

Annex I: Indigenous Peoples Planning Framework



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Vulnerable Peoples Planning Framework (VPPF)

Ethiopia National child project under the GEF Africa Minigrids Program
(UNDP-supported, GEF-financed during the PPG phase)

GEF Project ID:	10478		
Country/Region:	Ethiopia		
Project Title:	National child project under the GEF Africa Minigrids Program		
Project Duration:	48 months		
GEF Agency:	UNDP	UNDP PIMS ID:	6338
Project Executing Entity:	Ministry of Water, Irrigation and Electricity (MoWIE)		
Type of Trust Fund:	GEF Trust Fund	GEF 7 Focal Area (s):	Climate Change
GEF-7 Component (s):	CCM-1-1 Promote innovation and technology transfer for sustainable energy breakthroughs for decentralized power with energy usage		
Project Grant:	USD 2,890,826	UNDP TRAC resources	USD 300,000
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CEO Endorsement/Approval	Pending	Expected Project Start Date:	1 November 2021

Executive Summary

Ethiopia has a population exceeding 122 million people and presents one of Africa's most diverse multicultural landscape of more than 80 ethnic groups. Within the country's population are a number of groups who would be considered indigenous peoples under the UNDP's Social and Environmental Safeguards (SES) Standard 6 criteria.¹ These populations may be referred to as pastoralist groups and/or minorities; the government does not apply the term indigenous peoples within the country, and hence the term "vulnerable peoples" is used interchangeably in this document.

UNDP SES Standard 6 requires that, in cases where vulnerable peoples/indigenous peoples are found within project sites, an Indigenous Peoples Plan (IPP) must be developed with the purpose of promoting participation of those groups in the project, mitigating risks from the project and ensuring equal and relevant benefits from the project alongside other participants.

This Vulnerable Peoples Planning Framework (VPPF) is a precursor to that plan, and sets out the frameworks, issues and requirements for Indigenous Peoples Plan (IPP) development, which will take place before any activities commence that include indigenous peoples, and within 6 months of minigrid site identification. IPP preparation is linked to other processes, such the Environmental and Social Impact Assessment (ESIA), and drafting of the Environmental and Social Management Plan (ESMP) and any other management plans.

The VPPF has been prepared by UNDP for the UNDP-supported, GEF-financed project: *"National Child Project under the GEF Africa Minigrids Program – Ethiopia"*, which will showcase derisking instruments and cost reduction levers by linking minigrid development to productive energy uses. The project will support associated policy and regulation, business model innovation for minigrids in partnership with the private sector, scale-up investment in minigrids and improve knowledge management.

This VPPF highlights potential risks, identified in the Social and Environmental Screening Procedure (SESP) and Environmental and Social Management Framework (ESMF), that are of particular relevance to vulnerable peoples/indigenous peoples. It also makes recommendations for further assessments and management measures, and for free, prior and informed consent (FPIC) consultation procedures, monitoring, and options for grievance redress.

Some activities in this project do not involve implementation that would directly affect vulnerable peoples/indigenous peoples, but that may occur in Component 2, where pilot minigrid sites may be supported with the presence of vulnerable peoples/indigenous peoples, and Component 4, where data collection and monitoring should include indigenous peoples if they are affected by the project. However, indirect effects of the project on vulnerable peoples/indigenous peoples from Component 1's policy and regulation development, and Component 3's scaled-up financing may occur, and will have to be analysed in the ESIA and IPP.

¹

https://info.undp.org/sites/bpps/SES_Toolkit/SES%20Document%20Library/Uploaded%20October%202016/Final%20UNDP%20SES%20Indigenous%20Peoples%20GN_Jan2017.pdf

Contents

Executive Summary.....	i
Abbreviations and Acronyms.....	iii
1. Project Description.....	4
2. Description of Vulnerable Peoples, Pastoralist Groups and Minorities.....	6
2.2 SES 6 Groups Present in the Project Areas and VPPF Application	13
3 Summary of Substantive Rights and Legal Framework	16
3.1 Domestic Law and the rights of indigenous peoples in Ethiopia	16
3.2 International Law and the rights of indigenous peoples in Ethiopia	17
3.3 Project relevance to the legal recognition of rights to lands, resources, or territories	17
3.4 Project relevance to the recognition of the juridical personality of Indigenous Peoples	18
4. Potential Impacts on Vulnerable Peoples	20
4.1 Potential Positive Impacts.....	20
4.2 Potential Negative Impacts	20
5 Procedures for carrying out the screening, assessment and development of the IPP	23
5.1 Screening.....	23
5.2 Consultation with vulnerable peoples	24
5.3 Mitigation and Management Measures	25
6 Participation, Consultations and FPIC Processes	25
7. Appropriate Benefits.....	27
8. Capacity Support.....	27
9. Grievance Redress.....	28
10. Institutional arrangements.....	29
11. Monitoring and reporting.....	29
12. Budget and Financing	30
13. Annex I: Indicative Outline of an Indigenous People’s Plan	32
14. Annex 2: Example of an initial screening questionnaire for identification of populations meeting SES 6 criteria	34

Abbreviations and Acronyms

AMP	Africa Minigrids Program
CO	Country Office
EIA	Environmental Impact Assessment
ESIA	Environmental and Social Impact Assessment
ESMF	Environmental and Social Management Framework
ESMP	Environmental and Social Management Plan
FPIC	Free, Prior and Informed Consent
GEF	Global Environment Facility
GHG	Green House Gases
GoE	Government of Ethiopia
GRM	Grievance Redress Mechanism
IPP	Indigenous Peoples Plan
IPPF	Indigenous Peoples Planning Framework
M & E	Monitoring and Evaluation
MoWIE	Ministry of Water, Irrigation and Electricity (MoWIE)
MTR	Mid-Term Review
NEP	National Electrification Program of Ethiopia
NGO	Non-Governmental Organisation
PIF	Project Identification Form
PIR	GEF Project Implementation Report
PMU	Project Management Unit
PPG	Project Preparation Grant phase
PV	Photovoltaic
REF	Rural Electrification Fund
SECU	Social and Environmental Compliance Review Unit (UNDP)
SEP	Stakeholder Engagement Plan
SES	Social and Environmental Standards
SESP	Social and Environmental Screening Procedures
SNNPR	Southern Nations, Nationalities, and Peoples' Region
SRM	Stakeholder Response Mechanism (UNDP)
TE	Terminal Evaluation
UNDP	United Nations Development Programme
VPPF	Vulnerable Peoples Planning Framework

1. Project Description

This Vulnerable Peoples Planning Framework (VPPF) has been prepared for a child project under the GEF-7 Africa Minigrids Program (AMP). There are eleven child projects under the AMP (Angola, Burkina Faso, Comoros, Djibouti, Ethiopia, Eswatini, Madagascar, Malawi, Nigeria, Somalia and Sudan). The social and environmental objectives of the AMP are:

- Promote energy access through renewable technology systems;
- Strengthen the enabling conditions, including legal frameworks, institutional arrangements, and institutional and individual capacities, required for transition to mini-grid systems based on clean energies;
- Promote sustainable livelihoods and management practices in relation to people and the environment;
- Increase climate resilience and adaptive capacity of communities; and
- Strengthen knowledge, information management, and monitoring systems on people and the environment, and the value of the AMP in the country.

Ethiopia faces significant challenges in providing reliable energy access. More than 50 percent of Ethiopians lack access to electricity. The situation is starker in rural areas, where about 70 percent of Ethiopians lack access to electricity. For the population with access to electricity, power quality is poor—only 4.5 percent of households receive Tier 5 level of service—11.3 percent of urban households and 2.2 percent of rural households.

The Government of Ethiopia ('the Government') has recognized the potential value of minigrids and, with support from development partners, has defined an important role for minigrids in Ethiopia's energy access vision. The Implementation Roadmap and Financing Prospectus of the National Electrification Program (2017) ('the Roadmap') establishes an action plan and the institutional capacity and financial requirements needed to achieve universal access by 2025. The Roadmap defines the scope and outlines activities for off-grid development and grid extension.

Against this background, the National Child Project under the Africa Minigrids Program (AMP) in Ethiopia will promote solar minigrids by scaling-up private investments. The proposed project will showcase derisking instruments and cost reduction levers by linking minigrid development to productive energy uses. The project will directly support the GoE's strategies for poverty reduction through socioeconomic development in rural areas, and its climate change mitigation objectives as indicated in the Nationally Determined Contribution (NDC) of the country.

The project will be implemented through four components:

- **Component 1: Policy and regulations** is focused on (i) critical analysis, policy development, and capacity enhancement to address gaps needed for cost-effective deployment of cooperative minigrids, (ii) institutional, financial, and contractual arrangements for grid arrival, (iii) investment de-risking analysis for minigrids, (iv) development of a strategy for minigrid decommissioning and associated waste management, and (v) capacity building for the staff of the Ministry of Water, Irrigation, and Energy (MoWIE) and its sectoral institutions via the new MoWIE Innovation Center.
 - *Output 1.1. Support for national dialogue, associated capacity enhancement and arrangements for implementation of cooperative minigrid delivery model(s)*
 - *Output 1.2. Establishment of technical and contract provisions, and consultation with developers and financiers on grid arrival arrangements.*
 - *Output 1.3. Execution of the De-risking Renewable Energy Investment (DREI) analysis for solar PV minigrids*
 - *Output 1.4. Development of decommissioning strategy and guidelines on waste management for minigrid components.*
 - *Output 1.5. Capacity-building for MoWIE and its sectoral institutions via the MoWIE Innovation Center*
- **Component 2: Business Model Innovation with Private Sector Engagement** will enhance the technical capabilities and the cooperative-led delivery models of minigrid developers. This component builds upon MoWIE's ongoing efforts to pilot and test the viability of these alternative business models in coordination with productive use, with the ultimate goal of reducing costs, securing sustainable

revenues, and documenting the business case for these models in order to attract market entrants and investors.

- *Output 2.1. Implementation of pilot minigrids under cooperative delivery models.*
- *Output 2.2. Technical assistance for productive use in association with AMP-supported minigrids.*
- *Output 2.3. Training, higher education programs, and internships established for minigrid design, installation, operations, maintenance, and business models.*
- **Component 3: Scaled-up financing.** Minigrid financing in Ethiopia is almost exclusively reliant on donor support, with minimal commercial financing mobilized to date. The Government intends to launch new mechanisms, such as the Minimum Subsidy Tender and a debt service reserve account, to help attract private sector financing to the minigrid subsector. Component 3 will develop financing instruments to help leverage and de-risk private sector financing for renewable minigrids. Based especially on the DREI analysis (Output 1.3) AMP will assist MoWIE and the Rural Electrification Fund (REF) in designing specific interventions to facilitate financing for private and cooperative minigrid developers as well as for productive use by off-taking entrepreneurs and cooperative members. Component 3 will also deliver technical training for commercial banks and microfinance institutions on minigrids and productive use.
 - *Output 3.1. Design support for financing and risk mitigation instruments, as well as development of operational guidance, provided for minigrid and productive use financing facility.*
 - *Output 3.2. Domestic financial sector capacity-building on business and financing models for minigrids.*
- **Component 4: Digital Knowledge Management and Monitoring and Evaluation.** Digital technologies and solutions are fundamental to scale up deployment of mini-grids. The emergence of minigrids as a viable solution to electrify remote and isolated communities relies strongly on digital technologies to remotely undertake real time monitoring and management of minigrid operations. Such technologies include pre-paid advanced metering infrastructure at the customer-end and the use of digital money to collect customers' payments.

UNDP SES 6 requires that, in cases where indigenous peoples are found within project implementation areas, an Indigenous Peoples Plan (IPP) must be developed with the purpose of achieving the full, effective and meaningful participation of indigenous peoples, in a manner which aligns with their distinct vision and development priorities, and building sustainable partnerships with indigenous peoples as companions in development and conservation efforts. Through implementation of Standard 6, UNDP aims to avoid adverse impacts on indigenous peoples, their rights, lands, territories and resources; mitigate and remedy impacts that cannot be avoided; support countries to implement human rights obligations; and ensure equitable and culturally appropriate benefit sharing with indigenous peoples.

This Vulnerable Peoples Planning Framework (VPPF) is a precursor to that plan, and sets out the frameworks, issues and requirements for IPP development, which will take place before any activities commence that include indigenous peoples, and within 6 months of minigrid site identification. IPP preparation is linked to other processes, such the Environmental and Social Impact Assessment (ESIA), and drafting of the Environmental and Social Management Plan (ESMP) and any other management plans.

The VPPF highlights risks, identified in the Social and Environmental Screening Procedure (SESP) and Environmental and Social Management Framework (ESMF), that are of particular relevance to indigenous peoples. It also makes recommendations regarding free, prior and informed consent (FPIC) consultation procedures, monitoring and options for grievance redress.

2. Description of Vulnerable Peoples, Pastoralist Groups and Minorities

1. Background

In similarity to the other countries in the region, Ethiopia presents a complex arena for the analyses of ethnic groups due to the profusion of overlapping ethnic identities, mixed livelihoods, tribal or clan systems, complex history and conflicts, and the limited availability of significant information and analysis in regard to the international concept of indigenous peoples within the country.

Ethiopia, one of the most ethnically heterogeneous countries in Sub-Saharan Africa, is home to many ethnic groups that may have very little in common both linguistically and socio-culturally. As with many African countries, the Government of Ethiopia does not specifically recognise the concept of indigenous peoples, including their presence within Ethiopia, and defining indigenous peoples in Ethiopia is contentious. In addition, while concepts of self-identification may be met (such as one ethnic group recognising and maintaining its distinct identity, language and culture from other ethnic groups), self-identification to international human rights institutions as indigenous peoples is limited.

While marginalisation and indigenous peoples are not synonymous, there are relations in many African contexts (see the African Commission on Human and Peoples' Rights Working Group on Indigenous Populations/Communities). Marginalisation in Ethiopia generally falls under two broad categories. The first comprises ethnolinguistic groups that inhabit the annexed territories during the formation of the Ethiopian state, with the main ethnic groups including the Afar, Somali, Oromia, Gambela, Benshangul, Gumuz and peoples of the Southern Nations, Nationalities, and Peoples' Region (SNNPR). These ethnic groups belong to what is normally referred to as 'emerging states' in Ethiopia, or 'developing' states, denoting their place in Ethiopia's federal hierarchy. These groups have experienced historical marginalisation in the political, socio-economic and cultural domains. A significant section of each group were or remain pastoralists, and therefore have been affected by state approaches to land privatisation and redistribution that have focused on 'underutilised land'.

A number of these groups have been identified as indigenous peoples by the African Commission on Human and Peoples' Rights Working Group on Indigenous Populations/Communities, and repeated by the African Development Bank.² Those groups are:

- The Somali (Somali Region)
- The Afars (Afar Region)
- The Borana, one of two branches of the Oromo people (Oromiya Region)³
- The Kereyu, an Oromo Borana pastoralist sub-group (Awash Valley, Oromiya Region)
- The Nuer (Gambela Region)

In various academic literature and NGO reports, the following groups are additionally identified as indigenous peoples:^{4 5 6 7}

- The Anuak/Anyaa, Majangir, Komo and Opo (Gambela Region)
- The Mursi (Southern Nations, Nationalities and Peoples' Region)
- The Gabra (Oromiya and Somali Regions)
- The Gumuz, Berta and Shinasha (Benishangul-Gumuz Region)
- The Ari (Southern Nations, Nationalities and Peoples' Region)
- The Irob and Kunama (Tigray Region)

The groups in this section are groups where literature was available for review, with sources including United Nations Agencies, the African Commission of Human and Peoples Rights, the African Development Bank, as well

² African Development Bank Group's Development and Indigenous Peoples in Africa (2016) https://www.afdb.org/fileadmin/uploads/afdb/Documents/Publications/Development_and_Indigenous_Peoples_in_Africa_En_-_v3.pdf

³ It's not clear why the other main branch, Barentu Oromo peoples, were not identified as indigenous peoples by the ACHPR or AfDB

⁴ Lemma, Mulu Bazyene (2020) The Palatability of the Concept Indigenous People in Ethiopian Constitutional System <https://www.iiste.org/Journals/index.php/JLPG/article/view/52166>

⁵ IWGIA <https://www.iwgia.org/en/ethiopia.html>

⁶ Minority Rights Group <https://minorityrights.org/country/ethiopia/>

⁷ Additional information and inputs to this section provided by Samuel Tilahun, Senior Legal Advisor, Intergovernmental Authority on Development (IGAD)

as peer-reviewed academic articles. This is therefore not an exhaustive list of groups who may meet SES 6 Criteria.

For example, other possible additional considerations would include the Suri, the Dizi, Me'en and the Nyangatom. In addition, the SNNPR is the most ethnically diverse region in Ethiopia with approximately 53 ethnic groups. Many of the communities that live in and around the Lower Omo Valley of SNNPR may also be considered as meeting SES 6 criteria, including for example the Aari, Maale, Dassanetch/Geleb, Hamar, Bana, Tsemay, Bodi, Arbore/Hor and Surma.



A map of the regions of Ethiopia

The second category of marginalised ethnolinguistic groups in Ethiopia are occupational outcaste groups that occupy the margins of main ethnic groups throughout the country. Even though there's no exhaustive list of these groups, available literature points to over fifty of such small stigmatised communities that are scattered throughout Ethiopia. While these groups share in the other forms of marginalization with the larger ethnic groups, the socio-cultural exclusion is more pronounced. These occupational groups are at the lowest of the social hierarchy in Ethiopia marginalized by both ethnic minorities and other larger groups. While these groups lack identification as indigenous peoples, especially regarding attachment to land, specific natural resource and language use, other aspects of their situation in Ethiopia is not in general significantly different to some of the groups identified above.

2. The 'Emerging' Regional States

The 'emerging' or 'developing' states in Ethiopia are a group of regional states occupied mostly by pastoralist, trans-human nomadic herders who have 'fallen behind', as it were, with regards to development as compared to other regional states, marred by recurring tribal conflicts. The lack of development and resource conflict has been compounded by decades of marginalisation, with state interventions yielding limited outcomes.⁸ The torrid nature of the land/territory they occupy have also contributed to resource conflict at least in the case of some pastoralist communities such as the Afar and Somalis. The 'developing' terminology was also used in reference to the trans-human nomadic lifestyle resulting in robust government interventions aimed at transforming these

⁸ Hagmann, T., & Mulugeta, A. (2008). Pastoral Conflicts and State-Building in the Ethiopian Lowlands. *Africa Spectrum*, 43(1), 19-37.

communities to a more sedentary mode of life. These states constitute the least developed and most marginalized in Ethiopia.

The most documented form of marginalization in the emerging states is the systematic alienation of land and dispossession of the inhabitants of the aforementioned regional states.^{9 10 11} The main reasons for confiscation of lands was to resettle ethnic majority from famine stricken highlands in search of fertile lands for cultivation and transform the lifestyles of the nomadic pastoralists to a more sedentary one in order to facilitate governance, services and taxation by the state. Fundamental misconceptions about pastoralism as unsustainable and backward, as well as aforementioned views on 'underutilised land', informed policymakers in Ethiopia, which resulted in successive regimes confiscating large swathes of land for use in agricultural and other state projects.¹² The biggest effects of land alienation have been loss of livestock which is the source of livelihood for these communities, and shrinking of grazing lands leading to competition and conflict among the pastoral communities.¹³ Such conflicts have perpetuated the increased security presence in these states reinforcing the stereotypes and exclusion suffered by the pastoralists.

2.1 The Somali People and Region

The Somali Regional State or the Ogaden was incorporated into the Ethiopian empire in early 20th century.¹⁴ Resistance to imposition of governance by the Abyssinian empire followed shortly after by periodic violence between local populations and the army.¹⁵ After the emergence of ethnic-based federalism, a power relation ensued between the central government and the Somali region undermining the region's autonomy¹⁶, including activities by the Ethiopian state to prevent the establishment of independent institutions.¹⁷ However, as the neighbouring Somalia continued to experience disarray, Somali interest groups in Ethiopia merged to form the Ethiopian Somali Democratic League (ESDL), which leaned towards integration with Ethiopia.

However, the activities of the Ogaden National Liberation Front (ONLF), roughly comprised of Somali interest groups opposed to that integration, demanded Somali self-determination and engaged in acts of violent opposition, including killings and armed rebellion, and was labelled as a terrorist groups by the then ruling party EPRDF until 2018. This in turn prompted a protracted suppression campaign by the Ethiopian state.¹⁸ It included, but was not limited to, massacres, forced displacement and confiscation of livestock. Since that time, the ONLF has demobilised as an armed force, and are planning to contest the upcoming elections in the region as a political movement.

The Somali people today, numbering over six million in Ethiopia, dominate the population of Somali Region, and local social, cultural and political structures remain strong, as does the usage of Somali language. Due to its stability, significant investment has been attracted to the region, including interest in its natural resources. Government, private sector and NGO development activities have somewhat diversified opportunities, though pastoralism remains widespread. Alongside the Ethiopian state, which tends to promote sedentary livelihoods, extreme droughts and rangeland degradation have negatively impacted pastoralist livelihoods in the region, and vulnerability in the region remains high.

⁹ Gebresenbet, F. (2016). Land Acquisitions, the Politics of Dispossession, and State-Remaking in Gambela, Western Ethiopia. *Africa Spectrum*, 51(1), 5-28.

¹⁰ Feyissa, D. (2011). The political economy of salt in the Afar Regional State in northeast Ethiopia. *Review of African Political Economy*, 38(127), 7-21.

¹¹ Mohamud H. Khalif, & Doornbos, M. (2002). The Somali Region in Ethiopia: A Neglected Human Rights Tragedy. *Review of African Political Economy*, 29(91), 73-94.

¹² Mosebo, M. (2015). (Rep.). Danish Institute for International Studies

¹³ Elias, E., & Abdi, F. (2010). (Rep.). International Institute for Environment and Development.

¹⁴ Eshete, T. (1994). Towards a History of The Incorporation of The Ogaden: 1887-1935. *Journal of Ethiopian Studies*, 27(2), 69-87.

¹⁵ Abdullahi, A. (2007). The Ogaden National Liberation Front (ONLF): The Dilemma of Its Struggle in Ethiopia. *Review of African Political Economy*, 34(113), 556-562.

¹⁶ Hagmann, T. (2005). Beyond Clannishness and Colonialism: Understanding Political Disorder in Ethiopia's Somali Region, 1991-2004. *The Journal of Modern African Studies*, 43(4), 509-536.

¹⁷ Ibid

¹⁸ Mohamud H. Khalif, & Doornbos, M. (2002). The Somali Region in Ethiopia: A Neglected Human Rights Tragedy. *Review of African Political Economy*, 29(91), 73-94.

2.2 The Afar People and Region

The Afar formally became part of the Ethiopian empire in late 19th Century losing its place as an independent polity with own administrative structures¹⁹, with the land and people apportioned between the emerging states of the Horn. Hence today the Afar people live under three flags: Ethiopian, Eritrean and Djiboutian. The Afar people fought a long and bloody conflict with successive Ethiopian regimes since the turn of the 20th century with the aim of uniting Afar lands to regain an independent republic based on ancient, precolonial Afar Sultanates, amplified by the border war with Eritrea where each state supported Afar rebel movements in the other.²⁰ Even though that wasn't achieved, the fall of the Dergue, the Provisional Military Government of Ethiopia, in 1991 ushered in a new form of governance with the emergence of ethnic-based federalism promising a level of autonomy.

However, this failed to materialise, and the relations between the Afar and Addis Ababa deteriorated and led to appropriation of Afar lands and political dominance by the neighbouring ethnic groups, principally the Somalis, and to a much lesser extent the Amhara and Tigray.²¹ Clashes between Afar and their Somali neighbours led to further loss of Afar lands, which were annexed with the use of emergency laws.²² While a 2014 agreement assigned three contested areas to the Afar, the Somalis rejected this solution. This turbulent history has ensured the extremely arid and remote Afar Region has remained deficient in development and investment, and experiences continued violence.

According to a 2007 census, 1.25 million Afar live in Ethiopia. They are Muslims and continue to speak the Cushitic Afar language and observe a rigid societal clan system. Afar society shares the typical features of pastoralist communities throughout the Horn of social segmentation and political diffusion. The founding principle of the Afar society is blood kinship and it is estimated that there are over a hundred clan-families. In spite of decades of government intervention to change Afar livelihoods, the Afar people in Ethiopia remain a predominantly rural and pastoralist society, accounting for about between 16% and 30% of Ethiopia's total pastoralist population.²³ However, as with many pastoralist populations, climate change and land degradation have led to increasing agriculture and diversified livelihoods.

2.3 The Borana of Oromia Region, Kereyu of Afar Region and Gabra of Oromia and Somali Regions

The Borana (unrelated to Boro, below) form one of the two subethnic groups of the Oromo people, speakers of the Afan Oromo Cushitic language, and with sizable populations in both Somalia (estimates vary between one and four million people) and Kenya. They are largely found in the southern areas of Oromia Region. The Borana utilise a socio-political system known as "gadaa", which is a system of classes, assuming military, economic, political, and ritual responsibilities for that period, each with a term of 8 years.²⁴ Traditionally pastoralist, the Borana have increasingly taken up farming though cattle ownership remains dominant,²⁵ and hence rangeland is an important part of Borana society.

The Kereyu, an Oromo Borana are a small pastoralist sub-group, living within the Awash Valley in the Afar Region, are primarily traditional herders, though increasingly taking up agriculture.²⁶

The Gabbra (or Gabra) are semi-nomadic pastoralists with mixed livestock (traditionally camels) in southern Ethiopia (a smaller population, the Gabra Miigo, and a larger population in northern Kenya, the Gabra Malbe). They are considered an Oromo sub-group, but of debated origins, and currently inhabit the Borana and Guji

¹⁹ Yasin, Y. (2008). Political History of the Afar in Ethiopia and Eritrea. *Africa Spectrum*, 43(1), 39-65.

²⁰ Ibid

²¹ Feyissa, D. (2011). The political economy of salt in the Afar Regional State in northeast Ethiopia. *Review of African Political Economy*, 38(127), 7-21.

²² Markakis, J. (2003). Anatomy of a Conflict: Afar & Ise Ethiopia. *Review of African Political Economy*, 30(97), 445-453.

²³ Elias, E., & Abdi, F. (2010). (Rep.). International Institute for Environment and Development.

²⁴ Chala, D. (2017). Indigenous Federation: The Case of Borana Oromo, Ethiopia. *The International Indigenous Policy Journal*. Volume 8, Issue 1.

²⁵ Doyo, K., Okoyo, E. & Tefera, T. (2018). Livelihood diversification strategies among the Borana pastoral households of Yabello District, Oromia Region, Ethiopia. *Journal of Agricultural Extension and Rural Development*. 10. 211-221. <https://doi.org/10.5897/JAERD2018.0960>

²⁶ Beyen, S. & Gudina, D. (2009). Reviving a Traditional Pasture Management System in Fentale, East Central Ethiopia. *Journal of Ecological Anthropology*. 13, Issue 1 <https://scholarcommons.usf.edu/cgi/viewcontent.cgi?article=1020&context=jea>

zones of Oromiya Region and the Liban zone of the Somali Region.²⁷ The Gabbra have close relations with the Borana.²⁸

2.4 The Nuer, Anuak, Majangir, Komo, Mao and Opo of the Gambela

The Gambela Regional State fundamentally differs from that of Afar and Somali in that, apart from the socio-economic and political marginalization, there is also a socio-cultural exclusion of the inhabitants of the Gambela (Nuer, Anuak, Majangir, Komo and Opo). They have distinctly different physical features from mainstream Ethiopians (both Semitic highlanders and Cushitic lowlanders) with a darker complexion, and hence are commonly collectively referred to as “blacks” or “barya” (pejorative) which is the Amharic word for slaves.

Of the ‘emerging’ states, the Gambela is perhaps the least developed and its inhabitants more marginalised because of their distinct features and religious beliefs (since they are neither Orthodox Christians nor Muslims, but mostly Protestants with some practicing traditional religions).²⁹ Since the formation of the modern Ethiopian state, the peoples of the Gambela have experienced forced displacement, land dispossession and the state resettlement of Semitic and Cushitic highlanders who now constitute more than a fifth of the Gambela population.³⁰ A considerable amount of land in Gambela has been subject to privatisation or reallocation from communities. The identity boundary between the ‘indigenous peoples’ vs. ‘highlanders’ is constructed along : linguistic origins (the highlanders being mainly from ‘Semitic and Cushitic’ linguistic group, while the indigenous groups are from the ‘Nilo-Saharan’ linguistic group) and ethnic background.

The Nuer are the largest ethnic group in Gambela, numbering over 150,000, with significant migration into the area in the last century. They are principally a pastoralist group—among Ethiopia’s pastoralists they are relatively marginalised,³¹ though also carry out agriculture at a limited scale. They form a powerful group within their own area. The Nuer are speakers of Nuer (“Thok Naath”), a Nilotic language, and largely practise an animist religion of specific to their culture.

As with a number of ethnic groups in Gambela, the Nuer have perpetrators and victims of violence between groups and with the state. Localised conflicts between the Nuer and the Anuak and Majangir are frequent, with frequent killings. The Nuer have been widely involved in the longstanding conflicts in the Gambela, including resisting British colonial occupation, between Nuer clans and other ethnic groups, and against the state.

The Anuak (Anywaa) numbered over 85,000 in the 2007 census, and are the second largest ethnic group of the Gambela, having previously had mixed hunter-gatherer and pastoralist livelihoods, now with many practising sedentary agriculture. They are also a Nilotic people, as are the Nuer, and speak the Anuak language, while practising a mix of Islam, Christianity and their own animist religion.

The Anuak complain of being subject to considerable marginalisation and discrimination, as well as victims of slavery as late as post-second world war.³² They have been subject to repression and violence by the state,³³ while also being perpetrators and victims of violence, particularly in regard to their relations with the Nuer. Due to conflict, state resettlement and agricultural development, the Anuak have lost access to large areas of their traditional lands to the Nuer and highland settlers.

The Majangir people (singular Majang) is an ethnic group occupying an unclearly demarcated area of about 4,000 square miles of tropical forest on the edge of the Ethiopian Plateau along the border with Sudan, numbering over 20,000 people in the 2007 census.³⁴ The Majangir language, an isolated Surmic language, is still

²⁷ Adugna, F. (2014). Politics of Territoriality in Ethiopia: the Case of the Pastoral Gabra of Southern Ethiopia. *Ethiopian journal of the social sciences and humanities*, 10, 25-50. <https://www.ajol.info/index.php/ejossah/article/view/119359>

²⁸ Chala, Dereje. (2017). Blessing the route, striving for peace & success borana-arbore ritual gift exchange. *Anthropos*. 112. 153-165. https://www.nomos-elibrary.de/10.5771/0257-9774-2017-1-153.pdf?download_full_pdf=1

²⁹ Feyissa, D. (2015). Power and Its Discontents: Anywaa's Reactions to the Expansion of the Ethiopian State, 1950-1991. *The International Journal of African Historical Studies*, 48(1), 31-49.

³⁰ Ibid

³¹ Seide, W.M. (2017). The Nuer Pastoralists - Between Large Scale Agriculture and Villagization: A case study of the Lare District in the Gambela Region of Ethiopia. Nordic Africa Institute.

³² <https://www.culturalsurvival.org/publications/cultural-survival-quarterly/anuak-threatened-culture>

³³ <https://www.hrw.org/report/2005/03/23/targeting-anuak/human-rights-violations-and-crimes-against-humanity-ethiopia>

³⁴ Stauder, J. & Leiper, T. (1971). *The Majangir: Ecology and society of a southwest Ethiopian people*. Cambridge University Press.

used but has greatly reduced in the number of speakers. The Majangir are distinct in physical appearance and customs from the majority Cushites and Semites in Ethiopia. They are partially hunter-gatherers, and particularly known for honey collection and fishing as well as agriculture, though with increasingly diversified livelihoods. Their settlement in the forest may have been associated with avoiding slave raids by more powerful Highland groups.

The Komo (Koma) are an ethnic group of over 8,000 people (2007 census) who suffered heavily from slave raids over the last two centuries. They now live scattered in Ethiopia and northern and southern Sudan. The smaller grouping of related **Mao people** live in proximity. **The Opo** are a related small ethnic group, numbering over 1,500 in the 2007 census. Both are considered minority ethnic groups indigenous to the Gambela, and have their own (related) languages and religious beliefs, and largely practice agriculture. Little information is available on these groups.

Mursi and Kwegu of the Southern Nations, Nationalities and People's Region

The Mursi are an agro-pastoralist ethnic group inhabiting along the Omo Valley within the Southern Nations, Nationalities, and People's Region practising a rudimentary form of rain-fed cultivation of sorghum supplemented by the herding of cattle. They are well known for the women's use of lip plates.³⁵ Like the Majangir, the Mursi are distinctly different from the majority Semites and Cushites in both appearance and religious beliefs. From the 2007 census the Mursi population was over 7,500. **The Kwegu** live in proximity to the Mursi, and considered of lower status.³⁶ They have a service relation with the Mursi, utilising their fishing and hunting skills, though they also practise some agriculture. Little information is available on this small population of around 1,500 people, though more recent reports have documented that their land has been subject to government agricultural schemes.³⁷

The Nyangatom of the Omo Valley, a Karamojong group, are agro-pastoralists, who also hunt and fish,³⁸ with a reputation as a warrior group. They number approximately 15,000 and have also faced eviction from their traditional lands due to state projects. They speak a Nilotic language.

2.5 The Boro (Shinasha), Ari and Berta of the Benishangul-Gumuz Region

The Boro people are an ethnic group who occupy the Metekel zone of the Benishangul-Gumuz region. Even though there aren't recent statistical data, according to the 2007 Ethiopian census which was the last one conducted in the country, the Boro account for about 22% of the nearly 280,000 total population in Metekel. They're also known by other names such as Shinasha, derived from the Amharic combination of Shi ena Shi (thousands and thousands) referring to the migration of the Boro, in thousands, to their current location, and Borona. The Oromo communities in the Metekel zone use the term Sinicho to refer to the Boro, which means a hot pepper in Oromo, referring to the stiff resistance which the Oromo faced from the Boro during their settlement there. These names given by the highlanders (Amhara and Oromo) allude to the contested history of the Metekel zone and its original inhabitants.

The Ari, like their Boro counterparts, are a primarily agricultural community occupying along the banks of the Omo river numbering around 290,000 in the Benishangul-Gumuz regional state. They are mostly followers of traditional religions with non-orthodox, protestant and evangelical Christianity, growing in popularity among the Ari in the last two decades.

There are regular, and currently ongoing, conflicts between indigenous tribes in the Benishangul-Gumuz region such as the Ari and the Boro, and their highlander neighbours the Amhara and the Oromo. These, widely reported, conflicts are ignited by the contested claims to ownership of Benishangul-Gumuz region in general and the fertile Metekel zone in particular by Amhara and Oromo communities who claim that the regional state was carved out of traditional Amhara and Oromo territories. The indigenous communities claim that this is an attempt by the majority highlanders to annex their lands.

³⁵ <https://www.mursi.org/introducing-the-mursi>

³⁶ Tronvoll, K (2000). Ethiopia: A New Start? Minority Rights Group

³⁷ <https://www.voanews.com/africa/ethiopias-kwegu-tribe-dire-situation-reports-say>

³⁸ Carr, C. (2017). Nyangatom Livelihood and the Omo Riverine Forest. 145-156. 10.1007/978-3-319-28480-4_8.

The Berta are a larger group in Benishangul-Gumuz Region, numbering over 150,000 people, and speak a Nilo-Saharan language unrelated to their neighbours, the larger population of **Gumuz**. Both groups practise agriculture, increasingly moving to sedentary rather than shifting cultivation, though the Gumuz also have a history of hunting and gathering. Both groups have been subject to land dispossession by the state, and have also played roles in the region's violent conflicts.

2.6 The Kunama and Irob of Tigray Region

The Kunama people are a Nilo-Saharan-speaking ethnic group predominantly inhabiting Eritrea and with small numbers in Ethiopia³⁹, mostly along the contested Badme region along the Ethio-Eritrean border. They are mostly adherents of Christianity with a small minority practicing Islam and other traditional African religions with those living inside Ethiopia being refugees who fled the Ethio-Eritrean war of 2000. The Kunama have distinctly Nilo-Saharan African features that differentiates them from the majority inhabitants of the both Eritrea and Tigray region. Even though there's no official data regarding their numbers, unofficial estimates place the total population at about 260,000, with the vast majority in Eritrea.

The Irob are a subgroup of the Saho people (related to the Afar) numbering approximately 30,000 people³⁹, speaking a dialect of the Saho language only found in northern Ethiopia. They practise Catholicism and Orthodox Christianity.⁴⁰ The Irob were previously pastoralist but have increasingly moved into sedentary agriculture. Both the Irob and Kunama are considered to be among the earliest inhabitants of the Tigray, and as with other smaller groups in Ethiopia, information is limited.

3. Occupational Groups

These are communities that are marginalized because of their involvement in certain craftworks such as pottery, tanning, hunting and gathering, smiths and carpentry. They are not indigenous peoples, but can be considered vulnerable or marginalised groups.

Some of these communities may not currently be involved with the craft but they are still defined by and associated with those crafts and are largely believed to have inherited the 'impurity' associated with such crafts from their ancestors.⁴¹ These artisan groups are embedded within bigger ethnic groups in Northern and Southwestern Ethiopia. The main difference to the aforementioned groups is that the former are distinct nations with own semi-autonomous regional states and are regarded as national stakeholders and constituent members of the federal political dispensation. The nature of marginalization in the 'emerging' regional states is mostly socio-economic and infrastructural while the occupational groups may benefit from the better infrastructural developments and relative stability in the communities within which they are embedded, for instance the Amhara, Tigray and Oromia regions. These groups are more than fifty scattered across Southern and Northern Ethiopia and include:

- The Nefrwe and Shamer who are embedded within the Gurage
- The K'emo and Shamano embedded within the Kaficho
- Shekacho and Wogach embedded in Dawro
- Falasha and Wayto embedded within the Amhara⁴²

There are no intermarriages between these communities and the larger ethnic groups within which they are embedded. They are stereotyped as impure, accursed and bringing bad luck to farmers with regards to agricultural yield.

³⁹ Yohannes, M. (2017). The protection of minority rights under regional constitutions in the Federal Democratic Republic of Ethiopia: The case of Tigray. *African Journal of Political Science and International Relations*. 11. 249-257. 10.5897/AJPSIR2015.0834.

⁴⁰ <https://www.irobadvocacy.org>

⁴¹ Freeman, Dena and Pankhurst, Alula, (eds.) (2003). *Peripheral People: The Excluded Minorities of Ethiopia*

⁴² Ibid

2.2 SES 6 Groups Present in the Project Areas and VPPF Application

1. There is a widespread presence, conflicts and overlapping territories of groups meeting SES 6 criteria in the six regions mentioned above (Afar Region, Benishangul-Gumuz Region, Gambela Region, Oromiya Region, Southern Nations, Nationalities Region and Somali Region).
2. There is a lack of state usage of the term indigenous peoples and defining group identities within the project framework may risk exacerbating negative relations between ethnic groups, and pose a risk to indigenous peoples. This is particularly of concern in the active conflict in Tigray, Amhara and Afar, though conflicts in other regions also occur.
3. Identities of all groups in Ethiopia meeting SES 6 criteria remains subject to debate and further research.
4. While the activities in the project presents a range of risks as detailed in the SESP and ESMF, if land acquisition is done through consensus agreement of local communities, the overall risks and scope of mitigation measures needed in regard to SES 6 are not high risk, while considerable community benefits are possible, with the exception of Tigray, Amhara and Afar and any other active areas of conflict, which will remain high risk.

The recommended approach for the project is to apply SES 6 approaches under a “Vulnerable Peoples Plan” or “Pastoralists and Minorities Plan”. This plan should be broadly applied in rural implementation sites within the regions mentioned, without specifically defining between ethnic groups present in those sites.

Exceptions may be made where ESIA processes strongly indicate that no ethnic groups mentioned in this report are located in or adjacent to the project site. However, it is recommended that this approach, which ensures consultation standards, will likely improve community participation and cohesion in all settings.

This approach will imply certain requires across communities. For example, Free, Prior and Informed Consent would have to be applied where:

- i. Loss, restrictions or modification of rights to and use of lands, territories, resources, and livelihoods occurs
- ii. In the case of relocation
- iii. Where cultural heritage is affected.

Table 1: SES Standard 6 – Ethiopia Summary

Criteria	Identified groups														
	Somali	Afar	Borana	Kereyu	Nuer	Anuak/Any waa	Majangir	Komo, Mao & Opo	Mursi Kwegu & Nyangatom	Boro (Shinasha) & Ari	Berta & Gumuz	Irob	Kunama	Gabra (Gabbra, Gebra)	
Livelihoods	Pastoralist/ mixed	Pastoralist	Pastoralist/ mixed	Pastoralist/ mixed	Agro-Pastoralist	Former hunter-gatherers	hunter-gatherers, fishing, cultivation	Agriculture	Pastoralists (Mursi), Agriculture (Kwegu) Agro-pastoralists(Nyangato)	Agriculture	Shifting agriculture and hunting	Agriculture	Agro-Pastoralist	Agro-Pastoralist/	
Self-identify as indigenous peoples	Yes*	Yes*	Yes*	Yes*	Yes*	Yes*	Yes*	Yes*	Yes*	Yes*	Yes*	Yes*	Yes*	Yes*	
Own development in socioeconomic/political/historical context	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	
Maintain identity, languages, traditional beliefs, customs etc	Yes	Yes	Yes	Yes	Yes	Yes	Yes (language reducing)	Yes	Yes	Yes	Yes	Yes	Yes	Yes	
Control lands, territories & natural resources/ connection /dependence **	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	
Existence pre-dates those that colonized*** lands	Yes	Yes	Yes	Yes	Migrated from South Sudan	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	
Recognised by intl as indigenous institutions	ACHPR& AfDB	ACHPR& AfDB	ACHPR& AfDB, IPACC	ACHPR& AfDB	ACHPR& AfDB, WB	IWGIA, MRGI, WB	IWGIA, WB	MRGI, Academia	MRGI, Academia, IPACC	MRGI, Academia	MRGI, Academia, WB	Academia	Academia	Noted as IPs by IPACC and Cultural Survival	

*Concept has not been popularised in Ethiopia in international human rights terms, but these populations identify themselves as indigenous to the land and consider themselves as distinct from those who have settled in their traditional areas subsequently

**Difficult to establish due to prolonged insecurity

***It is incorrect to apply the term colonized in the international understand; however, while occupying roughly their traditional territories, these groups have certainly lost access to land and/or been displaced by other Ethiopian ethnic groups.

NOTE: The groups listed in the table above are groups where literature was available for review, with sources including United Nations Agencies, the African Commission of Human and Peoples Rights, the African Development Bank, as well as peer-reviewed academic articles. This is therefore not an exhaustive list of groups who may meet SES 6 Criteria. For example, other possible additional considerations would include the Suri, the Dizi, Me'en and the Nyangatom.

In addition, the Southern Nations, Nationalities and Peoples' Region (SNNPR) is the most ethnically diverse region in Ethiopia with approximately 53 ethnic groups. Many of the communities that live in and around the Lower Omo Valley of SNNPR may be considered as meeting SES 6 criteria, including for example the Aari, Maale, Dassanetch/Geleb, Hamar, Bana, Tsemay, Bodi, Arbore/Hor and Surma.

3 Summary of Substantive Rights and Legal Framework

3.1 Domestic Law and the rights of indigenous peoples in Ethiopia

The Ethiopian Constitution

The Federal Constitution of Ethiopia drafted in 1995 is a comprehensive and ambitious document with provisions for personal freedoms, equality and non-discrimination.⁴³ The Constitution recognizes that sovereign power resides in “Nations, Nationalities and Peoples of Ethiopia” (defined as “a group of people who have or share a large measure of common culture or similar customs, mutual intelligibility of language, belief in a common or related identities, a common psychological make-up, and who inhabit an identifiable, predominantly contiguous territory”), and the Constitution is an expression of their sovereignty.

Article 39 of Chapter 3 further recognizes the rights of Nations, Nationalities and Peoples to self-determination including secession.⁴⁴ Those who drafted the current constitution were cognisant of the unique nature of Ethiopia as a union of distinct nations therefore giving nations the option for self-determination if they so wished, which is especially significant for those regional states that have historically been marginalized, and also obvious connotations limiting centralised governance.

Neither the constitution nor legislation recognises communal or collective land ownership; land and natural resources belong to the state and cannot be sold or exchanged (Article 40). The same article affords rights to ‘peasants’ and pastoralists to obtain or utilise land without threat of eviction or displacement, though through specific legislation.

Article 41 provides protections to fair and free livelihoods, as well as State responsibility to protect and preserve historical and cultural legacies. Article 42 provides rights to development, and consultation where a community is affected.

The government exercises powers over the utilisation and conservation of land and other natural resources, historical sites and objects (Article 50), including their administration (Article 52) and taxation (Article 97). Article 89 states that the government must hold an ‘deploy’ land and natural resources for the benefit of citizens.

National Policies and Legislation

Most regional states have the rights to develop own regional policy documents that address challenges and issues within their own states. For instance, the Somali regional state has developed a strategy for durable solutions to deal with issues of internal displacement and refugees coming in from Somalia. Ministry of Peace announced in February 2021 that they have adopted a Pastoral Policy. However, it has not been made public at the time of writing.

The government of Ethiopia established the ‘Ethiopian Institution of the Ombudsman (EIO)’ and the ‘Ethiopian Human Rights Commission (EHRC)’ in 2000, but the latter remains without accreditation by the International Coordinating Committee of the National Institutions for the Promotion and Protection of Human Rights (ICC). The proclamation establishing the Commission has been amended to boost its independence and capacity. The Commission in the near future have Commissioners that will be responsible for specific thematic areas such as women and refugees and IDPs, though none have been specified for minorities or indigenous peoples.

In spite of these provisions and legislation, Ethiopia has been accused of repression, and the independence of the governments of regional states is questionable. Of particular concern are recent events in Tigray, as well as Afar and Amhara, with the UN Secretary General recently voicing serious concerns over restricted humanitarian

⁴³ Ethiopian Constitution Chapter 3, Articles 13 - 44

⁴⁴ This may in theory include some rights enshrined under international indigenous peoples rights legislation including UNDRIP and ILO169, though these are not realised in practice.

access to populations affected by violence in the region.⁴⁵ Additionally, land related conflicts and disputes continue including in Gambela, Benishangul Gumuz, and SNNPR, as well as recent clashes between Afars and Somalis that resulted in significant casualties and deaths.

Ongoing Conflict

At the current time conflict continues in Afar, Amhara and particularly in Tigray, and without a ceasefire and without substantive reestablishment of rule of law and stable local governance, it is doubtful that national nor project measures concerning the participation and rights of indigenous peoples are implemented or implementable in these areas.

3.2 International Law and the rights of indigenous peoples in Ethiopia

Ethiopia is signatory to the UN Declaration on the Rights of Indigenous Peoples as well as other major UN Human Rights treaties including the International Convention on the Elimination of All Forms of Racial Discrimination; International Covenant on Civil and Political Rights; International Covenant on Economic, Social and Cultural Rights; Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment; and Convention on the Elimination of All Forms of Discrimination Against Women. Ethiopia is also signatory to the African Charter on Human and Peoples' Rights, which, among others, recognizes people's rights in addition to individual human rights. However, Ethiopia has not yet ratified ILO Convention 169 on Indigenous and Tribal Peoples.

3.3 UNDP Social & Environmental Standards (SES)

The project is implemented under the UNDP Social and Environmental Standards. The Environmental and Social Management Framework (ESMF) and Project Document give a fuller overview of the standards, details of which and guidance can be found on the UNDP website.

The objectives of the SES application across UNDP projects is to:

- Strengthen the quality of programming by ensuring a principled approach;
- Maximize social and environmental opportunities and benefits;
- Avoid adverse impacts to people and the environment;
- Minimize, mitigate, and manage adverse impacts where avoidance is not possible;
- Strengthen UNDP and partner capacities for managing social and environmental risks; and
- Ensure full and effective stakeholder engagement, including through a mechanism to respond to complaints from project-affected people.

These are attained through programming principles of: Leave No One Behind; Human Rights; Gender Equality and Women's Empowerment; Sustainability and Resilience; Accountability, and project level principles and standards that are applied as relevant from project to project:

- Principle 1: Human Rights – to ensure the participation, benefit and mitigation of potential negative consequences of all communities targeted within the project activities.
- Principle 2: Gender Equality and Women's Empowerment – to ensure the full participation of women in the project and counter any discrimination or patriarchal systems in target communities.
- Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management

⁴⁵ <https://www.un.org/sg/en/content/sg/press-encounter/2021-08-19/secretary-generals-press-encounter-ethiopia-haiti-and-afghanistan>

- Standard 2: Climate Change and Disaster Risks
- Standard 3: Community Health, Safety and Security
- Standard 4: Cultural Heritage
- Standard 5: Displacement and Resettlement
- Standard 6: Indigenous Peoples
- Standard 7: Labour and Working Conditions
- Standard 8: Pollution Prevention and Resource Efficiency

During the project preparation phase, and updated during implementation, risks are assessed using a Social and Environmental Screening Procedure (SESP) to Identify potential social and environmental risks and their significance; determine the project's risk category (Low, Moderate, Substantial, High); and determine the level of social and environmental assessment and management required to address potential risks and impacts. This project is rated as substantial risk.

Standard 6: Indigenous Peoples seeks to ensure that projects are designed and implemented in a way that fosters full respect for indigenous peoples and their human rights, livelihoods, and cultural uniqueness. The need for the Standard is an acknowledgement of a history of discrimination and exclusion of vulnerable communities or indigenous peoples that has limited or prevented them from directing the course of their own development and well-being.

Summary of Requirements of Standard 6 Indigenous Peoples (refer to full text of SES Standard 6):

Respect for domestic and international law: Ensure respect for domestic and international law regarding rights of indigenous peoples. Do not participate in a project that violates the human rights of indigenous peoples as affirmed by Applicable Law and the UN Declaration on the Rights of Indigenous Peoples (UNDRIP) (Para. 4)

Identification of indigenous peoples: Identify indigenous peoples who may be affected by project activities utilizing range of criteria (Para. 5)

Land, territory and resources: Recognize collective rights of indigenous peoples to lands, territories and resources. Include measures to promote such recognition when necessary for project activities (Para. 6)

Legal personality: Recognize rights of indigenous peoples to legal personality. Include measures to promote such recognition when necessary for project activities (Para. 7)

Involuntary resettlement: Prohibit forcible removal of indigenous peoples from lands and territories and ensure no relocation without FPIC (Paras. 8, 9)

3.4 Project relevance to the legal recognition of rights to lands, resources, or territories

The Project activities do not require additional legal recognition of rights to lands, resources, or territories, for indigenous peoples or other groups in Ethiopia.

3.5 Project relevance to the recognition of the juridical personality of Indigenous Peoples

In terms of indigenous peoples, recognition of the juridical personality is the recognition of a group, association or organisation of indigenous peoples within the legal system, which acknowledges that a group, association or organisation of indigenous peoples has certain rights, protections, privileges, responsibilities, and liabilities in law, similar to those of an individual human being (e.g. recognising a group in a similar manner to an individual, for reasons of legal standing and collective recognition).

The Project activities do not rely on issues of recognition of indigenous peoples. The Project will observe additional measures as required to address consultations, concerns, complaints and project benefits of indigenous peoples who are not represented in existing formal structures at local level.

4. Potential Impacts on Vulnerable Peoples

4.1 Potential Positive Impacts

A range of positive impacts are predicted for vulnerable peoples who are included in or indirectly benefit from the project, mainly due to the range of benefits that rural electrification provides to communities. These include:

- Employment opportunities for both professional and unskilled workers in construction and maintenance phases.
- Expenses, time and labour relating to cooking, lighting, fetching water and other services will likely be reduced.
- Social and service provision benefits from improved communications from electricity availability (e.g. more mobile phone towers, charging mobile phones, internet access, access to service providers).
- Reduction in pollution from combustion of wood, paraffin and other cooking, light and heating resources.
- Livelihood diversification is likely to increase due to improved access to communications and power, from small service businesses to small scale irrigation.
- Improved food availability and quality due to improved local refrigeration at shops or home (also may improve market access for meat, dairy products and farming due to increased shelf-life).
- Improved study conditions for children and those in education, from lighting and access to resources through communications and the internet.
- Improved security with external lighting and improved communications, less time spent accessing/collecting resources such as firewood.
- Positive health service delivery impacts from electricity for clinical equipment and medical refrigeration.
- Increased participation of women in non-domestic activities.
- Inclusion of all ethnic groups in projects with broad benefits for the community at large may increase cohesion.

4.2 Potential Negative Impacts

All risks from the SESP apply to vulnerable peoples in the project area, and some may have particular relevance. The project does not present additional risks beyond those listed below that would apply to vulnerable peoples.

The project risks are listed with a description where issues may be of particular relevance to vulnerable peoples, whereas other risks apply to all community members as described in the SESP:

- **Risk 1: Risk on lack of capacities.**
- **Risk 2: Risk of project activities not being safeguards responsive during the project life cycle.**

Where vulnerable peoples form minorities and are considered by majority groups as having lower social and economic status, negative impacts from lack of safeguards may be more severe than with other groups.

- **Risk 3: Risk of exclusion of affected stakeholders due to their vulnerability and/or potential concerns about the project.**

Vulnerable peoples and those relying on pastoralism or hunting and gathering may have lower incomes and be more affected by private provider pricing of electricity. In addition, social and political dynamics in a given area may reduce access to electricity to those of a lower social status (for example preferential routing of electricity infrastructure). Where vulnerable peoples form minorities, and are considered by majority groups as having lower social and economic status, a lower level of participation by vulnerable peoples may be likely.

- **Risk 4: Risk on Women.**

Where vulnerable peoples form minorities and are considered by majority groups as having lower social and economic status, exclusion, risks and impacts for indigenous women are likely to be greater.

- **Risk 5: Risk of damage to biodiversity and natural resources due to land changes and new productive uses of the energy.**

Damage to biodiversity and natural resources may affect the livelihoods of groups that rely on pastoralism and natural resource harvesting, which are relevant portions of livelihoods for many vulnerable peoples.

- **Risk 6: Adverse transboundary environmental concerns.**

As above.

- **Risk 7: Risk due to electrical shocks/effects on fauna, flora and people.**
- **Risk 8: Risk of local climate change events, and weather & hydro related disasters.**
- **Risk 9: Risk of overestimated emissions due to embedded activities.**
- **Risk 10: Risk of overestimated emissions due to aggregation to a third-party project**
- **Risk 11: Risk on the community due to hazardous materials (mainly batteries, e-waste, chemicals for land clearance).**

Increased risk may be envisaged for groups of lower economic status and higher unemployment, including children, due to unfavourable siting of settlements, greater informal housing and collection of materials, hence may have a greater impact on vulnerable peoples.

- **Risk 12: Ambient perturbation on the community due to intense works locally at construction and decommissioning, and new economic activities subsequent from productive use of the energy.**
- **Risk 13: Risk on community health, safety and/or security due to the influx of people, mainly project workers and other new comers subsequent to the new economic activities resulting from the productive use of the energy.**

Non-local workers who will be engaged in the construction activities may increase the community risk of sexually transmitted diseases, and risks to women and girls if not adequately supervised and trained. If vulnerable peoples are viewed as lower social or economic status by neighbouring ethnic groups, women and girls from the indigenous groups may face higher risks in this regard.

- **Risk 14: Risk on damage of cultural heritage.**

Damage, removal or destruction of cultural heritage may have a disproportional effect on vulnerable peoples, due to imbedded belief systems, cultural value and minority cultural identities, but can be mitigated through the effective participation of vulnerable peoples in project sites.

- **Risk 15: Risk of physical displacement and loss of livelihood due to eviction from land.**

In the event that any displacement or resettlement cannot be avoided, an appropriate resettlement plan and remuneration measures will be undertaken. In addition, the project will not comprise any activity that involves the permanent acquisition or transfer of tenure of land that the vulnerable peoples have traditionally owned or customarily used or occupied. If state land is utilised, consultations with communities must therefore include confirming that the state's acquisition of that land is not in question.

Temporary interruption in the use of property or land may occur due to infrastructure construction and similar consultations would be required before activities begin.

Any project activities that affect vulnerable peoples lands or territories must be subject to a process of Free, Prior and Informed Consent before those activities begin.⁴⁶

⁴⁶ **Free** - consent given voluntarily and absent of coercion, intimidation or manipulation, using languages and locations agreed with the community in question; **Prior** - consent is sought a period of time in advance of an activity or process.; **Informed** - the nature of the engagement and type of information that should be accessible, clear, consistent, accurate, constant, and transparent, in appropriate language, location and format; **Consent** - the freely given collective decision made by the rights-holders and reached through the customary decision-making processes of the affected peoples or communities. For further resources see for example: <https://www.unredd.net/documents/un-redd-partner-countries-181/templates-forms-and-guidance-89/un-redd-fpic-guidelines->

- **Risk 16: Risk of economic displacement due to loss of income from fuel selling.**

Decreased demand for timber/natural resource harvesting for firewood may have a disproportionate effect on vulnerable peoples, but would likely vary between project sites.

- **Risk 17: Risk of economic displacement towards the payment of energy services replacing the previous options.**
- **Risk 18: Risk to indigenous peoples.**

Vulnerable peoples and those relying on pastoralism or hunting and gathering may have lower incomes and be more affected by private provider pricing of electricity. In addition, social and political dynamics in a given area may reduce access to electricity to those of a lower social status (for example preferential routing of electricity infrastructure).

- **Risk 19a: Risk on labour conditions.**

Increased risk may be envisaged for groups of lower economic status and higher unemployment, including vulnerable peoples.

- **Risk 19b: Risk on labour opportunities**

Increased risk may be envisaged for groups of lower economic status and higher unemployment, including vulnerable peoples.

- **Risk 20: Risk on pollution and resource efficiency.**

Risks related to conflict

In addition to the project risks, at this time due to the ongoing conflict in northern Ethiopia, direct risks to the safety and security of vulnerable peoples remain at best potentially serious and at worst would involve documented fatalities.

While detailed news and records remain limited, credible reports and evidence of individual and mass killings of communities, and wide spread gender-based violence, both of which may include vulnerable peoples, continue to occur.⁴⁷ The complex political situation and ethnic divisions make it likely that majority ethnic groups, minority ethnic groups and certainly state forces of Ethiopia and Eritrea have all perpetrated and been victims of violence to a greater or lesser extent.

As such it is extremely difficult at this time to either assess or control project risks related to vulnerable peoples in Tigray, Amhara or Afar. There is also currently limited scope of civil society organisations in these areas to provide information, support and oversight for activities with vulnerable peoples. In addition, the identification of vulnerable peoples through project activities in such circumstances may pose a tangible risk to their safety.

Without substantial changes in the situation leading to a ceasefire, peace talks and stability, the participation and moreover safety of vulnerable peoples, who may otherwise benefit from the project, cannot be guaranteed, and hence is not recommended.

2648/8717-un-redd-fpic-guidelines-working-final-8717.html?path=un-redd-partner-countries-181/templates-forms-and-guidance-89/un-redd-fpic-guidelines-2648

⁴⁷ See for example, the Ethiopian Human Rights Commission (<https://ehrc.org>), international news outlets, Amnesty International (<https://www.amnesty.org/en/location/africa/east-africa-the-horn-and-great-lakes/ethiopia/report-ethiopia/>) and others.

5 Procedures for carrying out the screening, assessment and development of the IPP

5.1 Screening

As up-to-date local information on vulnerable peoples is lacking, when pilot sites are identified (and where any other project activities are implemented in community settings), a basic screening should be carried out at each site during the ESIA – see the ESMF for further details. The purpose of the screening is to ensure the identification of vulnerable peoples in target sites, or lack thereof, given the limited information and mixed ethnicities present in much of the country. This will directly inform activities within components 2 and 4 of the project, and present additional information for components 1 and 3.

The screening may be carried out by project staff, NGOs or local government, though in each case it is important to verify findings. Ideally screenings will be carried out in a cooperative manner between stakeholders. It is important that this and other activities related to SES Standard 6 are approached with cultural and social sensitivity: firstly, local government, local NGOs and community leadership should be consulted to ensure their participation and understanding; the purpose of inclusion will be explained to community leaders where appropriate, with care taken to not exacerbate any tensions that may be present in settlements.

The screening provides a basic assessment to identify such groups – the information gathered will be verified with project staff (including the PMU M&E officer), and findings discussed with UNDP regional technical advisors to determine the applicability of SES Standard 6. The PMU should observe guidance in gathering such data directly and through partners, ensuring risks are mitigated in regard to community relations, objectivity, safety and COVID-19.

Initial Screening

In some project sites good quality information about vulnerable peoples in the area may already be available, in which case a full screening will be carried out (see below). In other sites, information about vulnerable peoples may be insufficient or lacking, or more than one vulnerable group may be present in the project site. In these cases an initial screening should be carried out by project staff or through partners to verify the presence or absence of groups meeting SES 6 criteria and supplement information available in the SESP.

An example of a screening questionnaire that can be adapted for project staff, local government or civil society use and distributed remotely (via email, Whatsapp, etc.) is included as Annex 2, to assist in identifying groups that may potentially meet SES 6 criteria. The questionnaire can quickly gather information from people familiar with the project site and its communities that can be used to assess the relevance of SES 6 application. Where this or similar short screening questionnaires are used, the PMU should not rely on information from a single source only. Two or more institutions with detailed local knowledge should be contacted and may include, for example, local government officials, civil society organisations, community leaders, academic experts or civil servants familiar with the area of the project site.

Answers to the questionnaires will be shared with the UNDP CT and Regional Expert, to assess whether SES 6 will be applied to a given project site, and to further inform SESP and project design processes where relevant.

Full Screening

In project sites where groups meeting SES 6 criteria are already known to reside, or, in cases where initial screenings indicate the presence of groups meeting SES 6 criteria, full screenings will need to be made. This full screening will be in greater depth in order to gather data necessary to make informed consultation, inclusion, mitigation and management plans based upon the positive and negative possible impacts of the project on those vulnerable peoples. Screenings will be made in line with the SES 6 guidance note, and with the guidance of UNDP Regional Experts (refer to SES 6 Guidance Note section 3.1 and particularly 3.2), and will require participation of vulnerable communities to complete. The full screening will directly inform and should be coordinated with the ESIA process, as well informing any FPIC requirements, ESMP and IPP. The results will update the SESP.

Verification

Before and during project implementation, the updated SESP Checklist will be used to help ensure that all risks and impacts on vulnerable communities are being adequately addressed (e.g. as identified in the ESIA) and

resulting management requirements are in place. Where this is not the case UNDP should suspend support for those activities affecting vulnerable communities.

5.2 Consultation with vulnerable peoples

If vulnerable peoples are identified within the project area through the screening procedure the ESIA and/or targeted assessment (and, ultimately, ESMP/VGP) process will include consultations with this group, while observing the need to avoid exacerbating divisions in communities, and observing local governance structures. Consultations will follow principles of being free, prior and informed – consent is necessary where triggered under SES Standard 6 requirements.

SES Standard 6 states that “project activities that may adversely affect the existence, value, use or enjoyment of indigenous lands, resources or territories are not conducted unless agreement has been achieved through the FPIC process”. The key circumstances where FPIC is required are:

- Loss, restrictions or modification of rights to and use of lands, territories, resources, and livelihoods, including the development, utilization, or exploitation of mineral, forest, water or other resources on lands and territories traditionally owned, occupied or otherwise used, acquired by vulnerable peoples, including lands and territories for which they do not yet possess title, and in some circumstances from where they were displaced.
- Relocation, which cannot occur without the FPIC of the vulnerable peoples concerned and only after agreement on just and fair compensation, and where possible, with the option of return. Forcible removal is prohibited in UNDP projects.
- Cultural heritage, including not appropriating the cultural, intellectual, religious and spiritual property of vulnerable peoples without their FPIC

See chapter 6 for additional details on consultations and FPIC.

The main aim of initial consultations are to explain the objectives of the project, possible positive outcomes and risks from activities. The consultations should seek to gain the community members’ views and perceptions of those benefits and risks, and level of acceptance and wish to participate in project activities. Consultations must be carried out appropriately and include the following elements:

- Identification of parties to the negotiation and decision-makers
- Elaboration of the decision-making processes of the respective parties
- The role if any of outside counsel and expertise, including e.g. a third party mediator/negotiator
- Agreement on relevant time periods
- Applicable community protocols that must be respected
- Steps to guarantee an environment without coercion or duress
- The manner in which analysis and results of the prior social and environmental assessments shall be incorporated into the process
- The format for benefit sharing discussions and arrangements
- Sharing of information in meaningful, accessible and culturally appropriate manner

And where consent is required:

- Identification of other project activities or circumstances that will trigger additional consent processes
- The format for documenting the agreement, conditions that attach, and/or other conclusions of the process.

5.3 Mitigation and Management Measures

To avoid or minimise adverse impacts to vulnerable peoples, while at the same time ensuring their inclusion in benefits and full participation the project will carry out the following measures.

- i. The site-level ESIA screening and/or targeted assessment processes and PMU will consult local government and community leaders, as well as local organisations and experts, to ensure a good understanding from multiple sources of community and ethnic dynamics at each implementation site. The approach to vulnerable peoples will be designed to avoid isolating ethnic groups or exacerbating local tension. Measures to ensure avoidance of discrimination and conflict will be included in the national level ESMP and IPP, except for circumstances where a site-level Environmental and Social Management Plan (ESMP) is required. In these cases the site level ESMP will require a site-level IPP.
- ii. The PMU will ensure key project stakeholders, principally representatives of MoWIE, local government and principal private sector partners, are sensitised by a consultant with appropriate experience of vulnerable communities in Ethiopia on relevant groups to SES Standard 6, and the SES requirements under UNDP projects. This will also be a key intervention to ensure vulnerable peoples' inclusion in discussions, policy development and investment within project components 1 and 3, and well as components 2 and 4 in community settings.
- iii. Where project activities may result in upstream effects, with particular relevance to policy, planning and investment activities in project components 1 and 3, risks will be assessed and measures to mitigate effects under a Strategic Environmental and Social Assessment (SESA) process. Refer to the ESMF for details.
- iv. The PMU will ensure that vulnerable peoples in project areas (as well as any national organisations) are informed of activities, design, and implementation processes to seek input and to provide clarification. This should include informing national or local NGOs.
- v. PMU will ensure that consultations are carried out inclusively, for example ensuring that locations, languages, timings and pre-notification are done in non-discriminatory and culturally appropriate manners. This includes understanding limits to communications access, and providing full or summary documentation in a language and format that is accessible to communities.
- vi. Vulnerable peoples will have equitable access to opportunities, such as employment within project activities, and benefits of electrification.
- vii. The Grievance Redress Mechanism (GRM) will contain additional measures to ensure maximum community accessibility, including the nomination of a trusted local focal point(s) by the communities in question.

SEPs, screening reports, both draft and final ESIA/ESMPs and IPPs, if needed, and monitoring reports are to be disclosed, including translation and/or presentation where necessary. Measures must be developed, consulted on, publicly disclosed and put in place prior to the start of any activities that might cause adverse impacts.

6 Participation, Consultations and FPIC Processes

Consultations with vulnerable peoples/vulnerable peoples during Project planning and activities will be undertaken using internationally-recognised guidelines for Free, Prior and Informed Consent (FPIC), as reflected in the UNDP-SES Policy and following best practice, for example procedures developed through UN-REDD.⁴⁸ The vulnerable peoples who may be affected by the Project will have a central role in defining the FPIC process.

A facilitator should support this process, a person who will be available throughout the Project, who speaks the necessary languages and is aware of the project context, and is culturally and gender-sensitive. While the objective of the FPIC process is to reach an agreement (consent) between the relevant parties – be it a signed agreement or an otherwise-formalized oral contract – this does not mean that all FPIC processes will lead to the consent of and approval by the rights-holders in question.

FPIC consultations must be made in good faith along the following principles:

⁴⁸ <https://www.unredd.net/documents/un-redd-partner-countries-181/templates-forms-and-guidance-89/un-redd-fpic-guidelines-2648/8717-un-redd-fpic-guidelines-working-final-8717.html?path=un-redd-partner-countries-181/templates-forms-and-guidance-89/un-redd-fpic-guidelines-2648>

Free - consent given voluntarily and absent of coercion, intimidation or manipulation, using languages and locations agreed with the community in question.

Prior - consent is sought a period of time in advance of an activity or process.

Informed - the nature of the engagement and type of information that should be accessible, clear, consistent, accurate, constant, and transparent, in appropriate language, location and format.

Consent - the freely given collective decision made by the rights-holders and reached through the customary decision-making processes of the affected peoples or communities.

No activities requiring FPIC should be initiated until the outcomes of the FPIC process are validated and any required mitigation measures are in place, though the project activities that require FPIC are few.

Table 2: Project activities and circumstances that require consultation and FPIC during ESMP/IPP preparation

Project Outputs	Requirement(s)
Component 1: Policy and regulations	
<ul style="list-style-type: none"> ○ <i>Output 1.1. Support for national dialogue, associated capacity enhancement and arrangements for implementation of cooperative minigrid delivery model(s)</i> ○ <i>Output 1.4. Development of decommissioning strategy and guidelines on waste management for minigrid components.</i> ○ <i>Output 1.5. Capacity-building for MoWIE and its sectoral institutions via the MoWIE Innovation Center</i> 	<p>Sensitisation for key stakeholders on vulnerable peoples and their inclusion in project benefits, including requirements of SES Standard 6.</p> <p>Upstream issues will be included in a SESA as appropriate.</p>
Component 2: Business Model Innovation with Private Sector Engagement	
<ul style="list-style-type: none"> ○ <i>Output 2.1. Implementation of pilot minigrids under cooperative delivery models.</i> ○ <i>Output 2.2. Technical assistance for productive use in association with AMP-supported minigrids.</i> ○ <i>Output 2.3. Training, higher education programs, and internships established for minigrid design, installation, operations, maintenance, and business models.</i> 	<p>Consultation and participation of vulnerable peoples in cases where activities are/will be implemented in sites with vulnerable peoples.</p> <p>Sensitisation and government and private sector staff involved in implementation in sites with vulnerable peoples on SES 6 requirements, preferably with the inclusion of vulnerable peoples or their representatives.</p> <p>FPIC, if triggered by project activities, as per Standard 6 requirements.</p>
Component 3: Scaled-up financing	
<ul style="list-style-type: none"> ○ <i>Output 3.1. Design support for financing and risk mitigation instruments, as well as development of operational guidance, provided for minigrid and productive use financing facility.</i> ○ <i>Output 3.2. Domestic financial sector capacity-building on business and financing models for minigrids.</i> 	<p>Sensitisation for key stakeholders on vulnerable peoples and their inclusion in project benefits, including requirements of SES Standard 6.</p> <p>Upstream issues will be included in a SESA as appropriate.</p>
Component 4: Digital Knowledge Management and Monitoring and Evaluation	

<ul style="list-style-type: none"> ○ <i>All Outputs</i> 	<p>Participatory project monitoring for activities affecting vulnerable peoples, as per Standard 6 requirements.</p> <p>Monitoring of IPP and other relevant mitigation/management plans, review of complaints, corrective actions and disclosure, as per Standard 6 requirements.</p>
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The requirements for FPIC and consultations during full implementation of project will be presented in the ESMP/IPP (and updated Stakeholder Engagement Plan, as appropriate); the requirements above apply only to the preparation of the ESMP/IPP.

7. Appropriate Benefits

Obvious benefits from the project include employment and equitable access to electricity, along with other direct and indirect benefits listed under section 4.1 above. There may also be benefits of participation in the project, for example community cohesion and communications with local leadership and the state.

In order to ensure inclusion of vulnerable peoples, guided by this Vulnerable peoples Planning Framework, the project will develop an Vulnerable peoples Plan (IPP) that will detail the agreements with the vulnerable peoples concerned regarding their participation in the project and equitable benefits, in a manner that is culturally appropriate and inclusive. These benefits must not impede land rights or equal access to basic services including health services, clean water, energy, education, safe and decent working conditions, and housing (Standard 6: 6.11).

These arrangements should be detailed in the ESIA, including consultation and consent processes undertaken. Vulnerable peoples should be provided with full information on the scope of potential services, income streams, and benefits that the Project may generate for all potential beneficiaries.

It should be noted that local governance, leadership systems and resource sharing arrangements may already be established with the local community. In such cases, the ESIA must confirm that equitable arrangements are established and are non-discriminatory, and the communities concerned, and any additional measures recommended should be made with consent of both parties, hence not undermine currently established local agreements and relations.

8. Capacity Support

Where possible, if appropriate vulnerable peoples' organisations exist, capacity support will be given to social, legal, technical capabilities of those organisations in and around the project sites (or national organisations that operate in those areas) to enable them to better represent the affected vulnerable peoples more effectively. The inclusion of NGOs that have experience of working with these communities in consultation or advisory roles may also require additional capacity support to carry out activities. Vulnerable peoples should be consulted in decisions to involve organisations to represent or work with them.

Capacity support to government should minimally involve sensitisation of key staff on vulnerable peoples' issues in Ethiopia, a brief overview of regional and international concepts of vulnerable peoples rights and Ethiopia's engagement with these, and SES Standard 6 requirements. Further capacity support in government may warranted.

The ESIA process will assess where and the extent capacity support needed both in community settings and government.

9. Grievance Redress

As described in the ESMF, the Project will establish a project-level Grievance Redress Mechanism (GRM) during the six months of implementation. The GRM is a way to provide an effective avenue for expressing concerns and achieving remedies for complaints by communities, to promote a mutually constructive relationship and to enhance the achievement of project development objectives. A community grievance is an issue, concern, problem, or claim (perceived or actual) associated with the Project that an individual, or group, or representative wants to address and resolve.

The following principles should govern the grievance redress system to be implemented by the project:

- Legitimate, accountable, without reprisal.
- Accessible
- Predictable and timebound
- Equitable
- Transparent
- Rights compatible
- Used to improve policies, procedures, and practices to improve performance and prevent future harm.
- Based on engagement and dialogue

The full details of the GRM will be agreed upon during the Inception Phase, a process that will be overseen by the Project Manager with a Project Monitoring and Evaluation Officer, Safeguards Officer or alternative responsible staff member.

The grievance and response mechanism helps all stakeholders involved in the project – be it the affected groups and or UNDP's partners in particular governments and others to jointly address grievances or disputes related to the social and/or environmental impacts of UNDP supported projects. While grievance and response mechanism is important for all project stakeholders, it is particularly key for the indigenous people, who are often marginalised. As at least one of the proposed project sites will be in an area where vulnerable peoples are found, it is critical that there is a transparent grievance redress mechanism for any eventualities. Aggrieved stakeholders can approach the Project Management Unit and the Implementing Partner (ABER) to register their grievances. In cases when the agencies are not able to address the grievances, or in cases when the grievances have not been addressed successfully, the aggrieved stakeholders have recourse on other national grievance mechanisms.

Local measures will be put into place to receive complaints:

- a hotline will be created for stakeholders to use for questions, recommendations and grievances with signage displaying the number at project sites
- two boxes installed at the pilot project sites to receive complaints
- the phone numbers for the Project Manager and M&E Officers will be displayed at several sites around the pilot locations.

It is also recommended, due to barriers of language, access to communications, potential issues of discrimination, and perceived issues of safety where protection of the identity of complainants may be required, that a local NGO, trusted community members in various locations, trusted person of authority, community association, or other point of contact agreed through consultations with community members, and particularly with vulnerable peoples where they are included in project activities.

It is critical that this point of contact understands the need for community complaints to be anonymous where issues of individual or group safety are perceived, and that the point of contact has direct access to the PMU staff. In the case of a complaint where anonymity is requested, the PMU and any resulting grievance process must respect this condition.

Those able to access and communicate with national grievance mechanisms have options of the Ethiopian Institution of the Ombudsman (EIO) and the Ethiopian Human Rights Commission (EHRC). The offices can be reached at:

Ethiopian Human Rights Commission (EHRC)

Kazanchis Street
P.O.Box 1165

Addis Ababa
Tel: +251 11 5504031
Fax: +251 11 5504125
Website: www.ehrc.org
Email: ehrc@ethionet.et

Ombudsman of Ethiopia

United Insurance Building
2nd and 3rd Floor
Piassa Cherchill Road
P.O. Box 2459
Addis Ababa
Ethiopia
Tel: +251115580123/+251911052283
Fax: +251115580094
Website: www.ethombudsman.gov.et
E-Mail: Meazagobena44@gmail.com

In the case of serious allegations of fraud, misconduct or safety issues, complaints may choose to access the UNDP Office of Audit and Investigation (OAI) via email (reportmisconduct@undp.org) or reverse charge telephone call (+1-844-595-5206).

10. Institutional arrangements

The IPP, ESIA and ESMP will take into account the needs and concerns of vulnerable peoples involved in project activities around minigrid sites, with direct consultations within the IPP and ESIA processes. Monitoring activities will involve the participation of vulnerable peoples, where defined within the IPP and/or ESIA and ESMP, and the Independent Mid-term Review (MTR) and Terminal Evaluation (TE) will include sections on the Project's engagement with vulnerable peoples.

Capacity support for implementation of the Vulnerable Peoples Plan

The IPP will detail actions to be taken within the Project to ensure that sufficient capacity is allocated to meet the objectives of the SES Standard 6 and the specific measures agreed within the IPP. Where capacity may be limited, the IPP will include additional actions to increase capacity in the short- or long-term to the same ends.

At minimum, the IPP will provide:

- i. A description of Project activities aimed at increasing capacity and/or sensitisation within the implementing partner, government and/or the affected vulnerable peoples, and facilitating exchanges, awareness, and cooperation between the two.
- ii. Where appropriate, a description of measures to support social, legal, technical capabilities of vulnerable peoples' organizations in the project area to enable them to better represent the affected vulnerable peoples more effectively.
- iii. Where appropriate and requested, a description of steps to support technical and legal capabilities of relevant government institutions to strengthen compliance with the country's duties and obligations under international law with respect to the rights of vulnerable peoples.

The IPP preparation will include consultations carried out by an expert familiar with the communities in question, and should be approved before any activities affecting vulnerable peoples commence.

11. Monitoring and reporting

- i. **Mechanisms and benchmarks appropriate to the Project for transparent, participatory joint monitoring, evaluating, and reporting.**

Project-level monitoring and evaluation will be undertaken in compliance with UNDP requirements as outlined in the UNDP POPP and UNDP Evaluation Policy. The UNDP Country Office is responsible for ensuring full compliance with all UNDP project monitoring, quality assurance, risk management, and evaluation requirements.

Additional mandatory GEF-specific M&E requirements will be undertaken in accordance with the GEF Monitoring Policy and the GEF Evaluation Policy and other relevant GEF policies. The costed M&E plan included below, and the Monitoring plan in Annex, will guide the GEF-specific M&E activities to be undertaken by this project. In addition to these mandatory UNDP and GEF M&E requirements, other M&E activities deemed necessary to support project-level adaptive management will be agreed during the Project Inception Workshop and will be detailed in the Inception Report.

Further to this, SES Standard 6 requires that transparent participatory monitoring arrangements be put in place wherein the vulnerable peoples concerned will jointly monitor Project implementation (Standard 6: 6.15). The IPP will define the methods of information disclosure from the Project to vulnerable peoples, taking into account appropriate language, mechanisms and format, and allowing for the participation of vulnerable peoples (both women and men), consultations and feedback for corrective actions within the Project where necessary. These duties are recommended to be periodically carried out by the SESO throughout the project duration, though may require vulnerable peoples' specialists for certain activities. This requirement should be defined after community consultations related to the ESIA and IPP formulation.

In order to ensure participation of vulnerable peoples in the monitoring process, the IPP should detail, at a minimum:

- the manner in which vulnerable peoples will participate in monitoring activities
- progress indicators and an estimated budget to ensure robust monitoring
- the participatory selection and involvement of an independent expert, where needed
- schedules for monitoring activities
- the mechanism for redress and corrective action

Additionally, the Independent Mid-term Review (MTR) and Terminal Evaluation (TE) will both provide analysis of the Project's engagement with vulnerable peoples.

ii. Mechanisms to allow for periodic review and revision of the IPP in the event that new Project circumstances warrant modifications developed through consultation and consent processes with the affected vulnerable peoples.

IPP review and modification due to changes in the project would be undertaken after one of the periodic consultations and monitoring activities undertaken by the SESO/M&E officer, or any vulnerable peoples specialists, or ad hoc consultations and consent with vulnerable peoples should the need arise. Any changes should reflect the needs, concerns and benefits to vulnerable peoples, and be agreed by the PMU, UNDP and ABER.

12. Budget and Financing

The costs below are only related to the preparation of the IPP. This may be carried out under the ESMP preparation activities, as a sub-contract or a standalone contract. In all cases the PMU and specifically the SESO will ensure a coordinated approach to ESMP and IPP development. Implementation costs of the IPP during the Project, for example a proportion of SESO or M&E Officer costs, are included under the ESMF implementation budget. Additionally, costs associated with the coordination of IPP implementation by the PMU or UNDP are not fully costed. Hence refer to the budget of the ESMF and Project Document in regard to implementation costs.

Breakdown of costs for IPP Preparation

Item	Budget Cost (USD)
International or national consultants (IPP preparation 18 days, plus 12 days for additional inputs for within project duration for IP specialist)	\$18,000
International travel expense and accommodation costs for consultant (if required)	\$1,800
National travel expense for consultations (transport and accommodation)	\$2,800
Print production expenses	\$750
Dissemination of materials costs to vulnerable peoples	\$500
Total:	\$23,850

Note: The *IPP* will be implemented as part of Project implementation. However, in no case shall Project activities that may adversely affect vulnerable peoples – including the existence, value, use or enjoyment of their lands, resources or territories – take place before the corresponding activities in the *IPP* are implemented. The relationship between the implementation of specific *IPP* measures and the permitted commencement of distinct Project activities shall be detailed within the *IPP* to allow for transparent benchmarks and accountability.

Where other Project documents already develop and address issues listed in the above sections, citation to the relevant document(s) shall suffice.

13. Annex I: Indicative Outline of an Indigenous People's Plan

This outline guides the preparation of an Indigenous Peoples Plan, although not necessarily in the order shown.

With the effective and meaningful participation of the affected peoples, the IPP shall be elaborated and contain provisions addressing, at a minimum, the substantive aspects of the following outline:

1. Executive Summary: Concisely describes the critical facts, significant findings, and recommended actions
2. Description of the Project: General description of the project, the project area, and components/activities that may lead to impacts on indigenous peoples
3. Description of Indigenous Peoples: A description of affected indigenous people(s) and their locations, including:
 1. description of the community or communities constituting the affected peoples (e.g. names, ethnicities, dialects, estimated numbers, etc.);
 2. description of the lands, territories and resources to be affected and the affected peoples connections/ relationship with those lands, territories and resources; and
 3. an identification of any vulnerable peoples within the affected peoples (e.g. uncontacted and voluntary isolated peoples, women and girls, persons with disabilities, elderly, others).
4. Summary of Substantive Rights and Legal Framework: A description of the substantive rights of indigenous peoples and the applicable legal framework, including:
 1. An analysis of applicable domestic and international laws affirming and protecting the rights of indigenous peoples (include general assessment of government implementation of the same);
 2. Analysis as to whether the project involves activities that are contingent on establishing legally recognized rights to lands, territories or resources that indigenous peoples have traditionally owned, occupied or otherwise used or acquired. Where such contingency exists (see Standard 6 Guidance Note, sections 5.1., 5.2), include:
 - i. identification of the steps and associated timetable for achieving legal recognition of such ownership, occupation, or usage with the support of the relevant authority, including the manner in which delimitation, demarcation, and titling shall respect the customs, traditions, norms, values, land tenure systems and effective and meaningful participation of the affected peoples, with legal recognition granted to titles with the full, free prior and informed consent of the affected peoples; and
 - ii. list of the activities that are prohibited until the delimitation, demarcation and titling is completed.
 3. Analysis whether the project involves activities that are contingent on the recognition of the juridical personality of the affected Indigenous Peoples. Where such contingency exists (see Standard 6 Guidance Note, section 5.2):
 - i. identification of the steps and associated timetables for achieving such recognition with the support of the relevant authority, with the full and effective participation and consent of affected indigenous peoples; and
 - ii. list of the activities that are prohibited until the recognition is achieved.
5. Summary of Social and Environmental Assessment and Mitigation Measures
 1. A summary of the findings and recommendations of the required prior social and environmental impact studies (e.g. targeted assessment, ESIA, SESA, as applicable) – specifically those related to indigenous peoples, their rights, lands, territories and resources. This should include the manner in which the affected indigenous peoples participated in such study and their views on the participation mechanisms, the findings and recommendations.

2. Where potential risks and adverse impacts to indigenous peoples, their lands, territories and resources are identified, the details and associated timelines for the planned measures to avoid, minimize, mitigate, or compensate for these adverse effects. Include where relevant measures to promote and protect the rights and interests of the indigenous peoples including compliance with the affected peoples' internal norms and customs.
6. Participation, Consultation, and FPIC Processes
1. A summary of results of the culturally appropriate consultation and, where required, FPIC processes undertaken with the affected peoples' which led to the indigenous peoples' support for the project.
 2. A description of the mechanisms to conduct iterative consultation and consent processes throughout implementation of the project. Identify particular project activities and circumstances that shall require meaningful consultation and FPIC (consistent with section 4 of the Standard 6 Guidance Note).
7. **Appropriate Benefits:** An identification of the measures to be taken to ensure that indigenous peoples receive equitable social and economic benefits that are culturally appropriate, including a description of the consultation and consent processes that lead to the determined benefit sharing arrangements.
 8. **Capacity support:** Description of measures to support social, legal, technical capabilities of indigenous peoples' organizations in the project area to enable them to better represent the affected indigenous peoples more effectively. Where appropriate and requested, description of steps to support technical and legal capabilities of relevant government institutions to strengthen compliance with the country's duties and obligations under international law with respect to the rights of indigenous peoples.
 9. **Grievance Redress:** A description of the procedures available to address grievances brought by the affected indigenous peoples arising from project implementation, including the remedies available, how the grievance mechanisms take into account indigenous peoples' customary laws and dispute resolution processes, as well as the effective capacity of indigenous peoples under national laws to denounce violations and secure remedies for the same in domestic courts and administrative processes.
 10. **Institutional Arrangements:** Describe schedule and institutional arrangement responsibilities and mechanisms for carrying out the measures contained in the IPP, including participatory mechanisms of affected indigenous peoples. Describe role of independent, impartial experts to validate, audit, and/or conduct oversight of the project.
 11. **Monitoring, Reporting, Evaluation:** Describe the monitoring framework for the project and key indicators for measuring progress and compliance of requirements and commitments. Include mechanisms and benchmarks appropriate to the project for transparent, participatory joint monitoring, evaluating, and reporting, including a description of how the affected indigenous peoples are involved. Indicate process for participatory review of IPP implementation and any necessary modifications or corrective actions (including where necessary consent processes).
 12. **Budget and Financing:** Include an appropriately costed plan, with itemized budget sufficient to satisfactorily undertake the activities described.

Note: The IPP will be implemented as part of project implementation. However, in no case shall project activities that may adversely affect indigenous peoples take place before the corresponding activities in the IPP are implemented. Such activities should be clearly identified. Where other project documents already develop and address issues listed in the above sections, citation to the relevant document(s) shall suffice.

14. Annex 2: Example of an initial screening questionnaire for identification of populations meeting SES 6 criteria

District:		Date returned:	
Contact person:		Date sent:	
Contact telephone:		Contact email:	

This questionnaire related to an upcoming project supporting electrification, to be implemented by the Ministry of Water, Irrigation and Electricity (MoWIE), financed by the Global Environment Facility, and implemented by the UNDP.

This project may include pilot sites for minigrid development. The information you provides will assist with the planning and implementation of components within the project.

We ask you to provide information as accurately as possible in consultation with your colleagues. Please type your answers within the document and return it via email.

We appreciate the completion of this questionnaire by ____ (date)_____, to be sent to ____ (name & email address)_____.

Should you require further information regarding this questionnaire, please contact ____ (name & telephone & email)_____.

Please fill in the information in the spaces provided below, using as much space as need.

<p>1. Within your district, are there communities considered to be particularly vulnerable by your office? (Yes/No). If yes, please identify the group(s) and their approximate locations.</p>

<p>2. Within your district, are there communities who speak minority languages? (Yes/No). If yes, please identify the group(s) and their approximate locations.</p>

<p>3. Within your district have you identified groups who, in the recent past or currently, did not develop agricultural practices and relied on hunting or other forms of livelihoods that rely on natural resources? (Yes/No). If yes, please identify the group(s) and their approximate locations.</p>

<p>4. Are there groups within your district who continue to practice pastoralism include seasonal migration? (Yes/No). If yes, please identify the group(s) and their approximate locations.</p>

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5. Please provide any other information or resources that may be relevant.