

Technical Annex

Social, Environmental and Climate Assessment Procedures

1. Preamble

The project has been classified as Category A under IFAD's SECAP, because during project identification and preparation it was envisaged that there would be potential issues involving the construction of dams with dam walls greater than 15m or storage capacities exceeding 3 million m³, resettlement and economic displacement or loss of environmental/ecological services in some of its irrigation sub-projects. However, as a result of consultations with the PCMU, it was decided that the implementation of Category A projects would involve technical, economic, environmental and social complexities that would require additional time, financial resources and technical input, and therefore PASIDP II would focus only on Category B and lower category projects.

Overall, PASIDP II has made significant progress in embracing SECAP requirements. However, difficulties in hiring qualified Environmental and Social Safeguards Specialists have set progress back somewhat in that this element of the Programme is lacking technical guidance at the Federal level. Despite this, the Regional Safeguards Specialists are to be commended for taking the initiative to train woreda and kebele teams in safeguards requirements, and reviewing ESIA reports/ESMPs.

2. Implementation of SECAP

The ESMF has proposed various trainings in order to ensure that SECAP requirements are incorporated during scheme identification, selection, design and implementation. These training requirements have also been described in detail in the PIM.

Training in the implementation of safeguards requirements at Federal and Regional level has not yet been undertaken as the Federal level Environmental Safeguards Specialist and Social Safeguards Specialists have not yet been recruited. It is expected that these specialists will be in place by end July 2017, and once they are in place, IFAD will make arrangements to carry out training.

During this mission, it was noted that training is particularly required in the following areas:

Topic	Sub Topics	Target Audience
Screening	Tier 1 – Eligibility Screening (TOT)	FPCMU Safeguards Specialists RPCMU Safeguards Specialists Rolled out to: Kebele Technical Team

		Kebele DA
	Tier 2 – Environmental and Social Concerns screening Risk categorization (TOT)	FPCMU Safeguards Specialists RPCMU Safeguards Specialists Rolled out to: Woreda FP Woreda Environmental Team WLTT
Scheme characteristics	Key aspects of scheme location, components and characteristics, associated infrastructure, etc which enable understanding of types of potential impacts	FPCMU Safeguards Specialists RPCMU Safeguards Specialists Consulting engineers/ESIA Consultant
National and international legislation, regulations and safeguard policies,	Relevance to project activities	FPCMU Safeguards Specialists RPCMU Safeguards Specialists Consulting engineers/ESIA Consultant
Stakeholder engagement	Consultation, engagement, communication and feedback Reporting on stakeholder consultations	FPCMU Safeguards Specialists RPCMU Safeguards Specialists Consulting engineers/ESIA Consultant
FPIC and disclosure process.	Documentation of consultation /engagement and disclosure processes	FPCMU Safeguards Specialists RPCMU Safeguards Specialists Consulting engineers/ESIA Consultant
Environmental and social baselines	Critical data requirements (eg. hydrology, water resources, environmental flow, affected households	FPCMU Safeguards Specialists RPCMU Safeguards Specialists Consulting engineers/ESIA Consultant
Impact analysis	Impact identification: cause, pathway, receptor approach for typical major impacts Assessing significance of impacts Linking screening issues to impact identification	FPCMU Safeguards Specialists RPCMU Safeguards Specialists Consulting engineers/ESIA Consultant
Physical/economic displacement	Quantification of affected households, assets and property. Compensation requirements	FPCMU Safeguards Specialists RPCMU Safeguards Specialists Consulting engineers/ESIA Consultant
Cumulative and synergistic impacts	Developments in project area of influence that could have adverse or beneficial consequences for the project	FPCMU Safeguards Specialists RPCMU Safeguards Specialists Consulting engineers/ESIA Consultant
Impact mitigation	Mitigation hierarchy Typical mitigation measures for major impacts	FPCMU Safeguards Specialists RPCMU Safeguards Specialists Consulting engineers/ESIA Consultant Contractors
ESMP	Preparation and implementation	FPCMU Safeguards Specialists RPCMU Safeguards Specialists Consulting engineers/ESIA Consultant Contractors
Monitoring	SMART indicators, monitoring means and reporting	FPCMU Safeguards Specialists RPCMU Safeguards Specialists

		Consulting engineers/ESIA Consultant Contractors
Occupational health and safety	Importance of enforcement during construction and operation	FPCMU Safeguards Specialists RPCMU Safeguards Specialists Consulting engineers/ESIA Consultant Contractors
Grievance mechanisms	Access to mechanism, reporting and resolution, and communication	FPCMU Safeguards Specialists RPCMU Safeguards Specialists Rolled out to: Woreda FP, Worede SC Woreda Environmental Team
Contractual obligations	Contractual clauses, MOUs	FPCMU Safeguards Specialists RPCMU Safeguards Specialists Consulting engineers/ESIA Consultant Contractors
Budget implications	Estimating cost of mitigation Inclusion in AWP	FPCMU Safeguards Specialists RPCMU Safeguards Specialists Consulting engineers/ESIA Consultant Contractors

3. Strengthening Inter-Agency Cooperation at Woreda Level

To strengthen inter-agency cooperation at the woreda level, Paragraph 74 of the PIM will be replaced with the following:

74. The WTC will be responsible for providing technical on-site support in implementation of Programme interventions in target Kebeles to ensure that the Programme is implemented appropriately and in a coherent manner. The WTC will:

- Facilitate their respective Kebeles in identification of priority interventions in accordance with agreed regional priorities and overall Programme approach and strategy for planning and prioritization of interventions;
- Prepare Woreda AWPBs and submit to zonal Technical committee;
- Supervise programme activities and technical backstopping;
- Ensure the key technical personnel – at a minimum the irrigation engineer, irrigation agronomist, environmental protection expert, cooperatives expert – visit the scheme site and farmers every month during construction;
- Ensure that all WTC members visit the scheme site and farmers every 2 months during scheme operation;
- Prepare monthly and quarterly reports, describing technical, marketing, financial, environmental and social challenges and how these have been resolved, as well as any successful interventions;
- Submission of monthly and quarterly reports to zonal coordination office;
- Develop capacity of farmers' organizations at grassroots level, such as IWUAs and cooperative societies, to enhance their technical capacity and management skills;
- Convene annual Woreda implementation Review Meetings (WRM), that will bring together implementing agencies from all Kebeles, value chain partners and

other donor financed projects to reflect on Programme implementation progress, learn and share best practices/innovations, discuss implementation issues and challenges, and build partnerships.

The capacity of Woreda will be strengthened based on capacity needs assessment.

In addition, Paragraph 78 will be replaced with the following text:

78. **Woreda Focal Person (WFP)** – The woreda focal person has the overall responsibility for coordinating woreda project activities and will ensure that the proposed project is executed in accordance with the plan. The woreda focal person through the woreda agriculture and natural resource office will be responsible for overall project coordination, supervision, backstopping and advising all actors and stakeholders at woreda level. The Woreda Agriculture and natural resource office will assign the relevant focal person. The WFP will:-

- Identify trainings needs and arrange training program to Woreda experts and stakeholders, kebele and DAs who are associated with the project implementation;
- Report to the Regional Programme coordination and management unit and prepare annual work plan and budget and follow its implementation;
- Identify schemes in consultation with communities, kebele administration and DAs, and facilitate with concerned partners to conduct survey, preliminary and feasibility studies;
- Assist the Woreda Environmental Expert to carry out Tier 2 Screening for Environmental and Social Concerns as required by the ESMF;
- Prepare agricultural development plan for each PASIDP II schemes with detailed cost estimates and facilitate their implementation;
- Establish linkage with respective agricultural research institute and facilitate setting up of the FRGs for each PASIDP scheme;
- Provide and supply materials and inputs for conducting action-oriented agricultural activities in all scheme areas and evaluate their impacts;
- Facilitate community mobilisation and organise irrigation water user associations for each scheme and facilitate training;
- Facilitate IWUA scheme agreement and securing them water use certificates;
- Facilitate the project beneficiaries get first/second level land use certificates in collaboration with land administration and environmental protection office;
- Facilitate the study and design as well as scheme construction and access roads of irrigation schemes and ensure IWUAs active participation and organise members for effective O&M;
- Facilitate monthly and bi-monthly monitoring of schemes during construction and operation respectively, ensuring that relevant WTC members are able to execute their monitoring responsibilities;
- Responsible to provide relevant data and information from grass root level, and prepare regular and periodic progress reports to RPCMU;
- And any other tasks as may be required by the Regional Programme Coordinator.

4. Farmers Participation in Scheme Development

A key finding of the mission was that the participatory aspects of PASIDP have not been adequately pursued in PASIDP II processes. The following text should replace Paragraph 115 of the PIM.

115. Consultation with IWUA and Farmers: In order to ensure that participatory aspects of PASIDP II are fully embedded into programme activities, farmers need to be involved at all stages of scheme development/watershed conservation. This will lend to farmers “owning” the scheme. When indicative plans and scheme estimates are ready, these would be further discussed with the IWUA and the kebele administrations in order to obtain their views and opinion on the proposed arrangement for the implementation of the scheme. Any modifications needed and the suggestions made by the IWUA would be incorporated in the plan and estimates. At this point of time, the IWUA would also be intimated about their participation and mode and type of participation and their arrangements for collaboration. The table below provides a guideline indicating areas where and how farmers should be involved during the PASIDP II processes.

Scheme Development Phase	Key Inclusion Areas	Examples of type of information to be obtained from or imparted to farmers
Scheme initiation, formulation, identification	Establishing farmers expectations	<ul style="list-style-type: none"> • What crops do they want to grow? • How much are they expecting to produce? • Do they want to grow these crops for their own consumption or for sale? • What are they able to do for the project? • What do they expect the project to do for them?
	Scheme site selection	<ul style="list-style-type: none"> • Why this site?
	Watershed site selection	<ul style="list-style-type: none"> • Why this site
Reconnaissance study	Technical screening	<ul style="list-style-type: none"> • How much irrigation experience do farmers have – traditional/improved? • Do they know the costs of inputs? • Where will they get inputs from? • Where will they sell their produce (markets)? • Have they thought about how they will sell their crops? • Do they know the cost of transport to markets?
	Environmental and Social Screening	<ul style="list-style-type: none"> • What are the main environmental and social issues experienced by the farmers eg. erratic rainfall, excessive flooding, erosion, poor access to social amenities ? • What types of [government] projects are being undertaken in or near the project area • How many droughts have they experienced in the past 20 years? • How many floods have they experienced in the past 20 years?
Feasibility	Identification of markets, development of marketing strategy	<ul style="list-style-type: none"> • Farmers understanding of these aspects
	Identification of input sources and establishing costs of inputs	
	Development of financial/business model	
	Identification of major environmental and social adverse and beneficial impacts as input to ESIA study	<ul style="list-style-type: none"> • Famers’ perceptions of positive and negative environmental and social impacts due to the scheme activities and associated activities (eg. sourcing materials, access road improvement, etc)
	Development of scheme components	<ul style="list-style-type: none"> • Farmers understanding of all scheme components • Farmers preferences on scheme and associated infrastructure siting and layout
	Preliminary identification of scheme affected households	<ul style="list-style-type: none"> • How many farmers will participate – disaggregated by sex
	Establishing extent of watershed	<ul style="list-style-type: none"> • How many micro-catchments can be

	rehabilitation activities	practically covered
Design	Recommendations for design (eg. Location of intake, headworks, canal route, etc)	<ul style="list-style-type: none"> Farmers review of final design, and subsequent approval.
	Confirming scheme affected households	<ul style="list-style-type: none"> Final numbers of farmers participating in the scheme
	Ensuring environmental and social impacts are addressed through appropriate and acceptable/agreed mitigation measures	<ul style="list-style-type: none"> Farmers review recommendations for, and agree to, environmental and social mitigation measures
Construction	Materials sourcing	<ul style="list-style-type: none"> Assistance in locating local materials sites and sources
	Labour for scheme construction and watershed conservation activities	<ul style="list-style-type: none"> Provision of labour Mobilising local community members to assist construction activities
	Monitoring	<ul style="list-style-type: none"> Ensuring contractors adhere to agreed scheme design Reporting environmental/social impacts
Implementation	Crop production	<ul style="list-style-type: none"> Farming
	Monitoring	<ul style="list-style-type: none"> Water availability/river flow Crop production/yields Input usage (volumes of inputs used) Reporting environmental and social impacts

Enhancing Community Participation in PASIDP II

It was also noted that communities also felt that they had been excluded from potential development benefits expected from the project. The following text should be inserted below Paragraph 115:

116. Consultations with Communities: It is also important that communities to which the farmers belong are involved in scheme development in order that the communities develop positive attitudes towards the schemes. Below are suggestions for topics for consultation with the communities during the various phases of scheme development.

Scheme Development Phase	Topics for Consultation with Project Communities
Scheme initiation, formulation, identification	Establish community expectations
	Views on scheme site selection
	Views on watershed site selection
Reconnaissance study	Technical concerns – as input to technical screening process
	Environmental and social areas of concern - as input to screening process
Feasibility	Perceptions of major environmental and social adverse and beneficial impacts as input to ESIA study
	Description of all scheme components
	Preliminary identification of scheme affected households who are not included in scheme (with assistance from Kebele DA)
	Description of watershed rehabilitation activities, agreement on extent of watershed rehabilitation/conservation activities to be undertaken
Design	Description of scheme design (eg. Location of intake, headworks, canal route, etc)
	Confirming scheme affected households not included in the scheme (with assistance from Kebele DA)
	Where relevant to communities, participation in monitoring environmental and social impacts to ensure they are addressed through appropriate and acceptable/agreed mitigation measures
Implementation/ Construction	Materials availability and sourcing
	Provision of labour for scheme construction and watershed conservation activities

	Other services that can be provided by the community
	Monitoring environmental/social impacts and reporting adverse impacts to kebele
Handover/ Provisional / Final	Spin off opportunities