

THE FEDERAL DEMOCRATIC REPUBLIC OF ETHIOPIA

Ministry of Finance (MOF)



Final

Final Comprehensive Social Assessment

FOR

**Response–Recovery–Resilience for Conflict-Affected Communities in
Ethiopia (P177233)**

August 2022

Addis Ababa, Ethiopia

Table of Contents

| | |
|--|------------|
| Acronyms/Abbreviations | i |
| Executive Summary | iii |
| 1. Introduction..... | 1 |
| 1.1. Background..... | 1 |
| 1.2. Objective of the Comprehensive Social Assessment | 2 |
| 1.4. Methodology for the Comprehensive Social Assessment..... | 3 |
| 2. Key Social Issues | 3 |
| 2.1. The conflicts in Ethiopia, their drivers and resolution mechanisms..... | 3 |
| 2.2. Conflicts between different Parties | 4 |
| 2.3. Conflict Resolution Mechanisms and the Role of Customary Institutions..... | 5 |
| 2.5. Livelihood Activities..... | 7 |
| 2.6. Gender and SEA/SH..... | 7 |
| 2.7. Vulnerable or Disadvantaged Groups | 9 |
| 3. Project Description | 11 |
| 3.1. Project Development Objective..... | 11 |
| 3.2. Components of the Project | 12 |
| 4. Review of National Policies and Legal Frameworks..... | 12 |
| 4.1. The Constitution | 12 |
| 4.2. Proclamations, Policies, Regulations, Strategies and Guidelines..... | 13 |
| 4.3. National and Sectoral roadmaps and Plans | 16 |
| 4.4. World Bank’s ESF Standards on Social Impacts and Strategy for Fragility, Conflict, and Violence (FCV) 17 | |
| 4.4.1. Applicable World Bank’s ESF Standards on for the Project and considered for the Social Assessment 17 | |
| 4.5. World Bank Group Strategy for Fragility, Conflict, and Violence (FCV) 2020-2025 | 26 |
| 4.6. OP 2.30: Development Cooperation and Conflict | 26 |
| 4.7. OP 8.00: Rapid Response to Crises and Emergencies..... | 27 |
| 5. Socioeconomic Characteristics and Context of Population under the Project Implementation Regions.... | 28 |
| 5.1.1. Oromia Region | 29 |
| 5.1.2. Amhara Region..... | 30 |
| 5.1.3. Benishangul Gumuz Region | 31 |
| 5.1.4. Tigray Region..... | 32 |

| | |
|---|-----------|
| 5.1.5. Afar Region..... | 33 |
| 6. Security Risk assessments in the Project Implementation Regions..... | 34 |
| 6.1. Introduction..... | 34 |
| 6.2. Overview of the Security Situation..... | 35 |
| 6.3. Potential Security Risks and Mitigation Measures..... | 36 |
| 7. Gender and SEA/SH Assessment in the Project Implementation Regions..... | 41 |
| 7.1. Gender..... | 41 |
| 7.2. Sexual Exploitation and Abuse and Sexual Harassment (SEA/SH) Risk Assessment..... | 43 |
| 8. Grievance Redress Mechanism (GRM)..... | 45 |
| 9. Summary of Stakeholder and Community Consultations | 47 |
| 10. Potential Social Risks and Impacts and their Mitigation Measures | 53 |
| 10.1. Potential Positive Social Impacts | 53 |
| 10.2. Adverse Social Impacts or Risks | 54 |
| 10.2.1. Implementation of the Project in the Conflict Impact Areas and IDPs hosting regions.. | 54 |
| 10.2.2. Social exclusion of the most Vulnerable and Underserved Groups from benefit packages | 54 |
| 10.2.3. Land Acquisition..... | 55 |
| 10.2.4. High mobility of displaced people to better service providing areas | 55 |
| 10.2.5. SEA/SH Related Risks..... | 55 |
| 10.2.6. Labor force exposure to health and safety | 56 |
| 10.2.7. Weak capacity of project coordination unit at various levels including social safeguards | 56 |
| 10.3. Mitigation Measures | 57 |
| 11. Institutional and Implementation Arrangements | 59 |
| 12. Social Development Plan for Vulnerable and Underserved Groups | 63 |
| Reference..... | 67 |
| Annexes | 68 |
| Annex I: Methodology of the Comprehensive Social Assessment..... | 68 |
| Annex II: Components of the Project | 73 |
| Annex III: Sample Lists of Participants for Comprehensive Social Assessment Preparation for 3R-4-CACE | 79 |
| Annex V: Sample Grievance Redress Mechanism Reporting Format..... | 84 |

Annex VI: Checklists 85

Acronyms/Abbreviations

| | |
|------------|--|
| 3R-4-CACE | Response-Recovery-Resilience for Conflict Affected Communities in Ethiopia |
| CDD | Community Driven Development |
| CERC | Contingency Emergency Response Component |
| CSA | Central Statistical Agency |
| DHS | Demographic and Health Survey |
| DRDIP | Development Response to Displacement Impact Project |
| DRS | Developing Regional States |
| E&S | Environment and Social |
| EHRC | Ethiopian Human Rights Commission |
| EPRDF | Ethiopian People's Revolutionary Democratic Front |
| ESF | Environmental and Social Framework |
| ESMF | Environmental and Social Management Framework |
| ESS | Environmental and Social Standards |
| FCV | Fragility, Conflict, and Violence |
| FDRE | Federal Democratic Republic of Ethiopia |
| FM | Financial Management |
| GBV | Gender Based Violence |
| GDP | Gross Domestic Product |
| GEQIP-E AF | General Education for Quality Improvement for Equity Additional Financing |
| GoE | Government of Ethiopia |
| GRM | Grievance Redress Mechanism |
| HROC | High Risk of Ongoing Conflict |
| IDPs | Internally Displaced Peoples |
| IOM | International Organization for Migration |
| LFSDP | Livestock and Fisheries Sector Development Project |
| IPPs | Indigenous Peoples Plans |
| LLRP | Lowland Livelihood Resilient Project |
| LMP | Labor Management Procedures |
| MHPSS | Mental Health Psychosocial Support |

| | |
|-------------|---|
| MOA | Ministry of Agriculture |
| MOF | Ministry of Finance |
| MOH | Ministry of Health |
| MOJ | Ministry of Justice |
| MOP | Ministry of Peace |
| MOUDI | Ministry of Urban Development and Infrastructure |
| MOWSA | Ministry of Women and Social Affairs |
| MOF | National Disaster Risk Management Commision |
| NROC | Non-high Risk of Ongoing Conflict |
| OSCs | One Stop Centers |
| PCDP-3 | Pastoral Community Development Program-3 |
| PCU | Project Coordination Unit |
| PDO | Project Development Objective |
| PEP | Post Exposure Prophylaxis |
| PIU | Project Implementation Unit |
| POM | Project's Operations Manual |
| PSNP | Productive Safety Net Program |
| RPLRP | Regional Pastoral Livelihood Resilience Program |
| SA | Social Assessment |
| SDG | Sustainable Development Goal |
| SEA | Sexual Exploitation and Abuse |
| SEA/SH | Sexual Exploitation and Abuse/Sexual Harassment |
| SEP | Stakeholder Engagement Plan |
| SH | Sexual Harassment |
| SOPs | Standard Operating Procedures |
| SRA and SMP | Security Risk Analysis and Security Management Plan |
| STIs | Sexually Transmitted Infections |
| UN | United Nations |
| WASH | Water Supply, Sanitation, and Hygiene |
| WBG | World Bank Group |

Executive Summary

Introduction

The World Bank and Government of Ethiopia (GoE) are currently engaged in preparing Response Recovery-Resilience for Conflict Affected Communities in Ethiopia (3R-4-CACE) Project to manage the IDPs crisis, including actions to build capacity for crisis preparedness and response and longer-term recovery from fragility and conflict. The Ministry of Finance (MOF) will coordinate the Project related activities. To implement the project, the Comprehensive Social Assessment is one of the requirements stated in the World Bank ESF, which is also in line with the National Social Protection Policy of Ethiopia in 2012. The Social Assessment was conducted with the primary objective of identifying the potential key social risks and impacts of the proposed project to inform the design of the project and to propose mitigation measures to address those risks and ensure the project is accessible to all, including underserved and vulnerable groups.

Project Description

The aim of the 3R-4-CACE Project is to rebuild and improve access to basic services and climate-resilient community infrastructure as well as to improve access to multi-sectoral response services for SEA/SH survivors, in selected conflict-affected communities in Ethiopia. The total funding of the project is US\$ 300.00 million. The proposed project has four components: **Component 1: Rebuilding and Improving Access to Basic Services and Climate-resilient Community Infrastructure (Cost: \$210.0 million)**, which has three subcomponents: 1) Community-based Rapid Response Basic Services, 2) Community-based Recovery Activities and 3) Strengthening Institutions for Resilience. **Component 2: Improving Access to GBV Response Services (Cost: \$70.0 million)** that has three sub-components: 1) Expanding and Strengthening GBV Services in Conflict-affected Communities; 2) GBV Prevention and Behavior Change, 3) Support to Coordination, Policy Development, and Research for GBV Prevention and Response. **Component 3: Adaptive Project Management (Cost: \$20.0 million)** that has two sub-components: 1) Project management, 2) Learning and Adaptive Implementation and **Component 4: Contingent Emergency Response Component (Cost: \$0.0)**.

Objectives of the Comprehensive Social Assessment

The objective of the Social Assessment is to identify potential social impacts and risks of the proposed project in Ethiopia on the more vulnerable and underserved groups in the participating regions. More specifically, it focuses on describing the social characteristics of local communities including the social and economic characteristics of the possible project affected persons/population in relation to the conflict-affected communities and internally displaced people due to the current war in Ethiopia. It also assesses the potential social risks and impacts of the project on vulnerable and underserved groups and provides practical recommendations for dealing with the challenges and risks identified, including a communications and consultation strategy as part of the SEP that can serve to address the risks and manage expectations. Moreover, it identifies expected social development outcomes and actions proposed to achieve those outcomes, and develops a social development plan based on components, potential risks, mitigation measures, responsible implementing agency and budget.

Methodology of the Comprehensive Social Assessment

In order to carry out the Comprehensive Social Assessment for 3R-4-CACE, both secondary and primary sources of data were employed using a qualitative approach. This assessment was done in areas where there were damaging conflicts. Tigray, Benishangul-Gumuz, and parts of Oromia, Afar and Amhara are still insecure. Thus, in consultation with implementing agencies at regional level, the sample woredas are limited to four, namely; Debreberahan, Woldiya, and Kobo from Amhara region, and Chiefra from Afar region which are relatively representative and were found to be accessible and secure during data collection. The other regions and woredas are covered by various means including drawing from the previous assessments (carried out by the World Bank examples, Productive Safety Net Program (PSNP), Development Response to Displacement Impact Project (DRDIP), Pastoral Community Development Program-3 (PCDP-3), Regional Pastoral Livelihood Resilience Program (RPLRP), Livestock and Fisheries Sector Development Project (LFSDP) and Lowland Livelihood Resilient Project LLRP) and the reports of different national and international organizations. Moreover, the World Bank (WB) and Government of Ethiopia (GOE) Laws and Proclamations as well as Ethiopian government rules and regulation related to underserved peoples were reviewed as were relevant policy/legal conditions that may have changed and institutional changes that may have occurred since project appraisal that need consideration.

Key informants and participants of the consultations were identified in consultation with many stakeholders, from the federal to the woreda levels, and interview guides and checklists were prepared as a result. In addition, primary and secondary sources were used to gather information on the economic, cultural, historical, and political backgrounds of the locations. Through these processes, a clear picture or view of the stakeholders was collected regarding the impacts, risks, challenges, and concerns that may arise because of the project's implementation, as well as the proposed mitigation measures.

Socioeconomic Characteristics and Context of Population in the Project Implementation Regions

The Response–Recovery–Resilience for Conflict affected communities Project will be implemented nationwide though based on feasibility and limited financing, Amhara, Oromia, Afar, Benishangul Gumuz and Tigray regions will be prioritized for the first round. Ethiopia has experienced conflicts for a variety of causes, including competing for scarce resources like pasture, rangeland, and water. Hostilities have lately arisen and/or are ongoing in several parts of the nation, including Somalia, Oromia, Benishangul Gumuz, and the Tigray region, where a war broke out in November 2020. The latter has now spread to the surrounding Amhara and Afar regions, resulting in death, displacement, food insecurity, and gender-based violence, to name a few.

The conflicts in Ethiopia, their drivers and resolution mechanisms

At national level, conflict drivers include the period of political instability, re-organization of political system, conflict/tension between former members of the Ethiopian People's Revolutionary Democratic Front (EPRDF), power sharing and contestation among political

parties and elites, old and new, Spill-over impacts of regional fragility, Intra-elite contestation, natural disasters, youth unemployment and economic shocks. Moreover, the Horn of Africa Political, Economic, and Social Dynamism (Somalia, Eritrea, South Sudan, etc.) has also been another driver. In addition, there are local level drivers of conflicts that include conflicts between ethnic groups in cities, regional states, religious groups, armed groups, political factions, contestation over localized resources, perceptions of regional and historical inequalities, business rivalries as well as youth unemployment and lack of access to agricultural land. Regional drivers of fragility due to climate crises in neighboring countries can spill over into Ethiopia, primarily in the form of displacement. As a result of the multi-layered conflicts, in addition to the formal and project-related grievance redress mechanisms, it is critical to engage traditional institutions and traditional dispute resolution mechanisms. Furthermore, it is vital to continue to support the integration and social cohesion of IDPs and host communities during the project implementation process, taking into account underserved and vulnerable groups.

Security Risk Assessments in the Project Implementation Regions

Conflict-affected communities' Response–Recovery–Resilience project will be executed across the country, although due to financial constraints, the Amhara, Oromia, Benishangul Gumuz, Afar and Tigray areas are likely to be prioritized in the first phase. The study focused on areas and woredas where security issues and conflicts are common. Such dangers could jeopardize the project's successful implementation. As a result, assessing security concerns and the conflict situation will be critical to the project's long-term success.

Burglary, banditry/roadside attacks on transit workers, community unrest, risks from employee and service disruption, gender-based violence/sexual exploitation and abuse (SEA), and risks associated with the use of security personnel are just some of the potential security risks that the project may face during its implementation. During the project's implementation, each of the security concerns will be continually assessed and a security management plan put in place with mitigation measures.

Gender and SEA/SH Assessment in the Project Implementation Regions

Women and girls in Ethiopia are strongly disadvantaged compared to boys and men in several areas, including literacy, health, livelihoods, and basic human rights. They also suffer from low status in their society and lack social support networks. Coupled with the existing inequality, the current situation of unrest and conflict, increased displacement people have expanded the vulnerability of women and girls to SEA/SH and at the same time access to basic services such as health and protection reduced. Furthermore, women faced multiple challenges as they left their residences such as shortage of food, health problems, including mental health disturbances. In times when women are exposed to these challenges, they may easily be vulnerable to GBV. Internal wars, illness outbreaks, food scarcity, and migrations are only a few of the factors that have contributed to the significant rise in internally displaced people (IDPs), returnees, and refugees in the previous two years. These circumstances have exacerbated the risk of SEA/SH, and the health system's ability to respond effectively has been challenged. Despite underreported incidences of SEA/SH during the conflicts, several reports suggest a substantial

number of SEA/SH in the regions of Tigray, Amhara, Afar, Oromia, and Benishangul Gumuz, where the project is to be executed (OCHA, 2021). As a result, extreme caution should be exercised during the project's implementation.

Underserved and Vulnerable Groups Assessment

According to the government of Ethiopia in its constitution and other sources, different categories of groups are considered underserved or vulnerable in the project implementation regions. From the project implementation regions, Afar and Benishangul Gumuz are considered as underserved regions. Afar Region is a home for the Afar ethnic group of Ethiopia that constitutes 90% of the people residing in the region and differentiated from the neighboring communities because of their cultural features and customary lifestyle and the nature of the ecology and they are predominantly pastoral in their way of life and agro-pastoral along the Awash river. The region exhibits vulnerable characteristics in terms of the various forms of shocks, seasonality and trends affecting the lives and livelihoods of people. Water shortages, frequent drought, shortage of grass/fodder, outbreak of human disease, malaria and livestock disease, are among others. More recently, the war in Tigray that expanded to Afar has brought significant impacts on the people of Afar in general and the conflict affected woredas in particular. According to the various social assessments by World Bank in Ethiopia, Benishangul Gumuz region is also another region of Ethiopia, which is considered as underserved by the Government of Ethiopia having the five distinct ethnic groups that are considered as indigenous: Berta, Gumuz, Shinasha, Mao and Komo with their unique cultural practices. However, there are other ethnic groups (considered late-comers to the area and seen as 'non-indigenous' who are also displaced in high number such as the Amhara, Oromo and the Agaw.

Vulnerable groups are social groups that are disadvantaged because of a lack of access to socioeconomic benefits or the negative consequences of mainstream development measures in this regard, **women, children, minority groups, and older persons, persons with disabilities are categorized under vulnerable groups.** These segments of the population have less social, economic and political power and are less represented in formal leadership structures. Internally displaced people are also parts of these segments of the population, mainly young IDPs, especially girls, often experience particular pressure and difficulties as they can be subject to discrimination along the lines of gender and suffer from gender-based violence. More attention must be paid to these sections of the society during the project implementation.

Grievance Redress Mechanism (GRM)

The key element of the social assessment, including accessible grievance handling mechanism was done. Accordingly, grievances will be actively managed and tracked to ensure that appropriate resolution and actions are taken. A clear time schedule will be defined for resolving grievances, ensuring that they are addressed in an appropriate and timely manner, with corrective actions being implemented and the complainant handled as early as possible to address specific concerns raised by the project-affected persons in timely fashion and in an impartial manner. The approach and procedure for Grievance handling for 3R-4-CACE is included in this Comprehensive Social Assessment under section 8.

Potential Positive Social Impacts

In terms of response, recovery, and resilience, the project has a number of benefits for IDPs as well as hosting communities and areas. The project's beneficial outcomes include the provision of basic services and economic opportunities, such as health, education, and water and sanitation. The project will assist the local civil workers by strengthening their capacities through a variety of methods, including appropriate training and job opportunities. In conflict-affected communities, the project will extend and strengthen **SEA/SH** service delivery and GBV preventative programming. With a focus on case management, medical care, and psychosocial support, the project will increase access to and capacity for the delivery of vital, high-quality **SEA/SH** services. The project will concentrate on improving a GBV multi-sectoral response through existing One-Stop Centers (OSCs) established in urban areas, and increasing and strengthening community-based service delivery through specialized partners and mobile service piloting.

Adverse Social Impacts or Risks

The Project's implementation in conflict-affected areas and IDP-hosting regions is in response to the adverse social risks/impacts associated with Response–Recovery–Resilience for conflict-affected communities. Land acquisition, high mobility of displaced people to access better service-providing areas, **SEA/SH** related risks, social exclusion of the most vulnerable and underserved groups from benefit packages, weak capacity of project coordinating unit at multiple levels, including social safeguards, and labor force exposure to health and safety are among the risks or impacts identified in relation to the project. These and other project-related risks and impacts, as well as mitigation measures, are detailed in the table below.

Social Development Plan

| Components | Potential Social Risks/Impacts | Mitigation Measures | Responsible Body | Budget '000' |
|---|--|---|--|------------------------------|
| Rebuilding and Improving Access to Basic Services and Climate-resilient Community Infrastructure | - security risks such as vehicles being ambushed while transporting staff, equipment and materials, harassment, kidnapping, theft, etc. for mobile teams or staff deployed to provide services as the project is implemented in conflict areas | <ul style="list-style-type: none"> - Develop preemptive conflict preparedness plan and build capacity to reduce the effects of conflicts. - Conduct awareness creation and consultation with the IDPs and host communities to help them aware the sources of conflicts and provide full support during the project implementation. - Develop checklists of conflict sensitivity assessment and also consider sensitivity of local conflict dynamics and implement in a way to avoid escalating local tensions. - The MOF and the PCU shall alert the workers on possible conflicts in the project areas. | MOF, PCU with respective regional and woreda level implementers | Core activity of component 1 |
| | Risk of social exclusion of the most vulnerable and underserved people from sharing the benefit packages of the project | <ul style="list-style-type: none"> - Give priority to vulnerable and underserved people in the benefit packages of the project particularly during transition skill trainings SEA/SH and MHPSS referral services, WASH, etc. - Conduct targeted consultations with underserved and vulnerable people, key community representatives, for instance, elders and traditional leaders to receive feedback to adapt the actions to local needs, - Develop and adapt culturally appropriate communication means to reach the vulnerable and underserved people . - Establish effective Grievance redress mechanisms and culturally appropriate community engagement mechanisms per the SEP to ensure timely compliant redress and meaningful engagement in the project for the underserved and vulnerable people. - Put in place affirmative actions t for the vulnerable people and disadvantages people among the IDPs and the hosts. - Consider the issues of underserved and vulnerable groups during the subproject screening identify and benefit them. | MOF, PCU MOWSA, and respective regional and woreda levels responsible bodies | Core activity of component 1 |
| | Potential risk of land acquisition | <ul style="list-style-type: none"> - Conduct proper consultations with PAPs particularly with underderived and vulnerable people in a timely and meaningful manner during sub project screening/ before commencement of subprojects activities. - Document properly consultation meeting minutes. - Ensure that land acquisition of the project is done as per the prepared Resettlement Framework (RF) to minimize and reduce the complaints and other negative impacts, or risks related to land. - Prepare a Resettlement Action Plan (RAP) s before taking the required land in line with Project RF. - There is also a need to properly utilize compensation | MOF, PCU and relevant institutions related to Land acquisition | Core activity of component 2 |

| | | | | |
|---|--|--|---|------------------------------|
| | | and livelihood restoration procedures for persons impacted by the land acquisition. | | |
| | Within the same project target locality, there may be a high mobility of displaced people to kebeles or woredas providing better services of the project benefit packages. | <ul style="list-style-type: none"> - Provide equitably services to all project beneficiaries with particular emphasis to the vulnerable and underserved people . - Consultation as per the SEP with the displaced people at different stages to understand and take measure for the difficult condition to meet their basic needs. - Setout controlling mechanism through project's monitoring as well as a reporting system | MOF, PCU mainly woreda and kebele level implementing entities | Core activity of component 2 |
| | <ul style="list-style-type: none"> - Elite capture and/or different interest groups including traditional authority structures in influencing community's prioritization and manipulation of support provided as well as lack of transparency during selection of the beneficiaries | <ul style="list-style-type: none"> - Put in place a controlling mechanism by allowing the intended beneficiaries including the vulnerable groups to play, an active role in the management of the projects and the design of participatory development to limit the elite capture. - Select beneficiaries realistically in consultation with representatives of the community and vulnerable/underserved people from the IDPs and the hosts. - Create awareness among traditional authority structures and undertake information campaign to ensure the purpose and principles of the project are properly understood, including targeting procedures and design targeting structures with careful consideration to the balance between formal and informal traditional authority structures and inclusive project target <p>Transparent reporting on project activities</p> | MOF, PCU particularly at the lower levels where the project is implemented. | All activity of components |
| Improving Access to SEA/SH Response Services | <ul style="list-style-type: none"> - .SEA/SH risks due to project staff activities, rehabilitation or construction workers, and labor influx for construction activities mostly associated with the cash transfer activities. | <ul style="list-style-type: none"> - Address the Sexual Exploitation and Abuse/Sexual Harassment/SEA/SH risk as per the project's SEA/SH plan. - Update the SEA/SH risk assessment and develop Action Plan to capture the local context during project implementation - Regularly access and manage the risks of SEA/H and other forms of GBV extending from project activities, including key infrastructure elements as well as the receipt of cash by women and other vulnerable groups and sexual exploitation and abuse risks such as sexual favors. - Hire SEA/SH specialist dedicated to support oversight and management of these risks the management of SEA/SH risks as an integral part of the project activities monitoring. - Ensure regular consultation and engagement with women and women's groups throughout the project to ensure equitable inclusion in project activities and to monitor potential risks that may emerge over the life of the project. - Assign a SEA/SH focal person at each project sites among the members of grievance committee to receive and report complaints related SEA/SH. - Each Project works sign Code of Conduct on | MOF, PCU, MOH, MOWSA and their regional and woreda counterparts | Core activity of component 2 |

| | | | | |
|------------------------------------|---|--|---|------------------------------|
| | | SEA/SH (including project staff and construction workers) | | |
| | Lack of project grievance redress mechanism to support the systematic uptake, processing and resolution of project related complaints and grievances. Specifically, for SEA/SH activities | <ul style="list-style-type: none"> - Conduct rapid information dissemination and campaign including local radio in appropriate languages and public place like Woreda administration office/camp. - Regularly sensitizing the communities on the existing GRM system - Provide capacity development training for established GRCs and GBV focal persons on the receiving and resolving grievances related to SEA/SH - Ensure the functionality of established GRM and accessibility for underserved and vulnerable people. | MOF, PCU, and MOWSA and their regional and woreda counterparts | Core activity of component 2 |
| Adaptive Project Management | Lack of capacity in managing project at different levels particularly at woreda and kebele levels and there is problem of timely allowing budget and implementing the activities. | <ul style="list-style-type: none"> - Provide trainings that cover project management, monitoring and evaluation for implementer at different levels including the woreda and kebele level. | MOF, PCU and regional and woreda counterparts implementing entities | Core activity of component 3 |
| | Weak safeguards capacity | <ul style="list-style-type: none"> - Hire or assign ESRM expert at national PCU, PIU and regional project coordination office. And assign ESRM focal person at woreda level - Providing the capacity development training on the Projects E&S instruments requirements and WB ESF standards | PCU at MOF, PIU at MoWSA and regional and woreda counterparts implementing entities | Core activity of component 3 |
| | Weak linkages and coordination among institutions, sectors, programs and projects at all levels. | <ul style="list-style-type: none"> - Create linkages among institutions, sectors (Project implementing agencies and oversight bodies), programs, and projects at all levels through MoU. - Conduct annual inter-sector evaluation workshop among the implementing entities on E&S implementation and performance | MOF, PCU, WoWSA and regional and woreda counterparts implementing entities | 400,000 birr (every year) |

1. Introduction

1.1. Background

The current wave of conflict in Ethiopia has been driven by a complex web of drivers and grievances, including political rivalries, contestation over localized resources, perceptions of regional and historical inequalities – both in development and political representation. These have been exacerbated by unfulfilled employment expectations among youth, shrinking availability of land for the younger generation, and the impacts of climate change. Some of these conflicts have long histories (for instance, between different ethnic groups over control of local resources such as water or pasture) and have re-emerged during the recent political transition. Political competition and rivalry between elites have intensified over this period – locally, and at the national level. Newer conflicts, such as around the expansion of Addis Ababa or around some large-scale investment projects (which led to land-alienation) have been overlaid onto these conflicts. These tensions have manifested across both rural and urban areas but have largely been organized along ethnic lines. Ethiopia is also affected by geopolitical tensions across the broader Horn of Africa, and which affect the political and governance situation in border regions in some states (notably Somali, but also Gambella, and to a lesser extent Amhara).

The development objective of the project will be to support response, recovery, and resilience of conflict-affected communities. The project will be implemented over a five-year period (2022-2026) and financed by a US\$150 million IDA Credit and a US\$150 million IDA Grant. The project will be implemented in conflict impact areas and IDP hosting regions, which are volatile and highly prone to instability and conflict situation. Conflict has led to large-scale internal displacement. According to the International Organization of Migration (IOM) (2021), there were 4.17 million internally displaced persons (IDPs) in Ethiopia, one of largest populations of IDPs in the world. The vast majority (84%) have been displaced by conflict, while 11% have been displaced by drought and flash floods. The remaining were displaced by a combination of social tensions, landslides, swampy lands, volcanic activities, and development projects. Nearly half of all IDPs have been displaced in and from Tigray, primarily due to the conflict in the region. Nearly, 90% of all IDPs in Ethiopia are located in four regional states: Tigray (2.04 million IDPs, 48.82 percent), Somali (834,723 IDPs, 20.01 percent), Oromia (497,267 IDPs, 11.92 percent), and Amhara (354,014 IDPs, 8.49 percent).

Livelihoods have been significantly impacted for both IDPs and hosts in areas of settlement/resettlement. IDPs who remain displaced or have been resettled, have either struggled to eke out livelihoods from farming or agro-pastoralism, but this has placed increased pressure on land affecting hosts and IDPs alive. In some urban and peri-urban areas, livelihood support programs were implemented by local authorities (including granting them access to land, credit and facilitation of local employment (especially for youth) or by humanitarian/development organizations, but with limited effect. Public infrastructure has been destroyed or degraded – either due to the direct effects of conflict, or from having been used for humanitarian purposes and to house IDPs. In areas affected by conflict, essential economic infrastructure including farmer training centers, coffee pulping plants, livestock breeding centers, agriculture nurseries and model farmers display centers have been destroyed,

as have health posts, health centers, and school buildings. Further, the impacts of conflict and displacement have been deeply gendered, and conflict has been characterized by marked increases in SEA/SH.

The Government of Ethiopia (GoE) requested Bank support for the implementation of the Integrated Development, Recovery and Resilience Strategy to manage the IDPs crisis, including actions to build capacity for crisis preparedness and response and longer-term recovery from fragility and conflict. In light of the above, GoE is planning to implement the proposed Response Recovery-Resilience for Conflict Affected Communities in Ethiopia (3R4CACE) Project currently under implementation. The Ministry of Finance (MOF) will coordinate the Project and sign the financial agreement on behalf the government of Ethiopia

The Social Assessment was conducted with the primary objective of identifying the potential key social risks and impacts of the project to further inform the design of the project and to propose mitigation measures to address those risks and ensure the project is accessible to all, including vulnerable groups.

1.2.Objective of the Comprehensive Social Assessment

The key objective of the comprehensive Social Assessment is to identify key areas of social concerns and risks and propose appropriate implementation strategies/approaches to address the social concerns/risks for 3R-4-CACE project. It is also to assess the potential risks and impacts of the proposed project interventions areas on the vulnerable and disadvantaged groups in the participating project implementing regions. In the light of this, the social assessment seeks to meet the following specific objectives stated hereunder

- Assess the key socio-economic factors that require consideration
- identify the key stakeholder groups in the project area, including their socio-economic characteristics, assessing the potential social risks and impacts of the project on vulnerable and disadvantaged groups; and determining how relationships between stakeholder groups will affect or be affected by the project;
- describes the social, economic characteristics of the possible project affected persons/population, and their opinions, perceptions and conclusions on the project were produced
- To put practical recommendations for dealing with the challenges and risks identified, including a communications and consultation strategy that can serve to address the risks and manage expectations.
- Recommend in the early stage of project implementation the appropriate measures towards addressing World Bank ESSs and national laws, including as they pertain to historically underserved and marginalized groups.

1.3.Scope of the Assessment

- **Review the project background and project appraisal document:** As the follow-on project, full understanding is required of its various elements including its location, schedule of implementation arrangements, and life span.

- Review the socio-cultural, institutional, historical and political context and identifying gaps based on the available secondary resources
- Describe the socio-cultural, institutional, historical and political contexts with respect to the 3R-4-CACE based on available sources of information. The focus of the description below is on the qualitative portrayal of the constraints and opportunities of the project by giving focus on.
- **Socio-cultural context:** Describe the most significant social and cultural features that differentiate social groups in the project area, portray their different interests in the project, and their levels of influence; explain any effects the project may have on the poor and excluded and historically underserved groups; examine any opportunities that the project offers to influence the behavior of such groups and the outcomes thereof; Understand any known conflicts among groups that may affect project implementation.
- **Institutional context:** Describe the institutional environment; consider both the presence and function of public, private and civil society institutions relevant to the operation; find out possible constraints within existing institutions and opportunities to utilize the potential of these institutions
- **Assess legislative and regulatory frameworks:** Review national legislations and regulations relevant to sustainable land management practices. In addition, the social assessment refers to the Ethiopian legislations to highlight the covenants supporting equitable opportunities to ethnic populations and link the results to the proposed project design.
- **Identify key social issues:** The social assessment determines what the key social and institutional issues are in relation to project objectives; identifies the key stakeholder groups in this context and determine how relationships between stakeholder groups will affect or be affected by the project. It also identifies expected social development outcomes and actions proposed to achieve those outcomes. Social development outcomes are the socially relevant results the project is expected to achieve such as poverty reduction, equity and inclusion, strengthening of social capital and social cohesion, and promotion of accountable and transparent governance, as well as the mitigation of adverse impacts arising out of the project.

1.4. Methodology for the Comprehensive Social Assessment

During the conduct of the comprehensive social assessment, various data collection tools were undertaken including document review, interviews and stakeholders consultations. In addition, the proper sampling procedures, data analysis methods and ethical considerations were considered. For the detailed description of the methodology section, please refer Annex I.

2. Key Social Issues

2.1. The conflicts in Ethiopia, their drivers and resolution mechanisms

In Ethiopia, various sources outlined several drivers of conflict and fragility at the local and national level, which are closely interlinked. At national level, conflict drivers include the period

of political instability, re-organization of political system, conflict/tension between former members of the EPRDF, power sharing and contestation among political parties and elites, old and new, Spill-over impacts of regional fragility, Intra-elite contestation, natural disasters, youth unemployment and economic shocks. Moreover, the Horn of Africa Political, Economic, and Social Dynamism (Somalia, Eritrea, South Sudan, etc.) has also been another driver. In addition, there are local level drivers of conflicts that include conflicts between ethnic groups in cities, regional states, religious groups, armed groups, political factions, contestation over localized resources, perceptions of regional and historical inequalities, business rivalries as well as youth unemployment and lack of access to agricultural land, to mention a few. Regional drivers of fragility due to climate crises in neighboring countries can spill over into Ethiopia, primarily in the form of displacement. Thus, the conflicts either national or local have different implications for WB projects as it affects the geographically dispersed projects and other service delivery projects, which utilize government systems.

Regarding conflicts related to IDPs, most studies shows that hosting areas of IDPs due to conflict are often characterized by dearth of social and economic service giving infrastructures. The situation is exacerbated by the presence of displaced communities that are affected by conflict effecting to the various social, economic and environmental conditions of the host communities. This can be worsened when it creates burden on existing social amenities/infrastructures. There is also market price inflation or rise after the coming of the displaced people. The host community continues to be willing to absorb and support IDPs but their capacity to do so is strained by the repeated and protracted nature of urban displacement and lack of space and resources. This may create tense relationship and escalate the conflict between the host communities and the IDPs.

In previous social assessments like assessment for DRDIP, show the existence of some forms of conflict between and within members' refugees and host community. However, conflicts are not as such serious. The conflicts did not claim people's life. The major causes of conflict between the two parties are theft of host communities' crops and small ruminants by the refugees and restriction of access to resources such as farmlands, forest and forest products, etc. It is also due to straying of refugee animals into host communities' crops and irrigation land; competition over resources such as firewood, grass, and grazing land; the damage refugees' cause to environment; and the like. The local committees that have been set up everywhere composed of the host community members, refugees' conflict handling committee members as well as Kebele and woreda administrators, have resolved the conflicts. Nevertheless, this project will be implemented with particular focus of the internally displaced people and the host communities.

2.2.Conflicts between different Parties

In the project implementation regions as stated earlier, the people regard their social diversity relations in several forms. They organized into different social groupings based on various forms of ethnic identities as clearly described in the socioeconomic and context of the population in the project implementation areas. Within the same ethnic group, there are clan and sub-clan divisions mainly in the pastoral and agro-pastoral communities of Afar and parts of Oromia regions. Various languages spoken in Ethiopia, which is based on locality, also characterize social diversity and cohesion. It is also important to mention

the need to consider the interaction of diverse groups within various contexts of social and power relationships. The relationships created through social and power perspective in turn would bring access, capabilities and opportunities.

Ensuring social cohesion is not easy, as IDPs often lack political participation and understanding of the locality of the host communities. At the local or regional level, an influx of additional people for an extended period can strain local services, reducing authorities' capacity to respond to the needs of the local population, including the most vulnerable people among them. IDPs can pose significant challenges and burdens on host communities and local authorities. The arrival of large numbers of IDPs can be seen as a demographic shock and exacerbate pre-existing problems. Hesitation among the host community to accept IDPs is an issue, and it requires political action on the part of local authorities to fight prejudice, prevent violence, promote intercultural understanding and ensure social cohesion. Protecting the rights of the IDPs is not an end in itself. It is fundamental for ensuring integration and social cohesion and, consequently, the well-being of communities.

2.3. Conflict Resolution Mechanisms and the Role of Customary Institutions

Previously undertaken Social Assessments by WB financed projects highlighted important customary institutions in the five regions (Oromia, Amhara, Tigray, Afar and Benishangul Gumuz) that are involved in dispute resolution and/or providing support for the vulnerable. These are particularly strong in pastoralist societies and religious institutions providing charity. In the social assessments, there is discussion of different types of customary institutions and the positive role they play in conflict resolution. Some of the support from customary institutions involve gifts or loans/credit of food (grain or among pastoralist groups milk), livestock (usually lactating cows, oxen to plough with, lactating camels or donkeys for transport), or cash at times of hardship (famine, loss of livestock, death of oxen) for weddings or funerals. The support may be provided to clan members, kin, family, children, friends, or to poor people, widows and orphans, with traditional fostering called *guddifacha* in Oromo society. Some forms of support may be expected or mandatory with sanctions for not providing it, and others may be voluntary at the discretion of individuals.

There are also common forms of labor sharing, often during planting, weeding or harvesting (*debo, jige, wofera* – RLLP -SA, LFSDP-SA) and sometimes for house building, that are either reciprocal, usually between two individuals or households, or festive, in exchange for food and drink, often called by wealthier households. Some of these are forms of religiously prescribed charity, as in the case of Zakat or Fidri gifts at the end of Ramadan in Islam, or gifts during Saints days in the Orthodox Christian tradition. Some local institutions have specific purpose, notably credit and saving (*eqqub*), pooling resources in turn (women's butter or spinning groups), or for burial (*iddir/kire/sera*), which may also play a role of support for the vulnerable.

Many of the customary institutions are led by clan leaders and/or elders and are involved primarily in customary justice with different names and rules in different cultures (AGP-SA, DRDIP-SA, WaSH-SA). There are also customary institutions involved in natural resource management of land, particularly in pastoralist areas for pasture land, water for irrigation, water wells (notably in Borana), forest land, etc (RLLP -SA). Some of these institutions are said to have been weakened in part due to more "frequent natural hazards that deplete the social and physical assets of the community" (PCDP-SA). The relationship of customary institutions

with government structures is complex with elements of competition and cooperation, especially with the recent expansion of government institutions to lower levels below the Kebele, notably the development teams (RLLP -SA).

Customary leaders and institutions notably clan structures were found to play an important role in ‘targeting’. However, from the project’s point of view, this was seen as resulting in the inclusion of people who were not eligible and others who deserved to be included were not, with women often faring badly (PSNP4-SA). Moreover, among the pastoralist groups a strong sharing ethnic often means that aid and PSNP transfers are widely shared. From a project point of view this is seen as ‘diluting’ the benefits when ‘beneficiaries share their kinsmen who are not included in the program and hence for whom the resources were not intended’ thereby endangering effectiveness (PSNP4-SA). This raises the question of how customary institutions that have the support of the communities can best work with formal institutions in improving the effectiveness of social support and social protection, and how they can be reformed to take account of women’s and children’s rights. **Thus, during the 3R-4-CACE project, care should be taken to properly manage and distribute the support for the intended needy people.**

Besides, in different parts of the country, there are various forms of traditional conflict resolution mechanisms. These includes, for examples, in Oromia, *Jarsuma* (conciliation of elderly) which is under the bigger umbrella of the *Gada* system, in Afar, ‘*the mada’a*’ (resolution by clan leaders) and in Amhara and Tigray, it is called *Shemgilna* (resolution by elderly people). **Thus, during the project implementation, it is vital to use such customary institutions and traditional conflict resolution mechanism in addition to the formal and project related GRM.**

2.4.Social cohesion

In the project implementation regions as stated earlier, the people regard their social diversity relations in several forms. They organized into different social groupings based on various forms of ethnic identities as clearly described in the socioeconomic and context of the population in the project implementation areas. Within the same ethnic group, there are clan and sub-clan divisions mainly in the pastoral and agro-pastoral communities of Afar, Benishangul Gumuz and parts of Oromia regions. Various languages spoken in Ethiopia, which is based on locality, also characterize social diversity and cohesion. It is also important to mention the need to consider the interaction of diverse groups within various contexts of social and power relationships. The relationships created through social and power perspective in turn would bring access, capabilities and opportunities.

Ensuring social cohesion is not easy, as IDPs often lack political participation and understanding of the locality of the host communities. At the local or regional level, an influx of additional people for an extended period can strain local services, reducing authorities’ capacity to respond to the needs of the local population, including the most vulnerable people among them. IDPs can pose significant challenges and burdens on host communities and local authorities. The arrival of large numbers of IDPs can be seen as a demographic shock and exacerbate pre-existing problems. Hesitation among the host community to accept IDPs is an issue, and it requires political action on the part of local authorities to fight prejudice, prevent violence, promote intercultural understanding and ensure social cohesion. Protecting the rights of the IDPs is not

an end in itself. It is fundamental for ensuring integration and social cohesion and, consequently, the well-being of communities.

2.5. Livelihood Activities

The main livelihood activities of communities in the project target areas depend on agriculture, livestock rearing, and mixed farming. Livestock production is the principal means of livelihood for the Somali and pastoral and agro pastoral parts of Oromia regional state. This is to mean that there is a practice of traditional and extensive livestock rearing system (cattle, camels, goats and sheep). The agro-pastoralists also make their livelihood out of mixed agriculture, mainly those households residing along the permanent rivers. However, there have been vulnerabilities due to recurrent drought, chronic water shortages, conflicts, market shocks (livestock and cereals price fluctuations), animal and human diseases. The livestock herd size per household is reducing radically because of shortage of pasture. Massive livestock death and reduced animal fertility rates have also become common trends in the Project implementing areas. According to Addis Standard report on October 6, 2021, in one of the Oromia regional state, Borena zone, due to drought, 7,540 cattle were died, and some 13,641 cattle are moving around with the assistance of humans because the drought has weakened them. There are different forms of pastoral livelihoods that were addressed by previous social assessments of World Bank such as LLRP, PSNP and PCDP. Accordingly, they are listed as follows:

Livestock-based livelihoods are households that rely on rearing camels, cattle, sheep and goats. The survival, quantity and condition of these livestock determine a household's wealth and ability to continue their traditional livelihood patterns. Mobility and the ability to access natural resources such as pasture and water, are fundamental to the continuation of this livelihood and often called as 'pure' pastoralists.

Agro-pastoral livelihoods combine extensive livestock rearing and rain-fed cereal production (typically sorghum, wheat, and barley) for household consumption. The area under agricultural cultivation is mainly restricted by the availability of labour within the household. Mobility remains important for these households.

Sedentary farmers practice mixed farming, cultivating food crops (sorghum, wheat or other cereals) along with modest flocks of sheep and goats. Wealth is determined by land holdings and oxen ownership.

Ex-pastoralists are households who have lost their livestock and now depend largely on the 'sale' of family labour. Ex-pastoralists are settled on the periphery of major urban centers and in internally displaced person camps. The majority remain on the margins performing low-skilled labor-intensive activities value activities such as casual labour and the collection and sale of bush products.

The above-mentioned pastoral livelihoods and farming livelihood communities of Ethiopia can be affected by the ongoing conflicts and war in the various parts of the country. Thus, this project should take into account the crisis related to the conflict and require providing support for highly vulnerable groups or communities in the country in relations to the effects of the outbreak of the war or conflicts. The various support mechanisms of the project are stated in the components and will be further treated under the social development plan.

2.6. Gender and SEA/SH

Gender: Gender inequality has been common in all parts of Ethiopia. The Human Development Index (HDI) of Ethiopia is 0.485 – it is 0.442 for females (up from 0.247 in 2000) and 0.527 for males (up from 0.331 in 2000). Ethiopia ranks 125 out of 189 countries on the Gender Inequality Index (GII) with a GI value of 0.517 (with a maximum of 1 denoting complete inequality). This is mainly observed in accessing

productive resources and basic services. However, initiatives are implemented that enhance the participation and benefits of women in various development projects. It is also imperative to highlight societal and gender relations in many communities of the country that women in male headed and female-headed households have been the most vulnerable groups, particularly in the war affected areas and communities. They become vulnerable because of lack of education, gender bias, tradition and culture, and their reproductive and productive roles. The status of Ethiopian women can be seen in terms of societal attitudes towards women; their socio-economic status; their educational status; women's awareness of their rights; their productive and reproductive roles. In addition, based on the Rapid GBV risk assessment in Ethiopia, (World Bank, 2021), due to current situation of unrest and conflict, increased displacement people have expanded the vulnerability of women and girls to SEA/SH and at the same time access to basic services such as health and protection reduced. Furthermore, women faced multiple challenges as they left their residences such as shortage of food, health problem, mental health disturbance (fear, anxiety, depression, inability to sleep and inability to take care of themselves) and others.

According to various sources including the social assessments addressed by WB, it is imperative to understand the special concerns of displaced women and the need for a gender approach to assistance and protection strategies. This is because displacement tends to alter the family and household structure and change gender roles forcing women to assume additional burdens while exposing them to additional risks. Lack of appropriate skills and difficulties in developing new coping mechanisms are among the problems displaced women must face. However, women play a central role in developing coping mechanisms and in reducing the vulnerabilities faced by families and communities. It is vital to consider displaced and host communities' women to play a key role in the design and implementation of the various activities that can help alleviate their livelihoods providing them job opportunity or seed money to open small businesses, provide health and psychosocial services as well as capacity building trainings skills, to mention a few.

Participation in community activities and local organizations show that there are no gender differences. Both men and women are involved in community meetings and in local organizations. Men often participate in both activities more than women, however, the difference is insignificant. In the project area, there may be dominance of male over female in making decisions on key issues though these days various projects require the participation of all sections of the community. Concerning IDPs and affected populations, they have a right to participate actively in decisions that affect them. Moreover, their participation is essential to ensure that interventions for their benefit effectively address their needs, and protect the rights of all segments of the population affected. In this regard, a central component of effective participatory assessments is the holding of separate, structured discussions with women, girls, men, boys of diverse ages and backgrounds focusing on their specific protection risks, understanding their capacities and ensuring each group a voice in setting priorities and proposing solutions.

Often women, children, minority groups, older persons, persons with disabilities and indigenous people have less social, economic and political power, and are less represented in formal leadership structures. Consequently, they are often overlooked in assessment and planning processes and this can inhibit their access to and control over resources on equal terms with others. Participatory assessments that solicit their views may help to prevent this, and ensure that their specific protection gaps are addressed.

RPLRP SA indicates that project operational manual states that progress of implementation of sub projects must be made known to everyone and can be done through monthly regular community learning meetings, whereby at least 80% of the community members and at least 50% women members have

participated. In order to ensure the participation of women in the project management of the community, more than 30% of the committee members need to be women. The project implementation manual has clearly identified the number, role and responsibilities of women in the committees, and this can be taken as a good lesson during the implementation of this project.

Gender-Based Violence (GBV): Some of the different forms of Gender-Based Violence (GBV) that are prevalent in Ethiopia include, among others, intimate partner violence (physical, emotional and sexual), domestic violence, female genital mutilation/cutting, sexual assault, rape, marriage by abduction, and child marriage. These forms of GBV mainly encounter girls and women, which is rooted in unequal power dynamics between women and men, which hinder women's and girls' development, health, livelihood, and physical and mental well-being.

GBV related studies by the Ministry of health, for example, show that a number of key focus areas with direct implications for GBV prevention and response efforts in Ethiopia and the government has made great strides with supportive policies and tools to address gender inequality and prevent SEA/SH and harmful norms. These include establishing a Women and Youth Affairs Directorate within the Federal Ministry of Health; assigning gender experts at regional, zonal, and woreda offices; and increasing the capacity of the Ministry of Women and Children to prevent and respond to SEA/SH. These efforts have resulted in declines in early and forced marriage and increases in school enrollment. In addition, One-stop centers are localized in and administered by hospitals (health sector). These centers are equipped with staff from multi-sectors-health workers (various professional disciplines), police, prosecutors, counselors, and social workers working in team - in line with the SOP for effective coordinated response centering the survivor of SEA/SH.

The model of health service delivery for survivors of SEA/SH varies at different setting and the centers deal with various types of SEA/SH but mostly focus on sexual violence. The centers at Kara Mara Hospital in Somali Regional State, for example, commonly deals with complication arising from FGM. The collaboration with other sectors is through referring the survivor for the needful in the Woreda and Regional hospitals. In this regard, healthcare workers are aware of gaps in service delivery for SEA/SH survivors and want additional resources, training, and guidance to deliver quality care to SEA/SH survivors. While basic services exist, resource constraints, knowledge gaps among clients and healthcare workers, and weak multi-sectoral referral links create disjointed and incomplete pathways of care for SEA/SH survivors. **Moreover, the sociocultural norms that foster stigma for survivors and normalize violence within partnerships inhibit women's, men's, boys', and girls' access to comprehensive SEA/SH care and treatment.** In addition, according to the EDHS 2016, only few (2%-3%) seek assistance from health and lawyers and 8% report to police and rest seek assistance from families, friends/neighbors. These reflect that there is fear, stigma associated with, or dissatisfaction of service or being unaware of the availability of services. There is much to do in this regard in making health facilities friendly for SEA/SH.

Coupled with the above gaps, internal conflicts, disease outbreaks, food scarcity and migrations are additional features that attributed to the drastic increase of internally displaced people, returnees and refugees in the last two years. These situations have increased the risk of SEA/SH and the resilience of the health system to respond effectively is challenged.

2.7. Vulnerable or Disadvantaged Groups

According to various sources, different categories of groups are considered vulnerable or disadvantage in the project implementation regions. These include women, children, minority groups, and older persons, persons with disabilities and underserved people and region (Benishangul Gumuz and Afar). These

segments of the population have less social, economic and political power and are less represented in formal leadership structures. Internally displaced people are also parts of these segments of the population, mainly young IDPs, especially girls, often experience particular pressure and difficulties as they can be subject to discrimination along the lines of gender and suffer from gender-based violence. More attention must be paid also to the elderly, who are often traumatized by the loss of their home and community identity.

There are a number of potential key drivers of vulnerability that include but not limited to: lack of or limited access to political power and representation (marginalization, exclusion), lack of or limited social capital including social networks and connections, lack of access to basic services, regional and historical inequalities, power sharing and contestation among political parties and elites as well as lack of social cohesion.

Various measures were undertaken to improve the livelihoods of vulnerable and underserved groups by the government and projects (DRDIP, PCNP, LLRP and CALM). In most cases, the interventions identify and assess the situation of these groups. Following that targeted support such as direct transfer, employment and income generation schemes were implemented in collaboration with development partners.

Internally displaced people and other affected populations have a right to participate actively in decisions that affect them. This is due to the fact their interest, benefit may be overlooked, and they may not be treated accordingly. If they are part of the decisions, the IDPs have a chance to reflect their concerns and interests regarding the project identification, planning and implementation in a way that suits them. Moreover, they may be disproportionately impacted or further disadvantaged by the project as compared with any other groups due to their vulnerable status, and usually require special arrangement to ensure their equal representation in the consultation and decision-making process associated with the project. Additionally, their participation is essential to ensure that interventions for their benefit effectively address their needs and protect the rights of all segments of the population affected. It is also important to carry out discussions in a separate and structured manner with women, girls, men and boys of diverse ages as well as backgrounds focusing on their specific protection risks, understanding their capacities and ensuring each group a voice in setting priorities and proposing solutions. It is also imperative to consider participatory assessments with hosting communities. Their views are important to understand whether protection risks are specific to IDPs, or equally affect the whole community. Their views are also key to gauge their capacity to support IDPs, and how this capacity can be strengthened, which will substantially influence the type of response to provide. There are different ways in which these consultations can take place including interviews, focus group discussions and joint meetings with members of the hosting community and IDPs. The choice will depend on the context, in particular on security concerns. Generally, local authorities need to play a key role in facilitating and promoting equal access to and protection of IDPs.

The issues discussed above with regards to vulnerable and disadvantaged groups with particular focuses on IDPs are in line with the ESS 7 World Bank requirements that consider historically underserved traditional local communities in the project. This is due to the fact Somali and parts of pastoralists (and Semi-pastoralists) in Oromia regions are addressed in the context of ESS7. Coupled with vulnerability and being disadvantaged groups, displacement due to war will have disproportionate impacts on their overall living conditions. This relates to the food insecurity and loss of livelihood disproportionately impact vulnerable group of the community. Though the exact number is unknown, the vulnerable group in the

project areas include women, women headed household, elders, children, unemployed youths, and disabled people significantly and disproportionately affected by the impact of the war.

3. Project Description

A multi-sectoral and local-solution-driven approach is essential for a development intervention on conflict given the complexity of the conflict system and the consequent pervasive impacts onto individuals, households, and communities. Taking over from the more immediate, humanitarian relief, working on sustainable solutions for communities having been impacted by conflicts requires the right balance of support to achieve immediate, medium-term and long-term outputs, in other words response, recovery, and resilience-focused activities.

Equally, **SEA/SH** prevention programs require a sustained investment over a long period to achieve impacts in terms of reduction in **SEA/SH** incidence. Social norms and values that may condone **SEA/SH** change slowly. The project will, therefore, contribute to the longer term goal of reducing **SEA/SH** prevalence by focusing on the following set of intermediate level outcomes. The geographic focus of the project will be country-wide. However, based on feasibility and limited financing, Amhara, Oromia, Afar, Benshagual and Tigray regions will be prioritized. These regions host the largest number of IDP and are affected by a variety of displacement and conflict types. Targeting within regions will be based a set of criteria outlined in the Project Operations Manual, including needs, contextual feasibility, and community readiness.

The project will be implemented during a five-year period (2022-2026) and financed by a US\$150 million IDA Credit and a US\$150 million IDA Grant. Financed activities will be grouped into three components, focusing on improvement of sustainable access to basic services and climate-resilient community infrastructure (Component 1), strengthening multi-sectoral response services for survivors of GBV (Component 2), and adaptive project management (Component 3). In addition, the project includes a zero-dollar Contingency Emergency Response Component (CERC, Component 4).

3.1. Project Development Objective

The Proposed Development Objectives are to (i) rebuild and improve access to basic services and climate-resilient community infrastructure and (ii) improve access to multi-sectoral response services for GBV survivors, in selected conflict-affected communities in Ethiopia. The following PDO-level Indicators will be used to measure the achievement of the PDO:

- a) Beneficiaries with access to new or improved climate-resilient community infrastructure (Number, disaggregated by gender and displacement status)
- b) Beneficiaries with access to new or improved community services (Number, disaggregated by gender and displacement status)
- c) Increase in reported GBV cases who receive access to multi-sectoral response services¹

¹ Multi-sectoral services are defined as at least two of the following: medical, psychosocial, police/security, and legal support. This indicator is calculated as the number of GBV cases that receive at least two services (including referrals) out of the total number of GBV cases that access services. This will be further disaggregated by point of entry for services. At the service provider level and as part of a process evaluation, analysis data from available

(Percent, disaggregated by gender)

3.2.Components of the Project

The project has four major components and sub-components. These includes rebuilding and improving access to basic services and climate-resilient community infrastructure, improving access to SEA/SH response services, adaptive project management and contingency emergency response. Each of the components and sub-components are discussed in detail in Annex II.

4. Review of National Policies and Legal Frameworks

4.1.The Constitution

The Ethiopian Constitution recognizes the presence of different socio-cultural groups and their rights to socioeconomic equity and justice. Even though the provisions of the articles are not directly related to the Internally Displaced People due to conflicts occurring in the country, various provisions regarding the general causes of displacement are stated in the following articles of the constitution. In the following table, review is also made on the rights of the people whenever they can be affected by projects.

| Article | Description of the Issues raised under the article |
|---------|--|
| 39 | Ethiopian Constitution recognizes the rights of groups identified as “Nations, Nationalities and Peoples”. They are 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 identity, a common psychological make-up, and who inhabit an identifiable, predominantly contiguous territory.” This represents some 75 out of the 80 groups who are members of the House of Federation, which is the second chamber of the Ethiopian legislature. The Constitution recognizes the rights of these Nations, Nationalities and Peoples 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, which includes the right to establish institutions of government in the territory that they inhabit and equitable representation in state and Federal governments. |
| 40 | The Constitution states that the Government has the right to expropriate private property for public use subject to payment in advance of compensation commensurate to the value of the property. The Constitution lays down the basis for the property to be compensated in case of expropriation because of State programs or projects in both rural and urban areas. Persons who have lost their land because of acquisition of such land for the purpose of public projects are entitled to be compensated to a similar land and the related costs arising from relocation; assets such as buildings, crops or fruit trees that are part of the land etc. |

information management tools will also give a deeper understanding of services available, unavailable, or declined by survivors. As not all survivors need or want to access more than one service, it is not expected to see a percentage increase once approximately 75 percent of survivors are accessing at least two services services.

| | |
|----|---|
| 41 | Article 41 of the Constitution (Economic, Social and Cultural Rights) states that every Ethiopian has the right to access publicly funded social services. Sub Article 5 of the same article stipulates, the state, within available means, should allocate resource to provide rehabilitation and assistance to physically and mentally disabled, the aged and to children who are left without parents or guardians. It also protects the rights of ethnic groups within Ethiopia in terms of their use of mother tongue, and the protection of culture and identity, and equal representation in regional states and the federal government. Moreover, provision is made for the conditions of equal opportunities and full participation of people with disabilities. |
| 42 | The article 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. |
| 43 | The article provides a foundation for the recognition and protection of woman’s rights and guarantee equal right with men and stipulates providing special attention to women to remedy the historical legacy of inequality and discrimination Ethiopian women endured. Women have the right to full consultation, the formulation of national development policies, the designing and execution of projects particularly those affecting the interests of women. Women’s right to acquire, administer, control, use and transfer property; and rights to equality in employment, promotion, pay and transfer of pension entitlements are clearly stated. |
| 44 | Regarding displacement of the public due to development projects, “All persons who have been displaced or whose livelihoods have been adversely affected as a result of state programs have the right to commensurate monetary or alternative means of compensation, including relocation with adequate state assistance”. |
| 89 | Article 89 (2) of the Constitution stipulates: ‘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(3) states that Government shall take measures to avert any natural and man-made disasters, and, in the event of disasters, to provide timely assistance to the victims. Article 89 (4) in particular states: ‘Nations, Nationalities and Peoples least advantaged in economic and social development shall receive special assistance’. |

4.2.Proclamations, Policies, Regulations, Strategies and Guidelines

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

FDRE House of People’s Representatives has recently rectified Proclamation No.1161/2019 that deals with “Expropriation of Land for Public Purposes, Payments of Compensation and Resettlement of Displaced People”, and replaced the previously active legislation on the matter, i.e., Expropriation of Land and Compensation Proclamation No. 455/2005. The new Proclamation gives priority rights to develop Land for the Landholders when the capacity of the Landholders to develop the land as per the approved land use plan; urban structural plan; or development master plan is presented. It states, “Landholders whose holdings are within the

area prescribed to be redeveloped shall have priority rights to develop their lands according to the plan either individually or in a group” (Article 7, sub-article 1-2).

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

- Number of years for permanent loss of farmland has increased from ten (10) years into fifteen (15) years;
- The number of consecutive years of productivity of crops and price considered for compensation estimate is reduced from five (5) to three (3) years of which the best productivity and price of the three (3) years is to be considered;
- Time limit for the landholder to whom compensation is not paid after estimation, can use the land for former purpose is added in the new proclamation (Article 3, sub-article a, b and C);
- Number of days of notice for illegal holders is set to be thirty (30) days (Article 8);
- Displaced People shall be compensated for the breakup of their social ties and moral damage they suffer as a result of the expropriation (Article 4e); and
- Provision on resettlement packages that enable displaced people to sustainably resettle (Article 16, sub-article 2).

ii. Regulation No. 472/2020 on Expropriation and Valuation and Compensation and Resettlement

The FDRE Council of Ministers Regulation No. 472/2020 on Expropriation and Valuation and Compensation and Resettlement was issued. The regulation provides the basis for compensation of affected properties. It also assists the displaced or affected persons to restore their livelihood.

iii. Proclamation No. 1097/2018 on Gender Based Violence

In relation to **Gender Based Violence**, Proclamation No. 1097/2018, article 28 (f & g), bestow powers and duties to the Ministry of Women, Children and Youth to: “design strategies to effectively prevent and take measures against gender-based violence against women; implement same in collaboration with relevant organs; facilitate the setting up centers for provision of holistic health, psychological, legal and rehabilitation services for women who were victims of violence; and follow up the implementation of same.”

vi. The National Policy on Ethiopian Women (1993)

It underlines the need to establish equitable and gender sensitive public policies that empower woman, especially in education and property rights, and engaging them in decision making. Improving healthy working conditions, ensuring access to basic services, protecting woman from harmful traditional practices are among the emphasized key issues.

vii.Regulations to support underserved and Vulnerable groups

A range of policies, action plans and strategies aimed at protecting and promoting the wellbeing, life chances and education opportunities of disadvantaged groups and developing regions are in place. 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 (DRS).

There are a number of overarching laws and additional implementation strategies/guidelines adopted by the government to protect vulnerable groups including women, children and people with disabilities, and ensure their rights to quality, access and equity of educational opportunities. Provisions requiring parents and guardians to protect the health, education and social development of children, and respect the legal age of 18 for the marriage as a safeguard against early marriage (Family Code 2000).

Useful proclamations, regulations and plans of actions were formulated to protect people with disability and the elderly. Among others, the most relevant ones include: (i) National Plan of Action of Persons with Disabilities (2012-2021); (ii) Proclamation No. 568/2008, Rights to Employment for Persons with Disabilities; (iii) Building Proclamation, No. 624/2009 and Regulation 243/2011.

viii. The National Social Protection Policy of Ethiopia

Ethiopia has formulated a National Social Protection policy in 2012 with a general objective to create an enabling environment in which citizens (including special need and other vulnerable segments) have equitable access to all social protection services that will enhance their growth, development. Ethiopia's social protection policy is a central public policy component for addressing poverty, vulnerability and inequality.

The Policy has designed instruments to reach long and short term objectives including conditional and unconditional social transfer, expansion of public works; providing technical support and financial services; mandatory social insurance and community based health insurance; establishment of social work system, services for PWDs, the elderly and mobility constrained persons; enhancing abuse and exploitation prevention communication, provide protective legal and policy environment, support for survivors of abuse and exploitation and drop in centers and hot lines.

The Social Protection Policy of Ethiopia has identified four key focus areas: i) social safety nets; ii) livelihood and employment schemes; iii) social insurance and iv) addressing inequalities of access to basic services. Further, the policy commits the Government to move beyond the partial, and fragmented, provision of social protection to establish a social protection system.

In addition, related to the project, the 2009 African Union Convention for the Protection and Assistance of Internally Displaced Persons in Africa (the 'Kampala Convention') which the GoE signed and ratified in Feb-Mar 2020, the Durable Solutions Initiative, as well as the National Policy and Strategy on Disaster Risk Management (NDRM Policy).

ix. Gender mainstreaming strategy and guideline (2010)

It stresses the consideration of gender issues in policies, programs and projects implemented by government and development partners. This is to ensure that the out comes of development are shared equally between men and women. In addition, it gives right for both men and women to enjoy equal opportunities, status and recognition.

The ratification of the Family Law and amendements made to the criminal code significantly help to fight abuses committted against women and children. Proclamation No, 377/2003 gives special attention to woman and young workers. The proclamation provides protection for women in general and pregenant women in particular from hard work and long hours. The law clearly states that women should not be discriminated against as regards to employment and payment on the basis of their sex.

x. Action on Health response to Gender Based Violence/Sexual Violence (2020/21-2025/26)

Women, Child, Youth Directorate of the Federal Ministry of Health prepared a document on Action on Health response to Gender Based Violence/Sexual Violence (2020/21-2025/26). The strategic plan aims to:

- Identify key strategic priorities of the health response to GBV/SV for investment in the next five years at all levels of health structure
- Strengthen the health system in the response to GBV/SV to contribute to the goal of the health sector and to the relevant SDGs targets
- Setting the landscape for effective efforts for financial resource mobilization by costing the strategic plan for efficient use of resources.
- Stage the monitoring & evaluation of performances for evidence to base decision.

The strategic focus areas included in the document promote a supportive environment for survivors of GBV/SV at community level, creating an equitable health system in the health response to GBV/SV survivors, and strengthening multi-sector collaborations and partnership.

xi. Durable Solutions Initiative for Ethiopia

This national-level Durable Solutions Initiative was launched in December 2019. It is a joint endeavor between the Government of Ethiopia, the UN, international and national NGOs and donors and is meant to provide a platform for bringing together relevant actors and to “guide the work of all partners on durable solutions” in Ethiopia. The Initiative specifies that it “is based on and reflects relevant governmental plans and strategies as well as international standards including the UN Guiding Principles on Internal Displacement and the IASC Framework on Durable Solutions for IDPs”. There is also the Somali Region Durable Solutions Strategy, which is a regional policy produced by the government of Ethiopia’s Somali Region providing the model and impetus for the development of the national-level Durable Solutions Initiative.

4.3.National and Sectoral roadmaps and Plans

i. **Ten-Years Development Plan**

Population and Human Resource Development: In the areas of population and human resource development, the Ten- Years Development Plan aims to develop an all-rounded human resource capacity. It intends to achieve this through the provision of equitable access to health and education services as well as ensuring quality and relevance, which will form the primary area of focus for the coming ten years.

Social Justice, Social Security and Public Services: In the areas of Social Justice and Social Security, the ten years plan focuses on empowering various sections of the society to enable them benefit from economic development and get their fair share from the development endeavors. This is planned to be attained through skills development, capacity building and equitable participation. The plan specifically pay attention to inclusiveness and developing the overall capacity of women, children, the youth, the elderly, the handicapped and all vulnerable citizens and facilitate their all-rounded participation in the country's economic, social, and cultural affairs. The plan also looked at the areas of the justice and public services. The focus is to ensure access to justice and good governance, providing impartial and effective legal services, enforcing the rule of law, protecting and respecting the constitution, and enforcing the criminal law.

Gender: The Ten-Year Development Plan vision and goals are largely interlinked with the 17 goals and the associated 169 targets that are identified in the SDG 2030. Of the 17 goals, goal number 5, which states the Ten-Year Development Plan, adopts achieving gender equality and empowerment for all women and girls.

4.4. World Bank's ESF Standards on Social Impacts and Strategy for Fragility, Conflict, and Violence (FCV)

4.4.1. Applicable World Bank's ESF Standards on for the Project and considered for the Social Assessment

The preparation of the Social Assessment (SA) of the Response–Recovery–Resilience for Conflict affected communities in Ethiopia is in line with the World Bank Environmental and Social Frameworks (ESF), which comprises of 10 Standards. Except ESS9, all Environmental and Social Standards (ESS) are applicable. However, ESS1, ESS2, ESS4, ESS5, ESS7 and ESS10 are relevant for the Social assessment. The information below highlights the relevance of these standards for the project and that a detailed review and comparison of ESS1 and ESS4 with national legislation can be found in the ESMF, of ESS5 and national legislation in the RPF, of ESS7 and national legislation in IPPF and of ESS10 and national legislation in the SEP.

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

ESS 1 requires Borrower to undertake Assessment and Management of Environmental and Social Risks and Impacts. The standards are designed to help governments to manage the risks and impacts that will prevail during the implementation of Response–Recovery–Resilience for

conflict affected communities project, 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 risks and impacts identification process should use accepted social development methods to identify disadvantaged or vulnerable individuals or groups within the project-affected parties.

Borrowers should also ensure information regarding current potential internal displacement share with the Bank, given that internal displacement may affect the types and effectiveness of risks and mitigation measures the Bank and Borrower identify. The Guidance Note specifies socioeconomic studies that are conducted by the Borrower may be used to:

- Understand the characteristics and dynamics of the project area;
- Establish the conditions of the people that will be affected by the project;
- Identify events, including potential for conflict that could affect the adequate implementation of the project; and

Identify opportunities for enhancing project development benefits.

ESS 2: Labor and Working Conditions

ESS2 recognizes the importance of employment creation and income generation in the pursuit of poverty reduction and inclusive economic growth. The objectives of ESS2 are: To promote safety and health at work, promote the fair treatment, nondiscrimination and equal opportunity of project workers, protect project workers, including vulnerable workers such as women, persons with disabilities, children (of working age, in accordance with this ESS) and migrant workers, contracted workers, community workers and primary supply workers, as appropriate, 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 national law and provide project workers with accessible means to raise workplace concerns.

ESS 4: Community Health and Safety

ESS4 is relevant to the proposed project, as the subproject activities may involve community health and safety risks. Health and safety risks are anticipated from mobile clinics; water supply, sanitation and hygiene (WASH) facilities for the displaced people (sub-component 1.2); and reconstruction or construction of public facilities (sub-component 1.4). Construction or rehabilitation of public facilities could also cause noise, vibration, fugitive dust waste, soil and water pollution that will have impact on surrounding communities. Civil works to rebuild or rehabilitate public may generate traffic and road safety hazards associated with road obstructions, diversions or closures to give room to works with concomitant increased traffic volume on public roads and risks of accidents. This will be exacerbated by the increased flow of trucks to provide humanitarian assistance to IDPs. The project may also include the potential impact on the community on the use of public/private security personnel.

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

ESS 5 (which applies to Borrowers) the ESF provision on project-induced displacement does not apply to “management of refugees from, or persons internally displaced by, natural disasters, conflict, crime or violence.”). This is because, having been displaced by “natural disasters, conflict, crime or violence”, their displacement was not caused by a project which may require compensation and resettlement planning in accordance with Bank policy. However, if IDPs are already established in an area and a Bank-financed project induces them to move, they would be entitled just like any other group of project-affected persons to compensation in accordance with ESS 5.

ESS7: Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities (IP/SSAHUTLC)

The Guidance Note for Borrowers (2018), the ESF under ESS7 Paragraph 8 states that the term “Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities” (or as they may be referred to in the national context using an alternative terminology) is used in a generic sense to refer exclusively to a distinct social and cultural group possessing the following characteristics in varying degrees:

- (a) Self-identification as members of a distinct indigenous social and cultural group and recognition of this identity by others;
- (b) Collective attachment to geographically distinct habitats, ancestral territories, or areas of seasonal use or occupation, as well as to the natural resources in these areas;
- (c) Customary cultural, economic, social, or political institutions that are distinct or separate from those of the mainstream society or culture; and
- (d) A distinct language or dialect, often different from the official language or languages of the country or region in which they reside.

Paragraph 9 of the Guidance Note of the ESF, ESS7 applies to communities or groups of Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities who, during the lifetime of members of the community or group, have lost collective attachment to distinct habitats or ancestral territories in the project area because of forced severance, conflict, government resettlement programs, dispossession of their land, natural disasters, or incorporation of such territories into an urban area. This standard also applies to forest dwellers, hunter-gatherers, pastoralists, or other nomadic groups subject to satisfaction of the criteria in paragraph 8. However, the loss of collective attachment to a geographically distinct area because of forced severance and conflict does not imply loss as status under ESS7.

In Ethiopia, Indigenous Peoples is referred as Underserved and Vulnerable Groups. Accordingly, Somalia and pastoralist and semi pastoralist of Oromia (like Borana) will meet ESS7 i.e., categorized as Underserved and Vulnerable Groups. The Social Development Plan (SDP) is the operational equivalent of the World Bank ESS7 - Indigenous Peoples Plan. The SDP for the 3R4CAE is prepared based on the preliminary rapid social assessment, and has been strengthened by in-depth consultation with affected underserved and vulnerable groups to

seek their support for the project. **The SDP sets out the measures to ensure that: (a) underserved and vulnerable groups affected by the project receive culturally appropriate social and economic benefits, and (b) any potential adverse effects are avoided, minimized, mitigated, and/or compensated.** For those communities' categorized as underserved and vulnerable groups, it is important to conduct meaningful, timely, and appropriate consultations and needs to be conducted throughout project implementation with IDPs and host communities to help them share benefits of the project. IDP-host community integration is a key aspect of the project and can be covered in the comprehensive final social assessment and all other project site-specific risk assessments considering the underserved peoples and vulnerable groups in the project area.

Underserved and Vulnerable Groups Assessment

According to various sources, different categories of groups are considered underserved or vulnerable in the project implementation regions. From the project implementation regions, Afar and Benishangul Gumuz are considered as underserved regions while women, children, minority groups, and older persons, persons with disabilities are categorized under vulnerable groups. These segments of the population have less social, economic and political power and are less represented in formal leadership structures. Internally displaced people are also parts of these segments of the population, mainly young IDPs, especially girls, often experience particular pressure and difficulties as they can be subject to discrimination along the lines of gender and suffer from gender-based violence. More attention must be paid also to the elderly, who are often traumatized by the loss of their home and community identity. More discussion that is detailed is exerted on the underserved people of Afar and Benishangul Gumuz and Vulnerable Groups as follows.

Underserved Communities in Afar and Benishangul Gumuz

A. Afar

The Afar people are engaged in pastoral and agro-pastoral (along the Awash riverbanks) economic activities as their main source of livelihoods. They draw their main livelihood from rearing animals such as camel, cattle, sheep, goats and donkey. In some Woredas where there is access for water, they practice both crop farming and livestock rearing to support their livelihood. The agro-pastorals in Afar region are located mainly in the Woredas adjacent to the neighboring highland regions, specifically in Argoba, Dulecha, Fursee, Semurobi, Abala and Afambo woredas and their livelihood is based mainly on crop production (Sorghum, maize, teff and cotton along the riverbanks using traditional irrigation methods), honey production and livestock production. The communities are chronically food insecure. Furthermore, the region exhibit vulnerable characteristics in terms of the various forms of shocks, seasonality and trends affecting the lives and livelihoods of people. Water shortages, frequent drought, shortage of grass/fodder, outbreak of human disease, malaria and livestock disease, are among others. More recently, the war in Tigray that expanded to Afar has brought significant impacts on the people of Afar in general and the conflict affected woredas in particular.

Afar Region is a home for the Afar ethnic group of Ethiopia that constitutes 90% of the people residing in the region. The Afar ethnic communities are differentiated from the neighboring communities because of their cultural features and customary lifestyle and the nature of the ecology. They are predominantly pastoral in their way of life. The Afar communities have an original, distinctive information exchange system called Dagu and possess an oral, interpersonal communication, which they perform when one meets another. In Afar region, Dagu is a common form of information sharing among various segments of the population.

Religion and clan/family membership are the key social ties keeping the social cohesion of the pastoral people. The communities are organized in clans (Mela), local community (Kaido), lineage group (Afa), extended family (Dahla) and the household (Burra). As one of the key clan based institution, marriage, divorce and resource sharing are governed by Islamic principles. The Kadis and Shekas implement Islamic religious rules, regulations and teach the faith. The Afar practices exogamous marriage and polygamy in accordance with Islamic laws. Marriage, divorce and inheritance are determined by their religious beliefs. Women do not have equal rights over resources, during marriage, at divorce, and inheritance at the death of their spouse. It is uncommon for women to speak and share concerns and life experiences in Afar without the permission of male clan members. They shy away to speak, as they consider their male counterparts as their spokesperson. This is also reflected in the leadership positions in formal and informal institutions, in the area of participation and memberships of clan institutions.

B. Benishangul Gumuz

- **Background**

The underserved population of Benishangul-Gumuz consists of five ethnic groups, Berta (25.9%), Gumuz (21.1%), Shinasha (7.5%), Mao (1.8%) and Komo (0.96%). Other groups include Amhara (21.3%), Oromo (13.3%), and Agaw-Awi (4.2%). Main languages are the Berta (25.15%), Amharic (22.46%), Gumuz (20.59%), Oromo (17.69%), Shinasha (4.58%) and Awngi (4.01%). Concerning religion, 45.4% of the population were Muslim, 33.3% were Orthodox Christians, 13.53% were Protestant, Catholic Christian (0.6%) and 7.09% practiced traditional beliefs.

Berta is spoken in the Sherkole Woreda, Gumuz is spoken along the western boundary of Guba and Dangur Woredas and in the Sirba Abbay woreda. The Berta, Gumuz and Shinasha, are the underserved people who tend to have more in common with the people of neighboring Sudan, while the Amhara and Tigrayans, who are known as “Habesha” (highlanders), are recent arrivals, who began to settle in the region during the Derg regime.

- **Distinct Characteristics of the Underserved Nationalities in Benishangul-Gumuz Region**

Five distinct ethnic groups are found in the region, which are considered as indigenous: Benishangul (former Berta), Gumuz, Shinasha, Mao and Komo. Their characteristics are discussed in detail as follows.

Benishangul Ethnic Group

The Benishangul ethnic group is an ethnic group living along the border of South Sudan and Ethiopia. They speak a Nilo-Saharan language that is not related to those of their Nilo-Saharan neighbors (Gumuz, Uduk). Their total Ethiopian population is about 183,000 people. Their origins are to be found in eastern Sudan, in the area of the former Funj sultanate of Sinnar (1521-1804). During the 16th or 17th century, they migrated to western Ethiopia, in the area of the modern Benishangul-Gumuz Region. Their arrival in Ethiopia was marked by strong territorial conflict among the diverse Benishanugul (previously Berta) communities. For this reason, and for protecting themselves from slave raids coming from Sudan, the Berta decided to establish their villages in naturally defended hills and mountains, amidst rocky outcrops. Due to this harsh topography, houses and granaries were raised over stone pillars. After conflicts and raids receded during the 20th century, the Benishanugul people moved to the valleys, where their villages are located today. After several centuries of Arab Sudanese influence, the Benishanugul became mostly Muslim and many speak fluent Arabic. The Benishanugul people are slash-and-burn agriculturalists. Their staple food is sorghum, with which they make porridge in ceramic vessels. When somebody wants to build a house or cultivate a field, he calls his neighbors for help and provides beer and food.

Gumuz

Metekel Zone comprises six Woredas: Bulen, Dangur, Wombera, Dibate, Guba, and Mandura. The Gumuz people, a cultural group that belongs to the Nilo-Saharan language family that occupied most of Metekel. They grow a variety of crops such as cereals, oil seeds, legumes and root crops. The most commonly grown cereals include finger millet, sorghum and maize. Finger millet and sorghum are staple crops. Sesame and Niger seed are oil seeds often used as cash crops. Depending on the type of soil, plots are cultivated for a few years (often 3-4) and then allowed to lie fallow for several years (often 5-7 years) for the restoration of soil fertility. During this period, the Gumz move to other places to practice shifting cultivation there. In times of food shortage, the Gumz resort to the more ancient practices of hunting, fishing, and gathering. They also engage in honey collection (apiculture).

The land tenure system of the Gumz has been a 'controlled access' system, combining individual possession with communal ownership. Members of the society enjoy equal access to communally owned land, such as cultivable virgin lands, forested areas, grazing land, and riverbanks as a matter of right. Thus, accordingly, these resources are owned by the Gumz society in general. Gumz settlements are comprised of dwellings clustered together, with pastureland outlying the clustered villages and farmland situated away from residences. In most cases, settlements are compact and the number of households may range from 20 to 100. The nuclear family, consisting of married couples and their children, constitutes the basic unit of Gumz family.

Shinasha

The Shinasha are Omotic language speaking group who are living in Metekel administrative Zone

of Benishangul-Gumuz region. They are part of the Gongga population, which in earlier years used to live on both sides of the Abay River. Historically, pressure from the Christian kingdom and the Oromo expansion forced many Shinasha of the current administrative zones of Gojam and Welega to move to the lowland parts of Metekel in general and Wombera in particular. The Shinasha have been called by different names of Boro, Dangabo, Sinicho, and Gongga.

Shinasha is their widely known name mainly by outsiders, and it is a non-derogatory Amharic designation. Nevertheless, the people prefer to call themselves Baro, which is a recent usage. They have their own cultural identity and language called Borenona'a. The Borenona'a is widely spoken by those Shinasha who inhabit the lowland part and those who have less interaction with others. In Wombera, since there are strong historical relations and cultural adaptations with the Oromo. They practice the 'gada' system (a generation-based traditional system of local governance among many Oromo groups in Ethiopia) and mostly speak Afan Oromo language. They have also adopted many cultural traits from both the Amhara and the Agaw. They intermarry with others, mainly with the Oromo and the Amhara.

The main economic activity of the Shinasha is agriculture. They produce crops like sorghum, millet, corn, pumpkins and cotton. In addition, they rear animals (cattle, sheep and goats) to satisfy their food requirements and for market purpose. A small number of the Shinasha supplement their diet by hunting wild animals and gathering fruits and roots. They overcome hardship by consuming root crops such as godarre, anchote and dinicha, which are deliberately left to stay in the soil even after their maturation time to be used in times of depletion of cereal crops at home. The Shinasha have indigenous land and resource based dispute-handling institution called "Nemo", which has four hierarchical structures. The lowest level is Bura at which one elder handles minor cases. The next is Nemma, two elders deal with new cases or appeal cases from Bura. The third is Terra/Tsera, a setting chaired by three elders dealing particularly appeal cases from other lower levels of the Nemo. The last and the highest authority in Nemo judicial structure is Falla. Appeal cases from the lower, three levels of Nemo whereby cases, which are serious by their existence such as homicide, are dealt at Falla to get final resolution.

The Mao-Komo

Mao and Komo are two minority groups speaking Nilo-Saharan language. Some Mao live in Mao and Komo Special Woreda, while others reside in Begi of Oromia region and Bambasi woreda of Assosa zone. The population of Mao-Komo is estimated at 51,330 (43,535 Mao and 7795 Komo). 19,208 of these live in Benishangul-Gumuz and 24,626 in Oromia. Historically, the Mao and Komo are the most underserved group inhabiting the marginal areas in western Ethiopia. The major livelihood activity of the Mao and Komo is agriculture and the crops produced include teff, maize and millet. Goats, sheep and cattle are the major livestock in the area. Coffee and Chat (its scientific name is *Catha edulis*) are the main cash crops that the Mao Komo produce. Besides, the Mao-Komo in the Special Woreda are involved in traditional gold mining.

Other Vulnerable Groups

Depending on the context and purpose, different people and organizations define vulnerable populations in different ways. All social groups that are disadvantaged because of a lack of access to socioeconomic benefits or the negative consequences of mainstream development measures are included in an all-inclusive definition of the notion. The central message to be grasped by this concept is that these segments of a society are unable to handle the weight or conquer the obstacles of living; rather, they are vulnerable to livelihood challenges and calamities unless given special consideration and affirmative efforts. Vulnerability, thus, refers to the elements that expose people to the negative consequences of their living situations and make them less resilient to cope with these consequences. Economic poverty is obviously a risk element; other risks include unexpected events like economic collapse or natural calamities (price hikes, sudden conflict or prolonged drought). Vulnerability factors also include a lack of proper understanding and awareness because of insufficient or inappropriate conveyance of information and ideas, as well as established societal and cultural attitudes and behaviors that discriminate against or favor particular persons on certain grounds (gender, age, ethnicity, religion, and occupation). The attitudes towards people manifesting certain behaviors, or reactions to people with certain conditions (people with disabilities) and can also be seen in terms of biophysical environment such as people who live in semi-arid lowland areas.

Participants in the assessment's consultations identified vulnerable groups as elderly people without family support, unemployed youth and landless, female-headed households, elderly heads of households, terminally ill heads of households, occupation groups, culturally distinct ethnic communities, and destitute households with large numbers of dependents, as well as internally displaced people. These groups, which have been recognized as individuals who are more likely to face hardship issues in their daily lives, may be severely impacted by development projects unless they are given specific attention and treatment.

Furthermore, there are a number of potential major drivers of vulnerability, such as a lack of or limited access to political power and representation (marginalization, exclusion), as well as a lack of or limited social capital, such as social networks and connections. A lack of essential services, regional and historical inequities, power sharing and contestation among political parties and elites, and a lack of social cohesion exacerbate vulnerability. The 3R-4-CACE project focuses on conflict-affected communities in particular. Communities that host IDPs as well as the IDPs themselves fall into this category.

Internally displaced people and other affected populations have a right to participate actively in decisions that affect them. This is due to the fact their interest, benefit may be overlooked, and they may not be treated accordingly. If they are part of the decisions, the IDPs have a chance to reflect their concerns and interests regarding the project identification, planning and implementation in a way that suits them. Moreover, they may be disproportionately be impacted or further disadvantaged by the project as compared with any other groups due to

their vulnerable status, and usually require special arrangement to ensure their equal representation in the consultation and decision-making process associated with the project. Additionally, their participation is essential to ensure that interventions for their benefit effectively address their needs and protect the rights of all segments of the population affected. It is also important to carry out discussions in a separate and structured manner with women, girls, men and boys of diverse ages as well as backgrounds focusing on their specific protection risks, understanding their capacities and ensuring each group a voice in setting priorities and proposing solutions. It is also imperative to consider participatory assessments with hosting communities. Their views are important to understand whether protection risks are specific to IDPs, or equally affect the whole community. Their views are also key to gauge their capacity to support IDPs, and how this capacity can be strengthened, which will substantially influence the type of response to provide. There are different ways in which these consultations can take place including interviews, focus group discussions and joint meetings with members of the hosting community and IDPs. The choice will depend on the context, in particular on security concerns. Generally, local authorities need to play a key role in facilitating and promoting equal access to and protection of IDPs.

The issues discussed above concerning vulnerable and disadvantaged groups with particular focuses on IDPs are in line with the ESS 7 World Bank requirements that consider historically underserved traditional local communities in the project. This is due to the fact Afar, Benishangul Gumuz and parts of pastoralists (and Semi-pastoralists) in Oromia regions are addressed in the context of ESS7. Coupled with vulnerability and being disadvantaged groups, displacement due to war will have disproportionate impacts on their overall living conditions. This relates to the food insecurity and loss of livelihood disproportionately impact vulnerable group of the community. Though the exact number is unknown, the vulnerable group in the project areas include women, women headed household, elders, children, unemployed youths, and disabled people significantly and disproportionately affected by the impact of the war.

ESS 10: Stakeholder Engagement and Information Disclosure

According to the ESS 10 Guidance Note, Paragraph 5, “stakeholders” are defined as “individuals or groups who (a) Are affected or likely to be affected by the project (project-affected parties); and (b) May have a n interest in the project (other interested parties).” The term “*other interested parties*” refers to individuals, groups, or organizations with an interest in the project, which may be because of the project location, its characteristics, its impacts, or matters related to public interest. Thus, IDPs are definitely direct stakeholders in the project.

The Guidance Note lays out the process of identifying stakeholders and emphasizes “paying special attention to identifying disadvantaged or vulnerable groups”, which plays in favor of treating IDPs as “stakeholders” given their particular vulnerability and disadvantageous position because of their displacement. The “other interested parties” designation may be particularly relevant; the Guidance Note states that *other interested parties are identified by listing relevant interest groups, and considering historical issues, social relations, relationships between local communities and the project implementer, and any other relevant factors related to the sector*

and location that help anticipate local and external responses to the project. It is also imperative that ESS 10 requires the establishment of a Grievance Mechanism only for project-affected parties.

The stakeholder engagement processes that are to occur throughout the project life cycle and could help mitigate risks related to IDPs throughout the project cycle. This includes ongoing consultations and provision of timely, relevant understandable and accessible information. It is also worth noting that IDPs who arrive later in the project cycle may still be treated as stakeholders.

4.5. World Bank Group Strategy for Fragility, Conflict, and Violence (FCV) 2020-2025

The Response–Recovery–Resilience for Conflict affected communities in Ethiopia project is also aligned with the World Bank Group Strategy for Fragility, Conflict, and Violence (FCV) 2020-2025. The objective is to support countries to address the drivers and impacts of FCV and strengthening their resilience, especially for the most vulnerable and marginalized populations. The project supports two of the Strategy’s four pillars:

Pillar 2: Remaining Engaged during Conflicts and Crisis Situations by building protecting essential institutions and services in areas with high prevalence of IDPs and delivering critical services to IDPs and recipient communities.

Pillar 4: states about mitigating the spillovers of FCV by addressing key issues related to internal displacement, mainly through:

- Expanding and strengthening GBV service delivery in conflict affected communities,
- Investing on targeted capacity building of the health sector,
- Providing transition skills (trainings and coaching, seed grants, establishment of links to other development projects, provision of transitional services) to displaced people who have lost their assets and livelihood opportunities, and
- Setting up or reconstruction of public facilities.

Moreover, the 19th replenishment of IDA (IDA19) scales up resources to countries affected by FCV, including through an FCV Envelope that offers a structure of incentives and accountabilities for countries to reduce FCV risks. The project also reflects the IDA19 Special Themes:

- Conflict and Fragility: by providing the GoE with financing and knowledge needed to enhance the resilience of institutions, services, and economies to displacement,
- Gender: by addressing GBV toward IDPs and recipient communities, and
- Jobs and Economic Transformation: by enhancing the availability of more and better jobs for, and financial inclusion of IDPs and recipient communities.

4.6. OP 2.30: Development Cooperation and Conflict

OP 2.30 guides the work of the Bank in countries, which are either experiencing, transitioning from, or vulnerable to conflict. It does not impose any obligations specific to internal displacement, but sets out principles, which governs the Bank’s activities: these include not

directly engaging in peacekeeping or peace-making, non-interference in domestic affairs, and not providing humanitarian relief (OP 2.30 (3)). In case conflict breaks out in a country where the Bank has an active lending portfolio, the OP 2.30 states that the Bank may review the effectiveness of its risk management, macro-economic analysis, supervision, and monitoring and evaluation in relation to its portfolio. If required, the Bank may also undertake conflict analyses of Bank-supported operations in the country, considering particularly the likelihood that they will be able to achieve their development objectives.

4.7. OP 8.00: Rapid Response to Crises and Emergencies

The characterization of IDPs as “vulnerable groups” is more explicitly considered in OP 8.00–Rapid Response to Crises and Emergencies. This Policy authorizes the Bank to provide rapid response in support of *inter alia* “establishing and/or preserving human, institutional, and/or social capital, including economic reintegration of vulnerable groups” which “may include, for example, refugees, ex-combatants, and internally displaced people” (Para. 4(d) and footnote 3).

In such situations, the Bank’s assistance “may consist of immediate support in assessing the emergency’s impact and developing a recovery strategy or the restructuring of existing, or provision of new, Investment Project Financing” (Para 2). This means that restructuring of projects may be possible in the event of an influx of IDPs to a project area if the member government requests urgent assistance. Emergency operations may take a variety of forms (see Para. 5); however, they “should not include conditions other than those directly related to the emergency recovery activities and, if appropriate, to preparedness and mitigation” (Para. 6).

IPFs in areas subject to significant displacement may consider including a project specific CERC (contingent emergency response component) as a project component to address eligible crises or emergencies (“an event that has caused, or is likely to imminently cause, a major adverse economic and/or social impact associated with natural or man-made crises or disasters” as defined in OP 8.00, see above). Although it can initially be allocated zero funds, this component can be used to support the member’s response to internal displacement upon request without the need for immediate restructuring of the IPF. This could help offset risks to the project resulting from potential internal displacement by providing support for immediate rehabilitation and reconstruction needs (see Bank Guidance: Contingent Emergency Response Components (CERC), para. 3).

The CERC Guidance Note specifies that key considerations in determining whether to establish a CERC include:

- a) How susceptible the country is to crises or emergencies, such that having one or more projects with CERCs in the portfolio contributes to a robust and meaningful rapid response capacity and overall DRM strategy;
- b) The extent to which the project lends itself to including a CERC, in that a reallocation of funds in an emergency would not cause serious disruption (considering, for instance, disbursement profile, type of project, etc.);
- c) Prioritizing the inclusion of CERCs in projects that support sectors that maybe more susceptible to prevalent disasters in a country;

- d) Prioritizing the inclusion of CERCs in projects that address emergency preparedness and response or are implemented by agencies that are frequently called upon to handle key aspects of emergency response. (Para. 6)

This tool may only be useful in areas where significant displacement is anticipated. The criteria for CERC activation include:

- a) a declaration of a state of emergency (or equivalent) by the competent national or subnational authority in accordance with the Borrower's emergency response laws and regulations; or
- b) for Borrowers that do not have a legislative or enabling framework for declarations of a crisis/emergency, alternative declarations ... [by] a designated authority of the Borrower ... [or] by a third party [;] ... [and]
- [c] submission of a request to the Bank for support for an eligible emergency through the CERC[;] and
- [d] the preparation by the Borrower of an acceptable Emergency Action Plan for the use of CERC funds, and the Bank's approval of such [Plan]. (Para. 11)

5. Socioeconomic Characteristics and Context of Population under the Project Implementation Regions

Ethiopia is a country where many nation, nationalities and people are living with diverse geographies, languages, and cultures. The country has eleven regional states with two city administrations. The Response–Recovery–Resilience for Conflict affected communities Project will be implemented nationwide though based on feasibility and limited financing, Amhara, Oromia, Afar, Benishangul Gumuz and Tigray regions will be prioritized for the first round. A clear **description of these regions including the locations, livelihood activities, ethnic and religious compositions of the community included in the comprehensive social assessment**. This helps to recognize the beneficiary profiles, 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.

The social assessment requires consideration of ESS1, ESS2, ESS4, ESS5, ESS7 and ESS10 of the WB ESF standards as the project target mainly the IDPs and host communities some located in underserved regions of Afar and Benishangul Gumuz regions. The IDPs are among the vulnerable and underserved groups as well as some of 3R-4-CACE Project target areas of Ethiopia, which are considered as underserved and vulnerable groups. Although conflicts have occurred in Ethiopia for various reasons including competition over scarce resources such as pasture, rangeland and water. However, recently, conflicts have erupted and/or are ongoing in various regions of the country such as Somali, Oromia, Benishangul Gumuz, and in the past year the war outbreak in Tigray region in November 2020. The latter has now escalated into the neighboring Amhara and Afar regions fueling a devastating crisis including death, displacement, food insecurity, and GBV, to mention a few.

The current conflict in Ethiopia's northern region has caused damage to the health, education and Water, Sanitation and Hygiene. Related to Health, the conflict has left a trail of destruction of medical supplies, infrastructure, and various health and medical records have all been lost or damaged. This is on top of the sudden deaths, injuries, lasting disabilities, internal displacements, and psychosocial issues that citizens in conflict places have experienced. According to the Ministry of Health's March 14th 2022 recent post-war health facility damage assessment study, 2,359 health posts, 516 health centers, and 41 hospitals in the Amhara, Afar, Benishangul Gumuz, and Oromia regions have been damaged.

According to the OCHA Situation Report (March 17, 2022), more than 4,000 schools in Amhara were damaged by the conflict (25 percent completely destroyed), affecting more than 1.8 million children; at least 200 schools in Afar were damaged, affecting more than 150,000 students; and more than 1,000 schools in Tigray were damaged or looted, affecting an estimated 160,000 students.

Regarding IDPs in Ethiopia, as noted above, IOM data shows that there were 4.17 million as of 24 September 2021. The vast majority that accounts 84 percent have been displaced by conflict. Nearly 90 percent of all IDPs in Ethiopia are located in four regional states: Tigray (2.04 million IDPs), Somali (834,723 IDPs), Oromia (497, 267 IDPs), and Amhara (354,014 IDPs). The IOM data does not cover IDPs who are not located in identifiable IDP settlements and some parts of Ethiopia that were not fully accessible for data collection. In addition, due to the unending war in Amhara and Afar regions, the number of IDPs are increasing with alarming crisis.

According to OCHA (2021) in the press release of the Under-Secretary-General for Humanitarian Affairs and Emergency Relief Coordinator, it is indicated that conflict, large-scale displacement, drought, flooding, disease outbreaks and desert locust infestations continue to drive humanitarian needs across Ethiopia. Some 20 million people are targeted for humanitarian assistance, including 7 million who are directly affected by the conflict in northern Ethiopia.

The socioeconomic characteristics of the five prioritized regions that will be involved in the implementation of the Response–Recovery–Resilience for Conflict affected communities Project is discussed briefly in the following sections.

5.1.1. Oromia Region

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 with South Sudan, the Gambella region and Southern Nations, Nationalities and Peoples Region. According to the 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 follows Islam, followed by 30 percent Orthodox Christians, 18 percent Protestants, 3 percent traditional

believers, 0.5 percent Catholics, and others constitute one 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. Mixed agriculture dominates the region's livelihood. The region 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. 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).

In the region, many IDPs are found in various parts, of which a number of them were displaced from Somali region caused by the conflicts claiming land ownership and rights that led to their displacement. Similarly, IOM (2021) indicated that in April and later in June 2018, conflict broke out between Gedeo and Guji Oromo ethnic groups in West Guji, which was aggravated by competition for land and resources, and displaced 748,499 IDPs by August 2018. Simultaneously, a localized conflict in Benishangul Gumuz region and the East and West Wellega zones of Oromia region displaced an estimated 191,995 IDPs. In addition, according to Ethiopia Humanitarian Situation Report No. 6, July 2021, in Horo Guduru Wollega Zone, the security situation is volatile due to expanding unidentified armed group operations and ethnic-based attacks, which have resulted in numerous civilian deaths and population displacements. Displacements are also ongoing in Kelem Wollega and East Wollega zones. IDPs are experiencing severe psychological distress escaping the violence, and increased risk of gender-based violence (GBV) in IDP sites has been reported. Overall, there are 592,992 IDPs in the region, primarily due to conflict, as well as to drought and flooding.

5.1.2. 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. 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 percent 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 three Special Woredas. The main crops grown in the Amhara region are cereals, pulses, and oilseeds. Crops include 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.

In the region, the largest number of IDPs are found not only due to the continuing war in the northern parts of the country but also due to the conflicts in other parts of the country that affects the ethnic Amhara mainly from Western parts of Oromia and Benishangul Gumuz regions. This worsens the situations of the IDPs in the region. According to Ethiopia Humanitarian Situation Report No. 6, July 2021, in Amhara region, more than 1.37 million IDPs are living across the region in host communities and IDP sites. Of these, over 674,000 are new IDPs because of the expansion of the Tigray crisis. Despite the large number of IDPs, there has been limited humanitarian operations in the region. Furthermore, the regional 2021 'belg' assessment estimates over 80 percent productivity loss, resulting in 623,920 people in need of relief assistance as of July 2021. Food security may further deteriorate due to the desert locust invasion, inflation of food costs, failure of the belg production, ongoing conflict, and active displacement due to the Tigray crisis. It is expected that the caseload of malnutrition will continue to rise in the coming months.

Agricultural production in the Amhara regions is expected to have been disrupted since the spread of the conflict coincided with the farming and planting period of the *meher* season. According to the Ministry of Agriculture, 41 million quintals of crop (about 12 percent of FY21 *meher* grain production) are estimated to have been damaged in the Amhara region due to the conflict. The situation of water, sanitation and hygiene (WASH) in Amhara region also continues to worsen due to a shortage of resources and limited number of partners while multiple emergencies with influx of IDPs is being reported across the region. According to OCHA Situation Report updated on 17 March 2022, sporadic clashes continue to be reported along areas bordering Tigray in North Gondar, North Wollo and Waghemra zones.

5.1.3. Benishangul Gumuz Region

The Benishangul-Gumuz Regional State is located in the Western part of Ethiopia. The region is bordered with Amhara region in the north, Oromia region in the east and Gambella region in south. According to the 2017 Central Statistical Agency of Ethiopia (CSA) population projection, the Region has a total population of 1,066,001 of which 541,002 are men and 524,999 are women. 230,000 and 836,000 population of the region are Town and rural residences, respectively. There are 3 administrative zones in the region, (Asosa, Kamashi and Metekel), eighteen woredas and two special woredas (Mao and Komo and Pawe Special Woredas). The region is endowed with enormous natural resources, which include fertile land, water, forest and different minerals.

Rain fed agriculture and traditional way of crop production is the main livelihood earning activity of the people in the region. The farming activity is subsistence oriented, but some cereal

crops and horticultural products are being sold for cash. Maize, sorghum, sesame, haricot bean, niger, banana, pepper, mango, orange, sweet potato, coffee and chat are predominantly produced in the region. Livestock production, which is traditional and based on free grazing system, is the other source of income of the people. Some of the households in the region drive their income from off farm activities like petty trade, artisan, weaver and pottery activities. Gold panning is a predominant means of income generating activity in Homosha woreda of the region.

According to Ethiopia Humanitarian Situation Report No. 6, July 2021, in Benishangul-Gumuz region, 246,938 people have been displaced due to ongoing conflict in the region. The security situation in Metekel zone remains volatile with sporadic conflicts in Bullen, Debati, Mandura, and Guba woredas. Similarly, road access to Kamashi zone has been restricted for some months. Based on the regional Disaster Risk Management Commission (DRMC) report, there are 246,938 IDPs in the region. Some woredas are only partially accessible and nearly 50 per cent of rural health facilities are no longer providing routine essential health and nutrition services.

5.1.4. 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 landholdings 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 a year, the region has been involved in escalating hostilities with the Federal Government of Ethiopia and the neighboring regions of Amhara and Afar. This has had disastrous impacts on the people and lead to displacements of millions including deaths, destruction of resources, GBV and left many of the people foods insecure. According to UNHCR (2021) the Tigray conflict affects the overall security and the access situation remains complex and fluid, hindering effective delivery of humanitarian assistance to the most affected populations in Central, Southern Eastern, Eastern, North-Western and Southern Zones and left some 2.1 million internally displaced people in Tigray region.

Several contextual risk factors and issues could be mentioned in undermining the social cohesion and affect project implementation in the region. As reported publicly by various media and publications, in the region, some of the contextual risk factors include the ethnic and religious tensions such as ethnic-based killings; sexual violence; forced displacement; the prevention of access to health care, food, and water, destruction of Christian and Muslim cultural heritage sites. Different actors such as the national military, as well as the Eritrean military, militias from Ethiopia's Amhara region, and other militia groups, have been reportedly involved.

5.1.5. 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 northeastern 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.

According to Ethiopia Humanitarian Situation Report No. 6, July 2021, in Afar, the situation has become increasingly complex as result of active conflict. The conflict in the Hari Resu zone was unexpected, and it has added to the region's already precarious humanitarian situation. Furthermore, 18 *woredas* along the Awash River Basin in Afar get flooded every year. Communities that were impacted by the 2020 floods are still recovering and are at risk of new flood catastrophe. An estimated 90,000 individuals would be impacted, with up to 54,000 people expected to be displaced.

Participants from Afar Region categorized the nature of IDPs into two ways. They categorized the war with TPLF into two: before November 2021 and since December 2021. The zones and *woredas* affected by these two wars with TPLF are different. In the first phase, people living in eight *woredas* from Zone 4 have been affected. From these *woredas*, large number of people were displaced and still several of them are living in IDP centers. Experts from the Afar region sadly described the brutal attack of IDP centre in Galicoma. The second phase of the war displaced almost all people living in zone two. Logia and Semera have become the new IDP centers for the newly displaced people in the war with TPLF. Participants stated that during the first phase of the war with the TPLF, the number of IDPs were more than 100 thousand. This number is twofold to reach 290 thousand during the second phase of the war. People from six *woredas* in Afar zone 2 are completely displaced in the second phase of the war from TPLF. From these six *woredas*, 69,924 households have been displaced because of the second phase of the war with TPLF. Service providing institutions are looted and demolished by the TPLF.

According to OCHA Situation Report updated on 17 March 2022, in Afar Region, the conflict continues to deteriorate, with armed clashes reported in Abala, Berahle and Koneba *Woreda* in Zone 2. Access beyond *Afdera Woreda*, Zone 2 is currently impossible due to the clashes, hindering humanitarian operators from accessing an estimated 200,000 displaced people located in the inaccessible area, according to authorities. There is no available health and

education institutions in the war zones, particularly, zone four. For example, Chifra woreda is one of the areas affected by the conflict where several public service providing institutions including schools and health services are destroyed. All the 55 schools in the woreda are affected by the conflict out of which 33 are destroyed. The woreda is also popular for early marriage, which is as early as from 12 to 13 years of girls marrying a 55-year-old man, female genital mutilation still existent. The war can exacerbate such situations.

6. Security Risk assessments in the Project Implementation Regions

6.1.Introduction

The Response–Recovery–Resilience for Conflict affected communities (3R-4-CACE) Project will be implemented nationwide though based on feasibility and limited financing, Afar, Amhara, Oromia, Benishangul Gumuz and Tigray regions will likely be prioritized for the first round. The project targeted regions and woredas are prone to security concerns and conflicts. Such risks could pose a security risk to the smooth implementation of the project. Therefore, assessment of security risks and conflict situation will greatly contribute to the sustainable implementation of the project.

The national Labour Proclamation (Proclamation No. 1156/2019) provides the legal context for the management of workplace health, safety and security. According to Article 92 (6) of this proclamation, an employer shall take the necessary measure to safeguard adequately the health and safety of workers and ensure that the workplace and premises of the undertaking do not pose threats to the health and safety of workers. In addition, the World Bank ESF governs the management of environmental and social (E&S) risks for projects financed by the Bank, specifically Environmental and Social Standards (ESSs) 1 and 4, which indicate the need for security protection of the work environment including the requirement to manage risks emanating from engagement of security personnel in the project. ESS 1 of the ESF requires clients to better assess and manage E&S risks and impacts for improvement of financed development outcomes. The WB ESS1 also address the need to assess environmental and social assessment risks and impacts, including those related to human security. Social and conflict analysis states that social conflict analysis is an instrument that assesses the degree to which the project may:

- *Exacerbate existing tensions and inequality within society (both within the communities affected by the project and between these communities and others);*
- *Have a negative effect on stability and human security;*
- *Be negatively affected by existing tensions, conflict and instability, particularly in circumstances of war, insurrection and civil unrest.*

ESS4 also address the health, safety, and security risks and impacts on project-affected communities and the corresponding responsibility of client to avoid or minimize such risks and impacts, with particular attention to people who, because of their particular circumstances, may be vulnerable. When security personnel are used to provide security to safeguards project's personnel and property, there is a need to assess risks posed by these security arrangements to those within and outside the project sites. The sanctioning of any use of force by direct or contracted workers in providing security is discouraged except when used for preventive and defensive purposes in proportion to the nature and extent of the threat. The objective of Security Risk and Conflict assessment section is to protect employees, equipment, supplies and information from internal and

external security threats. It is also intended to protect community members from security risks in their areas of residency and as they interact with the project activities.

6.2. Overview of the Security Situation

The Project Setting: With regard to security in project-targeted regions, there have been insecurity incidences in the recent years. Security risks and conflicts have been reported in some parts of the country as result, the number of internally displaced persons have been increased. Although other factors such as environmental challenges also contributed to the country's displacement, the significant portion was conflict-induced (Addis Ababa University, 2020).

The conflict in Tigray and its expansion to neighbouring Afar and Amhara regions have caused significant displacement across regional boundaries and internally within the regions. These regions were hosting many internally displaced people since the beginning of the conflict.

The UNICEF report (2021) reveals that humanitarian needs in Ethiopia are steadily increasing as communities face multiple and simultaneous shocks, including protracted and new conflict, food insecurity, floods, drought, desert locusts, and COVID-19. Altogether, approximately 3.95 million people are displaced across the country. The situation continues to worsen due to a shortage of resources and limited number of partners while multiple emergencies with influx of internally displaced people is being reported across the region. According to this report, in Oromia's east and west Wollega Zone, the security situation is volatile due to expanding armed group operations and ethnic-based attacks, which have resulted in civilian deaths and population displacements. In Benishangul-Gumuz, people have been displaced due to on-going conflict in the region. The security situation in Metekel and Kamashi zones remains volatile with sporadic conflicts in various Woredas. The 2019, inter-communal conflict in Metekel zone, which expanded to Amhara region, resulted in a death and displacement of people. This conflict organized by armed groups has attacked civilian life, property, social services and enforced to displace their origin (Ethiopia Red Cross Society, 2020).

The humanitarian needs overview report of Ethiopia by OCHA (2021) also shows that armed conflict and community violence remains a critical concern across some parts of Ethiopia. Heightened competition over resources due to pressures from climatic shocks, COVID-19 containment measures, and desert locust infestation in certain areas, create further inter-communal tension, violence, and displacement. The report further elaborated that the overall situation in Northern Ethiopia remains unpredictable and volatile. The spread of the conflict to Afar and Amhara regions is rapidly increasing the humanitarian needs, with access to some areas restricted due to conflict. According to this report, the conflict continues to affect civilians in Afar and Amhara regions, leading to displacement, disruption of livelihoods and increased food insecurity.

The aforementioned issues show the need for vigilance and measures to ensure that project staff and assets are not exposed to insecurity by purposing to mitigation measures against security risks and conflicts. This can be achieved by adequately assessing the potential security risks and building the capacity to identify and mitigate such risks at subproject level. Measures to address these risks

may include avoiding or delaying visits to insecure sites until the situation is considered stable and safe for the people and equipment/materials. Additionally, engaging security personnel may be a requirement.

6.3.Potential Security Risks and Mitigation Measures

Identification of security threats/risks in a project is a critical step towards prevention, management and mitigate on against any potential risks. The 3R-4-CACE PCU and/or PIU will ensure identification of subproject based security risks and oversee implementation of the identified security management measures and controls in line with the national and World Bank provisions as contained in the World Bank's Good Practice Note: Assessing and Managing the Risks and Impacts of the Use of Security Personnel.

Security threats/risk that may be encountered during the 3R-4-CACE Project include among others include theft, sabotage, and destruction of equipment, labor unrest, and conflicts between workers. Security risks related to the project be related to vehicles being ambushed while transporting staff, equipment and materials, harassment, kidnapping and soon. These kinds of risks may happen covertly or overtly force or silently exploit system vulnerabilities by acquiring property illegally or harm persons or equipment in the organization. This include 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. Some of the potential security risks to the proposed for the project may include the following:

- ✓ **Burglary:** Illegal entry of a building with intent to commit a crime, especially theft. It involves breaking and entering the premises. Staff or outsiders can do this.
- ✓ **Banditry/Roadside attacks on workers during transit:** The project can be susceptible to attacks while transporting equipment and materials to the targeted regions or to project workers when travelling for field activities.
- ✓ **Community unrest:** Due to influx of labor, land and water use conflict, improper site selection and locating project infrastructures and associated facilities, improper waste disposal, noise and dust pollution, etc
- ✓ **Risks from Employee and disruption of services:** Likely cause for labor disputes include demand for limited employment opportunities; labor wages/rates and delays of payment; disagreement over working conditions, raising concerns regarding unsafe or unhealthy work situations, or any grievances raised, and such situations could lead to labor unrest and work stoppage.
- ✓ **Sexual exploitation and abuse and Sexual harassment (SEA/SH):** This becomes a security issue when SEA/SH is perpetrated by project workers or is meted to or by a worker. Examples include committing a SEA/SH risk act by security personnel within conflict affected work environment. It can also occur during community unrest and actions ethnic conflicts within the work environment. Further, intruders can pose a SEA/SH risk to the workers.
- ✓ **Risks emanating from the use of security personnel:** Use of security personnel may exacerbate tensions. Security personnel can be private or public. The project contractor can engage security personnel. Their presence can pose risks to, and have unintended impacts on, both project workers and local communities.

- ✓ **Risk from armed conflict (Collateral harm to project personnel/damage to project assets):** Conflict activity - e.g., airstrikes, armed clashes, inter-communal violence, IDF - is ongoing in all proposed Regions of operation and may result in non-deliberate harm to personnel or damage to assets/sites. Project implementation will be widespread, and given the sporadic nature of the conflict, situations can be volatile and subject to rapid change. Exposure to 'wrong place, wrong time' type incidents are thus a key concern.
- ✓ **Unexploded Ordnance (UXO)/Explosive Remnants of War (ERW) contamination:** As the result of both current and historical conflicts, devices (projectiles, mines, IEDs, ammunition) that have not detonated on impact, which could explode if disturbed. Potential for death or injury to people and animals in the vicinity. Possibility of encountering UXO/ ERW during construction activities, causing significant damage, injury or death to project personnel and assets. Schools and health facilities have been identified as sites of particular concern due to their use during conflict activities.

Security Arrangements: Depending on security risk levels, basic sub project-site protection may be provided by private security force from the local community (in-house or contracted). Security arrangements may also be made with public security, which may include regional Special Forces, or with local policies.

Risk Prevention & Mitigating Measures: Security measures are proposed to protect people and property from prospective risks some of the sub-projects will be located in areas with security risks. The 3R-4-CACE PCU and/or PIU will work closely with the National Information Network Security Agency, Regional, and local security offices to ensure the security of project workers and assets. A Security Management Plan has been prepared to align potential project security incidences to responsive measures with a view to avoid or minimize security risks and impacts. A list of potential security risks and recommended mitigation measures is summarized in the Table below.

Summary of Potential Security Risks and Mitigation Measures

| No. | Potential Security Risk | Prevention and mitigation measures |
|-----|---|---|
| 1 | Armed conflict (collateral harm/damage to project personnel/assets) | <ul style="list-style-type: none"> • Cultivate strong community relationships and information sources • Coordination and deconfliction with Ethiopian Defense Forces and regional armed forces • Ensure pre-departure checks are carried out ahead of all journeys • Recruit dedicated security coordinator to oversee mitigation measures and incident management |
| 2 | Risks from UXO/ERW | <ul style="list-style-type: none"> • Identify key contacts in UNMAS and other demining agencies, as well as C-IED/ Search military units • Ensure all staff are trained on UXO/ERW Awareness, and contracted labour are briefed on the UXO/ERW threat • Pre-identify medical facilities in all areas of operations, investigate and test their facilities ahead of implementation • Ensure at least one staff member on site is first aid trained, with a |

| | | |
|---|---|---|
| | | first aid kit available |
| 3 | Theft of equipment and material | <ul style="list-style-type: none"> • Implementing access control system - secure and monitor entrance and outlet points of the workplace, proper badge and visitor card system, etc • Not leaving visitors unattended in the workplace • Ensuring proper security lighting • Where possible, put in place CCTV surveillance system • Where necessary, recruit and retain well trained security guards • Maintain a properly executed inventory system |
| 4 | Burglary and vandalism | <ul style="list-style-type: none"> • Maintenance and up-grading of access control and surveillance systems • Install security lights to ensure visibility camps, facilities and material storage areas • Where possible, put in place CCTV surveillance system • Ensure proper fencing that is responsive to different security contexts • Have full time security personnel at the facilities and camp site |
| 5 | Clashes and conflicts within work environment | <ul style="list-style-type: none"> • Conduct regular training and security awareness programs for project staff • Develop workers code of conduct • In place the functional grievance redress mechanism |
| 6 | Community unrest | <ul style="list-style-type: none"> • Ensure operational GRM that communities can use to raise their dissatisfaction and ensure that community concerns are addressed in a timely manner • Undertake stakeholder engagement and community dialogues to get the views and concerns of communities |
| 7 | SEA/SH risk | <ul style="list-style-type: none"> • Induct security personnel on the project' CoC and ensure contracted security personnel sign the CoC • Strengthen treatment and referral pathways for SEA/SH survivors • Raise awareness on SEA/SH risk protocols for the Project in line with LMP • Provide separate facilities for men and women at the workplace • Ensure proper lighting on the compounds |

| | | |
|---|--|--|
| | | <ul style="list-style-type: none"> Fully implement sanctions contained in the SEA/SH risk Action Plan |
| 8 | Risks emanating from use of security personnel | <p>The National Laws while addressing security concerns will guide the Project. The World Bank's ESF provides for possible mitigation measures for security personnel engaged in Bank financed projects, which include the following:</p> <ul style="list-style-type: none"> Monitor risks resulting from acts of security personnel operating in sub-project sites Make reasonable inquiries to verify that the direct or contracted workers providing security are not implicated in past abuses Raise awareness to contracted security personnel or determine that they are properly trained in the use of force and appropriate conduct towards workers and affected communities Review allegations of unlawful or abusive acts of security personnel Ensure security personnel contracted under the project are inducted on and sign the CoC |
| 9 | Insecurity during transit | <p>There is a risk of vehicles being ambushed while transporting staff, equipment and materials to sub-project sites. This can be prevented/mitigated by:</p> <ul style="list-style-type: none"> Obtaining intelligence information regarding vulnerable routes and avoiding travels during risk periods Transport goods and workers during the day to reduce the risk of attack Where dangers are observed to be likely and manageable, work closely with the National Information Network Security Agency and local security offices for security escort service |

Security Operating Procedures: The following major operating security procedures should be implemented and put in place to ensure security within the proposed project subproject sites.

| No. | Major operating security procedures | Description |
|-----|-------------------------------------|---|
| 1 | Boundary Security | Security fences shall mark the boundary security in project camps and associated facilities. |
| 2 | Access-Point Operations | Project staff and visitors will access camps through designated gates. Security personnel who have received instruction and information regarding the procedure and the legal aspects of search and seizure will only conduct searches. Security personnel of the same gender will only |

| | | |
|---|---|--|
| | | conduct body searches. |
| 3 | Incident Response | Any security incidence related to the subprojects directly affecting project staff, equipment and communities should be reported by either the project manager or security personnel in charge to the nearest police post. In the event of a serious insecurity occurrence, the project manager shall report to the 3R-4-CACE PCU and/or PIU The 3R-4-CACE PCU (MOF) will notify any incident and accident to the WB within 24 hours after learning incident. |
| 4 | Security Patrols | The security personnel shall carry out security patrols, where subprojects are located in areas with high potential insecurity incidence, public security services should be used. |
| 5 | Travel Security | Travel security will be required where subproject staff and equipment are transiting through areas with security risks. In this case, the arrangement for travel security shall be coordinated by 3R-4-CACE PCU (MOF) or regional implementing agencies in coordination with national information network security agency or regional/local security offices. |
| 6 | Security Supervision and Control | <p>Security supervision and control may be undertaken at various levels which may include at the national, regional, subproject sites and at the contractor levels. The 3R-4-CACE-MOF-PCU, MOWSA- PIU and regional implementing agencies will also work closely with national and regional security offices and other relevant stakeholders to ensure proper management of project security issues, which will include:</p> <ul style="list-style-type: none"> • Undertaking security risk assessments and recommend mitigation measures at subproject level, • Ensure that security mitigation measures are included in sub-project ESMPs, • Monitor potential security risks on subproject sites together with project beneficiaries, • With social safeguard specialists, provide training to mitigate social risks of project workers and equipment including security risks, • Ensure that the GRM for the project workers is established and implemented and that project workers well aware of the process, • Monitor the implementation of the workers' CoC for contracted security personnel. |

| | | |
|---|-----------------------------|--|
| 7 | Community Engagement | 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. Dialogue with communities about security issues can help to identify potential risks and local concerns, and can serve as an early warning system. Community members should be aware of their ability to make complaints without fear of intimidation or retaliation. Because guards often are the first point of contact with community members at the project gates, they should also be informed about their role in community relations and about the grievance mechanism and key issues of concern to local communities. |
|---|-----------------------------|--|

7. Gender and SEA/SH Assessment in the Project Implementation Regions

7.1. Gender

Women and girls in Ethiopia are strongly disadvantaged compared to boys and men in several areas, including literacy, health, livelihoods, and basic human rights. They also suffer from low status in their society and lack social support networks. In Ethiopia, 80 percent of the population resides in rural areas and women provide a significant portion of agricultural labor (DHS, 2016). However, their contributions often go largely unrecognized, and their fathers or husbands often restrict access to resources and community participation. According to the Ethiopian Demographic and Health Survey (2016), 30 percent of Ethiopian women do not make decisions on individual and family issues. Hence, women often face basic economic constraints than men, including less access to opportunities and benefits. Informants argued that it is imperative to consider the challenges of women and girls they encounter during the conflicts and benefit them during the project implementation by participating them in the design and implementation of the project.

Gender inequality has been common in all parts of Ethiopia. The Human Development Index (HDI) of Ethiopia is 0.485 – it is 0.442 for females (up from 0.247 in 2000) and 0.527 for males (up from 0.331 in 2000). Ethiopia ranks 125 out of 189 countries on the Gender Inequality Index (GII) with a GII value of 0.517 (with a maximum of 1 denoting complete inequality). This is mainly observed in accessing productive resources and basic services. However, initiatives are implemented that enhance the participation and benefits of women in various development projects. It is also imperative to highlight societal and gender relations in many communities of the country that women in male headed and female-headed households have been the most vulnerable groups, particularly in the war affected areas and communities. They become vulnerable because of lack of education, gender bias, tradition and culture, and their

reproductive and productive roles. The status of Ethiopian women can be seen in terms of societal attitudes towards women; their socio-economic status; their educational status; women's awareness of their rights; their productive and reproductive roles. In addition, based on the Rapid GBV risk assessment in Ethiopia, (World Bank, 2021), due to current situation of unrest and conflict, increased displacement people have expanded the vulnerability of women and girls to GBV and at the same time access to basic services such as health and protection reduced. Furthermore, women faced multiple challenges as they left their residences such as shortage of food, health problem, mental health disturbance (fear, anxiety, depression, inability to sleep and inability to take care of themselves) and others.

According to various sources, including the social assessments carried out by WB, it is imperative to understand the special concerns of displaced women and the need for a gender approach to assistance and protection strategies. This is because displacement tends to alter the family and household structure and change gender roles forcing women to assume additional burdens while exposing them to additional risks. Lack of appropriate skills and difficulties in developing new coping mechanisms are among the problems displaced women must face. However, women play a central role in developing coping mechanisms and in reducing the vulnerabilities faced by families and communities. It is vital to consider displaced and host communities' women to play a key role in the design and implementation of the various activities that can help alleviate their livelihoods providing them job opportunity or seed money to open small businesses, provide health and psychosocial services as well as capacity building trainings skills, to mention a few.

Participation in community activities and local organizations show that there are no gender differences. Both men and women are involved in community meetings and in local organizations. Men often participate in both activities more than women, however, difference is insignificant. In the project area, there may be dominance of male over female in making decisions on key issues though these days various projects require the participation of all sections of the community. Concerning IDPs and affected populations, they have a right to participate actively in decisions that affect them. Moreover, their participation is essential to ensure that interventions for their benefit effectively address their needs, and protect the rights of all segments of the population affected. In this regard, a central component of effective participatory assessments is the holding of separate, structured discussions with women, girls, men, boys of diverse ages and backgrounds focusing on their specific protection risks, understanding their capacities and ensuring each group a voice in setting priorities and proposing solutions.

Often women, children, minority groups, older persons, persons with disabilities and indigenous people have less social, economic and political power, and are less represented in formal leadership structures. Consequently, they are often overlooked in assessment and planning processes and this can inhibit their access to and control over resources on equal terms with others. Participatory assessments that solicit their views may help to prevent this, and ensure that their specific protection gaps are addressed.

RPLRP SA indicates that project operational manual states that progress of implementation of sub-projects must be made known to everyone and can be done through monthly regular community learning meetings, whereby at least 80% of the community members and at least 50% women members have participated. In order to ensure the participation of women in the project management of the community, more than 30% of the committee members need to be women. The project implementation manual has clearly identified the number, role and responsibilities of women in the committees, and this can be taken as a good lesson during the implementation of this project.

7.2. Sexual Exploitation and Abuse and Sexual Harassment (SEA/SH) Risk Assessment

Gender-based violence against women often referred to as violence against women and girls has been acknowledged worldwide as a violation of basic human rights. Growing research has highlighted the health burdens, intergenerational effects, and demographic consequences of such violence. In Ethiopia, female are not only victims of violence but also exploitation. The violence and exploitations of women have roots from the cultural, political, economic and religious practices of the society. Until recently, the law in the country is not committed to curb the different forms of violence and exploitations on women.

Some of the different forms of Gender-Based Violence (GBV) that are prevalent in Ethiopia include, among others, intimate partner violence (physical, emotional and sexual), domestic violence, female genital mutilation/cutting, sexual assault, rape, marriage by abduction, and child marriage. These forms of GBV mainly encounter girls and women, which is rooted in unequal power dynamics between women and men, which hinder women's and girls' development, health, livelihood, and physical and mental well-being.

According to Demographic Health Survey (DHS, 2016), in Ethiopia, violence against women and girls continues to be a major challenge and threat to women's empowerment. Women and girls face physical, emotional, and sexual abuses that undermine their health and ability to earn a living; disrupt their social systems and relationships, and rob them of their childhood and education. Among women age 15-49, 23% have experienced physical violence and 10% have experienced sexual violence. Four percent of women have experienced physical violence during pregnancy. Thirty-four percent of ever-married women age 15-49 have experienced spousal physical, sexual, or emotional violence. Twenty-two percent of ever-married women who experienced spousal, physical, or sexual violence reported injuries, including 19% who reported cuts, bruises, or aches and 10% who reported deep wounds and other serious injuries (DHS, 2016).

The Social Assessment shows that a number of key focus areas with direct implications for SEA/SH risk prevention and response efforts in Ethiopia and the government has made great strides with supportive policies and tools to address gender inequality and prevent SEA/SH risk and harmful norms. These include establishing a Women and Youth Affairs Directorate within the Federal Ministry of Health; assigning gender experts at regional, zonal, and woreda offices; and increasing the capacity of the Ministry of Women and Children to prevent and respond to

SEA/SH risk. These efforts have resulted in declines in early and forced marriage, and increases in school enrollment. In addition, One-stop centers are localized in and administered by hospitals (health sector). These centers are equipped with staff from multi-sectors-health workers (various professional disciplines), police, prosecutors, counselors, and social workers working in team - in line with the SOP for effective coordinated response centering the survivor of SEA/SH risk.

The model of health service delivery for survivors of SEA/SH risk varies at different setting and the centers deal with various types of SEA/SH risk but mostly focus on sexual violence. The collaboration with other sectors is through referring the survivor for the needful in the Woreda and Regional hospitals. In this regard, healthcare workers are aware of gaps in service delivery for SEA/SH risk survivors and want additional resources, training, and guidance to deliver quality care to SEA/SH risk survivors. While basic services exist, resource constraints, knowledge gaps among clients and healthcare workers, and weak multi-sectoral referral links create disjointed and incomplete pathways of care for SEA/SH risk survivors. Moreover, the sociocultural norms that foster stigma for survivors and normalize violence within partnerships inhibit women's, men's, boys', and girls' access to comprehensive SEA/SH risk care and treatment. In addition, according to the EDHS 2016, only few (2%-3%) seek assistance from health and lawyers and 8% report to police and rest seek assistance from families, friends/neighbors. These reflect that there is fear, stigma associated with, or dissatisfaction of service or being unaware of the availability of services. There is much to do in this regard in making health facilities friendly for SEA/SH risk.

During the stakeholders and community consultations including the IDPs and the host communities, they revealed that SEA/SH risk cases are not reported from IDP centres. If there is a SEA/SH risk survivor from IDPs, there are mobile clinics on the IDP centres, and the health professionals write referrals to other hospitals if there is a SEA/SH risk survivor. According to a consultation in Debreberihan, there was no SEA/SH risk cases that have been registered because the authorities have not attempted to build a mechanism. There is, however, a committee was set up to report any issue with IDPs. Social workers in Kobo woreda report SEA/SH cases to the women's affairs authorities, and victims have no way of reporting themselves. Similarly, health centers have their own SEA/SH cases reported mechanism, but there is no coordination between the health centers and woreda's women and children affairs offices after the conflicts, despite their close collaboration prior to the war. For a variety of reasons, including fear of embarrassment, societal pressure, and frustration, SEA/SH instances were not reported accordingly.

Coupled with the above gaps, internal conflicts, disease outbreaks, food scarcity and migrations are few features that attributed to the drastic increase of internally displaced people, returnees and refugees in the last two years. These situations have increased the risk of SEA/SH and the resilience of the health system to respond effectively is challenged.

More than 1,300 incidents of rape have been documented since the beginning of the war in Tigray in November last year, according to an Addis Standard report from January 1/2022, while many say that more cases went unreported owing to societal stigma surrounding the matter. During the conflict, a

large number of incidences of SEA/SH, including gang rape and other atrocities, were documented. Similarly, according to the United Nations, violence against women increases during crises and conflicts, and one out of every three women will have been assaulted at some point in their lives by 2021. The Ethiopian Human Rights Commission and the Office of the United Nations High Commissioner for Human Rights (OHCHR) published a joint investigation into alleged international human rights breaches in the ongoing war in Tigray last November. According to the report, all fighting groups, including Ethiopian and Eritrean forces, were implicated in crimes classified as gender-based violence, with gang rape occurrences affecting young and elderly women. Furthermore, according to a newer report published by Amnesty International, (Source) 70 women alleged to regional officials in Amhara regional state, Nefas Mewecha, that they were raped by armed troops loyal to the Tigray People Liberation Front between August 12 and 21. Besides, the destruction and theft of health care institutions in Tigray, Amhara, and Afar areas exacerbated the situation for the victims, preventing adequate aftercare from being provided.

8. Grievance Redress Mechanism (GRM)

Ethiopia has various forms of conflict resolution mechanisms. The first one is the use of traditional/customary mechanisms in which community leaders, clan leaders and prominent community members have a duty to administer, manage, and mediate conflicts between different groups of community and individuals. These are the main systems of conflict and grievance solving method in most of the project implementation regions in general. These traditional conflict resolution institutions are widely accepted and effectively implemented. These mechanisms and institutions are not sufficient, however, to prevent all conflicts from escalating into violence. Among the traditional conflict redress mechanisms in the project implementation regions include, for example, in Oromia, *Jarsuma* (conciliation of elderly) which is under the bigger umbrella of the *Gada* system, in Afar, '*the mada'a*' (resolution by clan leaders) and in Amhara and Tigray, it is called *Shemgilna* (resolution by elderly people and in Benishangul Gumuz). Thus, during the project implementation, it is vital to use such customary institutions and traditional conflict resolution mechanism in addition to the formal and project related GRM.

The Ethiopian Institute of Ombudsman has established GRM structures in the country and accordingly all regional governments have established their respective GRM structures down to woreda level with focal points located in the kebeles. At kebele level, GRM committee members are drawn from kebele administration, teachers, development agents, health extension workers, and the community. At woreda level, it is composed of representatives from the local administration, education, health, women and child affairs, and the community. The reporting structure starts from the woreda by the assigned GRM officers reporting to the woreda administrator, who in turn submits regular consolidated reports to the GRM office at the regional level. The head of the regional GRM office is accountable to the regional presidents and provides regionally consolidated reports to the Ethiopian Institute of Ombudsman. Despite the previously mentioned achievements of the government, the following gaps were identified about the GRM:

- Lack of clear procedures for addressing complaints in the regional GRMs,
- Lack of uniformity (in terms of content, regulations, structures and process) among regional level GRM

- Lack of procedures and technicalities that affect effective, efficient, and informative record keeping, that could be a leverage for improvement of service delivery
- Lack of interconnectedness with other GRM institutions and department within government structures, and with the Ethiopian Institution of the Ombudsman.

A grievance redress mechanism is established to resolve concerns effectively and timely. This mechanism is notified for the affected people before the implementation of the project and thus grievances will be actively managed and tracked to ensure that appropriate resolutions and actions are taken. The project grievance procedure does not replace existing legal processes. Based on consensus, the procedures will seek to resolve issues quickly to expedite actions without resorting to expensive and time-consuming legal actions. If the grievance procedure fails to provide a result, complainants can still seek legal redress. As reports of various previous assessments of the Bank financed projects indicated the effectiveness of existing Bank supported project GRMs in the Regions.

With regard to grievances related to SEA/SH, Bank supported projects have recognized and referred cases to respective service providers based on a survivor-centered approach (that is always based on the demands of survivors and ensuring confidentiality). Such grievances were handled according to standard GRM procedures with the support of Woreda Women and Children Affairs Office or female SEA/SH focal points that were selected and trained to provide basic referrals. Moreover, grievance redress mechanisms for SEA/SH cases handled through survivor's centered approach as per the guidance of WB GBV good practice note.

The Response-Recovery-Resilience Project does not have GRM structure as it is under preparation. In order to enable the GRM to be more effective in the Project and address issues related to the implementation of the project, more awareness about possible conflicts and grievances that could come because of the implementation of the project should be explored. Some of the possible causes of conflicts between the IDPs and hosts might emanate from, for example, in Adama town it has broken out on religious lines between resettled IDPs and hosts, which centered around inadequate compensation for land acquired to resettle IDPs and on building sites of worship (mosques and churches) (IOM, 2021).

As existing thoughts show due to various kinds of conflicts, although traditional forms of conflict-resolution mechanisms have been pivotal in the management of conflicts or social tensions, since recent times, it has failed or been severely undermined. In addition, social relationships between groups has broken down and IDPs limit their interactions with people in host communities in order to minimize feelings of distress.

Furthermore, impacts on informal livelihoods can affect the relationships between IDPs and hosts. In this regard, some studies such as Yigzaw, et al (2019) described that IDPs are over-burdening existing community services, resources, job or economic livelihood opportunities. In addition, tension arises between the IDPs and host communities, making effective local integration difficult and thereby leads to price inflation; the cost of living in the host communities increases, mainly cost of food, shelter, healthcare and education facilities. **Based on the assessment, project related GRM should provide project-affected parties with accessible**

and inclusive means to raise issues and grievances in accordance with ESS10, of the ESF as well as all E&S instruments, and in a manner acceptable to the Bank. The 3R-4-CACE project grievance resolution process will involve the following main steps:

- **Receipt of grievances:** anyone from the affected communities or believing they are affected by the Project can submit a grievance (written, verbal, text message, telephone, etc. as appropriate for the complainant).
- **Registering the complaint:** the focal person who received the complaint will use the GRM logbook for registering.
- **Referral and examination of complaints:** a GRM Committee shall be established at each project implementation site/Kebele (comprising of members from representatives of implementing agencies, PAPs, elders, a representative from Woreda Women and Children Affairs office, etc.) who will examine the complaint, resolve, or refer to the appropriate body.
- **Notifying the complainant:** the decision/solution/action by the grievance committee shall be communicated to the complainant as per the stipulated timeline for feedback.
- **Closing the complaint:** where the complainant or complaint that is not related to the project or any of its components, or a Complaint that accepts the decision/solution of the complaint being heard by the judiciary will be closed following acknowledgment signed by complainant.

The complaints recorded, resolved and referred will be reported quarterly with the environmental and social implementation performance report to the World Bank and other relevant stakeholders.

9. Summary of Stakeholder and Community Consultations

Stakeholders and community consultations are fundamental to produce essential ESRM instruments of 3R-4CACE Project viz. Social Assessment (SA), Resettlement Framework (RF) and Environmental, Social Management Framework (ESMF), Stakeholders Engagement Plan (SEP) and Labour Management Procedure (LMP). The overall objective of the consultation is to understand stakeholders and communities' views and concerns over the planned project interventions. The consultation meetings were organized mainly to serve two purposes: (1) to share project objectives and proposed project interventions with the identified stakeholders and communities, and (2) to consult the stakeholders and communities (IDPs and hosts) about the project and to document their concern, particularly, in reference to social and environmental impacts of the proposed project interventions.

Stakeholders and Community consultations are a method used to ensure a broad participation of the local communities. The research team have conducted consultations sessions with IDPs, host communities, officials, and experts from selected woredas. Accordingly, they have acquired adequate knowledge about the perspectives of the participants for the 3R-4-CACE Project. The participants during the consultation meetings have forwarded their views, concerns, and suggestions about the project activities.

As per ESS7 of ESF, stakeholders and community consultations are the basic requirements for any planned development intervention financed by the World Bank. During the consultations,

participants expressed that 3R-4-CACE Project might affect the vulnerable or underserved groups within IDPs and host communities who have had relatively less access to opportunities than other social groups in the country. The assessment team tried to capture all uncertainties about the project raised by the participants. For the sake of simplicity, the ideas raised by participants during the community consultation sessions are summarized in the coming paragraphs under the major project components.

Component 1: Rebuilding and Improving Access to Basic Services and Climate-resilient Community Infrastructure

Regarding this component, stakeholders including the host communities and the IDPs consulted in the selected woredas for the interviews and consultations agreed on the importance of rebuilding and improving access to basic services and climate-resilient community infrastructure. After realizing the purposes of the project, participants of community consultations explained the significance of 3R-4-CACE Project in the following manner.

During the stakeholders and community consultations with the host communities and IDPs, it was found that historically disadvantaged and vulnerable groups such as women, elders and people with disabilities are disproportionately vulnerable. This was mainly due to their lower levels of education, lower participation in the community awareness sessions and due to social norms, and, more importantly, the catastrophic damages they experienced during the conflicts. As a result, these communities are less likely to get information about the project's aims, benefits, risks, and impacts. This necessitates the need to take precautionary measures by integrating them in the rapid response basic service to meet the project's basic demands. Moreover, the participants highlighted the need for all-inclusive discussion in the target woredas of project beneficiaries. One of the concerns they raised was related to the elite capture and/or different interest groups including traditional authority structures in influencing community's prioritization and manipulation of support provided as well as lack of transparency during selection of the beneficiaries for the financial and technical assistance that may worsen the situation. Besides, there might be weak consultation and participation of the beneficiaries of the conflict-affected communities including the IDPs and host communities. This could lead to oversight appropriate needs, priorities and skills as per the local context.

The project has numerous benefits for the IDPs and the hosting communities in terms of response, recovery, and resilience according to the participants from the selected woredas. One of the project's positive outcomes is the provision of basic services and economic opportunities for conflict-affected communities, including rapid response services to help communities transition from humanitarian aid recipients to long-term development centered on community-based health, education, and sanitation services. The initiative will provide recovery solutions at the household level, such as support for skills and resources to re-establish livelihoods. It also strengthens institutions for resilience, particularly the local civil workforce, by increasing their capacities through varieties of methods including proper training.

Furthermore, among the consulted stakeholders, IDPs and host communities, the project's mobile health response service, which includes medical assessment, medicine distribution, and medical services based on lessons learned from recent health interventions in the Tigray Region, has received top priority. This, on the other hand, can lead to a high level of mobility among displaced persons in search of better service. This is because there may be a large mobility of displaced persons within the same project target

locality to kebeles or woredas that provide better project benefit packages services. Displaced persons seek to take advantage of whatever services and benefits are available because they are among society's most vulnerable groups, struggling to meet their fundamental needs. The majority lack a sustainable source of livelihood, income sources, and want to maximize their life saving opportunities moving to project locations where they believe that good benefits will be available. Participants of the discussion from Afar region stated that mobile health teams are trying to give health services for the IDPs, but they did not satisfy the need. This is because the need and supply are not compatible, as team do not come with sufficient resources to address the needs of IDPs. Although there are attempts to meet IDP needs, but the services are too minimal. At the same time, women did not get proper health services and some of them delivered on their way of retreat and also at IDP centers without getting any medical care as there is limited health services for women and girls. Hence, health provisions should be improved. The experts participated from Amhara, Oromia and Benishangul Gumuz also supported this idea.

As stated by stakeholder and community consultations in selected woredas of Amhara and Afar, revealed that the wars had a significant impact on multiple infrastructures. The destruction of schools, health centers, and WASH services are among others. In addition to the damage incurred upon the institutions, those organizations saved from destruction have made IDP centers. For instance, there are still an increasing number of IDPs in Kobo town of Amhara region who are settled in various government institutions including schools. Accordingly, students have not yet started schooling since classrooms and compounds are serving as temporary shelters of IDPs. Often, IDP centers are located either in towns or just on the outskirts and thus, IDPs are competing over limited resources with the host communities. In this regard, the IDPs are competing with the host communities for water and other basic needs. Therefore, there are a serious of water scarcity in most towns where IDPs are settled. The influx of new IDPs because of the ongoing conflicts worsen the scarcity of basic resources like water, electricity, food, etc. In the long run, the scarcity of basic resources may trigger conflict between the IDPs and the local communities even though the host has been supportive enough. The participants hoped the project to involve in activities that can alleviate the fatal problems of IDPs and host communities like schooling, health facilities, and access to WASH.

As indicated earlier mobile health teams are attempting to provide health care to IDPs though they are unable to meet the demand. They do not have adequate resources to meet demands of IDPs. Hence, women and girls have restricted access to health care. For instance, women are not receiving adequate health care services, and some of them gave birth to on the roadside without assistance from medical personnel. As a result, health-care services should be improved. With this notion, the involvement of Neighborhood Relations Committees (NRCs)-representing the host community and IDPs) in prioritizing societal needs and in making decision on recovery and rehabilitation investments or sub-projects is vital. NRCs will be part in the formulation of recovery plans at the Kebele level, which may include the reconstruction of existing community facilities or the construction of new ones. Education, health, and WASH facilities, as well as youth clubs and training centers, are among others. They also recommend the need for soft investments, such as capacity-building activities for NRCs and social cohesion measures to improve IDP or host community interactions.

Stakeholders and community consultations' participants at various levels pointed out occupational health and workplace rights, which include the safety, health, and welfare of persons at work, should be considered while repairing or building new community facilities. Participants explained their fear that occupational health and safety might have been oversights during 3R-4CACE Project implementation. As a result, workers may be exposed to health and safety concerns when working on construction or reconstruction of new and damaged facilities, and the development of new settlement areas. Mobile

clinics, the provision of WASH services for IDPs, and construction or reconstruction of infrastructures might have posed small-scale environmental, health, and safety worries.

COVID-19-related restrictions may limit implementing partners travel so that their ability to conduct mandatory stakeholder and community consultations can be challenged. On the other hand, labor influx for construction and reconstruction activities may provide potential SEA/SH, and COVID-19 concerns. Participants in the stakeholder and community meetings proposed that labor aspects such as worker safety and training, as well as contractor inductions are necessary to alleviate the aforementioned public health and safety risks. They agree that a Labor Management Procedures (LMP) should be prepared in accordance with the ESS2 standard. In addition, they indicated that procedures must be adequately implemented in accordance with protocols prior to the implementation of construction activities. All staff will be provided with the essential protective equipment for all project activities, including construction.

The construction and reconstruction activities of basic service giving infrastructures will be done either on the existing or new lands. Hence, land acquisition is a necessary condition. Stakeholders and community consultation participants explained the risk of land acquisition because the project will support the reconstruction efforts in the existing damaged facilities and the development of new facilities in new settlement areas. This may be worsened if the affected people are not effectively and quickly compensated for the land they lost for the implementation of 3R-4-CACE Project. Hence, those individuals who will lose their land should be properly treated, consulted, compensated, and their livelihood should be restored. However, when compensation is required, there may be disagreements about the amount of reparation and delays in payment, causing the project to be delayed.

Participants pointed out that there might be conflicts associated with land and property among IDPs returned back to their localities. Land ownership can be a source of conflict since documents related with land ownership right have been lost because of the war. Thus, claiming and reclaiming of lands can be a potential sources of conflict. There is also a possibility of conflict between the IDPs and host communities. For instance, access to road, communal lands, and basic infrastructures might have been blocked or restricted because of IDP camps. Sometimes conflict will be ignited between the host communities and IDPs when the land owners claims their lands for different activities. This time, the IDPs will refuse to leave the land where they settled despite demand from the land owners. For example, in Debre Birehan, there is an IDP center called China Camp that belongs to a certain Chinese investor. The investor agreed with the authorities and allowed the land or the compound for temporary settlement of IDPs. However, when the investor demanded the IDPs to leave from the shades in the camp, they refused to do so. This kind of disagreement should be resolved through consultation.

Conflicts or disputes related with lands necessitates the preparation of Resettlement Framework (RF) document for 3R-4-CACE Project. Therefore, any land related disputes induced because of the Project will be discussed alongside the possible way outs in the RF document. Before the commencement of subproject activities, Project Implementing Agencies need to deal the matter project-affected persons with due concern and ahead of time in coordination with institutions responsible for land acquisition (woreda and city level land administration offices). The minutes of the consultation meeting on land related issues should be well documented. The project should avoid any operation which lead to displacement of a broad scale. The new Proclamation No. 1161/2019 and the regulation No. 472/2020 can be used to limit and mitigate complaints and other negative consequences or hazards associated to land in circumstances where the project contains operations that necessitate land acquisition. By the provisions of the proclamations, if there will be a broad scale displacement because of the planned project, the Resettlement Plan should be done in accordance with the law before take hold of the required land.

In Tigray, Oromia, and in some parts of Amhara and Afar regions, 3R-4-CACE project will be implemented in high-risk ongoing conflict (HROC) Woredas. Thus, proper government structures may encounter problem of implementation. As a result, some third-party implementers will lead the implementation functions in HROC woredas. During the implementation of the project, the issue of E&S is critical. Thus, even the third party implementers should consider environmental and social risk management related issues during implementation as there are no well-established structures from the federal to the woreda levels. Stakeholders during the discussion expressed that capacity enhancement activities are vital to make the project serves its intended purposes. This include training and awareness creation and strengthening formal and informal community structures, including Women's Groups, traditional burial associations (Iddirs) and other structures. In HROC Woredas, support will be limited to community structures at the Kebele level.

Training and awareness creation, as well as the hiring of E&S specialists, should be used to address the capacity gaps in the E&S management system. The trainings should include a variety of themes, including capacity building for technical teams that implement the project at the federal, regional, and woreda levels, such as MoWSA, and MOF, among others. The training should also include information on occupational health and safety for project workers.

Component 2: Improving Access to GBV Response Services

During stakeholders and community consultation sessions, participants from Amhara and Afar regions were asked to explain the extent of GBV among the IDPs. They explained that although there is a possibility, there is no as such visible GBV at IDP centres. However, since many people are living in common in small shelter or tent, there might be a possibility of rape or other forms of GBV. On the other hand, participants described that there were lots of rapes and other forms of GBVs in Amhara and Afar regions in the areas where TPLF militias controlled. For instance, in Amhara region, around 800 cases of rape were reported by women and girls. Participants also argued that there are many more unreported cases of rape. For fear of exclusion, there are many who do not reported rape cases. Cases of GBV from IDP centres are not properly assessed. Attempts were made to give health services for the victims of rape but due to the demolition of healthcare services, victims are not getting the right treatment. Victims of rape needs rehabilitation services since its physical and psychological impacts are immense.

Gaps related to GBV survivors are mentioned by participants of community consultation as a major risk of 3R-4-CACE Project. Limited institutional capacity and lack of skilled human power are among the major obstacles to give the required services for GBV survivors. For instance, OSCs should play pivotal role in delivering quality services for the GBV victims. However, in most instance, OSCs are weak in terms of facilities and human resources to execute their duties. The gaps related to service delivery for GBV survivors include lack of enough resources, training, and guidance to deliver quality care and services to the victims. Knowledge gaps among clients and healthcare workers, and weak multi-sectoral referral links create disjoint and incomplete pathways of care for GBV survivors. Moreover, the sociocultural norms that foster stigma for survivors and normalize violence within partnerships inhibit women's, men's, boys', and girls' to seek access to comprehensive GBV care and treatment. This coupled with dissatisfaction of service or being unaware of the availability of services. Thus, it is vital to pave ways in making health facilities friendly for GBV survivors by ensuring confidentiality or service provision.

Therefore, for the smooth implementation of the project, the gaps identified to give quality services for GBV survivors should be addressed. It is also necessary to strengthen OSCs in terms of facilities and human power. Frequent training should be given for OSCs including updating of gender action plan and make sure it has a protocol on how to carry out referrals of GBV to response services. This is because

there are capacity gaps of the implementing bodies including those working in ESRM. There may be gaps of grievances redress mechanism related to GBV to respective service providers based on the demands of survivors and without forgetting confidentiality and lack of knowledge and skill to provide basic referrals.

It is imperative to strengthen the existing and new OSC facilities as needed, including training of OSCs' critical personnel to perform core services (including medical, case management, psychosocial, police, and legal support), and procurement of essential medical supplies and other materials for the OSCs.

Stakeholders and communities were asked of their reflection on the general responses and supports given to GBV survivors. They acknowledged that victims, parents/households, and the community at large are not emphatic enough in reporting rape and other forms of violence on girls and women. This is mainly because victims and parents feared of social exclusion if they report GBV cases particularly of rape. However, some of the participants explained that there are no friendly reporting mechanisms for the GBV survivors or other individuals to report any forms of violence. Therefore, 3R-4-CACE project should work both on community awareness creation and in forging friendly GBV reporting mechanisms to the victims and to anybody else.

Expanding and strengthening community-level response and referral mechanisms for GBV survivors through the delivery of essential response services and training of key personnel, including community-based actors, frontline providers, and health personnel are vital for 3R-4-CACE Project to meet its basic objectives on GBV and related issues. These key personnel should play key roles in core activities such as, social services, MHPSS, emergency response, and referral support for GBV survivors.

Capacity building for the project staffs, federal, regional, woreda and kebele level implementers, woreda and kebele officials was mentioned by participants of stakeholders and community consultations. The capacity building should include technical staffs, such as health professionals and social workers, to provide medical care (including clinical management of rape), case management support, and MHPSS. The technical staffs will also pilot delivery of mobile GBV services in target Woredas where access to OSCs or health facilities is not available. In case where there will be lack of health and psychological professionals, MHPSS services should be given through training and deployment of mental health and psychosocial service providers, as well as through contracting of specialized external providers, to serve GBV survivors, as well as conflict- and displacement-affected people more broadly.

In the discussion with gender experts, they explained the need for the establishment of rehabilitation safe houses or safe spaces for GBV survivors for vulnerable children. The establishment of Women and Girl Friendly Spaces will enable multi-layered access to key support activities, including case management, counseling, and other social activities. It will also explore the feasibility to support innovative reporting systems, including hotlines/helplines. Recognizing the importance of survivors' economic independence as a measure to reduce economic dependence on perpetrators and improve resilience to violence, the project will support opportunities to integrate economic empowerment interventions in community-level response programs or, at a minimum, to enable referral to existing livelihoods and income generation programming outside of this project.

Component 3: Adaptive Project Management

There also concerns about the capacity of the 3R-4-CACE project coordinators and implementers. As raised by officials from sector government offices in the sample woreda, they have reservation about the capacity of MOF and MOWSA in coordinating and implementing the project. They argued that the two ministerial offices will face capacity limitation at various levels in coordinating and managing the required

Environmental and Social Risk Management (ESRM) and in coordinating project implementers at different levels. So far, the linkages and coordination among institutions, sectors, programs and projects at all levels are weak. Therefore, the capacity gaps of the project implementers coupled with their limited experiences in coordinating and implementing the World Bank supported projects including lack of experience in environmental and social risk management with ESF requirements can be the potential risks of the 3R-4-CACE Project at its implementation stage. For instance, MoWSA is a new institution to implement and coordinate the World Bank financed project, while MOF has limited experience from only recent engagement with the Bank.

For the effective implantation of the Project, capacity gaps of the implementing and coordinating institutions should be addressed adequately. Some of the gaps should be filled before the commencement of project implementation but other gaps can be addressed side by side during implementation of the project. MOF and MOWSA should employ social and environmental specialists if they do not have any and should enhance their capacity through training before the implementation of 3R-4-CACE Project. This is due to the fact that the project components have several activities including basic services and economic opportunities, GBV service delivery and prevention program that require social and environmental specialists. For instance, social safeguard specialists are important to screen, evaluate, monitor, supervise and overall manage the adverse social impacts and risks. Hence, hiring or assigning social experts at federal and project implementation regions is essential. Various project relevant training should also be given for FPCU and FPIU alongside their technical staffs at federal, regional, woreda and kebele levels. Capacity building training for all relevant stakeholders such as MoWSA, MoF, MOE, MOH, MOJ, etc. at federal, regional, and woreda levels should be delivered. Besides technical skills, project workers should be trained about occupational health and safety to enhance their overall capacity in implementing and coordinating the Project.

10. Potential Social Risks and Impacts and their Mitigation Measures

In this section, discussions are made on the positive and negative social impacts/risks likely to occur because of the project. In respect of the negative social impacts or risks, related issues are identified and correspondingly mitigation measures are proposed.

10.1. Potential Positive Social Impacts

The project has various positive contributions for the IDPs and the hosting communities and areas in terms of response, recovery and resilience. One of the positive impacts of the project is the provision of basic services and economic opportunities for conflict-affected communities, including rapid response services to prepare communities' transition from recipients of humanitarian support to sustainable development focusing on community-based services on health, education, and Water, Sanitation and Hygiene. More specifically, it provides **better access and improved health condition**. The project will help the household level as recovery solutions including support for skills and resources to re-establish livelihoods. It also strengthen institutions for resilience, mainly the local civil workforce by enhancing their capacities through different means comprising of appropriate trainings.

Secondly, expanding and strengthening **SEA/SH** service delivery and prevention programming in conflict-affected communities. The project will expand access to and capacity for delivery of essential, quality **SEA/SH** services with emphasis on case management, medical care and psychosocial support. In particular, the project will focus on i) improving multi-sectoral response

through existing One-Stop Centers (OSCs) established in urban centers and ii) expanding and strengthening community-based service delivery through specialized partners and piloting of mobile services.

The project will generate climate co-benefits, as it will invest on building or rebuilding community infrastructure in a way that emits less carbon and is more resilient to the impacts of climate change, achieving resilience through stronger and more inclusive reconstruction efforts. It also supports and enhances federal and local institutions for improved service delivery, emergency response, and effective social inclusion mechanisms, specifically local government staff, including social workers and other frontline providers of emergency response, health care and nutrition professionals, and policy and judicial staff, whose service delivery capacities will be enhanced. Federal Government staff will benefit from an improved enabling environment and capacity to manage displacement and GBV-related needs from a systematic development perspective. It also enhances capacity for the implementing agencies on E&S risk managing due to the capacity building, among others

10.2. Adverse Social Impacts or Risks

The adverse social risks/impacts related to Response–Recovery–Resilience for Conflict affected communities are summarized as follows and mitigation measures are proposed for each in the social development plan as per components of the project.

10.2.1. Implementation of the Project in the Conflict Impact Areas and IDPs hosting regions

Project implementation risks in conflict affected areas and IDP hosting regions, which are volatile and highly prone to instability and conflict situation. As a result, there will be security risks for mobile teams or staff deployed to provide services for the conflict affected communities while moving from area to area. In addition, there might be possibility of tensions or conflicts between the IDPs and the host communities that bring risks during the implementation of the project. Coupled with the insufficient capacity of the government, it may affect the implementation.

10.2.2. Social exclusion of the most Vulnerable and Underserved Groups from benefit packages

There is a potential risk of social exclusion of the most vulnerable and underserved groups from sharing the benefit packages of the project particularly related to recovery packages such as transition skill trainings, seed grants, etc. as well as SEA/SH and MHPSS referral services like mobile community-based services on health, education, and WASH.

The elite capture and/or different interest groups including traditional authority structures in influencing community's prioritization and manipulation of support provided as well as lack of transparency during selection of the beneficiaries for the financial and technical assistance may worsen the situation.

In addition, there might be weak consultation and participation of the beneficiaries of the conflict affected communities including the IDPs and host communities. This could lead to lack

of considering appropriate needs, priorities and skills as per the local context.

Thus, skill trainings that misses the local context and exclusion of vulnerable groups from the skill trainings as well as from the provision of cash grants/seed funds to kick start sustainable livelihoods models may be risks during the implementation of the project. There might also be a disagreement or conflicts on the size or amount of the cash grants even on the criteria of vulnerabilities.

10.2.3. Land Acquisition

There is a potential risk of land acquisition, as the project will involve financing of reconstruction activities in the exiting damaged facilities or construction of new facilities in new settlement areas. This may be exacerbated when the affected people are not adequately and timely compensated for the acquired land as well as when they have not received replacement land or not been appropriately treated and consulted to restore their livelihoods. In the situation of the IDPs, there might be case of social risks linked to land and property disputes. Land ownership is often a source of conflict in this setting because during displacement they may lose their land use right certificate and lose of properties due to the conflict. Due to the IDP camps, there might be restrictions to road access and taking over of other communal lands used for various activities and even basic infrastructures. In times compensation required, there may be disagreement on the amount of compensation and delay in compensation payments, which result in delay of project completion.

10.2.4. High mobility of displaced people to better service providing areas

Within the same project target locality, there may be a high mobility of displaced people to kebeles or woredas providing better services of the project benefit packages. The displaced people want to get whatever services and benefit is available as they are highly vulnerable groups of society and are in difficult condition to meet their basic needs. The majority lack a sustainable source of livelihood, income sources, and want to maximize their life saving opportunities moving to project locations where they believe that good benefits will be available.

10.2.5. SEA/SH Related Risks

Regarding GBV, according to the DHS (2016) data, a significant percentage of GBV (particularly between husband and wife) was recorded in the three regions (Tigray 33%, Amhara 35%, Oromia 38% and Somali 9%) where the assessment was carried out. Given this understanding, during this project/sub-project implementation, the necessary precaution regarding GBV/SEA/SH should be taken into account though the project has a component that help expand and strengthen GBV related activities. However, there might be potential SEA/SH risks that occur due to project staff activities including rehabilitation or construction workers, and labor influx for construction activities. There were cases where the IDPs have encountered SEA/SH during the war or conflicts and this may continue in the campsite. This can be associated with risks of SEA/SH and other forms of GBV extending from project activities, including key infrastructure elements as well as the receipt of cash by women and other vulnerable groups and sexual exploitation and abuse risks such as sexual favors. Moreover, the

fluid humanitarian/emergency context could bring potential limitations in ability to supervise the full range of the project.

In terms of implementing GBV prevention and response, at national levels, a Memorandum of Understanding was signed between different sectors (police, legal, etc.) involved in GBV prevention and response including sexual harassment. As part of this effort, a number of One-Stop Center Service (OSCS) to GBV survivors were established across all regions. The multi-sectoral OSCS government partners include health service providers, Women and Children Affairs, Police and legal service providers. However, it is necessary to strengthen the activities of OSCS including updating of gender action plan and make sure it has a protocol on how to carry out referrals of SEA/SH to response services. This is because there are capacity gaps of the implementing bodies including those working in ESRM. There may be gaps of grievances redress mechanism related to GBV to respective service providers based on the demands of survivors and without forgetting confidentiality and lack of knowledge and skill to provide basic referrals.

Moreover, there are gaps related to service delivery for SEA/SH survivors. These include lack of enough resources, training, and guidance to deliver quality care to GBV survivors as well as knowledge gaps among clients and healthcare workers, and weak multi-sectoral referral links create disjointed and incomplete pathways of care for SEA/SH survivors. Moreover, the sociocultural norms that foster stigma for survivors and normalize violence within partnerships inhibit women's, men's, boys', and girls' access to comprehensive SEA/SH care and treatment. This coupled with dissatisfaction of service or being unaware of the availability of services. Thus, it is imperative to pave ways in making health facilities friendly for SEA/SH by ensuring confidentiality or service provision.

10.2.6. Labor force exposure to health and safety

Occupational health and workplace rights concerned with the safety, health, and welfare of people at workplace. The project will engage in basic service providing infrastructures of existing or on new settlements. During this, there might be lack of following the occupational health and safety procedures. As a result, the labor force may be exposed to health and safety risks while participating in the construction of damaged facilities and on new settlement areas. In addition, there are potential small-scale environment, health and safety risks that may result from mobile clinics, Water Supply, Sanitation, and Hygiene facilities for the displaced people and reconstruction or construction of public facilities. Moreover, Environment and Health Safety risks are related to potential falls, injuries and illnesses due to renovation/construction of public facilities. COVID-19-related restrictions could constrain travel of implementation partners, which also affects the carrying out of the required consultations with stakeholders and communities.

10.2.7. Weak capacity of project coordination unit at various levels including social safeguards

Weak capacity of the project coordination unit at various levels in particular the management of the required Environmental and Social Risk Management (ESRM) and the coordination of project implementers in general. In addition, there are weak linkages and coordination among institutions, sectors, programs and projects at all levels. The capacity gaps of the project implementers are coupled with limited experience in implementing the World Bank supported

projects, including lack of experience in environmental and social risk management with ESF requirements for example, MoWSA is a new institution, while MOF has limited experience from only recent engagement with the Bank. This may affect the management of potential environmental and social risks. Further, those implementing institutions do not have well-experienced Social development specialists that deal with the social risk of the project.

10.3. Mitigation Measures

The mitigation measures and recommendations to address the adverse social impacts or risks listed above are discussed as follows directly associated with the corresponding number that the risks identified in the aforementioned section.

1. **It is imperative to conduct preemptive security risk assessment**, and, on this base, it needs to prepare security risk management plan later on and build capacity to reduce the effects of conflicts. This could be done by strengthening the useful experiences in resolving the recently observed conflicts through blending the formal and informal institutions in collaboration with the host communities and the government operating at different levels. This includes awareness creation and consultation with the IDPs and host communities to help them aware of the sources of conflicts and provide full support during the project implementation. The project needs to include checklists of conflict sensitivity assessment in the ESMF, consider sensitivity of local conflict dynamics, and implement in a way to avoid escalating local tensions as the works cover IDPs and hosting communities. The project should consider the livelihoods and political vulnerability of project implementation areas and create communication messages in accordance with the local context. The MOF, the PCU should alert the Bank any incidents related to security, conflict and potential sensitivities towards conflict in the project areas.
2. **Inclusion of most vulnerable and underserved groups in the benefit packages of the project particularly related to recovery packages** such as transition skill trainings, seed grants, etc. Moreover, SEA/SH and MHPSS referral services like mobile community-based services on health, education, and WASH should be availed. Community consultations should include targeted consultations with key community representatives, for instance, elders and traditional leaders to receive feedback to adapt the actions to local needs, with special attention to vulnerable and disadvantaged groups including culturally appropriate communication means. Grievance redress mechanisms should also be effective for affected communities and GRM guideline should be developed to indicate the clearly the project GRM procedure. Therefore, as per the requirements of ESS 1, ESS 5, ESS7 and ESS10, culturally appropriate community engagement mechanisms are included in the draft SEP to ensure meaningful engagement on Response–Recovery–Resilience for Conflict affected communities of the project. In addition, while the subproject screening, the issue of underserved including vulnerable groups taken into consideration. In addition, the subproject-screening checklist will be annexed in the ESMF.
3. **It requires preparing RF for land acquisition related issues.** The Project Implementing Agencies in collaboration with institutions responsible for land acquisition (woreda and city level land administration offices) should properly conduct consultations in a timely and

meaningful manner with PAPs before commencement of subprojects activities. In addition, the consultation meeting minutes should be properly documented. It also needs to avoid activities, which involve large scale and significant displacement. In cases where the project involves in activities that require land acquisition, the new Proclamation No.1161/2019 and the regulation No. 472/2020 can be utilized to minimize and reduce the complaints and other negative impacts or risks related to land. Moreover, with regard to resettlement, the Resettlement Plan should be prepared before taking the required land in compliance with Project Resettlement Framework. Besides, there is a need to properly utilize compensation and livelihood restoration procedures for persons impacted by the land acquisition.

4. The entire project hosting areas government bodies specifically at woredas and kebeles should properly and equitably provide services of the project benefit packages. Consultation with the displaced people at different stages is very important to understand and take measure for the difficult condition to meet their basic needs. The PCU should set a controlling mechanism through its monitoring as well as a reporting system.
5. **Addressing gender dimensions of the operation including SEA/SH:** The Project level SEA/SH Risk Assessment should be conducted as part of comprehensive final social assessment. Based on the finding, **SEA/SH Action Plan** will be prepared, which will be implemented and defined the potential project **SEA/SH** issues thus during implementation, measures should be taken in accordance with the project **SEA/SH** action plan. The project implementing teams will regularly access and manage the risks of SEA/SH and other forms of GBV extending from project activities, including key infrastructure elements as well as the receipt of cash by women and other vulnerable groups and sexual exploitation and abuse risks such as sexual favors. The PCU will engage/assign a **SEA/SH** specialist dedicated to support oversight and management of these risks. Monitoring of the management of **SEA/SH** risks will be an integral part of the project activities. The project will also ensure regular consultation and engagement with women and women's groups throughout the project to ensure equitable inclusion in project activities and to monitor potential risks that may emerge over the life of the project. Further, the PCU should be working to avail the delegated SEA/SH, grievance resolved mechanisms. Also, A Code of Conduct on SEA/SH for all workers (including project staff and construction workers) is suggested to be in place.
6. **Considering labor aspects including worker safety and provide training and inductions for contractors.** The project will prepare a Labor Management Procedures (LMP) in line with in ESS2 requirement and needs to be properly defined and implemented during the implementation of the project workers in accordance with the procedures prior to implementation of activities involving construction. In all activities of the project including construction, the necessary protective equipment will be provided to all staffs. Besides, the PCU and contractors should adopt and implement the occupational, health, and safety measures, which will be specified in the ESMF.
7. The capacity gaps can be mitigated through the establishment of an E&S management system and the PCU and hiring E&S specialist including the provision of various trainings that can cover an array of topics that include technical themes, project management together with ESRM (in accordance with WB ESF), monitoring and evaluation for

implementer at different levels including the woreda and kebele level. Capacity building training for all relevant stakeholders such as MoWSA, MoF, and MOF at federal, regional as well as for Project workers on occupational health and safety should also be given. This is because MOF and MoWSA have relatively limited experience in management of environmental and social risks in the World Bank financed projects with ESF requirements. Hiring or assigning social specialists at federal PCU and regional PIU levels to manage the various social issues that may happen during the implementation of Response–Recovery–Resilience for Conflict affected communities. This is due to the fact the project components have several activities including basic services and economic opportunities, SEA/SH service delivery and prevention program. Thus, to screen, evaluate, monitor, supervise and overall manage the adverse social impacts and risks, hiring or assigning social experts at federal and project implementation regions is recommended.

11. Institutional and Implementation Arrangements

Ministry of Finance (MoF) will lead the implementation of components 1 and 3 and overall project coordination and oversight. MoF will host an FPCU, led by a Project Coordinator, and comprising technical support personnel, and monitoring, FM, procurement, contract management, and E&S risk management specialists. It will also comprise technical focal points designated by relevant ministries to ensure coordination with these ministries and provide technical inputs. The FPCU will be responsible for overall project coordination, oversight, conducting project-wide Monitoring and Evaluation (M&E) and reporting, preparing project-wide annual work plans and budgets (AWPBs), conducting procurement for components 1 (except sub-projects, see below) and 3, and managing learning, communication, and grievance redress activities under Component 3. The FPCU will also ensure that citizen engagement aspects are implemented by the locally-based units, ensuring compliance with, and monitoring implementation of, E&S-related issues, and making sure that due attention is given to gender aspects as per project design. It will establish Mobile Support Teams that are able to support local project structures.

Ministry of Women and Social Affairs (MoWSA) will lead the implementation of activities under Component 2. An FPIU will be set up in MoWSA, led by an FPIU Coordinator, and comprising specialists in financial management (FM) and administration, GBV, health, M&E, procurement, and E&S risk management (additional staffing needs, including within MoH and associated partner ministries, will be determined based on discussion and agreement between MoWSA and the World Bank, and detailed in the POM). The FPIU will be responsible for overall component coordination, consolidation of Component 2 AWPBs, and procurement of component activities. Similar inter-sectoral coordination structures will be established where they do not exist, or strengthened where they exist, within the administration structures of the selected Regional States and Woredas.

A multi-sectoral Federal Steering Committee (FSC) will provide high-level project oversight and guidance, review AWPBs, and ensure inter-ministerial cooperation and resolution of issues. The FSC will be co-chaired by the MoF and MoWSA and comprise representatives from the EDRMC,

MoP, MoH, MoJ, Ministry of Water and Energy, Ministry of Urban Development and Infrastructure (MoUDI), Ministry of Agriculture, Ministry of Education, Attorney General Office, and representatives from the selected regional states and Woredas (the latter on a need basis). The FSC will meet on a quarterly basis and receive secretariat services from the FPCU.

The implementation arrangements of components 1 and 2 at the local level (including small-scale procurement) will differ between HROC and NROC Woredas:

NROC Woredas

Under Component 1, MOF through the FPCU will be responsible for implementation and will coordinate with other agencies and levels of government as required. Activities to support rapid response services under sub-component 1.1 will be led by the FPCU. The FPCU will either (i) contract entities to provide full packages of response services to the local level or (ii) procure goods and equipment for implementation by Woredas in cases where a Woreda has sufficient capacity and a readily available response plan. The technical focal points designated by relevant ministries to the FPCU will support the preparation of contracts' technical aspects and make sure they are aligned with the broader programmatic interventions of the respective sectoral ministries. Recovery activities under sub-component 1.2 will be implemented through community-driven planning and decision processes led by NRCs at the Kebele level. The Woreda will be responsible for sub-projects' procurement, FM, and alignment with the Woreda Development Plan. The Federal Mobile Support Teams will provide technical assistance to communities and Woredas. At the project's mid-term, the World Bank and the government will evaluate if there is sufficient capacity for the NRCs to take on procurement roles, contract management, and FM for these activities. Institutional resilience activities under sub-component 1.3 will be implemented by the FPCU from a Federal perspective in coordination with relevant Federal and local stakeholders.

Component 2 activities will be implemented by MoWSA, in close technical partnership with relevant line ministries, including MoH, MoJ and the Federal Police Commission. To streamline implementation arrangements, particularly those related to the delivery of GBV services under sub-component 2.1 in OSCs and health facilities, and at the community level, MoWSA will establish as needed Memoranda of Understanding (MoUs) with relevant partner ministries (for example, MoH and MoJ) and with related Regional Bureaus. MoWSA will contract third-party implementation of GBV-related activities in HROC areas, likely to be conducted by UNICEF. MoWSA will also contract specialized service providers or organizations to implement key activities requiring specialized technical expertise, including as related to: expansion and strengthening of GBV service delivery at the community level in areas where services are limited or do not exist; improving and expanding provision of MHPSS; establishment and functioning of safe spaces, WGFS/Girls Clubs, and provision of care for vulnerable children; and economic empowerment interventions. MoWSA will also contract specialized organizations or actors to lead the implementation of sub-component 2.2 on development and piloting of GBV prevention interventions. Where relevant and feasible, and with approval from the World Bank, a single specialized service provider may be contracted to implement multiple functions, for example,

GBV services delivery and development and roll out of trainings for technical staff. Sub-component 2.3 will be implemented by the FPIU within MoWSA.

HROC Woredas

The Government of Ethiopia will contract third-party implementation entities to implement key project activities in HROC Woredas, such as GIZ, IOM, or UN Office for Project Services for Component 1. For Component 2, UNICEF is expected to be contracted to provide the respective services.

For component 1, adaptive approaches will be applied. The provision of rapid response basic services under sub-component 1.1 will be implemented in a direct and straightforward manner by the contracted third-party entity. Service standards, specifications, and approaches will be harmonized across the different implementation arrangements to ensure consistency and quality. It will organize the NRCs, and after the community recovery plans are established, it will conduct the procurement of sub-projects' goods and services. The role of the NRCs and communities will remain the same as in NROC Woredas. Community-level institutions will continually benefit from the entity's support, strengthening their role in the recovery process. The Ethiopia Social Accountability Program (ESAP, part of the Enhancing Shared Prosperity through Equitable Services Program [P176354] has successfully implemented a similar process of local sub-project oversight by a third-party entity. Institutional resilience activities under sub-component 1.3 will be carried by the third-party implementation as feasible for community-level institutions only.

For component 2, key activities will likely be implemented by UNICEF as noted. Such an approach acknowledges capacity constraints for service provision at the community level, as well as the lack of required equipment and ongoing instability in some of the targeted areas.

Procedures for third-party implementation in HROC Woredas. The contracting of third-party entities will be managed by the FPCU in MoF for Component 1 and the FPIU in MoWSA for Component 2. If contracts encompass services under both components, MoF will manage the respective contract, in close coordination with MoWSA. The Direct Payment method will be used for services rendered by the third-party implementation entities, following procedures outlines in the POM. The project's monitoring system will ensure that contracted activities are being implemented efficiently and with high-quality, responding to the identified needs of the selected communities.

Summary of Implementation Arrangements

| Component/Main Activity | Lead Implementing Entity | Executing Entities |
|---|--------------------------|---|
| <i>Component 1: Rebuilding and Improving Access to Basic Services and Climate-resilient Community Infrastructure</i> | | |
| 1.1 Community-based Rapid Response Basic Services | MoF/FPCU | <i>NROC Woredas:</i> FPCU to contract entities or Woredas to execute directly, depending on |

| | | |
|--|-------------|---|
| | | capacities and availability of a response plan. <i>HROC Woredas:</i> MoF to contract third-party implementation entity, directly paid by the World Bank. |
| 1.2 Community-based Recovery Activities | Woreda/NRCs | <i>NROC Woredas:</i> Community-driven approach led by NRCs with support from Federal Mobile Support Teams and fiduciary responsibility of the Woreda. <i>HROC Woredas:</i> Community-driven approach led by NRCs with support from, and execution by third-party implementation entity. |
| 1.3 Strengthening Institutions for Resilience | MoF/FPCU | <i>NROC Woredas:</i> FPCU in coordination with relevant Federal and local stakeholders. <i>HROC Woredas:</i> Third-party implementation, community-level institutions only. |
| <i>Component 2: Improving Access to GBV Response Services</i> | | |
| 2.1 Expanding and Strengthening GBV Services in Conflict-affected Communities | MoWSA/FPIU | <i>NROC Woredas:</i> FPIU to execute in partnership with other agencies as relevant, or FPIU to contract specialized service providers to execute, depending on local capacities. <i>HROC Woredas:</i> MoWSA to contract third-party implementation entity, directly paid by the World Bank. |
| 2.2 GBV Prevention and Behavior Change | MoWSA/FPIU | <i>NROC Woredas:</i> MoWSA to contract specialized organizations. <i>HROC Woredas:</i> MoWSA to contract third-party implementation entity. |
| 2.3 Support to Coordination, Policy Development, and Research for GBV Prevention | MoWSA/FPIU | MoWSA (nationally) |

| | | |
|---|----------|--|
| and Response | | |
| Component 3: Adaptive Project Management | | |
| 3.1 Project management | MoF/FPCU | FPCU for Component 1 management and overall project coordination/M&E/reporting, FPIU for Component 2 management. |
| 3.2 Learning and Adaptive Implementation | MoF/FPCU | FPCU, FPIU, and operations-focused consulting firm. |

The Ethiopian Human Rights Commission (EHRC) or another domestic or international independent agency may provide independent project monitoring services, focusing on compliance with national and international standards in the project's development interventions. Above all, ensuring consent and ownership by local communities is essential, a topic that governments are often challenged by. This should not be confused by the general progress monitoring, which will be facilitated and reported on by the PIU. Financing for such independent monitoring will be sought independently from the project funds, either via bilateral co-financing or via multi-donor-trust-funds.

Among the key agencies, MoF has intensive experience on the implementation of World Bank financed projects. However, MoWSA is a new institution, while MOF has limited experience from only recent engagement with the Bank (on a CERC and a DRM project preparation). As such, there is limited experience in implementing Bank supported projects to manage potential environmental and social risks.

12. Social Development Plan for Vulnerable and Underserved Groups

As stated in the table below, the social development plan will make certain that the Project and its implementing agencies at various levels will respect and meet ESS 1, ESS2, ESS4, ESS5, ESS7, and ESS10 of the World Bank ESF requirements and ensure that people should benefit from Response–Recovery–Resilience for Conflict-affected Communities project in Ethiopia in a sustainable manner. The plan could be restructured after comprehensive social assessment and during the implementation and further consultations will be undertaken for the vulnerable and underserved groups to ensure their full participation. The matrix in the following table summarizes potential social risks/impacts, along with their recommended actions, responsible bodies and budget of the project.

| Components | Potential Social Risks/Impacts | Mitigation Measures | Responsible Body | Budget '000' |
|------------|--------------------------------|---------------------|------------------|--------------|
|------------|--------------------------------|---------------------|------------------|--------------|

| | | | | |
|---|--|---|--|------------------------------|
| Rebuilding and Improving Access to Basic Services and Climate-resilient Community Infrastructure | - security risks such as vehicles being ambushed while transporting staff, equipment and materials, harassment, kidnapping, theft, etc. for mobile teams or staff deployed to provide services as the project is implemented in conflict areas | <ul style="list-style-type: none"> - Develop preemptive conflict preparedness plan and build capacity to reduce the effects of conflicts. - Conduct awareness creation and consultation with the IDPs and host communities to help them aware the sources of conflicts and provide full support during the project implementation. - Develop checklists of conflict sensitivity assessment and also consider sensitivity of local conflict dynamics and implement in a way to avoid escalating local tensions. - The MOF and the PCU shall alert the workers on possible conflicts in the project areas. | MOF, PCU with respective regional and woreda level implementers | Core activity of component 1 |
| | Risk of social exclusion of the most vulnerable and underserved people from sharing the benefit packages of the project | <ul style="list-style-type: none"> - Give priority to vulnerable and underserved people in the benefit packages of the project particularly during transition skill trainings SEA/SH and MHPSS referral services, WASH, etc. - Conduct targeted consultations with underserved and vulnerable people, key community representatives, for instance, elders and traditional leaders to receive feedback to adapt the actions to local needs, - Develop and adapt culturally appropriate communication means to reach the vulnerable and underserved people . - Establish effective Grievance redress mechanisms and culturally appropriate community engagement mechanisms per the SEP to ensure timely compliant redress and meaningful engagement in the project for the underserved and vulnerable people. - Put in place affirmative actions t for the vulnerable people and disadvantages people among the IDPs and the hosts. - Consider the issues of underserved and vulnerable groups during the subproject screening identify and benefit them. | MOF, PCU MOWSA, and respective regional and woreda levels responsible bodies | Core activity of component 1 |
| | Potential risk of land acquisition | <ul style="list-style-type: none"> - Conduct proper consultations with PAPs particularly with underived and vulnerable people in a timely and meaningful manner during sub project screening/ before commencement of subprojects activities. - Document properly consultation meeting minutes. - Ensure that land acquisition of the project is done as per the prepared Resettlement Framework (RF) to minimize and reduce the complaints and other negative impacts, or risks related to land. - Prepare a Resettlement Action Plan (RAP) s before taking the required land in line with Project RF. - There is also a need to properly utilize compensation and livelihood restoration procedures for persons impacted by the land acquisition. | MOF, PCU and relevant institutions related to Land acquisition | Core activity of component 2 |
| | Within the same project target | - Provide equitably services to all project beneficiaries with particular emphasis to the vulnerable and | MOF, PCU mainly | Core activity |

| | | | | |
|--|--|--|--|-------------------------------------|
| | <p>locality, there may be a high mobility of displaced people to kebeles or woredas providing better services of the project benefit packages.</p> | <p>underserved people .</p> <ul style="list-style-type: none"> - Consultation as per the SEP with the displaced people at different stages to understand and take measure for the difficult condition to meet their basic needs. - Setout controlling mechanism through project's monitoring as well as a reporting system | <p>woreda and kebele level implementing entities</p> | <p>of component 2</p> |
| | <ul style="list-style-type: none"> - Elite capture and/or different interest groups including traditional authority structures in influencing community's prioritization and manipulation of support provided as well as lack of transparency during selection of the beneficiaries | <ul style="list-style-type: none"> - Put in place a controlling mechanism by allowing the intended beneficiaries including the vulnerable groups to play, an active role in the management of the projects and the design of participatory development to limit the elite capture. - Select beneficiaries realistically in consultation with representatives of the community and vulnerable/underserved people from the IDPs and the hosts. - Create awareness among traditional authority structures and undertake information campaign to ensure the purpose and principles of the project are properly understood, including targeting procedures and design targeting structures with careful consideration to the balance between formal and informal traditional authority structures and inclusive project target <p>Transparent reporting on project activities</p> | <p>MOF, PCU particularly at the lower levels where the project is implemented.</p> | <p>All activity of components</p> |
| <p>Improving Access to SEA/SH Response Services</p> | <ul style="list-style-type: none"> - .SEA/SH risks due to project staff activities, rehabilitation or construction workers, and labor influx for construction activities mostly associated with the cash transfer activities. | <ul style="list-style-type: none"> - Address the Sexual Exploitation and Abuse/Sexual Harassment/SEA/SH risk as per the project's SEA/SH plan. - Update the SEA/SH risk assessment and develop Action Plan to capture the local context during project implementation - Regularly access and manage the risks of SEA/H and other forms of GBV extending from project activities, including key infrastructure elements as well as the receipt of cash by women and other vulnerable groups and sexual exploitation and abuse risks such as sexual favors. - Hire SEA/SH specialist dedicated to support oversight and management of these risks the management of SEA/SH risks as an integral part of the project activities monitoring. - Ensure regular consultation and engagement with women and women's groups throughout the project to ensure equitable inclusion in project activities and to monitor potential risks that may emerge over the life of the project. - Assign a SEA/SH focal person at each project sites among the members of grievance committee to receive and report complaints related SEA/SH. - Each Project works sign Code of Conduct on SEA/SH (including project staff and construction workers) | <p>MOF, PCU, MOH, MOWSA and their regional and woreda counterparts</p> | <p>Core activity of component 2</p> |

| | | | | |
|------------------------------------|---|--|---|------------------------------|
| | | | | |
| | Lack of project grievance redress mechanism to support the systematic uptake, processing and resolution of project related complaints and grievances. Specifically, for SEA/SH activities | <ul style="list-style-type: none"> - Conduct rapid information dissemination and campaign including local radio in appropriate languages and public place like Woreda administration office/camp. - Regularly sensitizing the communities on the existing GRM system - Provide capacity development training for established GRCs and GBV focal persons on the receiving and resolving grievances related to SEA/SH - Ensure the functionality of established GRM and accessibility for underserved and vulnerable people. | MOF, PCU, and MOWSA and their regional and woreda counterparts | Core activity of component 2 |
| Adaptive Project Management | Lack of capacity in managing project at different levels particularly at woreda and kebele levels and there is problem of timely allowing budget and implementing the activities. | <ul style="list-style-type: none"> - Provide trainings that cover project management, monitoring and evaluation for implementer at different levels including the woreda and kebele level. | MOF, PCU and regional and woreda counterparts implementing entities | Core activity of component 3 |
| | Weak safeguards capacity | <ul style="list-style-type: none"> - Hire expert at national PCU, PIU and regional project coordination office. And assign ESRM focal person at woreda level - Providing the capacity development training on the Projects E&S instruments requirements and WB ESF standards | PCU at MOF, PIU at MoWSA and regional and woreda counterparts implementing entities | Core activity of component 3 |
| | Weak linkages and coordination among institutions, sectors, programs and projects at all levels. | <ul style="list-style-type: none"> - Create linkages among institutions, sectors (Project implementing agencies and oversight bodies), programs, and projects at all levels through MoU. - Conduct annual inter-sector evaluation workshop among the implementing entities on E&S implementation and performance | MOF, PCU, WoWSA and regional and woreda counterparts implementing entities | 400,000 (every year) |

Reference

- Central Statistical Authority. 2007. *Summary and Statistical Report of the 2007 Population and Housing Census Results*. Addis Ababa: Central Statistical Authority.
- Development Response to Displacement Impact Project (DRDIP) In the Horn of Africa (P152822) (February 2016), Social Assessment Report, Ministry of Agriculture and Natural Resources, Government of Federal Republic of Ethiopia
- Ethiopia Humanitarian Situation Report No. 6, July 2021
- FDRE. 1994. The Constitution of the Federal Democratic Republic of Ethiopia.
- Federal Democratic Republic of Ethiopia, Planning and Development Commission, 10 Years Development Plan, A pathway to Prosperity (2021-2030)
- Federal Democratic Republic Of Ethiopia, Pastoral Community Development Project Pcdp-3 (September, 2013), Social Assessment Report
- Federal Negarit Gazette of Federal Democratic Republic of Ethiopia (2020): Expropriation and Valuation, Compensation and Resettlement Council of Ministers Regulation No. 472/2020, Addis Ababa, Ethiopia
- Federal Negarit Gazette of Federal Democratic Republic of Ethiopia (2018), A Proclamation To Provide For The Definition Of The Powers And Duties Of The Executive Organs Of The Federal Democratic Republic Of Ethiopia, Proclamation No.1097/2018, Addis Ababa, Ethiopia
- OCHA (2021) Press release of the Under-Secretary-General for Humanitarian Affairs and Emergency Relief Coordinator, Martin Griffiths
- Willman, Corman. 2013. "Sexual and Gender Based Violence: What is the World Bank Doing and What Have We Learnt?" A Strategic Review, Social Development, World Bank, Washington, DC.
- World Bank (2018): World Bank Environmental & Social Framework (ESF) and Environmental and Social Standards (ESSs).
- Yigzaw, Gedifew Sewenet and Abitew, Endalsasa Belay. 2019. Causes and Impacts of Internal Displacement in Ethiopia, *African Journal of Social Work*, Volume 9 Number 2.

Annexes

Annex I: Methodology of the Comprehensive Social Assessment

Data collection methods

A. Document Review

The social assessment is undertaken in two stages. The first stage of the assessment was a Rapid Preliminary Assessment, which builds on existing available data and analysis relevant to the project by identifying stakeholders and key social risks and undertaking a gap analysis of where additional data or consultations required. The comprehensive social assessment is informed by the rapid social assessment prepared prior to project appraisal and other documents already carried out in IDP areas including Social Assessments conducted for World Bank financed projects such as DRDIP, General Education Quality Improvement Program GEQIP-E AF for refugee education integration and existing study reports that have been prepared in the participating regions.

The assignment also involved the assessment of relevant policy/legal frameworks and recent institutional changes that may have occurred. Some significant demographic changes and external political or economic environment related information are also added during the comprehensive social assessment. Besides, a review of available sources of information to describe the sociocultural, institutional, historical and political context of the country with respect to 3R-4-CACE project target regions of the country incorporated. In addition, review of the project background documents, the full extent of the proposed project, its general location, size, schedule and planned sequence of activities, resources available, expected implementation arrangements and life span is conducted. The World Bank Standards ESF-ESS1 Assessment and Management of Environmental and Social Risks and Impacts, ESS 2 Labor and Working Conditions, ESS 4 Community Health and Safety, ESS5 Land Acquisition, Restrictions on Land Use and Involuntary Resettlement, ESS7 Historically Underserved Traditional Local Communities, and ESS10 Stakeholder Engagement and Information Disclosure that are applicable to the project are also reviewed.

B. Primary data collection methods

The comprehensive social assessment addressed social concerns and issues, which calls for a participatory process in which stakeholders, including vulnerable groups can, express their views and opinions. For the comprehensive social assessment, field visit to collect data and conduct in-depth consultation process with the identified vulnerable and underserved groups specific to the project were embarked. The checklists and questioners were prepared and used for the data collection. During the fieldwork, additional information focusing on potential project risks and impacts on underserved and vulnerable groups were assessed. Moreover, identification of the key vulnerable and underserved groups in IDP areas were made to determine their relationships with the community member and how the project will affect them or be affected by the project. The assessment is also made to understand their interests and needs and identify expected social development outcomes and actions proposed to achieve those outcomes. Social development outcomes are the socially relevant results the project is

expected to achieve, such as poverty reduction, equity and inclusion, strengthening of social capital and peaceful coexistence, and promotion of accountable and transparent governance, as well as the mitigation of adverse impacts arising out of the project.

The purpose of primary data collection was to gather firsthand information and data from various sources on the key environmental and social aspects of the project components by discussing with the relevant stakeholders, implementing partners and project beneficiaries. Particularly, the focus was on identifying positive and negative social and environmental risks to and impacts of the project, ways of maximizing the positive impacts and the mechanisms to avoid, minimize and mitigate the negative impacts; mechanisms on how to avert anticipated risks.

Primary data was collected from different sources by conducting consultative meetings at the federal, *Woreda*/district and community levels using appropriate tools. The team members in selected implementation sites/districts in the intervention regions conducted a physical observational visit. The consultations at the *Woreda* and community levels were carried out by the lead implementing institutions using the data collection tools prepared.

Overall, data were collected from 108 individuals including IDPs, host communities, stakeholders and implementing institutions. The study participants who were involved in stakeholder and community consultation sessions and Key Informant Interviews are summarized in the table below.

Table 1: Summary of Study Participants Selected for KIIs and Community Consultations

| A. Summary of Study Participants Selected for KIIs | | | | | |
|---|--|-------------|---------------------|--------|-------|
| Level of participation | Selected Institution | Woreda | No. of Participants | | Total |
| | | | Male | Female | |
| Federal | MOF | - | 5 | 2 | 7 |
| | MOWSA | - | 2 | - | 2 |
| Amhara Region | Woreda Education Office | Woldiya | 1 | - | 1 |
| | Woreda Women and Children Affairs Office | | 1 | - | 1 |
| | Woreda Health Office | | - | 1 | 1 |
| | | Debrebrehan | | | |
| | Woreda Education Office | | - | 1 | 1 |
| | Woreda Women and Children Affairs Office | | - | 1 | 1 |
| | Woreda Health Office | | - | 1 | 1 |
| | Bureau of Women | - | 3 | - | 3 |

| | and Social Affairs | | | | |
|--|--|---------------------|--------|-------|-----|
| Afar Region | | Chifra | | | |
| | Woreda Health Office | | 1 | - | 1 |
| | Woreda Women and Children Affairs Office | | - | 1 | 1 |
| | Woreda Health Office | | 1 | - | 1 |
| | Bureau of Women and Social Affairs | - | 3 | - | 3 |
| Oromia Region | Bureau of Women and Social Affairs | | 1 | 2 | 3 |
| Benishangul Gumuz | Bureau of Women and Social Affairs | - | 2 | 1 | 3 |
| Sub-Total (A) | | | 20 | 10 | 30 |
| B. Summary of Study Participants Selected for Community Consultations | | | | | |
| Region | Woreda | No. of Participants | | Total | |
| | | Male | Female | | |
| Amhara | Raya Kobo | 19 | 13 | | 32 |
| | Debrebrehan | 18 | 8 | | 26 |
| Afar | Chifra | 17 | 3 | | 20 |
| Sub-Total (B) | | 54 | 24 | | 78 |
| Grand Total A+B | | | | | 108 |

Sampling procedures

A. Selection of participants for consultative meetings

The participants of the consultative meetings at the Federal, Woreda and Kebele levels were selected using purposive sampling method. This was found to be a feasible method because the experts for the interview were knowledgeable about the subject matters and due to the limited number of the sample population (project related staff) for the specific project. The participants for the key informant interviews and consultations were selected using purposive sampling. The selected individuals were informed of the purpose and were asked for their consent before conducting the consultation.

B. Selection of representative Woredas

The 3R-4-CACE Project will be implemented in five regions; namely, Amhara, Tigray, Afar, Benishangul-Gumuz, and Oromia. The target regions are still conflict prone and thus the would

be target woredas can be labeled as either HROC (High Risk of Ongoing Conflict) or NROC (Non-high Risk of Ongoing Conflict). In this regard, the sample woredas are selected purposively and may not meet the formal sampling procedures due to accessibility and security problems of the target regions. To this end, Tigray, parts of Benishangul-Gumuz, Oromia, Afar and Amhara are still insecure. Thus, in consultation with implementing agencies at regional level, the sample woredas are limited to four, namely; Debreberhan, Woldiya, and Kobo from Amhara region, and Chiefra from Afar region which are relatively representative and found out accessible and secure during data collection.

Due to the ongoing conflicts, the study team had no access to conduct consultations in Tigray. Similarly, in Benishangul Gumuz and Oromia Regional states, where IDPs are located, the team was deprived of access due to conflicts. However, the team was able to consult IDPs from Oromia in the Amhara region of Debreberhan Town. Furthermore, the team collected useful information from sector offices in Oromia and Benishangul Gumuz via phone, email, and virtual connections.

Data Analysis Methods

Qualitative data analysis methods were employed to analyze the collected data from secondary and primary sources. Most of the data and information collected from document reviews, interviews and consultative meetings were qualitative. Hence, all qualitative data were analyzed using a deductive analysis approach. This method involved the use of the structured questions and response from interviews and discussions as a guide for analysis. The data was easily structured, organized and categorized according to the patterns of responses. Content analysis of the information from interviews, texts and audio recordings were analyzed using the deductive approach. Narrative analysis from discussion summaries, observational notes and experiences from interview participants were analyzed using the narrative analysis methods. Triangulation method was employed to cross-validate the different data sets from the various sources. All data were structured and presented in an interpretable pattern and form in the report.

Ethical Consideration

Ethical consideration is one of the protocols during data collections. It is imperative that ethical issues are considered during field data collection process. The ethical considerations include *Free, prior and informed consultation (FPIC)*, voluntary participation, do no harm, confidentiality, and anonymity that are discussed in more detail as follows.

- ***Free, prior and informed Consent***

The principles of consultation and consent together constitute a special standard that safeguards and functions as a means for the exercise of indigenous peoples' substantive rights. It is a standard that supplements and helps effectuate substantive right including the right to property and other rights that may be implicated in natural resource development. FPIC can have the effect of reversing the historical pattern of exclusion from decision making in order to avoid the

future imposition of important decisions on indigenous peoples, allowing them to continue to live as distinct communities on lands to which their cultures remain attached.

Free refers to a consent given voluntarily and absent of “coercion, intimidation or manipulation. Free refers to a process that is self-directed by the community from whom consent is being sought, unencumbered by coercion, expectations or timelines that are externally imposed. Prior means consent is sought sufficiently in advance of any authorization or commencement of activities. Prior refers to a period of time in advance of an activity or process when consent should be sought, as well as the period between when consent is sought and when consent is given or withheld. Prior means at the “early stages of a development or investment plan; it is not only when the need arises to obtain approval from the community”. Informed refers mainly to the nature of the engagement and type of information that should be provided prior to seeking consent and as part of the on-going consent process. Consent refers to the collective decision made by the rights-holders and reached through the customary decision-making processes of the affected peoples or communities. Consent must be sought and granted or withheld according to the unique formal or informal political-administrative dynamic of each community.

Participants were informed how data will be managed and used. They were also asked to use audio recorder. When they were not comfortable in the use of audio recorder; data was taken through field notes. Similarly, when they were uncomfortable to capture their photographs during discussions, their interest was respected.

- ***Voluntary participation***

Voluntary participation means that people participate in the Social Assessment are free from coercion and reimbursement. Informants and community consultation participants were never made to give response either using force or through the power of money. Participants are free to withdraw their participation at any time in the process of data collection. It is the right of participants to leave their participation any time. Therefore, no pressure were made on those who choose not to continue.

- ***Do no harm***

Informants and community consultation participants assured that there will be no physical/psychological harms because of their participations in this Social Assessment. Participants were made to relax in order to avoid their stress, pain, anxiety, and diminishing self-esteem. Participants were informed to decline any time if they discomfort for giving the information.

- ***Confidentiality***

Confidentiality means the information provided by the participants will be made confidential and accessible only to authorized personnel. The information from the informant will not be published in a way that exposes the information providers, informants. Accordingly, the team assured them not to disclose the names of the research participants.

- ***Anonymity***

If mentioning the names of the information providers is mandatory, anonymous or their positions or role in the community were used. Anonymity is a stricter form of privacy than confidentiality since the information providers are named with positions or role in the community. Therefore, in writing the report of SA, the team might use positions or role of the informants if necessary.

Annex II: Components of the Project

Component 1: Rebuilding and Improving Access to Basic Services and Climate-resilient Community Infrastructure (Cost: \$210.0 million)

Component 1 will support conflict-affected communities' access to basic services and climate-resilient community infrastructure in selected Woredas. The project will finance the provision of

rapid response basic services as and when needed to lay foundations for more sustainable support with a focus on health, education, WASH, and other services as feasible. Additional temporary support services, such as psychosocial care and/or support for unaccompanied minors, will be financed under Component 2. This component will also finance longer-term recovery through establishment, restoration, or rehabilitation of basic services and community infrastructure.

The component will aim to address climate and FCV risks and strengthen drivers of resilience and socioeconomic recovery.⁵⁹ The project will support response and recovery activities that advance growth and development in the country, and address key risk factors that may exacerbate conflict, for example, climate change and perceived inequities or tensions between host communities and IDPs or between different socioeconomic groups blamed for the conflict and its impacts. Recovery activities will also focus on communities and the strong integration of different local stakeholders, including traditional leaders, to ensure a more inclusive recovery process, thereby addressing some of the institutional and communication gaps between the government and communities and among communities that have contributed to local conflict lines. Finally, the component will allow for targeted additional interventions that may mitigate local-level conflicts, for example conflict sensitivity trainings for local institutions. The implementation of this component will be led by a Federal Project Coordination Unit (FPCU) in MoF (see Section III for details). Financed activities will be grouped into the following three sub-components:

Sub-component 1.1: Community-based Rapid Response Basic Services (Cost: \$53.0 million) This sub-component will finance rapid response services to meet the basic needs of selected communities, including vulnerable groups (particularly women). These needs have been preliminary identified by the government and humanitarian organizations and will be further refined and updated by the rapid WNCCAs, including climate assessments.⁶⁰ Mobile health response services will include medical assessment, distribution of medicines, and medical services following an approach which builds upon lessons from health interventions recently conducted in the Tigray Region. Education teams will provide informal education support services, for example, through the successfully piloted Read@Home

Program and more formal education services focusing on accelerated learning, for example, through speed schools with accelerated curricula and community day care services. WASH interventions may encompass provision of potable water via trucks, basic sanitary facilities, and other interventions. Given overlapping vulnerabilities in the selected areas, these services will equally respond to compounded climate-related shocks. Activities will be implemented in coordination with the World Bank-financed Health Sustainable Development Goals Program-for-Results (P123531), General Education Quality Improvement Program for Equity and Additional Financing (P163050/P168829), and the Urban Productive Safety Net and Jobs Project (P169943).

Sub-component 1.2: Community-based Recovery Activities (Cost: \$151.0 million)

This sub-component will finance recovery of local infrastructure and services, informed by conflict and climate needs assessments, and prioritized based on the results of community consultations. Ownership of the recovery process, including joint decision-making power by host communities and IDPs alike, will be facilitated through the establishment of Neighborhood Relations Committees (NRCs), with support from the Woreda administration and Mobile Support Teams from the Federal and regional levels. Communities will prioritize and decide on the recovery and rehabilitation investments/sub-projects, to be outlined in community recovery plans at the Kebele level. Recovery plans could include the reconstruction of existing or construction of new community facilities, such as education, health, and WASH facilities, youth clubs, and training centers, as well as related soft investments, for example, capacity building activities for NRCs, social cohesion interventions to facilitate IDP/host community relations according to allocated financial envelopes. The project may also finance inter-Kebele sub-projects that are prioritized jointly by the relevant communities, within a defined financial envelope. These allocations will be described further in the POM. Construction and reconstruction of community facilities will take into account current and future climate change risks in the facilities' design, materials, and location, and there will be emphasis on the use of energy and resource efficiency measures. The formal Woreda Appraisal Committees will ensure alignment of the recovery plans with the government's longer-term local development plans.⁶² Procurement and implementation will be facilitated and supervised by the Woreda in areas where they are functional, with community monitoring facilitated by the NRCs. In HROC Woredas, third-party implementation will lead the procurement and implementation functions. As relevant, activities will be implemented in coordination with the Health Sustainable Development Goals Program-for-Results, the General Education Quality Improvement Program for Equity and Additional Financing, the Development Response to Displacement Impacts Project (DRDIP, P152822), the Economic Opportunity Program (P163829); and the forthcoming Borderlands project, the latter part of the Horn of Africa Regional Initiative.

Sub-component 1.3: Strengthening Institutions for Resilience (Cost: \$6.0 million)

This sub-component will finance capacity-strengthening activities to enhance community resilience to the effects of conflict and to current and future climate change impacts. At the Federal level, institutional assessments and technical assistance activities may be financed, while at the Woreda level, capacity enhancement activities will focus on existing local civil servant workforce, whose capacity for engaging with communities will be enhanced, and whose standard working procedures and systems for citizen engagement and deployment of rapid resources will be strengthened. At the Kebele level, interventions will focus on strengthening formal and informal community structures, including Women's Groups, traditional burial associations (*Iddirs*) and other structures. In HROC Woredas, support will be limited to community structures at the Kebele level.

Component 2: Improving Access to GBV Response Services (Cost: \$70.0 million)

This component will primarily finance the strengthening of short and medium-term GBV response services for survivors of GBV within the targeted regions. This will be complemented by piloting

GBV prevention programming, both as a mechanism to encourage service seeking behavior by GBV survivors, facilitate their longer term recovery, and address underlying norms and dynamics that contribute to violence; and strengthening the institutional capacity for policy coordination and delivery for quality, confidential, and survivor-centered care across the country.

The interventions under Component 2 are expected to respond to the multiple needs of GBV survivors to enable short- and medium-term recovery from violence and to strengthen the capacity of vulnerable people to cope with future shocks and stresses that may contribute to GBV incidence, including, among others, those related to conflict and to the impacts of climate variability and change. By targeting prevention and behavior change, this component also will aim to address drivers and risk factors that contribute to acceptance and perpetration of GBV that may be exacerbated by conflict, climate events, or other related shocks. Addressing drivers and impacts of GBV has important implications not only for the physical and psychosocial well-being of survivors, but also for social cohesion and sustainable development of communities more generally. The high prevalence rates of GBV in Ethiopia are linked to underlying social and cultural norms and values that perpetuate power imbalances between men and women, as well as between and across communities, exacerbated by the ongoing conflict, which increases the vulnerability of affected people. Left unaddressed, GBV incidence can contribute to communal instability and result in significant economic costs to families and communities alike, extending from lost productivity, lost earnings, and out of pocket medical expenditures. Prevention activities may unlikely prevent the explicit use of GBV as a targeted weapon of war, but they should support an environment where overall tolerance for GBV is reduced and the communal support for survivors increases. Component 2 will be implemented by MoWSA in coordination with relevant government agencies, including MoH, Ministry of Justice (MoJ), the Federal Police Commission, and the Ministry of Education, and in partnership with nongovernment partners with technical expertise in GBV prevention and response, particularly UNICEF (see Section III for details). This component's activities will be grouped into the following three sub-components:

Sub-component 2.1: Expanding and Strengthening GBV Services in Conflict-affected Communities (Cost: \$51.0 million).

A mapping exercise will be carried out, looking at existing referral services and providers within the selected Woredas, their capacities and need for training, an assessment of the quality of care they provide, and vulnerabilities to climate change. This information will inform service strengthening needs and capacity building activities and, more broadly, enable improved coordination across stakeholders. Activities to be financed under this sub-component include (i) strengthening of existing and new OSC facilities as needed, including training of OSCs' critical personnel to perform core services (including medical, case management, psychosocial, police, and legal support), and procurement of essential medical supplies and other materials for the OSCs and (ii) expanding and strengthening community-level response and referral mechanisms for GBV survivors through the delivery of essential GBV response services and training of key personnel, including community-based actors, frontline providers, and health personnel in core services, including social services, MHPSS, emergency response, and referral support for GBV survivors by specialized implementing partners. The project will support capacity building of

technical staff, such as health professionals and social workers, to provide medical care (including clinical management of rape), case management support, and MHPSS, and will pilot delivery of mobile GBV services in target Woredas where access to OSCs or health facilities is not available. This sub-component will finance the provision of MHPSS through training and deployment of mental health and psychosocial service providers, as well as through contracting of specialized external providers, to serve GBV survivors, as well as conflict- and displacement-affected people more broadly.

The project will explore establishment or rehabilitation of safe houses or safe spaces and programming for vulnerable children, such as establishment of Women and Girl Friendly Spaces (WGFS, also referred to as Girl Clubs) to enable multi-layered access to key support activities, including case management, counseling, and other social activities. It will also explore the feasibility to support innovative reporting systems, including hotlines/helplines. Recognizing the importance of survivors' economic independence as a measure to reduce economic dependence on perpetrators and improve resilience to violence, the project will support opportunities to integrate economic empowerment interventions in community-level response programs or, at a minimum, to enable referral to existing livelihoods and income generation programming outside of this project. Activities will be implemented in coordination with the Health Sustainable Development Goals Program-for-Results, the General Education Quality Improvement Program for Equity and Additional Financing, and the forthcoming Strengthening Primary Health Care Services Program-for-Results (P175167). All activities will be informed by and build on relevant international and regional frameworks, as well as global and regional good practice for safe, ethical, and survivor-centered care.

Sub-component 2.2: GBV Prevention and Behavior Change (Cost: \$15.0 million)

This sub-component will pilot evidence-based GBV-related prevention and behavior change activities at individual, household, and community levels in selected conflict and climate-affected Woredas. Activities may include provision and facilitation of gender transformative dialogue groups and/or couple-based trainings, activism training, community awareness raising and mobilization (including traditional leaders), and behavior change communications campaigns to increase people's awareness of risks and impacts of GBV and of available GBV support services. Opportunities to integrate climate-resilient livelihood support and economic empowerment programming into prevention interventions will be explored by financing, for example, gender transformative training that is integrated into women's entrepreneurship interventions, business or savings groups, village savings and loan associations, or other related economic empowerment interventions.

Sub-component 2.3: Support to Coordination, Policy Development, and Research for GBV Prevention and Response (Cost: \$4.0 million)

This sub-component will finance relevant capacity building activities to strengthen the coordination mechanisms for GBV programming between relevant ministries and regional bureaus with a mandate for GBV prevention and response; review and strengthening of the policy and legal framework for addressing GBV, which may include the dissemination of recently finalized and launched Standard Operating Procedures for OSCs, development of a National

Strategy for GBV Response, a National GBV Policy, or other policy priorities identified by government partners; and technical assistance actions aiming to strengthen the government's capacity to conduct targeted analyses that inform GBV prevention and response programming as needed.

Component 3: Adaptive Project Management (Cost: \$20.0 million)

Component 3 will finance the incremental costs of the various project management aspects associated with the implementation of activities under components 1 and 2 (for example, the costs of the FPCU, Federal Project Implementation Unit [FPIU], and other coordination and oversight structures), as well as learning activities that will help improve the effectiveness of project-financed activities and adapt them to changed settings. Component 3 will be implemented by MoF as the lead Implementing Agency for this project, and by MoWSA, which will be responsible for implementation of Component 2. Activities will be grouped into the following two sub-components:

Sub-component 3.1: Project Management (Cost: \$15.0 million)

The sub-component will finance project management and coordination costs, including the costs of the steering committees at the different levels, the FPCU in MoF, an FPIU in MoWSA, respective regional and Woreda coordination units, the FPCU's Mobile Support Teams, and other project implementation structures as needed. It will also finance operational assessments such as the WNCCAs. This sub-component will also finance project communication costs, making sure that project activities are well known to beneficiaries with details outlined in the Stakeholder Engagement Plan (SEP).

Sub-component 3.2: Learning and Adaptive Implementation (Cost: \$5.0 million)

This sub-component will finance the contracting of an operations-focused consulting firm to provide quality control and learning services to the project. This will include analyses of the effectiveness of activities under components 1 and 2 and improvement recommendations, and continued evaluation of the project's targeting mechanisms. This sub-component may be completed by World Bank-contracted third-party monitoring (TPM, see Section III.B).

Component 4: Contingent Emergency Response Component (Cost: \$0.0)

A CERC is included in the project in accordance with Investment Project Financing (IPF) Policy, paragraphs 12 and 13, for Situations of Urgent Need of Assistance and Capacity Constraints. This will allow for rapid reallocation of credit/grant uncommitted funds in the event of an eligible emergency as defined in OP 8.00. An Annex to the POM ('CERC Annex') will be prepared within 6 months of credit effectiveness to guide the activation and implementation of the CERC, and a CERC Environmental and Social Management Framework (ESMF) will also be prepared within 6 months of credit effectiveness with the CERC environmental and social (E&S) assessment and initial requirements. For the CERC to be activated and financing to be provided, the Government will need (i) to submit a request letter for CERC activation, and the evidence required to determine eligibility of the emergency, as defined in the CERC Annex; and (ii) an Emergency Action Plan, including the emergency expenditures to be financed; and (iii) to meet the E&S requirements as agreed in the Emergency Action Plan and the Environmental and Social Commitment Plan (ESCP).

Annex III: Sample Lists of Participants for Comprehensive Social Assessment Preparation for 3R-4-CACE

| No. | Name | Age | gender | Organization | Region | woreda | Remark |
|-----|--------------------|-----|--------|------------------------|-------------|-----------|------------|
| 1. | Getahun Dejene | 38 | M | Zahica | Oromia | - | 0917031322 |
| 2. | FAYOU FEKADU | 32 | M | Bahica | Benishangul | Assaga | 0913163009 |
| 3. | Leile Safari | 38 | F | Zahica | Oromia | Zoni | 0916487711 |
| 4. | Wolde Acheret | 31 | M | Bahica | Benishangul | Alaja | 0976918348 |
| 5. | Jalene Malama | 22 | F | Bahica | Benishangul | Kamasa | 0365250162 |
| 6. | Ahmed Abubakar | 20 | M | Social worker | Afar | Asayita | 0978616842 |
| 7. | Eris Kadir Hussein | 24 | M | Bahica | Afar | - Bafion | 0920205131 |
| 8. | Adnan Hussein | 39 | M | WOWCA (Gender Officer) | Afar | Millie | 0913127587 |
| 9. | Stimels Belan | 35 | M | WOWCA | Amhara | Waldsa | 0982017073 |
| 10. | Astrie Temelosh | 26 | M | Child Rights Officer | Amhara | humeir | 0963477781 |
| 11. | Asake Lemaye | 43 | M | Amhar Women's Group | Amhara | Bahir Dar | 0963773781 |
| 12. | Amira Kedir | 43 | F | WOWCA Bureau | Oromia | Yeyon | 0910367354 |
| 13. | | | | | | | |
| 14. | | | | | | | |

| No. | Name | Age | gender | Region | woreda | Remark |
|-----|-----------------|-----|--------|--------|--------|--------|
| 1. | hif woyane hana | | ♂ | hsc | rogu | |
| 2. | " hana hana | | ♂ | " | " | |
| 3. | " hana hana | | ♂ | " | " | |
| 4. | " woyane hana | | ♂ | " | " | |
| 5. | " hana woyane | | ♂ | " | " | |
| 6. | " woyane woyane | | ♂ | " | " | |
| 7. | ole p hana | | ♂ | " | " | |
| 8. | " hana hana | | ♂ | " | " | |
| 9. | hif woyane hana | | ♂ | " | " | |
| 10. | " hana hana | | ♂ | " | " | |
| 11. | " woyane hana | | ♂ | " | " | |
| 12. | " hana woyane | | ♂ | " | " | |
| 13. | " woyane hana | | ♂ | " | " | |
| 14. | " hana hana | | ♂ | " | " | |
| 15. | " hana woyane | | ♂ | " | " | |
| 16. | " woyane hana | | ♂ | " | " | |
| 17. | " hana hana | | ♂ | " | " | |
| 18. | " woyane hana | | ♂ | " | " | |
| 19. | ole hana hana | | ♂ | " | " | |

LDPS

List of Participants consulted for SA, ESMF and RF from host community/IDPS

Debrehan / North Shoa

| No. | Name | Age | gender | Region | woreda | Remark |
|-----|-----------------------|-----|--------|---------|---------------|--------|
| 1. | Belaynesh morke | 60 | F | Wollega | Sibat | |
| 2. | Genet seifu | 50 | F | Wollega | Dano | |
| 3. | Birhanu mekonin | 27 | F | Wollega | Dano | |
| 4. | Mohammed Ahmed | 20 | M | Wollega | Guba Seye | |
| 5. | Seid Hussein/Mohammed | 57 | M | " | " | |
| 6. | Habtamu mekonin | 45 | M | Wollega | Seye | |
| 7. | Gohmedin Melaku | 65 | M | " | Dano/Kolicha | |
| 8. | Asitaw H/mariam | 55 | M | " | Dano/Harajoka | |
| 9. | Getanah Wondiraw | 55 | M | " | " | |
| 10. | Kassaye Ababa | 35 | M | " | " | |
| 11. | Botiya Deme | 45 | M | " | " | |
| 12. | Mussa Mohammed | 62 | M | Wollega | Guba Tesner | |
| 13. | Dennene Bayane | 30 | M | " | Salchigelti | |
| 14. | Tekeme Ashine | 28 | M | Wollega | Dano | |

Host Community

List of Participants consulted for SA, ESMF and RF from host community/IDPS

Debreberhan / North Shoa

| No. | Name | Age | gender | Region | woreda / Kebele | Remark |
|-----|--------------------|-----|--------|--------|-----------------|--------|
| 1. | Finadel Getinet | 20 | an | Amhara | 09 | |
| 2. | Sisay Tesfaye | 36 | M | " " | 09 | |
| 3. | Solomon Deme | 45 | M | " " | 09 | |
| 4. | Asinachew W/abadi | 65 | F | " " | 09 | |
| 5. | Atilew Misgana | 45 | M | " " | 09 | |
| 6. | Derjel Rugassa | 34 | M | " " | 09 | |
| 7. | Asegedech Getachew | 42 | F | " " | 09 | |
| 8. | Kidist Deme | 17 | F | " " | 09 | |
| 9. | Asinachew Tsegaye | 30 | F | " " | 09 | |
| 10. | Abbech Tsegaye | 34 | F | " " | 09 | |
| 11. | Total 1107 (2018) | | | | | |

List of Participants consulted for SA, ESMF and RF from host community/IDPS

| No. | Name | Age | gender | Region | woreda | Remark |
|-----|-------------------|-----|--------|--------|----------|--------|
| 1. | Abel. Zep | 64 | an | | Prinatan | |
| 2. | Get. Zewude | 52 | an | | " " | |
| 3. | Get. Zewude | 44 | an | | " " | |
| 4. | Get. Zewude | 26 | an | | " " | |
| 5. | Get. Zewude | 22 | an | | " " | |
| 6. | Get. Zewude | 36 | an | | " " | |
| 7. | Get. Zewude | 29 | an | | " " | |
| 8. | Get. Zewude | 34 | an | | " " | |
| 9. | Get. Zewude | 23 | an | | " " | |
| 10. | Get. Zewude | 29 | an | | " " | |
| 11. | Get. Zewude | 19 | an | | " " | |
| 12. | Total 1107 (2018) | | | | | |

List of Participants consulted for SA, ESMF and RF from host community/IDPS

| No. | Name | Age | gender | Region | woreda | Remark |
|-----|---------------|-----|--------|--------|--------|--------|
| 1. | Abebe Zewude | } | | Amhara | | } |
| 2. | Alem Melesse | | | | | |
| 3. | Moges Derbie | | | | | |
| 4. | Genet Degu | | | | | |
| 5. | Mulatu Chanie | | | | | |
| 6. | Amare Belach | | | | | |
| 7. | | | | | | |

Millenium School IDP Center

List of Participants consulted for SA, ESMF and RF from host community/IDPS

| No. | Name | Age | gender | Region | woreda | Remark |
|-----|-------------|-----|--------|--------|--------|-----------|
| 1. | Get. Zewude | 42 | an | Amhara | 09 | Amhara 03 |
| 2. | Get. Zewude | 60 | an | " " | " " | " " |
| 3. | Get. Zewude | 32 | an | " " | " " | " " |
| 4. | Get. Zewude | 64 | an | " " | " " | " " |
| 5. | Get. Zewude | 48 | an | " " | " " | " " |
| 6. | Get. Zewude | 36 | an | " " | " " | " " |
| 7. | Get. Zewude | 30 | an | " " | " " | " " |
| 8. | Get. Zewude | 22 | an | " " | " " | " " |
| 9. | Get. Zewude | 60 | an | " " | " " | " " |
| 10. | Get. Zewude | 42 | an | " " | " " | " " |
| 11. | Get. Zewude | 44 | an | " " | " " | " " |
| 12. | Get. Zewude | 28 | an | " " | " " | " " |
| 13. | Get. Zewude | 28 | an | " " | " " | " " |

Annex IV: Sample Pictures of Destruction of Infrastructures from the Field



Debre Zebit Primary School



Stayish Secondary School



Afar Region, Chifra Woreda, Education office



Afar Region, CHifra Woreda, Host Community Consultation participants



Amhara Region, North Showa Zone, Debrebireha City, China Camp IDP Center



Amhara Region, North Wollo Zone, Kobo town, Conflict Affected Woreda Office

Annex V: Sample Grievance Redress Mechanism Reporting Format

| | |
|---|--|
| Grievance/Complaint form | |
| Compliant Number | Copies to forwarded to: |
| Name of the Recorder and its Responsibilities | (Original) Responsible Party/Agency to implement the SA* |
| Region | (Copy) Complainant |
| Woreda | (Copy) CRC at Kebele and Woreda level |
| Kebele | |
| Date | |
| Information about the Complainant | |
| Full Name including Surname | |
| Address | |
| Telephone number | |
| Region | |
| Woreda | |
| Kebele | |
| Site | |
| Date | |
| Signature of the Complainant | |
| Grievance Procedure | |
| Description of the compliance/grievance | |
| Does the grievance procedure advertised? public awareness of the process | |
| Which project level person (s) was designated to follow up on the resolution of the grievance? | |
| Consultative grievance group/committee including community/municipality members, two representatives from PAPs, local authorities to review the negotiation process | |
| Court/payment for court process | |

*The responsible party is MOF-Project Coordination Unit implementing agency that is proposing 3R-4CACE subproject for financing, and the subproject is to cause displacement.

NB: The resolution of the Grievance will be addressed using the Grievance Redress Mechanism as indicated in the SA text.

Annex VI: Checklists

Name of Key Informants: _____

Region: _____

Zone: _____

Woreda: _____

Kebele: _____

Name of IDP Centere: _____

A. Key Informant Interview Guides for IDPs and Host communities

1. What are the attitudes of other communities towards IDPs?
 - Are IDPs perceived as placing a strain on natural resources (e.g. water, food, forest, and land use) and services?
 - Are they perceived as receiving preferential treatment?
 - Do employers, landholders, and other private persons discriminate against IDPs who seek employment, or wish to rent housing?
2. What measures are taken by the authorities and other actors to mitigate negative attitudes?
 - Are there communal activities shared by IDPs and affected populations (e.g. sports and religious activities)?
 - If so, does this joint participation facilitate peaceful coexistence?
3. Conflict related issues in relation to IDP and Host communities
 - Are there conflicts between IDPs and Host communities? If so, why?
 - Do IDPs have the opportunities of getting similar services (hospitals, schools or other public services) with host communities?
 - Are there incidents of ill-treatment, abductions, life threats or executions?
 - Are rape and other forms of SEA/SH part of the strategy of any party to the conflict? If so, who is targeted?
 - Do IDPs experience other effects of hostilities?
 - What protective mechanisms have been put in place to reduce risks on IDPs, and by whom?
 - Are there armed elements inside or in the vicinity of IDP camps, settlements or communal centres?
 - What risks do armed elements pose for IDPs, including those dispersed?
 - Do they abuse or threaten IDPs, particularly women and girls?
 - Do they prevent IDPs from moving, or force them to move to a given area?
 - Do they coerce IDPs in any way to collaborate in fighting?
 - Is IDP property at risk of pillage?
 - Is assistance to IDPs diverted to those participating in armed conflict? If so, how and to what degree?
 - How does the presence of armed elements and/or diversion of assistance impact on IDPs?
 - What action is taken by the authorities, and what other measures are in place to address threats by armed elements and to prevent the diversion of assistance?
 - What additional protective mechanisms have been taken by IDPs and host communities themselves?
 - What further support would IDPs need?

4. Gender-based violence (SEA/SH) related issues

Are displaced women, girls, men and boys subject to SEA/SH? If so,

- Which types of SEA/SH and who are the alleged perpetrators?

- Where do most SEA/SH incidents take place, and who is most targeted?
- Do IDPs face more or different risks than the host communities?
- What are the possible SEA/SH risks related to the 3R-4CACE?

5. Land related issues

- Do you have conflict of interest due to IDPs temporary/permanent settlement? If so, what are these?
- Do the IDPs violate sacred areas of the host communities?
- Do the IDPs settlement create access restriction to the services (school, health facilities, WASH) of the host communities?
- Do the IDPs compete for scarce resources? If yes, what are these?
- Do the IDPs create environmental Impacts? If so, what are these?
- What are the social risks linked to land and property disputes as land ownership is often a source of conflict in this setting as well as livelihood models of project beneficiaries are to an extent land based?
- What about the context of land tenure status, informal users of land and their resource dependency, communities that have been forcibly displaced, among other factors?

B. Interview Guides for Implementing Agencies (MoWSA, MOE, MOH, MOA, MOJ, etc.)

1. What is your views towards 3R-4-CACE
2. What are your roles and responsibilities in addressing SEA/SH related activities?
3. What is your role in preventing SEA/SH among IDP communities?
4. Do you have capacity limitations in addressing SEA/SH among the IDPs and host communities? If so what kinds of capacity gaps do you have? What do you suggest to overcome your limitations? Do you have trained staff on SEA/SH?
5. How do you coordinate with other responsible stakeholders in combating SEA/SH related problems among the IDPs and host communities? Are there effective reporting mechanisms related to SEA/SH?
6. What criteria would be adopted to mitigate the risk of exclusion of the most Vulnerable and Underserved Groups form benefit packages? (Probe: the beneficiary selection criteria and targeting methodology, verification processes, needs to be defined in consultation with the community through a transparent participatory process and with consideration for different relevant dimensions of vulnerability at local levels.)
7. What are the challenges in ensuring social cohesion particularly with respect to IDPs (assess the interaction of diverse groups within various contexts of social and power relationships, and the understanding and consensus for the proposed Community driven development interventions?)
8. How do you explain the participation of women in the prioritization, planning and implementation of local development activities?
9. Assess the regional and historical inequalities, power sharing and contestation among political parties and elites, old and new, lack of social cohesion, and exclusion which has also been specifically identified as a key social risk

C. Interview Guides for IDPs and Host Communities' Consultations

1. What is the attitude of the authorities and the communities towards SEA/SH?
 - Can survivors and their families seek fair and effective remedy? If not, why not?
 - What Government reporting mechanisms exist for SEA/SH cases affecting IDPs, and who administers them?

- What obstacles do survivors and their families face when seeking support services and/or justice?
 - How can international support, local participation and empowerment help to overcome these obstacles, and what resources are required?
 - Do they include confidential and child-friendly complaints mechanism to address alleged abuse by humanitarian workers and members of international forces?
2. What supports are available for SEA/SH survivors?
 - Are support services friendly to the survivors? (Are these services well known to the community and service providers?)
 - Do IDPs have access to the same services as the host communities? If there are special IDP services, what is the rationale?
 - What further support do local authorities or IDPs need?
 - What longer-term solutions are available to SEA/SH survivors?
 - What role can IDPs themselves play in addressing SEA/SH?
 - How can local government and civil society be supported to provide effective services?
 - What are the gaps of existing services related SEA/SH?
 - What should be done to provide better services for SEA/SH survivors?
 3. Land related issues
 - Do you have conflict of interest due to IDPs temporary/permanent settlement? If so, what are these?
 - Do the IDPs violate sacred areas of the host communities?
 - Do the IDPs settlement create access restriction to the services (school, health facilities, WASH) of the host communities?
 - Do the IDPs compete for scarce resources? If yes, what are these?
 - Do the IDPs create environmental Impacts? If so, what are these?
 - What are the social risks linked to land and property disputes as land ownership is often a source of conflict in this setting as well as livelihood models of project beneficiaries are to an extent land based?
 - What about the context of land tenure status, informal users of land and their resource dependency, communities that have been forcibly displaced, among other factors?
 4. What is your views and expectations from the current project?
 5. What criteria would be adopted to mitigate the risk of exclusion of the most Vulnerable and Underserved Groups form benefit packages? (Probe: the beneficiary selection criteria and targeting methodology, verification processes, needs to be defined in consultation with the community through a transparent participatory process and with consideration for different relevant dimensions of vulnerability at local levels.)
 6. What are the challenges in ensuring social cohesion particularly with respect to IDPs (assess the interaction of diverse groups within various contexts of social and power relationships, and the understanding and consensus for the proposed Community driven development interventions?)
 7. How do you explain the participation of women in the prioritization, planning and implementation of local development activities?
 8. Assess the regional and historical inequalities, power sharing and contestation among political parties and elites, old and new, lack of social cohesion, and exclusion which has also been specifically identified as a key social risk
 9. Anything you want to add

