



# Intensification of Agriculture and Agroforestry Technologies (IAAT) for Climate Resilient Food and Nutrition Security: Tombouctou, Gao, Mopti, Koulikoro and Segou Regions of Mali

## Annex 6: Environmental and Social Assessment and Residual Risk Management Plan

Accredited Entity: Save the Children Australia

Version: B.41 – 2025/01/21

## LIST OF ACRONYMS

Acronym	Description
AE	Accredited Entity
AEDD	Agence de l'Environnement et du Développement Durable (Agency for Environmental and Sustainable Development)
CCA	Climate Change Adaptation
ESS	Environmental and Social Safeguard
ESMS	Environmental and Social Management System
ESO	Environmental and Social Policy
EE	Executing Entities
ESP	Environmental and Social Policy
HT	Human trafficking
GBV	Gender-based violence
GRM	Grievance Redress Mechanism
GCF	Green Climate Fund
GNI	The Gross National Income
IAAT	Intensification of Agriculture and Agroforestry Technologies
LDC	Least Developed Country
PS	Performance Standards
PAPs	Project affected people
PSC	Project Steering Committee
PESSMS	Project Environmental and Social Sustainability Management System
PIU	Project Implementation Unit
SCA	Save the Children Australia
SCI Mali	Save the Children International Mali
SCUS	Save the Children <u>Federation, Inc.</u> United States
SEAH	Sexual exploitation, abuse, or harassment
SAP	Simplified Approval Process
TOR	Terms of Reference
USAID	United States Agency for International Development
VAC	Violence against children

# Contents

<b>LIST OF ACRONYMS .....</b>	<b>4</b>
<b>1. Project Overview .....</b>	<b>5</b>
1. Integration of ESS Management .....	8
2. Green Climate Fund Safeguard Requirements .....	9
3. Disclosure .....	10
<b>2. Environmental and Social Screening .....</b>	<b>11</b>
1. Introduction .....	11
<b>3. Screening Methodology .....</b>	<b>11</b>
1. ESS Screening .....	11
2. ESS Screening Questions .....	14
<b>4. Environmental and Social Action Plan .....</b>	<b>28</b>
4.1 Introduction .....	28
4.2 Management of Identified Residual Risks .....	29
4.3 Technical Assistance and Plan Development .....	44
1. Policy and Plan Development .....	44
2. Gender Mainstreaming .....	44
3. Consultants .....	44
4. Capacity Building and Materials Development .....	44
4.4 Grievance Redress Mechanism .....	44
<b>5. ESARRMP Implementation .....</b>	<b>48</b>
1. Monitoring .....	48
2. Integration of ESARRMP into Project Management .....	49
3. ESS Roles and Responsibilities .....	49
1. Steering Committee .....	49
2. Accredited Entity .....	49
3. Project Implementation Unit .....	50
4. Technical Advisors / Consultants .....	50
4. ESS Training .....	50
5. Stakeholder Engagement .....	51
<b>Appendix 1: Safeguarding Risk Assessment .....</b>	<b>53</b>

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EE	Executing Entities
RESP	Revised Environmental and Social Policy
HT	Human trafficking
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## 1. Project Overview

1. Mali is a landlocked Least Development Country (LDC) in West Africa with an area of over 1.2 million sq. km. bordered by Algeria, Niger, Burkina Faso, Cote d'Ivoire, Guinea, Senegal, and Mauritania. The population of Mali is about 22 million, of which 60% of people live in rural areas and are predominantly agriculture-dependent (80% of total population). Mali's national poverty rate is estimated at 44% with an average per capita income of US\$ 2,609 in 2022. The dominant sources of agricultural production are crop production representing 45% (predominantly maize, rice, millet, and sorghum), and livestock production, representing 28% of total production (predominantly cattle, chickens, goats, and sheep). Agricultural activities provide more than 40% of the GDP with cotton and livestock covering 75-80% of Mali's annual exports.
2. Geographically, Mali has three climate zones, Tropical Wet and Dry-Tropical (Bamako, Koulikoro, Sikasso), Subtropical Steppe-Arid (Kayes, Mopti, Segou), and Subtropical Desert – Arid (Gao, Kidal, and Tombouctou). The Malian climate is characterized by three seasons: a dry season in March to June, a rainy season from June to September and an off-season or cold season from October to February. Increasing temperatures and rainfall variability, including extreme events such as floods, drought, and heat stress, are already affecting the targeted regions, reducing agricultural productivity, increasing land degradation, changing traditional transhumance patterns, increasing pressure on natural resources, and escalating loss of biodiversity. The transhumance patterns largely exist in the western and southern parts of Mali (Kayes and Sikasso regions) <sup>[1]</sup> which do not fall under the IAAT project. Even in these regions, pastoral mobility has been significantly changed due to the lack of biomass/forage and administrative constraints to move transboundary pastoral practices<sup>1</sup>. In the northern parts of the Gao and Tombouctou regions, the Tuareg reside, relying primarily on a pastoral system for their livelihood. The Tuareg-inhabited areas are located at a considerable distance from the circles selected by IAAT, and there is no specific evidence to suggest that members of this group reside within or near these selected areas. Climate change impacts are disproportionately felt by vulnerable women, disabled, children, youth, and subsistence farmers. The adoption of improved and climate-smart agroforestry and agricultural intervention is limited and insufficient to drive climate change adaptation and mitigation in the agriculture sector.
3. This proposed IAAT project will support climate-vulnerable smallholder agricultural production systems and rural livelihoods in Mali to increase climate resilience and low-emission development pathways. The project has three components: 1) increase adoption of improved and climate-smart agroforestry and agricultural technologies, practices, and services, 2) increase connectivity of smallholders, women and youth to the agriculture input and output markets, 3) strengthen institutional and stakeholders' capacities for scaling-up improved and climate-smart agroforestry and agriculture.
4. The project's paradigm shift goal is: IF smallholder farmers in highly vulnerable regions in Mali can access and adopt climate resilient technologies, knowledge, and low carbon agricultural practices, THEN their food, nutrition and water security will be improved BECAUSE their adaptive and mitigation capacities including improved technical skills, access to finance, markets and sustainable livelihoods, and that of public and private institutions, will be strengthened to respond to and reduce the climate change risk and impacts. The project will drive immediate and medium-term impacts through the farm and community-level actions that improve localized climate-resilient agricultural yields; reduce the time, energy, and labor effort by food producers, especially women, on farming activities; increase women's access to and control of agricultural inputs; and

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<sup>1</sup> International Organization for Migration (IOM), 2023. [Pastoral Mobility in the Context of Climate Change in Mali](#). IOM, Geneva

increase incomes. Long-term impacts will be achieved by increasing the climate resilience of farming systems, applying land use management, and reducing greenhouse gas emissions. Other long-term impacts will include enhanced access to climate-smart technologies to reduce climate-compromised (drought, heat seasonality, and flood-impacted) yield gaps, improve access to resources and support for women farmers to raise yields and improve food security, and reduce emissions through improved livestock and fodder production and reduced fertilizer use. The proposed IAAT project will be implemented in five climate-vulnerable regions of Mali selected based on the climate risk assessment and stakeholder consultations. These regions include from north to south: Tombouctou, Gao, Mopti, Koulikoro, and Segou. In Tombouctou, Gao, and Mopti, the project will build on the work of Albarka's Resilience Food Security Activity (Albarka funded by USAID). The Albarka will co-finance to implement some climate action and capacity-building activities of this GCF project in the regions. This project will focus on the 12 circles and within them 48 communes, in the Tombouctou, Gao, Mopti, Koulikoro and Segou regions in Mali based on their increased climate vulnerability. The selection of 12 circles (Figure 1) also considered a low level of conflict risk (detail is presented in Annex 02: Feasibility Study, Section VIII, 8.1.4 Assessment Method and 8.1.5 Results). The feasibility study considered the number of recent violent incidences at the circle levels to exclude circles with high and medium risk of conflict. Circles with high and medium levels of conflict have been excluded as it is not possible to operate the project activities. This IAAT project will be implemented in 48 communes and the communes will be selected based on the consultation with the local authorities, community members, right holders such as Indigenous Peoples and their representatives in case they are identified in the IAAT locations during the project implementation and may be affected by the proposed activities, and interest groups such as , women, and youths. Within these regions, circles, and communes, beneficiaries will include smallholder farmers and their households, women and youth entrepreneurs, private sector businesses, extension services members, and members of public institutions. The Agency of Environmental and Sustainable Development (AEDD in French acronym) under the Ministry of Environment and Sanitation will serve as an implementing entity and Save the Children Mal will serve as the Executing Entity.

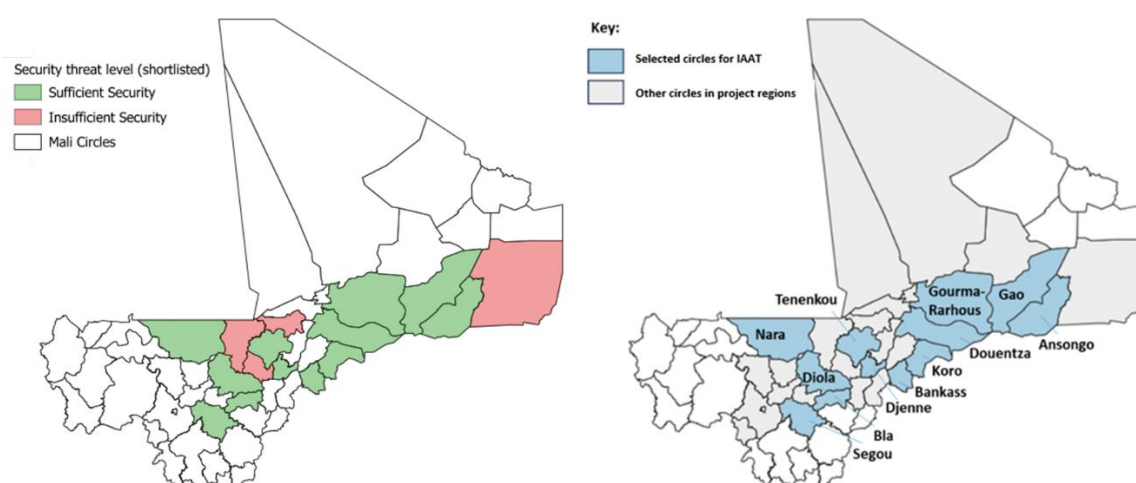


Figure 1: Panel a) security threat level at the circle level, Panel b) selected circles excluding circles with insufficient security (or risk of conflict)

5. IAAT implemented proactive consultations with regional and communal councils, community beneficiaries (i.e. farming cooperatives and unions, community leaders, youth and women, community committees, and local farmers in the targeted circles of the IAAT project (Annex 07: consultation and stakeholder engagement). This

consultation indicated that there is no limited or adverse conflict between the sedentary farmers and pastoralists in the selected 12 circles. The transhumance patterns exist in the western and southern parts of Mali (Kayes and Sikasso regions)<sup>2</sup> which do not fall under the IAAT project. Even in these regions, pastoral mobility has been significantly changed due to the lack of biomass/forage and administrative constraints to move transboundary pastoral practices<sup>3</sup>. In addition, stakeholders mentioned that the *Tuareg* group, which fall under GCF's broader category of Indigenous People, resides in the northern part of Gao, and Tombouctou regions and IAAT selected circles are far from the Tuareg located regions. This *Tuareg* are not present in the selected 12 circles for the IAAT project implementation, and their transhumance routes, or the transhumance route of any other Indigenous People, do not involve those circles. The pastoralists and agropastoralists within the selected 12 circles are not considered as the Indigenous People.

6. IAAT (through the co-EE, SCI Mali and implementing partner AEDD) will conduct further consultations with the community members in all 12 circles during the initial planning phase of the project to integrate the interests and needs of both sedentary farmers and pastoralists if any conflict exists between them in the selected 48 communes. Based on the needs of the communities, IAAT will establish activity-specific grievance redress mechanisms and fully implement remedial actions to address the potential conflicts between sedentary farmers and pastoralists. It is foreseen that this GRM takes into account their customary conflict management. IAAT also allocates resources for the integration of Indigenous and marginalized people's interests and needs including free, prior, and informed consent to implement IAAT activities, in case Indigenous Peoples are impacted by the activities of the project.
7. The project is consistent with Mali's climate policies and frameworks specifically targeted toward climate-resilient agriculture and agroforestry, including National Adaptation Programme of Action (NAPA-2007), National Climate Change Policy (NCCP -2017), National Climate Change Strategy (NCCS-2017), Nationally Determined Contributions (NDC 2016 and 2021), Strategic Framework for Economic Recovery and Sustainable Development in Mali (2016 to 2018), and Strategic Axis 4: Protection of the environment and strengthening of resilience to climate change of the strategic framework document for economic recovery and sustainable development (CREDD 2019-2023). These policies and frameworks encourage participatory and decentralized management of natural resources; strengthening national capacities and research on climate change; and promoting climate-smart income-generating livelihood options, sustainable land management, increased access to climate-ready crop varieties, and sustainable irrigation practices.
8. The IAAT Project validates the Category C (low risk) assessment because of the Environmental and Social Screening, which included a project development discussion, stakeholder meetings, a desktop analysis of similar projects in the region, and a review of viable choices. The proposed IAAT project has low or no environmental or social risks or consequences in the project locations (12 circles in five regions). However, recognizing that unforeseen risks can occasionally emerge during project implementation, the IAAT project includes comprehensive, proactive mitigation strategies (Table 2 and Table 4). These strategies are designed to address potential environmental or social issues promptly, with a focus on reducing, managing, or entirely eliminating risks as they arise, ensuring the project remains both sustainable and beneficial to the communities involved. Furthermore, any minor risks or consequences discovered can be

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<sup>2</sup> Umutoni and Ayantunde. 2018. [Perceived effects of transhumant practices on natural resource management in southern Mali](#).

<sup>3</sup> International Organization for Migration (IOM), 2023. [Pastoral Mobility in the Context of Climate Change in Mali](#). IOM, Geneva

readily avoided by using basic management actions. An environmental and social assessment was needed under the Green Climate Fund (GCF) Revised Environmental and Social Policy (the ESP) (B.BM-2021/18) and Guidelines for the Environmental and Social Screening of Activities proposed under the Simplified Approval Process to appropriately screen and analyse potential environmental and social implications.

9. This Annex was created to guarantee that the GCF Environmental and Social Safeguards (ESS) and ESP are continuously integrated into the Project during the planning and execution of individual and community-level activities. It specifies the procedures, activities, and institutional mechanisms to be used during the Project's execution to ensure that the Project stays low-risk, and that any negative environmental and social consequences are mitigated or reduced to acceptable levels.

## **1. Integration of ESS Management**

10. Save the Children Australia (SCA), as the Accredited Entity (AE), and Save the Children International (SCI) in Mali (SC Mali) as the Executing Entity (EE), are responsible for ensuring that the requirements of this Environmental and Social Assessment and Residual Risk Management Plan (ESARRMP) are fully integrated into the Project. It is the responsibility of the AE to ensure that suitable ESS processes and reporting are in place to guarantee that the Project is completed with little or no negative environmental or social effect.
11. SCA and SCI Mali will:
  - Ensure that all relevant implementing parties are sensitized on aspects of the plan and receive appropriate training to fulfil their individual environmental and social responsibilities.
  - Ensure that the necessary resources and skills are retained to successfully carry out all mitigation measures.
  - Formally monitor and report on the environmental and social performances of all activities; and
  - Require that implementing parties manage their environmental and social performance in line with this ESARRMP.
12. The AE will also coordinate the Project Implementation Unit (PIU) to:
  - Continually monitor and report as needed issues related to social and environmental risk.
  - Raise awareness amongst target communities on this ESARRMP and the project Grievance Redress Mechanism (GRM), GCF's IRM, legal redress system, SC Australia's GRM.
13. The ESARRMP shall form part of any procurement documentation or Terms of Reference (TOR), and it shall be the AE's responsibility to ensure that all procurement documents and contractual specifications are subject to review against this ESARRMP to ensure that all appropriate safeguard measures are captured at the bid stage and in all contracts.
14. It is further the responsibility of the AE to ensure that this ESARRMP is considered in review of any TOR for Technical Assistance developed for the Project. The safeguard requirements for any design or supervision of the Project will be fully integrated into TOR to ensure that all safeguard responsibilities allocated within the ESARRMP are realized at the tender stage.
15. In this way, the ESARRMP will be fully integrated within the Project so that the required measures will be fully appreciated by all responsible parties and successful implementation will be achieved.



## 2. Green Climate Fund Safeguard Requirements

16. The objectives of the GCF Revised Environmental and Social Policy (RESP) (B.BM-2021/18), are to:
- Avoid, and where avoidance is impossible, mitigate adverse impacts to people and the environment,
  - Avoid, and where avoidance is impossible, mitigate the risks of sexual exploitation, abuse, or harassment (SEAH) to people impacted by GCF-financed activities,
  - Enhance equitable access to development benefits; and
  - Give due consideration to vulnerable and marginalized populations, groups, individuals, local communities, indigenous peoples, and other marginalized groups of people and individuals that are affected or potentially affected by GCF-financed activities.
17. The RESP requires that all projects be screened for their environmental and social impacts, that those impacts be identified, and that the proposed project be categorized according to its potential environmental and social impacts. Regardless of which category a project is screened, all environmental and social risks shall be adequately identified and assessed by the AE openly and transparently with appropriate consultation.
18. The scope of the environmental and social assessment shall be commensurate with the scope and severity of potential risks. The assessment should assess all potential environmental and social risks and include a proposed risk management plan or in this case an Environmental and Social Assessment and Residual Risk Management Plan (ESARRMP).
19. All projects supported by the GCF shall be designed and implemented to meet the RESP Performance Standards (PS), although it is recognized that depending on the nature and scale of a project not all PS will be relevant to every project. The PS of the GCF and their objectives are listed below.

### **PS1 Assessment and management of environmental and social risks and impacts**

- a) Identify the funding proposals' environmental and social risks and impacts
- b) Adopt mitigation hierarchy: anticipate, avoid; minimize; compensate or offset
- c) Improve performance through an environmental and social management system
- d) Engagement with affected communities or other stakeholders throughout the funding proposal cycle. This includes communications and grievance mechanisms

### **PS2 Labour and Working Conditions**

- a) Fair treatment, non-discrimination, equal opportunity
- b) Good worker-management relationship
- c) Comply with national employment and labour laws
- d) Protect workers, those in vulnerable categories
- e) Promote safety and health
- f) Avoid the use of forced labour or child labour

### **PS3 Resource Efficiency and Pollution Prevention**

- a) Avoid, minimize, or reduce project-related pollution
- b) More sustainable use of resources, including energy and water
- c) Reduced project-related greenhouse gas emissions

**PS4 Community Health, Safety and Security**

- a) To anticipate and avoid adverse impacts on the health and safety of the affected community
- b) To safeguard personnel and property in accordance with relevant human rights principles

**PS5 Land Acquisition and Involuntary Resettlement**

- a) Avoid/minimize adverse social and economic impacts from land acquisition or restrictions on land use:
  - (i) Avoid/minimize displacement
  - (ii) Provide alternative project designs
  - (iii) Avoid forced eviction
- b) Improve or restore livelihoods and standards of living
- c) Improve living conditions among displaced persons by providing:
  - (i) Adequate housing
  - (ii) Security of Tenure

**PS6 Biodiversity conservation and sustainable management of living natural resources**

- a) Protection and conservation of biodiversity
- b) Maintenance of benefits from ecosystem services
- c) Promotion of sustainable management of living natural resources
- d) Integration of conservation needs and development priorities

**PS7 Indigenous Peoples**

- a) Ensure full respect for indigenous peoples
  - i) Human rights, dignity, aspirations
  - ii) Livelihoods
  - iii) Culture, knowledge, practices
- b) Avoid/minimize adverse impacts
- c) Sustainable and culturally appropriate development benefits and opportunities
- d) Free, prior, and informed consent in certain circumstances

**PS8 Cultural Heritage**

- a) Protection and preservation of cultural heritage
- b) Promotion of equitable sharing of cultural heritage benefits

**3. Disclosure**

20. The PIU is required to publicly release this ESARRMP as part of the GCFs RESP obligations. The PIU will guarantee that the ESARRMP is made available in physical copy and online, in a format that can be easily downloaded using existing network bandwidth and people's present internet connection. During dialogues, communities should be made aware of the disclosure. Similarly, the PIU will ensure that multiple copies of all developed safeguard instruments are available locally at the relevant Chiefdoms and are freely accessible to impacted groups and local non-governmental organizations (NGOs).

## **2. Environmental and Social Screening**

### **1. Introduction**

21. The eight PS of the GCF's RESP were evaluated during project preparation. And none is assessed to have been activated in accordance with the Category C risk ranking.
22. As part of their AE status, SCA implements all projects in accordance with their own Environmental and Social Management System (ESMS), which formed the basis for their Category C GCF accreditation. The risk categorisation table within the SCA ESMS has been tailored to this project and includes expanded aspects of the applicable GCF PSs to ensure that all ongoing environmental and social screening of activities as they are further developed continue to capture all potential impacts that are outside the Category C rating. The GCF Simplified Approval Process (SAP) was utilized as the foundation for customizing the ESMS.
23. In addition to tailoring the PESSMS specifically to this project using the GCF SAP, this ESARRMP also includes a Gender Equity and Human Rights checklist (**Table 3**) as part of the screening. The GCF's RESP requires every project, regardless of category, screens to ensure compliance with these standards.
24. SCA has zero tolerance for any abuse and exploitation committed by representatives against adults or children in the communities where the projects are implemented in. A key priority is safeguarding all children and adults who come into contact with our organisation from all forms of abuse and harm including sexual exploitation, abuse, and harassment (SEAH). The SRA ensures that safeguarding risks including SEAH are identified, and adequate controls are developed and monitored.
25. Section 3.2 describes the GCF SAP ESS screening including the result.

### **3. Screening Methodology**

#### **1. ESS Screening**

26. The proposed project has minimal or no adverse environmental or social risks or impacts. The overall project design, as well as the list of eligible activities at the farm, community, and institutional levels, have been screened using the tailored Environmental and Social Management System (ESMS) screening tool of Save the Children. The screening tool indicates a low degree of concern, i.e., category C. Some interventions, such as locations for the installation of solar pump irrigation, biodigester, and tree plantation in the degraded lands will only be identified in the beginning of the project implementation. During the baseline survey period, IAAT will conduct detailed profiling of soil characteristics and groundwater availability, land use and management practices (including, if present, those of Indigenous Peoples), and assess requirements of water distribution facilities. This analysis will help to decide the most suitable locations and sizes of the solar pump and biodigester requirement, as well as the location for agroforestry and tree plantation. In addition, the selection of communes and direct beneficiaries will be based on the consultation with the local authorities, community members, and rights holders including Indigenous Peoples and their representatives in case they are potentially impacted by the project, as well as interest groups such as women, and youth.
27. The project is confirmed to fit within the thresholds of Category C (low risk) because of the Environmental and Social screening which entailed a project development discussion, stakeholder meetings, a desk study of similar projects in the region, and a

review of potential options. Save the Children implements all projects according to the ESMS through a screening and management process based on their Category C GCF accreditation.

28. In undertaking this screening, the potential risks and impacts have been considered including direct and indirect, induced, long-term and cumulative impacts, and the proposed activities' area of influence, residual risks (if any) and mitigation measures toward these. There is a potential risk that some of the eligible activities at the farm, community, and institutional levels could lead to minimal negative environmental or social impacts, but these can be mitigated.

Risk category	Description of risks
Low	Activity is considered to have minimal or no adverse impact (direct or indirect) on the environment – <b>unlikely</b> to have a significant impact on the environment.
Medium	Activity <b>might</b> have a significant impact on the environment (direct or indirect), particularly in the absence of mitigation measures. Impacts are typically local and short-term and are not in environmentally sensitive areas. Activities where impacts are uncertain are likely to fit into this category.
High	Activity is <b>likely</b> to have a significant impact on the environment (direct or indirect), even if mitigation measures are successfully implemented. Impacts typically affect a large or sensitive geographic area or have permanent and long-lasting effects.

Figure 1: SCA PESSMS Risk Categorisation

29. Below is the full screening tool applied to the proposed suite of activities.

30. The SCA SRA tool is used to screen for safeguarding and SEAH risks caused by project activities, staff, and representatives, including consultants, volunteers, partners, and suppliers. Also safeguarding and SEAH risks in the project context and external environment. The full tool is attached as Appendix 2.

31. The following activities under different outputs and components were evaluated against the ESS checklist:

#### Component 1: Extension services and on-farm CSA adoption

Output 1.1: Improved technical capacities and inclusivity of extension services in climate-smart agriculture and agroforestry production

Activity 1.1.1: Build technical capacity and reach of extension services on CSA and agroforestry techniques.

Output 1.2: Increased use of climate-resilient practices in the production of CSA crops, livestock, and agroforestry by smallholder farmers

Activity 1.2.1: Build awareness, capacity, community interest and field-level adoption of CSA techniques and agroforestry amongst smallholder farmer communities (crop and/or livestock)

Output 1.3: Increased land area under agroforestry

Activity 1.3.1 Develop land-use mapping at the regional level.

Activity 1.3.2 Plant agroforestry trees on community and state-owned lands

**Component 2: CSA and Agroforestry Technologies**

Output 2.1: CSA and agroforestry VCs are more connected and reach more smallholder farmers

Activity 2.1.1: Support the creation of inclusive private sector value chains for key CSA/agroforestry crops and technologies.

Output 2.2: Smallholder farmers, especially youth and women, can more easily overcome barriers to entrepreneurship in CSA and agribusiness.

Activity 2.2.1 Support local financial institutions to increase access to finance for smallholder farmers, especially women, and youth for CSA/agroforestry investments

Activity 2.2.2 Enhance capabilities and connectivity of youth and women CSA/agribusiness entrepreneurs

Output 2.3: Increased adoption of climate-smart agriculture technologies by smallholder farmers

Activity 2.3.1 Install and support the productive use of biogas systems and solar irrigation systems among smallholders farmers.

**Component 3: Institutional capacity and knowledge**

Output 3.1: Increased institutional capacity in climate change adaptation and mitigation planning and best practices to address agriculture-related climate risks.

Activity 3.1.1 Strengthen institutional capacity in localized climate change adaptation and mitigation planning.

Activity 3.1.2 Technical capacity building of national climate funding institutions for disbursements management

Output 3.2: Enhanced knowledge sharing and coordination of best practices in CSA and agroforestry across stakeholders.

Activity 3.2.1 Enhanced convening and contribution to national databases for CSA and Agroforestry

## 2. ESS Screening Questions

Table 1: Exclusion Criteria List

No	General	YES	NO	Proposed Project Activity
1	Will the activities involve associated facilities or generate cumulative impacts that would require further detailed due diligence and management planning?		X	All activities will be implemented under government policies and regulations
2	Does this project involve, or will it encourage land clearing or other types of land-use change including the intensification of land use (e.g., removal of vegetation and bushland, cutting of trees, natural or man-made bush fires, reduction/drying of wetlands or swamps, etc.)?		X	This project proposes agroforestry plantation (only tree plantation) in the degraded lands with minimum soil disturbance. The project will not support the expansion of crops and other cultivation through land clearance, cutting trees and bush fires, and changes in water sources.
3	Will the activities involve the construction, maintenance, and rehabilitation of critical infrastructure (like dams, water impoundments, and coastal and riverbank infrastructure) that would require further technical assessment and safety studies?		X	Solar pump irrigation, biodigesters, and rainwater harvesting may create temporary and short-term disturbances to households during installation works but will not have significant impacts
4	Will the proposed activities potentially involve resettlement and dispossession, land acquisition, and economic displacement of persons and communities?		X	Climate-smart agriculture will be promoted on private land, and the communities will rehabilitate degraded grass and pasture lands for sustainable land management. This will not trigger resettlement, dispossession, land acquisition, and economic displacement of persons and communities, including Indigenous Peoples.
5	Will the activities involve transboundary impacts including those that would require further due diligence and notification to affected states?		X	
6	Will the activities potentially generate hazardous waste and pollutants including pesticides and contaminate lands that would require further studies on management, minimization and control and compliance to the country and applicable international environmental quality standards?		X	IAAT will not promote chemical pesticides, fertilizers and waste generated by biodigester will be managed to produce farm manure.  Installation of solar panels, which may be damaged, and/or end-of-life of solar panels can generate waste products. IAAT will ensure that the solar panel suppliers will take it back either for recycling or proper disposal with limited hazardous waste/pollutants and no significant impact on the environment.

7	Will the activities be located in protected areas and areas of ecological significance including critical habitats, key biodiversity areas, and internationally recognized conservation sites?		X	Targeted communities 12 circles are not located near critical habitats, key biodiversity areas or conservation sites. During the project implementation, 48 communities will also avoid these critical areas.
8	Will the activities adversely affect working conditions and the health and safety of workers or potentially employ vulnerable categories of workers including women and children?		X	
9	Will the planned project activities potentially lead to conflict with wildlife or be a risk for wildlife?		X	
10	Will the activities affect Indigenous Peoples?		X	<p>Stakeholders mentioned that the Tuareg, also considered as Indigenous People within the GCF's broader category of IP, reside in the northern part of Gao, and Tombouctou regions. This Tuareg group is not presented in the selected 12 IAAT project circles, Other marginalized and highly vulnerable peoples such as small and marginal farmers, pastoralists, women, disabled people, young children and youth reside in the 12 selected circles. The rehabilitation of degraded grass and pastureland will aim to benefit Pastoralists and Agropastoralists through a community-based sustainable resource management approach.</p> <p>IAAT (through executing entities) will conduct further consultations with the community members in all 12 circles starting at the initial planning phase and all through the project phases to integrate the interests and needs of the Indigenous Peoples (if present in the area), during the selection of 48 communes that will ensure application of free, prior and informed consent through their community members and/or their representative institutions. This process will help to establish appropriate development of inclusion and development plans and grievance and redress mechanisms complementary to the GCF's independent redress mechanisms. Based on the needs of the communities, IAAT will establish activity-specific grievance redress mechanisms and fully implement remedial actions.</p>
11	Will the activities be located in areas that are considered to have archaeological (prehistoric), paleontological, historical, cultural, artistic, and religious values or contain features considered as critical cultural heritage?		X	The AE will make sure, etc

12	Are there other actors (INGOs, CSOs, government) in the project location that are implementing activities with a climate or environmental component? (to ensure our activities are not overexploiting natural resources or putting pressure on the local environment)	X		IAAT will coordinate closely with the government and other organizations working in the targeted regions to minimize overlapping of activities and enhance support in natural resource management without putting pressure on the local environment.
	<b>WASH</b>			
13	Does this project involve, or will it encourage construction of WASH infrastructure: including temporary and permanent, for household and community use, new construction, and rehabilitation e.g., boreholes, ponds, dams, etc.?	X		<p><b>Activity 1.2.1:</b> Build awareness, capacity, community interest, and field-level adoption of CSA techniques and agroforestry amongst smallholder farmer communities (crop and/or livestock), such as:</p> <ul style="list-style-type: none"> <li>- Rainwater harvesting will include small farm earthen ponds that hold 2000–3000 liters of rainwater water collected from the rooftop and natural runoff from the farmlands for a small home gardening purpose. Ponds are entirely sealed with soil without using any cement and other construction materials. Detailed feasibility by location and farming type will be conducted during the baseline survey period.</li> <li>- Rainwater harvesting ponds will be open and there might be a risk of spreading vector-borne diseases. IAAT will ensure to use of this water only for irrigation purposes with proper drainage, and the use of biopesticides to control insects in the open ponds</li> <li>- Rehabilitation of existing water sources includes maintenance of farm/community ponds and natural water sources through water users' groups. The project will only provide knowledge and capacity-building training, and no support in any construction activities.</li> </ul> <p><b>Activity 2.3.1</b> Install and support the productive use of biogas systems and solar irrigation systems among smallholder farmers.</p> <ul style="list-style-type: none"> <li>- Installation of irrigation systems. Material requirement:</li> <li>- Solar pump irrigation: Solar panels, pumps, water pipes for pumping and distribution of water in the farm, solar panels mounting iron poles.</li> </ul> <p>IAAT will conduct detailed profiling of soil, water availability, and irrigation needs to finalize the location and size of the solar pumping systems during the initial preparation phase of the project. Current cost estimation includes 0.4 and 5-hp solar pump irrigation systems. This size may vary depending on the location and farming type. All irrigation systems promoted by IAAT will be solar powered (small 0.4 hp, medium 3 hp, and large 5 hp), either through the replacement of existing diesel</p>



				<p>pumps or installation of new solar pump systems. Detailed profiling of solar pumps, biodigester, and rainwater harvesting ponds during the initial state of the project will provide this information.</p> <p>- Water storage ponds. All water storage ponds will be earthen without using concrete and other materials that will support rainwater harvesting.</p> <p>- Biogas digestors. Biodigester: bricks/concrete blocks, cement, pipes, stove, gas regulators, and slurry collector. IAAT will promote small family size with 6-10 m<sup>3</sup> Biogas digester</p>
14	Does the project involve trucking of water?		X	
15	Are the project activities close to an open surface water e.g., dam, perennial river, stream, lake, etc.?		X	
16	Will this project rehabilitate or construct latrines?		X	
<b>Food Security &amp; Livelihoods</b>				
17	Does this project involve soil movement or relocation, e.g., topsoil movement, swales, general earth work?		X	Construction of small-sized earthen farm ponds for rainwater harvesting, digging a pit for biodigester, and installation of solar pump can excavate soil. Farming households will use this excavated soil for farm bunding, making dikes for farm ponds, and spreading over the cultivated land for crop cultivation. This soil will be left covered where the risk of runoff is high. These are small-scale soil excavation activities that will be managed without large labor and financial costs.
18	Does this project involve or will it encourage the construction of large irrigation schemes/cannel or diversion of water, groundwater extraction/wells & boreholes (includes either new or increased volumes)		X	
19	Does this project directly or indirectly lead to an increase of ruminant livestock (i.e., cattle, sheep, goat, camel)?		X	The project will promote the cultivation and production of grass and fodder to supply for livestock production. That might indirectly increase the number of livestock at farms and communities. No limited or significant adverse impacts are expected because the increased grass and fodder production will not lead to over grazing and land degradation due to the increase in livestock number.

				The inclusion of more grass and fodder in livestock feed will reduce GHG emissions from the ruminants and the promotion of biodigester will support manure management which is one of the key components of livestock-related GHG emissions.
20	Does the project use or supply fuel-powered agricultural machinery (e.g., tractors, pumps, generators, etc.)?		X	The project will only use solar energy-based pumps. No fossil fuel-based pump will be promoted/distributed.
21	Does the project involve the use of natural resources for livelihood activities (soil, sand, water, wood, etc.)?	X		<b>Activity 2.3.1</b> Install and support the productive use of biogas systems and solar irrigation systems among Irrigation use of water- No limited or significant adverse impacts are expected, as the proposed activities involve improving current water use efficiency as a CSA activity at the farm and community levels, and also implementing water conservation technologies and practices.
22	Does the project involve tree planting activities with exotic, non-indigenous species?		X	Tree planting under the Agroforestry intervention will only promote locally available species.
<b>Infrastructure</b>				
23	Does this project involve, or will it encourage construction or demolition of any permanent building, for example: schools, hospitals or public buildings?		X	
24	Does this project involve, or will it encourage changes to the foundation, walls, or roof of a permanent building (i.e., structural renovation), for example schools, hospitals, or public buildings?		X	
25	Does this project involve, or will it encourage construction of paved roads or bridges?		X	
26	Will the activities involve the use of machinery for the construction, maintenance, and rehabilitation of critical infrastructure such as dams, water impoundments, and coastal or riverbank infrastructure?		X	Water impoundments (harvesting ponds), construction of biodigesters, and installation of solar pumps irrigation will use human labor
<b>Energy</b>				
27	Does this project supply or make use of non-renewable energy sources (e.g., diesel generators, charcoal/firewood stoves)?		X	
<b>Waste</b>				

28	Will the activities potentially generate, manage, or use hazardous waste (e.g., medical, electric, batteries, chemical)?	X		<p>Biodigester will generate slurry as waste that will be used to produce farm manure by providing training to the farmers. Sometimes there can be potential effluent from biodigester operation. Which will be stabilized in the pond in the biodigester outlets</p> <p>Hazardous waste generated from damaged solar panels or solar panels that have reached end-of-life will be managed following disposal rules followed by the solar panel provider.</p> <p>IAAT will ensure that the solar panel suppliers will take it back either for recycling or proper disposal with limited hazardous waste/pollutants and no significant impact on the environment. In addition, hazardous waste generated from damaged solar panels or solar panels that have reached end-of-life will be managed through the disposal rules followed by the solar panel provided and imposed by the government of Mali.</p>
29	Will the activities potentially generate, manage, or use pollutants of air, soil or water (e.g., CO2 emissions, lead, plastic packaging)?	X		<p>Following Activities manage or reduces CO<sub>2</sub> emissions:  <b>Activity 1.2.1:</b> Build awareness, capacity, community interest and field-level adoption of CSA techniques and agroforestry amongst smallholder farmer communities (crop and/or livestock)  <b>Activity 2.3.1</b> Install and support the productive use of biogas systems and solar irrigation systems among smallholder farmers.</p> <p>The potential of solid waste generation (i.e. containers of construction materials and excess construction materials) during the installation of solar pump irrigation and biodigester systems will be managed using solid waste management producers and rules imposed by the government of Mali.</p>
30	Will the activities potentially generate, manage or use pesticides and chemical fertilizers?		X	
	<b>Shelter</b>			
31	Will the project involve the construction of new settlements?		X	
32	Will the project involve the extension of existing settlements?		X	
	<b>Communities</b>			
33	Does the project involve the temporary or permanent dislocation, resettlement or dispossession of (non-indigenous) individuals or communities?		X	<p>This project will not promote any form of cultivation or conversion of natural forest to agriculture. In the private agriculture lands, the project will promote the integration of tree plantation as an agroforestry system.</p>

				<p>In communal/public lands, the project will promote only tree plantation for the rehabilitation of degraded lands. No crops and other cultivation will be promoted in the public grass/pasture lands. In fact, land conversion for the cultivation of crops is not allowed in public grass/pasture lands.</p> <p>The transhumance patterns exist in the western and southern parts of Mali (Kayes and Sikasso regions) which do not fall under the IAAT project regions. The transhumance patterns also do not exist in the 12 selected circles of the IAAT project.</p> <p>Tree plantation in public grass/pastureland will be done around communities where they are historically used for livestock production, under the condition that those lands are not customarily used or owned by Indigenous Peoples. 48 communes will select areas in their periphery where the territorial collective and local government granted permits to use these lands for sustainable management and use. These regions include more than 7 million grass and pastureland, transhumance corridors are far from the communities that have been practicing permanent agriculture systems. In consultation with local government, public grass/pastureland management authorities, and community members, including Indigenous Peoples (if identified during the project implementation). In partnership with any Indigenous People that may be impacted by the project, IAAT will select degraded lands in the periphery of communities for tree plantation that will support local communities. This activity will not be implemented and in any transhumance corridor or land customarily occupied or used by Indigenous Peoples.</p> <p>Farmers already have land ownership rights and have permission from the communal or village authorities to implement land management activities. In any case, before the investment is made in private and public lands, local authorities make sure that no conflict will arise because of the investment in natural resource use and management.</p>
34	Does the project negatively impact the availability of community services and resources of indigenous or non-indigenous communities?		X	<p>IAAT implemented intensive consultations with regional and communal councils, community beneficiaries (i.e. farming cooperatives and unions, community leaders, youth and women, community committees, and local farmers in the targeted circles of the IAAT project (<b>Annex 07: consultation and stakeholder engagement</b>)). This consultation indicated that there is no limited or adverse conflict between the sedentary farmers and pastoralists in the selected 12 circles.</p>

			<p>IAAT will implement its activities in 48 agricultural communities (where permanent agriculture has been already established and do not overlap with any transhumance corridor) and tree plantations in public lands around the periphery of those agriculture-dependent communities where community user rights are already established, under the condition that they are not customarily used or owned by Indigenous Peoples (provided by Territorial Collectives and local governments). This approach will avoid conflict between sedentary farmers and pastoralists. In addition, IAAT will focus on the rehabilitation of degraded land around the communities for sustainable natural resource management that will benefit all users.</p> <p>IAAT will focus on community water resources rehabilitation and management, and instalment of solar pump irrigation where groundwater extraction can be sustainably recharged and without overexploitation. A detailed technical and physical suitability analysis during the project implementation will avoid the proximity of solar pumps with the public water bodies (e.g. rivers, lakes, and other public water sources) so that it will not negatively affect other people who have been using public water resources. The installation will be started after approval from the local government and communities, including Indigenous Peoples in case they are affected.</p> <p>IAAT (through executing entities) will conduct further consultations with the community members in all 12 circles during the initial planning phase of the project to integrate the interests and needs of both sedentary farmers and pastoralists if there is any conflict exists between them in the selected 48 communes. Based on the needs of the communities, IAAT will establish activity-specific grievance redress mechanisms and fully implement remedial actions to address the potential conflicts between sedentary farmers and pastoralists.</p>
35	Does the project effectively consult for the application of free, prior, and informed consent through appropriate procedures for the GCF-financed activities that may affect Indigenous Peoples' lands, territories, resources, livelihoods, and cultures or require their relocation?	X	<p>IAAT implemented intensive consultations with regional and communal councils, community beneficiaries (i.e. farming cooperatives and unions, community leaders, youth and women, community committees, and local farmers in the targeted circles of the IAAT project (<b>Annex 07: consultation and stakeholder engagement</b>)). Stakeholders mentioned that the Tuareg reside in the northern part of Gao, and Tombouctou regions. This Tuareg group is not presented in the selected 12 IAAT project circles. Other marginalized and highly vulnerable peoples such as</p>

				<p>small and marginal farmers and pastoralists, women, young children, disabled people and youth reside in the 12 selected circles.</p> <p>The selected IAAT interventions (climate-smart agriculture, agroforestry, solar pump irrigation, biodigester included in the activities 1.2.1, 1.3.1, 1.3.2, and 2.3.1) are based on the consultation with the regional and communal councils, community beneficiaries i.e. farming cooperatives and unions, community leaders, youth and women, community committees, and local farmers (also include smallholder, marginal, and vulnerable populations). One of the objectives of the consultations was to draw learnings from their experience and knowledge and identify potential risks and mitigation strategies across the IAAT interventions (<b>Annex 07, Table 2. Stakeholder groups and engagement objectives</b>).</p> <p>IAAT (through executing entities) will conduct further consultations with the community members in all 12 circles starting from the initial planning phase of the project and all through the other phases to integrate the interests and needs of the Indigenous People in case they are present in the area, marginal and smallholder farmers, pastoralists, and climatically highly vulnerable people during the selection of 48 communes. For Indigenous Peoples, this will ensure the application of free, prior and informed consent through their community members and/or their representative institutions. This process will help to establish appropriate grievance and redress mechanisms complementary to the GCF's independent redress mechanisms. Based on the needs of the communities, IAAT will establish activity-specific grievance redress mechanisms and fully implement remedial actions.</p>
36	Does the project impact on lands and natural resources subject to traditional ownership or under customary use or occupation?		X	<p>The selected IAAT interventions (climate-smart agriculture, agroforestry, solar pump irrigation, biodigester included in the activities 1.2.1, 1.3.1, 1.3.2, and 2.3.1) will not impact Indigenous Peoples' lands ownership, territories, resources, livelihoods, and cultures or require no relocation. These interventions were selected through the common consensus among regional and communal councils, community beneficiaries i.e. farming cooperatives and unions, community leaders, youth and women, community committees, and local farmers (also including smallholder, marginal, and vulnerable populations). There was a common understanding of no limited or adverse impact of project</p>

				<p>interventions on lands and natural resources subject to traditional ownership, customary use or occupation of some groups.</p> <p>All stakeholders agreed that selected interventions can provide benefits of improving agricultural production, food security, and sustainable natural resource management for all members of the communities, including climatically vulnerable marginal and smallholder farmers and pastoralists, women, young children, and youth</p> <p>Based on the needs of the communities, IAAT will establish activity-specific grievance redress mechanisms through community consultation starting at the beginning of the project implementation and all through the project to fully implement remedial actions if they undermine traditional land ownership, customary use or occupation of the Indigenous Peoples, marginal and smallholder farmers and pastoralists, and climatically highly vulnerable people.</p>
37	Relocation of Indigenous peoples from lands and natural resources subject to traditional ownership or under customary use or occupation		X	
38	Does the project negatively affect the quality of life, safety (including the protection of children) or cultural/heritage of indigenous or non-indigenous communities?		X	
39	Does the project affect a heritage place or setting?		X	The project will notify relevant authorities in case of chance finds and adhere to the guidance provided by the authority.
40	Does the project involve land acquisition?		X	<p>Installation of solar pumps and biodigester will be in private farmlands.</p> <p>Some large solar pumps that support groups of farmers will be installed in the public lands with approval from the local government and community members. This installment in the public lands should not impact water resources and other water users in the community.</p> <p>Tree plantations will be located in private farmlands and degraded public lands. A detailed land use assessment and consultation with communities, including Indigenous Peoples if that is the case, and local government will provide actual locations of solar pump irrigation and biodigester installment, and rehabilitation of degraded lands.</p>

41	Does the project involve the establishment of new protected zones or parks that restrict access to lands and resources for people and communities?		X	
<b>Labor and Working Conditions</b>				
39	Do the project activities adversely affect the working conditions of labor who will be involved in infrastructure development?		X	
40	Do the project activities employ vulnerable categories of workers including women and children?		X	
41	Do the project activities expose beneficiaries to pesticides/chemicals?		X	Activity 1.1.1 Promotion of climate-smart agriculture will not promote any pesticides and chemicals in agriculture and agroforestry systems. Training and capacity-building guidelines will include this component of avoiding chemical pesticides and other agrochemicals.
42	Do some project activities pose safety risks to the workers?	X		<b>Activity 2.3.1</b> Install and support the productive use of biogas systems and solar irrigation systems among smallholder farmers. No significant negative impacts are foreseen, as the proposed activities involve the installation of support from technical experts and the project will implement safety measures. Solar and biodigester system installation manual and training will include safety measures.
<b>Community Health, Safety, and Security</b>				
43	Do project activities accelerate conflict in the communities?		X	This project will promote community engagement including all local stakeholders and community priorities and agreement will be necessary to implement all activities. This project will promote harmonization among the communities and improvement of local resources for better livelihood. This will further minimize the conflict among the communities and groups.
44	Does ongoing conflict create safety and security threats to the beneficiaries, community, and project staff?		X	This project will be implemented in the 12 circles and within them 48 communes, in the Tombouctou, Gao, Mopti, Koulikoro and Segou regions in Mali based on their increased climate vulnerability. The selection of 12 circles also considered a low level of conflict risk (detail is presented in Annex 02: Feasibility Study, Section VIII, 8.1.4 Assessment Method and 8.1.5 Results). The feasibility study considered the number of recent violent incidences at the circle levels to exclude circles with high and medium risk of conflict. Circles with high and medium levels of conflict have been excluded as it is risky to operate the project activities. This IAAT project will be implemented in 48 communes and the communes will be selected based on the consultation with the local



				<p>authorities, community members and interest groups such as organizations that represent Indigenous People (if indigenous people identified during the project implementation), women, and youths. All 48 communes will be selected in the no or low-conflict locations.</p> <p>SCI Mali and Save the Children Federation, Inc. (SCUSA) have been implementing similar project activities in the targeted project regions avoiding locations where some level of conflict still exists. The successful implementation of project activities without a single safety and security threat provides confidence to implement IAAT in the regions. IAAT will use its experience and learning of safety and security management from Albarka and other projects.</p> <p>The security division of SCI Mali will regularly monitor and evaluate the security conditions of the project locations and inform project staff and beneficiaries to follow precautions if necessary.</p>
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### 3. Gender Equity and Human Rights Checklist

Table 3: Gender Equity and Human Rights Check List Results

Gender Equity and Women's empowerment		Y/N/?	Concern	Comment
1	Is there a likelihood that the proposed project/programme would have adverse impacts on gender equality and/or the situation of women and girls?	N		
2	Would the project/programme potentially reproduce discrimination against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	Y	In many activities, there is a risk that the women participants will not be willing to speak up or attend.	Workshops and groups will be divided to ensure women are given specific opportunities to provide input. The GESI advisor will review the activity plans and make suggestions
3	Have women's groups/leaders raised gender equality concerns regarding the project/programme during the stakeholder engagement process and has this been included in the overall project/programme proposal and in the risk assessment?	Y	Stakeholders raised concern regarding women's participation in improved agro value chains and business case implementation across the CSA activities	Gender integration and empowerment activities are included in the project proposal
4	Would the project/programme potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services?	N		
<b>Access and equity and protection of human rights</b>				
5	Could the project/programme lead to adverse impacts on the enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and	N		

	particularly of marginalized groups?			
6	Is there a likelihood that the project/programme would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups?	N		
7	Could the project/programme potentially restrict availability, quality and access to resources or basic services, in particular to marginalized individuals or groups?	N		
8	Is there a likelihood that the project/programme would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	N		
9	Are there measures or mechanisms in place to respond to local community grievances?	N		A compliant GRM has been developed, and early notification of the GRM will be provided to communities. Please refer to the relevant section Grievance Redress Mechanism of this ESARRMP
10	Is there a risk that duty-bearers do not have the capacity to meet their obligations in the project/programme?	N		
11	Is there a risk that rights-holders do not have the capacity to claim their rights?	N		
12	Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project	N		

	during the stakeholder engagement process?			
13	Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project affected communities and individuals?	N		<p>This project will be implemented in the 12 circles in the Tombouctou, Gao, Mopti, Koulikoro, and Segou regions in Mali with low levels of conflict risk. Selection of the circles considered the number of recent violent incidences at the circle levels to exclude circles with high and medium risk of conflict. This IAAT project will be implemented in 48 communes and the communes will be selected based on the consultation with the local authorities, community members, rightholders such as Indigenous Peoples, and interest groups women, and youths. All 48 communes will be selected in the no or low-conflict locations</p> <p>The selected IAAT interventions (climate-smart agriculture, agroforestry, solar pump irrigation, biodigester included in the activities 1.2.1, 1.3.1, 1.3.2, and 2.3.1) are based on the consultation of the stakeholders. During the consultation, all stakeholders reached a common consensus that the IAAT project would not intensify conflicts or increase the risk of violence among communities and individuals in the project locations.</p>

## 4. Environmental and Social Action Plan

### 4.1 Introduction

32. This section includes guidelines for continuous environmental and social screening, including SEAH, of farm and community-level interventions as they are chosen and created, as well as the necessary management measures for the Project's identified risks. The plan considers the environmental and social risks including SEAH, found during the screening, the importance of the risks, and the steps to be taken to manage and resolve the concerns.

33. In addition to this, the section provides some higher-level guidance to the AE and EE on how to ensure environmental and social safeguards are integrated into any technical advisory activities. This ensures that all contracts, TORs, policies, plans, frameworks, etc developed under this project are screened to ensure that the development process and the recommendations follow the principles of the GCF.

#### **4.2 Management of Identified Residual Risks**

34. This section contains the required ESARRMP and management measures for the identified suite of activities for the SC project as well as instructions for ongoing environmental and social screening of farm and community-level interventions as they are selected and developed. The plan considers the environmental and social risks identified during the screening, the risk significance, and measures to manage to address the identified risks.
35. In addition to this, the section provides some higher-level guidance to the AE and EEs on how to ensure environmental and social safeguards are integrated into any technical advisory activities. This ensures that all contracts, Terms of Reference (TOR), policies, plans, frameworks, etc developed under this project are screened to ensure that the development process and the recommendations follow the principles of the GCF.
36. This plan refers to several specific international guidelines, where appropriate, to guide the proposed project activities where risks are identified; as a general rule in the proposed project activities, all workers involved will have their well-being assured by the World Bank General EHS Guidelines and will be treated justly and fairly by the International Labour Organisation guidelines. Project interventions will be compliant with national and local E&S Laws and Regulations which are effective during the project implementation.

Table 4: Environmental and Social Action Plan to implement in the project locations (12 circles)<sup>4</sup>

Proposed project activity	Identified risks	Risk Level (Before Mitigation Measures)	Mitigation measures	Risk Level (After Mitigation Measures)	Responsible party/person	Timing	Expected results	Cost implication
<b>Activity 1.1.1: Build technical capacity and reach of extension services on CSA and agroforestry techniques</b>	Training activities associated with the risk of SEAH incidences due to a lack of participant sensitization	Low	All staff and participants (including foreign nationals) will be sensitised on existing national, and local if applicable, legislation, ESARRMP and GCF policy related to SEAH. Monitoring of SEAH incidences will be included in the Grievance Redress Mechanism, as outlined in this document.	Low	Project Implementation Unit (PIU)	Mitigation measures to be integrated into the planning/design of activity – within the project timeline	Workers are sensitized to national legislation, ESARRMP, and GCF policy related to SEAH.  General safety and care concerning SEAH are heightened.  SEAH incidences are included in the Grievance Redress Mechanism.	
<b>Activity 1.2.1: Build awareness, capacity, community interest and field-level adoption of CSA techniques and agroforestry amongst smallholder farmer communities (crop and/or livestock)</b>	Disturbance in travel and training events due to conflict situation	Low	Communicate intervention methodology clearly and transparently.  Suspend activities in the area where disturbances are taking place.  Organize awareness sessions on IAAT's objectives.	Low	Project Implementation Unit (PIU)  SCI Mali security unit	Mitigation measures to be integrated into the planning/design of activity – within the project timeline	Workers and participants are sensitized about conflict situation and its impact  Community members and leaders participate in managing conflict	

<sup>4</sup> The pre-mitigated and mitigated risks are based on the selected 12 circles in the 5 regions. Selection of the circles considered the number of recent violent incidences at the circle levels to exclude circles with high and medium risk of conflict. All risk levels are signed based on the consultation with the regional and communal councils, community beneficiaries i.e. farming cooperatives and unions, community leaders, youth and women, community committees, and local farmers (including smallholder, marginal, and vulnerable people) in the selected circles.

			Proactively involve communities and community leaders in all phases of project execution for best practice social inclusion and to avoid frustration  Coordinate with existing women-led peace hubs					
	Training activities associated with the risk of SEAH incidences due to a lack of participant sensitization	Low	All staff and participants (including foreign nationals) will be sensitized on existing national, and local if applicable, legislation, ESARRMP, and GCF policy related to SEAH. Monitoring of SEAH incidences will be included in the Grievance Redress Mechanism, as outlined in this document.	Low	Project Implementation Unit (PIU)	Mitigation measures to be integrated into the planning/design of activity – within the project timeline	Workers are sensitized to national legislation, ESARRMP, and GCF policy related to SEAH.  General safety and care concerning SEAH is heightened.  SEAH incidences are included in the Grievance Redress Mechanism.	
	Invasion of foreign genetic species in the promotion of improved seeds, GMO, and breeds under CSA	Low	Promote Mali government-approved crop seeds and livestock breeds in collaboration with the Department of Agriculture  Exclude any activity that uses GMOs	Low	Project Implementation Unit (PIU)	Mitigation measures to be integrated into the planning/design of activity – within the project timeline	Locally available seeds and breeds are promoted	
	Agricultural soil disturbance during the implementation of CSA technologies and practices	Low	Promote minimum tillage and soil disturbance technologies and practices CSA	Low	Project Implementation Unit (PIU)	Mitigation measures to be integrated into the planning/design of activity –	Reduction in soil loss (assessed by soil loss assessment)	

						within the project timeline		
	Overuse of water for agriculture and livestock production	Low	Promote water-efficient technologies and practices under the CSA	Low	Project Implementation Unit (PIU)	Mitigation measures to be integrated into the planning/design of activity – within the project timeline	No change in groundwater tables (assess groundwater tables)	
	Ecosystem impact of pest control	Low	Promote integrated pest management by integrating eco-friendly approaches	Low	Project Implementation Unit (PIU)	Mitigation measures to be integrated into the planning/design of activity – within the project timeline	Use of an integrated pest management approach	
	Disturbance in the implementation of climate-smart interventions in the farms	Low	<p>Communicate intervention methodology clearly and transparently.</p> <p>Suspend activities in the area where disturbances are taking place.</p> <p>Organize awareness sessions on IAAT's objectives.</p> <p>Strongly involve communities and community leaders in all phases of project execution to avoid frustration</p>	Low	<p>Project Implementation Unit (PIU)</p> <p>SCI Mali security unit</p>	measures to be integrated into the planning/design of activity – within the project timeline	<p>Workers and participants are sensitized about conflict situation and its impact</p> <p>Community members and leaders participate in managing conflict</p>	



<b>Activity 1.3.1 Develop land-use mapping at the regional level</b>	Training activities associated with the risk of SEAH incidences due to a lack of participants sensitization	Low	All staff and participants (including foreign nationals) will be sensitised on existing national, and local if applicable, legislation, ESARRMP and GCF policy related to SEAH. Monitoring of SEAH incidences will be included in the Grievance Redress Mechanism, as outlined in this document.	Low	Project Implementation Unit (PIU)	Mitigation measures to be integrated into the planning/design of activity – within the project timeline	Workers are sensitized on national legislation, ESARRMP and GCF policy related to SEAH.  General safety and care concerning SEAH is heightened.  SEAH incidences are included in the Grievance Redress Mechanism.	
<b>Activity 1.3.2 Plant agroforestry trees on community and state-owned lands</b>	Invasion of foreign planting materials in the agroforestry system	Low	Promote only locally available species and avoid the import of foreign genetic materials	Low	Project Implementation Unit (PIU)	Mitigation measures to be integrated into the planning/design of activity – within the project timeline	Local species in agroforestry systems	
	Risk of soil disturbance and loss during planting trees	Low	Use minimum soil disturbance and loss technologies and practices.	Low	Project Implementation Unit (PIU)	Mitigation measures to be integrated into the planning/design of activity – within the project timeline	Reduction in soil loss (assessed by soil loss assessment)	
	Disturbance in the implementation of tree plantation activities on public lands	Low	Communicate intervention methodology clearly and transparently.  Suspend activities in the area where disturbances are taking place.	Low	Project Implementation Unit (PIU)	Mitigation measures to be integrated into the planning/design of activity – within the project timeline	Workers and participants are sensitized about conflict situation and its impact  Community members and leaders participate in managing conflict	

			<p>Organize awareness sessions on IAAT's objectives.</p> <p>Strongly involve communities and community leaders in all phases of project execution to avoid frustration</p> <p>Coordinate with existing women-led peace hubs</p>					
	Overuse of grass and trees planted on community and state-owned lands	Low	Setting user rules and community monitoring system to avoid over-exploitation and use of restricted forest products.	Low	Project Implementation Unit (PIU)	Mitigation measures to be integrated into the planning/design of activity – within the project timeline	Community members and leaders execute the users' rules and regulations	
<b>Activity 2.1.1: Support the creation of inclusive private sector value chains for key CSA/agroforestry crops and technologies</b>	Increase food loss and waste along the value chain	Low	Develop efficient value chains using improved technologies and practices	Low	Project Implementation Unit (PIU)	Mitigation measures to be integrated into the planning/design of activity – within the project timeline	Efficient value chains with low food loss and waste	
	Potential for the use of forced and child labour in the supply chain of activity-related crops and technologies.	Low	<p>Inclusion of sustainability assessment criteria (including modern-day slavery) in the supplier selection process.</p> <p>Save the Children will manage crop and technology procurement process risks through the procurement</p>	Low	Project Implementation Unit (PIU)	<p>Mitigation measures to be integrated into the planning/design of activity – within the project timeline</p> <p>During procurement process</p>	No crops and technologies that have been produced using forced or child labour	

			process. Suppliers are assessed against set criteria and as Save the Children are committed to the sustainability of our supply chain, sustainability assessment criteria (including modern-day slavery) are included in the supplier selection process. Whilst these criteria are broader than forced labour alone, they include criteria such as “diversity, inclusion and equal opportunity” of staff they hire; the health and safety and working conditions of staff; the commitment to source local labour from communities where possible (specifically for construction).					
<b>Activity 2.2.1 Support local financial institutions to increase access to finance for smallholder farmers, especially women, and youth for CSA/agroforestry investments</b>	Training activities associated with the risk of SEAH incidences due to a lack of participant sensitization	Low	All staff and participants (including foreign nationals) will be sensitized on existing national, and local if applicable, legislation, ESARRMP and GCF policy related to SEAH. Monitoring of SEAH incidences will be included in the Grievance Redress Mechanism, as outlined in this document.	Low	Project Implementation Unit (PIU)	Mitigation measures to be integrated into the planning/design of activity – within the project timeline	Workers are sensitized on national legislation, ESARRMP and GCF policy related to SEAH.  General safety and care concerning SEAH is heightened.  SEAH incidences are included in the Grievance Redress Mechanism.	

	Training activities associated with the risk of SEAH incidences due to a lack of participant sensitization	Low	All staff and participants (including foreign nationals) will be sensitized on existing national, and local if applicable, legislation, ESARRMP, and GCF policy related to SEAH. Monitoring of SEAH incidences will be included in the Grievance Redress Mechanism, as outlined in this document	Low	Project Implementation Unit (PIU)	Mitigation measures to be integrated into the planning/design of activity – within the project timeline	Workers are sensitized to national legislation, ESARRMP, and GCF policy related to SEAH.  General safety and care concerning SEAH is heightened.  SEAH incidences are included in the Grievance Redress Mechanism.	
<b>Activity 2.2.2 Enhance capabilities and connectivity of youth and women CSA/agribusiness entrepreneurs</b>	Training activities associated with the risk of SEAH incidences due to a lack of participants sensitization	Low	All staff and participants (including foreign nationals) will be sensitized on existing national, and local if applicable, legislation, ESARRMP and GCF policy related to SEAH. Monitoring of SEAH incidences will be included in the Grievance Redress Mechanism, as outlined in this document.	Low	Project Implementation Unit (PIU)	Mitigation measures to be integrated into the planning/design of activity – within the project timeline	Workers are sensitized on national legislation, ESARRMP and GCF policy related to SEAH.  General safety and care concerning SEAH is heightened.  SEAH incidences are included in the Grievance Redress Mechanism.	
	Training activities associated with the risk of SEAH incidences due to a lack of participant sensitization	Low	All staff and participants (including foreign nationals) will be sensitized on existing national, and local if applicable, legislation, ESARRMP, and GCF policy related to SEAH. Monitoring of SEAH incidences will be included in the Grievance Redress Mechanism, as outlined in this document	Low	Project Implementation Unit (PIU)	Mitigation measures to be integrated into the planning/design of activity – within the project timeline	Workers are sensitized to national legislation, ESARRMP, and GCF policy related to SEAH.  General safety and care concerning SEAH is heightened.  SEAH incidences are included in the Grievance Redress Mechanism.	

<b>Activity 2.3.1 Install and support the productive use of biogas systems and solar irrigation systems among smallholder farmers.</b>	Ground water table reduction from solar pumping system	Low	<p>Promote solar pumping in good water table and recharge areas.</p> <p>Promote water-efficient technologies and practices (e.g. micro irrigation and irrigation scheduling methods)</p>	Low	Project Implementation Unit (PIU)	<p>Mitigation measures to be integrated into the planning/design of activity – within the project timeline.</p> <p>During procurement process</p>	No change in groundwater tables (assess groundwater tables)	
	E-waste and hazardous waste generation during the installation and due to electrical repairs	Low	<p>Save the children will develop a robust waste management plan to enable safe handling and disposal of generated waste including e-waste and hazardous waste. Workers will receive adequate training on the use of technology and equipment, including the necessary equipment and the use of PPE.</p>	Low	Project Implementation Unit (PIU)	<p>Mitigation measures to be integrated into the planning/design of activity – within the project timeline</p> <p>During procurement process</p>	Waste will be handled safely and sustainably	
	Electrocution and mechanical risk for workers	Low	<p>Only specially trained personnel will work with live electricity, and all workers will receive appropriate PPE and equipment for their role.</p>	Low	Project Implementation Unit (PIU)	<p>Mitigation measures to be integrated into the planning/design of activity – within the project timeline</p> <p>During procurement process</p>	Workers are trained in the correct use of the facilities, technology, and PPE.	

	<p>Potential for the use of forced and child labour in the supply chain of activity-related small-scale infrastructure and equipment.</p>	Low	<p>Inclusion of sustainability assessment criteria (including modern-day slavery) in the supplier selection process.</p> <p>Save the Children will manage small infrastructure system procurement process risks through the procurement process. Suppliers are assessed against set criteria and as Save the Children are committed to the sustainability of our supply chain, sustainability assessment criteria (including modern-day slavery) are included in the supplier selection process. Whilst these criteria are broader than forced labour alone, they include criteria such as "diversity, inclusion and equal opportunity" of staff they hire; the health and safety and working conditions of staff; the commitment to source local labour from communities where possible (specifically for construction) .</p> <p>Save the Children will ensure that the</p>	Low	Project Implementation Unit (PIU)	<p>Mitigation measures to be integrated into the planning/ design of activity – within the project timeline</p> <p>During procurement process</p>	No small infrastructure systems that have been produced using forced or child labour	
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			procurement processes used include recycling where available and nationally legislated, and end-of-life treatment of small-scale infrastructure and equipment. The waste materials will be managed in accordance with several Mali national regulations relevant to waste management.					
	Soil and water contamination in the preparation or use of concrete for solar pump and biodigester installation	Low	<p>Concrete will be prepared on bunded and covered hardstand surface. All wastewater from concrete production will be collected to allow particulates to settle out before being discharged. Slurry from concrete production will be collected and allowed to harden. Solid and cured concrete waste is considered safe to be reused by the community for infrastructure maintenance.</p> <p>IAAT will adopt chance find procedures such as cessation of works, coordination with relevant authority, and resuming work only upon approval of the relevant authority.</p>	Low	Project Implementation Unit (PIU)	<p>Mitigation measures to be integrated into the planning/ design of activity – within the project timeline</p> <p>During procurement process</p>	Fully contained concrete use and production with no environmental impacts, including none of the local sources for gravel/sand/aggregates	

	Slurry waste from the biodigester	Low	Promote manure production using slurry. The slurry and effluent generated from the biodigester (byproducts) will be used for preparing organic manure/fertilizer.	Low	Project Implementation Unit (PIU)	Mitigation measures to be integrated into the planning/design of activity – within the project timeline.  During procurement process	Sustainable waste management	
	All construction activities associated with the risk of SEAH incidences due to a lack of worker sensitization.	Low	All workers (including foreign nationals) will be sensitized on existing national, and local if applicable, legislation, ESARRMP and GCF policy related to SEAH. Monitoring of SEAH incidences will be included in the Grievance Redress Mechanism, as outlined in this document.		Project Implementation Unit (PIU)	Mitigation measures to be integrated into the planning/design of activity – within the project timeline	Workers are sensitized on national legislation, ESARRMP and GCF policy related to SEAH.  General safety and care concerning SEAH is heightened.  SEAH incidences are included in the Grievance Redress Mechanism.	
	Solar pump irrigation, biodigesters, and rainwater harvesting may create temporary and short-term disturbances to households during installation works.	Low	Installation of solar pumps and biodigester will be done during the lean agriculture season when farmers are not busy and able to allocate their time in monitoring the installation process and able to contribute labor (in-kind contribution)	Low	Project Implementation Unit (PIU)	Mitigation measures to be integrated into the planning/design of activity – within the project timeline	No significant impact on households economic activities during the installation	
	Disturbance in the implementation of solar pump irrigation and biodigester	Low	Communicate intervention methodology clearly and transparently.  Suspend activities in the area where	Low	Project Implementation Unit (PIU)  SCI Mali security unit	Mitigation measures to be integrated into the planning/design of activity –	Workers and participants are sensitized about conflict situation and its impact	



			<p>disturbances are taking place.</p> <p>Organize awareness sessions on IAAT's objectives.</p> <p>Strongly involve communities and community leaders in all phases of project execution to avoid frustration</p> <p>Coordinate with existing women-led peace hubs</p>			within the project timeline	Community members and leaders participate in managing conflict	
	Physical risk during the installation and operation phase	Low	Provide knowledge and skill-building training for risk minimization during installation and operation of solar pump and biodigester	Low	Project Implementation Unit (PIU)	Mitigation measures to be integrated into the planning/design of activity – within the project timeline	Users are equipped with skills for the installation and operation of the system.	
	Soil movement or relocation, e.g., topsoil movement, swales, general earthwork	Low	Construction of small-sized earthen farm ponds for rainwater harvesting, digging a pit for biodigester, and installation of solar pump can excavate soil. Farming households will use this excavated soil for farm bunding, making dikes for farm ponds, and spreading over the cultivated land for crop cultivation. This soil will be left covered where the risk of runoff	Low	Project Implementation Unit (PIU)	Mitigation measures to be integrated into the planning/design of activity – within the project timeline	Beneficiaries will be trained to use excavated soil and the project will monitor soil management activities during the construction or installation activities	

			is high. These are small-scale soil excavation activities that will be managed without large labor and financial costs.					
<b>Activity 3.1.1 Strengthen institutional capacity in localized climate change adaptation and mitigation planning</b>	Training activities associated with the risk of SEAH incidences due to a lack of participants sensitization	Low	All staff and participants (including foreign nationals) will be sensitized on existing national, and local if applicable, legislation, ESARRMP, and GCF policy related to SEAH. Monitoring of SEAH incidences will be included in the Grievance Redress Mechanism, as outlined in this document.	Low	Project Implementation Unit (PIU)	Mitigation measures to be integrated into the planning/design of activity – within the project timeline	Workers are sensitized on national legislation, ESARRMP, and GCF policy related to SEAH.  General safety and care concerning SEAH is heightened.  SEAH incidences are included in the Grievance Redress Mechanism.	
	Training activities associated with the risk of SEAH incidences due to a lack of participant sensitization	Low	All staff and participants (including foreign nationals) will be sensitized on existing national, and local if applicable, legislation, ESARRMP, and GCF policy related to SEAH. Monitoring of SEAH incidences will be included in the Grievance Redress Mechanism, as outlined in this document	Low	Project Implementation Unit (PIU)	Mitigation measures to be integrated into the planning/design of activity – within the project timeline	Workers are sensitized to national legislation, ESARRMP, and GCF policy related to SEAH.  General safety and care concerning SEAH is heightened.  SEAH incidences are included in the Grievance Redress Mechanism.	
<b>Activity 3.1.2 Technical capacity building of national climate funding institutions for</b>	Training activities associated with the risk of SEAH incidences due to a lack of participants sensitization	Low	All staff and participants (including foreign nationals) will be sensitized on existing national, and local if applicable, legislation, ESARRMP, and GCF	Low	Project Implementation Unit (PIU)	Mitigation measures to be integrated into the planning/design of activity –	Workers are sensitized on national legislation, ESARRMP, and GCF policy related to SEAH.	

disbursements management			policy related to SEAH. Monitoring of SEAH incidences will be included in the Grievance Redress Mechanism, as outlined in this document.			within the project timeline	General safety and care concerning SEAH is heightened.  SEAH incidences are included in the Grievance Redress Mechanism.	
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<sup>5</sup> World Bank General EHS [Guidelines](#) – Environmental (Waste Management)

<sup>7</sup> World Bank General EHS [Guidelines](#) - Construction [Materials](#) Extraction

<sup>9</sup> Schultz, B., Zimmer, D., & Vlotman, W. F. (2007). Drainage under increasing and changing requirements. *Irrigation and Drainage: The journal of the International Commission on Irrigation and Drainage*, 56(S1), S3-S22.

### **4.3 Technical Assistance and Plan Development**

#### *1. Policy and Plan Development*

37. Any activities which require the development of policies or plans will follow this ESARRMP and the GESI Action Plan to ensure that all affected parties are engaged in the process of development and that broader impacts on gender, environment, etc. are considered.

#### *2. Gender Mainstreaming*

38. The Project's design requires equitable and active involvement; yet, there is a risk that gender will not be mainstreamed into management plans established via this project. To ensure that these efforts adequately include the GCF Gender Policy, the PIU Gender Officer (along with the assistance of an international gender specialist as needed) shall conduct a gender-sensitive evaluation of any proposals. The specialist should refer to experiences and tools from previous Climate Change Adaptation (CCA) and Disaster Risk Management as well as the GESI Action Plan and the associated guidelines for this plan (Annex 8 of the FP). The findings from the review will be used to inform and strengthen the final outputs of these activities.

#### *3. Consultants*

39. Consultants may be required technical, governance and capacity-building activities. TORs for any consultants will require the consultant to comply with this ESARRMP, the GESI Action Plan and the PESSMS.
40. For all technical assistance consultants this ESARRMP will be included in the TOR and final contract.

#### *4. Capacity Building and Materials Development*

41. The Project will generate awareness materials and conduct awareness-raising events aimed at the general population to raise knowledge about climate change. Gender balance will be considered throughout the events to ensure that women are represented equally.

### **4.4 Grievance Redress Mechanism**

42. The Grievance Redress Mechanism (GRM) is included in the project ESARRMP.
43. Any parties wishing to raise grievances caused by or associated with the Project will be able to do so. In the first instance grievances will be managed by the PIU and the PIU will update the stakeholder(s) on the progress of addressing the grievance within one week. The PIU will inform the communities about this GRM early in the stakeholder engagement process and in an understandable format and in the relevant language. This notification will include details of where and how to direct complaints including how to access the GCFs Independent Redress Mechanism (IRM). Complaints will maintain the option to resort to legal redress. Legal redress is not considered as a last resort in the GRM process, complainants may resort to legal redress in parallel with the complaint's procedure at the project- and AE-level GRM, as well as the GCF IRM. In addition, aggrieved persons have the option to resort to the country's judicial or administrative systems.

44. A GRM is presented below to uphold the Project's social and environmental safeguards performance. The purpose of the GRM is to record and address any complaints that may arise during the implementation phase of the Project and/or any future operational issues that have the potential to be designed out during the implementation phase. It should address concerns and complaints promptly and transparently with no impacts (cost, discrimination) for any reports made by project-affected people (APs). The GRM works within existing legal and cultural frameworks, providing an additional opportunity to resolve grievances at the local, project level.
45. The key objectives of the GRM are:
- Record, categorize, and prioritize grievances.
  - Provide a survivor-centered approach to instances of SEAH.
  - Provide a gender-responsive approach to all grievances.
  - Settle grievances via consultation with all stakeholders (and inform those stakeholders of the solutions).
  - Forward any unresolved cases to the relevant authority.
46. The following process will be used to address the issues and concerns that an affected party (AP) may have. The key point of contact for the AP will be the PIU, who will receive, and document all matters and issues of concern from the local community and forward copies of all grievances to the PSC.
47. Grievances, issues, and concerns related to project-related workers and supply chain workers will be managed through this GRM process.
48. Grievances, issues, and concerns related to SEAH will be managed through this GRM process but will be implemented with the additional survivor-centred measures described in Section 4.5.1 below.
49. Grievances, issues, and concerns related to Indigenous People (if identified during the project implementation) through the GRM process that will consider traditional methods of resolving disputes within a community relying on respected community leaders/elders, established customs/rituals, and customary institutions available in the communities to restore harmony with IP.
50. At all times it is the responsibility of the PIU to record, manage and close all grievances. Management of grievances may include issuing instructions to the relevant party to resolve the matter. If the PIU receives the grievance and can effectively resolve the matter to the satisfaction of the AP, the PIU will provide the PSC with the details who will then record the matter.
51. For concerns such as damage to non-land assets, etc., the AP will discuss this with the PIU, who will then raise the matter immediately with the offending party or their supervisors, if unresolved at the activity level. If the concern can be addressed without delay, and the outcome is satisfactory to the AP, the matter is closed. The PIU will provide a report to the PSC as soon as the complaint has been resolved.
52. For more extensive complaints such as impacts on livelihoods or land issues such as restrictions to access, the PIU will document and record the grievance and manage the response process. APs can submit these types of complaints through any number of channels including via the village council or other third party; directly to the consultant or project team; in writing; anonymously; verbally; etc. The complaint must be acknowledged within 24 hours of it being lodged. The timing and way it will be resolved

will be conveyed to the AP within 48 hours. The delegated party will provide a corrective action report to the PIU as soon as the action has been taken.

53. Should the complainant remain unsatisfied with the response of the delegated party, the complaint will be referred by the PIU to Save the Children Australia.

54. All grievances received and handled will be reported by the EE to the AE via existing Save the Children reporting mechanisms or via periodic reporting, depending on their nature. The AE will review and support the handling of grievances to ensure they have been handled correctly.

55. The five-step grievance management process will be applied to the Project by the following process.

Table 5: Grievance Redress process in tabulated form

Step	Application/How	Receiving Authorities	Responsibility
Publicize the process	Develop a procedure that explains how the grievance mechanism will work in the target community	Commune	SCA, EE
	Present the grievance mechanism (including the SEAH process) at a public meeting to help affected communities.	Commune	PIU
Receive and register	Identify locations to receive grievances and ensure accessibility to all affected stakeholders.	Commune	PIU
	Recognize that some grievances may be submitted in writing while others will be communicated verbally. All grievances are to be treated with the same level of seriousness and respect.	Commune	
	Log all complaints into a database.	Circle level	
Review and investigate grievances	Review and investigate grievances.	Commune	PIU
	Explain the process and the timeframe for the GM process.	Circle level	
	Appoint an appropriate person to obtain information and investigate.	Project level	
Develop resolution options, response to grievances and closeout	Develop a proposed resolution process, involving communities where appropriate.	Commune	PIU
	Implement the agreed solution.	Commune	PIU and PSC
	Follow-up with the complainant to ensure satisfaction.	Commune	
	If unsatisfied: Discuss further options. Identify local partners who might be able to assist in finding solutions.	Commune	

Step	Application/How	Receiving Authorities	Responsibility
	If still unresolved, refer matter to third-party mediation or external review.	Project level	
Monitor and evaluate	Regularly monitor the number and type of grievances received, resolved and outstanding	Commune	EE, SCA
	Evaluate trends over time and stages of project development.	Project level	
	Report all grievances to SAVE THE CHILDREN via relevant periodic reporting	Project level	EE

56. SCA will also maintain an email-based grievance redress mechanism so that the public can also lodge grievances directly to SCA, should they wish to do so. Contact details for this GRM will be available to all project stakeholders and included on project websites and materials as appropriate.

57. The targets for each activity participant are that 50% are represented by women. At each level of the GRM, the project will maintain a similar ratio when reviewing and responding to grievances. The project budget includes a GESI advisor who will review and ensure that women are represented and able to advise and make contributions to how grievances are addressed and resolved.

58. The GRM does not prevent any affected person from accessing the GCF Independent Redress Mechanism. The project will make known the GCF Independent Redress Mechanism in the relevant project communications, including guidance on how stakeholders can access it.

59. In all situations involving complaints related to gender-based violence (GBV), sexual exploitation, abuse, or harassment (SEAH), violence against children (VAC) and human trafficking (HT), the project will use a “*survivor-centred approach*”. In line with this approach, the following principles will be systemically applied through all steps and actions:

60. The rights, needs, and wishes of the survivor (or victim) is the foremost priority of everyone involved with the project.

61. The survivor has a right to:

- be treated with dignity and respect instead of being exposed to victim-blaming attitudes.
- choose the course of action in dealing with the violence instead of feeling powerless.
- privacy and confidentiality instead of exposure.
- non-discrimination instead of discrimination based on gender, age, race/ethnicity, ability, sexual orientation, HIV status or any other characteristic.
- receive comprehensive information to help her make her own decision instead of being told what to do.

62. The safety of the survivor shall always be ensured. Potential risks to the survivor will be identified and action take to ensure the survivor’s safety and to prevent further harm including ensuring that the alleged perpetrator does not have contact with the survivor. If

the survivor is an employee, reasonable adjustments may be made to the survivor's work schedule and work environment to ensure their safety. As described above, Save the Children will work toward ensuring a gender-responsive approach in the GRM by ensuring that women are represented and able to advise and make contributions for how grievances are addressed and resolved.

63. All actions should reflect the choices of the survivor.
64. All information related to the case must be kept confidential and identities must be protected. Only those who have a role in the response to an allegation should receive case-level information, and then only for a clearly stated purpose and with the survivor's consent.
65. The survivor must provide informed consent to progress with each stage of the complaints process. Survivors may withdraw their consent at any time during the process.
66. The GRM will include a focal point for women's concerns and grievances to ensure the correct management of related concerns.

## **5. ESARRMP Implementation**

### **1. Monitoring**

1. Monitoring and reporting on ESS implementation are required to be updated in annual performance reports, in the interim and final evaluation. Reporting will specify the activities' consistency with the ESS standards and the GCF's Revised Environmental and Social Policy (RESP). A monitoring process will be available during project implementation; SCA and the NDA will have the overall responsibility for monitoring the project and reporting compliance with environmental and social provisions of the ESARRMP. It will include:
  - Outcomes of any additional ESS screening or assessments
  - Status of management measures of the ESARRMP and whether they are being implemented effectively
  - Summary of any community consultations
  - Summary of any grievances received in the GRM
2. Monitoring can take several different forms including:
  - seeking advice from Program Partners,
  - seeking advice from Technical Advisors,
  - undertaking quarterly or annual reviews,
  - undertaking mid-term reviews,
  - holding coordination/review meetings, and
  - producing regular GCF progress.
3. For monitoring the environmental and social performance of activities, SCA is required to undertake all necessary measures to ensure participatory monitoring through the involvement of communities, local stakeholders, indigenous peoples (if identified during the project implementation), and civil society organizations in all stages of the life cycle of activities.
4. If during program implementation, scope changes and/or unanticipated impacts or risks are identified it is important to repeat part 1 of the ESS Screening Tool.



## **2. Integration of ESARRMP into Project Management**

5. This ESARRMP will be included in all bid document packages.
6. The safeguards requirements of this ESARRMP will be referenced in appropriate parts of agreements, technical specifications, contracts, or any TORs issued under the Project. The AE will be required to review all bid documents prior to approval.
7. Prior to project implementation, the PIU will be required to attend a safeguards workshop with the AE Safeguards Specialist to ensure that all parties understand their obligations under the requirements of the ESARRMP and the safeguard policy of the Green Climate Fund.

## **3. ESS Roles and Responsibilities**

8. Details of the roles assigned to various agencies/organizations are summarised below.

### *1. Steering Committee*

9. The Project Steering Committee (PSC) is formed of representatives from the EEs (AEDD, SCI Mali) as well as other government ministries. The PSC will provide overall strategic oversight and high-level risk management by reviewing and providing feedback on performance reports which will include ESS monitoring, and any grievances raised by communities. The PSC will also endorse management improvement actions arising from audits and addressing serious implementation issues (including sensitive safeguards issues).

### *2. Accredited Entity*

10. Save the Children Australia is the AE for this project and provides support to the Executing Entities SCI Mali, and AEDD. As the AE, SCA is fully responsible (legally and financially) for the implementation of this project including the safeguards standards required by the GCF. The AE:
  - Acts as a focal point for communications with GCF on project-related matters.
  - Ensures compliance with GCF funding requirements, including safeguard compliance.
  - Provide inputs into project scope and design.
  - Provide additional technical capacity to PIU where required.
  - Updating the ESARRMP as necessary to reflect changes in the designs.
11. SCA is also responsible for ensuring that project designs use SCA's PESSMS as a guideline to:
  - Ensure that GCF project activities are screened and assigned appropriate environmental and social risk categories and that the environmental and social risks and impacts are properly and sufficiently assessed.
  - Ensure that measures to avoid, minimize or mitigate adverse impacts are planned and adequately supported in GCF project activities.
  - Ensure that every GCF-funded project develops and implements an activity-, project- and organization-level grievance redress mechanism.
  - Ensure every GCF-funded project complies with the GCF Information Disclosure Policy.

- Conduct due diligence on all partner organizations, including Save the Children Members and Countries' offices, to ensure that they can and do comply with the GCF's RESP included in each project design.
- Ensure that the GCF's RESP for each project design supports meaningful and inclusive multi-stakeholder consultation and engagement throughout the lifecycle of activities.
- Ensure cooperation with GCF in its due diligence of the activities proposed for GCF funding.

### *3. Project Implementation Unit*

12. A Project Implementation Unit (PIU) will be established by SCI Mali to manage day-to-day project operations. The PIU will be overseen by a high-level PSC. The PIU will manage project implementation, support implementing entities, and be staffed by a team, including the Project Director, Chief Technical Advisor, Environmental and Social Safeguards Specialist, Gender and Social Inclusion Specialist, Monitoring and Evaluation Specialist, Finance and Procurement Specialist, and support staff. The PIU will draw on technical expertise from executing and implementing entities. The PIU will be responsible for ensuring compliance with the ESARRMP, GCF and AE ESS policies and requirements at the project level.

### *4. Technical Advisors / Consultants*

13. All technical advisors are required to comply with the ESARRMP and GCF Safeguards Policy more broadly in terms of the work methodologies and outputs. They will be required to work with the PIU to ensure meaningful community and stakeholder engagement in their work programme.

## **4. ESS Training**

14. The PIU and other partners will require training to ensure effective implementation and oversight of the ESARRMP including ESS Screening.
15. Areas recommended for training include the following –
  - GCF environmental and social safeguard policies, in particular areas identified during Part 2 screening.
  - Roles and responsibilities of different key agencies in safeguards implementation
  - How to effectively integrate the ESARRMP into project management, implementation, monitoring, and reporting
  - Management of the GRM
  - How to facilitate meaningful participatory-planning community consultations, in particular for Indigenous Peoples if they are involved
  - Integration of the ESARRMP and safeguarding specific clauses into the contract and bid documentation.

16. On-going support will be provided to the PIU by the AE for the duration of the Project.

## **5. Excluded Activities**

17. The Accredited Entity shall ensure that the Project will not finance, directly or indirectly, any of the following products or activities:

Excluded activities	
Activity category	Description
Infrastructure	Construction of walled or roofed structures
Natural Resource Management	Any activity that will lead to increased use of agro-chemicals
Natural Resource Management	Any other activity that, during implementation, would lead to medium or high environmental or social risks, as per GCF PAP risk screening
Resource Efficiency and Pollution Prevention	Any activity that significantly decreases resource use efficiency or degradation of resources and generates pollution
Land Acquisition and Involuntary Resettlement	Any activity that promotes land acquisition and involuntary resettlement
Biodiversity Conservation and Sustainable Use of Natural Resources	Any activity that causes biodiversity loss and unsustainable use of natural resources
Use of pesticides	Any activity involving the use of chemical pesticides
Use of GMOs	Any activity that uses GMOs
Introduction of invasive crops	Introduction of any invasive crops or crop species
Involuntary resettlement or land acquisition (including non-physical displacement and involuntary restrictions to economic activities and land use)	Any activity that will lead to involuntary resettlement or land acquisition (including non-physical displacement and involuntary restrictions to economic activities and land use)
Transhumance corridors and locations	Any activity in the transhumance corridors and locations customarily occupied and used by Indigenous Peoples
Indigenous Peoples' lands ownership, territories, resources, livelihoods, and cultures or require no relocation	The selected IAAT interventions will not impact Indigenous Peoples' lands ownership, territories, resources, livelihoods, and cultures or require no relocation

## 5. Stakeholder Engagement

18. The Project Implementation Unit (PIU) will be responsible for ensuring that relevant stakeholders who are part of the project implementation are consulted and part of the project development and ongoing activities planning and implementation.
19. The project will maintain a robust stakeholder engagement procedure and the PIU is responsible for ensuring its implementation, either directly or through delegation. The Gender and Social Inclusion Advisor will ensure that a gender and social inclusion sensitive approach is achieved throughout the implementation of this procedure and

should ensure culturally appropriate strategies are used. To achieve this, the application of methodologies such as focus group discussion (FGD), and key informants through formal systems and socially established groups are conducted. Separate meetings for males and females or targeting females through women's groups including people with disabilities for input. Data generated required by this procedure (e.g., consultation, implementation and actions planning, etc.) are recorded and managed by the PIU.

20. The procedure includes six steps in the stakeholder engagement process to be employed by Save the Children during the IAAT project. This process is applicable to planned activities.

- Inputs – Identification of relevant persons
- Stakeholder Identification – use of a standardized stakeholder mapping method to compile a list of potentially relevant persons, including those involved in design consultations.
- Consultation Activities – vary engagement techniques to promote participation for all relevant stakeholders.
- Methodology considerations – Sufficiency of information will be ensured by using targeted information and language that is easily understood.
- Administration – Records generated during a consultation process will be saved in a stakeholder database and kept on file for the duration of the project.
- Ongoing Consultation – Ongoing consultation provisions of updates on activity progress; closes out of communication commitments made during initial consultation; provides a platform to notify relevant persons of any deviations to the activity details originally provided during the initial consultation and highlight if the plan is no longer appropriate or effective; and supports the development of open communication channels with key relevant persons.

21. Additional details on Save the Children will continue to engage with all the stakeholders described in Annex 07 – Summary of Consultation and Stakeholder Engagement Plan. Many of the same processes and methods used to engage with stakeholders during project design will continue throughout implementation.

## REFERENCES

1. World Bank General EHS Guidelines – Environmental (Waste Management)
2. World Bank General EHS Guidelines - Construction Materials Extraction
3. Schultz, B., Zimmer, D., & Vlotman, W. F. (2007). Drainage under increasing and changing requirements. Irrigation and Drainage: The journal of the International Commission on Irrigation and Drainage, 56(S1), S3-S22

## Appendix 1: Safeguarding Risk Assessment



Mali SRA.xlsx

Categorisation		
Categorisation based on Screening in Tables 3 and 4 above		
	Determined Risk Category:	Category C
	Screening completed by:	Jean-Charles Guinchard
	Role:	Associate Partner, Dalberg
	Signed:	