation Measures

Approved Unconditionally: ☐ Approved subject to Special Procedures and/or Mitigating measures ☐

Notify to REPA as Subproject of Environmental and Social Concern :

Rejected: ☐

☐

Screening conducted by (DA name):

Name: Position: Signature:

Date:

Screening supervised by:

Name: Position: Signature:

Date::.....

Environmental and Social Management Plan

Mitigating Measure (MM)	Time of implementation (D/M/Y)	Responsible body to implement & monitor MM	Issues to be monitored	Responsible person to monitor	Date of monitoring (D/M/Y)	Estimated resources required to implement MM	
						Cost (birr)	In-kind
1.							
2.							
3.							
4.							

Monitoring

Mitigating Measure (MM)	Report	Name	Signature	Date

Submission

Date submitted _____	
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Subproject Screening Form: Highland**Subproject Type: 03: Water Subprojects: Community and Micro-level: Construction****Region:** **Zone:** **Woreda:**

.....

Kebele: **Watershed:** **Community:****Subproject Name:****Activities Involved:****DA Name:****Step (i) Subprojects Ineligible as PSNP PW**

Ineligible Features	Yes	No
Subproject is not labour-intensive		
Subproject is in, or adjacent to, an internationally-disputed area*		
Subproject involving the physical relocation of individuals or households, involuntary loss of land or any other asset or access to asset		
Subproject is within, or in the vicinity of, a known cultural heritage site, including World Heritage sites		
Subproject incorporates construction of a Large Dam, ie, with a height of 15 m or more from the lowest foundation to crest, or with a height between 5 and 10 m impounding more than 3 mn m ³ .		
Subproject incorporates construction of a Small Dam (ie. not a Large dam, above) that (i) could cause safety risks, such as: a. an unusually large flood-handling requirement b. location in a zone of high seismicity, c. foundations that are complex and difficult to prepare d. retention of toxic materials e. potential for significant downstream impacts (ii) is expected to become a Large Dam during its operating life.		
Subproject is located in, or could affect, a Priority Forest Area, or habitat of significant biodiversity value, or natural habitat, or critical habitat, or legally protected area of recognised biodiversity value		
Subproject involves the procurement of pesticides by PSNP5, or by the local government		

Step (ii) a: Subprojects of Environmental or Social Concern

	Yes	No
Subproject has high or unknown potential negative impacts identified during Screening		
Subproject located in the vicinity of a National Park or other designated wildlife area, or within a buffer zone of such a park or area.		
Subprojects incorporates construction of a dam, (regardless of size)		

Step (ii) b: Subprojects Requiring a Special Procedure

Feature Requiring a Special Procedure	Yes	No
Subproject likely to involve generation and disposal of medical waste		
Subproject likely to use pesticides or other agro-chemicals		
Subproject incorporates construction of a dam (regardless of size) or is dependent on an existing dam, or on a dam already under construction		
Subproject that might involve Voluntary Land /Asset Donation		
Sub-project inside a Commune Center or close enough to a CC to have a potential direct or indirect impact on it or on the people in a CC.		

Step (iii) Subproject Screening

03: Water Subprojects Community and Micro-level: Construction Typical Features and Impacts	Potential for Adverse Impacts				
	None	Low	Med	High	Unknown
New access (road) construction					

03: Water Subprojects Community and Micro-level: Construction Typical Features and Impacts	Potential for Adverse Impacts				
	None	Low	Med	High	Unknown
Existing water sources supply/yield depletion					
Existing water users disrupted					
Downstream water users disrupted					
Increased numbers of water users due to subproject					
Increased social tensions/conflict over water allocation					
Sensitive ecosystems downstream disrupted					
Risks from insufficient cap. to manage subproject					
Risk of malaria and other water-borne vectors					
Pollution of drinking water by livestock					
Accidents to humans or livestock during construction or operations					
Other (specify):					
Other (specify):					
Other (specify):					

Mitigating Measures Required

Potential Impacts	Mitigation Measures

Approved Unconditionally: ☐ Approved subject to Special Procedures and/or Mitigating measures ☐

Notify to REPA as Subproject of Environmental and Social Concern : ☐
Rejected: ☐

Screening conducted by (DA name):

Name: Position: Signature:
Date:

Screening supervised by:

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

Environmental and Social Management Plan

Mitigating Measure (MM)	Time of implementation (D/M/Y)	Responsible body to implement & monitor MM	Issues to be monitored	Responsible person to monitor	Date of monitoring (D/M/Y)	Estimated resources required to implement MM	
						Cost (birr)	In-kind
1.							
2.							
3.							
4.							

Monitoring

Mitigating Measure (MM)	Report	Name	Signature	Date

Submission

Date submitted _____	
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Subproject Screening Form: Highland**Subproject Type: 04: Small-Scale Irrigation: Construction or Expansion****Region:** **Zone:** **Woreda:**

.....

Kebele: **Watershed:** **Community:****Subproject Name:****Activities Involved:****DA Name:****Step (i) Subprojects Ineligible as PSNP PW**

Ineligible Features	Yes	No
Subproject is not labour-intensive		
Subproject is in, or adjacent to, an internationally-disputed area*		
Subproject involving the physical relocation of individuals or households, involuntary loss of land or any other asset or access to asset		
Subproject is within, or in the vicinity of, a known cultural heritage site, including World Heritage sites		
Subproject incorporates construction of a Large Dam, ie, with a height of 15 m or more from the lowest foundation to crest, or with a height between 5 and 10 m impounding more than 3 mn m ³ .		
Subproject incorporates construction of a Small Dam (ie. not a Large dam, above) that (i) could cause safety risks, such as: a. an unusually large flood-handling requirement b. location in a zone of high seismicity, c. foundations that are complex and difficult to prepare d. retention of toxic materials e. potential for significant downstream impacts (ii) is expected to become a Large Dam during its operating life.		
Subproject is located in, or could affect, a Priority Forest Area, or habitat of significant biodiversity value, or natural habitat, or critical habitat, or legally protected area of recognised biodiversity value		
Subproject involves the procurement of pesticides by PSNP5 , or by the local government		

Step (ii) a: Subprojects of Environmental or Social Concern

	Yes	No
Subproject has high or unknown potential negative impacts identified during Screening		
Subproject located in the vicinity of a National Park or other designated wildlife area, or within a buffer zone of such a park or area.		
Subprojects incorporates construction of a dam, (regardless of size)		

Step (ii) b: Subprojects Requiring a Special Procedure

Feature Requiring a Special Procedure	Yes	No
Subproject likely to involve generation and disposal of medical waste		
Subproject likely to use pesticides or other agro-chemicals		
Subproject incorporates construction of a dam (regardless of size) or is dependent on an existing dam, or on a dam already under construction		
Subproject that might involve Voluntary Land /Asset Donation		
Sub-project inside a Commune Center or close enough to a CC to have a potential direct or indirect impact on it or on the people in a CC.		

Step (iii) Subproject Screening

04: Small-Scale Irrigation: Construction or Expansion Typical Features and Impacts	Potential for Adverse Impacts				
	None	Low	Med	High	Unknown
New access (road) construction					

04: Small-Scale Irrigation: Construction or Expansion Typical Features and Impacts	Potential for Adverse Impacts				
	None	Low	Med	High	Unknown
Existing water sources supply/yield depletion					
Existing water users disrupted					
Downstream water users disrupted					
Dam footprint takes land					
Creation of quarries or borrow pits					
Environmentally sensitive areas disturbed					
Risks from soil permeability to viability of water storage					
Vulnerability to water logging caused by poor drainage					
Soil and water salinisation					
Social tensions/conflict over water allocation					
Cultural sites disturbed					
Agricultural chemical pollution					
Risks to sensitive downstream habitats and water bodies					
Risks from insufficient cap. to manage subproject					
Risk of malaria and other water-borne vectors					
Accidents to humans or livestock during construction or operations					
Other (specify):					

Mitigating Measures Required

Potential Impacts	Mitigation Measures

Approved Unconditionally: ☐ Approved subject to Special Procedures and/or Mitigating measures ☐

Notify to REPA as Subproject of Environmental and Social Concern : ☐
Rejected: ☐

Screening conducted by (DA name):

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

Screening supervised by:

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

Environmental and Social Management Plan

Mitigating Measure (MM)	Time of implementation (D/M/Y)	Responsible body to implement & monitor MM	Issues to be monitored	Responsible person to monitor	Date of monitoring (D/M/Y)	Estimated resources required to implement MM	
						Cost (birr)	In-kind
1.							
2.							
3.							
4.							

Monitoring

Mitigating Measure (MM)	Report	Name	Signature	Date

Submission

Date submitted _____	
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Subproject Screening Form: Highland**Subproject Type: 05: Small-Scale Irrigation: Rehabilitation**

Region:.....**Zone:**.....**Woreda:**
Kebele:**Watershed:****Community:**
Subproject Name:
Activities Involved:
DA Name:

Step (i) Subprojects Ineligible as PSNP PW

Ineligible Features	Yes	No
Subproject is not labour-intensive		
Subproject is in, or adjacent to, an internationally-disputed area*		
Subproject involving the physical relocation of individuals or households, involuntary loss of land or any other asset or access to asset		
Subproject is within, or in the vicinity of, a known cultural heritage site, including World Heritage sites		
Subproject incorporates construction of a Large Dam, ie, with a height of 15 m or more from the lowest foundation to crest, or with a height between 5 and 10 m impounding more than 3 mn m ³ .		
Subproject incorporates construction of a Small Dam (ie. not a Large dam, above) that (i) could cause safety risks, such as: a. an unusually large flood-handling requirement b. location in a zone of high seismicity, c. foundations that are complex and difficult to prepare d. retention of toxic materials e. potential for significant downstream impacts (ii) is expected to become a Large Dam during its operating life.		
Subproject is located in, or could affect, a Priority Forest Area, or habitat of significant biodiversity value, or natural habitat, or critical habitat, or legally protected area of recognised biodiversity value		
Subproject involves the procurement of pesticides by PSNP5, or by the local government		

Step (ii) a: Subprojects of Environmental or Social Concern

	Yes	No
Subproject has high or unknown potential negative impacts identified during Screening		
Subproject located in the vicinity of a National Park or other designated wildlife area, or within a buffer zone of such a park or area.		
Subprojects incorporates construction of a dam, (regardless of size)		

Step (ii) b: Subprojects Requiring a Special Procedure

Feature Requiring a Special Procedure	Yes	No
Subproject likely to involve generation and disposal of medical waste		
Subproject likely to use pesticides or other agro-chemicals		
Subproject incorporates construction of a dam (regardless of size) or is dependent on an existing dam, or on a dam already under construction		
Subproject that might involve Voluntary Land /Asset Donation		
Sub-project inside a Commune Center or close enough to a CC to have a potential direct or indirect impact on it or on the people in a CC.		

Step (iii) Subproject Screening

05: Small-Scale Irrigation: Rehabilitation Typical Features and Impacts	Potential for Adverse Impacts				
	None	Low	Med	High	Unknown
New access (road) construction					
Existing water sources supply/yield depletion					

05: Small-Scale Irrigation: Rehabilitation Typical Features and Impacts	Potential for Adverse Impacts				
	None	Low	Med	High	Unknown
Existing water users disrupted					
Downstream water users disrupted					
Environmentally sensitive areas disturbed					
Risks from soil permeability to viability of water storage					
Vulnerability to water logging caused by poor drainage					
Soil and water salinisation					
Social tensions/conflict over water allocation					
Cultural sites disturbed					
Agricultural chemical pollution					
Risks to sensitive downstream habitats and water bodies					
Risks from insufficient cap. to manage subproject					
Risk of malaria and other water-borne vectors					
Accidents to humans or livestock during construction or operations					
Other (specify):					

Mitigating Measures Required

Potential Impacts	Mitigation Measures

Approved Unconditionally: ☐ Approved subject to Special Procedures and/or Mitigating measures ☐

Notify to REPA as Subproject of Environmental or Social Concern : ☐

Rejected: ☐

Screening conducted by (DA name):

Name: Position: Signature:

Date:

Screening supervised by:

Name..... Position:Signature:

Date::.....

Environmental and Social Management Plan

Mitigating Measure (MM)	Time of implementation (D/M/Y)	Responsible body to implement & monitor MM	Issues to be monitored	Responsible person to monitor	Date of monitoring (D/M/Y)	Estimated resources required to implement MM	
						Cost (birr)	In-kind
1.							
2.							
3.							
4.							

Monitoring

Mitigating Measure (MM)	Report	Name	Signature	Date

Submission

Date submitted _____	
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Subproject Screening Form: Highland**Subproject Type: 06: Community Road, Earth/Gravel and Footpaths: Construction**

Region:.....**Zone:**.....**Woreda:**

Kebele:**Watershed:****Community:**

Subproject Name:

Activities Involved:

DA Name:

Step (i) Subprojects Ineligible as PSNP PW

Ineligible Features	Yes	No
Subproject is not labour-intensive		
Subproject is in, or adjacent to, an internationally-disputed area*		
Subproject involving the physical relocation of individuals or households, involuntary loss of land or any other asset or access to asset		
Subproject is within, or in the vicinity of, a known cultural heritage site, including World Heritage sites		
Subproject incorporates construction of a Large Dam, ie, with a height of 15 m or more from the lowest foundation to crest, or with a height between 5 and 10 m impounding more than 3 mn m ³ .		
Subproject incorporates construction of a Small Dam (ie. not a Large dam, above) that (i) could cause safety risks, such as: a. an unusually large flood-handling requirement b. location in a zone of high seismicity, c. foundations that are complex and difficult to prepare d. retention of toxic materials e. potential for significant downstream impacts (ii) is expected to become a Large Dam during its operating life.		
Subproject is located in, or could affect, a Priority Forest Area, or habitat of significant biodiversity value, or natural habitat, or critical habitat, or legally protected area of recognised biodiversity value		
Subproject involves the procurement of pesticides by PSNP5 , or by the local government		

Step (ii) a: Subprojects of Environmental or Social Concern

	Yes	No
Subproject has high or unknown potential negative impacts identified during Screening		
Subproject located in the vicinity of a National Park or other designated wildlife area, or within a buffer zone of such a park or area.		
Subprojects incorporates construction of a dam, (regardless of size)		

Step (ii) b: Subprojects Requiring a Special Procedure

Feature Requiring a Special Procedure	Yes	No
Subproject likely to involve generation and disposal of medical waste		
Subproject likely to use pesticides or other agro-chemicals		
Subproject incorporates construction of a dam (regardless of size) or is dependent on an existing dam, or on a dam already under construction		
Subproject that might involve Voluntary Land /Asset Donation		
Sub-project inside a Commune Center or close enough to a CC to have a potential direct or indirect impact on it or on the people in a CC.		

Step (iii) Subproject Screening

06: Community Road, Earth/Gravel & Footpaths: Constr. Typical Features and Impacts	Potential for Adverse Impacts				
	Non e	Low	Med	Hig h	Unknow n
Risks from soil erosion or flooding					
Stream crossings or disturbances					
Damage from wet season excavation					
Creation of quarries or borrow pits					
Community road or footpath takes land					
Significant vegetation removal					
Wildlife disturbed					
Environmentally sensitive areas disturbed					
Cultural sites disturbed					
New settlement pressures created					
Accidents to humans or livestock during construction or operations					
Other (specify):					
Other (specify)					

Mitigating Measures Required

Potential Impacts	Mitigation Measures

Approved Unconditionally: ☐ Approved subject to Special Procedures and/or Mitigating measures ☐

Notify to REPA as Subproject of Environmental or Social Concern :

Rejected: ☐

Screening conducted by (DA name):

Name: Position: Signature:

Date:

Screening supervised by:

Name: Position:Signature:

Date::.....

Environmental and Social Management Plan

Mitigating Measure (MM)	Time of implementation (D/M/Y)	Responsible body to implement & monitor MM	Issues to be monitored	Responsible person to monitor	Date of monitoring (D/M/Y)	Estimated resources required to implement MM	
						Cost (birr)	In-kind
1.							
2.							
3.							
4.							

Monitoring

Mitigating Measure (MM)	Report	Name	Signature	Date

Submission

Date submitted _____	
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Subproject Screening Form: Highland**Subproject Type: 07: Community Road, Earth/Gravel and Footpaths: Rehabilitation**

Region:.....**Zone:**.....**Woreda:**

Kebele:**Watershed:****Community:**

Subproject Name:

Activities Involved:

DA Name:

Step (i) Subprojects Ineligible as PSNP PW

Ineligible Features	Yes	No
Subproject is not labour-intensive		
Subproject is in, or adjacent to, an internationally-disputed area*		
Subproject involving the physical relocation of individuals or households, involuntary loss of land or any other asset or access to asset		
Subproject is within, or in the vicinity of, a known cultural heritage site, including World Heritage sites		
Subproject incorporates construction of a Large Dam, ie, with a height of 15 m or more from the lowest foundation to crest, or with a height between 5 and 10 m impounding more than 3 mn m ³ .		
Subproject incorporates construction of a Small Dam (ie. not a Large dam, above) that (i) could cause safety risks, such as: a. an unusually large flood-handling requirement b. location in a zone of high seismicity, c. foundations that are complex and difficult to prepare d. retention of toxic materials e. potential for significant downstream impacts (ii) is expected to become a Large Dam during its operating life.		
Subproject is located in, or could affect, a Priority Forest Area, or habitat of significant biodiversity value, or natural habitat, or critical habitat, or legally protected area of recognised biodiversity value		
Subproject involves the procurement of pesticides by PSNP5 , or by the local government		

Step (ii) a: Subprojects of Environmental or Social Concern

	Yes	No
Subproject has high or unknown potential negative impacts identified during Screening		
Subproject located in the vicinity of a National Park or other designated wildlife area, or within a buffer zone of such a park or area.		
Subprojects incorporates construction of a dam, (regardless of size)		

Step (ii) b: Subprojects Requiring a Special Procedure

Feature Requiring a Special Procedure	Yes	No
Subproject likely to involve generation and disposal of medical waste		
Subproject likely to use pesticides or other agro-chemicals		
Subproject incorporates construction of a dam (regardless of size) or is dependent on an existing dam, or on a dam already under construction		
Subproject that might involve Voluntary Land /Asset Donation		
Sub-project inside a Commune Center or close enough to a CC to have a potential direct or indirect impact on it or on the people in a CC.		

Step (iii) Subproject Screening

07: Community Road, Earth/Gravel and Footpaths: Rehab. Typical Features and Impacts	Potential for Adverse Impacts				
	None	Low	Med	High	Unknown

07: Community Road, Earth/Gravel and Footpaths: Rehab. Typical Features and Impacts	Potential for Adverse Impacts				
	None	Low	Med	High	Unknown
Risks from soil erosion or flooding					
Stream crossings or disturbances					
Damage from wet season excavation					
Creation of quarries or borrow pits					
Community road or footpath widening takes land					
Significant vegetation removal					
Wildlife disturbed					
Environmentally sensitive areas disturbed					
Cultural sites disturbed					
New settlement pressures created					
Accidents to humans or livestock during construction or operations					
Other (specify):					
Other (specify)					

Mitigating Measures Required

Potential Impacts	Mitigation Measures

Approved Unconditionally: ☐ Approved subject to Special Procedures and/or Mitigating measures ☐

Notify to REPA as Subproject of Environmental or Social Concern :

Rejected: ☐

☐

Screening conducted by (DA name):

Name: Position: Signature:

Date:

Screening supervised by:

Name: Position: Signature:

Date::.....

Environmental and Social Management Plan

Mitigating Measure (MM)	Time of implementation (D/M/Y)	Responsible body to implement & monitor MM	Issues to be monitored	Responsible person to monitor	Date of monitoring (D/M/Y)	Estimated resources required to implement MM	
						Cost (birr)	In-kind
1.							
2.							
3.							
4.							

Monitoring

Mitigating Measure (MM)	Report	Name	Signature	Date

Submission

Date submitted _____	
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Subproject Screening Form: Highland**Subproject Type: 08: Construction of Social Infrastructure**

Region:.....**Zone:**.....**Woreda:**

Kebele:**Watershed:****Community:**

Subproject Name:

Activities Involved:

DA Name:

Step (i) Subprojects Ineligible as PSNP PW

Ineligible Features	Yes	No
Subproject is not labour-intensive		
Subproject is in, or adjacent to, an internationally-disputed area*		
Subproject involving the physical relocation of individuals or households, involuntary loss of land or any other asset or access to asset		
Subproject is within, or in the vicinity of, a known cultural heritage site, including World Heritage sites		
Subproject incorporates construction of a Large Dam, ie, with a height of 15 m or more from the lowest foundation to crest, or with a height between 5 and 10 m impounding more than 3 mn m ³ .		
Subproject incorporates construction of a Small Dam (ie. not a Large dam, above) that (i) could cause safety risks, such as: a. an unusually large flood-handling requirement b. location in a zone of high seismicity, c. foundations that are complex and difficult to prepare d. retention of toxic materials e. potential for significant downstream impacts (ii) is expected to become a Large Dam during its operating life.		
Subproject is located in, or could affect, a Priority Forest Area, or habitat of significant biodiversity value, or natural habitat, or critical habitat, or legally protected area of recognised biodiversity value		
Subproject involves the procurement of pesticides by PSNP5, or by the local government		

Step (ii) a: Subprojects of Environmental or Social Concern

	Yes	No
Subproject has high or unknown potential negative impacts identified during Screening		
Subproject located in the vicinity of a National Park or other designated wildlife area, or within a buffer zone of such a park or area.		
Subprojects incorporates construction of a dam, (regardless of size)		

Step (ii) b: Subprojects Requiring a Special Procedure

Feature Requiring a Special Procedure	Yes	No
Subproject likely to involve generation and disposal of medical waste		
Subproject likely to use pesticides or other agro-chemicals		
Subproject incorporates construction of a dam (regardless of size) or is dependent on an existing dam, or on a dam already under construction		
Subproject that might involve Voluntary Land /Asset Donation		
Sub-project inside a Commune Center or close enough to a CC to have a potential direct or indirect impact on it or on the people in a CC.		

Step (iii) Subproject Screening

08: Construction of Social Infrastructure Typical Features and Impacts	Potential for Adverse Impacts				
	None	Low	Med	High	Unknown
New access road construction					
Alteration of existing drainage conditions					

Vegetation removal					
Creation of quarries or borrow pits					
Infrastructure takes land					
Wet season soil disturbance					
Construction materials impact on adjoining forest lands					
Cultural sites disturbed					
Impact of water requirements on available supply					
Sanitation impacts on available disposal sites					
Discharge of medical waste					
In-migration induced by development of facilities					
Insufficient capacity to manage facility					
Accidents to humans or livestock during construction or operations					
Spread of communicable diseases in schools from overcrowding					
Other (specify):					
Other (specify)					

Mitigating Measures Required

Potential Impacts	Mitigation Measures

Approved Unconditionally: ☐ Approved subject to Special Procedures and/or Mitigating measures ☐

Notify to REPA as Subproject of Environmental or Social Concern : ☐

Rejected ☐

Screening conducted by (DA name):

Name..... Position: Signature:

Date:.....

Screening supervised by:

Name..... Position:Signature:

Date:.....

Environmental and Social Management Plan

Mitigating Measure (MM)	Time of implementation (D/M/Y)	Responsible body to implement & monitor MM	Issues to be monitored	Responsible person to monitor	Date of monitoring (D/M/Y)	Estimated resources required to implement MM	
						Cost (birr)	In-kind
1.							
2.							
3.							
4.							

Monitoring

Mitigating Measure (MM)	Report	Name	Signature	Date

Submission

Date submitted _____	
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Subproject Screening Form: Highland**Subproject Type: 09: Gender- and Nutrition-Sensitive PW Subprojects**

Region:.....**Zone:**.....**Woreda:**

Kebele:**Watershed:****Community:**

Subproject Name:

Activities Involved:

DA Name:

Step (i) Subprojects Ineligible as PSNP PW

Ineligible Features	Yes	No
Subproject is not labour-intensive		
Subproject is in, or adjacent to, an internationally-disputed area*		
Subproject involving the physical relocation of individuals or households, involuntary loss of land or any other asset or access to asset		
Subproject is within, or in the vicinity of, a known cultural heritage site, including World Heritage sites		
Subproject incorporates construction of a Large Dam, ie, with a height of 15 m or more from the lowest foundation to crest, or with a height between 5 and 10 m impounding more than 3 mn m ³ .		
Subproject incorporates construction of a Small Dam (ie. not a Large dam, above) that (i) could cause safety risks, such as: a. an unusually large flood-handling requirement b. location in a zone of high seismicity, c. foundations that are complex and difficult to prepare d. retention of toxic materials e. potential for significant downstream impacts (ii) is expected to become a Large Dam during its operating life.		
Subproject is located in, or could affect, a Priority Forest Area, or habitat of significant biodiversity value, or natural habitat, or critical habitat, or legally protected area of recognised biodiversity value		
Subproject involves the procurement of pesticides by PSNP5, or by the local government		

Step (ii) a: Subprojects of Environmental or Social Concern

	Yes	No
Subproject has high or unknown potential negative impacts identified during Screening		
Subproject located in the vicinity of a National Park or other designated wildlife area, or within a buffer zone of such a park or area.		
Subprojects incorporates construction of a dam, (regardless of size)		

Step (ii) b: Subprojects Requiring a Special Procedure

Feature Requiring a Special Procedure	Yes	No
Subproject likely to involve generation and disposal of medical waste		
Subproject likely to use pesticides or other agro-chemicals		
Subproject incorporates construction of a dam (regardless of size) or is dependent on an existing dam, or on a dam already under construction		
Subproject that might involve Voluntary Land /Asset Donation		
Sub-project inside a Commune Center or close enough to a CC to have a potential direct or indirect impact on it or on the people in a CC.		

Step (iii) Subproject Screening

09: Gender- and Nutrition-Sensitive PW Subprojects Typical Features and Impacts	Potential for Adverse Impacts				
	None	Low	Med	High	Unknown
New access road construction					
Alteration of existing drainage conditions					

09: Gender- and Nutrition-Sensitive PW Subprojects Typical Features and Impacts	Potential for Adverse Impacts				
	None	Low	Med	High	Unknown
Vegetation removal					
Creation of quarries or borrow pits					
Infrastructure takes land					
Wet season soil disturbance					
Construction materials impact on adjoining forest/lands					
Cultural sites disturbed					
Impact of water requirements on available supply					
Sanitation impacts on available disposal sites					
Discharge of waste during operations					
Spread of communicable disease in child care center operations					
In-migration induced by development of facilities					
Insufficient capacity to manage facility					
Accidents to humans or livestock during construction or operations					
Other (specify):					
Other (specify)					

Mitigating Measures Required

Potential Impacts	Mitigation Measures

Approved Unconditionally: ☐ Approved subject to Special Procedures and/or Mitigating measures ☐

Notify to REPA as Subproject of Environmental or Social Concern : ☐
Rejected: ☐

Screening conducted by (DA name):

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

Screening supervised by:

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

Environmental and Social Management Plan

Mitigating Measure (MM)	Time of implementation (D/M/Y)	Responsible body to implement & monitor MM	Issues to be monitored	Responsible person to monitor	Date of monitoring (D/M/Y)	Estimated resources required to implement MM	
						Cost (birr)	In-kind
1.							
2.							
3.							
4.							

Monitoring

Mitigating Measure (MM)	Report	Name	Signature	Date

Submission

Date submitted _____	
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Subproject Screening Form: Lowland**Subproject Type: 01: Rangeland Management and Biophysical Soil & Water Conservation**

Region:.....**Zone:**.....**Woreda:**

Kebele:**Watershed:****Community:**

Subproject Name:

ActivitiesInvolved:

DA Name:

Step (i) Subprojects Ineligible as PSNP PW

Ineligible Features	Yes	No
Subproject is not labour-intensive		
Subproject is in, or adjacent to, an internationally-disputed area*		
Subproject involving the physical relocation of individuals or households, involuntary loss of land or any other asset or access to asset		
Subproject is within, or in the vicinity of, a known cultural heritage site, including World Heritage sites		
Subproject incorporates construction of a Large Dam, ie, with a height of 15 m or more from the lowest foundation to crest, or with a height between 5 and 10 m impounding more than 3 mn m ³ .		
Subproject incorporates construction of a Small Dam (ie. not a Large dam, above) that (i) could cause safety risks, such as: a. an unusually large flood-handling requirement b. location in a zone of high seismicity, c. foundations that are complex and difficult to prepare d. retention of toxic materials e. potential for significant downstream impacts (ii) is expected to become a Large Dam during its operating life.		
Subproject is located in, or could affect, a Priority Forest Area, or habitat of significant biodiversity value, or natural habitat, or critical habitat, or legally protected area of recognised biodiversity value		
Subproject involves the procurement of pesticides by PSNP5, or by the local government		

Step (ii) a: Subprojects of Environmental or Social Concern

	Yes	No
Subproject has high or unknown potential negative impacts identified during Screening		
Subproject located in the vicinity of a National Park or other designated wildlife area, or within a buffer zone of such a park or area.		
Subprojects incorporates construction of a dam, (regardless of size)		

Step (ii) b: Subprojects Requiring a Special Procedure

Feature Requiring a Special Procedure	Yes	No
Subproject likely to involve generation and disposal of medical waste		
Subproject likely to use pesticides or other agro-chemicals		
Subproject incorporates construction of a dam (regardless of size) or is dependent on an existing dam, or on a dam already under construction		
Subproject that might involve Voluntary Land /Asset Donation		
Sub-project inside a Commune Center or close enough to a CC to have a potential direct or indirect impact on it or on the people in a CC.		

Step (iii) Subproject Screening

01:Rangeland Management and Biophysical Soil & Water Conserv. Typical Features and Impacts	Potential for Adverse Impacts				
	None	Low	Med	High	Unknown

01:Rangeland Management and Biophysical Soil & Water Conserv. Typical Features and Impacts	Potential for Adverse Impacts				
	None	Low	Med	High	Unknown
Landslides or erosion due to susceptible soils					
Introduction of plant/tree species invasion of native species					
Biophysical SWC structures blocking movement of people/livestock					
Sensitive downstream ecosystems affected					
Wildlife habitats or populations disturbed					
Environmentally sensitive areas disturbed					
Risks from insufficient capacity to manage subproject					
Risks from failure to prohibit or control open grazing					
Risks from insufficient capacity to manage new plantations/pastures					
Other (specify):					

Mitigating Measures Required

Potential Impacts	Mitigation Measures

Approved Unconditionally: ☐ Approved subject to Special Procedures and/or Mitigating measures ☐

Notify to REPA as Subproject of Environmental or Social Concern:

Rejected: ☐

☐

Screening conducted by (DA name):

Name: Position: Signature:

Date:

Screening supervised by:

Name: Position: Signature:

Date.....:.....

Environmental and Social Management Plan

Mitigating Measure (MM)	Time of implementation (D/M/Y)	Responsible body to implement & monitor MM	Issues to be monitored	Responsible person to monitor	Date of monitoring (D/M/Y)	Estimated resources required to implement MM	
						Cost (birr)	In-kind
1.							
2.							
3.							
4.							

Monitoring

Mitigating Measure (MM)	Report	Name	Signature	Date

Submission

Date submitted _____	
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Subproject Screening Form: Lowland**Subproject Type: 02: Forestry, Agro-Forestry and Forage Development**

Region:.....**Zone:**.....**Woreda:**

Kebele:**Watershed:****Community:**

Subproject Name:

ActivitiesInvolved:

DA Name:

Step (i) Subprojects Ineligible as PSNP PW

Ineligible Features	Yes	No
Subproject is not labour-intensive		
Subproject is in, or adjacent to, an internationally-disputed area*		
Subproject involving the physical relocation of individuals or households, involuntary loss of land or any other asset or access to asset		
Subproject is within, or in the vicinity of, a known cultural heritage site, including World Heritage sites		
Subproject incorporates construction of a Large Dam, ie, with a height of 15 m or more from the lowest foundation to crest, or with a height between 5 and 10 m impounding more than 3 mn m ³ .		
Subproject incorporates construction of a Small Dam (ie. not a Large dam, above) that (i) could cause safety risks, such as: a. an unusually large flood-handling requirement b. location in a zone of high seismicity, c. foundations that are complex and difficult to prepare d. retention of toxic materials e. potential for significant downstream impacts (ii) is expected to become a Large Dam during its operating life.		
Subproject is located in, or could affect, a Priority Forest Area, or habitat of significant biodiversity value, or natural habitat, or critical habitat, or legally protected area of recognised biodiversity value		
Subproject involves the procurement of pesticides by PSNP5, or by the local government		

Step (ii) a: Subprojects of Environmental or Social Concern

	Yes	No
Subproject has high or unknown potential negative impacts identified during Screening		
Subproject located in the vicinity of a National Park or other designated wildlife area, or within a buffer zone of such a park or area.		
Subprojects incorporates construction of a dam, (regardless of size)		

Step (ii) b: Subprojects Requiring a Special Procedure

Feature Requiring a Special Procedure	Yes	No
Subproject likely to involve generation and disposal of medical waste		
Subproject likely to use pesticides or other agro-chemicals		
Subproject incorporates construction of a dam (regardless of size) or is dependent on an existing dam, or on a dam already under construction		
Subproject that might involve Voluntary Land /Asset Donation		
Sub-project inside a Commune Center or close enough to a CC to have a potential direct or indirect impact on it or on the people in a CC.		

Step (iii) Subproject Screening

02: Forestry, Agro-Forestry and Forage development Typical Features and Impacts	Potential for Adverse Impacts				
	None	Low	Med	High	Unknown
Introduced plant/tree species invasion of native vegetation					
Increased GHG emissions due to implementation of subproject (e.g., bush removal and burning)					

02: Forestry, Agro-Forestry and Forage development Typical Features and Impacts	Potential for Adverse Impacts				
	None	Low	Med	High	Unknown
Loss of income due to selective cutting of trees/shrubs producing economic products (gums, resins)					
Range structure and diversity altered					
Change of community land use creating problems for former users					
Traditional grazing routes blocked					
Cultural or religious sites disturbed					
Insufficient capacity to manage area closure, improved pastures or planted fodder/forages or (agro)forests					
Other (specify):					

Mitigating Measures Required

Potential Impacts	Mitigation Measures

Approved Unconditionally: ☐ Approved subject to Special Procedures and/or Mitigating measures ☐

Notify to REPA as Subproject of Environmental or Social Concern: ☐

Rejected: ☐

Screening conducted by (DA name):

Name: Position: Signature:
Date:

Screening supervised by:

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

Environmental and Social Management Plan

Mitigating Measure (MM)	Time of implementation (D/M/Y)	Responsible body to implement & monitor MM	Issues to be monitored	Responsible person to monitor	Date of monitoring (D/M/Y)	Estimated resources required to implement MM	
						Cost (birr)	In-kind
1.							
2.							
3.							
4.							

Monitoring

Mitigating Measure (MM)	Report	Name	Signature	Date

Submission

Date submitted _____	
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Subproject Screening Form: Lowland

Subproject Type: 03: Water Subprojects: Community and Micro-level: Construction

Region:.....**Zone:**.....**Woreda:**
Kebele:**Watershed:****Community:**
Subproject Name:
ActivitiesInvolved:
DA Name:

Step (i) Subprojects Ineligible as PSNP PW

Ineligible Features	Yes	No
Subproject is not labour-intensive		
Subproject is in, or adjacent to, an internationally-disputed area*		
Subproject involving the physical relocation of individuals or households, involuntary loss of land or any other asset or access to asset		
Subproject is within, or in the vicinity of, a known cultural heritage site, including World Heritage sites		
Subproject incorporates construction of a Large Dam, ie, with a height of 15 m or more from the lowest foundation to crest, or with a height between 5 and 10 m impounding more than 3 mn m ³ .		
Subproject incorporates construction of a Small Dam (ie. not a Large dam, above) that (i) could cause safety risks, such as: a. an unusually large flood-handling requirement b. location in a zone of high seismicity, c. foundations that are complex and difficult to prepare d. retention of toxic materials e. potential for significant downstream impacts (ii) is expected to become a Large Dam during its operating life.		
Subproject is located in, or could affect, a Priority Forest Area, or habitat of significant biodiversity value, or natural habitat, or critical habitat, or legally protected area of recognised biodiversity value		
Subproject involves the procurement of pesticides by PSNP5, or by the local government		

Step (ii) a: Subprojects of Environmental or Social Concern

	Yes	No
Subproject has high or unknown potential negative impacts identified during Screening		
Subproject located in the vicinity of a National Park or other designated wildlife area, or within a buffer zone of such a park or area.		
Subprojects incorporates construction of a dam, (regardless of size)		

Step (ii) b: Subprojects Requiring a Special Procedure

Feature Requiring a Special Procedure	Yes	No
Subproject likely to involve generation and disposal of medical waste		
Subproject likely to use pesticides or other agro-chemicals		
Subproject incorporates construction of a dam (regardless of size) or is dependent on an existing dam, or on a dam already under construction		
Subproject that might involve Voluntary Land /Asset Donation		
Sub-project inside a Commune Center or close enough to a CC to have a potential direct or indirect impact on it or on the people in a CC.		

Step (iii) Subproject Screening

03: Water Projects: Community & micro-level: Construction Typical Features and Impacts	Potential for Adverse Impacts				
	None	Low	Med	High	Unknown
Existing water sources supply/yield depletion					
Existing water users disrupted					

03: Water Projects: Community & micro-level: Construction Typical Features and Impacts	Potential for Adverse Impacts				
	None	Low	Med	High	Unknown
Creation of stagnant pools of water at well head which will be a breeding ground for vectors of water-borne diseases					
Pollution of water due to human-animal shared water use					
Land degradation around water points increased					
Existing water users disrupted					
Downstream water users disrupted					
Increased numbers of water users due to improvements					
Increased social tensions/conflict over water allocation					
Land Acquisition					
Local incapacity/inexperience to manage facilities					
Accidents to humans and livestock due to lack of protection during construction or operations					
Other (specify):					

Mitigating Measures Required

Potential Impacts	Mitigation Measures

Approved Unconditional

☐

Approved subject to Special Procedures and/or
Mitigating measures

☐

Notify to REPA as Subproject of Environmental or Social Con

☐

Rejected:

☐

Screening conducted by (DA name):

Name..... Position: Signature:

Date:.....

Screening supervised by:

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

Date:.....

Environmental and Social Management Plan

Mitigating Measure (MM)	Time of implementation (D/M/Y)	Responsible body to implement & monitor MM	Issues to be monitored	Responsible person to monitor	Date of monitoring (D/M/Y)	Estimated resources required to implement MM	
						Cost (birr)	In-kind
1.							
2.							
3.							
4.							

Monitoring

Mitigating Measure (MM)	Report	Name	Signature	Date

Submission

Date submitted _____	
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Subproject Screening Form: Lowland**Subproject Type: 04: Small-Scale Irrigation: Construction or Expansion**

Region:.....**Zone:**.....**Woreda:**
Kebele:**Watershed:****Community:**
Subproject Name:
ActivitiesInvolved:
DA Name:

Step (i) Subprojects Ineligible as PSNP PW

Ineligible Features	Yes	No
Subproject is not labour-intensive		
Subproject is in, or adjacent to, an internationally-disputed area*		
Subproject involving the physical relocation of individuals or households, involuntary loss of land or any other asset or access to asset		
Subproject is within, or in the vicinity of, a known cultural heritage site, including World Heritage sites		
Subproject incorporates construction of a Large Dam, ie, with a height of 15 m or more from the lowest foundation to crest, or with a height between 5 and 10 m impounding more than 3 mn m ³ .		
Subproject incorporates construction of a Small Dam (ie. not a Large dam, above) that (i) could cause safety risks, such as: a. an unusually large flood-handling requirement b. location in a zone of high seismicity, c. foundations that are complex and difficult to prepare d. retention of toxic materials e. potential for significant downstream impacts (ii) is expected to become a Large Dam during its operating life.		
Subproject is located in, or could affect, a Priority Forest Area, or habitat of significant biodiversity value, or natural habitat, or critical habitat, or legally protected area of recognised biodiversity value		
Subproject involves the procurement of pesticides by PSNP5, or by the local government		

Step (ii) a: Subprojects of Environmental or Social Concern

	Yes	No
Subproject has high or unknown potential negative impacts identified during Screening		
Subproject located in the vicinity of a National Park or other designated wildlife area, or within a buffer zone of such a park or area.		
Subprojects incorporates construction of a dam, (regardless of size)		

Step (ii) b: Subprojects Requiring a Special Procedure

Feature Requiring a Special Procedure	Yes	No
Subproject likely to involve generation and disposal of medical waste		
Subproject likely to use pesticides or other agro-chemicals		
Subproject incorporates construction of a dam (regardless of size) or is dependent on an existing dam, or on a dam already under construction		
Subproject that might involve Voluntary Land /Asset Donation		
Sub-project inside a Commune Center or close enough to a CC to have a potential direct or indirect impact on it or on the people in a CC.		

Step (iii) Subproject Screening

04: SSI: Construction or Expansion Typical Features and Impacts	Potential for Adverse Impacts				
	None	Low	Med	High	Unknown
Competition/conflict of interest/ for land between cropping and grazing created in agro-pastoral areas					
Existing water sources supply/yield depletion					

04: SSI: Construction or Expansion Typical Features and Impacts	Potential for Adverse Impacts				
	None	Low	Med	High	Unknown
Dam footprint takes land					
Existing water users disrupted					
Downstream water users disrupted					
Water storage requirement and viability (soil permeability)					
Vulnerability to water logging (poor drainage)					
Vulnerability to soil and water salinization					
Sensitive downstream habitats and water bodies					
Environmentally sensitive areas disturbed					
Loss of assets (land for canal construction)					
Cultural or religious sites disturbed					
Increased agricultural chemicals (pesticides, etc) loading					
Increased social tensions over water allocation					
Vulnerability of population to malaria increased					
Accidents to humans or livestock during construction or operations					
Local incapacity/inexperience to manage facilities					
Local incapacity/inexperience with irrigated agriculture					
Other (specify):					

Mitigating Measures Required

Potential Impacts	Mitigation Measures

Approved Unconditionally:

☐

Approved subject to Special Procedures and/or Mitigating mea

☐

Notify to REPA as Subproject of Environmental or Social Concern:

Rejected:

☐
☐

Screening conducted by (DA name):

Name: Position: Signature:

Date:

Screening supervised by:

Name: Position: Signature:

Date:.....:.....

Environmental and Social Management Plan

Mitigating Measure (MM)	Time of implementation (D/M/Y)	Responsible body to implement & monitor MM	Issues to be monitored	Responsible person to monitor	Date of monitoring (D/M/Y)	Estimated resources required to implement MM	
						Cost (birr)	In-kind
1.							
2.							
3.							
4.							

Monitoring

Mitigating Measure (MM)	Report	Name	Signature	Date

Submission

Date submitted _____	
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Subproject Screening Form: Lowland**Subproject Type: 05: Small-Scale Irrigation: Rehabilitation****Region:**.....**Zone:**.....**Woreda:****Kebele:****Watershed:****Community:****Subproject Name:****ActivitiesInvolved:****DA Name:****Step (i) Subprojects Ineligible as PSNP PW**

Ineligible Features	Yes	No
Subproject is not labour-intensive		
Subproject is in, or adjacent to, an internationally-disputed area*		
Subproject involving the physical relocation of individuals or households, involuntary loss of land or any other asset or access to asset		
Subproject is within, or in the vicinity of, a known cultural heritage site, including World Heritage sites		
Subproject incorporates construction of a Large Dam, ie, with a height of 15 m or more from the lowest foundation to crest, or with a height between 5 and 10 m impounding more than 3 mn m ³ .		
Subproject incorporates construction of a Small Dam (ie. not a Large dam, above) that (i) could cause safety risks, such as: a. an unusually large flood-handling requirement b. location in a zone of high seismicity, c. foundations that are complex and difficult to prepare d. retention of toxic materials e. potential for significant downstream impacts (ii) is expected to become a Large Dam during its operating life.		
Subproject is located in, or could affect, a Priority Forest Area, or habitat of significant biodiversity value, or natural habitat, or critical habitat, or legally protected area of recognised biodiversity value		
Subproject involves the procurement of pesticides by PSNP5, or by the local government		

Step (ii) a: Subprojects of Environmental or Social Concern

	Yes	No
Subproject has high or unknown potential negative impacts identified during Screening		
Subproject located in the vicinity of a National Park or other designated wildlife area, or within a buffer zone of such a park or area.		
Subprojects incorporates construction of a dam, (regardless of size)		

Step (ii) b: Subprojects Requiring a Special Procedure

Feature Requiring a Special Procedure	Yes	No
Subproject likely to involve generation and disposal of medical waste		
Subproject likely to use pesticides or other agro-chemicals		
Subproject incorporates construction of a dam (regardless of size) or is dependent on an existing dam, or on a dam already under construction		
Subproject that might involve Voluntary Land /Asset Donation		
Sub-project inside a Commune Center or close enough to a CC to have a potential direct or indirect impact on it or on the people in a CC.		

Step (iii) Subproject Screening

05: Small-Scale Irrigation: Rehabilitation Typical Features and Impacts	Potential for Adverse Impacts				
	None	Low	Med	High	Unknown
Existing water sources supply/yield depletion					
Existing water users disrupted					
Downstream water users disrupted					
Water storage requirement and viability (soil permeability)					

05: Small-Scale Irrigation: Rehabilitation Typical Features and Impacts	Potential for Adverse Impacts				
	None	Low	Med	High	Unknown
Vulnerability to water logging (poor drainage)					
Vulnerability to soil and water salinization					
Sensitive downstream habitats and waterbodies					
Environmentally sensitive areas disturbed					
Cultural or religious sites disturbed					
Pollution from agricultural chemicals (pesticides, etc)					
Social tensions/conflict over water allocation					
Accidents to humans or livestock during construction or operations					
Local incapacity/inexperience to manage facilities					
Local incapacity/inexperience with irrigated agriculture					
Other (specify):					

Mitigating Measures Required

Potential Impacts	Mitigation Measures

Approved Unconditionally:

☐

Approved subject to Special Procedures and/or
Mitigating measures

☐
☐

Notify to REPA as Subproject of Environmental or Social Concern:

Rejected:

☐
☐

Screening conducted by (DA name):

Name: Position: Signature:

Date:

Screening supervised by:

Name: Position: Signature:

Date.....:.....

Environmental and Social Management Plan

Mitigating Measure (MM)	Time of implementation (D/M/Y)	Responsible body to implement & monitor MM	Issues to be monitored	Responsible person to monitor	Date of monitoring (D/M/Y)	Estimated resources required to implement MM	
						Cost (birr)	In-kind
1.							
2.							
3.							
4.							

Monitoring

Mitigating Measure (MM)	Report	Name	Signature	Date

Submission

Date submitted _____	
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Subproject Screening Form: Lowland**Subproject Type: 06: Community Road, Earth/Gravel and Footpaths: Construction**

Region:.....**Zone:**.....**Woreda:**
Kebele:**Watershed:****Community:**
Subproject Name:
ActivitiesInvolved:
DA Name:

Step (i) Subprojects Ineligible as PSNP PW

Ineligible Features	Yes	No
Subproject is not labour-intensive		
Subproject is in, or adjacent to, an internationally-disputed area*		
Subproject involving the physical relocation of individuals or households, involuntary loss of land or any other asset or access to asset		
Subproject is within, or in the vicinity of, a known cultural heritage site, including World Heritage sites		
Subproject incorporates construction of a Large Dam, ie, with a height of 15 m or more from the lowest foundation to crest, or with a height between 5 and 10 m impounding more than 3 mn m ³ .		
Subproject incorporates construction of a Small Dam (ie. not a Large dam, above) that (i) could cause safety risks, such as: a. an unusually large flood-handling requirement b. location in a zone of high seismicity, c. foundations that are complex and difficult to prepare d. retention of toxic materials e. potential for significant downstream impacts (ii). is expected to become a Large Dam during its operating life.		
Subproject is located in, or could affect, a Priority Forest Area, or habitat of significant biodiversity value, or natural habitat, or critical habitat, or legally protected area of recognised biodiversity value		
Subproject involves the procurement of pesticides by PSNP5, or by the local government		

Step (ii) a: Subprojects of Environmental or Social Concern

	Yes	No
Subproject has high or unknown potential negative impacts identified during Screening		
Subproject located in the vicinity of a National Park or other designated wildlife area, or within a buffer zone of such a park or area.		
Subprojects incorporates construction of a dam, (regardless of size)		

Step (ii) b: Subprojects Requiring a Special Procedure

Feature Requiring a Special Procedure	Yes	No
Subproject likely to involve generation and disposal of medical waste		
Subproject likely to use pesticides or other agro-chemicals		
Subproject incorporates construction of a dam (regardless of size) or is dependent on an existing dam, or on a dam already under construction		
Subproject that might involve Voluntary Land /Asset Donation		
Sub-project inside a Commune Center or close enough to a CC to have a potential direct or indirect impact on it or on the people in a CC.		

Step (iii) Subproject Screening

06: Community Road Earth/Gravel & Footpaths: Construction Typical Features and Impacts	Potential for Adverse Impacts				
	None	Low	Med	High	Unknown
Soil erosion or flooding (eg, due to highly erodible soils or					

06: Community Road Earth/Gravel & Footpaths: Construction Typical Features and Impacts	Potential for Adverse Impacts				
	None	Low	Med	High	Unknown
steep gradients)					
Number of stream crossings or disturbances					
Wet season excavation					
Creation of quarry sites or borrow pits					
Road or footpath will take land					
Significant vegetation removal					
Wildlife habitats or populations disturbed					
Environmentally sensitive areas disturbed					
Cultural or religious sites disturbed					
New settlement pressures created					
Other (specify):					

Mitigating Measures Required

Potential Impacts	Mitigation Measures

Approved Unconditionally: ☐ ed subject to Special Procedures and/or Mitigating measures ☐

Notify to REPA as Subproject of Environmental or Social Concern:

Rejected: ☐

☐

Screening conducted by (DA name):

Name: Position: Signature:

Date:

Screening supervised by:

Name: Position:Signature:

Date.....:.....

Environmental and Social Management Plan

Mitigating Measure (MM)	Time of implementation (D/M/Y)	Responsible body to implement & monitor MM	Issues to be monitored	Responsible person to monitor	Date of monitoring (D/M/Y)	Estimated resources required to implement MM	
						Cost (birr)	In-kind
1.							
2.							
3.							
4.							

Monitoring

Mitigating Measure (MM)	Report	Name	Signature	Date

Submission

Date submitted _____	
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Subproject Screening Form: Lowland**Subproject Type: 07: Community Road, Earth/Gravel and Footpaths: Rehabilitation****Region:**.....**Zone:**.....**Woreda:****Kebele:****Watershed:****Community:****Subproject Name:****ActivitiesInvolved:****DA Name:****Step (i) Subprojects Ineligible as PSNP PW**

Ineligible Features	Yes	No
Subproject is not labour-intensive		
Subproject is in, or adjacent to, an internationally-disputed area*		
Subproject involving the physical relocation of individuals or households, involuntary loss of land or any other asset or access to asset		
Subproject is within, or in the vicinity of, a known cultural heritage site, including World Heritage sites		
Subproject incorporates construction of a Large Dam, ie, with a height of 15 m or more from the lowest foundation to crest, or with a height between 5 and 10 m impounding more than 3 mn m ³ .		
Subproject incorporates construction of a Small Dam (ie. not a Large dam, above) that (i) could cause safety risks, such as: a. an unusually large flood-handling requirement b. location in a zone of high seismicity, c. foundations that are complex and difficult to prepare d. retention of toxic materials e. potential for significant downstream impacts (ii) is expected to become a Large Dam during its operating life.		
Subproject is located in, or could affect, a Priority Forest Area, or habitat of significant biodiversity value, or natural habitat, or critical habitat, or legally protected area of recognised biodiversity value		
Subproject involves the procurement of pesticides by PSNP5, or by the local government		

Step (ii) a: Subprojects of Environmental or Social Concern

	Yes	No
Subproject has high or unknown potential negative impacts identified during Screening		
Subproject located in the vicinity of a National Park or other designated wildlife area, or within a buffer zone of such a park or area.		
Subprojects incorporates construction of a dam, (regardless of size)		

Step (ii) b: Subprojects Requiring a Special Procedure

Feature Requiring a Special Procedure	Yes	No
Subproject likely to involve generation and disposal of medical waste		
Subproject likely to use pesticides or other agro-chemicals		
Subproject incorporates construction of a dam (regardless of size) or is dependent on an existing dam, or on a dam already under construction		
Subproject that might involve Voluntary Land /Asset Donation		
Sub-project inside a Commune Center or close enough to a CC to have a potential direct or indirect impact on it or on the people in a CC.		

Step (iii) Subproject Screening

07: CommunityRoadEarth/Gravel & Footpaths R1, R2, R3, R4, R5): Rehabilitation	Potential for Adverse Impacts				
	None	Low	Med	High	Unknown
Soil erosion or flooding (eg, due to highly erodible soils or steep gradients)					
Number of stream crossings or disturbances					

07: Community Road Earth/Gravel & Footpaths R1, R2, R3, R4, R5): Rehabilitation	Potential for Adverse Impacts				
	None	Low	Med	High	Unknown
Wet season excavation					
Road widening takes land					
Creation of quarry sites or borrow pits					
Significant vegetation removal					
Wildlife habitats or populations disturbed					
Environmentally sensitive areas disturbed					
Cultural or religious sites disturbed					
New settlement pressures created					
Other (specify):					

Mitigating Measures Required

Potential Impacts	Mitigation Measures

Approved Unconditionally: ☐ and subject to Special Procedures and Mitigating measures ☐

Notify to REPA as Subproject of Environmental or Social Concern: ☐

Rejected: ☐

Screening conducted by (DA name):

Name: Position: Signature:
Date:

Screening supervised by:

Name: Position: Signature:
Date:

Environmental and Social Management Plan

Mitigating Measure (MM)	Time of implementation (D/M/Y)	Responsible body to implement & monitor MM	Issues to be monitored	Responsible person to monitor	Date of monitoring (D/M/Y)	Estimated resources required to implement MM	
						Cost (birr)	In-kind
1.							
2.							
3.							
4.							

Monitoring

Mitigating Measure (MM)	Report	Name	Signature	Date

Submission

Date submitted _____	
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Subproject Screening Form: Lowland**Subproject Type: 08: Construction of Social Infrastructure**

Region:.....**Zone:**.....**Woreda:**
Kebele:**Watershed:****Community:**
Subproject Name:
ActivitiesInvolved:
DA Name:

Step (i) Subprojects Ineligible as PSNP PW

Ineligible Features	Yes	No
Subproject is not labour-intensive		
Subproject is in, or adjacent to, an internationally-disputed area*		
Subproject involving the physical relocation of individuals or households, involuntary loss of land or any other asset or access to asset		
Subproject is within, or in the vicinity of, a known cultural heritage site, including World Heritage sites		
Subproject incorporates construction of a Large Dam, ie, with a height of 15 m or more from the lowest foundation to crest, or with a height between 5 and 10 m impounding more than 3 mn m ³ .		
Subproject incorporates construction of a Small Dam (ie. not a Large dam, above) that (i) could cause safety risks, such as: a. an unusually large flood-handling requirement b. location in a zone of high seismicity, c. foundations that are complex and difficult to prepare d. retention of toxic materials e. potential for significant downstream impacts (ii) is expected to become a Large Dam during its operating life.		
Subproject is located in, or could affect, a Priority Forest Area, or habitat of significant biodiversity value, or natural habitat, or critical habitat, or legally protected area of recognised biodiversity value		
Subproject involves the procurement of pesticides by PSNP5, or by the local government		

Step (ii) a: Subprojects of Environmental or Social Concern

	Yes	No
Subproject has high or unknown potential negative impacts identified during Screening		
Subproject located in the vicinity of a National Park or other designated wildlife area, or within a buffer zone of such a park or area.		
Subprojects incorporates construction of a dam, (regardless of size)		

Step (ii) b: Subprojects Requiring a Special Procedure

Feature Requiring a Special Procedure	Yes	No
Subproject likely to involve generation and disposal of medical waste		
Subproject likely to use pesticides or other agro-chemicals		
Subproject incorporates construction of a dam (regardless of size) or is dependent on an existing dam, or on a dam already under construction		
Subproject that might involve Voluntary Land /Asset Donation		
Sub-project inside a Commune Center or close enough to a CC to have a potential direct or indirect impact on it or on the people in a CC.		

Step (iii) Subproject Screening

08: Social Infrastructure Construction Typical Features and Impacts	Potential for Adverse Impacts				
	None	Low	Med	High	Unknown
Impacts of new access (road) construction					
Alteration of existing drainage conditions					
Vegetation removal					

08: Social Infrastructure Construction Typical Features and Impacts	Potential for Adverse Impacts				
	None	Low	Med	High	Unknown
Wet season soil disturbance					
Construction materials impact on adjacent forests/lands					
Quarries and borrow pits created					
Cultural or religious sites disturbed					
Water supply development effects in available supply					
Effect of sanitation development on existing disposal sites					
Negative impacts of medical waste disposal					
In-migration/settlement induced by facilities development					
Local incapacity/inexperience to manage facilities					
Damage to human/animal health due to construction dust, noise.					
Accidents to humans/animals during construction					
Spread of communicable diseases due to overcrowding					
Other (specify):					

Mitigating Measures Required

Potential Impacts	Mitigation Measures

Approved Unconditionally: ☐ Approved subject to Special Procedures and/or Mitigating measures ☐

Notify to REPA as Subproject of Environmental or Social Concern:

Rejected: ☐

☐

Screening conducted by (DA name):

Name: Position: Signature:
Date:

Screening supervised by:

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

Environmental and Social Management Plan

Mitigating Measure (MM)	Time of implementation (D/M/Y)	Responsible body to implement & monitor MM	Issues to be monitored	Responsible person to monitor	Date of monitoring (D/M/Y)	Estimated resources required to implement MM	
						Cost (birr)	In-kind
1.							
2.							
3.							
4.							

Monitoring

Mitigating Measure (MM)	Report	Name	Signature	Date

Submission

Date submitted _____	
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Subproject Screening Form: Lowland**Subproject Type: 09: Gender- and Nutrition-Sensitive PW Subprojects**

Region:.....**Zone:**.....**Woreda:**

Kebele:**Watershed:****Community:**

Subproject Name:

ActivitiesInvolved:

DA Name:

Step (i) Subprojects Ineligible as PSNP PW

Ineligible Features	Yes	No
Subproject is not labour-intensive		
Subproject is in, or adjacent to, an internationally-disputed area*		
Subproject involving the physical relocation of individuals or households, involuntary loss of land or any other asset or access to asset		
Subproject is within, or in the vicinity of, a known cultural heritage site, including World Heritage sites		
Subproject incorporates construction of a Large Dam, ie, with a height of 15 m or more from the lowest foundation to crest, or with a height between 5 and 10 m impounding more than 3 mn m ³ .		
Subproject incorporates construction of a Small Dam (ie. not a Large dam, above) that (i) could cause safety risks, such as: a. an unusually large flood-handling requirement b. location in a zone of high seismicity, c. foundations that are complex and difficult to prepare d. retention of toxic materials e. potential for significant downstream impacts (ii) is expected to become a Large Dam during its operating life.		
Subproject is located in, or could affect, a Priority Forest Area, or habitat of significant biodiversity value, or natural habitat, or critical habitat, or legally protected area of recognised biodiversity value		
Subproject involves the procurement of pesticides by PSNP5, or by the local government		

Step (ii) a: Subprojects of Environmental or Social Concern

	Yes	No
Subproject has high or unknown potential negative impacts identified during Screening		
Subproject located in the vicinity of a National Park or other designated wildlife area, or within a buffer zone of such a park or area.		
Subprojects incorporates construction of a dam, (regardless of size)		

Step (ii) b: Subprojects Requiring a Special Procedure

Feature Requiring a Special Procedure	Yes	No
Subproject likely to involve generation and disposal of medical waste		
Subproject likely to use pesticides or other agro-chemicals		
Subproject incorporates construction of a dam (regardless of size) or is dependent on an existing dam, or on a dam already under construction		
Subproject that might involve Voluntary Land /Asset Donation		
Sub-project inside a Commune Center or close enough to a CC to have a potential direct or indirect impact on it or on the people in a CC.		

Step (iii) Subproject Screening

09: Nutrition based PW activities	Potential for Adverse Impacts				
	None	Low	Med	High	Unknown
New access (road) construction					
Alteration of existing drainage conditions					
Vegetation removal					

09: Nutrition based PW activities	Potential for Adverse Impacts				
	None	Low	Med	High	Unknown
Wet season soil disturbance					
Construction materials impact on adjacent forests/lands					
Quarries and borrow pits created					
Cultural or religious sites disturbed					
Impact of water requirements on available supply					
Effect of sanitation development on existing disposal sites					
Effects of medical waste on existing disposal system					
Spread of communicable diseases in child-care centres					
In-migration/settlement induced by facilities development					
Local incapacity/inexperience to manage facilities					
Accidents to humans or livestock during construction or operations					
Other (specify):					

Mitigating Measures Required

Potential Impacts	Mitigation Measures

Approved Unconditionally: ☐ Approved subject to Special Procedures and/or Mitigating measures ☐

Notify to REPA as Subproject of Environmental or Social Concern:

Rejected: ☐

☐

Screening conducted by (DA name):

Name: Position: Signature:

Date:

Screening supervised by:

Name: Position: Signature:

Date.....:.....

Environmental and Social Management Plan

Mitigating Measure (MM)	Time of implementation (D/M/Y)	Responsible body to implement & monitor MM	Issues to be monitored	Responsible person to monitor	Date of monitoring (D/M/Y)	Estimated resources required to implement MM	
						Cost (birr)	In-kind
1.							
2.							
3.							
4.							

Monitoring

Mitigating Measure (MM)	Report	Name	Signature	Date

Submission

Date submitted _____	
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Annex 21: COVID-19 Measures

I. Government of Ethiopia Guidance

The following guidance was issued by the Federal government to Regions regarding the operations of the PSNP during the COVID-19 pandemic:

Translation: Temporary Directives or Guidance on Sustaining the Implementation of the Productive Safety Net Program: Transfer; Public Works and Livelihoods, Ministry of Agriculture, March 2020

1. Importance / Purpose

This temporary guidance is prepared to help PSNP implementers have better understanding and be informed about key activities needed to better coordinate program implementation in order to mitigate the impacts of the current COVID19 pandemic on beneficiaries.

Thus, the primary purpose of this guidance is, to ensure that ongoing program activities (transfer, PW and livelihood) are implemented without compromising beneficiaries' safety as well as their ability to prevent transmission of the Coronavirus

Cognizant of this reality, the Ministry of Agriculture (MoA) has issued this directives / guidance to inform the program implementing regions and institutions as how the currently ongoing program activities such as transfers, public works and livelihoods interventions are aligned with the efforts that government is making to prevent and control Coronavirus transmission.

Based on the proposal from the State Minister for Natural Resources Management and Food Security, the Food Security Coordination and Natural Resources Management Directorates, in consultation with regions and also taking into account the EFY 2012 eight months program performance and the current COVID19 crisis in the country, have issued this directive to effectively guide and provide options as to how to meet the annual targets without compromising country's effort to prevent and control the effect of Coronavirus.

2. Temporary Options for Program Implementation:

2.1 Cash and Food Transfers:

It is noted that under the current Coronavirus invasion, calling and gathering program beneficiaries to make transfers will entails high risk in terms of exposing beneficiaries to the transmission of the virus. Hence the following options are found to be imperative for the common goods of the community at large:

- To complete the planned cash and food transfers and avoid crowd, it advised to divide beneficiaries into small manageable groups in separate places by different cashiers/food distributors at distinct dates and hours. This would require mobilizing more cahiers/food distributors.
- Explore mechanisms that would facilitate how both cash and food transfers may take place at a time.

- In a situation where the crisis is reported, explore better mechanisms in collaboration and discussion with regional and federal implementing agencies effect payment on time to avoid conditions that would create unnecessary exposure of clients to food gap.
- Make sure that at every distribution point, hand washing facilities and sanitizers are properly placed and utilized by all cashiers, food distributors and other MFI staff
- When clients are lined-up for payment, make sure that social distancing is fully adhered to i.e. a minimum of one-meter distance is maintained between everyone in the queue
- Provide personal protective equipment such as hand gloves and face masks for staffs when necessary
- All cash and food payments up to Megabit 2012 (March 2020) (i.e. for PDS 9 months and for PWs 3 months) should be completed in short period of time.
- It is recommended to use every possible mechanism to speed up the transfer process and accomplish on going payments.

2.2. Public Works

It is known that most of public work activities are implemented on communal land which include natural resource conservation, water harvesting and small-scale irrigation sub projects. These activities require public work participants to work in groups which could spread transmission of coronavirus. The below options are suggested to overcome the risk of Coronavirus transmission:

- From the PWs activities included in the annual work plan; (a) identify those activities that do not require large group / team size (b) find ways as to how the remaining activities can be completed using labour from individual public work participant or reduce team members to 2 - 5 participants and (c) develop a workplan/calendar that would help complete the already started public works.
- In places / localities where the Coronavirus is reported or areas identified as high risk, and if the above options are not feasible; in order to avoid food gap, undertake the transfer on time and reach consensus with the clients such that they cover the public works when the situation improves.

Use of Capital Budget:

Though level of capita budget utilization varies from region to region, on the average 40% utilization is reported as of now. In addition, it is noted that most regions procured essential materials for the public works and the remaining activities can be covered by use of labour with close support from the frontline implementors or experts. In view of this, the following options are presented:

- In a place where procurement of essential materials or capital goods are completed and for the remaining activities or sub-projects apply the above options including use of individual public work labour.
- In a situation where procurement performance of the essential materials or capital goods is below 50% and actual construction work of the sub projects work is not started, though it requires regional decision, the procured materials should be properly recorded and kept such that they will be used for the next year implementation

Even if the program considers various community behavioural change communication activities in relation to health, nutrition, and early child development and associated issues, it is noted that such activities require bringing many people together and this will create favourable environment for the transmission of the Coronavirus. In view of this, it is decided that any community awareness creation should be temporarily stopped or discontinued and find ways as to how PSNP clients utilize information / updates that the government provides through other alternative information sharing mechanisms including mass media and mobile phones.

It should be noted that such information sharing mechanisms should be complemented by house to house visits and awareness creation activities that health extension workers or community volunteers are doing such that beneficiaries would participate to make use of it.

2.3 Livelihoods Interventions

It is noted that livelihoods activities are implemented either on individual or group basis. And it is also observed that livelihoods implementation progress status varies from region to region. However, the eight months performance report indicates on the average 58% accomplishment not including performance of the livelihoods transfer. Thus, the next implementation should primarily focus on key activities taking into consideration the below procedures or guideline.

- General community consultation and awareness creation, financial literacy, technical and skill trainings which require gathering people at one place should be avoided. To do that it is advised to (a) reduce development agents and livelihoods group size ration from 1: 15-20 to 1:5 (b) arrange livelihoods related trainings at the village or model farmers' plots or use open areas that would help minimize congestions and people contacts
- Regarding implementation of livelihoods transfer:
 - In a place where household socio-economic data is available use these data for targeting but where such data is not available find way as how to collect household level data to target the bottom 10% of the poorest households.
 - Based on the household socio-economic data or household level information prepare list of potential beneficiaries and develop wealth ranking where wealth ranked list shared to kebele administration and communities / village levels and where small number of community members would come together and facilitate the verification and validation processes in very short period.
- Considering the previous best practices and learnings, it is better to put in place different mechanisms that will help enhance implementation of the actual livelihoods cash transfers. In view of this (i) considering the size or number of eligible livelihoods transfer clients per kebele better to divide them into groups and (ii) set clear payment schedule and effect payment in 2-4 days without creating large gathering
- In a situation where livelihoods transfer clients have passbook or account at RuSACCOs/ MFI inform these financial service providers to show up and ensure that the money is transferred to the respective clients' accounts such that they go back to their home with out delay.
- While the actual buying of productive assets takes place, it is necessary to support the livelihoods transfer clients in dividing or grouping them and identifying different markets

/ options in order to reduce possibility of market saturation or prices rise due to large gathering / demand.

2.4. Summary

- This proposal is designed and presented to address the current situation (COVID 19 crisis) and will be revised as things change.
- Please note that if some regions have better options that stated in this guidance, the MoA is ready to synthesize and widely share the experience with other regions.
- As much as possible complete ongoing payments in short period of time such that program beneficiaries will not be exposed to food gap.
- If NGOs woredas have better payment strategies / options, local government officials may discuss with relevant government institutions and undertake the program implementation in much more focused and coordinated manner like that of government operations
- We encourage and advise all food security task forces discharge their responsibilities with strong commitment
- In addition, we strongly advise all implementing institutions play their role in an integrated manner as per the program implementation manual

II. The Following text has been extracted and adapted from general guidance provided from the World Bank for construction sites:

Addressing COVID-19 at a subproject site goes beyond Occupational Health and Safety, and is a broader project issue which will require the involvement of different members of a project management team. In many cases, the most effective approach will be to establish procedures to address the issues, and then to ensure that these procedures are implemented systematically. It is suggested that [perhaps at woreda level] a designated team should be established to address COVID-19 issues, including PW, medical and OHS professionals. Procedures should be clear and straightforward, improved as necessary, and supervised and monitored by the COVID-19 focal point(s). Procedures should be documented, distributed to all concerned contractors, and discussed at regular meetings to facilitate adaptive management. The issues set out below include a number that represent expected good workplace management but are especially pertinent in preparing PSNP5 response to COVID-19.

(a) ASSESSING WORKFORCE CHARACTERISTICS

- The DA, where possible, should also identify workers that may be more at risk from COVID-19, those with underlying health issues or who may be otherwise at risk.
- Workers from local communities, who return home daily should be subject to health checks at entry to the site and at some point, circumstances may make it necessary to require them to either use accommodation on site or not to come to work.

(b) ENTRY/EXIT TO THE WORK SITE AND CHECKS ON COMMENCEMENT OF WORK

Entry/exit to the work site should be controlled and documented for both workers and other parties, including support staff and suppliers. Possible measures may include:

- Establishing a system for controlling entry/exit to the site, securing the boundaries of the site, and establishing designating entry/exit points (if they do not already exist). Entry/exit to the site should be documented.
- Training security staff on the (enhanced) system that has been put in place for securing the site and controlling entry and exit, the behaviors required of them in enforcing such system and any COVID -19 specific considerations.
- Training staff who will be monitoring entry to the site, providing them with the resources they need to document entry of workers, conducting temperature checks and recording details of any worker that is denied entry.
- Confirming that workers are fit for work before they enter the site or start work. While procedures should already be in place for this, special attention should be paid to workers with underlying health issues or who may be otherwise at risk. Consideration should be given to demobilization of staff with underlying health issues.
- Checking and recording temperatures of workers and other people entering the site or requiring self-reporting prior to or on entering the site.
- Providing daily briefings to workers prior to commencing work, focusing on COVID-19 specific considerations including cough etiquette, hand hygiene and distancing measures, using demonstrations and participatory methods.
- During the daily briefings, reminding workers to self-monitor for possible symptoms (fever, cough) and to report to their supervisor or the COVID-19 focal point if they have symptoms or are feeling unwell.
- Preventing a worker from an affected area or who has been in contact with an infected person from returning to the site for 14 days or (if that is not possible) isolating such worker for 14 days.
- Preventing a sick worker from entering the site, referring them to local health facilities if necessary or requiring them to isolate at home for 14 days.

(c) GENERAL HYGIENE

Requirements on general hygiene should be communicated and monitored, to include:

- Training workers and staff on site on the signs and symptoms of COVID-19, how it is spread, how to protect themselves (including regular handwashing and social distancing) and what to do if they or other people have symptoms (for further information see WHO COVID-19 advice for the public).
- Placing posters and signs around the site, with images and text in local languages.
- Ensuring handwashing facilities supplied with soap, disposable paper towels and closed waste bins exist at key places throughout site, including at entrances/exits to work areas; where there is a toilet, canteen or food distribution, or provision of drinking water; in worker accommodation; at waste stations; at stores; and in common spaces. Where

handwashing facilities do not exist or are not adequate, arrangements should be made to set them up. Alcohol based sanitizer (if available, 60-95% alcohol) can also be used.

- Review worker accommodations, and assess them in light of the requirements set out in IFC/EBRD guidance on Workers' Accommodation: processes and standards, which provides valuable guidance as to good practice for accommodation.
- Setting aside part of worker accommodation for precautionary self-quarantine as well as more formal isolation of staff who may be infected (see paragraph (f)).

(d) CLEANING AND WASTE DISPOSAL

Conduct regular and thorough cleaning of all site facilities, including offices, accommodation, canteens, common spaces. Review cleaning protocols for key construction equipment (particularly if it is being operated by different workers). This should include:

- Providing cleaning staff with adequate cleaning equipment, materials and disinfectant.
- Review general cleaning systems, training cleaning staff on appropriate cleaning procedures and appropriate frequency in high use or high-risk areas.
- Where it is anticipated that cleaners will be required to clean areas that have been or are suspected to have been contaminated with COVID-19, providing them with appropriate PPE: gowns or aprons, gloves, eye protection (masks, goggles or face screens) and boots or closed work shoes. If appropriate PPE is not available, cleaners should be provided with best available alternatives.
- Training cleaners in proper hygiene (including handwashing) prior to, during and after conducting cleaning activities; how to safely use PPE (where required); in waste control (including for used PPE and cleaning materials).
- Any medical waste produced during the care of ill workers should be collected safely in designated containers or bags and treated and disposed of following relevant requirements (e.g., national, WHO). If open burning and incineration of medical wastes is necessary, this should be for as limited a duration as possible. Waste should be reduced and segregated, so that only the smallest amount of waste is incinerated (for further information see WHO interim guidance on water, sanitation and waste management for COVID-19).

(e) ADJUSTING WORK PRACTICES

Consider changes to work processes and timings to reduce or minimize contact between workers, recognizing that this is likely to impact the project schedule. Such measures could include:

- Decreasing the size of work teams.
- Limiting the number of workers on site at any one time.
- Changing to a 24-hour work rotation.
- Adapting or redesigning work processes for specific work activities and tasks to enable social distancing, and training workers on these processes.
- Continuing with the usual safety trainings, adding COVID-19 specific considerations. Training should include proper use of normal PPE. While as of the date of this note, general advice is that construction workers do not require COVID-19 specific PPE, this

should be kept under review (for further information see WHO interim guidance on rational use of personal protective equipment (PPE) for COVID-19).

- Reviewing work methods to reduce use of construction PPE, in case supplies become scarce or the PPE is needed for medical workers or cleaners. This could include, e.g. trying to reduce the need for dust masks by checking that water sprinkling systems are in good working order and are maintained or reducing the speed limit for haul trucks.
- Arranging (where possible) for work breaks to be taken in outdoor areas within the site.
- Consider changing canteen layouts and phasing meal times to allow for social distancing and phasing access to and/or temporarily restricting access to leisure facilities that may exist on site, including gyms.
- At some point, it may be necessary to review the overall project schedule, to assess the extent to which it needs to be adjusted (or work stopped completely) to reflect prudent work practices, potential exposure of both workers and the community and availability of supplies, taking into account Government advice and instructions.

(f) PROJECT MEDICAL SERVICES

Consider whether existing project medical services are adequate, taking into account existing infrastructure (size of clinic/medical post, number of beds, isolation facilities), medical staff, equipment and supplies, procedures and training. Where these are not adequate, consider upgrading services where possible, including:

- Expanding medical infrastructure and preparing areas where patients can be isolated. Guidance on setting up isolation facilities is set out in WHO interim guidance on considerations for quarantine of individuals in the context of containment for COVID-19). Isolation facilities should be located away from worker accommodation and ongoing work activities. Where possible, workers should be provided with a single well-ventilated room (open windows and door). Where this is not possible, isolation facilities should allow at least 1 meter between workers in the same room, separating workers with curtains, if possible. Sick workers should limit their movements, avoiding common areas and facilities and not be allowed visitors until they have been clear of symptoms for 14 days. If they need to use common areas and facilities (e.g. kitchens or canteens), they should only do so when unaffected workers are not present and the area/facilities should be cleaned prior to and after such use.
- Training medical staff, which should include current WHO advice on COVID-19 and recommendations on the specifics of COVID-19. Where COVID-19 infection is suspected, medical providers on site should follow WHO interim guidance on infection prevention and control during health care when novel coronavirus (nCoV) infection is suspected.
- Training medical staff in testing, if testing is available.
- Assessing the current stock of equipment, supplies and medicines on site, and obtaining additional stock, where required and possible. This could include medical PPE, such as gowns, aprons, medical masks, gloves, and eye protection. Refer to WHO guidance as to what is advised (for further information see WHO interim guidance on rational use of personal protective equipment (PPE) for COVID-19).

- If PPE items are unavailable due to world-wide shortages, medical staff on the project should agree on alternatives and try to procure them. Alternatives that may commonly be found on construction sites include dust masks, construction gloves and eye goggles. While these items are not recommended, they should be used as a last resort if no medical PPE is available.
- Ventilators will not normally be available on work sites, and in any event, intubation should only be conducted by experienced medical staff. If a worker is extremely ill and unable to breathe properly on his or her own, they should be referred immediately to the local hospital (see (g) below).
- Review existing methods for dealing with medical waste, including systems for storage and disposal (for further information see WHO interim guidance on water, sanitation and waste management for COVID-19, and WHO guidance on safe management of wastes from health-care activities).

(g) LOCAL MEDICAL AND OTHER SERVICES

Given the limited scope of project medical services, the project may need to refer sick workers to local medical services. Preparation for this includes:

- Obtaining information as to the resources and capacity of local medical services (e.g. number of beds, availability of trained staff and essential supplies).
- Conducting preliminary discussions with specific medical facilities, to agree what should be done in the event of ill workers needing to be referred.
- Considering ways in which the project may be able to support local medical services in preparing for members of the community becoming ill, recognizing that the elderly or those with pre-existing medical conditions require additional support to access appropriate treatment if they become ill.
- Clarifying the way in which an ill worker will be transported to the medical facility, and checking availability of such transportation.
- Establishing an agreed protocol for communications with local emergency/medical services.
- Agreeing with the local medical services/specific medical facilities the scope of services to be provided, the procedure for in-take of patients and (where relevant) any costs or payments that may be involved.
- A procedure should also be prepared so that project management knows what to do in the unfortunate event that a worker ill with COVID-19 dies. While normal project procedures will continue to apply, COVID-19 may raise other issues because of the infectious nature of the disease. The project should liaise with the relevant local authorities to coordinate what should be done, including any reporting or other requirements under national law.

(h) INSTANCES OR SPREAD OF THE VIRUS

WHO provides detailed advice on what should be done to treat a person who becomes sick or displays symptoms that could be associated with the COVID-19 virus (for further information see WHO interim guidance on infection prevention and control during health care when novel

coronavirus (nCoV) infection is suspected). The project should set out risk-based procedures to be followed, with differentiated approaches based on case severity (mild, moderate, severe, critical) and risk factors (such as age, hypertension, diabetes) (for further information see WHO interim guidance on operational considerations for case management of COVID-19 in health facility and community). These may include the following:

- If a worker has symptoms of COVID-19 (e.g. fever, dry cough, fatigue) the worker should be removed immediately from work activities and isolated on site.
- If testing is available on site, the worker should be tested on site. If a test is not available at site, the worker should be transported to the local health facilities to be tested (if testing is available).
- If the test is positive for COVID-19 or no testing is available, the worker should continue to be isolated. This will either be at the work site or at home. If at home, the worker should be transported to their home in transportation provided by the project.
- Extensive cleaning procedures with high-alcohol content disinfectant should be undertaken in the area where the worker was present, prior to any further work being undertaken in that area. Tools used by the worker should be cleaned using disinfectant and PPE disposed of.
- Co-workers (i.e. workers with whom the sick worker was in close contact) should be required to stop work, and be required to quarantine themselves for 14 days, even if they have no symptoms.
- Family and other close contacts of the worker should be required to quarantine themselves for 14 days, even if they have no symptoms.
- If a case of COVID-19 is confirmed in a worker on the site, visitors should be restricted from entering the site and worker groups should be isolated from each other as much as possible.
- If workers live at home and has a family member who has a confirmed or suspected case of COVID-19, the worker should quarantine themselves and not be allowed on the project site for 14 days, even if they have no symptoms.
- Workers should continue to be paid throughout periods of illness, isolation or quarantine, or if they are required to stop work, in accordance with national law.
- Medical care (whether on site or in a local hospital or clinic) required by a worker should be paid for by the employer.

(i) CONTINUITY OF SUPPLIES AND PROJECT ACTIVITIES

Where COVID-19 occurs, either in the project site or the community, access to the project site may be restricted, and movement of supplies may be affected.

- Identify back-up individuals, in case key people within the project management team (PIU, Supervising Engineer, Contractor, sub-contractors) become ill, and communicate who these are so that people are aware of the arrangements that have been put in place.
- Document procedures, so that people know what they are, and are not reliant on one person's knowledge.
- Understand the supply chain for necessary supplies of energy, water, food, medical supplies and cleaning equipment, consider how it could be impacted, and what alternatives are available. Early pro-active review of international, regional and national

supply chains, especially for those supplies that are critical for the project, is important (e.g. fuel, food, medical, cleaning and other essential supplies). Planning for a 1-2 month interruption of critical goods may be appropriate for projects in more remote areas.

- Place orders for/procure critical supplies. If not available, consider alternatives (where feasible).
- Consider existing security arrangements, and whether these will be adequate in the event of interruption to normal project operations.
- Consider at what point it may become necessary for the project to significantly reduce activities or to stop work completely, and what should be done to prepare for this, and to re-start work when it becomes possible or feasible.

(j) TRAINING AND COMMUNICATION WITH WORKERS

Workers need to be provided with regular opportunities to understand their situation, and how they can best protect themselves, their families and the community. They should be made aware of the procedures that have been put in place by the project, and their own responsibilities in implementing them.

- It is important to be aware that in communities close to the site and amongst workers without access to project management, social media is likely to be a major source of information. This raises the importance of regular information and engagement with workers (e.g. through training, town halls, tool boxes) that emphasizes what management is doing to deal with the risks of COVID-19. Allaying fear is an important aspect of work force peace of mind and business continuity. Workers should be given an opportunity to ask questions, express their concerns, and make suggestions.
- Training of workers should be conducted regularly, as discussed in the sections above, providing workers with a clear understanding of how they are expected to behave and carry out their work duties.
- Training should address issues of discrimination or prejudice if a worker becomes ill and provide an understanding of the trajectory of the virus, where workers return to work.
- Training should cover all issues that would normally be required on the work site, including use of safety procedures, use of construction PPE, occupational health and safety issues, and code of conduct, taking into account that work practices may have been adjusted.
- Communications should be clear, based on fact and designed to be easily understood by workers, for example by displaying posters on handwashing and social distancing, and what to do if a worker displays symptoms.

(k) COMMUNICATION AND CONTACT WITH THE COMMUNITY

Relations with the community should be carefully managed, with a focus on measures that are being implemented to safeguard both workers and the community. The community may be concerned about the presence of non-local workers, or the risks posed to the community by local workers presence on the project site. The project should set out risk-based procedures to be followed , which may reflect WHO guidance (for further information see WHO Risk Communication and Community Engagement (RCCE) Action Plan Guidance COVID-19 Preparedness and Response). The following good practice should be considered:

- Communications should be clear, regular, based on fact and designed to be easily understood by community members.
- Communications should utilize available means. In most cases, face-to-face meetings with the community or community representatives will not be possible. Other forms of communication should be used; posters, pamphlets, radio, text message, electronic meetings. The means used should take into account the ability of different members of the community to access them, to make sure that communication reaches these groups.
- The community should be made aware of procedures put in place at site to address issues related to COVID-19. This should include all measures being implemented to limit or prohibit contact between workers and the community. These need to be communicated clearly, as some measures will have financial implications for the community (e.g. if workers are paying for lodging or using local facilities). The community should be made aware of the procedure for entry/exit to the site, the training being given to workers and the procedure that will be followed by the project if a worker becomes sick.
- If project representatives, contractors or workers are interacting with the community, they should practice social distancing and follow other COVID-19 guidance issued by relevant authorities, both national and international (e.g. WHO).

E-Waste Management Plan

1. Introduction

E-waste is an informal name for electrical and electronic products nearing the end of their useful life. For the PSNP, such waste would typically include modems, computers, monitors, and other electronic devices utilized by the governmental offices and any third-party implementers (TPI) involved in the implementation of the project.

Included in the potential environmental and social risks in this ESMF are the generation and management of E-waste which requires its own E-waste Management Plan. Therefore this E-waste Management Plan shall serve as a guidance document for the concerned offices and activities to provide a safe, environmentally sound, and unified response for E-waste management. The goal of the PSNP E-waste Management Plan is to protect human health and the environment.

This plan involves the tracking of E-waste resulting or associated with the activities of the PSNP. The management of the PSNP will ensure that where waste generation cannot be reused, recycled, or recovered, e-waste shall be treated, destroyed, or disposed of in an environmentally sound and safe manner that includes the appropriate control of emissions and residues resulting from the handling and processing of the waste material. All Project Workers involved in any waste management process must read and have a thorough knowledge of the procedures contained within this guidance document.

2. Ethiopian regulation with regards to e-Waste Management

In the Federal Republic of Ethiopia's Regulation number 425/2018 which was issued by the council of ministers for Electrical and Electronic Waste Management and disposal, its detail implementation procedure such as about the hierarchy of waste management, extended responsibilities of producers and consumers, collection of wastes, dismantling, recycling, labeling, treatment and management of wastes before recycling, its transportation and disposal. And about occupational safety and health and work environment of workers working on management of electrical and electronic waste is clearly stated.

Just to mention a few points, it is clearly stated that to minimize the environmental impact of electrical and electronic waste, the following waste management hierarchy shall be applied;

- Reduction of waste generation
- Refurbishing and reuse of waste
- Recycling of waste and
- Disposal of waste

In order to reduce sources of electrical and electronic waste generation and to strengthen the reuse, refurbishing and recycling of electrical and electronic waste any electrical and electronic equipment producer, wholesaler, retailer or importer shall have extended responsibility. It is also stated that the consumer just like that of PSNP5 implementing offices shall have responsibility to ensure that electrical and electronic waste are handed over to collection centers or to persons

entitled for collection.

And any violation of the provisions of this regulation shall entail criminal and civil liability in accordance with the appropriate provisions of the pollution control proclamation and other laws.

3. World Bank ESS3: Resource Efficiency and Pollution Prevention and Management

ESS3 contains provisions on the management of hazardous and non-hazardous wastes under section B. It sets the borrowers' requirements under World Bank funded projects to minimize the generation of waste, reuse, recycling, and recovery of waste in a safe manner. If the aforementioned is not possible at all or in part, ESS3 requires borrowers to dispose of the waste in an appropriate manner that include control of emissions and residues resulting from the handling and disposal process of the waste material. ESS3 requires that if the generated waste is considered hazardous, the borrower shall comply with the existing requirements for management in line with national requirements, international conventions and (Good International Industry Practices (GIIP).

4. World Bank Environmental, Health, and Safety (EHS) Guidelines

The EHS guidelines define hazardous waste as one sharing the properties of hazardous material (e.g., ignitability, corrosively, reactivity, etc.) among other physical, chemical, or biological characteristics that may pose potential health risks. The EHS guidelines define the practices required from facilities that generate and store waste which include avoidance and minimization, and where waste generation cannot be avoided but has been minimized, recovering and reusing waste, and where this cannot be implemented, reusing, treating, destroying and disposing of it in an environmentally sound manner. The EHS guidelines contain specific measures for the management of hazardous waste that include compliance with local and international regulations, ensuring contracting reputable and legitimate enterprises for the management of hazardous waste. In addition to general waste management measures on waste prevention, reuse, recycling, treatment, disposal, storage, transportation, and monitoring.

5. PSNP-Related E-Waste Sources

The activities under the PSNPs components could include the generation of e-waste consisting of computers, routers, and cabling, among others. The following table includes the types and estimated amounts of e-waste that could result from the implementation of the project activities, as well as the new electric & electronic equipment that is likely to be procured through the project, which at their End-of-Life Cycle could become e-waste.

Types of Electric/Electronic Equipment	Estimated Number of Items in Current Use	Estimated Additional Number of Items expected to be Procured by the Project
Laptops	1462	It is assumed that additional equipment will not be purchased for the government offices and the requirement of TPI is yet not

Annex 22: E-Waste Management Plan

		known
PCs	5,437	“
Keyboards	3,406	“
Mouses	3, 406	“
Monitors	3,406	“
Printers	2031	“
Projectors	34	“
Cable (meters)	0	450

6. Environmental and Social Impacts

The following are the potential environmental risks that could arise from the generation of e-waste:

- The release of pollutants and heavy metals to the environment due to unsafe and improper disposal of generated e-waste, posing health and safety risks to the public.
- Contamination and acidification of agricultural soil, affecting soil fertility and agricultural yield.
- Water, air, and soil pollution due to the release of environmental pollutants such as Persistent, Bio-accumulative Pollutants (PBT), and Persistent Organic Pollutants (POPs), furans, lead, mercury, polybrominated flame retardants, lithium, dioxins, and Polycyclic Aromatic Hydrocarbons (PAHs) among others.
- Improper recycling of e-waste as such practices are done for scavenging resalable components and parts, therefore causing environmental pollution due to the burning of cables, random disposal of wastewater from the recycling processes, and random dumping of irretrievable e-waste.

In addition, improper collection, management, and disposal of e-waste could pose the following health and social risks:

- Nuisance to communities due to aesthetical and visual pollution
- Contamination of drinking water, underground water resources with heavy metals, and other POPs.
- Various health impacts due to heavy metals in water, air, and soil due to the carcinogenic nature of these pollutants and their bioaccumulation in the food chain and water resources.
- Child labor and Gender Based Violence Impacts associated with employing children and women in collection and primitive recycling of e-waste.

7. Recommended E-Waste Management Strategy

Auctioning: Announce an auction for the sale of e-waste to companies and/or institutes that are licensed to manage this type of waste, includes reuse, recycling, recovery, or re-sale to other internal or external parties.

Collection: The selected company or institute shall be responsible for the collection of e-waste from the various offices at an agreed time each year, in accordance with the bidding documents.

Transportation: The awarded company or institute shall provide safe and adequate vehicles and machinery to transport e-waste in accordance with this Waste Management Plan. The transport destination shall be transfer stations, treatment facilities, or final disposal locations.

Temporary Storage: E-waste can be stored temporarily, until it is collected. This temporary storage is to take place in specified and dedicated locations which are authorized by the concerned PSNP offices, and which take into regard the occupational health and safety considerations. Companies or institutes that are awarded the auction are required to fill the quantity forms that include the type of collected waste from the temporary storage locations.

Treatment and Processing: Treatment or processing of e-waste shall take place at licensed and equipped facilities. Awarded companies or institutes shall specify in their proposals the treatment method that they are to apply. The implemented processes and management methodologies have to be documented and records are to be stored.

Disposal: Disposal methods must be specified in the proposals. The companies or institutes applying for the auction shall commit to the safe disposal of e-waste in accordance with this Waste Management Plan.

Awareness: The awarded company or institute is responsible for raising awareness with regard to the safe disposal and management of e-waste.

8. Good Operational Practices for E-Waste Management

The following are the general requirements for E-waste management:

8.1 E-waste Minimization and Prevention

The following set of measures aims to prevent and/or minimize the quantities of e-waste generated and the hazards associated with e-waste:

- Procure electronic devices from credible manufactures to avoid purchasing second hand, refurbished, or obsolete devices with a short shelf life or already categorized as e-Waste.
- Institute good housekeeping and operating practices, including inventory control to reduce the amount of e-waste resulting from materials that are out-of-date, off specification, contaminated, damaged, or excess to operational needs;
- Minimize hazardous e-waste generation by implementing stringent waste segregation to prevent the commingling of non-hazardous and hazardous e-waste to be managed.

- Institute procurement measures that recognize opportunities to return usable materials.

8.2 E-waste Segregation and Quantification

The contractors and suppliers associated with the E-Waste Management shall be assigned the responsibility of sound e-waste segregation, quantification, and labelling, and this will be clearly stated in the bidding documents.

Characterization, segregation, sorting, labelling, quantification, temporary storage and transport to final storage location, shall be conducted according to composition, source, type of e-waste produced, pollutants content in accordance GIIP practices. For a list of GIIP Practices applicable to this e-waste management plan, please refer to Annex IV.

E-waste segregation must take into account the hazardous nature of the waste or its content always be segregated from other e-waste that does not contain environmental, carcinogenic, or other pollutants. The segregation shall be done based on content, and correct labelling and quantification must be applied. Annex II presents the e-waste management and monitoring matrix expected to be implemented in relation to the project.

8.3 E-waste Recycling, Reuse, and Recovery

Operational assessment of end-of-life equipment shall be conducted by running appropriate tests to assess the functionality when replacing or retrofitting project related equipment. A sample of a functionality test that shall be conducted is available in Annex I.

In addition to the implementation of e-waste preventive strategies, the total amount of e-waste may be significantly reduced through reusing utilizable components within the PSNP or through outsourcing to certified and licensed firms that shall be contracted to receive project related e-waste.

8.4 E-waste Storage

Personnel working on the PSNP and involved contractors shall ensure that the storage of project related e-waste is being conducted in accordance the World Bank EHS Guidelines containing measures on Hazardous Waste, available in Annex IV. E-waste shall be stored in a way that prevents and controls accidental release to natural resources (air, soil, and water). The following measures are to be followed in the storage of e-waste:

- Temporary storage containers shall be available on site until transported into their final storage location.
- E-waste shall be stored in closed containers, each depending on type and composition away from direct sunlight, rain, wind, electrical fixtures, water systems and in an area where ventilation system is not circulated to other rooms or facilities.
- E-waste shall be stored in an appropriate manner preventing the mixing or contact between different sorts of e-waste and in a separate location from solid waste.
- The storage arrangement shall allow for inspection between containers to monitor leaks or spills. Examples could include insufficient space between incompatible e-waste.

- The awarded company or institute employees involved in the e-waste management shall provide their personnel with training and induction on the proper handling of e-waste.
- Employees involved with e-waste management shall be provided with the appropriate Personal Protective Equipment (PPEs), vaccinations in accordance with the Health Law and the bylaw on hazardous waste, and a medical record shall be kept.
- Containers with different types of e-waste shall be correctly labelled, with a datasheet attached and specified for each type including but not limited to number of containers, number of units within each container, type, weight, hazardous material content (Lead, mercury, etc...), date of collection, e-waste management personnel name, receiver, and final disposal method.
- The awarded company or institute will conduct periodic inspection of e-waste storage area and document the findings.
-

8.5 E-Waste Transportation

All e-waste containers designated for off-site transport shall be secured in the designated storage location and shall be labelled with the contents, associated hazards, receiver, destination, and other information. E-waste shall then be properly loaded onto the transport vehicles in accordance with OHS guidelines on loading and unloading, specified in the World Bank EHS Guidelines.

The e-waste containers shall be accompanied by an e-waste transfer note, in the form of a transport manifest that describes the load and its associated hazards, in suitable and well-suited vehicles. The handler and transporter shall be registered and certified.

8.6 E-waste Treatment and Disposal

In cases when e-waste is still generated after the implementation of feasible e-waste prevention, reduction, reuse, recovery and recycling measures, e-waste materials should be treated and disposed of, and all measures should be taken to avoid potential impacts to human health and the environment. Selected management approaches include timely removal, treatment and/or disposal at permitted/ approved facilities specially designed to receive the e-waste.

9. The budget required for implementation of this procedure.

For the remaining project period e-waste management will be part of project Environmental and Social Management Frame work training so no additional cost will be incurred. The cost of arranging auctions in the event of e-waste disposal would be born by concerned offices regular government administrative budget.

10. Monitoring

When significant quantities of hazardous e- wastes are generated and stored on site, monitoring activities shall include:

- Weekly visual inspection of all e-waste storage collection and storage areas for evidence of accidental releases and to verify that e-waste is properly labelled and stored.

Annex 22: E-Waste Management Plan

- Weekly visual inspection of labelling, quantities, and containers conditions.
- Weekly inspection of loss or identification of cracks, corrosion, or damage to protective equipment, or floors.
- Verification of locks, and other safety devices for easy operation (lubricating if required and employing the practice of keeping locks and safety equipment in standby position when the area is not occupied).
- Documenting any changes to the storage facility, and any significant changes in the quantity of materials in storage.
- Regular audits of e-waste segregation and collection practices.
- Tracking of e-waste generation trends by type and amount, preferably by facility departments.
- Incident reporting of e-waste-related accidents.

Additionally, record-keeping of collected e-waste needs to be monitored. E-waste collected, stored, or transported shall include:

- Name and identification number of the material(s) composing the hazardous e-waste or Physical state.
- Quantity (i.e., kilograms, number of containers)
- Content (i.e., devices)
- Schedule (date of collection, date of transportation, etc.)
- Hazardous and pollutant contents (i.e., existence of mercury, lead, etc.)
- E-waste transport tracking documentation shall include quantity and type, date dispatched, date transported, and date received, record of the originator, the receiver, and the transporter.
- Method and date of storing, repacking, treating, or disposing at the facility (with cross-reference to the manifest document or e-waste transfer notes) and including the quantities and location of any hazardous e-waste within the facility.

Annex 23: Food Transportation, Storage, and Disposals

The Second Additional Financing (AF2) support is directed to the procurement and transfer of food or cash for both core and shock responsive beneficiaries. To meet the requirement for the AF2, the Waste Management Plan (WMP) is updated in relation to food transportation, storage and disposals in the context of High-Risk Ongoing Conflict Areas (HROCA). The WMP that was prepared for the parent project will continue to be used as is for the PSNP5. This update will provide guidance for the Third-Party Implementer (TPI) to develop a plan for the waste management.

- The Environmental *pollutions* released to atmosphere or air from fuel consumption related to transportation of food should be regulated to acceptable level (national legislation). This could be done through **adopting** government standards during procuring of trucks for transportation and following safety standards of trucks and accessories, quality of the fuel used and the like.
- During transportation of food or grain using standard packaging and containing materials is highly important to prevent losses of food or grain.
- While transporting food or grain through heavy trucks some invasive weeds, pests and diseases may disperse from one location to the other, hence known mitigation measures such as cleaning and washing of tires should be done nearest to destination warehouses.
- Managing the safety of *warehouses and storage facilities*-the warehouses used for food storage should have the required quality standards and facilities in order to minimize the damage and wastage of food grain and associated impact to the environment and community.
- Appropriate and regular inspections should be done for the warehouses to prevent and control environmental and health impacts of food storage (chemical contamination during fumigation, pests and injuries).
- **Disposal of food wastes** should be conducted in such a way as to not affect the environment and surrounding community. The impacts of food disposal may cause soil compaction, pollution from burning, soil drainage and infiltration and affect animal and human health.
- If the waste management is conducted by third parties, contractors that are reputable and legitimate enterprises licensed by the relevant government regulatory agencies will be used and, with respect to transportation and disposal, obtain chain of custody documentation to the final destination.
- The government will ascertain whether licensed disposal sites are being operated to acceptable standards. Where licensed sites are not being operated to acceptable standards, the government will minimize waste sent to such sites and consider alternative disposal options, including the possibility of developing its own recovery or disposal facilities at the project site or elsewhere.
- The servicing and washing of vehicles shall be carried out so as to avoid pollution of the environment. Disposal of oil during vehicle oil changes will follow the procedure for the disposal of hazardous medical waste.

Annex 24: Security Risk Assessment and Management Plan

**THE FEDERAL DEMOCRATIC REPUBLIC OF ETHIOPIA
MINISTRY OF AGRICULTURE**

**Second Additional Financing for Strengthening Ethiopia's Adaptive
Safety Net (SEASN AF2) for PSNP5**

Security Risk Assessment and Management Plan

December, 2022

Addis Ababa, Ethiopia

ABBREVIATION AND ACRONYMS

AF2	Second Additional Financing
CSRA	Contextual Security Risk Approach
CSRs	Contextual Security Risks
E&S	Environmental and Social
ESAC II	Enhancing Social Assessment and Consultation Phase II for PSNP5
ESCP	Environmental and Social Commitment Plan
ESF	Environmental and Social Framework
ESMF	Environmental and Social Management Framework
ESSs	Environmental and Social Standards
FSCO	FSCO – Food Security Coordination Office
GBV	Gender-Based Violence
GIIP	Good International Industry Practice
GoE	Government of Ethiopia
GPN	Good Practice Note
GRM	Grievance Redress Mechanism
MoA	Ministry of Agriculture
MoU	Memorandum of Understanding
PAD	Project Appraisal Document
PDD	Project Design Document
PIM	Project Implementation Manual
FSCO	Project Implementing Unit
PDS	Permanent Direct Support
PSNP5	Productive Safety Net Program Phase V
PSO	Public Security Organization
PSPO	Private Security Provider Organization
PW	Public Work
RFSCs	Regional Food Security Coordinators
SA	Social Assessment
SEASN	Strengthening Ethiopia Adaptive Safety Net
SMP	Security Management Plan
SNNPR	South Nation, Nationalities and Peoples' Region
SRA	Security Risk Assessment
SRAMP	Security Risk Assessment and Management Plan
SROM	Shock Responsive Operational Manual
SSS	Social Safeguard Specialist
SST	Bank Social Safeguard Team
SWER	South West Ethiopia' Region
TLA	Traffic Light Assessment
WB	World Bank
WPSFP	Woreda Project Security Focal Person

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1. INTRODUCTON

1.1 Country Context

1. Located in the Horn of Africa, Ethiopia is the second most populous country in Sub-Saharan Africa, with an estimated population of about 109 million, of which 80.5 percent are rural dwellers. As assessed in the Project Appraisal Document (PAD), with an estimated per capita income of US\$869 in 2019, Ethiopia remains one of the poorest countries in the world but has achieved substantial progress in economic, social, and human development over the past decade. Between 2011 and 2019, Ethiopia's economy continued to grow rapidly, with an annual gross domestic product (GDP) growth rate around nine percent. The national poverty rate decreased from 30 percent in 2011 to 24 percent in 2016. Fast economic growth translated into strong household consumption growth in urban areas but not in rural areas. The urban poverty rate reduced by 11 percentage points, while in rural areas poverty decreased by 4 percentage points (from 30 percent in 2011 to 26 percent in 2016). Low levels of inequality have largely been maintained but vulnerability to poverty remains high, especially for those engaged in rain-fed agriculture and pastoralism. The natural resource base remains the foundation for most livelihoods and is subject to considerable environmental and climate risks.¹⁰¹
2. The assessment in PAD further shows that although poverty is decreasing overall, the poorest do not benefit from growth and shocks induced vulnerability is high. The welfare levels of the poorest 10 percent, who are mainly rural, have not increased since 2011. In rural areas consumption of the bottom 15 percent contracted between 2011 and 2016, similar to the observed trend between 2005 and 2011. Downward mobility—the risk of falling into poverty—was higher in rural areas: 26 percent of the non-poor population in rural areas had fallen into poverty by 2016, compared to 14 percent in towns and four percent in cities.
3. Setting the general context, 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, was experiencing low and declining agricultural productivity, persistent food insecurity, and rural poverty largely attributed to land degradation. It was estimated that by the mid-1980s some 27 million ha or almost 50 percent of the Ethiopian highlands, which makes up about 45 percent of the total land area, was significantly eroded. Of this, 14 million ha was seriously eroded and over 2 million ha were beyond reclamation. It was estimated that some 30,000 ha were being lost annually as a result of soil erosion, representing over 1.5 billion tons of soil removed annually by a variety of land degradation processes.¹⁰²
4. Owing to the aforementioned country context, Ethiopia has a painful history of large-scale food insecurity and sometimes famine. The extremes of the dire impacts of the 1984-5 and 2002-3 drought disasters led the Government of Ethiopia (GoE) to call for action in 2003 to proactively address the issue of drought disaster and its impacts on the most vulnerable. It was against this backdrop that Ethiopia launched its Productive Safety Net Programme (PSNP) in 2005 supported by a group of development partners (DPs). The idea was to prevent the extreme effects of severe

¹⁰¹ *Strengthening Ethiopian's Adaptive Safety Net Project, Project Appraisal Document, November 3, 2020*

¹⁰² Design Document for the Productive Safety Net Program Phase 5 (PSNP5) 2020 – 2025, November 2020

drought by providing regular support to the large numbers of households experiencing chronic food insecurity, leaving the humanitarian response to address the needs of a smaller number of people with acute needs when required.

5. Added to the factor, more recently, the security situation in Ethiopia has been showing unpredictable changes and remained unstable. Hence, as set out in the WB's Environmental and Social Framework (ESF), the need for security assessment and preparation of a risk management plan is a requirement for the AF2 of the SEASN for PSNP5.

1.2 Project Description

6. The implementation of the PSNP has begun its fifth phase (PSNP5) in 2020. The PSNP5 intends to reach around 8 million rural people annually with regular support, with others supported during shocks as required. As different project related assessments (SA, PAD, PDD and SROM and SEASN documents) reveals, since its commencement in 2005, PSNP has significantly contributed towards addressing the extreme negative effects of severe drought, alongside other efforts. For instance, in 2011, a severe one-in-60-year drought affected the whole of eastern Africa. The drought caused famine in Ethiopia's neighbor Somalia, and acute hunger and malnutrition in northern Kenya. But, Ethiopia was able to manage the crisis without experiencing the famine its neighbors faced attributable to PSNP. Likewise, during the 2015-16 El Nino drought, which resulted in millions of Ethiopians requiring emergency food assistance, PSNP was hailed for demonstrating 'how contingency arrangements could be used during emergencies, and like crisis modifiers, provided timely assistance relative to typical humanitarian projects'. Yet, over the last 20 years, the PSNP has been scaling up food and cash assistance on a temporary basis, both vertically (to existing regular PSNP beneficiaries) and horizontally (to other households) to address transitory food insecurity.

1.2.1 Project Development Objective

7. The Project development objectives (PDO) are (a) to expand geographic coverage and enhance service delivery of Ethiopia's adaptive rural safety net to improve the well-being of extremely poor and vulnerable households in drought-prone communities, and (b) in case of an Eligible Early Response Financing Event ("Eligible ERF Event") respond promptly and effectively to it.

1.2.2 Project Components

8. The proposed project SEASN AF2 will support the fifth phase of the Government of Ethiopia's Productive Safety Net Program. This phase of support will build on experiences and lessons learned from early phases of implementation and will seek to make key enhancements to the program under three components:
 - **Component 1** focuses on the delivery of safety net operations for core program beneficiaries. It includes: the delivery of core transfers to Public Works (PW) and Permanent Direct Support (PDS) beneficiaries; the implementation of the PW subprojects by which most beneficiaries earn their safety net benefits; services for children between 1 and 5 years old, and mothers; and complementary livelihood services to enable PSNP beneficiaries to enhance and diversify their incomes.
 - **Component 2** will: (a) support the Government to expand the geographic coverage of PSNP in additional drought-prone Woredas; and (b) enhance PSNP capacity to function as an integrated shock responsive social safety net, building on the GoE's recent

decision to consolidate the operations management of humanitarian food assistance and PSNP under the FSCO in the Ministry of Agriculture (MoA). This component also includes a pre-allocated Crisis Response Window (CRW) Contingent Emergency Response Subcomponent (CERC) which will facilitate an early response to emerging food insecurity crises.

- **Component 3** relates to the modernization of systems, capacity development, and overall management of the PSNP. It includes activities focused on strengthening service delivery and the Government institutions' ability to manage all aspects of program implementation.

1.2.3 Project Target Areas

9. The implementation of the PSNP5 covers 9 out of 12 regional states and rural kebeles of one city administration in Ethiopia: Tigray, Amhara, Afar, SNNPR, Sidama, Oromia, Somali, South West Ethiopia People's Region (SWEPR), and the rural parts of Dire Dawa City Administration and Harari Region. One distinct feature of the PSNP5 in comparison with the previous phases is the plan to expand the project's geographic coverage and enhance service delivery of Ethiopia's adaptive rural safety net to improve the well-being of extremely poor and vulnerable households in drought-prone Woredas. The new geographic (woreda) expansion is based on the selection criteria of extreme poverty including: (a) recent history of receipt of drought related emergency food assistance; (b) remote sensing satellite data showing frequency of drought shock; and (c) prevalence of extreme poverty. Accordingly, 77 new expansion Woredas are selected in three regions (17 in Amhara, 13 in Oromia, and 47 in Somali). When added the 77 new expansion Woredas to the 353 existing Woredas, the target areas of the PSNP5 covers 485 Woredas in the country. **Table 1** presents list of PSNP Woredas by region and reallocated core caseload number.

Table 11 List of PSNP regions, number of PSNP woredas and reallocated caseload

S/N	Region	Number of PSNP Woredas	Reallocated core caseload number
1	Amhara	87	1,884,378
2	Afar	34	515,712
3	Oromia	103	1,778,249
4	SNNPRS	85	917,362
5	SWER	6	23,669
6	Somali	93	1,627,132
7	Sidama	20	153,159
8	Harari	1	22,101
9	Dire Dawa	1	64702
10	Tigray	55	1010752
Current National Total		485	7,997,216

Note:

- a) Current national PSNP Woredas are 430. Due to the conflict in the region woreda by woreda caseload reallocation exercise is not done in 55 existing Woredas of Tigray. **But the total regional caseload is known and it is 1,010,752**
- b) Since they are considered as one woreda, the woreda caseload reallocation exercise is not applicable for .Diredawa and Harari regions.
- c) For 8 Woredas (4 in Amhara and 4 in Afar region) full targeting exercise has not been done due to the conflict in the northern Ethiopia.

1.3 Scope of Work

10. The consultant is required to undertake the following key tasks in the course of his professional service for this assignment:
- Profoundly review project-related documents to comprehend program activities with a particular focus on SEASN AF2 interventions and perception of beneficiaries and E&S security challenges in the process and as the result of implementing these program interventions.
 - Review of relevant national and WB legal and institutional frameworks that guide the requirement for security risk assessment and analysis and preparation of security risk management plan for SEASN AF2.
 - Examining national, regional and local security risks and impacts that would affect program implementation by conducting desk review and field-based security risk assessment on program activities and related issues.
 - Produce security risk assessment report with detailed management plan.
 - Organize a validation workshop on the findings of the assessment, produce draft and final reports and inform the regional, federal and other stakeholders in the presentation.

1.4 Methodology for the Preparation of the SRAMP

11. The preparation of this Security Risk Assessment and Management Plan employed different data sources that comprise both the secondary and primary data as highlighted below.

1.4.1 Desk Review

12. The preparation of the SRAMP depend on a profound review of various secondary sources. First, conducting an in-depth program implementation document review to understand program activities with a particular focus on SEASN AF2 interventions and perception of beneficiaries and E& S security challenges in the process and as the result of implementing these program interventions. The reviewed project-related document in this regard includes: PSNP5 Design Document, SEASN for PSNP5 Project Appraisal Document, PSNP5 Traffic Light Assessment, PSNP5 ESMF, ESAC Phase II, LMP, GBV Action Plan and PIM for PSNP5. Second, previous security based empirical studies and reports were reviewed to assess the project setting or Contextual Security Risks (CSRs). Relevant demographic and socio-economic information such as population age, unemployment, poverty, and inequality; crime levels and type; endemic political, social, or labor unrest; terrorism or insurgency with potential for new or escalation of violence in and around the project areas have been reviewed to set an overview of project security situation. Finally, national security policies and strategies and WB's Environmental and Social Framework, applicable ESSs (ESSs 1, 2 and 4) was reviewed to guide the legal and institutional frameworks of the SRAMP of AF2 for PSNP5.

1.4.2 Phone Interview

13. As the PSNP5 Traffic Light Assessment reveals, most PSNP Woredas in Amhara, Afar, Oromia, Somali, SWER, and SPNNPR fall under conflict and political instability. Despite the degree is low, the PSNP woreda in Dire Dawa City Administration and Harari region exhibit conflict and political instability. Also, shortage of time for this assignment was a key limiting factor. This situation makes difficult to obtain the country security clearance for face-to-face stakeholder interview. As a result, conducting phone interview was chosen as the most feasible method to conduct with the below mentioned relevant stakeholders. Nevertheless, due to the war in the Northern Ethiopia, all the 55 PSNP Woredas in the Tigray region cannot be accessed through the phone interview even but relaying on existing secondary data. ***Annex 1*** provides interview guiding questions for the project's security risk assessment.

A. Regional level stakeholders

14. The phone interview with the regional stakeholders mainly includes the Food Security Coordinators in the respective PSNP5 target regions. Targeting and Grievance Technical Support Specialist in the Ministry of Agriculture (MoA) liaison with the Regional Food Security Coordinators (RFSCs) for a phone interview. The interview with regional Food Security Coordinators aims to generate data relevant to assess: (a) project setting or Contextual Security Risks such as unemployment, poverty, and inequality; crime levels and type; endemic political or social unrest; and armed conflict and terrorism; (b) internal security risks such as illegal, unethical, or inappropriate behavior of project personnel or those directly affiliated with it, employee theft, and workplace violence; and (c) external risks such as those caused by the actions of people outside the project who seek to take advantage of opportunities presented by the development and operation of the project including common criminal activity; disruption of the project for economic, political, or social objectives; and other deliberate actions that have a negative impact on the effective, efficient, and safe operation of the project.

B. Woreda level stakeholders

15. Woreda stakeholders comprise those personnel responsible to run the day-to-day project activities at the woreda or kebele level of operation. The respective regional Food Security Coordinators facilitated the rapport creation with the consultant and a phone interview with the PSNP5 personnel in the sampled PSNP woreda following the below described sampling procedures. The consultant prepared interview guiding questions with woreda PSNP personnel, gave orientation and closely worked with the RFSCs in this respect. The purpose of a phone interview with woreda PSNP personnel was to generate relevant data for the assessment of project setting, internal and external security risks described above. A total of 11 project staffs representing each sampled PSNP woreda were interviewed for this SRAMP.

C. Community representatives

16. Yet again, a phone interview was conducted with the representatives of the project-affected communities in one kebele within the sampled PSNP Woredas: clan leaders, community elders, religious leaders, and representatives of vulnerable groups including women. The selection and a phone interview with one community representative from each selected kebele has been facilitated through the help of the woreda PSNP personnel. Given the disconnection or inaccessible phone networks in most PSNP kebeles in the sampled Woredas, one

convenient/accessible kebele per sampled Woredas was selected for a phone interview with community representative. Consultation with the project-affected community representatives aims to assess: (a) the general attitude of the project-affected communities toward the project activities and services; and (b) risks to and impacts on human security stemming from the use of security personnel.

1.4.3 Face-to-Face Interview with Federal Level Stakeholders

17. Face-to-face in-depth interview was conducted with the FSCO staffs (Targeting and Grievance Technical Support Specialist and PSNP focal person) in the Ministry of Agriculture to assess the project setting or Contextual Security Risks that adversely impact on the implementation of the PSNP activities at the national level.

1.4.4 Sampling Procedures and Selected PSNP Woredas

18. In an effort to make the selected PSNP Woredas representative, the following sampling procedures were applied. First, to capture the assessment of the security situation in all target regions, one PSNP woreda was selected from the respective regions. Second, the procedure of selecting the PSNP Woredas depends on the security information obtained from the Traffic Light Assessment (TLA). The TLA was introduced in February 2022 as a tool to support Amhara and Afar regions to assess the readiness of conflict-affected Woredas to resume core PSNP operations as quickly as possible after conflict subsides. Thus, the selection of the PSNP Woredas for the assessment of the security threats and risks emanating from the social and political instability in association with the war in the Northern part of Ethiopia was done on the basis of the TLA report. Third, the sampling procedures considered the existing as well as the newly added PSNP Woredas. This helps to assess the situation of security risks in both the existing and the new PSNP Woredas. Fourth, the sampling of the PSNP Woredas takes into account the differential security risks from the movement of armed group, insurgency or terrorism. Fifth, the sampling procedure bear in mind the differential security risks due to resource-based and inter-ethnic conflicts/tensions. Sixth, one PSNP kebele per sampled PSNP woreda was selected to reach out the views of the project-affected communities. Accordingly, the following PSNP Woredas were selected and **Table 2** presents the list by zone and region.

- Sekota and Chefera Woredas were selected to capture the effect of the war in the Northern Ethiopian on the PSNP performance.
- Hamer woreda is included to capture the security risks due to inherent resource-based and inter-ethnic conflicts.
- Goro Dola and Hitossa Woredas from Oromia region and Danot woreda from Somali region are chosen to assess the differential security risks to the performance of SEASN AF2 for PSNP5 resulting from the movement of armed group, insurgency or terrorism.
- Dire Dawa City Administration and Harari region has one PSNP woreda each and both are selected to represent the security situation in the existing PSNP Woredas. The selection of Hoko woreda from Sidama region is added to this.
- Out of the 77 PSNP Woredas newly included in the PSNP5, the majority of them are in Somali (47) and Amhara (17) regions. Owing to this, Enarje Enawuga woreda from Amhara region and Tuluguled woreda from Somali region were selected to depict the security risk assessment in the new PSNP Woredas.

Table 12 Sampled PSNP5 Woredas by Zone and Region

<i>Sample PSNP woreda</i>	<i>Zone</i>	<i>Region</i>
Sekota	Waghimira	Amhara
Enarje Enawuga	East Gojjam	
Tuluguled	Fafan	Somali
Danot	Dollo	
Chefera	Zone 01	Afar
Goro Dola	Guji	Oromia
Hitossa	Arsi	
Hamer	South Omo	SNNPR
Hoko	No Zonal Administration	Sidama
Dire Dawa Woreda	No Zonal Administration	Dire Dawa City Administration
Harari Woreda	No Zonal Administration	Harari

2. OBJECTIVES AND APPROACH OF THE SMP IN THE PROJECT

2.1 Objectives of the Project's SMP

Overall objective:

19. The overall objective of the Security Management Plan is to protect against and mitigate security risks at the project level that could threaten communities, employees, facilities, and project operations in general. This SMP provides direction, organization, integration, and continuity to the security program. It aims to ensure that the safeguarding of personnel and property of the project is carried out in a manner that avoids or minimizes security risks and adverse impacts in the intervention areas of the PSNP5.

Specific objectives:

20. The specific objectives of the security risk assessment and management plan for the SEASN FA2 for PSNP5 are to:
- Identify potential security risks and impacts to project workers and other stakeholders in association with the project interventions.
 - Assess the potential risks to project property at project target areas.
 - Outline procedures and steps to be undertaken to address requirements of the World Bank on environmental and social standards triggered by the projects.
 - Propose mitigation measures for the identified security risks and impacts as a result of the implementation of the PSNP5 activities financed through AF2.
 - Maintain the security systems outlined in the plan throughout the lifetime of the project.
 - Review project security risks on an annual basis and revise the SMP according to the change in the security-relate context in which the project operates.

2.2 Project Security Management Approach

21. The preparation and implementation of the SMP for the SEASN AF2 makes the following key security management approaches:
- Many security risks flow out of both inherent local social issues, such as ethnic tensions, and unrecognized issues between the project and local communities. As such, project

Operations, Government Relations, and Community Relations staff are all involved in the security management process.

- Making the link between project security and community relations/community engagement is key. Community engagement is a central aspect of a good security program, and good relations with employees and local communities can substantially contribute to overall security in the project area. The project can avoid internal operational silos by ensuring that project security plan coordinate regularly with other departments, such as Community Relations and Human Resources. Through its Community Relations function, the project can share information with communities about security arrangements, the project's security policies, and the expected conduct of security personnel. Dialogue with communities about security issues can also help the project identify potential risks and local concerns and can serve as an early warning system.
- The project recognizes the importance of periodic revision of its Security Management Plan to ensure that it remains relevant and appropriate. Hence, this SMP describes how security is organized to face identified threats and how security is continuously reassessed and reorganized in correlation with security situations and operations being undertaken. Accordingly, the project leading implementing agency the Ministry of Agriculture (MoA) will ensure that security procedures and criteria are fully designed, updated, and implemented at Project Operation Areas (POAs).
- The leading implementing agency the MoA will leverage in using the existing national and local security infrastructure to access and share conflict related information and encouraging local police leaders to specifically address conflict risks in community engagement activities in timely manner.

2.3 Role and Scope of the Project's SMP

22. The project's SMP underscores important industry standard tool that describes how security will be managed and delivered and what resources will be required. This SMP is the project's overarching guidance document for all other procedures and protocols related to security. Also, it considers risks and impacts to communities posed by the project's security arrangements and include provisions and mitigation measures to address these. To this end, this SMP set out that the level of effort in assessing and managing security risks should be commensurate with the level of security risk associated with the project and its operating context which consider the following three key factors. In line with this, **Figure 1** shows the role and scope of the project's SMP.
23. First, the Environmental and Social Management Framework (ESMF) is prepared for the management of the environmental and social risks and adverse impacts from the project. The identification and management of security risks (ESS4) is part of this ESMF. The ESMF is the foundation for the requirements for the project's security risk assessment and management. The project ESMF requires that the implementing agency MoA assess the potential environmental and social risks and impacts arising from the implementation of the PSNP5 activities. Among others, the assessment includes the threats to human security through personal and communal conflict, crime or violence. Likewise, potential threats to project workers, sites, assets and

activities as well as to project-affected communities are assessed and mitigated by the Borrower GoE throughout the project life cycle. As per the project ESMF, when the Borrower retains direct or contracted workers to provide security to safeguard the project personnel and property, it will assess risks posed by these security arrangements to those within and outside the project site.

Figure 1 Role and Scope of the Security Management Plan of SEASN AF2 for PSNP5



24. Second, the project ESMF requires that the level of effort in assessing and managing security risks should be commensurate with the level of security risk associated with the undertaking of the PSNP5 components and project contextual security risks. That is, the scale and scope of the project's SMP depends on the severity and complexity of the security risks of the project. Where risks are minimal, the project's SMP can be correspondingly simple. However, a plan of some form (stand-alone or integrated into broader management plans) should be documented and followed. It should focus on the functions and responsibilities of security—who does what, when, how, with what equipment, and accountable to whom. The person responsible for security (who may also cover other areas) should “own” the SMP, but the plan itself should provide continuity when there is a change of personnel in the security management structure. Conversely, where security risks are considered more substantial, the Borrower and/or contractors might choose to engage private security providers or work with public security personnel to provide protection. In high-risk situations particularly in situations of fragility, conflict and violence (FCV), the Borrower is more likely to choose to deploy public security forces. As discussed in the security risk analysis, risk rating and prioritization Section: (a) the overall project security risks are high and/or the potential impacts on local communities from a security response may be severe; and (b) the context security risks are particularly complicated and public security forces are likely to have a significant role.
25. Third, project's SMP considers community risks and impacts posed by the project's security arrangements and include provisions and mitigation measures to address these. In making such arrangements, the SMP expects that the Borrower will be guided by the principles of proportionality and Good International Industry Practice (GIIP) and by applicable national law

and WB policy, in relation to hiring, rules of conduct, training, equipping, and monitoring of such security workers. Also, the Borrower will: (i) make reasonable inquiries to verify that the project security personnel (whether public or private security personnel) retained to provide security are not implicated in past abuses; (ii) train them adequately (or determine that they are properly trained) in the use of force (and where applicable, firearms), and appropriate conduct toward workers and affected communities; and (iii) require them to act within the applicable national and WB laws. Taking into account the aforesaid key factors, **Figure 1** displays the role and scope of the SMP of SEASN AF2.

2.4 Key Components of the Project's Security Management Plan

26. The project Security Management Plan should: (1) be developed in consultation with key stakeholders including managements of the project implementing agencies from federal to local level; (2) clearly link to the Security Risk Assessment; and (3) include all relevant policies and procedures to guide the MoA's security provision over the life of the project. This document should include high-level overviews, policies, and content on approaches and aspects related to security management, with detailed procedures or design information. **Figure 2** illustrates the key components of the project's Security Management Plan. The subsequent discussions focus on the detail description of each key component displayed in the figure.

Figure 2 Elements of the Project's Security Management Plan



3. REVIEW OF POLICIES, LEGAL FRAMEWORKS AND INTERNATIONAL STANDARDS

27. The discussion that follows highlight on the standards, requirements and good international practice reflected in the preparation of the SMP of SEASN AF2 for PSNP5. Below, an overview of the relevant national legal framework, the WB's Environmental and Social Standards (ESSs) and other relevant international good practice is made.

3.1 National Legal Framework

3.1.1 The Constitution of FDRE

28. The Constitution of the FDRE is the highest policy and legal document that lays the basis for all laws and policies in the country. The Constitution of FDRE provides a number of basic and comprehensive principles that consider social protection and management in the country including the sustainable development. It recognizes the existence of diverse socio-cultural groups, including historically disadvantaged and underserved communities, pastoralists, agro-pastoralists and minorities as well as their rights to socioeconomic equity and justice. The relevant articles to security risks and impacts provisions among others are identified as follow.
29. Article (14) of the Ethiopian Constitution recognizes the right to life and security of person. The Article declares that every person has the inviolable and inalienable rights to life, has the right to get personal security protection from public security system against any risks or acts of bodily harm. The provision in Article (15) set outs that every person has the right to life and no person shall deprived of his life except as a punishment against a serious criminal offence which is to be determined in due process of the judicial system of the country. Article 17 stipulates on the right to liberty: no one shall be deprived of his or her liberty except on such grounds and in accordance with such procedure as are established by law; no person may be subjected to arbitrary arrest; and no person may be detained without a charge or conviction against him.
30. As per Article (25) of the Ethiopian Constitution all persons are equal before the law and are entitled without any discrimination to the equal protection of the law. In this respect, the law shall guarantee to all persons equal and effective protection without discrimination on grounds of race, nation, nationality, or other social origin, color, sex, language, religion, political or other opinion, property, birth or other status. Whereas Article (28) of the Constitution has provision on crimes against humanity: criminal liability of persons who commit crimes against humanity, so defined by international agreements ratified by Ethiopia and by other laws of Ethiopia, such as genocide, summary executions, forcible disappearances or torture shall not be barred by statute of limitation. The same Article further states that such offences may not be commuted by amnesty or pardon of the legislature or any other state organ. The provision on Article (32) applies to both the Ethiopian and foreign citizens. It states that any Ethiopian or foreign national lawfully in Ethiopia has, within the national territory, the right to liberty of movement and freedom to choose his residence, as well as the freedom to leave the country at any time he wishes to.

31. The Constitution of Ethiopia have the provisions on the rights of the citizens to access justice and the rights to labour. As set out in Article (37), everyone has the right to bring a justifiable matter to, and to obtain a decision or judgment by, a court of law or any other competent body with judicial power. Article (42) Sub-Article (2) stipulates that ‘workers have the right to a healthy and safe work environment’, obliging an employer (be it government or private) to take all necessary measures to ensure that workplace is safe, healthy and free of any danger to the wellbeing of workers. Yet, Article (87) declares on the principles for national defense. As stated in Sub-Article (3) the armed forces shall protect the sovereignty of the country and carry out any responsibilities as may be assigned to them under any state of emergency declared in accordance with the Constitution.

3.1.2 National Security Policy and Strategy

32. The Federal Democratic Republic of Ethiopia (FDRE) has issued a National Security Policy and Strategy in 2002. It recognizes failure to realize sustainable development and democracy as the root cause of national security risks in the country. The full provision is stated as follows: “The failure to realize development and democracy has resulted in our security being threatened. It has meant that we have remained impoverished, dependent and unable to hold our heads high. The prospect of disintegration cannot be totally ruled out. That is why it is imperative that we expedite development and consolidate democracy” (p. 23).
33. As justified in the policy document, the failure to realize development and democracy has been creating internal security risks to the country that hinder the undertaking of government and donor financed development projects. The intention of this justification can well extend to World Bank supported (through Investment Project Financing) development projects such as SEASN AF2 for PSNP5. The full justification of both is quoted as follows:
- “One of the main threats to our national interests and existence is our ***poverty and backwardness***. Besides exposing us to conflict and war, our vulnerability has wrought additional damage. It has made us pay a heavy price, even after the war, as we try to address its impact. Although war has at no time succeeded in crushing us as a nation, it has managed to succeed in perpetuating and deepening our poverty. Unless we move promptly to curb our vulnerability, we will remain prone not only to internal dangers, but to external security risks as well, and would continue to face pressure and even imposed wars”
 - In addition to poverty and backwardness, the absence of ***democracy and good governance*** is a factor that induces vulnerability that may result in bloodshed and destruction. In the absence of a democratic order and good governance, national and religious divisions will invariably intensify, the abuse of human rights would result in strife, and poverty would spread further—a recipe for disintegration and destruction” (p. 5).

34. Once identified the root cause of security risks that hinder the implementation of development projects such as SEASN AF2 for PSNP5 as stated above, the Ethiopian national security policy devised basic security strategies to mitigate the problem. Core among these security strategies, the full quotation of the two is stated here:

- ***Strategy center on economic development.*** “Our national interests and security will be guaranteed only if rapid development is attained. Security threats can be removed through overcoming poverty, through development and economic initiative. It is only when we build a strong economy that equally benefits all Ethiopians that we can effectively address security risks that hamper the undertakings of development projects. Therefore, we need to deploy all efforts to develop quickly for the benefit of the people. All other issues should come second to this campaign” (p. 28).
- ***Strategy center on building democracy and good governance.*** “Establishing a democratic order in Ethiopia is the way to respect people and individual’s rights, affirm good governance, and assure stable working and living conditions. Unless we recognize that our country is home to many nations and faiths and move to form a strong unity based on the voluntary will of our peoples; and until we build strong national consensus based on the principles embodied in the constitution, we will not only be exposed to internal strife and implosion but also to external conflicts and hazards, as well. Unless we establish strong democratic institutions; reach a broad national concord based on democratic principles; assure the rule of law; isolate and through popular involvement, deal with those who operate outside legality, we will remain hostage to internal and external threats as well as dangerous conflicts and wars” (p. 34).

3.1.3 National social protection strategy of Ethiopia

35. Ethiopia has formulated a National Social Protection Policy in 2012 with the general objective to create an enabling environment in which citizens (including people with special needs and other vulnerable groups) have the right to equitable access to all social protection services that will enhance their growth and development. Ethiopia’s social protection policy is a central public policy component for addressing poverty, vulnerability and inequality.

3.1.4 Labour proclamation

36. The government of Ethiopia has enacted Labor Proclamation No 1156/2019 with the general objectives and requirements to ensure worker-employer relations are governed by basic principles of rights and obligations with a view to enabling workers and employers to secure durable industrial peace; sustainable productivity and competitiveness through cooperative engagement towards the all-round development of the country. The proclamation under article 92 states that an employer shall take the necessary measure to safeguard adequately the health and safety of workers. This article under sub articles 1 and 6 indicated that the employer has an obligation to comply with the occupational health and safety requirements provided for in the Proclamation to ensure that the work place and premises of the undertaking do not pose threats to the health and safety of workers.

3.2 Applicable WB's Environmental and Social Standards (ESSs)

37. The responsibility of the Borrower for the assessment of security risks for the project, including security risks to project workers, assets, and activities, mitigation measures is set out in various WB's Environmental and Social Standards. The applicable ESSs are highlighted as follow.

3.2.1 Assessment and Management of Environmental and Social Risks (ESS1)

38. The provision in ESS1 set out Borrower's requirement to assess, manage, and monitor the environmental and social risks and impacts including security risks associating with SEASN AF2 for PSNP5 throughout the project life cycle so as to meet the requirements of the ESSs in a manner and within a time frame acceptable to the Bank (paragraph 14).
39. Also, the provision in the ESS1 requires security risk analysis, risk rating and prioritization for the SEASN AF2 for PSNP5. Accordingly, "***Social and Conflict Analysis*** is an instrument that assesses the degree to which the project may (a) exacerbate existing tensions and inequality within society (both within the communities affected by the project and between these communities and others); (b) have a negative effect on stability and human security; (c) be negatively affected by existing tensions, conflict and instability, particularly in circumstances of war, insurrection and civil unrest" (Annex 1 5(e)).
40. As per ESS1 (paragraph 30), where security risks are assessed low, the security arrangements for the SEASN AF2 for PSNP5 might consist of simple measures, such as fencing or signs and security guards at night. Where security risks are considered more substantial, the MoA and/or contractors might choose to engage private security providers or work with public security personnel to provide protection. In high-risk situations, particularly in situations of fragility, conflict and violence (FCV), the project implementing agency MoA is more likely to choose to deploy public security forces.

3.2.2 Labour and Working Conditions (ESS2)

41. ESS2 sets out the terms and conditions of employment for employing or otherwise engaging workers on the project, specifies the requirements, standards to be met, policies, and procedures to be followed, assesses risks, and proposes implementation of compliance measures. The SRA is developed to help avoid, mitigate, and manage security risks and impacts in relation to project workers and ensure non-discrimination, equal opportunity, protection, fair treatment, and safe and healthy working conditions. The term "project worker" refers to:
- a) People employed or engaged directly by the Borrower (including the project proponent and the project implementing agencies) to work specifically in relation to the project (direct workers);
 - b) people employed or engaged through third parties to perform work related to core functions of the project, regardless of location (contracted workers);
 - c) People employed or engaged by the Borrower's primary suppliers (primary supply workers);
 - d) People employed or engaged in providing community labor (community workers).

42. WB ESS2 applies to project workers including fulltime, part-time, temporary, seasonal and migrant workers.

3.2.3 Community Health and Safety (ESS4)

43. The need for SEASN AF2 to address the assessment and mitigation of risks to, and impacts from, the use of security personnel on project-affected communities and project workers is set out in ESS4. As per this provision, representing the Borrower the GoE, the MoA is required to evaluate the risks and impacts of the SEASN AF2 on the health and safety of the affected communities during the project life cycle, including those who, because of their particular circumstances, may be vulnerable. The MoA will identify risks and impacts and propose mitigation measures in accordance with the mitigation hierarchy (paragraph 5).
44. As stipulated in paragraph 24 of ESS4, when the MoA retains direct or contracted workers to provide security to safeguard its personnel and property involving the implementation of the SEASN AF2, it will assess risks posed by these security arrangements to those within and outside the project site. In making such arrangements, the MoA will be guided by the principles of proportionality and GIIP, and by applicable law, in relation to hiring, rules of conduct, training, equipping, and monitoring of such security workers.
45. When decision is made to use public security personnel, the MoA will seek to ensure that government security personnel deployed to provide security services act in a manner consistent with paragraph 24 above and encourage the relevant authorities to disclose the security arrangements for the project's facilities to the public, subject to overriding security concerns. Besides, as stated in paragraph 26, representing the Borrower GoE the MoA will: (i) make reasonable inquiries to verify that the direct or contracted workers retained to provide security for SEASN AF2 are not implicated in past abuses; (ii) train them adequately (or determine that they are properly trained) in the use of force (and where applicable, firearms), and appropriate conduct toward workers and affected communities; and (iii) require them to act within the applicable law and any requirements set out in the ESCP.

3.2.4 Additional World Bank Reference

46. World Bank Good Practice Note (GPN): Assessing and Managing the Risks and Impacts of the Use of Security Personnel. It requires that potential threats to project workers, sites, assets and activities as well as to project-affected communities are assessed and mitigated by the Borrower throughout the project life cycle. If it is decided that security personnel should be engaged, the potential risks and impacts stemming from such engagement in turn needs to be assessed and management measures identified in accordance with the mitigation hierarchy. In this regard, the World Bank is providing a series of Good Practice Notes to accompany the ESF to support its implementation.

3.3 Other International Standards for Reference

47. There are other international standards for reference in the preparation, monitoring and implementation of the Security Management Plan for SEASN AF2. Common to these Good

International Practices they all emphasize that the use of security forces is based on the concept that providing security and respecting human rights can and should be consistent. This translates into implementation of policies and practices that ensure security provision is carried out responsibly, with any response being proportional to the threat. Proactive communication, community engagement, and grievance redress are central to this approach, often through collaboration between security and community relations departments. Gender considerations are also important, as women often have different experiences and interactions with security personnel. Some of the common international standards for reference in the security management plan of SEASN AF2 are:

- ***UN Code of Conduct for Law Enforcement Officials 9 (1979)*** that states on the principles and prerequisites for law enforcement officials to perform their duties while respecting and protecting human dignity and human rights.
- ***UN Basic Principles on the Use of Force and Firearms by Law Enforcement Officials (1990)*** which stipulates on the principles on use of force and firearms by law enforcement officials.
- **Voluntary Principles on Security and Human Rights (2000)** provides on internationally recognized set of principles designed to guide companies in maintaining the safety and security of their operations within an operating framework that encourages respect for human rights.
- ***International Code of Conduct for Private Security Service Providers (2010)*** that set out on the principles and standards applicable to private security companies (companies providing guard forces)
- ***UN Guiding Principles on Business and Human Rights (2011)*** states provisions on global standard for preventing and addressing the risk of adverse human rights impacts linked to business activity.

48. Further international standards for reference can be accessed throughout the following links:

- ANSI's Management System for Quality of Private Security Company Operations:
http://www.acq.osd.mil/log/ps/.psc.html/7_Management_System_for_Quality.pdf
- Armed Conflict Location and Event Data Project (ACLED, which has a useful risk dashboard tool:
<https://www.acleddata.com/>
- International Finance Corporation (IFC) Handbook on the Use of Security Forces: Assessing and Managing Risks and Impacts, 2017 (available in English, French, Spanish)
https://www.ifc.org/wps/wcm/connect/topics_ext_content/ifc_external_corporate_site/sustainability-at-ifc/publications/publications_handbook_securityforces
- International Association of Oil and Gas Producer's Report on Firearms and the Use of Force: <http://www.ogp.org.uk/pubs/320.pdf>
- MIGA's Implementation Toolkit for Major Project Sites:
https://www.miga.org/documents/vpshr_toolkit_v3.pdf
- Voluntary Principles Implementation Guidance Tool:
http://www.voluntaryprinciples.org/wp-content/uploads/2013/03/VPs_IGT_Final_13-09-11.pdf

- ICRC and DCAF's Security and Human Rights Toolkit:
<http://www.securityhumanrightshub.org/content/toolkit>
- USAID OFDA safety and security update:
<https://reliefweb.int/sites/reliefweb.int/files/resources/USAID>

4. SECURITY RISK ASSESSEMENT (SRA)

49. Assessing and evaluating potential security risks is the first step in determining the level and types of security arrangements for SEASN AF2. Decisions as to whether guards should carry firearms or whether fences should be electrified, is based on an informed analysis of whether the level of risk calls for such measures, as well as on consideration of the impact these arrangements might have on employees, local communities, and security personnel themselves.
50. The level of security effort required in the SMP for the project commensurate with the threat environment in which the particular PSNP Woredas is operating. As the details of the below security risk assessment for the targeting regions reveals, PSNP Woredas operate with differential security risks:
- Some PSNP Woredas operate in a relatively stable environments with lower potential adverse security impacts emanating from the political and social settings outside the project areas. For such PSNP Woredas, a review of threats and related risks can be relatively straightforward.
 - Conversely, some PSNP Woredas operate in higher-security risk environments. These particular Woredas, the level of analysis merited a more rigorous and comprehensive SRA that may need to consider the political, socio-economic, or military aspects outside the project but with adverse security risks to the operation of the PSNP activities.

Figure 3 Objectives of the Security Risk Assessment for SEASN AF2



- Against this backdrop, the scoping of the security risk assessment for the SEASN AF2 includes an overview of security situations or contextual security risks and project-induced security risks (internal and external security risks). Then, the security risk rating for the SEASN AF2 is determined based on the cumulative threats following the steps of security risk analysis made in the following section. the ranging from a relatively

straightforward screening of risks to undertaking a more formal and comprehensive Security Risk Assessment that may need to consider more in-depth political, socio-economic, military, or other aspects. Accordingly, **Figure 3** displays the objectives of the security risk assessment for SEASN AF2.

4.1 Assessing Contextual Security Risks for the SEASN AF2 for PSNP5

4.1.1 Using Contextual Security Risk Approach (CSRA) to PSNP5

51. According to World Bank Good Practice Note (2022)¹⁰³, even the most remote development projects do not occur in isolation. Development projects such as the SEASN for PSNP5, operate in a wider system. Hence, the security risk assessment must understand the relationship of the project to and within that system. By their very nature, development projects such as SEASN for PSNP5 are likely to affect and be affected by the social, political, cultural, economic, and environmental dynamics that exist within the setting of the project, at the local, regional, and/or country level. These dynamics or effects may be positive, negative, neutral, or a combination. To manage risks effectively and in accordance with the WB's ESSs, the security risks assessment should expose how these dynamics may affect the project in the course of its implementation and, conversely, how the project may affect the various dynamics with which the project intersects. This is crucial for conflict sensitivity, to avoid exacerbating existing dynamics or creating new ones. Backdrop to this, as World Bank Good Practice, **Contextual Security Risks (CSRs)** are defined as risks in the external environment (at a country, regional/subnational or local level) that the project does not control but which could negatively impact a project's ability to meet the E&S requirements.
52. The World Bank Good Practice Note (2022) underscore that contextual Security Risks should not be mistaken for project-level risk assessments but seen rather as a precursor to risk assessments. A deeper understanding of contextual security risks in the broader project context will help inform the risks and impacts identification process and define the scope of the project risk assessment, to capture those security risks for which mitigation and management measures will be needed (p. 8).
53. As to the World Bank Good Practice Note, contextual risks are always evolving, especially in Fragile and Conflicted-Affected Situations (FCS), which can be characterized by different conflict dynamics, political instability, natural disaster shocks and population movement. Identifying and monitoring these risks in a systematic manner and adapting project-level mitigation measures is critical, not only during project due diligence but throughout the project life cycle (p. 8).
54. Yet, the Contextual Security Risk Approach (CSRA) noted that not all aspects of the Contextual Security Risks impact equally to all project implementing areas. Rather, in some instances, risks at the national or regional level, such as high levels of conflict or the movement of armed

¹⁰³ World Bank Good Practice Note (2022). Contextual Risk Screening for Development Projects: Linking National-Level Risks to the Local-Level Project Risks in Fragile and Conflict-Affected Situations and Beyond.

groups, may directly affect some parts of the country or project target areas more than others. As a result, a project's security risk assessment and management plan should seek to prioritize the highest risk aspects for a particular project targeting areas to support their due diligence, leveraging the security risk assessment process. It was against this backdrop of the CSRA that the contextual security risks for the SEASN AF2 for PSNP5 are identified and assessed.

4.1.2 Project Contextual Security Risks

55. Using the Contextual Security Risk Approach as recommended in the World Bank Good Practice Note (2022) described above, the project's security risk assesses the external environment (at a country, regional/subnational or local level) that the PSNP5 does not control but which could negatively impact the project's ability to meet the E&S requirements including potential threats to project workers, sites, assets and activities as well as to project-affected communities. Accordingly, the below listed project's contextual security risks are identified and assessed for potential security risks based on the data obtained from: (a) stakeholder consultation held at federal, regional, and woreda/local level; (b) project-related document listed under the methodology; and (c) related previous empirical studies and reports. Accordingly, the risk assessment highlight on the following contextual security risks for the SEASN AF2.

4.1.2.1 The war in the Northern part of Ethiopia

56. One special relevance of using the Contextual Security Risks Approach for the project's security risk assessment justifies the disproportionate adverse impacts of the war in the Northern part of Ethiopia among the PSNP targeting regions and Woredas. According to the TLA reports, Revised PSNP5 Geographic Expansion and Caseload Reallocation Plan for the PSNP5, and interview with project implementing stakeholders (federal to local level), the PSNP activities in three regions (Tigray, Amhara and Afar) out of the targeting ten are totally or partially halted due to the war which has been lasted over the last two years.
57. In Tigray region, woreda by woreda caseload reallocation exercise has not been done at all in the entire 55 existing PSNP Woredas due to security threats of the war in the North which has been fought over the last two years. Hence, unlike other regions, the implementation of the PSNP5 has not been commenced in Tigray region. Yet, there is a clear security risks to SEASN AF2 for PSNP5 as all the PSNP Woredas in the region are not under the reach of the implementation arrangements of the program.
58. The security risk assessment reveals severe adverse security threats of the war for the implementation of the PSNP5 activities in Amhara region. Out of the eleven targeting Zones in the region, the security risks from the war halted the program implementation in eight Zones. This means, out of the total targeting 87 Woredas, the security threats from the war impacted 79 Woredas: all the 7 Woredas each in North Gonder, Central Gonder and Waghimira Zones, the entire 11 Woredas each in South Gonder, North Wollo, and North Shewa Zones, all the 20 Woredas in South Wollo Zone, and the full 5 Woredas in Oromia Special Zone. The security risk assessment shows that the program implementation in all of the aforesaid PSNP Woredas has been halted due to the adverse security threats from the war: (a) the programing

implementing bodies (woreda project staffs and Task Force, Kebele Development Agents and Task Force) and project beneficiaries have been displaced; (b) project facilities (offices, cars, office equipment, food storages, and food distribution points) have been completely destroyed; (c) project records and beneficiary database have been burnt; (d) the communication and road infrastructures have been destroyed; (e) some of the war affected PSNP Woredas (e.g. Abargele) are still out of the control of the program implementing arrangements.

59. Out of the five Zones in Afar region where the PSNP5 operates, the war affected two of them, namely: Zone 02 where the project operates in 8 Woredas and Zone 04 where the project operates in 5 Woredas. In implementation of the PSNP5 activities have been halted in all the project areas in these two Zones for the same security threats of the war mentioned above for Amhara region.
60. Despite the ceasefire and peace agreement recently reached between the two conflicting parties in the war, the scenarios of the security risk assessment anticipates risks for the implementation of the SEASN AF2 for PSNP5 in Tigray, Amhara and Afar regions. One scenario for the potential security risks is that the complex political, economic, and social dynamics in the three war-affected regions may contribute to the adverse impacts for the implementation of the SEASN AF2 for PSNP5. The other scenario refers to the on-going peace negotiation between the conflicting parties with no war ending solution yet to anticipate security risks. Consequently, the contextual security risks from the war is assessed as substantially high for the three war-affected targeting for SEASN AF2.

4.1.2.2 Resource based inter-ethnic conflicts

61. One of the recurring causes of conflicts common to all the pastoral areas of the project relates to access to grazing pasture and water sources. This contextual security risk assessment applies to all the pastoral groups in the project areas including: (a) the entire PSNP Woredas in Afar and Somali regions; (b) PSNP Woredas in Borena and Guji Zones of Oromia region; and (c) PSNP Woredas in South Omo Zone of SNNPRS. This has been caused by the degradation and reduced carrying capacity of the rangelands (encroachment and little, erratic rain) combined with continued overgrazing by large cattle herds. This results in competition over resources, especially during droughts and dry seasons when the nutritional conditions of livestock are meager. The limitations of the rangeland resources and the subsequent competition often lead to violent conflicts between different pastoral groups in the above identified areas of the project (Yohannes et al., 2005)¹⁰⁴. According to the assessment in ESAC Phase II for SEASN PSNP5, resource-based inter-group conflicts often pose security risks to project staffs, facilities and activities implementation.

4.1.2.3 Territorial-based conflicts

62. Besides being valuable sources of livelihood, many natural resources such as rivers and forests or grazing areas serve as the boundaries between neighboring pastoral groups in the project areas. Hence, conflicts over access to natural resources often transform into more protracted boundary and territorial conflicts. In some cases, this contextual risk factor has historical,

¹⁰⁴ Yohannes et.al. (2005). Addressing Pastoralist Conflicts in Ethiopia. Africa Peace Forum Report.

political, social and economic roots. The recurring inter-ethnic conflicts and tensions between the neighboring Borana (in Oromia region) and Digodi and Gerri (in Somali region) dominant pastoral groups in South-East Ethiopia depicts a legendary case in point. The three pastoral groups share common pastoral resources not only in Ethiopia but also across the border in Kenya. But, the recurrent conflicts between the Borana on the one hand and Digodi and Gerri on the other caused not solely due to ethnic divisions or disputes over resources. In addition, the conflicts between the groups have been intensified and shaped by political factors, particularly, the interventions of the government and local administrations, changes in administrative boundaries, and completion over the economic control of the trade activities along the Ethio-Kenya borders (Mohammud, 2015)¹⁰⁵. The interview with Food Security Coordinator in SNNPRS reveals another example of security risks for the project emanating from territorial-based conflicts. The pastoral groups in the two neighboring PSNP Woredas Konso and Ale Woredas often get into conflict due to claim over territorial boundaries. The local political actors on both sides intensifies the situation posing security risks for the program implementation.

63. Existing studies reinforce similar security risks. The inter-ethnic conflicts and hostility arising from resource competition and territorial claim have been seriously hampering the intervention of development projects by government and beyond (¹⁰⁶Tadesse and Yonas, 2018; Mohammud, 2015). Therefore, the security risk assessment for the project reveals it is likely that this contextual security risks will adversely impact on the implementation of SEASN AF2 for PSNP5.

4.1.2.4 Armed group

64. The data sources from the interview with PSNP implementing stakeholders assessed that the implementation of the PSNP activities in some target Woredas are seriously impacted due to the security threats of the movement of armed group in the areas. The security situation in Goro Dola Woreda Guji Zone, Tantale Woreda Borena Zone, Bosset Woreda East Shawa Zone, and Hitossa Woreda Arsi Zone of Oromia region provides a typical case in point. In such project areas, the security threats from the on-going conflicts and political tensions between the movement of armed group and government military forces presents high risks to the project staffs, facilities, assets, woreda and kebele level Task Forces, beneficiaries, and local communities in general. As an empirical illustration, the implementation of the PSNP activities has been halted in Goro Dola Woreda over the last five years due the serious security threats and risks associating with the movement of armed group and counter military action by public security forces. The project beneficiaries, project personnel and Woreda and Keble level PSNP task forces have been displaced in fear of security threats and risks. To worsen the problem, efforts of the PSNP personnel and task forces to remotely administer and resume the program activities failed due to the disconnection of phone communication, absence of road infrastructure and means of transportation to access those remote PSNP kebeles in Woredas with such security threats and risks.

¹⁰⁵ Mohammud Abdulahi (2015). The changing nature of pastoral conflicts in south-eastern Ethiopia: The case of the Boran and Digodi pastoralists. Retrieved November 8, 2022 from <https://www.saferworld.org.uk>.

¹⁰⁶Tadesse Barhe and Yonas Adaye. (2018). The Impact of Local Conflict on Regional Stability. https://www.files.ethz.ch/isn/123909/2007_05_01_Afar.pdf

4.1.2.4 Insurgency and terrorism

65. Even though the risk of terrorism for the nation was assessed to be lower, the risk was much higher for some PSNP Woredas along the Ethio-Somali borders. The regional and neighboring political, social and economic instabilities with spillover effects from bordering countries such as Somalia may create potential security pressures for those PSNP Woredas in Somali region located along the Ethio-Somalia borders.

4.1.2.5 Socio-cultural practices

66. **Retaliation or blood feuds:** Retaliation or blood feuds are part of the culture of all the pastoral ethnic groups occupying in the project areas. Individual ill acts can lead to a much larger ethnic conflict, often between traditional rival groups. For example, if the Borena man kills his neighbor Gerri (clan of Somali), the Afar kills his neighbor Somali man, the Dasenech kills his neighbor Nyagatoms, the victim party will do the same on the other. What makes so critical from the security risk analysis for the project is this type of conflict usually involves inter-ethnic or sub-ethnic groups with the youth as the main fighting force. Likewise, a bordering ethnic group may support one of the groups and the conflict of blood feuds may last for days or weeks.
67. **Cattle raiding as source of recurring conflicts:** Cattle raiding is another source of recurring conflict common to all the pastoral groups in the project areas. Cattle raiding is generally considered as an acceptable means to acquire assets, whether in times of retaliatory conflicts or under normal circumstances. In particular, the need for cattle is very important for young men who have no assets, as their inheritance is often small because it is divided among many siblings.
68. **The culture of dowry payments:** Common to all the pastoral groups in the project areas is the dowry (gift) for marriage is paid in kind (cattle or ruminants). The amount of cattle or ruminants that will be paid for marriage is so high that young men who do not have assets can hardly meet such an expense. As a result of these cultural needs, those who lack resources often resort to cattle raiding from the neighboring ethnic groups. This socio-cultural practice is thus one of the persistent causes of conflicts across the project areas.

4.1.2.6 Expansion of conflicts to non-pastoral areas/towns and groups

69. The vital point in the conflict analysis for SEASN AF2 for PSNP5 is, in all the CSRs stated above, the conflict situations often expand to the surrounding non-pastoral areas/towns and groups. For example, the usual disputes over resources and territorial boundaries between the neighboring Somali and Oromo ethnic groups have widely expanded to the surrounding agricultural communities, towns and to residents of other ethnic groups.

4.2 Project-Induced Security Risks

4.2.1 External risks

70. External Risks, such as those caused by the actions of people outside the project who seek to take advantage of opportunities presented by the development and operation of the project, such as common criminal activity; disruption of the project for economic, political, or social objectives; and other deliberate actions that have a negative impact on the effective, efficient,

and safe operation of the project. In particular, poor governance system in cases of PSNP Woredas affected by the war in the Northern part of Ethiopia and in Oromia and Somali regions where there exist the movement of armed groups can fuel conflict or affect the project's ability to meet the Performance Standards due to weak regulations or weak enforcement of regulations.

4.2.2 Risks emanating from the use of security forces

71. As per the security risk assessment, there are several cases that necessitate the project to use security force. Examples of such cases include: (a) Safety Net Transfers to Extremely Poor Households (sub-component 1.3) involving safety net transfers (in cash or food). The security risk assessment reveals that all the regions depend on the use of armed public security forces for the protection of warehouses for food storage, and the movement and payment (in kind or cash) of safety net transfers to targeted households depends. (b) Due to special security risks (movement of armed group or terrorist attack) in some PSNP Woredas, Hitossa, Goro Dola, and Besset Woredas in Oromia region; Derashe, Amaro and Burji Woredas in SNNPRS; and Galadi and Filtu Woredas in Somali region for examples, the government deploy armed public security forces (Special Forces in the respective regions, federal police, and defense army). In such the cases, the use of security forces may pose security risks including unlawful detention and the use of lethal force could result in loss of life. This includes mitigation measures to manage risks to the human security of project-affected communities and project workers that could arise from the use of security personnel.

4.2.3 Internal risks

72. Internal Risks comprise illegal, unethical, or inappropriate behavior of project personnel or those directly affiliated with it, such as employee theft, workplace violence, and labor unrest, potentially with associated sabotage that adversely affect the performance of the project activities. One particular internal risks reported during interview with implementing stakeholders is employee theft. For instance, according to project security risk assessment, there are project cashier in some SNNPR who has been legally convicted for being corrupted/illegally using the cash for Safety Net Transfer for personal purpose. Such illegal or unethical act may continue to be the risk for the effectively implementation of the project.

4.2.4 Project service-induced security risks

73. As intended in PSNP5, the project services such as Safety Net Transfers target certain groups within the project-affected communities rather than extending to all members. That means the project services makes distinction between beneficiaries and non-beneficiary groups within the same community or area. Consequently, conflict of interest may occur between those who do and do not have access to the project service in question. One typical source of project service-induced security risks is the discontent due to exclusion and inclusion errors in the process of selection for project beneficiaries. As several PSNP related assessment including ESAC Phase II for PSNP5, over the implementation of PSNP I-IV, the exclusion of those who are eligible and inclusion of those who are not has been generating a great discontent among those local community members who unfairly excluded from the benefits of the program. The same assessment anticipates that the problem will persist in the beneficiary selection process for

PSNP5. Therefore, the conflict of interest between the beneficiaries and non-beneficiaries on the one hand and between on-beneficiaries and PSNP task force and project staffs may adversely impact on the implementation of the project.

5. POTENTIAL SECURITY RISKS IDENTIFICATION AND MITIGATION MEASURES

74. On the basis of the security risks assessment for the project as highlighted in the preceding section, this section first identifies potential security risks for the project. Then, security risk analysis and rating is made to determining the level and types of security arrangements for SEASN AF2. Finally, mitigation measures will be proposed accordingly.

5.1 Potential Security Risks Identification

75. As the security risk assessment in the previous section shows, security risks to SEASN AF2 for PSNP5 may arise from: (a) operating environment that include contextual circumstances (e.g. poverty, corruption, crime, legacy issues such as unsettled political claims or unresolved land disputes), direct threats (e.g. organized crime, anti-industry movements, terrorism, violent/armed conflict), national security requirements (especially where public security presence is nonnegotiable); (b) *relationship with local communities* related directly to project operations (e.g. labor and workplace, community health and well-being, population influx), agitation from actions the project does not take (e.g. unmet community expectations, or where benefit sharing is perceived to be lacking or unfair); and (c) *security response to an incident* such as escalation from past interactions that increased tensions with communities. Backdrop to this, the SMP identifies the following potential security risks to the project that requires or prioritized for security response plan.

- 1. Continuing risks from the war in the northern Ethiopia:** As assessed in Sub-section 4.1.2.1, the adverse security threats from the war in the northern Ethiopia affected 147 PSNP Woredas in the three war affected regions (Tigray, Amhara and Afar) in total. This comprised almost one-third (30.5%) of the total Woredas in PSNP5. Despite the ceasefire and peace agreement signed between the conflicting parties, in those affected Woredas, there are potential risks to resume the project activities in SEASN AF2 for PSNP5 owing to: (a) all the 55 PSNP Woredas in Tigray region are not yet under the reach of the implementation arrangements for the program and this is true for some of the war affected PSNP Woredas (e.g. Abargele) in Amhara region; (b) in war affected PSNP Woredas, the project facilities (offices, cars, office equipment, food storages, and food distribution points) have been completely destroyed to resume the program implementation; (c) the responsible program implementing bodies at the lower level (woreda project staffs and Task Force, Kebele Development Agents and Task Force, project beneficiaries) have been displaced due to the war and not currently functional; (d) project records and beneficiary database have been burnt; and (e) the communication and road infrastructures have been destroyed.

2. **More common security risks:** More common security risks are those caused by the actions of people outside the project who seek to take advantage of opportunities presented by the development and operation of the project. These may include armed robbery, common criminal activity; disruption of the project for economic, political, or social objectives; local community protest, and other deliberate actions that have a negative impact on the effective, efficient, and safe operation of the project. In such cases, a security response might result in risks to communities or individuals.

Other more common security risks include acts of violence. Threats arising from a general break-down in law and order may include, individual and/or collective criminal acts. This may include the threat of physical, mental, sexual or other harm or suffering, which may result in injury, death, physical or mental disability or deprivation. These are generally understood as acts of violence organized by groups against civilians or other non-combatant targets.

More common security risks may also reveal as intimidation-attempts by criminals and/or local armed militia and/or local government/informally organized forces to intimidate staff or extort the project workers or project affected persons of money/possessions. Scenario assumes limited fatalities but possible severe injuries.

3. **Internal risks:** There may be illegal, unethical, or inappropriate behavior of project personnel or those directly affiliated with it. Most common risks would be employee theft, workplace violence, and labor unrest, potentially with associated sabotage. Financial corruption may also be a serious internal risks to the project. This may involve the abuse of entrusted authority (public or private) for illegitimate (private or group) gain. It compromises the institution's capacity to perform its function in an impartial and accountable manner.
4. **Project service/benefit-induced security risks:** As per the PAD, PIM and other project-related document, the targeting of the program should ensure that the neediest receive adequate assistance and that limited resources are used as effectively as possible. Contrary to this, the exclusion of those who are eligible and inclusion of those who are not has been generating a great discontent among project beneficiaries and those who are not. Despite targeting for the PSNP5 is already done, the discontent due to exclusion and inclusion errors in the process may persist between the program beneficiaries and non-beneficiaries on the one hand and between non-beneficiaries and PSNP task force on the other. Consequently, conflict of interest may occur between those who do and do not have access to the project service in question—that may exacerbate the existing inter- and intra-group conflicts. This may eventually develop into conflicts and tensions to affect the performance of the project.

Previous studies based on the PSNP were reviewed to know if the problem of the exclusion and inclusion errors has been investigated, what lessons learned and remedial actions taken. A profound consultation of the *PSNP Household Impact Assessments (2006-2012)*¹⁰⁷ and

¹⁰⁷ Household Impact Assessment (2006-2012)

*PSNP IV ESAC*¹⁰⁸ revealed that the exclusion and inclusion errors were the common experience of the selection process in the PSNP I-IV. Likewise, the reports of the ESMF and SEP for the PSNP V documented the same finding emphasizing that the lessons learned from the exercise of the previous PSNP I-IV and corrective actions to address the problem have been insignificant. Yet, the finding of the ESAC for PSNP V summarized the degree of the prevailing exclusion and inclusion errors that contradict with the key principle of the PSNP: The targeting of the program should ensure that the neediest receive adequate assistance and that limited resources are used as effectively as possible. Therefore, referring to insufficient remedial actions based on the lessons from the exercise of the PSNP I-IV, the ESAC for PSNP V predicts same trend of exclusion and inclusion errors in the selection process of the PSNP V. It urges for designing appropriate mitigation measures to lessen the discontents felt among the local communities.

Project benefit-induced risks may be unmet community expectation or where benefits sharing is perceiving to be lacking or unfair Community members may express their frustration to the miss-match among the community expectation and the actual outcomes of the project activities. They may assume that some community members, woredas, cities or even regional states are benefiting more compared to their condition or status.

5. ***Resource-based inter-group conflicts:*** One of the recurring causes of conflicts common to all the pastoral areas of the project relates to completion over pasture and water sources. The limitations of the rangeland and water resources and the subsequent competition for access often lead to violent inter-group conflicts in pastoral community based PSNP Woredas. In turn, often pose security risks to project staffs and facilities to impede on the implementation of the program activities. Also, resource-based inter-group conflict in pastoral based PSNP Woredas may be intensified...
6. ***Territorial-based conflicts:*** Besides being valuable sources of livelihood, many natural resources such as rivers and forests or grazing areas serve as the boundaries between neighboring pastoral groups in the project areas. Hence, conflicts over access to natural resources often transform into more protracted boundary and territorial conflicts. In some cases, this contextual risk factor has historical, political, social and economic roots. It is likely that this contextual security risks will adversely impact on the implementation of SEASN AF2.
7. ***Local conflict between ethnic groups and clans:*** Retaliation or blood feuds are common cultural practices for the project areas occupying by pastoral groups. Individual ill acts can lead to a much larger inter-ethnic conflict. Cattle raiding is another common cultural practice causing to recurring inter-group conflicts in pastoral based PSNP Woredas. It is considered as an acceptable means to acquire assets, whether in times of retaliatory conflicts or under normal circumstances. In particular, the need for cattle is very important for young men who have no assets, as their inheritance is often small because it is divided among many siblings. Clan conflicts and personal revenge can engulf an area of operation, turning it into an active area of fighting resulting in casualties on all sides including project

¹⁰⁸ PSNP IV ESAC

workers operating in the area who have nothing to do with the grievances of either side. Scenario assumes possible fatalities of project staff.

- 8. *Armed conflict between government and non-government forces:*** Threats arising in the context of armed conflict, for example at the hands of, or as a result of, the activities of armed forces and groups who are parties to a conflict. For some PSNP Woredas, the project security risk assessment reveals the severe security threats to the project staffs, woreda and kebele level Task Forces, beneficiaries, and local communities in general due to the movement of armed group in the areas (for detail refer to Sub-section 4.1.2.3). As a result, there are illustrative PSNP Woredas where the program implementation has been halted due to the armed attack. Also, PSNP personnel and local government officials have been killed or kidnapped by armed group for being government workers. The project beneficiaries and local communities in general have been suffered from the same revenge for cooperating with government officials or participating in development projects such as PSNP5. As the armed attack and kidnapping is on-going, therefore, potential security threats or risks is anticipated in the course of implementing SEASN AF2 for PSNP5.
- 9. *Perceived threats of project security system:*** As the security risk assessment shows (see Sub-section 1.2.2 for detail), there are several cases that necessitate the project to deploy public security force. Examples of such cases include: (a) most regions depend on armed public security force for the protection of warehouses while all regions use police force for the required security service to project cashier during public work payment moving from kebele to kebele; (b) in case of special security risks such as the movement of armed group in some PSNP Woredas (Hitossa, Goro Dola, and Besset Woredas in Oromia; Amaro and Burji Woredas in SNNPRS; and Galadi and Filtu Woredas in Somali region for examples), the government deploy armed public security forces (Special Forces, federal police, and national defense army) for the local security in general and project security need in particular; and (c) for some security needs the project may involve the introduction of new security system and arrangement such fences, checkpoints, guard dogs, security surveillance cameras, or armed security guards. In such the cases, even though the responsibility to maintain law and order lies with government, and the project is not directly responsible for the actions of public security personnel, the project may be associated with these actions in the eyes of local communities and other stakeholders.
- 10. *Impacts from a security response:*** The actions of project security forces can pose a significant reputational risk and can increase tensions with the local population. For instance, a private security guard or the local police might engage in acts that are not in compliance with the principles of proportionality, good international practice, and project security code of conduct in the course of security response. For example, project security personnel may engage in unlawful behavior such as unlawful detention, use excessive force in dispersing a community protest, or use of lethal force could result in loss of life. To arouse even more security risk, project security response may be backed with escalation from past interactions that could increase tensions within and among the project affected communities.
- 11. *Security related allegations or incidents:*** Project security personnel may engage in

unlawful and abusive against the project affected communities and project workers. Hence, it is good practice and part of sound risk management for the project to have clear policies and procedures for handling security-related allegations or incidents. While the project normally have internal protocols for dealing with a range of security-related incidents such as traffic accidents, theft or protests, and use-of force incidents, this potential risk focuses more narrowly on procedures for handling allegations of misconduct or unlawful behavior involving security personnel. This pertains to events occurring at the project site as well as off-site, if linked to the project or involving public security forces providing security for the project.

- 12. *Risks related to public security management:*** Public security forces are typically outside the project implementing agency MoA's direct control and degree of leverage/influence. For this reason, interaction with public security forces can be the most challenging aspect of security for the project as it does not control the decisions or behavior of public security personnel. This issue often arises when government security personnel are deployed to provide security services related to purpose of the project, such as at times of community uprising. Thus, in situations where public forces are responding to incidents related to the project, the project implementing structures may loss control over the management of the public security forces.
- 13. *Security posed GBV risks:*** Both physical security measures and security guards can have particularly significant impacts on women, who are likely to be traversing distances for domestic tasks. They may be disproportionately affected by the presence of (typically male and potentially armed) security guards, whom they may encounter daily in following their routine. In some cases, women may be subjected to gender-related harassment or intimidation or may be the victims of sexual violence.
- 14. *Insurgency and terrorism:*** Even though the risk of terrorism for the nation was assessed to be lower, the risk was much higher for some PSNP Woredas along the Ethio-Somalia borders. The regional and neighboring political, social and economic instabilities with spillover effects from bordering countries such as Somalia may create potential security pressures for those PSNP Woredas in Somali region located along the Ethio-Somalia borders.
- 15. *Theft to construction materials at a project site:*** Theft of construction materials at project site may be a security risk for mitigation measures. In particular, it may be a critical problem for project construction works in the remote areas such as the construction of food storage warehouse in remote Woredas and water shading equipment and materials in the remote Kebeles.
- 16. *Insecure road transportation:*** Insecure Road transportation including access blockage to some project regions and woredas could happen, which affects the movement of people including food transportation, construction workers, project staff for supervision and monitoring support; as well as transportation of construction materials.
- 17. *Occupational Health and Safety (OHS) risks:*** Under the AF2, no public works will be

undertaken. However, in the parent project, large numbers of peoples participate in public works and the sub-projects of this component, including watershed development, access roads, rehabilitation and construction of public services such as water, schools, health facilities, construction of community latrines, construction of small-scale irrigation, small dams construction of flood control structures and others. Also, some of the public work activities such as watershed and construction/rehabilitation of feeder roads may require the participants to travel for long distance. These situations may pose different security risks to the participants: risk of child labour and minimum age as the beneficiary households can send children for public works; travelling to and from the public work sites may expose participants to risks of physical attack from wild animal and strangers; occupation health and safety risks from slips and falls due wet surface and hillside activities, dust can affect eyes and cause respiratory problems.

In addition, transmission of communicable diseases is a concern including Covid-19 and Sexually Transmitted Diseases notably HIV/AIDS. Construction activities may pose potential health and safety concerns for the inhabitants within the vicinity of works especially when construction is carried out near a village/community. Transport of materials, equipment and workers will use existing roads which may cause disruption or increase car accidents resulting in injuries or even death.

18. Community protests: Events and organized protests may take place in different project areas as a means of expression of community members dissatisfaction towards a given institution, political leader or administration. Threats may arise as a result of communal or intra-group tension, within the project beneficiaries. These may be along ethnic and/or religious lines. These may arise from competition for scarce resources such as land, water or firewood. They can be directed against the humanitarian community in circumstances where the camp population perceives they have been offered insufficient information prior to a distribution or have developed unrealistically high expectations of assistance.

5.2 Security Risk Analysis, Risk Rating and Prioritization

76. For the above potential security risks identified, the level of the security risk classification for the project is made based on the Risk Analysis Model suggested in WB's Good Practice Handbook (2017).¹⁰⁹ This model uses a simple "Risk Register"—a security specific type of risk-response chart—to list potential project related risks on the one hand and likely security responses on the other. Accordingly, as shown in **Figure 4**, the Security Risk Analysis for SEASN AF2 involves two important parallel procedures: first, it asks 10 key security risks screening questions; and then, for each potential security risk, assesses the likelihood of its occurrence considering the current conditions, contextual security risks and anticipated project-induced security risks that are highlighted in the preceding section. The steps are briefly stated as follows. Given these procedures, the ten steps involving the security risk analysis for the project is highlighted below.

¹⁰⁹ Good Practice Handbook (2017). Use of Security Forces: Assessing and Managing Risks and Impacts. World Bank Group.

Figure 4 Steps in the Security Analysis, Risk Rating and Prioritization**Step One**

77. What are the potential risks to the project that may require a security response? In view of this step, Section 5.1 lists all realistically possible threats that may call for action by the project's (private and/or public) security forces. As the security risk assessment in Section 4 reveals the identified potential security for the project emanate from its operating environment, security personnel's relation with local communities, and security response to an incident. To facilitate security risk analysis, security risks rating and prioritization for management plan, those potential security risks identified in Section 5.1 are coded as shown in **Table 3**.

Table 13 Coding the Potential Security Risks Identified to the Project

Potential Security Risks Identified	Numerical Code
Continuing risks from the war in the northern Ethiopia	01
More common security risks	02
Internal security risks	03
Project service-induced risks	04
Resource-based inter-group conflicts	05
Territorial-based conflicts	06
Local conflict between ethnic groups and clans	07
Armed conflict between government and non-government forces	08
Perceived threats of project security system	09
Impacts from a security response	10
Security related allegations or incidents	11
Risks related to public security management	12
Security posed GBV risks	13
Insurgency and terrorism	14
Theft of project construction materials	15
Insecure road transportation	16
Occupational and Health Safety (OHS) risks	17
Community protest	18

Step Two

78. **How likely is it that these risks will occur?** For each potential risk, assess the likelihood of its occurrence taking into consideration the current conditions, contextual security risks and anticipated project-induced security risks discussed earlier under Sections 4. The rating of likelihood is quantified using a Risk Score Range from 1 to 5. For the purpose of the SMP of SEASN AF2 for PSNP5, the Risk Score is categorized into: 1 = never (light blue), 2 = rarely (Green), 3 = often (yellow), 4 = very often (Red), and 5 = regularly (grey). Following these categorization, **Table 4** presents the Probability Risk Score for the potential security risks identified for the SEASN AF2 for PSNP5.

Table 14 Probability Risk Score for the Potential Security Risks Identified for the Project

<i>Numerical Code for the Security Risks Identified</i>	<i>Risk Score</i>				
	<i>1</i>	<i>2</i>	<i>3</i>	<i>4</i>	<i>5</i>
01					
02				4	
03			3		
04				4	
05				4	
06					
07			3		
08				4	
09					
10					
11			3		
12					
13				4	
14					
15					
16					
17			3		
18					

Step Three

79. **What would be the likely security response?** That is, given the potential security risks identified for the project, step three states the security response most likely to occur: how would the project's security personnel react to the specified security risks?

Table 15 Potential Responses by the Project Security Personnel

<i>Type</i>	<i>Passive Deterrents Example</i>	<i>Who is Likely to Respond</i>	
		<i>Private Security</i>	<i>Public Security</i>
Access control	Physical measures to prevent access to or passage through restricted areas, such as gates, signage, guards, fences, surveillance systems, etc.		
Visual presence of security	Guards (and guard dogs) stationed at access points to process ingress and egress, but who also serve as a visible deterrent.		
Observe and report	Guards observe, report, and record activity.		

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<i>Type</i>	<i>Active Deterrents Example</i>	<i>Who is Likely to Respond</i>	
		<i>Private Security</i>	<i>Public Security</i>
Verbal instructions, warning, refusal of passage/entry	Guards issue verbal warnings to people who attempt or threaten to attempt to circumvent physical security measures. The warnings may include notice that additional security is being called.		
Show of force	Guards increase their numbers or demonstrate their weapons as visual indications of potential escalation of security response		
Reasonable detention	Guards detain people discovered to have trespassed or committed theft, etc., on the company site for only as long as it takes for police to arrive and assume responsibility.		
Intimidation or harassment	Guards use their position (or, in particular, their weapons or guard dogs) as a tool for intimidating or harassing community members, especially where no immediate risk or threat is present.		
<i>Type</i>	<i>Escalation Example</i>	<i>Who is Likely to Respond</i>	
		<i>Private Security</i>	<i>Public Security</i>
Use of nonlethal force	Guards use nonlethal force defensively (e.g., batons, nonlethal ammunition) to repel an external physical threat, subject to existing use-of-force protocols.		
Arrest by public authorities	Guards request the intervention of police to apprehend and/or arrest people alleged to have committed criminal acts such as theft, trespass, assault.		
Lethal force (to protect life)	Guards use lethal force defensively to protect against an immediate threat to human life, subject to existing use-of-force protocols.		
Inappropriate detention	Guards detain people either for no legitimate reason, or for longer or in conditions other than what is acceptable.		
Inappropriate use of force	Guards use nonlethal force offensively, or outside of acceptable use-of-force protocols, or for illegitimate reasons (such as for purposes of criminal activity, etc.).		
Assault or torture	Guards detain people and physically or psychologically harm a detainee.		
Inappropriate use of lethal force	Guards use lethal force offensively, or outside of acceptable use-of-force protocols, or for illegitimate reasons.		

80. The analysis in Step Three consider both *who* (private or public security or both) is likely to respond as well as *how* they are likely to respond. The level of risk analysis considers between three possible types of security response: passive deterrents colored in green, active deterrents colored in Yellow, and escalation colored in red or grey. The security risk analysis of the SEASN AF2 for PSNP5 states that the possible security responses (see **Table 5**) ranges from those colored in green (most likely and preferred security response) to those colored in grey (security actions that are never acceptable).

Step Four

81. ***If a security incident/response happens, what would be the impact on the project?*** Assess the likely effects of a security incident on the project's "staffs, property, or activity implementation," should the incident occur. Impacts may arise either from the incident itself (such as loss of property from theft) or from the security response to the incident (for example, aggressive opposition to a protest could provoke a violent confrontation and risk causing injury to company employees or damage to project property).

Step Five

82. **How severe would these impacts be on the project?** Given the potential responses by the project security personnel highlighted in **Table 4**, gauge the impact of security response on the project. This may be presented through quantitative or qualitative rankings. The SMP for SEASN AF2 for PSNP5 uses a scale ranging from 1 (very little noticeable impact) to 5 (shutdown or suspension of operations and/or injuries to employees).

Step Six

83. **If a security incident/response happens, what would be the impact on the community?** This analysis considers how local community members may be affected by the project security personnel or arrangements? The risk analysis and evaluation in the SMP include impacts from a security response to an incident as well as impacts from the presence of the project itself (including the introduction of potentially new security arrangements such as fences, checkpoints, guard dogs, or armed security guards):

- **Impacts from a security response:** The project security response can come from private or public security and can have an impact on a single community member or the wider community. For example, a private security guard or the local police might engage in unlawful behavior when interacting with someone suspected of theft, or they might use excessive force in dispersing a community protest.
- **Impacts from the presence of the project (and its security):** The introduction of security personnel into the local area may generate tensions where guards interact with community members. Because one aspect of security is to control key access points, security guards often are the first point of contact when community members come to the area to request (or demand) access to land, thoroughfare, or employment.

Step Seven

84. **How severe would these impacts be on the local community?** Estimate the severity on the community of the potential impacts identified in Step 6, based on how grave, widespread, and irremediable the impacts are expected to be. This SMP uses a scale ranging from 1 (no noticeable impact) to 5 (significant injuries to community members).

Step Eight

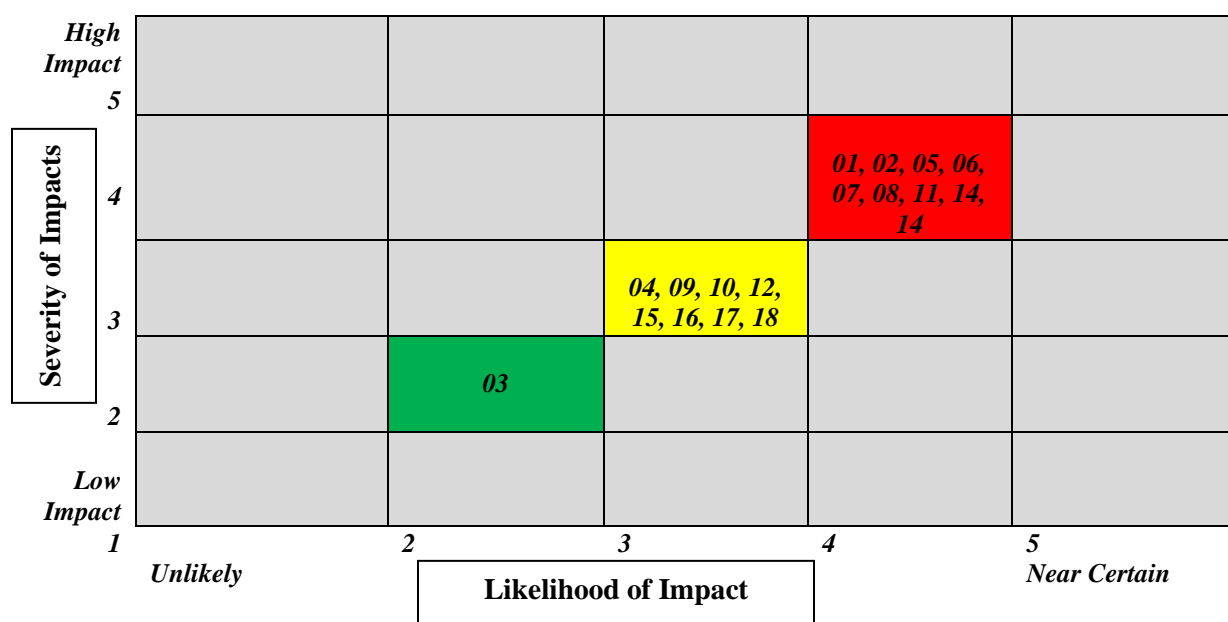
85. **What are possible mitigation measures that prevent or reduce negative impacts?** **Table 7** identifies potential risk mitigation measures, taking into account potential security risks, impacts on the project, and impacts on local communities. Mitigation options can decrease the risk itself (and thereby the need for a security response) or decrease the potential for negative impact where a security response is necessary.

Step Nine

86. **Which risks are highest priority for mitigation, based on likelihood and severity of impact?** The analysis in the SMP for the SEASN AF2 for PSNP5 focuses on addressing the most significant risks—those that are most likely to occur and that would have the greatest potential negative impact (on the project, the community, or both) if they did occur. For each identified risks, the severity rating matrix in **Figure 5** plots the Likelihood “scores” on the X-axis and the

higher of the two impacts “scores” (Project Impact or Community Impact) on the Y-axis. The Y-axis value captures the greatest risk, whether to the project or the community. The resulting simple grid can be an early-indication heat map to help guide and prioritize addressing the most imminent and severe security risks to the project, the community or both. Accordingly, the Heat Map in *Figure 5*:

Figure 5 Heat Map to Prioritize Security Risks to the SEASN AF2 for PSNP 5 Project for Mitigation



Step 10

87. *Is a stand-alone SMP needed?* The analysis and level of risk rating for the SEASN AF2 from Step One to Step Nine, justifies:

- The overall security risks to the project are substantially high and/or the potential impacts on local communities from a security response may be severe.
- The contextual security risks are particularly complicated, or public security forces are likely to have a significant role. Therefore, the overall project security risk analysis and risk rating for the PSNP targeting regions recommends the preparation of a stand-alone SMP
- Given the Project’s Contextual Security Risks assessed under Section 4 and Security Risk Analysis, Risk Rating and Prioritization detailed in Section 5.2, the PSNP targeting regions have differential prior security threats profile. Likewise, for the justification highlighted for each Potential Security Risks Identified for the project in Section 5.1, the potential security risks do differ across the PSNP targeting regions. Considering this fact, **Table 6** presents the Situation Analysis Matrix for the security within the PSNP targeting regions. For each potential security risks by targeting regions, the Risk Rate is categorized as follows: High Risk (colored in Red), Medium Risk (colored in Yellow), and Low Risk (colored in Green).

Table 16 Situation Analysis Matrix for the Security Risks within the PSNP Targeting Regions

<i>Numerical Code for the Security Risks Identified</i>	PSNP Targeting Regions by Risk Rate									
	Amhara	Afar	Somali	Oromia	SNNPR	SWEPR	Sidama	Tigray	Dire Dawa	Harari
01	High	High	High	Low	Low	Low	Low	High	Low	Low
02	High	High	High	High	High	High	Medium	High	Medium	Medium
03	Medium	Medium	Medium	Medium	Medium	Medium	Medium	Medium	Low	Low
04	High	High	High	High	High	High	High	Not Applicable	High	High
05	Low	High	High	High	High	High	Low	Low	Medium	Medium
06	Low	High	High	High	High	High	High	Low	Medium	Low
07	Low	High	High	High	High	High	Low	Low	Low	Low
08	High	High	High	High	High	High	Low	High	Low	Low
09	Medium	High	High	High	High	High	Medium	High	Medium	Medium
10	High	High	High	High	High	High	Medium	High	Medium	Medium
11	High	High	High	High	High	High	Medium	High	Medium	Medium
12	High	High	High	High	High	High	Medium	High	Medium	Medium
13	High	High	High	High	High	High	Medium	High	Low	Low
14	High	High	High	High	High	High	Low	Medium	Low	Low
15	High	High	High	High	High	High	High	High	Medium	Medium
16	High	High	High	High	High	High	Medium	High	Medium	Medium
17	Medium	Medium	Medium	Medium	Medium	Medium	Medium	Medium	Medium	Medium
18	High	High	High	High	High	High	Medium	High	High	Medium

Note: For Numerical Codes Please Refer to the Coding Procedure in Table 3

5.3 Proposed Mitigation Measures

88. The preparation of this project PSM aims to support the project implementing agency the MoA in assessing and managing risks to the human security of project-affected communities and project workers that could arise from the use or presence of security personnel that will be engaged to protect the project or related aspects. To this end, the project security management measures propose diverse strategies as highlight below.

5.3.1 General security mitigation frameworks

89. One of the key finding from the phone interview with the Regional Food Security Coordinators (RFSCs) and woreda PSNP staffs is that the project regularly depends on the use of public security forces for its needs. Particularly, in all PSNP target areas, the project depends on the services of the local police for its various security needs: projecting the Project Cashiers from risks of robbery during the movement in kebeles where an e-payment system is not began yet for Safety Net payments and keeping peace and order at the project food distribution points, for example. In PSNP Woredas where there is high security risks from armed groups such as Hettossa woreda in Arsi Zone, Bosset woreda in East Showa Zone, and Goro Dola in Guji Zone of Oromia region, the project depends on the security services of the Federal Police and Regional Special Force to project the project staffs and local communities. The finding from the phone interview further shows that the use of Private Security Personnel is not common while the use of the public security forces will continues in the SEASN AF2 for PSNP5.
90. On the basis of the above stated findings, the security risks and adverse impacts to the project staffs and assets and local communities from the use of public security forces are assessed as high. Hence, the project SMP recommends the inclusion of general security frameworks as well as project area-specific mitigation measures. The following general security mitigation frameworks are proposed while the project area-specific mitigation measures are stated next.
- **Apply mitigation hierarchy** to: (a) anticipate and avoid project-related security risks and adverse impacts; (b) where avoidance is not possible, minimize or reduce risks and adverse impacts from the use of security forces in the project to acceptable levels; and (c) once risks and impacts have been minimized or reduced, apply appropriate mitigation measures as proposed in *Table 7*.
 - **Adaptive approach:** Given the changes in the project area-specific security risk factors, when risks may be higher or lower, it is important that security risk management and mitigation be adaptive and able to change in response to needs. If security issues escalate or deescalate, the SRA and any management plans should be adjusted, following discussion with the Bank. A summary of material changes should also be communicated to local stakeholders including the project focal persons at the woreda and kebele level for monitoring the implementation of the project SMP as per the changes outlined.
 - **Active community engagement:** Community engagement is a key component of an effective security strategy. Proactive engagement and positive relationships with communities and workers can provide the best opportunity to ensure security and substantially contribute to overall security in the project area. Dialogue with

communities about security issues can help to identify potential risks and local concerns, and can serve as an early warning system.

- **Effective project level grievance mechanism:** Developing a clear and sound policies and procedures for handling security-related allegations or incidents can avoid or significantly reduce security risks and threats due to the use of security force for the project purposes. It is important that the project-level grievance mechanism be able to accept concerns or complaints regarding the conduct of security personnel and that such concerns and complaints, as well as any associated evidence and facts, be promptly documented and assessed and action be taken to prevent recurrence. The responses implemented in response to complaints will be monitored and the outcomes communicated to relevant parties, taking into account the need to protect the confidentiality of victims and complainants.
- **Enhance project's social benefits:** Some mitigation measures can reduce project-related security risks and adverse impacts may be associated with its overall social benefit packages. Such social benefits may include project's investment in rehabilitation or sustainable management of natural resources through its Public Work (PW) activities.
- **Further mitigation frameworks:** The discussions under project security arrangement (section 6), project security management (section 7), security supervision and control (section 9) and project security operating principles and procedures incorporate further overarching mitigation measures.

5.3.2 Context-specific mitigation measures

91. The findings of the security risk assessment (see section 4 for details) reveals, PSNP5 operate in the regions and PSNP Woredas with different security profiles. The level of potential security risks and adverse impacts to the project and local communities is not the same either. In line with this, the findings from the interview with the project implementing entities (from federal to local level) and TLA reports identified project area/site-specific security risks factors:

- Disproportionate security risks and adverse impacts were assessed for Tigray, Amhara and Afar regions due to the war in the northern part of the country. Likewise, international organizations that have been providing humanitarian aids and services in these war-affected regions classified the areas under fragility and conflict situation (FCS).¹¹⁰ That is, the complex political, economic, and social instabilities and dynamics in these project operating areas can present a unique and unexpected security risks and threats with serious negative impacts to the project operation compared to other project operating areas.
- The security risk factor for some PSNP Woredas pose a differential risks and adverse impacts due to the movement of armed group. Hettossa woreda in Arsi Zone, Bosset woreda in East Showa Zone, Tantale woreda in Borena Zone, and Goro Dola in Guji Zone of Oromia region provide the case example in this regard.
- Even though the risk of insurgency and terrorism for other PSNP operating regions was assessed to be lower, it is assessed higher for Somali region. Particularly, those PSNP

¹¹⁰ UNFPA Response to the Northern Ethiopia Crisis: Situation Report, October, 2021.

Woredas along the Ethio-Somalia borders fall under the differential security risks and impacts from the terrorist group in neighboring countries.

92. The above findings, therefore, propose a differential security mitigation measure in addition to the general security management frameworks proposed in this document including:
- For the above mentioned PSNP operating areas with differential security risk factors, it is recommended that the MoA designate appropriate independent social expertise to undertake an Area-Specific Security Risk Assessment.
 - ***Developing Area-Specific Security Management Plan:*** Depending on the severity and complexity of security risks, develop mitigation strategies tailored to the area.
 - ***Agreement with the World Bank Group (WBG):*** Given the differential security risks and adverse impacts to the Tigray, Amhara and Afar regions from the fragility, conflict and violence associating with the recent war in the northern Ethiopia, it is strongly recommended that conditions are agreed between the WBG and MoA for resuming the project implementation in these three regions.

5.3.3 Hierarchy of operational security documents

93. Hierarch of operational security documents are the different forms of written agreement with a binding legal responsibility for those involving agencies (from federal to local level) in implementing and monitoring the project SMP.
94. ***Project SRAMP:*** It is the overarching plan that contains all the procedures and protocols (see Section 9) related to security for the project. Building on the SRA (see Section 4), the project SMP describes how and by whom security will be managed and delivered (see Section 8), the resources required (see Table 7) and the behavior that is expected of security personnel (see annex 2 and 3). As is the case for other ESMPs, the main implementing agency for the SMP is the MoA. The MoA through the FSCO and implementing entities at the regional and woreda level is responsible for the overall supervision and cross-functional coordination of the daily performance of the project security personnel.
95. ***Region and location-specific SRAMP:*** Regional and location-specific SRAMP will be developed and implemented as described under the subsection 5.3.2 above.
96. ***Environmental and Social Commitment Plan (ESCP):*** The ESCP incorporates an accurate summary of the material measures and actions by the MoA (as proposed in this SMP) to manage risks to the human security of project-affected communities and project workers that could arise from the use of security personnel. Also:
- ESCP form the basis for monitoring the project security performances as set out in this SMP. The overall requirements and responsibilities will be set out clearly in the ESCP, so that there is no ambiguity around compliance, timing and monitoring.
 - For the implementation of the PSNP in Tigray region, the requirement for the involvement of the Third-Party Implementer (TPI) and Third-Party Monitor (TPM) is included in the ESCP.

97. **Memorandum of Understanding (MoU):** To implement the general and project area-specific security risks mitigation measures set out in this SMP, MoA will appoint a suitable focal person at the PSNP woreda and kebele level among the full time PSNP personnel. On behalf of the MoA, the focal persons are responsible for the materialization of the security risks mitigation measures as set out in the project SMP at the woreda and kebele level. A memorandum of understanding is a formal, written agreement between the woreda and kebele focal persons and the public security organization (such as local police and Militia) and/or its public security forces, which establishes and documents agreed key expectations and decision-making processes and procedures. It allows the project, MoA through its focal persons at the local level, and public security forces to delineate their respective roles, duties, and obligations regarding security provision as per the project's needs.
98. **Procurement document:** Procurement document is an agreement signed between the MoA and a contractor and private security provider organization (PSPO). A **contractor** is a private, company or organization engaged with the project implementing agency MoA for non-security related project services. Such services may include: transporting the project commodities from the central (federal) warehouses to the specific PSNP Woredas or kebeles; constructing food storage house in the woreda; constructing food distribution point in the kebele . . .etc. In contrast, **PSPO** is a company engaged by the MoA to private security personnel as need by the project. Specific risk management and mitigation measures may differ depending on whether a contractor engages private security personnel, or whether the MoA and a contractor agree that public security personnel will be used to provide security for its engagement in the project. In case the MoA and a contractor agree to engage PSPO, a procurement document refers to the legal contractual agreement between the MoA and PSPO. The document includes clear commitments regarding a Code of Conduct; training of proposed private security personnel and vetting of their record, as well as security procedures in case of alleged contract or Code of Conduct violations, including for cases where security personnel use excessive force, intimidation, or retaliation; and a summary of sanctions applicable. The MoA will send a copy of the document to the woreda and kebele focal persons for monitoring the performance of the PSPO as compliance with the project SMP.
99. In the case of engaging PSPO, MoA and a contractor may have control over the private security personnel contracted for the project, but monitoring security issues is important, and a contractor should be aware that these issues are being monitored by the MoA and its focal persons at the PSNP woreda and kebele level. Although security is often sub-contracted, ultimately, the MoA is responsible for the commitments made on the project.
100. **Environmental and Social Review Summary (ESRS):** The project SMP will be reviewed by the Bank Social Safeguards Team during supervision missions. Accordingly, risks related to project security and security personnel observed during supervision missions will be noted in the Environmental and Social Review Summary (ESRS). The level of detail in this analysis should be proportional to the level of risk and be referenced in the project Implementation

Status and Report (ISR). The ISR will note any significant changes in the project security situation and/or the composition of private security and/or provision of public security. These will also be noted in supervision reports on environment and social performance along with a summary of incidents or credible allegations of abuse by public or private security personnel in or around the project site, as well as updates on actions/follow-up related to previous incidents or allegations.

101. Where incidents or grievances regarding security have been identified, the risk profile of the project may need to change, and the Bank's supervision may need to increase, such as more frequent monitoring trips or the use of third party monitoring.

Table 17 Proposed Mitigation Measures

<i>Identified Potential Security Risks</i>	<i>Proposed Mitigation Measure</i>	<i>Responsible Body</i>	<i>Estimated Budget in USD Lump Sum for 5 Years</i>
<i>Continuing risks from the war in the northern Ethiopia</i>	<ul style="list-style-type: none"> The security management in the Tigray, Amhara and Afar regions recommend a differential mitigation measures: <ul style="list-style-type: none"> ✓ Conduct Area-Specific Security Risk Assessment for rigorous analysis of the current status of the contextual security risk factors and anticipate the complexity and multidimensional risks for the management. ✓ Depending on the findings the Bank may recommend to engage TPI or TPM: (a) for High Security Risk or contentious that involve serious multidimensional environmental and social risks and impacts; (b) in situations where the FSCO in the MoA has limited capacity to assess and manage environmental and social risk; (c) in situations of increasing fragility, conflict, and violence (FCV) that limit the project implementing arrangements to access project sites. ✓ The TORs that reflect the scope of work, qualification and experience of the TPI and TPM are annexed herewith this SMP (see Annex 6). ✓ Conduct security risk assessment every six month and review the security mitigation measures accordingly 	<ul style="list-style-type: none"> MoA top management FSCO TPI and TPM as required 	\$ 2,000,000
	<ul style="list-style-type: none"> The recommencement of the PSNP in the Tigray region and parts of the Amhara and Afar regions affected by the war, the MoA need to agree with the World Bank Group on how to: <ul style="list-style-type: none"> ✓ Re-staff PSNP personnel where previous staffs have been displaced or not on duties. ✓ Re-establish woreda and kebele level PSNP Task Forces. ✓ What short-term solutions are implemented to overcome the problems due to the destruction of project assets, offices and project beneficiaries' records? ✓ Re-build the project offices and food storage warehouses, food distribution centers and provision of project facilities such as office equipment and cars. 	<ul style="list-style-type: none"> MoA top management FSCO Respective regional administration RFSOs 	\$ 10,000,000
<i>More common security risks</i>	<ul style="list-style-type: none"> Site access control: guidelines for security personnel on how to interact with community members seeking access to a project site or raising a concern (for example, training on the grievance redress mechanism and Code of Conduct). 	<ul style="list-style-type: none"> MoA Contractor 	\$ 50,000

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<i>Identified Potential Security Risks</i>	<i>Proposed Mitigation Measure</i>	<i>Responsible Body</i>	<i>Estimated Budget in USD Lump Sum for 5 Years</i>
	<ul style="list-style-type: none"> • Use of physical security personnel. • Perimeter fencing especially materials areas, storage areas and camp(s) • Installation of surveillance Camera/CCTV and alert system. • Establish formal and consistent reporting and communications mechanisms with local police and other security related stakeholders. 	<ul style="list-style-type: none"> • s • PSPO • Local Police 	
<i>Internal risks</i>	<ul style="list-style-type: none"> • Strictly apply the project LMP • Formal disciplinary measures against project staffs or those who are affiliated with project implementation with illegal acts 	<ul style="list-style-type: none"> • MoA • Formal legal system (local police and court) 	Budget not required.
<i>Project service/benefit-induced security risks</i>	<ul style="list-style-type: none"> • Sharing of lessons learnt from previous incidents with all stakeholders. • Investigation and remedial actions in those PSNP Woredas with serious complaints of exclusion and inclusion errors. • Considering the possibility of new registration of beneficiaries in those PSNP Woredas where residents loss their assets and means of livelihood. • Fair project social benefit packages • Proactive communication strategy and conflict early warning and resolution mechanisms. • Strictly adhere to the provisions set in Project Implementation Manual • Accessible and repeated community members consultations composing both program participant, non-participant community members and local administration representatives 	<ul style="list-style-type: none"> • FSCO • Woreda and Kebele Task Force. • Woreda project staffs • Kebele DAs 	Budget not required
<i>Resource and territorial based inter-group conflicts</i>	<ul style="list-style-type: none"> • Solving factors such as illegal border trade and ill political intervention that escalate resource and territorial based conflicts and tension, particularly in project areas with pastoral communities. • Implementing project social benefit packages such as community investment, or good stakeholder engagement with local communities. • Proactive communication strategy and conflict early warning and resolution mechanisms. 	<ul style="list-style-type: none"> • FSCO • Woreda and Kebele Task Force. • Woreda project staffs • Kebele DAs 	Budget not required
<i>Local conflict between ethnic groups and clans</i>	<ul style="list-style-type: none"> • Ensure FSCO recruits, equips, and trains security forces consistent with Program SMP • Conducting socio-economic conflict analysis to understand the root cause of border conflicts in program implementation areas. • Map out' individuals, organizations and strategies that could help resolve border conflict 	<ul style="list-style-type: none"> • FSCO • RFSCs • Woreda and Kebele project 	Budget not required; it is part of the overall security risk

Annex 24: Security Risk Assessment and Management Plan

<i>Identified Potential Security Risks</i>	<i>Proposed Mitigation Measure</i>	<i>Responsible Body</i>	<i>Estimated Budget in USD Lump Sum for 5 Years</i>
	<ul style="list-style-type: none"> Early identification and management of conflict Intensifying factors: ethnic conflict, recent violence, historic animosity, weakness of claimant groups 	staffs	assessment
<i>Armed conflict between government and non-government forces:</i>	<ul style="list-style-type: none"> Conducting socio-economic conflict analysis to understand the root cause of border conflicts in program implementation areas. Map out' warring factions, individuals, organizations and strategies that could help resolve border conflicts Early identification and management of conflict Intensifying factors: ethnic conflict, recent violence, historic animosity, weakness of claimant groups (to control potential break-outs Identify conflict 'warning signs. Communities can make a list of warning signs that would be evidence of increasing border tensions within or between communities 	<ul style="list-style-type: none"> FSCO 	Part of the overall security risk assessment
<i>Perceived threats of project security system</i>	<ul style="list-style-type: none"> Project security personnel (whether private or public) should not involve in the process of project-related land acquisition, compensation and resettlement as that may create sense of threat to the project affected communities. Engagement with project affected communities about the project's impacts on community safety and security as set out in this SMP and SEP. Awareness raising concerning the Code of Conduct commitment and project grievance mechanism, as outlined in the Stakeholder Engagement Plan (SEP) and this SMP. Community members should be aware of their ability to make complaints without fear of intimidation or retaliation Proactive engagement and positive relationships with project affected communities. MoA and project Contractor communicate their security arrangements to the project affected communities, subject to overriding safety and security needs. 	<ul style="list-style-type: none"> FSCO RFSCs Woreda and Kebele project staffs PSPO 	Budget not required
<i>Impacts from a security response</i>	<ul style="list-style-type: none"> Decrease the need for the project security response, that is: <ul style="list-style-type: none"> ✓ Make illegal or threatening behavior more difficult and less appealing. Use lower-level security measures to prevent the need for a higher-level response (e.g. higher fencing, greater visual presence of security). ✓ Understand and mitigate the underlying causes for security risks. Address security risks with a social solution (e.g. reduce community members' trespassing to gain access to a water source by providing a direct route to the water source or by providing a new water source if possible). ✓ Ensure that community members have access to a grievance mechanism. Improve the outcome of the project security response, that is: <ul style="list-style-type: none"> ✓ Reduce the risk of an inappropriate use of force by creating the conditions for a professional guard force capable of an appropriate and proportional response (such as through vetting, training, strict control of weapons and ammunition, oversight). ✓ Ensure that Guards have clear guidelines for apprehension and short-term detention. Reduce the risk of a more severe outcome from the use of force, that is: 	<ul style="list-style-type: none"> FSCO RFSCs Woreda and Kebele project staffs PSO PSPO 	Budget not required

Annex 24: Security Risk Assessment and Management Plan

<i>Identified Potential Security Risks</i>	<i>Proposed Mitigation Measure</i>	<i>Responsible Body</i>	<i>Estimated Budget in USD Lump Sum for 5 Years</i>
	<ul style="list-style-type: none"> ✓ Consider authorization of access to and use of lethal force by the project security personnel to be an exception that must be justified by the level of risk. ✓ When authorized, weapons and ammunition should be subject to strict protocols and access controls. 		
<i>Security related allegations or incidents</i>	<ul style="list-style-type: none"> • Establish accessible and effective grievance mechanism to receive security-related concerns or complaints. • Ensure confidentiality to protect complainants from potential retaliation by security personnel. • Serious allegations and incidents should be reported to senior project management immediately and report to the appropriate government authorities within 24 hours. • Assessment should be started immediately with the objective of determining whether the project's security protocols and procedures were complied with and if any corrective or preventive actions are required. • In case of potentially criminal wrongdoing or unlawful acts, collect information promptly, and take corrective and/or disciplinary measures to ensure that negative impacts are not repeated. The outcomes should be communicated to complainants and other relevant parties, keeping in mind confidentiality provisions and the need to protect victims. • It is important that allegations related to public security personnel be investigated by a neutral party. 	<ul style="list-style-type: none"> • FSCO • RSFCs • PSPO • PSO • The Court system 	Budget not required.
<i>Risks related to public security management</i>	<ul style="list-style-type: none"> • Ensure Private Security Provider recruits, equips, administers, and trains security forces consistent with the project SMP. • Assess the risks posed by public security forces and seek opportunities to engage with them to try and reduce such risks. • Establishment agreement on rules of public security engagement and conduct— documented, if possible, in a Memorandum of Understanding or similar agreement. • Engage with public security officials and authorities and make efforts to influence the outcome of public security response. For example, creating a joint-task force comprising government authorities (kebele, woreda and regional officials), FSCO, Local Area Project Personnel, and representative of project contractor. • Strictly adhere to the policies and protocols of managing private and public security management discussed in Sub-section 6.2.1. and Sub-section 6.2.2 	<ul style="list-style-type: none"> • FSCO • RFSC • Woreda and Kebele dedicated project security focal persons • PSP • PSP 	Part of overall security training
<i>Security posed GBV risks</i>	<ul style="list-style-type: none"> • Strictly adhere to the provisions set out in the project GBV Action Plan. • Awareness raising training for security personnel (both private and public) on GBV. • Awareness-raising training for women and local community members. • Grievances that deal with gender-related allegations must be handled very carefully, with respect for the confidentiality of the complainants, survivors and their families. 	<ul style="list-style-type: none"> • FSCO • RFSCs • Woreda project staffs • Regional bureau and woreda office of women 	GBV/SEA training is part of overall security training

Annex 24: Security Risk Assessment and Management Plan

<i>Identified Potential Security Risks</i>	<i>Proposed Mitigation Measure</i>	<i>Responsible Body</i>	<i>Estimated Budget in USD Lump Sum for 5 Years</i>
		and Social Affairs	
<i>Insurgency and terrorism</i>	<ul style="list-style-type: none"> Assess specific project areas with risk of armed conflict and kidnapping and plan for special project security arrangements (e.g., establishing fixed public security system) to include avoidance, dependent on WBG & MoA risk tolerance levels and pre-agreed triggers for suspension of activities. Needs the involvement of national security and army. Incident reporting: means of receiving and reporting incidents and allegations, and guidelines for receiving and following up on them, including procedures for reporting to the relevant government authorities and the Bank, as required. Proactive security measures. For examples, relocation or evacuation of project staff during such conflicts, defining 'triggers' for suspension of activity/relocation/evacuation. 	<ul style="list-style-type: none"> FSCO Public security agencies (regional and woreda peace and security heads, local police) 	Budget not required, can be done as part of periodic security assessment
<i>Theft to construction materials at a project site</i>	<ul style="list-style-type: none"> Site access control: guidelines for security personnel on how to interact with community members seeking access to Program site or raising a concern (for example, training on the grievance mechanism and Code of Conduct). Use of physical security personnel. premises fencing especially materials areas, storage areas like construction sites Establish formal and consistent reporting and communications mechanisms with local police and other security related stakeholders. Strengthen physical security measures (fence, gate check, store lock) Assign additional security guard in collaboration with local administration Manned guarding: Entry and exit monitoring; locking away and security marking of plant, tools and equipment, hazardous materials, etc. Managing and operating technology which supports security, such as setting alarms and automated systems. 	<ul style="list-style-type: none"> Woreda program coordinator Contractors Local police 	\$ 10,000
<i>Insecure road transportation including access blockage</i>	<ul style="list-style-type: none"> Enhanced Information and Communication platforms between Worreda program implementation unit and local public security forces. Increased coordination and information sharing on potential security risks from armed groups' locomotion in the area with other trusted public security actors. Thorough risk assessment and contextual analysis, in addition to routine measures, necessary for detecting armed groups presence in the area. Suspension of program activities in forest areas, presence of armed clash is detected. 	<ul style="list-style-type: none"> Contractors Public Security Officials Army Commandants Police 	Budget not required

Annex 24: Security Risk Assessment and Management Plan

<i>Identified Potential Security Risks</i>	<i>Proposed Mitigation Measure</i>	<i>Responsible Body</i>	<i>Estimated Budget in USD Lump Sum for 5 Years</i>
		ical Officials	
<i>Occupational Health and Safety (OHS) risks</i>	<ul style="list-style-type: none"> Strictly apply the program LMP; purchase and supply of PPE materials; enforce the workplace safety features as per the OHS plan. Awareness raising training on work-place safety cultures, including road safety. Establishment of first-aid corner or mobile first-aid boxes. Basic first-Aid training to program workers and Forest management cooperatives members. Excavation near security personnel workstations should be provided by edge protection to prevent falling in. Speed of vehicles used for security purpose should be controlled in the work area and on public roads, to the extent possible. Security vehicles should be operated by competent personnel. Flagmen should be assigned to coordinate traffic in the work area. Traffic signs should be used in the work area. Safety zones must be created in the work area with the speed of the traffic taken into account. Ensure that adequate ingress and egress is provided for security personnel in their duty stations and throughout the work area. 		\$ 10,000
<i>Community protests</i>	<ul style="list-style-type: none"> Enhanced Information and Communication platforms between Woreda program implementation unit and local public security forces Increased coordination and information sharing on potential community protests with other trusted public security actors Suspend movement of project workers and materials/equipment when the security situation from community protest is very serious and wait until the security situation is returned to normal. Closely work with the local police for support or assign security personnel in areas where there are potential community protests. 	<ul style="list-style-type: none"> O FSC Cs RFS Wor eda program coordinators PSO PSP O 	Budget not required
Training	The topics of security Trainings provided include: security risk assessment and management plan; occupational health and safety; security operating procedures; incident reporting and response; human rights; GBV/SEA; EHS risks on safety hazards at the project site; use of force; stakeholder engagement plan; and grievance redress mechanism. Moreover, for project staff who will be deployed to high-risk areas will receive hostile environmental awareness training.	<ul style="list-style-type: none"> FSCO Contractors Local police 	\$15,000

6. PROJECT SECURITY ARRANGEMENT

102. This Security Management Plan is an important industry standard tool that describes how security will be managed and delivered for SEASN AF2. Building on the SRA done earlier, the SMP describes the overall project security arrangements, procedures and protocols related to security management.
103. Decisions on the appropriate scope of the project's security arrangements, whether to use private or public security force, are guided by an assessment of (a) potential risks to the project's personnel and property, which may require a security response; (b) appropriate responses to the identified security risks; (c) potential impacts of a security incident on the project, local communities, and other parties; and (d) potential mitigation measures. Hence, this SMP designs and implements security arrangements that are proportional to the nature and significance of the identified potential security risks and the project's operating environment, and that take into account both GIIP and national law.

6.1 Private Security

104. Private security guards may be contractor's or project implementing agency's employees or be contracted through a third-party security provider company. The operation of the PSNP5 may engage some type of private security—whether in-house employees or contracted security providers. This may involve guarding a building in the center of a populated area or patrolling more remote territories and it can range from a single guard or night watchman to a large force of armed guards. Decisions regarding the type, number, responsibilities, and arming of private security forces follow from an assessment of the security risks and appropriate responses. In any case, one possible project security arrangement comprises the use of private security. **Figure 6** summarizes fundamental aspects of private security in the context of the SEASN AF2 for PSNP5.

Figure 6 Fundamental Aspects of Private Security



6.2 Public Security

105. Government security personnel may be deployed to provide security services related to project workers, assets and affected communities. Depending on the level of security risks, the use of public security for the project may range from local militia, local police force to engaging national army. Public security forces involvement in the project security is typically driven by the type, strength, training, and equipment of public security forces proportionate and appropriate to the actual or potential security threats to the project workers, properties and affected communities. **Figure 7** summarizes the link between level of security risks and requirement for public security deployment.

Figure 7 Link between Level of project Security Risk and requirement Public Security Deployment



6.3 Physical Security

106. Physical security system is among the project security arrangement. Certain security aspects may be solved just through physical security system including security barriers, such as fences, gates, locks, guard posts, and surveillance/electronic security systems used.
107. However, the use of physical security may be perceived by the project affected communities as the threat to their day-to-day life. Hence, the project-affected communities should be engaged in the decision making regarding what type of physical security measures be used. The decision on the type of physical security measures shall involve the following process:
- First, Woreda and Kebele dedicated security focal persons assigned by the MoA in line with the operating procedures described under the Subsection 5.3.3 will assess what aspects of the project operation better suit for physical security measures. For example, protecting food storage warehouses (at the center/federal, regional or woreda), Kebele

food distribution points or payment centers for public works, creating buffer zone for the activities of water shading, biodiversity conservation and sustainable management of living natural resources can be appropriate for physical security measures.

- Second, in line with the above identified aspects of the project, the Woreda and Kebele focal persons will assess what type of physical security measures are effective. For instance, fencing with controlled access/gate can be appropriate the food storage warehouse. Propose the appropriate physical security measures taking the likely perception and reaction of the project-affected communities into account.
- Third, community meeting will be called for and the Woreda and Kebele focal persons will communicate the security assessment inputs from the first and second steps. Then, the views and concerns of the member of the project-affected communities will assessed on the physical security measures proposed in the second step and decision will be reached accordingly.
- Finally, the Woreda and Kebele focal persons will implement those types of physical security measured agreed with the project-affected communities.

7. PROJECT SECURITY MANAGEMENT

108. The Security Management Plan is an important industry standard tool that describes how security will be managed and delivered in the course of project implementation. This section outlines the policies, procedures and requirement to be followed by the project in managing private and public security.

7.1 Managing Private Security

109. When hiring private security (as employees or through a third-party firm), the project implementing agency MoA ensure consideration and integration of a wide range of issues into the contracts with the Private Security Provider Organization (PSPO). The contract should retain the PSPO's responsibility for ensuring that minimum standards are met. *Annex 2* provides the Template Contract with a Private Security Provider Company. More specifically, as per the provision in the Handbook of Security Forces of the World Bank Group (2017), key considerations when hiring private security in the operation of the project includes the following.

7.1.1 Oversight

110. If security is outsourced to a PSPO, day to day management of the security personnel would normally sit with the PSPO management structure. The MoA would be responsible for contractor management and ensuring that contractual obligations are met.

7.1.2 Contractual agreement

111. Project contractor's relationship with private security for its need should be managed through a formal process. For security personnel who are project contractor's staff, this should be through an employment contract and internal contractor organization's policies and procedures. For external PSPO—as with any contractor—the company should make its performance expectations explicit in the form of a detailed contract agreement with the MoA or project

contractor in need of the private security service. It is recommended that the contract agreement include standards of performance for security tasks and expectations of conduct as well as provisions for the MoA or project contractor organization to review relevant documents and materials and to audit the PSPO periodically—and to terminate a provider’s services if the standards are not met. **Annex 2** provides Template Contract with a Private Security Provider Company.

7.1.3 Vetting and hiring procedure

112. The requirement in the SMP for SEASN AF2 for PSNP5 set out that *who* provides security is as relevant as *how* security is provided. Thus, the provisions in the project expect MoA or Project Contractor to “make reasonable inquiries to ensure that those hired to provide security are not implicated in past abuses.” In view of this provision, MoA or Project Contractor should not knowingly employ or use any individuals or PSPOs that have abused or violated human rights in the past. Reasonable efforts should be made to review employment records and other available records, including any criminal records. MoA or Project Contractor are advised to periodically review the PSPO’s hiring procedures to confirm that guards have been properly vetted. Expectations regarding conduct and use of force should be communicated as terms of employment and reiterated through regular training. See “Code of Conduct,” “Use of Force Principles,” and “Training” stated in **Figure 8**.

7.1.2 Code of conduct

113. MoA and Project Contractor should require the appropriate conduct of the private security personnel they employ or engage. They should have a clear Code of Conduct policy, and security personnel should have clear instructions on the objectives of their work and permissible actions, based on good international practice and applicable national law and WB’s ESSs. It can also be very helpful for security personnel to be aware of how to access the MoA and Project Contractor’s grievance mechanism and register a complaint, as they are often the first point of contact for visitors (including community members) to a site.

7.1.4 Use of Force

114. Private security guards should operate under a specific policy on the use of force, often outlined in a guard’s employment contract and/or scope of work (for directly employed security personnel) or enumerated as a standalone set of protocols and/ or consider including the policy within the SMP once available and private security providers’ policies (for contracted security personnel). Guards should be clear on how to respond and appropriately use available tools (for example, weapons or other measures) in addressing a threat. The policy should specify that force will not be sanctioned “except when used for preventive and defensive purposes in proportion to the nature and extent of the threat.” Force should be used only as a matter of last resort and in a manner that respects human rights. Appropriate use of force should be included in the security training program, and any use of physical force should be reported to and evaluated by the company.
115. When the provision and/or possession of firearms is necessary, any weapons issued, including firearms and ammunition, should be licensed according to national laws, recorded, stored

securely, marked, and disposed of appropriately. In addition to procedures for storage and disposal, the security provider should have procedures for issuing weapons and safeguarding them while in a guard's possession. MoA and Project Contractors are advised to review these procedures and periodically request records for weapons issuance. Any private security personnel authorized to carry a firearm should be appropriately trained in its use. Also, refer to the provision in the template contractual agreement for hiring private security (*Annex 2*).

7.1.5 Training

116. The project should use (whether hired by the MoA or Project Contractor) only professional private security who are, and continue to be, adequately trained. In particular, guards should be trained on the use of force (including less lethal weapons and, where applicable, firearms) and appropriate conduct (typically focused on reinforcing respectful behavior) toward workers and project affected communities, often illustrated through examples and/or scenarios. Use-of-force training includes less lethal weapons as well as training on firearms in situations where guards are armed.
117. Training programs can be provided by the MoA, a Contractor, PSPO and/or qualified third parties. When training is designed and delivered by the PSPO the Security Management Plan. Where security guards are armed, MoA and a Contractor are counseled to request evidence of legal permits for staff to carry firearms.

7.1.6 Decision to arm

118. The decision whether to arm security guards is an important one. Usually, guards should be armed only when the assessment of security risks shows that a threat exists—one that can be addressed only by arming guards, thus equipping them to protect human life. The default position should be *not* to have armed private security unless risk analysis shows this to be necessary and appropriate. Depending on the type of weapon and the level of training, arming private security personnel can sometimes increase rather than decrease risk.
119. If the MoA or a Contractor elect to use armed private security, good practice is for security guards be armed as follows:
- In defined and very particular roles;
 - With the appropriate weapon for the level of risk;
 - With the requisite training on use of firearms and clear rules for the use of force; and
 - Equipped with nonlethal methods of protection to apply before resorting to use of lethal force.

7.1.7 Incident reporting and inquiry

120. The applicable national and WB legal formwork requires MoA or a Contractor to “consider and, where appropriate, investigate all allegations of unlawful or abusive acts of security personnel, take action (or urge appropriate parties to take action) to prevent recurrence, and report unlawful and abusive acts to public authorities.” This begins with having policies and procedures to accept and assess information about security incidents, credible security-related

allegations, and use-of-force incidents of any kind. It is good practice for MoA or a Contractor to be able to: 1) accept security-related reports or complaints; 2) gather and document relevant information; 3) assess the available information; 4) protect the identity of alleged victim(s) and those reporting the allegation or incident; and 5) report unlawful acts to state authorities.

7.1.8 Monitoring

121. It is good practice for the MoA and A Contractor, as part of their oversight responsibilities, to monitor site performance of their security contractors on an ongoing basis to ensure professional and appropriate conduct. This may include reviewing policies and materials, undertaking periodic audits, potentially assisting with or supporting training, and considering any allegations of unlawful or abusive acts by security personnel. Speaking to employees and local community members who come into regular contact with security staff can also provide valuable insights. MoA and A Contractor are advised to consider including sanctions (such as withholding payment or termination) in contracts with PSPO to maintain leverage when it does not meet performance expectations. **Figure 8** summarizes the aforesaid areas to consider when hiring private security or the purpose of project operation.

Figure 8 Areas to Consider When Hiring Private Security for the Purpose of Project

	Oversight Retain control over and responsibility for employees' behavior and quality	Contract Include performance standards and monitoring provisions	Vetting Check backgrounds and avoid hiring anyone with history of abuse
	Conduct Require appropriate behavior through policies and procedures, reinforced through training	Use of Force Ensure force is used only for preventive and defensive purposes and in proportion to the threat	Training Train guards on use of force, appropriate conduct, and firearms
	Equipping Provide guards with identification, communications device, and any other necessary equipment for the job	Weapons Equip guards with non-lethal force and arm them only when justified by SRA	Incidents Ensure ability to receive and assess incident reports and other complaints
			Monitoring Ensure appropriate conduct through document review, audits, training, and evaluation of incident reports or complaints

7.2 Managing Public Security

122. Interaction with public security forces can be the most challenging aspect of security for MoA and A Contractor as they do not control the decisions or behavior of public security personnel and may have limited influence in this regard. For this reason, the engagement of public security in the project should take the following key management aspects.

7.2.1

Signing a Memorandum of Understanding

123. A memorandum of understanding (MoU) is a formal, written agreement between the MoA/A Contractor and concerned local/regional government authorities and Commander of the local/regional/federal security forces. The MoU should establish and document agreed key expectations and decision-making processes and procedures with regard the engagement of public security personnel. It allows the MoA/A Contractor, government, and public security forces to delineate their respective roles, duties, and obligations regarding security provision.
124. While an MOU can be a valuable record for clarifying commitments, it is the process of engagement and discussion of critical issues between the MoA/A Contractor, government authorities and Commanders of public security forces that is most important. Indeed, a signed MOU is not always achievable, or even legally possible. Thus, MoA/A Contractor are encouraged to focus on the communication and collaboration with public security forces as the primary objective—and on a formal (or even informal) agreement as the secondary goal.
125. There are many different ways to construct the MoU. In general, it is recommended that: (a) the MoU include references to project SMP, national laws, WB's ESSs and other applicable international laws such as relevant UN protocols; (b) should also include rules on the use of force and expectations to adhere to the project code of conduct; (c) the MoU typically includes any financial or resourcing issues (such as housing, food, stipends, transportation, and the like); and (d) where possible, it is recommended that MoA and A Contractor include a provision allowing them to request the removal of individual public security personnel from their area of operations. (Note that this is different from asking to have individuals removed from public security forces altogether, which exceeds MoA/A Contractor's remit.) **Annex 3** provides the Template Memorandum of Understanding (MoU) with Public Security Provider Organization.

7.2.2 Communication and engagement with public security

126. MoA is advised to communicate the project principles of conduct to public security forces and express its desire that the security provided be consistent with those standards. The degree and formality of this communication may vary according to the security risks and the nature (and appropriateness) of the security arrangements involving public security personnel. **Figure 9** presents key topics that the MoA needs to discuss with Public Security Organization (PSO).

Figure 9 Topics for the Project Implementing Agency to Discuss with Public Security Organization

	Engagement Personal introductions, willingness to engage, identification of appropriate representatives, establishment of regular meetings	Deployment Type and number of guards and the competency, appropriateness, and proportionality of this deployment
Community Relations Potential impacts on communities, and any engagement efforts, including grievance mechanism and any known complaints	Use of Force Security force deployment and conduct, including desire for preventive and proportional responses	Security Personnel Background and reputation of security personnel, to the extent possible, and engagement and monitoring efforts
Training Current provision of any training and opportunities to collaborate on capacity building, as appropriate	Equipment Existing needs and potential offers, expectations, and conditionalities, including implementation of restrictions, controls, and monitoring	Incidents Policies and procedures for recording, reporting, and monitoring allegations of unlawful or abusive acts

127. MoA should keep a record of any communication—and/or attempts at communication—with public security personnel. Communication can vary according to the level of risk, as follows:

- **Low-risk contexts:** If the number, type, and nature of the deployment appears appropriate and proportional to the assessed risks, the MoA and PCO may wish, at a minimum, to simply maintain contact and communication through check-ins with public security forces to help the project be confident that police will respond quickly and professionally if an incident occurs, or that suspects (including community members) caught trespassing or stealing will be treated fairly in police custody.
- **High-risk contexts:** In high-risk contexts, having a more formalized and established relationship can be central to ensuring that any potentially tense and dynamic situations do not escalate to become even more volatile due to police or military involvement. The situation can be exacerbated if the risk of excessive force by public security personnel seems high. MoA and PCO are advised to seek to influence arrangements, to the extent possible, and explore the possibility of having more in-depth and formalized engagements.

128. The FSCO should identify the most appropriate counterpart within the public security forces—ideally a champion with sufficient rank and authority as well as willingness to engage constructively with the FSCO. Often, the local security force commander is the most appropriate contact, though it is recommended that the FSCO reach out to others in the hierarchy as well. In case of high security risks, a military command in the local area can be a

great counterpart. Where both the police and the military may be involved in security provision to the project, the FSCO may do well to establish relationships with both.

129. FSCO early engagement with public security forces—before incidents arise—is key. It is always advisable to build capital in a relationship before stressing it with security problems. Initial meetings are best used to identify appropriate counterparts, develop rapport, and facilitate access to public security support. Once a relationship is established, the full range of issues, both positive and negative, can be regularly discussed in a cordial and diplomatic manner. This includes both the project’s needs and the security forces’ logistical needs. These meetings also offer an opportunity for ongoing assessment of security risk and threat analysis.

7.2.3 Proper handover

130. When public security is needed to protect people and property, there should be a proper handover of control from private security to public security—and a way to manage handing the control back when the situation is stabilized. This can be a good topic to start a discussion, because it focuses on public security’s legitimate role and on assuring the greatest effectiveness and safety.

7.2.4 Other protocols and code of conducts

131. in situations where public forces are responding to incidents related to the project, MoA and its implementing entities at various levels of structure have an interest in encouraging public security personnel to behave consistently with the principles set out for private security personnel. Thus, all those codes of conduct and good international practice discussed above for private security are equally apply to public security when the project engage it.

7.2.5 Community engagement and monitoring

132. The preparation and implementation of SMP requires engagement with communities about the project's impacts on community safety and security, awareness raising concerning the Code of Conduct commitment and project grievance mechanism. Community engagement is a central aspect of a good security program, and good relations with workers and local communities can substantially contribute to overall security in the project area. Dialogue with communities about security issues can help to identify potential risks and local concerns, and can serve as an early warning system.

7.3 Emergency Preparedness and Response

7.3.1 Emergency equipment and resources

133. ***Means of emergency notification:*** It is recommended that a system be introduced to cascade emergency notifications to all relevant project staff. This can be group SMS, WhatsApp and Telegram. Also, the operation of the project security system requires equipping with means of communication (worker and/or community notification) including alarm bells, visual alarms, or other forms of communication used to reliably alert project workers and/or local community to an emergency. Whilst audible and visual alarms are useful at a location level, it is advisable

to have a wider emergency notification system in place to alert all project workers of potential security issues.

134. ***Safety and protective equipment:*** the provision of the necessary safety and protective equipment is required to protect security personnel from any risk or harm while acting in emergency response.
135. ***Firefighting equipment:*** the operation of the project security system require enhance the capacity of the security personnel's response to emergency. Firefighting capacity should be acquired by equipping with firefighting equipment such as pumps and water supplies.
136. ***First aid medical equipment:*** the provision of first aid medical equipment for the security personnel to support the victims of the emergency prior to transportation to hospital.

7.3.2 Emergency training

137. Security personnel require training programs and practice exercises for testing systems to ensure an adequate level of emergency preparedness and response. The training programs should:
- Identify training needs based on the roles and responsibilities, capabilities and requirements of the security personnel in an emergency response.
 - Develop a training plan to address the needs of security personnel, particularly for: (a) emergency identification, evaluation and classification procedures; (b) firefighting, spill response, and evacuation; (c) the use of medical equipment and provision of first aid; and (d) how to use available emergency response resources and information such as contact list and emergency response matrix.
 - Provide training exercises to allow the security personnel the opportunity to test emergency preparedness, including: (a) desk top exercises where the contact lists are tested and the facilities and communication assessed; (b) response exercises, typically involving drills that allow for testing of equipment and logistics; (c) debrief upon completion of a training exercise to assess what worked well and what aspects require improvement; and (d) update the PPE plan, as required, after each exercise.

8. SECURITY SUPERVISION AND CONTROL

138. The project security supervision and control highlighted below explain the overall lines of control, accountability, and supervision for the security effort. It defines who supervises daily performance of the security-guard force and who has authority. Also, it describes who has overall responsibility for security information sharing and communication.

8.1 Management Structure and Responsibility

139. Project management structure and responsibility involves the active participation of different stakeholders. The roles and responsibilities of the involving organization are outlined below.

8.1.1 The responsibilities of the MoA

140. As is the case for other ESMPs, the main implementing agency for the SMP is the MoA. The FSCO in the MoA is responsible for the overall coordination and management of the project security risks.
141. The MoA through the FSCO and implementing entities at the regional and woreda level is responsible for the overall supervision and cross-functional coordination of the daily performance of the project security personnel. Besides, the specific responsibilities of the MoA include:
- a) The MoA is responsible for ensuring that the PSPO manages the private security it hires in compliance with the provisions of the national laws, WB's ESSs, project SMP, and relevant international good practice.
 - b) Reporting any allegation and incidents of security personnel to the appropriate government authorities and facilitate the proper legal process.
 - c) MoA is responsible for the communication of principles of conduct and encouragement of public security forces to implement good practices and to disclose security arrangements.
 - d) The FSCO in the MoA is responsible to submit project security reports to the World Bank as per the frequency agreed in the Environmental and Social Commitment Plan (ESCP). Responsibility for Conducting Security Risk Assessments. However, critical security incidents or significant changes in the project's security situation should be reported to the Bank within 24 hours, which will allow for necessary changes to the SMP or ESCP.
 - e) Once decision is made to engage security personnel to protect the project workers, sites, assets, activities, and communities, the MoA is responsible to assess the risks to and impacts on human security arising from the engagement of such personnel.

8.1.2 Responsibilities of the Private Security Provider Organization (PSPO)

142. If project security is outsourced to private security provider organization (PSPO), the day-to-day management of the private security personnel would normally fall under the responsibilities of the contracted PSPO. In this case, the MoA/PCO would be responsible for contractor management and ensuring that contractual obligations are met (i.e., through the use of KPIs). Further responsibilities of the contracted PSPO include:
- a) Assessment of risk and implementation of good practice in hiring, training, and employment of private security forces.
 - b) The contracted PSPO is responsible for reporting any allegation and incidents of security personnel under its control to the appropriate government authorities and cooperate in due process of the legal action.
 - c) PSPO contracting security services still retain oversight responsibility of third-party security training providers to ensure appropriate vetting, use of force, training, equipping, and monitoring of the private project guards.

8.1.3 Responsibilities of the project site security personnel/team leaders

143. The project normally encouraged to rely first on private security forces for guarding project staffs, assets and facilities, to solve site-specific security problems, if possible, and to not think of public security forces as a replacement for private security forces. However, given the project contextual security risks assessed in Section 4 and specific risks identified in Section 5.1, the involvement of public security forces is likely for the operation of the project. Where public security forces are deployed or may respond to protect personnel or property. Depending of the level of security threats or risks, the kind of public security deployed for the project may be members of the local Militias, local police, or national army. Accordingly, the supervision of the daily performance of the members of the public security personnel assigned for site specific security services of the project lies under the responsibility of site-specific public security team leaders.

8.1.4 Responsibilities of the local public security commanding officers

144. The next hierarchy of public security management comprise local Militia or Police Commanding Officers Depending on the type of public security personnel deployed in their line of command, the local Militia and Police Commanding Officers are responsible for the overall supervision and control of the site public security teams under their respective areas. In particular, this hierarchy of public security management is responsibly to supervise the performance of site-specific public security team in compliance with the national laws, the provisions in the project SMP and relevant international conventions and protocols discussed in Section 3.

8.1.5 Responsibilities of the Higher public security commanding officers

145. Higher public security commanding officers including regional police commissioner, federal police commissioner, and Chief of the nearby defense army command post are responsible to make strategies decision and order. Also, depending on the type of public security personnel under their line of command chain, higher public security commanding officers are responsible to assess the risk from public security forces deployed to provide security services to the project. Accordingly, consider reporting of allegations or Incidents related to public security personnel and initiate due legal process and investigation for proper corrective measures.

8.1.6 Cross-functional coordination

146. Many security risks flow out of both inherent local social issues, such as ethnic tensions, and unrecognized issues between the project and local communities. As such, project Operations, Government Relations, and Community Relations staff are all involved in the security process. Key stakeholders from local communities are also included in assessing security risks and in considering how to mitigate and manage those risks. Security arrangements are transparent, to the extent possible and appropriate, and are included in disclosure to and consultation with the local communities.
147. For this cross-functional coordination, therefore, making the link between project security and community relations/community engagement is key. Community engagement is a central

aspect of a good security program, and good relations with employees and local communities can substantially contribute to overall security in the project area. The project can avoid internal operational silos by ensuring that project security personnel coordinate regularly with other departments, such as Community Relations and Human Resources. Through its Community Relations function, the project can share information with communities about security arrangements, the project's security policies, and the expected conduct of security personnel. Dialogue with communities about security issues can also help the project identify potential risks and local concerns, and can serve as an early warning system.

8.2 Responsibility for periodic security risk assessment

148. Besides the aforesaid responsibilities, the FSCO in the MoA is also in charge of period assessment of the project security performance. Assessment of the security commitments and performance is particularly important where: 1) specific project operation site is designated as High or Substantial for potential risks or impacts related to security; 2) there have been incidents involving security during project implementation; 3) if there are records of grievances involving security or public unrest; or 4) if the security profile of the project has changed for the worse. *Annex 3* contains detail checklist for planning and implementing site visits to monitor security issues.

8.3 Involvement of the Third-Party Implementer (TPI) and Third-Party Monitor (TPM)

149. As indicated in the PAD, the implementation and monitoring of the ESRM instruments for the PSNP5 including PSM require the involvement of the TPI and TPM entity for the project areas with High Risks from the war in the northern parts of the Ethiopia. This typically include the Tigray region but may extend to the Amhara and Afar regions. The decision to involve the TPI and TPM will take into account the specific requirements of the ESSs, the specific nature and extent of the risks and impacts of the project, the complexity of the project, serious stakeholder concerns, and GoE's through the FSCO in the MoA capacity to implement and monitor the project SMP.
150. Let us first define third-party in the context of the Bank IPF and move to the responsibilities of the TPI and TPM in the implementation and monitoring of the SMP. As to the World Bank Good Practice Note (2018) ¹¹¹, a *third party* is an expert/specialist individual or firm that is able to provide professional, objective, and impartial advice, without consideration of future work, and avoiding conflicts with other assignments or their own business or personal interests. Typically, third parties come from non- governmental organizations (NGOs), academia or think-thanks, aid organizations, United Nations agencies, consulting firms or other qualified entities.
151. To be effective in supporting monitoring and implementation of Bank-financed projects such as SEASN AF2, third parties should be independent from project preparation (including from the Bank, the Borrower, or the implementing agency and its contractors) and should not have

¹¹¹ World Bank Group (2018). Good Practice Note for Third-Party Monitoring Involving IPF Operations.

had a previous role in the project (with the exception of a previous monitoring role). Their status should be reviewed to avoid conflicts of interest, and they should maintain objectivity throughout the process, so that findings and conclusions are based on evidence.

8.3.1 The responsibilities of the Third-Party Implementer (TPI)

152. Given the Fragility, Conflict and Violence (FCV) resulting from the war in the northern Ethiopia, the Bank will identify the need for involvement of the TPI and TPM as early as possible during project preparation and appraisal. The requirement is included in the ESCP, which is part of the legal agreement between the Bank and the GoE through its project implementing agency MoA.

153. In general, the scope of the TPI's roles and responsibilities depends on the specific requirements indicated in the project ESMF for the kinds of issues that require TPI to support the implementation of the environmental and social risk management aspects of the project. But, there are situations that determine the roles and responsibilities of the TPI including:

- The variability of the Project Contextual Risk Situations (PCRSs) is the key. As the state of the FCV in Tigray region become complex and contentious to implement the ESMPs in general and SMP in particular, the requirement for the involvement of TPI may be higher. Hence, the TPI can be fully responsible for the periodic security risk assessment and implement measures to manage the security risks of the Project, including the risks of engaging security personnel to safeguard project workers, sites, assets, and activities. In this case, the Bank requires the GoE and MoA to collaborate with the contracted TPI entities.
- Given the increasing level of security risks in Tigray region or parts of the Amhara and Afar regions under the security risks from the war in the northern Ethiopia, the Bank may propose for the involvement of the TPI. Based on the level of security risks, the Bank assesses whether one expert or a firm is needed, or whether a number of individual experts are needed on specific issues. Accordingly, the scope of the responsibilities of the TPI entity or entities to be contract for the implementation will be agreed between the Bank and the MoA.

8.3.2 Responsibilities of the Third-Party Monitor (TPM)

154. TPM refers to (i) an approach to smart supervision whereby the Bank contracts an independent agent to verify that project implementation by the Borrower complies with the provision of the financing agreement and that the environmental and social performance of the project meets the agreed standards; and (ii) an approach to project implementation whereby the Borrower contracts third parties to strengthen monitoring and evaluation systems and obtain additional data on the achievement of progress development. When TPM is used for Bank supervision, the Bank maintains its own supervision obligations, but may transfer the implementation of the monitoring to an agent.

155. The goal of using TPM is to assess the status and performance of the project security, its compliance status with the security implementing guidelines and procedures in the SMP, or

emerging security issues through a specialized party is to provide an unbiased perspective to revise the project SMP, and to make recommendations for improvement. However, the use of the TPM is not a substitute for the MoA's own internal monitoring program, but is designed to complement and/or verify what it has done, depending on the objectives and needs of the monitoring activities.

156. The frequency of monitoring necessary will be linked to the specific security risks and impacts of the project and the MoA's performance during the implementation of the SMP. In any case, the Term of Reference (TORs) should include the scope of the monitoring assignment, the number of locations and sites to visit, the frequency of the monitoring, the budget and timing of the assignment, and the type and skill sets required for the TPM. Also, the TORs should clearly identify reporting lines, roles and responsibilities of the different TPMs involved in the project. Annex 6 provides indicative TORs for TPM.

9. SECURITY OPERATING PRINCIPLES AND PROCEDURES

9.1 Project Security Operating Principles

157. As set out in ESS4 (paragraph 24), in making project security arrangements, the project will be guided by the principles of proportionality and GIIP, and by applicable law, in relation to hiring, rules of conduct, training, equipping, and monitoring of such security workers. The Borrower will not sanction any use of force by direct or contracted workers in providing security except when used for preventive and defensive purposes in proportion to the nature and extent of the threat.
158. It is recommended that the MoA to: (i) make reasonable inquiries to verify that the direct or contracted workers retained in the project to provide security are not implicated in past abuses; (ii) train them adequately on the security guiding principles and procedures of the project SMP and other applicable national and WB's ESSs.
159. The above cited ESS and other Good International Practices underscores that the use of security forces is based on the concept that providing security and respecting human rights can and should be consistent. This translates into implementation of policies and practices that ensure security provision is carried out responsibly, with any response being proportional to the threat. Proactive communication, community engagement, and grievance redress are central to this approach, often through collaboration between security and community relations departments. Gender considerations are also important, as women often have different experiences and interactions with security personnel. These ideas are elaborated in five good practice principles presented in **Figure 10** and discussed below.

Figure 10 Good Practice Principles



9.2 Project Security Operating Procedures

160. This provides a brief description of key security operating procedures in the project SMP. The implementation of the SMP is guided by the following key procedures.
161. **Incident Response or when to engage:** Early engagement with public security forces—before incidents arise—is key. It is always advisable to build capital in a relationship before stressing it with problems. Initial meetings are best used to identify appropriate counterparts, develop rapport, and facilitate access. Once a relationship is established, the full range of issues, both positive and negative, can be regularly discussed in a cordial and diplomatic manner. This includes both the MoA/PSPO's needs and the security forces' logistical needs. These meetings also offer an opportunity for ongoing assessment of security risk and threat analysis.
162. **Decision tree model:** the project security shall adopt a structured approach using the collaborative approach for all the security operatives in prioritizing the collection of relevant data during incident response. The structured tree model approach helps to define how questions are answered, allows the incident response team to respond consistently with predictable results. The structured approach also provides for definable, reproducible structures to be created facilitating controlled cost exposure during an incident response cycle.
163. **Boundary Security:** Security will maintain control of the project's perimeter by deploying personnel at strategic points along the boundaries of the project facilities and also channel people to access-control points that will have security personnel (both armed and unarmed as well as those in uniform and non-uniformed personnel as required by a site-specific security risk assessment).

164. ***Access-Point Operations:*** This key procedure describes on the types of checks and screening for both people and vehicles at gates or other access points for the project. The procedure for the SEASN AF2 is that access to project sites will by authorized project personnel. The project personnel will be issued with badges and will at all times carry and display these badges when in the field. The badges will enable the bearer to access project facilities upon site security enquiry. Whereas visitor badges will be issued to all visitors who are not employees of the project. Visitors Badge will be issued after the visitor has been authorized by the site security managers. The visitor will then fill a visitor form with providing all his details and purpose of the visit. A badge will then be processed and issued by the Access control office. Security induction must be done before the Badge is issued to the applicant by Security officer and the visitor must sign on the induction document for acknowledgement. A data file with information regarding the visitor will be recorded and kept in the site access register.
165. ***Vehicle Access Control Procedures:*** All Vehicles accessing project facilities will be accessed through with the driver only after going through a security check/search for prohibited items i.e., Alcohol Beverages, Firearms, Knives and dangerous drugs. The driver must declare his entire luggage at the main gate (Personal luggage) for checking as well. Vehicle log to be maintained.
166. ***Materials Storage and Control:*** If applicable, describe any controls over the transport, inventory, and maintenance of storage areas for raw materials, equipment, etc. Note that these are stored in accordance with appropriate national laws and regulations and relevant good international industry practice, including the World Bank Group Environmental, Health and Safety Guidelines. Likewise, the provision in the ESMF set out that any sub-project that involve the use or storage of hazardous materials should establish management programs that are commensurate with the potential risks present. The use/handling of hazardous materials requires: the provision of sufficient quantities of appropriate protective gear for the users, appropriate application equipment with spare parts, and training in risk reduction including proper use of protective gear and proper application of products. Whereas proper storage of the hazardous materials requires: appropriate storage facilities, appropriate protective gear and materials for store keepers to handle emergencies, and Material Safety Data Sheets (product information with emergency instructions).
167. ***Information and Communication:*** Specify procedures for categorizing, handling, and controlling sensitive security information.
168. ***Firearms Security:*** Project policy regarding firearms on-site, as well as the responsibilities and procedures for issuing and storing any security firearms, ammunition, and non-lethal weapons. This should include: location for storage; how weapons are properly secured during storage; records for issuance; who they may be issued to; safeguarding while in possession of the personnel; and audits.

169. **Special Situations:** There may be instances where large-scale events (e.g., criminal activity, demonstrations, civil disorder, fire emergency and natural disaster scenarios) require interventions by public security which is not specifically associated with the project. When planning for such events or emergencies, there should be clarity on how the project security (private or public) passes control over to formal public security (for example, police, military, emergency responders).
170. **Project Facilities:** For the purpose of this SMP, the term “Project Facilities” means facilities or activities that are not funded as part of the project and are: (a) directly and significantly related to the project; (b) carried out, or planned to be carried out, contemporaneously with the project; and (c) necessary for the project to be viable and would not have been constructed, expanded or conducted if the project did not exist.

10. GRIEVANCE REDRESS MECHANISM

171. This section describes project risk-mitigation efforts related to potential security impacts on communities (such as regulations for guard off-site behavior, arrangements with public security, and shared information on security arrangements, as appropriate) and the grievance mechanism to receive and respond to community complaints or concerns related to security personnel or issues.
172. It is good practice and part of sound risk management for the project to have clear guidelines and procedures for handling security-related allegations or incidents. Every allegation or incident related to security should be documented and then assessed with the objective of determining whether the guidelines and procedures set out in this SMP were complied with and if any corrective or preventive actions are required. The level of depth and detail of inquiry should reflect the severity and credibility of the allegation or incident. The descriptions that follow focus the key elements of the project Grievance Redress Mechanism (GRM).

10.1 Project GRM Policies and Procedures

173. As good practice and part of sound security risk management, the project requires the MoA and PSPO to have clear organizational policies and procedures for handling security-related allegations or incidents. The grievance mechanism required in the SMP of SEASN AF2 for PSNP5 provides an important avenue for workers, affected communities, and other stakeholders to address concerns about security activities or personnel within the client’s control or influence. For this reason, a stand-alone GRM for the management of the project related security risks is proposed.
174. MoA and PSPO are encouraged to have systems in place to receive and respond to allegations or incidents. Specifically, the project GRM procedures involve:
- **Establish a grievance mechanism to receive security-related concerns or complaints:** It is important to have a structured and accessible process for receiving and responding to security-related complaints and to ensure that community members are aware of it. In general, concerns may come from a wide range of sources including communicated

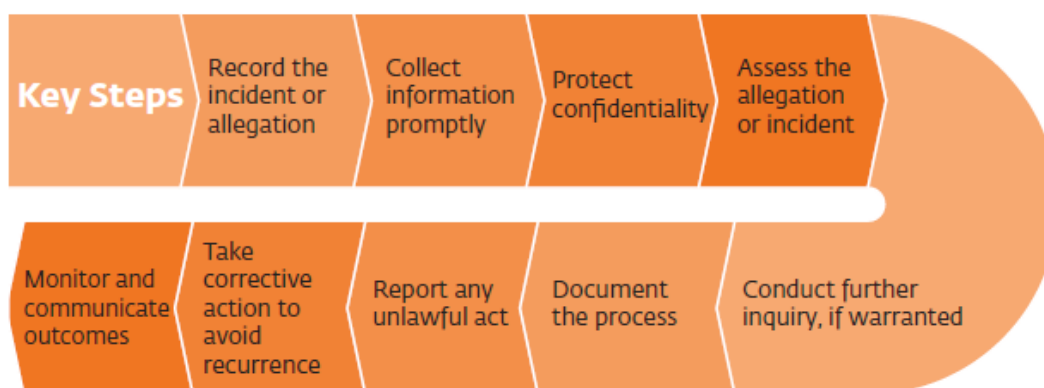
directly to Community Relations staff, through a hotline telephone number, via tip boxes outside the project site, or through other means.

- **Clarify reporting requirements and structure:** The project GRM procedures should specify which type of security-related allegations and incidents should be reported, to whom, and in what time frame. Procedures should clearly identify both the person(s) responsible for accepting and processing allegations or incidents, and the escalation hierarchy to management.
- **Develop inquiry protocols:** In addition to a routine process for recording all incidents, more serious incidents or allegations related to security personnel conduct may require a more in-depth inquiry to determine whether policies and procedures were followed and if any corrective, disciplinary, or preventive actions are warranted.

10.2 Key Steps in Project Related Security GRM Process

175. Every allegation or incident related to security should be assessed, regardless of whether in a low-risk or high-risk context. The level of depth and detail of inquiry should flow from the seriousness of the allegation or incident. The steps involving the GRM process are shown in **Figure 11** and further discussed as follows.

Figure 11 Key Steps in the Security-Related GRM Process



176. **Step One: Record the incident or allegation:** All incidents and allegations should be recorded, whether they come from an incident report, the grievance mechanism, or any other formal or informal means of communication. Serious allegations and incidents should be reported to senior management within the same day acts committed. Potentially criminal wrongdoing should be reported to the relevant authorities within 24 hours. **Annex 4** provides Sample Incident Report Summary Template.

177. **Step Two: Collect information promptly:** Information should be collected as early as possible following an incident or receipt of an allegation. This may include noting details related to the circumstance, individuals involved, location, timing, and so forth, and taking statements and/or photographs where relevant.

178. **Step Three: Protect confidentiality:** MoA or PSPO are advised to consider confidentiality measures to protect alleged victims, witnesses, and/or complainants—for example, identifying them by numbers instead of names. Victims, witnesses, complainants, and other interviewees should be informed as to whether and how their identities will be protected and whether their names will be recorded and/or used.
179. **Step Four: Assess the allegation or incident and conduct further inquiry, if warranted:** After receiving and recording an allegation or incident report, MoA and PSPO typically assess the seriousness and credibility of the claim against existing security policies and procedures to determine any noncompliance by security personnel and whether further investigation is needed. A more in-depth inquiry should be conducted in cases of serious allegations or incidents, such as instances of unlawful or abusive acts by security personnel, and/or where severe impacts result from a security incident, such as injury, sexual violence, use of lethal force, or fatalities. Behavior that may be considered criminal should be referred to the relevant authorities.
180. **Step Five: Document the process:** The allegation or incident and the inquiry process should be documented, including sources of information, evidence, analysis, conclusions, and recommendations. Where it is not possible to reach a conclusion (for example, due to limited or contradictory information or evidence), the efforts being made should be stated clearly along with any efforts to fill gaps and make further assessment. It is good practice for information related to security allegations or incidents to be classified and handled as confidential. Any report should be objective, impartial, and fact-based. *Annex 5* provides Sample Incident Report Summary Template.
181. **Step Six: Report any unlawful act:** Potentially criminal wrongdoing or unlawful acts of any security personnel (whether employees, contractors, or public security forces) should be reported to the appropriate authorities (using judgment about reporting in cases where there are legitimate concerns about treatment of persons in custody). MoA and PSPO are advised to cooperate with criminal investigations and ensure that internal processes and inquiries do not interfere with government-led proceedings.
182. **Step Seven: Take corrective action to avoid recurrence:** Action should be taken to ensure that negative impacts are not repeated. This may entail corrective and/or disciplinary action to prevent or avoid recurrence, if the incident was not handled according to instructions. In general, MoA and PSPO are encouraged to identify lessons learned from the incident and take the opportunity to revise internal company policies and practices as needed.
183. **Step Eight: Monitor and communicate outcomes:** Because MoA and PSPO control their own internal processes, they can help ensure that consideration of any allegation or incident is professional and progresses at a reasonable pace. Additional oversight may be needed with regard to third-party inquiries, such as those undertaken by private security providers. MoA

and PSPO are encouraged to actively monitor the status of any ongoing criminal investigations led by government authorities.

184. It is good practice to communicate outcomes to complainants and other relevant parties, keeping in mind confidentiality provisions and the need to protect victims. Where appropriate, it can also be constructive to share relevant lessons learned and any efforts to incorporate these into company policy and/or practice.

10.3 Special Consideration for Security Related GBV GRM

185. Special gender considerations are so important in security related GRM, as women often have different experiences and interactions with security personnel. For example, the potential for sexual harassment or sexual violence against women can increase from an expanded presence of private or public security forces in a project area. Thus, consulting women separately may offer important perspectives and may help companies identify a fuller range of potential risks and community concerns. At the same time, security personnel's awareness of and respect for culturally specific gender issues may help the local population accept their presence. As for GBV related complaints, these should be handled in accordance with the project's own GBV action plan. Please, refer to Project GBV action plan for detail.

11. IMPLEMENTATION AND MONITORING

186. Monitoring security commitments and performance is the key task throughout the project lifecycle. Particularly, the task of implementation and monitoring needs due attention for: (a) project areas designated as High or Substantial for security threats and risks; (b) project areas where there have been incidents involving security in the course of project implementation; (c) project areas with records of grievances involving security or public unrest; or (d) if the security profile of the project has changed for the worse.

11.1 Implementing Strategies

187. In project planning, implementation and supervision, close attention should be paid to stakeholder engagement particularly as it relates to security personnel. Community engagement is a key strategy for an effective implementation of SMP. Proactive engagement and positive relationships with communities and project workers provide the best opportunity to ensure effective implementation of the project security management plan.
188. As part of the overall approach to stakeholder engagement, MoA and PSPO communicate their security arrangements to the project affected communities and project workers, subject to overriding safety and security needs. For example, working with the project's Community Relations Team may help create or identify opportunities to speak with community members and involve them in discussions about the security arrangements that may affect them.

11.2 Monitoring the Performance of Project Security Management

189. The FSCO in the MoA will monitor the performance of the project security management in an ongoing basis. Risks related to security and security personnel observed through monitoring

should be noted in the Environmental and Social Review Summary (ESRS). The level of detail in this analysis should be proportional to the level of risk and be referenced in the project Implementation Status and Report (ISR). The ISR should note any significant changes in the security situation and/or the composition of private security and/or provision of public security. These should also be noted in supervision reports on environment and social performance along with a summary of incidents or credible allegations of abuse by public or private security personnel in or around the project site, as well as updates on actions/follow-up related to previous incidents or allegations. To this end, monitoring use diverse methods including but not limiting to the following ones.

11.2.1 Site visits

190. As required in the Good Practice Notes, the FSCO in the MoA plan for and implement site visits to monitor project's performance of security management. The frequency of the site visits may be determined as necessary, but annual visit is the minimum requirement. To track project's security performance, site visit will use different means of collecting information including:

- ***Schedule meetings with key personnel:*** As part of scheduling meetings and the required Security Briefings, ensure that relevant site management personnel for private and public security are included to be able to provide and discuss security-related information, including: (a) General Manager of PSPO for private security and Local Police Commanding Officer for public security who have overall responsibility for the management of security personnel they deploy for the project's security need; (b) Site Security Service Team Leader and members of Site Security Service Team who are responsible for the regular security services of the project; and the project staffs.
- ***Request assistance in arranging meetings with external stakeholders, including, as appropriate:*** (a) Public Security representatives, where possible and appropriate (e.g., local senior police officer, regional military commander, etc.); (b) Local public authorities (divisional officers, sub-divisional officers; etc.); (c) Municipal authorities; and (d) Community members: Seek information on community members' concerns, where possible. If the topic of security personnel may be raised, it is good practice to not have security personnel present during meetings with community members or civil society, even if this means that a meeting location needs to be switched to a more neutral location; (e) Reiterate the commitment to the Code of Conduct and grievance mechanisms that apply to the project.
- ***Observations on site:*** Site visits provide the opportunity for many useful observations about security while arriving at and moving around the site. There should be an advance briefing about the project activities, sites, and security issues that may help focus questions and observations.
- ***Observations off site:*** Observations outside the site, for example travelling from the airport or capital city to different PSNP regions or Woredas, or within the local community, can help form an important picture of the security landscape.

191. The above means of collecting on-site and off-site information for monitoring security management involve asking questions of many different stakeholders. This can help gain new information as well as confirm previously collected information or insights. Site-visit questions for monitoring aim to assess the essential elements of the security arrangement prepared for a specific Bank project (e.g., any codes of conduct, training content, protocol of security responses, reporting procedure), what the security response has been to past incidents, and issues in implementing the security arrangement/security management plan. **Annex 4** contains a detailed checklist for planning and implementing site visits to monitor security issues.

11.2.2 Oversight

192. The MoA and PSPO, as part of their oversight responsibilities, should monitor site performance of their security personnel on an ongoing basis to ensure professional and appropriate conduct. This may include reviewing policies and materials, undertaking periodic audits, potentially assisting with or supporting training, and considering any allegations of unlawful or abusive acts by security personnel. Speaking to employees and local community members who come into regular contact with security staff can also provide valuable insights to monitoring the performance of project security management. It is recommended setting key performance indicators outlined in the contract and reviewed on a regular basis, at least once in a quarter.

11.2.3 Bank supervision mission

193. The SMP will be reviewed during supervision missions by the Bank Social Safeguard Team. Depending on the assessment of the project security performance, appropriate corrective actions may be proposed.
194. As part of project supervision, the Bank Social Safeguard Team will review incident reports submitted to the MoA and PSPO and grievance mechanism logs regarding grievances or allegations that involve project-related security personnel. Security-related allegations or incidents can include issues such as theft, abuse of power and retaliation, sexual harassment and exploitation, gender-based violence, and bribery and corruption. Bank staff will request more information about any reported incidents and steps taken to address the issue and prevent recurrence and will promptly keep Bank Management informed of allegations or instances of violence or abuse and the remedial efforts. Allegations or incidents related to security personnel should be documented and assessed with the objective of determining compliance or noncompliance with policies and procedures and whether any corrective or preventive actions are required.
195. If gender-based violence or sexual exploitation and abuse issues arise or are alleged in association with project security personnel, the Bank Social Safeguard Team undertaking the supervision mission must be alerted immediately. Bank staffs are advised to consult the Bank's Good Practice Note on Recommendations for Addressing Gender-based Violence in

Investment Project Financing involving Large Scale Civil Works, and to discuss the issue with specialized social development staff. Grievances that deal with gender-related allegations must be handled very carefully, with respect for the confidentiality of the complainants, survivors and their families.

11.2.4 Independent security audit

196. Depending on the assessment of the project security performance, an independent security audit may be proposed for basic corrective measures. Depending on the nature and severity of security impacts, an independent security audit may be undertaken which will allow for the necessary changes to the SMP or ESCP.
197. Given the complexity of the security risks, the SMP recommends a mandatory audit at least once during implementation (mid-term) and any time if there is a significant incident. Where incidents or grievances regarding security have been identified, the risk profile of the project may need to change, and the Bank's supervision may need to increase, such as more frequent monitoring trips or the use of third-party monitoring.

11.2.5 Communicating the outcomes of the project's security complaints

198. Project staff responsible for the project SEP and Grievance Mechanism should communicate outcomes to complainants and other relevant parties, keeping in mind confidentiality provisions and the need to protect victims from further incidents or retaliation. Where appropriate, it can also be constructive to share relevant lessons learned with the community and any changes made to prevent future incidents.

12. REPORTING REQUIREMENT AND STRUCTURE

12.1 Reporting Requirement and Timeframe

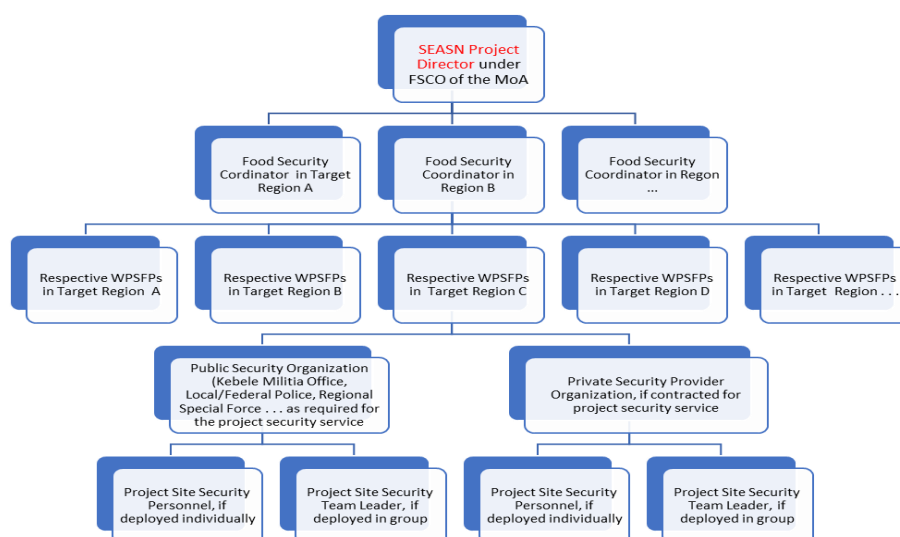
199. Under a normal reporting timeframe indicated in the ESCP, FSCO in the MoA through its Social Safeguard Specialist (SSS) maintain a continuous dialogue with the project implementing arrangements including RFSCs, Woreda Project Security Focal Person (WPSFP) local Militia or Police Commanding Officers, and Private Security Provider Organization (if there is any) for any incident or allegation with potential risks to the project performance. This pertains to events occurring at the project site as well as off-site, if poses security risks and adverse impacts to the implementation of the project. All incidents and allegations will be recorded by the respective WPSFPs, whether they come from an incident report, the grievance mechanism, or any other formal or informal means of communication and reported to the RFSCs on a weekly basis. The RFCs prepare a monthly report based on the Sample Incident Report Summary Template given in *Annex 5* and sent to FSCO on a monthly basis. In turn, on the basis of the monthly report received from the respective WPSFPs, the SSS in the FSCO prepare summary review of the project Quarterly Implementation Status and Report (QISR) and submit it to the Bank.
200. However, incidents with high risks to the project performance should be reported immediately: project site security personnel/team leaders report to the respective WPSFPs within 3 hours,

WPSFPs to the RFSCs in 6 hours, RFSCs to the FSCO within 24 hours which in turn report to the Bank Social Safeguard Team (SST) within 48 hours. Incidents with high risks are those events that could cause a major changes in the project SMP including but not limited to the following: armed conflicts between government and non-government forces, resource and territorial based inter-group conflicts, security related allegations or incidents, insurgency and terrorism, natural disasters that may cause large-scale evacuations (project staffs and local communities), allegations or Incidents related to security personnel, and security posed GBV/SEA risks. Where the investigation findings on such incidents or grievances regarding security have been identified, the risk profile of the project may need to change, and appropriate mitigation measures devised accordingly. The project SMP and ESCP will be revised in the same way.

12.2 Reporting Structure

201. The reporting structure (**Figure 12**) is given with key notes regarding the reporting lines for the TPI and TPM if decision is made to engage them as per the situation described under the Section 8.3. TPI and TPM results are documented and recorded, along with the evidence that supports the findings and results of the project activities they are assigned for. Recommendations are made, where appropriate, to propose updates to commitments or actions. In general, it is recommended that TPI and TPM provide reporting on the assignment directly to the MoA and the Bank, and will not disclose information beyond those parties unless the contract specifically requires it. For further reporting structure, the transparency and confidentiality requirements are specified in the contract agreement with the selected TPI and TPM and the TORs clearly identify their reporting lines.

Figure 12 Project Reporting Structure



ANNEXES

Annex 1: Interview Guiding Questions for Project's Security Risk Assessments

- What is the potential for conflict in and around the project area? This question assesses the project's Contextual Security Risks (CSRs): Security risks in the external environment (at a country, regional/subnational or local level) that the project does not control but which could pose security threats and/or risks to the project.
- Are there different project locations, with different risk profiles? Are some project areas higher risk or do they need more security than others? What are the reasons for this?
- Does the nature of the project itself pose any risks to the community? For example, what are project services-induced security risks?
- Is the presence of security personnel proposed to be temporary or long-lasting?
- Are public security personnel already deployed to the project site? If so, is it possible to see the agreement or memorandum of understanding (MoU) regarding the deployment and to review it for reference to behavior, Code of Conduct and proportional force?
- If security personnel already are in existence at the proposed project site/facilities, who is currently providing security? Are there any historical or legacy issues with these security providers that may still be relevant? How have security incidents been handled, and by whom (for example, by project security personnel or by local police or others)? What kind of vetting was undertaken prior to employment or contracting?
- Does the Borrower have any concerns about the reputation or behavior of private or public security personnel? Are there previously been any incidents concerning security personnel in the country or project region? Is the Borrower able to request or require removal of individuals from the project services if they do not comply with the Code of Conduct or other project requirements?
- Will security personnel be armed? If so, what security risk assessment was done to come to that decision and under what conditions can force be used? Are there guard dogs, barricades, barbed wire, or other defenses? Is the management of weapons and other defenses structured and are procedures clear?
- Are security personnel engaged in accompanying high value assets or transportation of raw or hazardous materials and production? If so, what are the additional and specific arrangements in terms of risk assessment, prevention, mitigation, and response planning?
- Is the project exposed to targeted pressure from local/regional political establishments? What agreements have been made or are expected to be made with regard to the project?
- Do the deployed security personnel originate from the project area, or have the same socio-cultural backgrounds as local communities and other project workers? Are there risks of tension due to different backgrounds among the security personnel, community members, and project workers?

23. Annex 2: Template Contract with a Private Security Provider Company/Organization

*This template is designed for the Ministry of Agriculture (MoA) or Project Contractor seeking to hire an external private security provider. The parts in **blue italics** should be completed by the company, based on the particular context. As with any template, the content should be reviewed and adapted for the specific situation.*

MoA or Project Contractor Organization's Name hereinafter referred to as “employer” enters into this contract with *Private Security Provider Company's (PSPC's) Name* hereinafter referred to as “contractor” for the provision of services effective as of *Date*.

A. CONDUCT

- Contractor and its employees must adhere to the company's policies for *ethical standards and human rights*.
- Contractor and its employees must maintain confidentiality of sensitive information.
- Contractor and its employees must not use torture, cruelty, or inhumane treatment.
- Contractor and its employees must ensure the health of those in custody and provide medical assistance when needed.
- Contractor and its employees must not engage in corrupt practices.
- Contractor must treat its employees in accordance with national law, WB's ESSs and SMP of the project.

B. USE OF FORCE

Restraint and caution must be exercised consistent with international guidelines on the use of force; in particular, the Basic Principles on Use of Force and Firearms by Law Enforcement Officials and including the following key elements:

- Use of force should be evaluated *and use of weapons carefully controlled*.
- Nonviolent means should be used before resorting to force *and firearms*.
- When force must be used to protect human life, it should be proportionate to the threat and should seek to minimize injury.
- Medical assistance should be provided as soon as safely possible.

C. REQUIREMENTS

Contractors' conduct standards need to adhere to the provisions in the Project SMP and WBG standards including the ESS and related guidance.

D. POLICY

Contractor is required to have or produce key internal policies that commit the organization to proper standards, to ensure that its employees understand and adhere to the standards, and to enforce them. This includes:

- Having written policies on conduct and use of force.
- Having a policy to perform pre-employment screening for all supervisors, guards, consultants, security specialists, and other staff, which identifies any history of abuse or

wrongdoing. At a minimum, these checks should include police records and criminal litigation checks, as well as checks with former employers.

- Having a policy on reporting and inquiry into allegations of unlawful or abusive behavior and all use-of-force incidents, followed by appropriate disciplinary action.

[Note: although the contractor should be required to conduct an inquiry when its people are involved, ultimate responsibility remains with the employer.]

E. TRAINING

1. Weapons Training

(This includes firearms, if issued, and any nonlethal weapons systems, if used.)

- Each security guard must be certified as qualified for use of any weapon, *by pass/fail standard*, before being issued a weapon.
- Qualification should recur *every six months*.

2. Use-of-Force Training

This should include:

- Use-of-force technique training and practice through structured, scenario-based, performance-oriented (learning-by-doing) training.
- Where, in what circumstances, and under what conditions it is lawful and in accordance with employer policy to use force of any kind.
- The maximum level of force authorized.
- Emphasis that any use of force must be a last resort and proportionate and appropriate to the threat.
- Emphasis that lethal force can only be used if there is an imminent threat to life or of great bodily harm.

3. Appropriate Conduct

Training should emphasize avoidance of unlawful or abusive behavior. This training should clearly define abusive behavior in relation to proper behavior and point out sanctions; it should also inform trainees of national laws and international standards on human rights that the employer—and they as employees of the contractor—must observe. Two important documents include:

- UN Basic Principles on Use of Force and Firearms by Law Enforcement Officials.
- UN Code of Conduct for Law Enforcement Officials.

4. Equipment

Contractor must ensure that all employees are provided with the appropriate equipment to undertake their responsibilities. This equipment includes *a proper uniform with appropriate identification, radio or other communication device, and any other equipment as determined by the Security Risk Assessment or Security Management Plan as being required*.

5. Auditing

The employer reserves the right to conduct periodic audits of the security provider to:

- Ensure contractor's background-check process.
- Audit and review contractor employee background checks.
- Review the provider's personnel records for all of the guards and security staff it provides.

- Audit incident/allegation responses.

The employer further reserves the right to conduct both scheduled and unannounced reviews and audits of the training program and observation of training events. This may include:

- Reviewing the provider's training program to confirm that the training is scheduled and being conducted.
- Reviewing lesson plans to make sure they meet the proper standard.
- Confirming the qualifications of the instructor(s).
- Ensuring that there is a *pass/fail* performance test to verify that the student mastered the material.
- Reviewing the certification process to guarantee that all the security personnel assigned to the company attended the training and have passed a minimum standard.

6. Sanctions

- The company will apply sanctions, including but not limited to withholding payment for services, if the contractor does not meet the performance expectations outlined in this contract.
- The employer will terminate the contract where there are multiple failures to meet expectations or there is evidence of unlawful or abusive behavior by the contractor's employees.

F. REFERENCES

The Contract with a Private Security Provider should align with the project GRM, sanctions, GBV, reporting, and protocols as outlined in the SMP.

SIGNATURES OF BOTH PARTIES

DATE

24. Annex 3: Template Memorandum of Understanding (MoU) with Public Security Provider Organization

INTRODUCITON

This template is designed for a company seeking to establish a Memorandum of Understanding (MoU) with a government and/or its public security forces. The parts in blue italics should be completed based on the particular context. This template outlines key topics typically included in an MoU, and it provides examples and/or sample text in some cases. It should be noted that there is no single approach for establishing and documenting an MoU, and, as with any template, the content should be reviewed and adapted for the specific situation.

MEMORANDUM OF UNDERSTANDING BETWEEN THE MINISTRY OF AGRICULTURE AND PUBLIC SECURITY PROVIDER OFFICE (Note: specify the name of the public security provider organization)

A. BASIC REFERENCES

- Constitution of FDRE and other relevant national laws.
- World Bank's Environmental and Social Framework (ESF).
- Public Security Provider Organization's relevant policies (e.g., Security Policy, Ethics Policy, Human Rights Policy, Code of Conduct, etc.).
- Voluntary Principles on Security and Human Rights.
- Relevant United Nations protocols and standards.

B. PURPOSE

To clarify and define the relationship and responsibilities of the Public Security Provider Organization (Militia, Police, Regional Special Force, National Army or others) hereafter referred to in this MoA as Public Security Organization (PSO) and the project implementing agency MoA in maintaining and supporting law and order at and in the vicinity of the project's facilities and in its activities. Briefly describe current or envisaged roles.

C. BASIC PRINCIPLES

The Public Security Organization joins with the project implementing agency MoA to provide security services in the course of the implementation of SEASN AF2 for PSNP5 in agreeing with the following principles:

- The Host Nation government, through its police or other public security forces, has the primary responsibility to provide security, enforce the law, and maintain order in the country.
- Both the PSO and the MoA representing the Borrower Country's police pledge to respect human rights at all times.
- Both will approach all issues, including those affecting local communities, on the basis of mutual respect, with a commitment to discuss and solve all issues without resorting to violence or intimidation.

- In providing a safe and secure environment, both agree that force will only be used as a last resort and then only the minimum force necessary to restore peace and to prevent injuries and fatalities.
- In safeguarding the integrity of the project personnel and property, the PSO is committed to obey the laws of Ethiopian government and to promote the observance of applicable international law enforcement principles.
- The PSO's security will not act as part of the public security forces, will not undertake activities outside the project's property, and will not take offensive action.
- The PSO and its security retain the right of self-defense in the event of attack.

The PSO commits that its security personnel will comply with the standards of and be trained with regard to the Voluntary Principles on Security and Human Rights and the UN Basic Principles on the Use of Force and Treatment of Offenders. The PSO requests that public security adhere to the same standards when working with the MoA for project's security needs. In the event that force must be used, any injured persons will be provided medical attention regardless of who perpetrated or initiated the incident. Any incident resulting in a fatality will be investigated by the relevant authorities of the Government of Ethiopia (GoA), and any appropriate disciplinary action will be taken.

D. JOINT SECURITY MEASURES

This section describes any relevant joint undertakings, as appropriate. This may include joint efforts to manage specific threats, procedures for the PSO to request police assistance, coordination and communication mechanisms, etc.

This section may also delineate responsibilities, hand-over mechanisms (both from private security to public security and back again after a threat is contained), and other coordination obligations. For example, "In principle, the PSO's security will enforce the PSO's policies on project property and only ask for help from the Police (regional or federal) if the private security guards cannot manage the situation." Nothing in this memorandum restricts the authority of the GoE or public security forces operating under its orders to defend the nation, maintain law and order, and enforce the Constitution.

E. JOINT TRAINING

In accordance with the provisions of this memorandum, the PSO shall undertake training to make its personnel aware of their responsibilities. Where relevant, this section describes joint training efforts—either aspirations to "explore opportunities to work together" or specific already agreed undertakings, such as training events, rehearsals, walk-through exercises, and other preparations.

F. ADMINISTRATION AND SUPPORT

Both the PSO and the Host Nation police bear the cost for their normal and routine operations as they provide security to the project's operations.

If the PSO requests security assistance from the police, the PSO is prepared to support with assistance under the following formula:

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- The PSO will make payments for transportation, food, and lodging in accordance with the GoE law, but only to an institutional account, not to an individual.
- The assistance, financial or in-kind, must conform to the GoE law and must be transparent and documented; a written receipt is required for all transfers.
- The PSO will not provide weapons, ammunition, or funding to purchase lethal weapons for the police.
- The PSO reserves the right to make all such transactions public at its discretion.

This memorandum is in effect until it is nullified by either of the party. Cancellation or nullification requires 30 days' notice in writing. In such cases, a new memorandum may be negotiated between the parties at any time.

The Ministry of Agriculture (MoA)

Name of the person representing the MoA: _____

Position: _____

Signature: _____

Date: _____

Name of the Public Security Organization (PSO)

Name of the person representing the PSO: _____

Position: _____

Signature: _____

Date: _____

25. Annex 4: Detailed Checklist for Planning and Implementing Site Visits to Monitor Project Security Performance

A. Questions for Security Personnel

Security incidents can occur when the security personnel themselves do not feel secure. It can be helpful to establish how the site security guards perceive their job, the community and their employer, as well as how they conduct their duties. These answers can be compared to the security procedures provided by the Borrower. If opportunity permits, talk to individual security personnel about the following:

- Employment context: duties, wages, length of shift, food rations, duration of employment, training.
- Supervision and reporting: who their manager is, where they would report/escalate incidents.
- Basic scenario-based questions: - What would they do first if someone forced their way onto the property?
 - ✓ What would they do if someone stole something and was running away?
 - ✓ What type of interaction(s) do they typically have with community members, if any?
 - ✓ What is a typical day on the job like?
 - ✓ What is a typical work schedule? (e.g., how many shifts per day/week?)
 - ✓ What is the duration of day and night shifts?
- Be aware that if the project provides an interpreter or translator, the responses to questions may be communicated back to the project team or security management. In a high-risk area, or where security concerns have been identified, it may be useful to have a neutral translator instead of one supplied by the project.
- Try to clarify if the security personnel are affiliated with a particular community or group, and whether it is the same as that of people in the project area or different, and if this has raised any tensions.

B. Questions for Community Members

Women with children can often provide a good indication of how community members, especially those more vulnerable, feel about security in their communities and how the community perceives security personnel. Every meeting context is different, so not everyone will feel comfortable engaging. Potential questions include:

- To whom would you report a problem or an incident or crime? [Often, not everyone will have heard of the grievance mechanism, but they should know someone in authority who would be aware of it.]
- If your child was injured or hurt - would you tell them to approach the police, or to avoid them?
- Have you heard or experienced any problems or incidents associated with the project? (Keep open-ended and note if any issues regarding security are raised. Do not specifically

focus on security if not raised, and include in more general discussion on grievance management.)

C. Discussion with the General Manager or Project/Site Manager

Understanding how the General Manager or Project/Site Manager views the community and security risks will be crucial to the success of identifying and managing security issues on site. This person(s) is unlikely to know all the details about security management, but both the content and delivery of responses to questions can provide a perspective on the relevance, attention and support that security is given at the higher level. Topics for discussion may include:

- Site security risks;
- How the site is protected;
- Security of the local community;
- Relationship with local community and any initiatives;
- Potential use of national security forces, and if not proposed, clarification on the point at which escalation in security risks may require outside assistance, what discussions have been held to identify thresholds for additional support and if there are agreed transition procedures in such an event;
- Existence of an early warning system.

D. Questions for the Security Manager

Not every site will have a dedicated Security Manager, but someone will be responsible for security. This person should be able to confidently answer questions such as:

- How is the SMP implemented?
- Has the SMP been reviewed recently? Are there any changes needed?
- Has the SRA been updated with any new issues? What are they and how are they being handled?
- How are personnel trained on the Code of Conduct? How often?
- What issues have been raised in grievances from workers or the public with regard to security personnel? What happened in these cases?
- Have any high-risk or red-flag zones on security been identified?
- Have there been any recent security alerts, advisories or restriction of movements?
- What is the relationship/interaction with public security? When would it become involved?
- Are there any concerns about public security personnel in general? Any concerns about public security personnel's ability to act in a manner that is consistent with international good practices, applicable laws and the ESSs?
- What is the frequency of consultation with community relations/human resources/environment team on security-related matters?
- What are the security interactions with the local community? Have there been any incidents? What are the reporting and investigation procedures for incidents?
- What is the background and employment process for private security guards (including private contractors)?
 - ✓ Training schedule and program for guards (and public security, if applicable)?

- ✓ Relationship between the SMP and the ESMF, ESMP, SEP, etc.?

E. Questions for the Community Relations Manager

A good working relationship between the community relations and security teams can significantly improve mitigation of possible security risks both from and to the community. This discussion is likely to provide useful information about security, as well as many other issues relevant to the community. Questions for the person responsible for community relations may include:

- What is the relationship with the Security Manager/security team?
- What is the relationship between the SMP and the ESMF, ESMP, SEP, etc.?
- What has been the nature of interactions between community and security?
- What is the community perception of public security in the area?
- What have been the community complaints or incidents related to security?
- Are grievance mechanisms available to the community if a security incident occurs?
- If so, how are grievances reported (e.g., is it an accessible process) and how are they investigated and followed up on?
- Does the grievance mechanism allow a woman complainant to speak to a woman in the project team?

G. Questions for EHS Manager/Supervising Engineer

- What do you understand your role to be in relation to security contracts and arrangements?
- What are the typical interactions of Engineering, Procurement, and Construction contractor/sub-contractors/service providers with security personnel (e.g., access point, gate control, etc.)?
- What are the key security risks (at the project site, at any other remote construction site or camp, in transit)? Do you have any concerns about the ability of security personnel to respond appropriately to such risks?
- Are you aware of a security management plan? Does it include workers/ contractors? Who manages it? How often is it reviewed and updated (e.g., routinely and after any incident)?

H. Questions for Public Security

Public security may include the head of the local police, military, or gendarmerie supervisor. Questions for/about public security include:

- Has the project increased your workload in the area?
- Do you have a relationship with the project team that enables you to promptly and clearly share concerns?
- Do you feel the project team recognizes your concerns?
- What kinds of incident have occurred—can you give some examples?
- Are the security personnel on rotation? For how long are they assigned to the project security? When new personnel are rotated in, what kind of training is provided?

- How do the security forces interact with the local community?

I. On Site Observation Checklist for Monitoring Security Management

Security provisions on site, such as:

- Visible private security presence in and around the site.
- Visible public security presence in and around the site.
- Are there any women security personnel? (This can be particularly relevant and helpful if there are expected interactions between project workers and the local community or between female workers or visitors and security staff, such as inspections).
- In case of the use of armed security, is their uniform different from other uniformed project personnel?

Professionalism of security guards, for example:

- Proper uniforms, clean cut.
- ID with prominent photo and name.
- Basic stance, posture, demeanor.

Weapons and serviceable equipment:

- Are (private or public) security personnel carrying weapons?
- If they have firearms, are pistols properly holstered and long weapons properly controlled?
- Are there guard dogs? Are they well-controlled/restrained? Do they appear to be well-trained?
- Are private security personnel using properly identifiable employer vehicles or equipment?
- Are public security personnel using properly identifiable employer vehicles or equipment?
- Do they have identifying badges that show they are linked to the project?

Required facilities:

- Are there any facilities provided to security personnel (including any welfare and accommodation facilities)?
- Are there secured storage areas/facilities for weapons not in use?
- What communications equipment are on their person and otherwise available?
- Medical Evacuation (MEDEVAC): Is there an established medical evacuation procedure?

Access points and signage:

- Are there clear signs about protocols (including safety messages)?
- Is the name of the project and contact information prominent at access points?

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- Is there emergency contact information listed if someone needs to report an incident or emergency?
- Are there procedures in place to ensure people are not bringing weapons or other prohibited materials (e.g., alcohol, drugs) or unauthorized persons on site?
- Are there procedures in place to ensure project property or vehicles are not improperly removed from site?
- What types of barriers (for example, fences) are being used, if any?

J. Checklist for Observations Off-site

The following may be the key questions to be discussed with the Borrower:

- Public security: quality and presence in the capital city versus local/remote areas.
- Local community activities: - Behavior of and towards women and children.
- Local commerce (e.g., market activity); (d) Public routines and curfew.
- Local daily life versus current reality (i.e., finds out what is usual, and assess whether what is observed conforms to that description).

26. Annex 5: Sample Incident Report Summary Template

Incident Report Summary	Reference #:
Month:	Year:
Incident type:	
Date and time of incident:	
Location of incident:	
Description of the incident (include situation leading up to the incident):	
Individuals involved (include contact details):	
Assessed consequences to the company and to community members (include a description of injuries or damage sustained, if applicable):	
Management actions:	
Prepared by:	Approved by:
Date:	Date:
Distribution:	

Annex 6: Indicative TORs for the TPI and TPM

A. Objectives

An introductory section should briefly present the Project, the monitoring goals and objectives and how it fits in the overall scheme of project implementation.

B. Tasks divided in major project phase, or location or type of activity

This section should provide a general outline of the monitoring program and attach the detailed ESCP/ESMPs, Stakeholder Engagement Plan, or other relevant documents. The Borrower should highlight any specific incidents/accidents/events/changes in project or project schedule that need to be taken into account. A link should be provided to the environmental and social documents, where available on a website, so that the prospective monitor can understand the complexity of the assignment:

- Planning of monitoring visit: provide proposed parameters (schedule, meetings proposed, locations, any complex travel logistics, and so forth).
- List of initial documents to be reviewed and data to be made available.
- Schedule: For single monitoring trips, preferred timing window and duration of visit. For longer monitoring assignments with multiple trips: preferred timing window for first visit, estimate of frequency of visits during each phase (for example, quarterly visits during construction, annual visits during operation, higher frequency during sensitive phases...), expected duration of each visit. Expectation of initial and close out meetings for Borrower/Project Implementation Unit, as appropriate.
- Scope of discussions with stakeholders: provide some context, locations of communities to be visited (if large-scale project, suggested numbers and locations to be confirmed by selected monitor), and background on key issues and impacts that might be raised (which can influence which specialist is most appropriate to undertake the assignment)
- Methodologies to be used, or request expert/monitoring firm to propose methodology.
- Any technology requirements, and any specifications for format and content of output needed in monitoring report, so that the Borrower can access and analyze the information for its own use and/or reporting.

C. Reporting/Outputs

Clarify the focus/purpose of the reports, how findings should be presented/rated, and how conclusions and recommendations should be presented. Propose changes to ESCP, where appropriate; updates to the Stakeholder Engagement Plan, and so forth. Reports should be sent to the Borrower and the Bank at the same time for feedback on any factual inaccuracy. This allows the Bank to see initial and independent recommendations. To ensure independence and credibility, evidence-based conclusions and recommendations of the third-party-monitor should be maintained unless there are factual inaccuracies on which the conclusions and recommendations are based. The Borrower should provide the Bank with their comments to the monitor regarding the report. In controversial or complex projects, the draft report may be shared publicly for maximum transparency and to build trust. Clarify expected language of reporting and intended audience.

D. Qualifications

The TORs should list the following:

- Expertise needed: minimum or range of number of experts, and specialty areas needed to be covered depending on issues in the scope agreed. These may include: project management and specialists on environmental or social issues, indigenous peoples, public health, biodiversity, resettlement, health and safety, labor, communications and stakeholder engagement, and capacity building.
- Expected level of expertise, such as types of degree or certification (for example, environmental, social, engineering), and acceptable combination of level of education and years of experience.
- Experience with/knowledge of international and World Bank standards, the local context, the project sector, applicable regulations.
- Language skills needed, and confirmation that the contractor will provide support for setting up logistics locally, such as meetings, clarity on which party will provide translation, and so forth.
- Require CVs of all key personnel and organization's experience and credentials. These are needed to demonstrate to the World Bank that the experts/specialists are appropriate for the required scope of work.
- Once a monitor is accepted, personnel should not be substituted without permission and should have equivalent expertise.

E. Eligibility/independence requirements

For example (a) absence of existing contracts with Borrower contractors on the project, and (b) no participation in earlier phases of the project or in the design of environmental or social programs associated with the project. The more complex and controversial the project, the higher the eligibility and independence needed.

F. Duration of contract and minimum commitment

Expected minimum and/or maximum duration of contract, as applicable and any minimal commitment expected from the third-party monitoring provider.

G. Excluded costs

Logistical support, travel and accommodation that will be provided by Borrower that should not be included in the cost estimate.

H. Conflicts of Interest disclosure

Any past or current arrangements that would prevent the third-party from providing advice independent of the Borrower and the project.

I. Confidentiality and proprietary information

Any specific arrangements for reports and other outputs to be confidential or proprietary to the Borrower

J. Format of proposal

The TORs should indicate how the cost estimate should be made for undertaking the monitoring assignment: by task, sub-tasks, expected number of people, and daily rate and/or lump sum. If tasks in the TORs are not fully defined, clarify how the budget should approach these tasks.

Annex 7: Escalation Matrix

SEASN State Alert Level	Alert State GREEN	Alert State GREY	Alert State WHITE	Alert State YELLOW	Alert State RED
SEASN Descriptor	Precautionary	Restriction of Movement	Stabilization Evacuation	Concentration	Relocation/Evacuation
Potential Triggers	<ul style="list-style-type: none"> -Agreement by project coordination units at all level and with stakeholders; - Agreement between project implementers and project workers; 	<ul style="list-style-type: none"> - Community unrest/conflict; -Limitation of transportation access to project site - Limitation of access to target Sites due to insecurity; - Government offices affected in undertaking their day to day activities 	<ul style="list-style-type: none"> - All Grey Status Triggers, and additionally: - Specific threats against SEASN workers; - Armed robbery at SEASN office/ activity location; - Serious injury/illness of project personnel. 	<ul style="list-style-type: none"> - All White Status Triggers, and additionally: - Armed conflict nearby impacting project activities. 	<ul style="list-style-type: none"> - All Yellow Status Triggers, and additionally: - Serious assault/fatality of project workers; - Withdrawal of WB Supported projects from the area (or nearby) location; - Withdrawal/lack of government support to ensure security.
SEASN Response	<ul style="list-style-type: none"> - Normal day to day government operations ongoing -Project activity ongoing -Project coordinators and security focal personnel monitor the security situation. 	<ul style="list-style-type: none"> -undertake site specific security risk assessment - The public security officials to notify project coordinators who will in turn notify project workers within 24 hours. - Government security officers accompany project workers, contractors and suppliers during movement to project site -Temporary suspension of activities; 	<ul style="list-style-type: none"> - Project workers pause field visit to move to safe location; -Project coordinators and security focal personnel to account for workers and project resources regularly. - The public security officials to notify project coordinators who will in turn notify project workers within 24 hours. - Public security officials in liaison with the PIU assess potential for de-escalation. - Update WBG on proposed options for de-escalation for agreement - Implement agreed de-escalation actions - Temporary suspension of activities; 	<ul style="list-style-type: none"> - Project workers to move to concentration points and prepare to relocate to safe location; - Project coordinators and security focal personnel to account for workers and project resources regularly -- The public security officials to notify project coordinators who will in turn notify project workers within 24 hours. - Update WBG on proposed options for de-escalation for agreement - Implement agreed de-escalation actions - Suspension of project activities 	<ul style="list-style-type: none"> - The public security officials to notify project coordinators who will in turn notify project workers within 24 hours - SEASN to review viability of continuing with project activities in a particular location/region - SEASN to advise and agree with WBG on proposed way forward (pause/continue/otherwise) - Suspension of project activities

Annex 8: List and Contact Details of the Interviewed Stakeholders**A. Federal Level**

Name	Position	Cell Phone	Email
Guluma	MoA, Targeting and Grievance Technical Support Specialist	0911599511	guluma.snsf@gmail.com
Ambachew	MoA, PSNP Focal Person	0911902962	meetatb@gmail.com

B. Regional Level

Name	Region and Position	Cell Phone	Email
Worku Kebele	Amhara Region Food Security Coordinator	0964716028	workukebele_07@hayoo.com
Uso Mohammed	Dire Dawa Food Security Coordinator	0914995050	usso24@gmail.com
Solomon Begna	Oromia Region Food Security Coordinator	0920937712	Solomonbegna67@gmail.com
Kadir Abdela	Afar Region Food Security Coordinator	0925277099	Kadirabdella21@gmail.com
Nuredin Isehak	Harari Region Food Security Coordinator	0945995362	nrdnshk@yahoo.com
Abera Willa	Sidama Region Food Security Coordinator	0912068409	aberawilla@gmail.com
Maeragu Kelbore	SNNPR Food Security Coordinator	0913563787	maeragu@gmail.com
Kadir Mahamud	Somali Region Food Security Coordinator	0915749884	kadarboodhiye@gmail.com

C. Woreda Level Stakeholders

Name	Woreda and Position	Cell Phone
Wako Jillo	Goro-Dola Woreda, PSNP Focal Person	0924455027
Shambel	Hetossa woreda, Project Staff	0910396507
Kassaye	Dire Dawa Woreda, Project Staff	0915015753
Jafar	Harari woreda, Project Staff	0913992964
Tariku	Hokko Woreda, Project Staff	0911029086
Solomon Boricha	Woreda DRMC Sector Head	0916072905
Duba Yara	South Omo Zone, DRMC Sector Head	0913164287
Tilahun	Hamer Woreda, PSNP Focal Person	0923477030
Wondimu	Sekota Woreda, PSNP Focal Person	0923458709

D. Community Representatives Volunteer to Provide their Cell Phone

Name	Kebele	Phone
Muhammed Yusuf	Asked Not to Disclose Kebele	0969420571
Ibero Munir	Asked Not to Disclose Kebele	0915121897