

ANNEX 6 - Appendix 3

AGRA ESMS

Version 4



2024

RE-GAIN: Scaling Solutions for Food Loss in Africa

AGRA Environmental and Management System Policy

Mission

AGRA recognises environmental and social (E&S) risk management as a critical issue that requires systems to monitor and control in line with legal and applicable international requirements in its operational sectors. This E&S Policy delineates AGRA's vision and commitment to sustainable development and how it is fully integrated into AGRA's core business processes and lays the foundation of the environmental and social management system (ESMS) that is put in practice.

Goal

AGRA is committed to promote sustainable agricultural practices in its focus countries. As an environmentally informed and socially responsible organisation, AGRA is committed to avoid or mitigate adverse E&S impacts, if any, of its interventions. AGRA is committed in promoting the use of an appropriate ESMS in order to improve the management of the E&S implications of all of its funded projects and activities.

Guiding principles

In implementing this E&S Policy, AGRA shall adhere to a set of guiding principles as listed below:

- Avoid, reduce or limit negative environmental, social and climate impacts and improve the E&S benefits of its initiatives;
- Support the preservation and protection of biodiversity and sustainably manage natural resources;
- Avoid negative impacts on the living conditions, livelihoods and land tenure of communities;
- Ensure the health and safety at work of its own employees and require its subcontractors and partners to implement measures to protect the health and safety of their employees at work;
- Condemn forced labour and child labour, prohibit discrimination, prohibit and combat harassment of any kind, including sexual exploitation and abuse and support the freedom of association and the right to collective bargaining of workers;
- Comply with all relevant environmental, social, health and safety as well as land acquisition policies, laws and regulations of the countries of intervention and international standards.

Implementation of E&S policy principles

AGRA will implement its E&S Policy through its ESMS and all other key institutional policies including the Safeguarding of Vulnerable Persons Policy, Ethics Policy, Sexual Harassment and Safeguarding Policy and Partners Code of Conduct and ensure compliance with the respective governing laws and regulations as well as international standards specified in the ESMS. AGRA's ESMS is designed to guide its implementation of the E&S commitments contained in this E&S Policy.

In particular, AGRA will establish and maintain the following E&S operational requirements:

- Screen all projects requesting funding and activities by AGRA against AGRA's Exclusion List ;
- Take informed grant-award decisions based on robust categorisation of projects according to E&S risk levels, ascertained through various types of review processing including screening, E&S due diligence (ESDD) and, if and where required commensurate with the scale of the Project and the Project risks, environmental and social impact assessment (ESIA);
- Clearly define roles and responsibilities of implementation of the E&S activities across the entire institution, as well as emphasise on management review and reporting procedures;
- Have measures in place to monitor compliance with all relevant E&S policies, laws, and regulations of the country/-ies of intervention through AGRA's work;
- Continuously develop and improve institutional capacity to understand, assess and manage E&S impacts and risks associated with AGRA's interventions;
- Implement the ESMS to deliver the commitments under this Policy and to monitor compliance with this Policy across its portfolio and periodically report to its management as well as collaborate and share information with development partners and Project/programme beneficiaries.
- Communicate this Policy, as well as other relevant policies as listed above, with employees, partners and other external stakeholders;
- Establish key identified partnerships with external stakeholders to manage E&S risks and work with partners, employees and contractors to raise awareness of E&S management risks and, if identified, to ensure that they are treated appropriately. AGRA will also work with partners on issues related to the recovery of survivors or victims of harassment or victimisation at the place of work

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GLOSSARY OF TERMS

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GLOSSARY OF ACRONYMS & TERMS

| <i>Acronym</i> | <i>Term</i> |
|----------------|--|
| APO | Associate Project Officer |
| BMGF | Bill and Melinda Gates Foundation |
| EHS | Environment Health and Safety |
| E&S | Environment and Social |
| ESAP | Environmental & Social Action Plan |
| ESDD | Environmental & Social Due Diligence |
| ESIA | Environmental and Social Impact Assessment |
| ESMS | Environmental & Social Management System |
| ESMP | Environmental & Social Management Plan |
| GC | Grant Committee |
| GHG | Greenhouse Gas |
| GMO | Genetically Modified Organism |
| GRC | Grant Review Committee |
| H&S | Health and Safety |
| HR | Human Resources |
| IFC | International Finance Corporation |
| ILO | International Labour Organisation |
| KPI | Key Performance Indicator |
| LRP | Livelihood Restoration Plan |
| PO | Project Officer |
| PS | Performance Standard of IFC |
| PS1 | Performance Standard 1 |
| RAP | Resettlement Action Plan |
| RF | Rockefeller Foundation |
| RFCN | Request for Concept Notes |
| RFDP | Reference framework for development partnerships in the agri-food sector |
| SEAH | Sexual Exploitation, Abuse and Harassment |
| SEP | Stakeholder Engagement Plan |
| SME | Small and Medium Enterprise |
| VBO | Village-Based Associate |
| VP | Vice President |
| WBG | World Bank Group |

DEFINITIONS

| Term | Meaning |
|--|---|
| EHS Guidelines | World Bank Group Environmental Health and Safety Guidelines. |
| Environmental and Social (E&S) | For the sake of simplicity, the acronym E&S is used throughout this document, but the E&S Management System is developed to address all aspects of “sustainability”, as encompassed by the IFC Performance Standards, i.e. environment, social, health and safety, human rights and labour aspects. |
| Environmental & Social Action Plan (ESAP) | A plan that proposes measures to manage aspects identified in the ESDD to acceptable levels in line with the requirements of AGRA and its lenders. |
| Environmental & Social Due Diligence (ESDD) | An assessment and analysis of environmental and social risks and opportunities associated with a project to ensure that such risks would not present a potential liability to AGRA. |
| Environmental & Social Impact Assessment (ESIA) | The process of identifying, predicting, evaluating and mitigating the biophysical, social, and other relevant effects of project proposals prior to major decisions being taken and commitments made. |
| Environmental & Social Management System (ESMS) | The ESMS is the set of policies, procedures, tools and internal capacity at AGRA to identify and manage the environmental and social risks posed by the funded interventions. |
| Excluded Activity | Any business or activity listed on the AGRA Exclusion List (Annex 3). |
| Financial Contribution | AGRA receives financial contributions from various institutions such as the BAMGF and RF. |
| Grant | A financial contribution issued from a AGRA to a grantee (either a single organisation or a consortium of organisations) following a project proposal submitted by the grantee/consortium. |
| Grantee | An organisation, agency or private company that receives funding from AGRA. |
| Intervention | Umbrella term to describe activities undertaken by AGRA to achieve its mission of doubling yields and incomes of 30 million farming households in 11 African countries by 2021. |
| Legal Register | A compilation of applicable legislations. |
| Project | Projects are developed by AGRA and financed through a grant provided to a grantee or a grant consortium for the implementation of the project. Projects often include various grantees and activities and throughout the document the term serves as the umbrella definition for a specific grant. |

1 INTRODUCTION

1.1 OVERVIEW OF AGRA

AGRA is an African-led non-for-profit organisation with the goal to promote an inclusive agricultural transformation on the African continent. AGRA was founded in 2006 through a partnership of the Bill and Melinda Gates Foundation (BMGF) and the Rockefeller Foundation. AGRA aims to sustainably increase the production of African smallholder farmers and to facilitate for them an access to growing agricultural markets. AGRA has recently adopted its new Strategy for 2017-2021 that defines AGRA's mission to significantly increase yields and incomes for 30 million farming households in 11 countries by 2021.

To achieve its mission in increasing yields and incomes of 30 million farming households by 2021, AGRA has defined the following core objectives:

- Increase staple crop productivity for smallholder farmers and reduction of post-harvest losses;
- Strengthen and expand access to output markets;
- Increase capacity of smallholder farming households and agricultural systems to better prepare for and adopt to shocks and stresses;
- Strengthen continental, regional, and government multi-sectoral coordination and mutual accountability in the agriculture sector;

To achieve these objectives, AGRA builds on the following strategic approaches:

- Three levels of intervention on the national, systems and farmer level to **increase productivity throughout the value chain**:
 - State Capability & Policy Engagement
 - Systems Development
 - Partnerships
- **Focus on four cross-cutting environmental and social issues**:
 - Resilience
 - Women Empowerment
 - Youth Empowerment
 - Capacity Development
- Implementation of an integrated strategy and business model, consisting of four major types of activities:
 - Grant-Making
 - Country Support and Delivery
 - Program Development and Innovation
 - Policy and Strategic Partnerships
- **Partnerships** to support **market development and market access for smallholder farmers**;
- Technology development that **enhances resilience to drought, pests and diseases**.
- Increase the quantity, quality and diversity of farmer's crops to enable access to markets and **selling more produce at higher prices**.

A range of activities will be used in differing forms to impact value chains in the various focus countries. It is therefore necessary to identify E&S risks that are inherent to AGRA's interventions at a strategic level and to define their proper management and monitoring through the country teams (see **Section 2.1**). On the other hand, AGRA's main instrument to achieve its mission is the allocation of grants. E&S risks need to be managed for each individual grant (see **Section 2.2**). The ESMS is therefore designed to account for both levels of risk management, at the **strategic** and at the **grant** level.

1.2 ESMS STRUCTURE

This ESMS is designed to ensure that potential negative E&S impacts of AGRA interventions are minimized, while positive effects on communities and the environment are enhanced. It follows the guidance of IFC Performance Standard 1 on the Assessment and Management of Environmental and Social Risks and Impacts (PS1). Elements of PS1 constitute the main building blocks of the ESMS, which include: E&S policy and procedures, identification of risks and impacts, management

programs, organisational capacity and competency, emergency preparedness and response, stakeholder engagement, and monitoring and review.

Figure 1-1 shows the structure of the ESMS which reflects the integration of PS1 elements into AGRA's interventions. The ESMS Manual is structured along these elements and is focused on the allocation of grants as these are used as the main instrument for AGRA to achieve its mission.

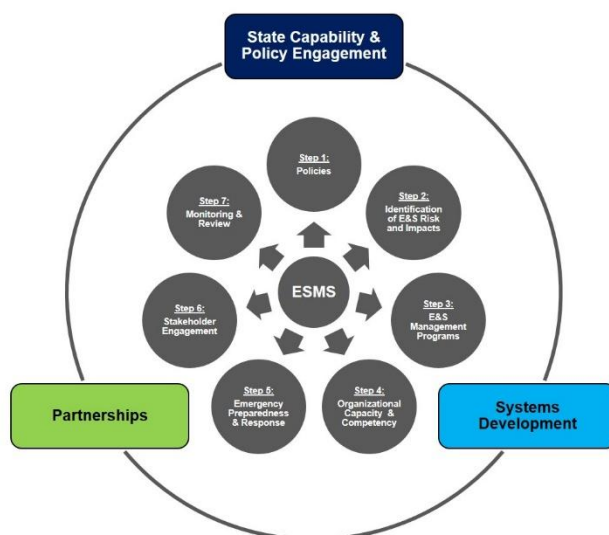


Figure 1-1 *ESMS Structure within AGRA's three main areas of intervention*

1.3 *APPLICABLE ENVIRONMENTAL AND SOCIAL STANDARDS AND GUIDELINES*

The ESMS has been prepared in line with the following requirements:

- National environment, health, safety and labour laws and standards in the host countries of AGRA projects, including requirements for public disclosure and engagement established therein;
- International Law including conventions and treaties adopted by host countries and applicable to AGRA projects;
- Sustainability Guidelines of KfW Development Bank (April 2016);
- IFC Environmental and Social Performance Standards (2012);
- World Bank Group's General Environmental and Health and Safety Guidelines (WBG EHS Guidelines);
- WBG Industry Specific Guidelines, as applicable (i.e. EHS Guidelines for Annual Crop Production, EHS Guidelines for Perennial Crop Production);
- Core Labour Standards of the International Labour Organisation (ILO);
- UN Basic Principles and Guidelines on Development-based Evictions and Displacement;
- IFC Exclusion List for Financial Intermediaries of KfW;
- Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security (VGGT; FAO 2012); and

- BMZ “Reference framework for development partnerships in the agri-food sector (RFDP)”;
- USAID – Pesticide Evaluation Report & Safer Use Action Plan (PERSUAP).
- Sexual Exploitation, Abuse and Harassment risk management guidelines of the Green Climate Fund

Under the implementation of this ESMS, AGRA will review and evaluate all grant allocations against these standards.

1.4 AGRA E&S Policy

An effective implementation of the ESMS requires commitment at the highest level of AGRA. To ensure the development, establishment and maintenance of the ESMS, AGRA has developed an E&S Policy (*include web link*). It describes AGRA's commitment to avoid or mitigate adverse environmental and social impacts, if any, of the projects in its entire portfolio. All of AGRA's activities and those of its grantees must comply with this E&S Policy. The E&S Policy is endorsed by the AGRA board.

The AGRA E&S Policy, as the main document regarding the management of E&S aspects within AGRA's Grant Management Procedures, is provided as a separate standalone document as part of the AGRA Environmental and Social Management System (ESMS).

2 IDENTIFICATION OF E&S RISK AND IMPACTS

2.1 STRATEGIC E&S RISKS INHERENT TO AGRA'S INTERVENTIONS

AGRA engages in a number of activities that promote its strategic aims (Section 1.1) but could also be associated with E&S risks at an aggregated and/ or country and regional level. Such activities include, but are not limited to:

- Development and adaptation of improved hybrid crops and high-yielding varieties of crop plants;
- Development and adaptation of soil management techniques;
- Use of fertilizers and agrochemicals (such as pesticides);
- Support of Agricultural Extension Services; and
- Promotion of an integrated package of technologies, improved seeds, fertilizers and agronomic practices to farmers.

The main strategic E&S risks that result from the above-mentioned activities, as well as the actions that are identified and undertaken by AGRA to manage these risks are presented in a Strategic E&S Risk Assessment (Annex 1). This Strategic Risk Assessment serves as a reference to be consulted during the assessment of E&S risks which are to be managed at the country level.

An E&S Strategic Risk Assessment shall be in place for each country of operation and updated annually along with the Country Plan update. The measures identified to manage these risks shall be reflected also within the Country Plan for the forthcoming year, and implementation monitored through the annual review of this plan. The link to stakeholder engagement in updating the country-level assessment of E&S risks is described **Section 4.1**.

2.2 E&S RISKS IN AGRA'S GRANT AWARDING PROCESS

While the previous section described the inherent E&S risks that are linked to AGRA's mission and strategy, specific risks emerge directly associated with individual grant interventions. Grants awarded by AGRA vary in nature, number of partners, geographical coverage and the amount of the grant. Potential AGRA grantees include:

- Governments and public sector organizations /e.g. the Ministry of Agriculture; Ministry of Policy & Planning etc.;
- Not for Profit Organizations;
- Private sector organizations /e.g. Seed Companies; Processing Companies; Consulting Companies;
- Universities and other Educational Institutions;
- Agro-dealers;
- Financial Institutions;
- Farmers' organizations;
- Marketing and Farmer produce board / e.g. Grain Councils; and
- National Research Institutions.

This ESMS describes a streamlined process of identification, assessment, management and monitoring of E&S risks across the various types of grants and activities. The ESMS focussed particularly on grants linked to the following four core objectives:

- Increasing crop productivity;
- Reducing post-harvest losses;
- Improving access to markets; and
- Policy support.

These objectives are planned to be achieved through the following measures:

- Increase the system of production and distribution of seeds;
- Strengthen production and distribution of suitable fertilizers;
- Strengthen agricultural consulting services;
- Training of farmers to reduce post-harvest losses;
- Training of SMEs for improved technologies to reduce post-harvest losses;
- Training of farmers, intermediaries and processors on quality standards of agricultural markets;
- Introducing procurement contracts for staple crops;
- Improving national quality control systems for seeds and fertilizer use;
- Introducing a regulatory framework to promote value chains; and
- Improving access to credits for farmers.

Each of these activities have inherent E&S risks that need to be identified, assessed, managed and monitored for each individual grant and grantee. This process is described in detail in **Section 4.2** of this ESMS manual.

An overview of the expected key E&S risks associated with AGRA's support activities at a grant level are provided in **Table 2-1**. Although these E&S risks are not applicable to all grantee activities they provide an overview of representative risks resulting from AGRA's current grantees.

Table 2-1 *Key E&S Risks at the grant level*

| Key risk areas | Description |
|---------------------------------------|--|
| Overall E&S Management | |
| E&S Governance and Management Systems | Inadequacy of the approach and experience/ competency of the grantee/consortium to managing and budgeting for E&S-related issues can have an impact on the regulatory compliance and E&S performance. |
| Environment | |
| Soil Conservation and Management | Physical and chemical degradation of soils (may result from unsuitable management techniques, such as use of inappropriate machinery, etc.). Chemical degradation of soils (may result from insufficient or inappropriate use of mineral fertilizers, etc.). Soil erosion and generation of sediments can be a significant pollutant dependant on the physical and chemical properties. |
| Water Management | Inadequate water management for crop production could decrease water availability. |
| Pesticides Use and Management | Pesticide use and potential contamination of soils, wildlife, groundwater, or surface water resources caused by accidental spills during the transfer, mixing, storage, and application of pesticides. |
| Biodiversity | Key direct impacts on biodiversity relate to habitat conversion or degradation, water usage, pollution through agrochemicals and fertilizers, introduction of invasive species, inappropriate cultivation techniques, and reduced quality and or availability of priority ecosystem services. |
| Air emissions | Atmospheric emissions are primarily associated with emissions of combustion by-products—including carbon dioxide (CO ₂), sulfur dioxide (SO ₂), nitrogen oxide (NO _x), and particulate matter (PM)—resulting from the operation of mechanized equipment or from the disposal or destruction of crop residues or processing. Annual crop production produces greenhouse gas emissions (GHG), including methane, nitrous oxide, and carbon dioxide at different stages of the production cycle. |

| Key risk areas | Description |
|--|--|
| Occupational Health and Safety and labour condition | |
| Physical hazards | <p>Operational and workplace hazards (Slips, trips, and falls).</p> <p>Machinery and vehicles accidents i.e. vehicle collisions; vehicle and machinery roll-overs, etc.).</p> <p>Confined and restricted space i.e. entry for processing bins and silos, product storage bins, areas treated with pesticide, etc.</p> <p>Exposure to organic dust: threshing, handling, and storage of grain generate potentially high concentrations of organic dust including particles from grain, fungi, and bacteria, as well as inorganic material.</p> |
| Risk of fire and explosion | Fires resulting from the combustion of stored oil or crop residues, which can lead to a loss of property or cause possible injury to or fatality people. |
| Biological hazards | Contact with venomous animals, such as stinging insects, spiders, scorpions, snakes, disease vectors (e.g., mosquitoes, ticks), and with certain wild mammals. |
| Chemical hazards | Potential exposures to pesticides - the effect of such impacts may increase due to climatic conditions, such as wind (which may increase the chance of contaminant drift), elevated temperatures, or high humidity. |
| Child and forced labour | <p>Child labour, i.e. when someone (a member of the family of the outgrower, or small-business owner) under the legal working age is employed, is harmful if it deprives the child of an education, is economically exploitative or is damaging to physical and mental development.</p> <p>Forced labour, i.e. any work or service not voluntarily performed that is exacted from an individual under threat of force or penalty.</p> <p>Harassment, including sexual exploitation and abuse</p> |
| Hybrid crops | The use of hybrid crops may force the smallholder farmer into dependencies with seed developers as yields will substantially decrease when using the following generations of hybrid seeds. |
| Genetically modified crops (GM) | The use of plants, which DNA has been modified using genetic engineering methods, can lead to possible cross-breeding with related crops, giving them advantages over naturally occurring varieties and thus creating the possibility of long-term ecosystem damage by GM crop usage. |
| Community Health and Safety | |
| Health and Safety (H&S) Management | <p>Land use changes or to the loss of natural buffer areas/ecosystem services (such as wetlands, mangroves, and upland forests that mitigate the effects of natural hazards, such as flooding, landslides, and fire) due to expansion of agricultural land into natural areas and/ or land degradation through poor farming practice.</p> <p>Potential exposure to pesticides.</p> <p>Increased risk of vehicle or machinery injuries on roads.</p> |
| Land acquisition | |
| Land acquisition and Involuntary resettlement | <p>Involuntary resettlement refers both to physical displacement (relocation or loss of shelter) and to economic displacement (access to resources for income generation or means of livelihood) due to land acquisition (including rights-of-way) associated with a project's operations.</p> <p>Inadequacy and appropriateness of the grantees' approach to land acquisition and to the extent relevant, stakeholder engagement (including grievance management) on this issue, livelihood restoration and compensation may result in long-term hardship and impoverishment for Affected Communities and persons, as well as environmental damage and adverse socio-economic impacts in areas to which they have been displaced.</p> |
| Stakeholder Engagement | |

| Key risk areas | Description |
|--|--|
| Stakeholder Engagement at corporate level grievance management | Stakeholder engagement is the basis for building strong, constructive, and responsive relationships that are essential for the successful management of a project's E&S impacts. If grievances are not recorded as part of the grantees stakeholder engagement activities these grievances could be related to issues that could escalate into legal claims if unresolved. |

3 ESMS MANAGEMENT & ORGANISATION

The success of implementing this ESMS depends on the commitment of AGRA management and relies on clearly defined roles and qualified personnel in place for the management of E&S risks. Responsibilities, accountabilities and authority on E&S aspects must be clearly distributed at the management, country and regional level and included into formal job descriptions. Time and resources should be allocated to these individuals if roles are shared with existing activities and responsibilities.

3.1 OVERVIEW OF AGRA'S E&S ORGANISATIONAL STRUCTURE

Figure 3-1 shows the current organisational structure of AGRA.

HIGH-LEVEL ORGANIZATION CHART

AGRA - Management Structure – January, 2019

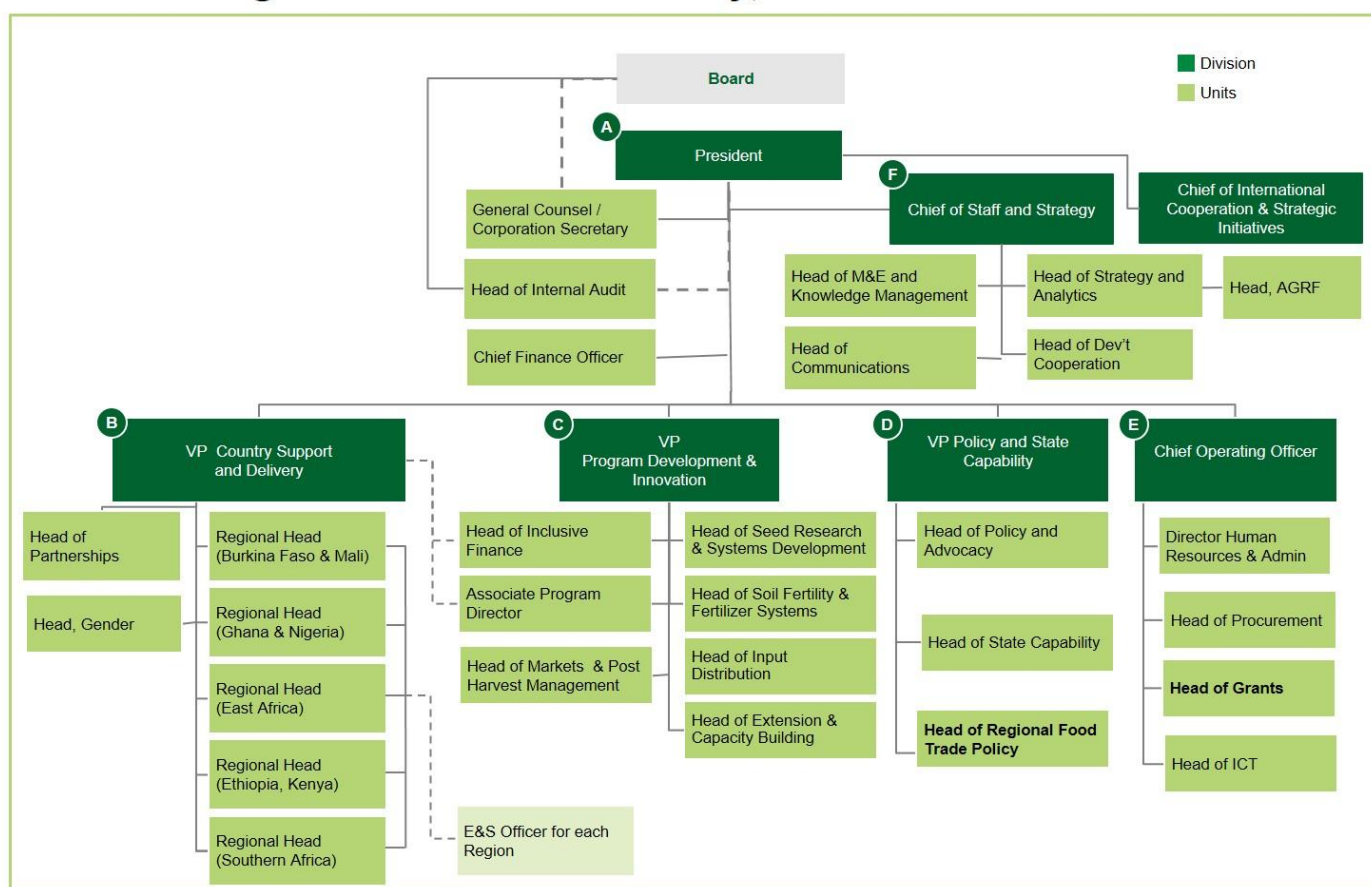


Figure 3-1 AGRA Management Structure (01.2019)

AGRA is led by a President who is ultimately accountable for the Organisation and its operations. The following roles report directly to the President:

- Three Division Vice Presidents (VP)
 - VP Country Support, Delivery and Partnerships
 - VP Program Development and Innovation
 - VP Policy and State Capability
- Chief of Operations Officer
- Chief of Staff and Strategy
- Chief of International Cooperation & Strategic Initiatives

The Regional Teams and the Country Teams are grouped under the Division of Country Support, Delivery and Partnerships. Each country is structured differently as per local needs and priorities, for instance, the Country Teams of Burkina Faso is structured as shown in

Figure 3-2 and including the Regional E&S officer.

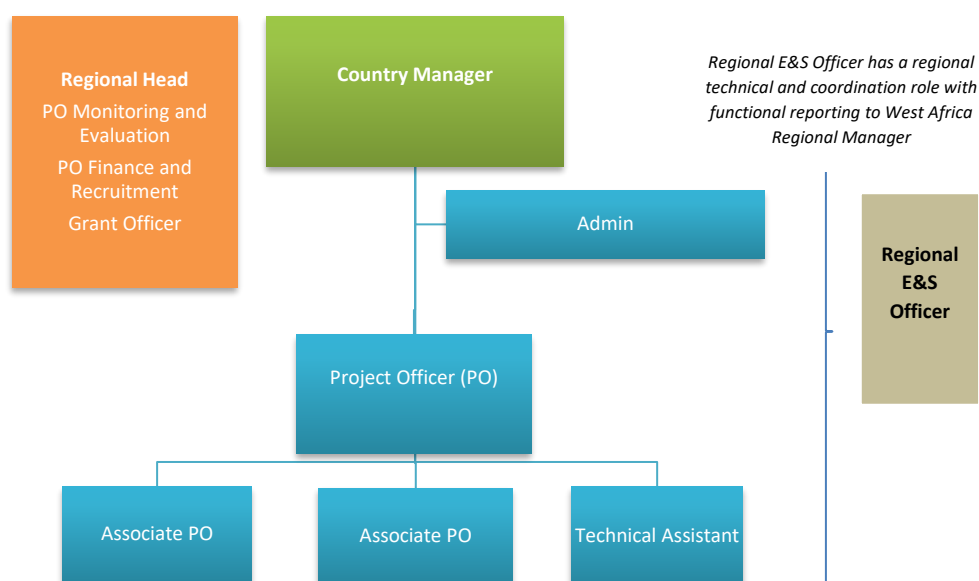


Figure 3-2 *Burkina Faso Country and Regional Team*

The President will formally assign the E&S function to an E&S Manager within AGRA Headquarters. The E&S Manager has technical oversight assigned E&S Officers at the regional level (i.e., Regional E&S Officers) whose functions are to ensure the implementation, monitoring and reporting on E&S activities. Where found to be necessary E&S Officers could be deployed at country level. These roles are described below.

3.2 E&S ROLES AND RESPONSIBILITIES

The following section presents recommendations on the roles and responsibilities needed within AGRA to successfully implement the ESMS. The recommendation of new roles and responsibilities outline the necessary organisational

capacities that would need to be in place in order for AGRA to manage E&S aspects on the ground and to ensure compliance and reporting to Senior Management. The exact distribution of these responsibilities among existing personnel and/or new staff are options open to management. An evaluation of the pilot phase of this ESMS will further give guidance on how to place the function.

An E&S Manager shall be in place to manage all ESMS aspects across the organisation, while Regional E&S officers are either recruited or existing POs/APOs are fully trained on E&S to be able to deliver on the required responsibilities in each region. The E&S Manager will report to the VP for Division Country Support, Delivery and Partnerships.

Table 3-1 provides an overview of the ESMS roles, qualifications / experience required and associated responsibilities.

As the ESMS evolves, AGRA will need to assess required capacities at both regional and national levels for effective implementation in these defined roles.

Table 3-1 **E&S Core Roles and Responsibilities**

| Role | Key Qualifications | Responsibilities |
|---|---|--|
| E&S Manager (AGRA HQ level) | <ul style="list-style-type: none"> A track record of managing E&S in the development sector, experience in the agri-sector is an added advantage, in compliance with international requirements including the IFC performance standards and EHS sector guidelines, International Labour Organisation (ILO) guidelines and the Voluntary Principles on Security and Human Rights. Preparation and implementation of ESMPs. E&S auditing. Designing and delivering E&S training. Monitoring and evaluation on E&S. | <ul style="list-style-type: none"> Overall responsibility for ensuring compliance and management of E&S issues across AGRA. Development / quality control of training materials for internal staff and for grantees. Delivery of training on E&S to internal staff and grantees and maintaining training records. Overall sign-off of E&S assessments related to grantee applications and proposals. Review of monitoring reports. Review and approval of E&S country evaluations/audits. |
| Regional E&S Officer (Regional/ Country level) | <ul style="list-style-type: none"> General knowledge and experience of E&S (in the agri-sector), in particular local laws and awareness of international requirements. Experience of developing ESMPs. Experience of capacity development / training on E&S issues. | <ul style="list-style-type: none"> E&S assessments for grantee applications and proposals, including initial risk screening, review of Concept Notes and Proposals, E&S monitoring requirements in the Grant Agreement Letter and support of POs/APOs with due diligence site visits. Monitoring and evaluation of grantees on E&S performance. Support to grantees in preparing Environmental and Social Management Plans (ESAPs) Sits in the resettlement or livelihood steering committee Review of RAP/LRP reports Support to the E&S Manager in delivering E&S training regionally at the country level to internal staff and externally to grantees, including grantee workers where required. E&S country evaluations/audits and update of the Strategic Risk Assessment for the countries within the respective region. - SEAH Assessments |

| Role | Key Qualifications | Responsibilities |
|---------------------------------|--|---|
| Safeguarding Officers (Country) | <ul style="list-style-type: none"> - Experience in safeguarding of youth women and vulnerable groups - Experience in handling cases of sexual harassment at places of work <p>Psycho-socio counselling skills and experience</p> | <ul style="list-style-type: none"> - Vulnerability assessments - Training and awareness creation of safe working environments - Confidentiality in dealing and handing of safeguarding matters |

In addition to the roles above, other AGRA staff will have responsibility for managing E&S issues and supporting ESMS implementation, as detailed in **Table 3-2**.

Table 3-2

AGRA Staff Roles and Responsibilities for the Implementation of the ESMS

| <i>Role/Title</i> | <i>Responsibility related to E&S Management</i> |
|---|---|
| Board of Directors | AGRA's overall managing & governing organ, responsible for but not limited to final approval of project budgets and country development plans. |
| Senior Management | |
| President | Ultimate accountability for ensuring ESMS implementation throughout AGRA operations. |
| Vice President Country Delivery, Support and Partnerships | Responsible for ensuring that country and regional operations have sufficient capacities and resources to implement the requirements of this ESMS. |
| Regional Heads | Reporting of E&S performance to the VP Country Support, Policy and Delivery. |
| Country Manager | Responsible for monitoring E&S performance at a country level, and compliance of all activities with ESMS requirements. |
| Programmes | |
| Heads of Unit and Programs | Ensure that E&S is integrated in programmes. |
| Programs Committee | Discuss and ensure that E&S is included in proposals and as part of the decision making process. |
| Project Officers | Responsible for ensuring that grantees have all documentation and resources in place to manage E&S. Support to Regional E&S Officers to build capacity of grantees to manage E&S. Review of ESAP and E&S management in programmes. |
| Associate Project Officers | Working with the Regional E&S Officer to undertake an initial assessment of E&S issues at the grantee application stage and throughout the proposal development process. ESAP monitoring. Reporting 'red flag' E&S issues to the E&S manager. |
| Regional Grants Committee Charters | Review of E&S issues throughout the grant approvals process. |
| Grants | |
| Head of Grants | Ensuring that E&S issues are being considered in grant awards processes and decisions. |
| Regional Grants Officer | Responsible for ensuring that the E&S aspects have been completed. |
| Regional M&E Officers | Responsible for ensuring that E&S monitoring is being undertaken in accordance with the monitoring schedule. |
| Grant Committee (GC) | Discusses the material / cost aspects of E&S management to determine feasibility of the programme, as well as ensures that budget is allocated for the management of such risks appropriately. |
| Grants Review Committee (GRC) | As above. |
| Grants Unit | As above. Works closely with the Regional E&S Officers and the E&S Manager to ensure monitoring of E&S and implementation of programme E&S Action Plans. |
| Administration / Support Services | |
| Head of Resource Management | Responsible for formal designation of roles and responsibilities and adjustment of any additional HR documents in line with the ESMS. Responsible for managing the training schedules of AGRA personnel associated with the ESMS. |

| <i>Role/Title</i> | <i>Responsibility related to E&S Management</i> |
|--|--|
| Monitoring and Evaluation | |
| Head of M&E Unit | Ensures that M&E is being carried out in relation to E&S. |
| Regional Monitoring and Evaluation Unit (M&E Unit) | Responsible for ensuring that monitoring of E&S is being carried out by E&S team and programme / project officers. |

3.3 TRAINING REQUIREMENTS FOR DEVELOPING E&S CAPACITY WITHIN AGRA

AGRA shall undertake ongoing training for those responsible and/or accountable for the implementation of the ESMS in order to increase the capacity of AGRA staff and to raise awareness of the ESMS in the organisation. This training is described within a Capacity Building and Training Plan (Annex 2a) focused on E&S risks developed in-line with AGRA's E&S Policy, taking into account the national/local regulatory requirements and applicable international E&S Standards.

Training on the ESMS shall be carried out by a combination of external and internal parties with related experience. This should include:

- Training with Senior Management and other staff at the headquarters in Nairobi, Kenya; and
- Country or regional level training with the Country Manager and all POs/APOs.

Additionally, a train-the-trainer programme should be established in order to develop the capacity on E&S throughout the organisation.

A set of modules should be developed in order for a deeper understanding and application of topic areas in AGRA (see Annex 2). Training needs can be identified by assessing against the required set of skills as defined in Annex 2. Training needs can also be triggered by past events, such as accidents, emergency situations, internal or external grievances, as well as audit deficiencies and/or requests from employees.

Training records should be kept for all staff to monitor attendance and training requirements.

4 E&S MANAGEMENT AND MONITORING

4.1 MANAGEMENT OF STRATEGIC E&S RISKS AT THE COUNTRY LEVEL

The successful identification and management of strategic E&S risks at the country level will provide the framework for the management of individual risks at the grant level and will ensure successful E&S performance of AGRA grantees and other implementation partners in line with the requirements of the ESMS. Annex 1 provides the Strategic E&S Risk Assessment for AGRA operations which need to be managed at the country level. For each risk, specific mitigation measures are defined in order to minimise negative E&S impacts and enhance positive impacts.

Based on this list, country-specific risk assessments need to be carried out by the E&S Officers in close collaboration with the individual Country Teams and in consultation with the overall Strategy Team, which is likewise responsible for the update of specific country plans. These need to reflect country-specific regulatory requirements and technological standards and account for differences within the internal organisational structure of the individual Country and Regional Teams. Risk assessments must be carried out along with the update of the respective Country Plans and housed within the Country Plans, and updated at least annually. Management of ongoing strategic E&S risks will be in line with the mitigation measures as specified in Annex 1 and as further defined in the individual country risk assessments. Such measures will typically include:

- Engagement with external partners (such as research organisations and NGOs) to ensure adequate evaluation of project E&S risks and to benefit from external guidance;
- Regular project internal audits and monitoring visits;
- Tracking of NGO sentiments;
- Definition of clear selection criteria for grantees and partners; and
- Training of grantees and partners in the management of E&S risks.

The country-specific risk assessments need to define clear responsibilities within the Regional and Country Teams and measurable milestones/KPIs for the ongoing monitoring of identified mitigation measures. This should be provided in the format of Annex 1.

4.2 MANAGEMENT OF E&S RISKS AT THE GRANT LEVEL

The identification of strategic risks at the country level as described in **Section 4.1** forms the basis for the management of E&S risks and needs to be considered for the E&S risk assessment of each individual grant. Subsequently, successful management of E&S risks at the grant level needs to be ensured throughout the entire grant lifecycle including:

1. Project/Grant Conception;
2. Grantee Identification and Concept Development;
3. Proposal Development;
4. Grant Award;
5. Post-award Monitoring; and
6. Close Out

Key steps involved in AGRA's grant management are defined schematically in the ESMS Process Diagram as shown in Figure 4-1 below, and described further throughout **Sections 4.2.2** through **4.2.6**. The diagram lists subsequent activities throughout the grant lifecycle, and tools and checklist to be used at each stage.

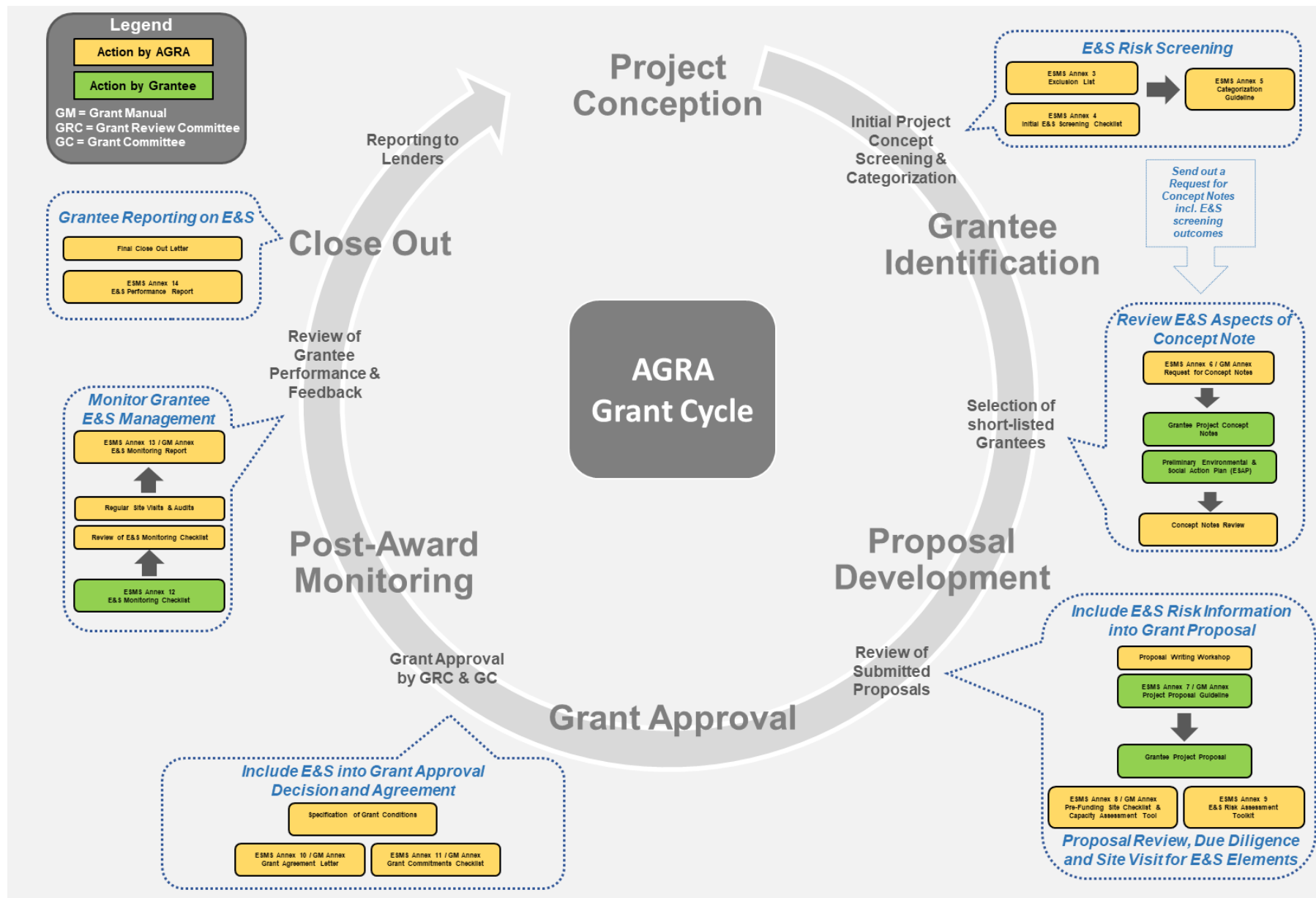


Figure 4-1 E&S Management throughout the AGRA Grant Lifecycle

4.2.1 Project Conception

Project ideas are developed at country (and Headquarters) level (based on Country Plans) by Regional Heads, Country Managers and Technical Officers following board approval of annual budgets.

Conception and approval of project ideas must consider possible E&S risks and impacts during project implementation upfront. These need to be properly assessed through pre-screening and project categorisation according to possible E&S risk and impacts. This process is described in more detail throughout the following paragraphs.

Pre-Screening and Categorisation of the Proposed Project

Proposed projects must comply with AGRA's E&S Policy and shall be considered against AGRA's Exclusion List (Annex 3), which provides a list of activities that AGRA does not support.

Following development of the project idea, an initial screening for E&S risks as well as for Climate Adaptation risks (preliminary assessment) will be conducted by the responsible (Associate) Project Officer (PO, APO) and/or Technical Lead Officer. Pre-Screening will typically include a desktop review of expected impacts resulting from the proposed project on key E&S parameters.

Although Pre-Screening will be done as an internal AGRA process, upfront engagement with potential grantees and project partners should be carried out to obtain additional high-level information on potential E&S risks and impacts and to evaluate the organisational capacity of the grantees to successfully manage E&S risks. This can be done in parallel to efforts undertaken for demand creation. The Pre-Screening will furthermore identify potential areas where information is missing that need to be obtained during a more in-depth Screening/Due Diligence at later stages. The information collected will be used by the responsible PO/APO/Technical Officer to fill a set of risk assessment and impact identification tools, including an initial checklist for E&S and Climate Adaptation Screening which is provided in Annex 4. Results of the Pre-Screening Checklists will be reviewed by the E&S Officer and approved by the Regional Head and Country Manager.

The E&S and Climate Adaptation Screening form the basis for the preliminary categorisation of the project according to its potential E&S impacts.

Preliminary Categorisation of the Proposed Project

Results of the E&S and Climate Adaptation Screening will be used to determine the preliminary category of the project in line with the requirements of the IFC PS following the criteria defined in the Categorisation Guideline (Annex 5). The following table provides an understanding of the project categories.

| Category A | Category B | Category C |
|---|---|---|
| Category A projects are those that are likely to have significant adverse impacts and risks on the environment and/or the social conditions of the affected population. Impacts and risks may potentially be significantly adverse because the complex nature of the project, the scale (large to very large), and the sensitivity of the location of the project or the impacts and risks are irreversible or unprecedented. | Category B projects are those that are likely to have potentially adverse risks and impacts upon the environment and on the social conditions of those concerned. These impacts are likely to be less adverse than those of the Category A projects. Typically, the potential impacts and risks of category B projects are limited to a local area, are in most cases reversible and are easier to mitigate through appropriate measures. | Category C projects are those that are likely to have no or only minor adverse environmental and social impacts or risks. |

Preliminary Categorisation will be defined by the regional E&S Officer and needs to be approved by the Regional Head and Country Manager.

At this stage, the final extent of E&S risks may not yet be fully clear. In such cases, the categorisation should tentatively be chosen to the more stringent category (e.g. if unsure about A or B, chose A). If subsequently in the process it is found that E&S risks are less significant, then the categorisation can be revised if appropriate (and the respective justification documented and filed accordingly).

Following the E&S and Climate Adaptation Screening and the project E&S categorisation, the Regional Head and Country Manager will decide to pursue the project and proceed with the Request for Applications (RFA).

4.2.2 *Grantee Identification and Concept Development*

Identification of grantees will usually be through an open competition following the Request for Application (RFA). In exceptional circumstance also closed competition or direct solicitation is possible. While open competition is used for the end-of-line implementing partners such as seed-companies, agro-dealers or NGOs, closed competitions are used when only a handful (i.e. three to five) potential grantees is available. Direct solicitation is used when there is only one implementing partner such as national research institutes or policy/planning institutes. Irrespective of the type of solicitation is chosen to identify possible grantees, the assessment and management of E&S risks and impacts needs to be in line with the requirements of this ESMS.

Project Launch and Demand Creation

Demand creation for projects is initiated through an ongoing process of stakeholder engagements with potential grantees at the country level coordinated by Regional Heads with the support of Country Managers and in line with the Country Plan.

Each grant solicitation will be managed by the responsible (PO) with support from the APO(s), Country Manager, Regional Head and Technical Officer(s). The PO has to decide on the type of grant solicitation which needs to be approved by the Regional Head.

Concept Note and Shortlisted Grantees

The first step of the open application process is the publication of the Request for Concept Notes (RFCN). The RFCN describes the overall programme and key activities related to its implementation as well as selection criteria, duration and expected results.

The RFCN must include all information from the preliminary E&S screening and categorisation process and a commitment on the sustainable management of E&S risks during project implementation. The RFCN will include selection criteria for grantees or consortia related to the management of E&S risk as identified during the screening phase. Clear indicators on E&S management required by the potential grantee as well as monitoring and reporting requirements need to be included. This includes the preparation of a preliminary Environmental and Social Action Plan (ESAP) by the grantee (with the support of the E&S Officer) that builds on the risks identified during Pre-Screening and needs to propose management and mitigation measures to be implemented by the applying grantee/consortium. Annex 6 shows a sample RFCN including requirements on E&S.

Review of concept notes is done by the Regional Grants Charter Committee and must include an evaluation of the nature of the project with regard to E&S risks and the ESAP as proposed by the applying grantee/consortium. This includes an evaluation of organisational capacities to manage these E&S risks of the prospective grantees.

Based on the review of the concept notes, the Regional Grants Charter Committee will define a set of shortlisted grantees that will be invited for proposal development.

4.2.3 *Proposal development*

Request for Application and submission of project proposal

Shortlisted grantees are invited to submit proposals according to AGRA's proposal guidelines. All proposals must clearly reference the E&S risks as outlined in the ESAP submitted with the Concept Note and include further detailed information in an updated ESAP as applicable. AGRA's Grant Proposal Submission Guidelines must include E&S requirements that need to be provided by shortlisted grantees/consortia in their proposal (see Annex 7).

Where applicable, Regional Heads and Country Managers will provide grants-write workshops with shortlisted grantees to facilitate the fulfilling of grant requirements as outlined in the Grant Proposal Submission Guidelines. In case deficiencies with regard to the E&S capacities of the grantees have been observed during the Concept Note stage, the E&S Officer will support these workshops with the necessary training on E&S requirements of the project.

Review of Applications and Due Diligence of Shortlisted Grantees

Proposals are reviewed by the PO, M&E Officer, technical experts, the Regional Grant Officer and the E&S Officer. External reviewers are included if grant value exceeds US\$ 300,000 or for specific technical evaluations.

Initial review of applications will be conducted by the responsible PO and the Regional Grants Officer. After completion and validation of the proposal documents, a detailed assessment will be carried out by the PO and the Grants Officer.

The review of E&S aspects included in the proposal will be done as part of the detailed review by the E&S Officer. The information provided in the proposal and the ESAP will be used to confirm or amend the preliminary project category.

Review of proposals will furthermore include a detailed assessment of the organisational capacity of the grantee/consortium. This includes an assessment of E&S performance of the grantee/consortium, guidelines for which are included in Annex 8. In case of a repeated application of a grantee, the historic performance with regard to management of E&S risks will be assessed.

Typically, site visits will be performed to verify information as provided by the grantee/consortium on the ground and to obtain additional information. Site visits will be conducted by the responsible PO/APO with support by the E&S Officer as necessary and information obtained will be included in the Pre-Funding Site Checklist (Annex 8). The checklist will be reviewed and approved by the E&S Officer.

The E&S Officer will include the information from the proposal, capacity assessment and the site visit checklist to complete the E&S Due Diligence (ESDD) report as provided in the E&S Risk Assessment Toolkit (Annex 9). For Category A Projects, the E&S should seek external support and assistance for the due diligence assessment, in line with the specific potential E&S risks. For Category B projects the E&S Officer shall consider appointing third party external assistance. The ESDD will identify any gaps of the information provided by the grantee/consortium with applicable national legislation and other international requirements. Specific actions needed to close these gaps will be documented through the final project ESAP which is prepared by the E&S Officer. Template and guidance on drafting a sound ESAP is available in Annex 9.

Additional E&S Studies

Depending on the outcomes of the Due Diligence process and the final project category and ESAP, additional E&S studies will need to be provided by the grantee/consortium. The following table provides high-level information on the level of assessment to be used for each of the project categories.

| | Category A | Category B | Category C |
|--|------------|------------|------------|
|--|------------|------------|------------|

| Typical Project E&S Assessments expected to be in place | Compliance to E&S regulatory requirements an independent E&S Impact Assessment (ESIA) and E&S Management Plan (ESMP) should be in place for Category A projects. The ESMP should describe all measures that need to be taken to avoid, mitigate, offset and monitor any adverse impacts and risks that have been identified by the ESIA; it should also assign responsibilities for implementing such measures and list the costs involved. | Compliance to E&S regulatory requirements Requirement of ESIA, permitting and ESMP to be determined on a case-by-case basis. There may be projects which are classified as Category B, but which will not be required to undertake an EIA under national legislation, for such a register of E&S impacts should be developed. | Compliance to E&S regulatory requirements Category C projects usually do not require any additional analysis or any further ESIA procedures and can be managed against the requirements of the project ESAP. The mitigation measures to address the minor E&S risks should be defined in a short project ESMP. |
|---|---|--|---|
|---|---|--|---|

Further information on additional E&S studies depending on project category is provided in Box 1.

Box 1 - Project Categories and subsequent E&S studies

Category A Projects: In addition to ensure applicable E&S legislation (for a template of a Legal Register see Annex 9) are complied with, Category A projects require additional relevant E&S studies to be conducted by the grantee/consortium. These additional E&S studies should include a comprehensive ESIA and ESMP and in case of physical or economic displacement, a Resettlement Action Plan (RAP) respectively a Livelihood Restoration Plan (LRP). Also, where there is considerable climate relevance, an in-depth assessment of the potential for greenhouse gas reduction or the need for climate adaptation will be needed. Suggested outlines for an ESIA are available in Annex 9. Guidelines for land acquisition and resettlement are provided in Annex 9. During the process of relevant E&S studies preparation, it would be expected that consultation with project stakeholders be carried out. Relevant documents on public consultations should be provided. Grantees/consortia should be encouraged to consider seeking support from experienced environmental and/or social specialists for undertaking these E&S studies.

Category B projects: Category B risks and impacts are less significant compared to Category A projects and can usually be mitigated through state-of-the-art mitigation measures or standard solutions.

The need for and the scope, the priorities and depth of appraisal required by a Category B project should be determined based on a case by case evaluation of the E&S risks, while considering the applicable national legislations. Simple appraisal (e.g. review of the project E&S risks) can be conducted to identify potential E&S gaps in lower risk Category B projects. The applicable IFC Performance Standards would depend on the project type and aspects specific to the project, but they are likely to be limited to PS 1-2 for the lower risk Category B projects. In-depth E&S appraisal would be needed for Category B projects that anticipate higher E&S risks. The due diligence process for the higher risk Category B projects will be similar to that for the Category A projects, which involves the detailed review of project E&S assessments and a site visit to verify the level of E&S risks as necessary.

Category C projects: Category C projects are projects with minimal or no impacts to E&S aspects. The Category C projects will need to comply with the local laws and regulations related to E&S at minimum but would not be expected to have additional or detailed E&S assessments in place. Nevertheless, the E&S Officer would have identified E&S issues or gaps based on the outcome from the internal project screening process and the discussions with the shortlisted grantee/consortium. Mitigation actions of the identified E&S issues will be prioritised and documented into an ESMP or similar document prepared by the grantee/consortium and implemented over the project lifecycle.

All projects will need to consider Emergency Preparedness and Response Planning. If significant risk are identified during the Due Diligence, an Emergency Preparedness and Response Plan will be developed by the grantee/consortium.

Depending on the project, additional mitigation and management measures may be necessary and need to be implemented by the grantee/consortium in order to obtain the grant approval. The decision on which Management Plans apply may differ between the types of projects and will be defined in the final project ESAP¹.

Requirements for any additional E&S studies must be defined in the final project ESAP including clear timelines. Studies must be provided by the grantee/consortium in the defined timeframe and will form disbursement conditions in the Grant Agreement Letter.

4.2.4 Grant Award

Grants are reviewed by the GST Charter Committee and approved by the grants review committee (GRC) and the grants committee (GC). The approval must include the information provided by the E&S Officer in the ESDD report and project ESAP and decision for grant approval needs to consider the E&S risks as identified. The E&S Officer must provide input to the grants approval process through the E&S screening. The E&S Officer will clear/approve, for implementation the project ESAP, which must be included in the Grant Agreement Letter (Annex 10).

A checklist for the grantee/consortium to track documents, management; and monitoring plans is provided in Annex 11 and should be attached to the Grants Agreement Letter.

4.2.5 Post-Award Monitoring and Implementation

Monitoring and Reporting

Monitoring of E&S aspects, following implementation of actions and mitigations, are fundamental elements of an adequate management system. Under AGRA's current operational procedures, grants monitoring reports is provided by the grantee/consortium as follows:

- Indicator Performance Tracking Table (IPTT)
- Technical Report
- Financial Report
- Project Implementation Plan Report
- Project Risk Matrix Report
- Milestones Reports

Under the ESMS, E&S reporting and monitoring will be submitted along with the above reports by the grantee/consortium at the frequency as specified in the Grant Agreement Letter. An E&S Monitoring Checklist that serves as a basic template for E&S reporting during project implementation is provided in Annex 12 and will be annexed to the IPTT. This checklist needs to be adapted to the specific requirements of the ESAP. The E&S Officer will review the Checklist and the evaluation will be included in the final scoring of the grantee. The PO is responsible for integrating the scores as obtained by the E&S Officer, Grants Officer and M&E Officer to the final scoring and inform the grantee.

¹ Typical Management Plans might include Waste Management Plan, Traffic Management Plan, Pesticides Management Plan and others.

Audits

In addition to the review of the submitted E&S Monitoring Checklist, periodic site visits performed by the PO/APO and/or the E&S Officer will be conducted to monitor the implementation of the ESAP and other E&S studies as applicable (e.g. ESIA, RAP). The site visits will ensure the correct implementation of all requirements as listed in the ESAP and the additional E&S studies.

Results from the E&S Checklist as submitted by the grantee/consortium and the information from the site visits will be used by the E&S Officer to prepare the project E&S Monitoring Report. A template on how to prepare the E&S Monitoring Report is provided in Annex 13.

Upon completing the E&S Monitoring Reports, the E&S Officer will discuss any E&S deficiencies with the grantee/consortium in order to clarify uncertainties and define improvement actions. This information will be included in the final Performance Report to the relevant institutions that provide a financial contribution to AGRA.

Should external factors (e.g. natural hazards, pests, political changes) influence the E&S performance of the project, grant modifications can be considered to reflect these changes. This process would include the modification of goals/objectives linked to E&S performance as outlined in the ESAP and the E&S Monitoring Checklist. All modifications of E&S goals/objectives must be in line with AGRA policy on the modifications of the Grant Agreement.

In a worst-case scenario, non-compliance with the E&S requirements of the project can lead to the termination of the grant. Such termination will be initiated by the E&S Officer who will propose termination as per set out guidelines in full consultation with the Head of Grants. Termination needs to be approved by the Head of Grants and ultimately the AGRA President.

4.2.6 Grant Close Out

Along with the final reporting on the project, the E&S Officer must approve and provide a Final E&S Report in line with the Template as outlined in Annex 13. The final report must reference the close-out of all ESAP items and requirements of other studies. Should open items remain, these need to be clearly assigned to the responsible grantee to ensure that they will be completed after grant termination. In this case, outstanding items need to be included in the final Closeout Letter along with best-practice E&S management measures (such as waste management and community interaction).

E&S information will be documented in line with the general AGRA filing system for a period of five years after closeout of the last grant to the grantee.

5 STAKEHOLDER ENGAGEMENT

5.1 STAKEHOLDER ENGAGEMENT PLAN

Stakeholders are persons or groups who are directly or indirectly affected by a project, as well as those who may have interests in a project and/or the ability to influence its outcome, either positively or negatively. They can include affected communities located near a project, particularly those subject to actual or potential project-related risk and/or adverse impacts on their physical environment, health or livelihoods.

How those stakeholders are engaged can determine the successfulness of a project implementation, as it forms the basis for managing a project's environmental and social impacts. A detailed consultation process is required and all engagement with stakeholders must be conducted in line with AGRA's Environmental & Social Safeguard Policy. The engagement process will also be guided by AGRA's relevant safeguarding policies and procedures.

A Stakeholder Engagement Plan (SEP) is required to be developed and implemented for each project on an appropriate scale. A SEP should be scaled to the project risks and be tailored to the characteristics of the affected persons or communities. Template of a SEP can be found in Annex 9.

The outcomes of the overall and country level strategic risk assessments should be formally taken into consideration in the updating and planning of AGRA's overall guidelines and strategy for engagement and documented through minutes, and in any engagement guideline or programme plan updates.

5.2 GRIEVANCE MECHANISM

Stakeholder engagement measures will work pro-actively towards identifying and addressing issues before they become grievances. However, when grievances are reported they need to be addressed in a consistent and verifiable manner as part of the implementation of the ESMS as well as AGRA's Sexual Harassment and Safeguarding Policy.

AGRA will ensure through the ESDD that the grantee will establish a mechanism to receive and facilitate resolution of stakeholders' concerns, complaints, and grievances about the project's performance. Procedures stipulated by AGRA's Grievance Mechanism (Annex 9) will be followed and stakeholders' will be informed about the mechanism. The Grievance Mechanism is designed to be a transparent process that is gender responsive, culturally appropriate, and readily accessible to all segments of the stakeholders at no costs and without retribution. Furthermore, the mechanism will be verified by the AGRA E&S Manager, who will then communicate with the Team of E&S Officers. Those actions are applicable for Category A, B and C projects.

AGRA's will also implement and maintain a grievance mechanism at an organisational and country level in line with the guidance provided in Annex 9. The grievance mechanism also be designed in a manner that it is not only gender sensitive but also safe for reporting possible cases of sexual exploitation, abuse and harassment. The grievance mechanism will be designed that it is accessible at places of work as well as in communities for stakeholders.

AGRA's institutional-level grievance redress mechanism's point of contact is:

Hillary Tororey
 Head Internal Audit
 AGRA HQ
 West Towers
 Wayaki Way
htororey@agra.org

In the case of the RE-GAIN programme, the GCF independent redress mechanism is also available to stakeholders at: <https://irm.greenclimate.fund/case-register/file-complaint>.

5.1 AGRICULTURAL EXTENSION OFFICERS AND VILLAGE BASED ASSOCIATES (VBAs)

5.1.1 Agricultural Extension Officers (EOs)

Among the range of project partners, extension services provided by national and regional governments (through extension officers) and/or by private agro-dealers play a key role for the implementation of AGRA's projects on the ground. Farmers are dependent on the support provided by extension services for the choice of seeds, fertilizers and pesticides and their combined application.

When providing grants to extension agencies, AGRA must ensure that information on E&S risks of the products and agricultural practices is included in the services provided by these agencies. Extension services provide the direct link between the development of new products/kits and the on-the-ground application by the farmer. To ensure sound management of E&S risks caused by the products and practices promoted by AGRA, it must be ensured that extension services have the proper knowledge on E&S risks and that these are communicated to the farmers.

As part of the implementation of this ESMS, AGRA must ensure proper training of extension officers and agro-dealers with regard to E&S risks and impacts of the promoted products and practices. For each project that involves cooperation with extension services, AGRA will provide training for extension officers and agro-dealers on the E&S risks that were identified as part of the project screening. These trainings will be delivered by the Regional E&S Officers or experts commissioned to do this on an annual basis.

Train-the-trainer workshops for extension officers and agro-dealers will be organised by AGRA on an annual basis. AGRA will provide training materials in line with the requirements of this ESMS.

5.1.2 Village-based Advisors

Extension officers and AGRA Officers will provide ongoing support on the management of E&S risks to village-based advisors (VBA). VBAs are selected community members of the villages that manage demonstration plots on the proper land use, agronomic practices and who promote the use of certified (hybrid) seed varieties within their villages. Extension officers and responsible AGRA officers will ensure that VBAs are trained in the management of E&S risks and that they will pass on this knowledge to individual farmers. Extension officers will need to provide training records of trainings given to those VBAs that are located in the region where they hold responsibility. AGRA will periodically participate in these trainings and support through provision of materials or specialist knowledge, as deemed necessary.

6 ESMS MONITORING AND REPORTING

6.1 TIMELINE AND ACTION PLAN

The implementation plan of this ESMS will be completed by AGRA in preparation for the Implementation Phase.

6.2 REPORTING TO LENDERS

A systematic annual reporting is required on the E&S performance of projects subject to funding from AGRA. Reporting and notification duties must be agreed between the AGRA and its grantees, and the appropriate monitoring tools shall be implemented. Suitable existing reporting tools already in use between AGRA and its financial contributors or stakeholders should be used in this matter as a reporting template for the grantees. The reporting and monitoring duties must be enforceable and practical.

The E&S Manager will compile such summary information from the E&S Officers based on the E&S Monitoring reports that can serve as the information basis for these summaries.

An example E&S Performance Report is provided in Annex 14. The draft E&S Performance Report should be provided to the AGRA VP for Country Support and Delivery for review and approval, prior to submittal to the corresponding institutions providing financial contribution to AGRA.

Besides the formal E&S reporting, projects may be subject to spot checks and ad-hoc visits by institutions that provide financial support to AGRA. In this ESMS such non-routine document reviews or ad-hoc actions by such institutions are not included as part of the normal procedures undertaken.

The ESMS will be reviewed on a regular basis, at least once a year, and updated if necessary to reflect any changes in legislation or requirements of institutions providing financial contribution to AGRA, as well as changes within the AGRA organisation. The review will be done by the E&S Manager who will work with the AGRA management to assess the effectiveness of the system and decide if any changes are necessary. The E&S Manager will also ensure that changes do not result in deviation from the requirements set forth by the institutions that provide financial contribution to AGRA, the IFC PS and the applicable legislations.

Relevant financial contributors will be notified of any update to the ESMS and be offered opportunity to review and comment before the changes are implemented.

Annex 1: Strategic Risk Assessment for interventions financed by AGRA (Template to be updated for each Country/ Region). The table gives a list of environmental and social (E&S) risks that are inherent to AGRA's mission and strategy to double yield and income of 30 million farming households by 2021. The risks presented in this table can vary by the country of intervention, depending on the regulatory framework and AGRA's country-specific strategy but are presented for each of the major types of activities undertaken by AGRA. It is therefore intended as a template to be completed and amended by the AGRA Country Team for each of AGRA's focus countries. Writings in italic indicate further specifications to be completed in each specific country-level risk assessment.

| AGRA Major Types of Activities | E&S Risk Areas | AGRA Actions | Potential E&S Risks and Impacts | Consequence for AGRA | Mitigation Measures | Documentation | Timeline for implementation | AGRA Staff Responsible |
|---|---|--|--|---|--|--|--|--|
| <p>To achieve this mission, AGRA is working through three broad areas of interventions (1) State Capability and Policy Engagement; (2) Systems Development; and (3) Partnerships by undertaking the following activities:</p> <p>Grant-Making Invest in projects that can have measurable impact and can create meaningful, transformative change in the agriculture</p> | <p>Grant Making</p> <ul style="list-style-type: none"> - At individual grant level, due to grant project activities - Cumulative effects of individual grant support across a region or country - Externalities related to the delivery approach and working with VBAs, EOs outside of direct influence of AGRA | <p>Development and adaptation of new crop varieties (hybrids).</p> | <ul style="list-style-type: none"> • Increased local community dependancy and vulnerability on single supply for livelihoods. • Potential for changing power dynamics at local and regional levels, and increased dependencies on support institutions (VBA, Extension services) | <ul style="list-style-type: none"> • Vulnerability to accusation from local and international NGOs and reputational damage • Limiting partnerships with DFIs, NGOs and other support organisation | <ul style="list-style-type: none"> • Regular monitoring visits to projects to include tracking of local community socio-economic status, and emerging local issues related to vulnerabilities associated with hybrid seed use. • Country-level engagment plans to include tracking of local NGO sentiments regarding hybrid seed promotion. • Tracking of international NGO sentiments as part of the overall AGRA Engagement Strategy. | <ul style="list-style-type: none"> • Project-level monitoring template and reports • Country level Engagement Plan implementation documentation • AGRA Engagement Strategy implementation documentation | <p>Ongoing Annual country plan updates</p> | <ul style="list-style-type: none"> • Project Officers • Country Manager • AGRA E&S Officer (regional) • AGRA E&S Manager • <i>Additional as relevant for specific country</i> |

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| sector. Nearly all of the organizations that are funded are identified and contacted by Program Officers. Intensive and collaborative planning generally precedes the awarding of grants and is an integral | | | | | <ul style="list-style-type: none"> • Any additional measures identified on a country level. | | | | |
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| <p>step.</p> <p>Country Support and Delivery Work closely with national governments, development partners, and other key agriculture sector players in each country context.</p> <p>Program Development and Innovation Developing and implementing initiatives that allow Africa's smallholder farmers to increase the productivity of their farms.</p> <p>Policy and Strategic Partnerships Grow Africa's prosperity and</p> | <p>Implementation of grant activities through Agricultural Extension Services and Village-Based Advisors (VBAs)</p> | <ul style="list-style-type: none"> • Increased dependency on individual suppliers due to changes in farming approaches, as a result of new availability of fertilisers and pesticides. • Potential for misuse of power at local and regional levels by VBA, EO resulting in increased dependencies and vulnerability • Reinforcing inequalities and discrimination e.g. of women • Poor soil management, or application of fertilisers, pesticides and agrichemicals at a household and farmer level | <ul style="list-style-type: none"> • Not achieving intended positive impact of grant intervention • Vulnerability to accusation from local and international NGOs and reputational damage • Limiting partnerships with DFIs, NGOs and other support organisation | <ul style="list-style-type: none"> • Identify and engage with national Agricultural Extension Services and NGOs to establish partnerships, share E&S risk management and plan approach to E&S training, cooperation and monitoring. Consider partnerships also with Universities and research institutes for broader/ regional level information sharing on monitoring and assessments. Details of these engagements should be included into AGRA's country level Engagement Plan. • Define and/ or selection criteria | <ul style="list-style-type: none"> • Records of AGRA engagement with government entities and NGOs • EO, VBA appointment process, requirements, advertisements • Training Records and Materials • Project-level monitoring template and reports | <p><i>TBD at country level</i></p> | <ul style="list-style-type: none"> • Country Manager • AGRA E&S Officer (regional) • AGRA E&S Manager • <i>Additional as relevant for specific country</i> |
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| <p>a uniquely African Green Revolution by creating collaborative and transformative partnerships. Leverages partnerships with a diverse array of actors, including but not limited to Private Sector, Development Banks and Financial Institutions, Implementing Partners.</p> | | | <p>associated with grant activities resulting in soil degradation and erosion and additional vulnerability, degradation of natural habitats and threats to community health & safety.</p> <ul style="list-style-type: none"> • Additional risks include (to be determined on a country level, and updated in accordance with AGRA national strategy) | <p>for the appointment of Agricultural Extension Officers and Village-Based Associates <i>(country-specific depending on cultural characteristics, community hierarchies and stakeholders involved)</i>, ensuring the participation and inclusion of women and/ or vulnerable groups in such appointments.</p> <ul style="list-style-type: none"> • Ensure appropriate training of Extension Officers and Village-Based Associates <i>(country-specific depending on cultural characteristics, community hierarchies and</i> | | | |
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stakeholders involved) through engagement with government and NGOs coordinating this and review of materials on:

- soil management;
- storage, handling and application of fertiliser, pesticides and other agrichemicals;
- other - *country specific - depending on key topics relevant for AGRA activities.*

- Grant-level monitoring to include review of local dependencies, vulnerabilities and training activities related to Extension Services and VBAs.

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| | | | | <ul style="list-style-type: none"> • Awareness raising among farmers (maintain their freedom of choice regarding seeds, fertilizers and agro-technologies) | | | |
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| | | | | <ul style="list-style-type: none"> • <i>Any additional measures identified on a country level.</i> | | | |
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| | | <p>Promotion of an integrated package of technologies for farmers</p> | <ul style="list-style-type: none"> • As identified for "Implementation of grant activities through Agricultural Extension Services and Village-Based Advisors (VBAs)" <ul style="list-style-type: none"> • <i>To be assessed and included here annually at a country level</i> | <ul style="list-style-type: none"> • Not achieving intended positive impact of grant intervention • Vulnerability to accusation from local and international NGOs and reputational damage • Limiting partnerships with DFIs, NGOs and other support organisation | <ul style="list-style-type: none"> • As identified for "Implementation of grant activities through Agricultural Extension Services and Village-Based Associates (VBAs)" <ul style="list-style-type: none"> • Define selection criteria for integrated packages from a variety of suppliers that allow farmers to choose from a variety of products and ensure the diversity of the value chain. • Awareness raising among farmers (maintain their freedom of choice regarding seeds, fertilizers and agro-technologies) | <ul style="list-style-type: none"> • Records of AGRA engagement with government entities and NGOs • Training Records and Materials • Project-level monitoring template and reports | <p><i>TBD at country level</i></p> | <ul style="list-style-type: none"> • Country Manager • Project Officers • AGRA E&S Officer (regional) • AGRA E&S Manager <ul style="list-style-type: none"> • <i>Additional as relevant for specific country</i> |
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| | | | | | <ul style="list-style-type: none"> • Additional risks related to the specific integrated package to be added and specified on the country level) | | | |
| | Country Support and Delivery, Program Development & Innovation, Policy & Strategic Partnerships - E&S impacts | And additional/ specific reputational risks associated with policy support direction | <i>To be assessed and included here annually at a country level</i> | <i>To be assessed and included here annually at a country level</i> | <i>To be assessed and included here annually at a country level</i> | <i>To be assessed and included here annually at a country level</i> | <i>TBD at country level</i> | <ul style="list-style-type: none"> • Country Manager • AGRA E&S Officer (regional) • AGRA E&S Manager • Additional as relevant for specific country |

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| (externalities) associated with national policy support and country initiatives (covered above) - Reputational risks associated with policy support direction - Reputational risks associated with partnerships | Reputational risks associated with partnerships | Reputational risks through engagement and partnership with NGOs, research institutes and other bodies with poor E&S performance and/ or reputation | <ul style="list-style-type: none"> • Vulnerability to accusation from local and international NGOs, and reputational damage • Limiting partnerships with DFIs, NGOs and other support organisation | <ul style="list-style-type: none"> • Review of potential partners for previous E&S incidents and grievances logged, including media and formal KCY checks • Encourage all partners to have a grievance mechanism in place. | <ul style="list-style-type: none"> • Updates to country level Engagement Plan | <i>TBD at country level</i> | <ul style="list-style-type: none"> • Country Manager • AGRA E&S Officer (regional) • AGRA E&S Manager • <i>Additional as relevant for specific country</i> |
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ESMS - Annex 2
Training and Capacity Building Plan
AGRA

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8 INTRODUCTION AND PURPOSE

***Note to the reader:** This Training and Capacity Building Plan builds on the assumptions made in the ESMS Manual and the requirements for additional E&S personnel to be hired within AGRA. Based on the gaps identified in the ESMS, this Plan outlines the necessary steps to be taken in order to establish the necessary competencies internally within AGRA at externally at partner and grantee organisations.*

This Plan therefore assumes that the roles of E&S Manager and E&S Officers as outlined in Section 4 of the ESMS will be filled. If AGRA decides not to follow the recommendations of the ESMS, this Plan needs to be adopted to the changed circumstances.

Successful assessment and management of environmental and social (E&S) risks requires the right competencies and the right people in place. This Training and Capacity Building Plan defines the training and capacity building activities required for AGRA staff and project partners to implement AGRA's Environmental and Social Management System (ESMS).

This document firstly outlines the internal organisational structure of the AGRA organisation and the resulting training requirements for existing and additional staff in order to establish, operate and maintain the ESMS.

Furthermore, AGRA funded projects include cooperation with a range of project partners. AGRA will need to ensure that these have sufficient organisational capacities and technical expertise in place to successfully manage risks in line with the requirements of this ESMS. Therefore, this document introduces the necessary training modules for AGRA's project partners and grantees that need to be delivered. Finally, AGRA will implement a train-the-trainer programme to ensure that the requirements of this ESMS are followed through to the end-of-line implementing partners.

9 CAPACITIES AND TRAINING REQUIREMENTS FOR AGRA

9.1 CURRENT ORGANIZATIONAL CAPACITIES AND REQUIREMENTS FOR E&S MANAGEMENT

The implementation of the ESMS involves a range of personnel across the AGRA organisation (refer to Section 4.2 of the ESMS Manual for details). To introduce the basic elements of the ESMS and the specific responsibilities of each position, all personnel involved in the ESMS will require at least some basic training on the requirements of the ESMS. In addition to that, specific personnel will require more in-depth training of the procedures of the ESMS and the management of key E&S risks related to AGRA projects.

9.2 TRAINING REQUIREMENTS FOR AGRA PERSONNEL

The key positions for the implementation of the ESMS are the E&S Manager and the E&S Officers. The requirements for these positions is described in detail in Section 4.2 of the ESMS. Additionally, in order for them to build and maintain the necessary competencies that are required for the ongoing management and further development of the ESMS, they need to attend detailed training modules on the key elements of the ESMS and on key E&S risks related to AGRA projects.

10 CAPACITY AND TRAINING REQUIREMENTS FOR AGRA PROJECT PARTNERS

Training requirements for AGRA project partners results from the roles they play in cascading the requirements of E&S management from the AGRA organisation to the end-of-line implementing partners, i.e. the farmers. For this, a range of project partners have already developed training programs for farmers with regard to the application of new seed varieties and fertilizer (in their combined application: "kits"). AGRA project partners that provide these services include:

| | |
|---|--|
| Governmental Extension Services | Regional governments work through Extension Officers (EO) in the provinces of the regions. An EO oversees farming activities in the villages of his purview (usually 8-10 villages). |
| Farmers' Organisations and other Community Based Organisations | Farmers Organisations/Community Based Organisations and Agro-Dealers provide support services for local farmers. |
| Village-Based Advisors (VBA) | VBAs are selected community members (usually a man and a women, often spouse) with sufficient land and local reputation in their village. They operate demonstration fields to test and showcase new kits and provide information and training on the application of these kits to farmers in the village. |

While some of the key E&S risks that result from AGRA's activities are already included within existing training programmes for farmers (e.g. soil management techniques, water management), others need to be included to ensure sound management of E&S risks in line with the requirements of the ESMS. These trainings need to be delivered under all AGRA financed projects and corresponding training materials need to be developed by AGRA.

11 TRAINING ACTIVITIES AND ORGANISATION

11.1 AGRA INTERNAL TRAINING ACTIVITIES

As outlined in Section 9 above, internal trainings will cover the basic elements of the ESMS and key E&S risks that are associated to AGRA projects (see also Section 3.2 of the ESMS Manual). **Table 14-1** gives an overview of the training modules that AGRA staff need to attend. The key elements of each of the modules are described in Section 11.4. Trainings will be built around the three following two elements:

1. High-level overview of the ESMS
2. Basic Elements of the ESMS
3. Key E&S Risks of AGRA Projects

1. High-level overview of the ESMS: A half-day workshop "Introduction to the ESMS" will be held for all staff to provide a high-level overview of the basic elements of the ESMS and the regulatory requirements.

2. Basic Elements of the ESMS: More detailed sessions on specific elements of the ESMS will be given during a full-day workshop to selected key personnel involved in the implementation of the ESMS. Most personnel do not need to attend all trainings, but at least those that are essential for each individual position (see **Table 11-1**).

3. Key E&S Risks of AGRA Projects: These trainings focus on the key E&S risks of typical AGRA projects (see also Section 3.2 of the ESMS) and are mandatory trainings for the E&S Manager, E&S Officers and POs/APOs.

Table 11-1 **AGRA Internal Training Plan**

| | 1. Introduction to the ESMS | | 2. Basic Elements of the ESMS | | | | | 3. Key E&S Risks | | | | | | | |
|----------------------------------|-----------------------------|----------------------|-------------------------------|-----------------------------|---|------------------------------|---|-------------------------------------|---------------------------------------|-------------------------|------------------|---|-----------------------------------|---------------------------|--|
| Position | Training Modules | Introduction to ESMS | Country Level Risk Assessment | Grant Level Risk Assessment | E&S Initial Screening and Due Diligence | E&S monitoring and reporting | Stakeholder and Community Relationship Management | E&SMS review and External Reporting | Sustainable Soil and Water Management | Biodiversity Management | Waste management | Occupational health and safety management | Land acquisition and resettlement | Community health & safety | Labour and Working Conditions and Human Rights |
| Duration | Half-day | One-day workshop | | | | | | One-day workshop | | | | | | | |
| Frequency | Annual | Annual | | | | | | Annual | | | | | | | |
| Senior Management | X | | | | | | X | | | | | | | | |
| Country Manager | X | X | | | | X | X | | | | | | | | |
| Programme Managers / Officers | X | X | X | X | X | X | X | X | X | X | X | X | X | X | |
| Head of Grants / Grant Officers | X | | | | | | | | | | | | | | |
| Heads of Program | X | | | | | | | | | | | | | | |
| Head of M&E Unite / M&E Officer | X | | | | X | | | | | | | | | | |
| Head of Resource Mobilisation | X | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | |
| E&S Manager | X | X | X | X | X | X | X | X | X | X | X | X | X | X | |
| Environment & Social Specialists | X | X | X | X | X | X | X | X | X | X | X | X | X | X | |

AGRA ENVIRONMENTAL AND SOCIAL MANAGEMENT SYSTEM
 TRAINING AND CAPACITY BUILDING PLAN

11.2 TRAINING OF PROJECT PARTNERS

Training modules for project partners include EOs, Farmers Organisation representatives and Agro-Dealers.

EOs need to oversee the activities of the farmers in their region. It is therefore necessary that EOs are equipped with expertise on the management of key E&S risks of AGRA projects in line with the requirements of the ESMS. It is the responsibility of AGRA to provide trainings to the EOs in the management of key E&S risks.

Additionally, these trainings should be extended to include Farmers Organisations/Community Based Organisations and Agro-Dealers that provide support services for local farmers. As described above for the EOs, AGRA needs to ensure that all project partners in contact with communities and farmers on the ground attend these trainings.

The training modules for project partners should cover the key E&S risks that farmers have to manage. These are the same as outlined in **Table 11-1** ("Key E&S Risks of AGRA Projects") and described in **Section 11.4**.

11.3 TRAIN-THE-TRAINER PROGRAMME

EOs and Farmers Organisations are in direct contact with VBAs on the ground and oversee their activities and management of demonstration fields. VBAs receive training from EOs and Farmers Organisation representatives on the cultivation of new seed varieties and optimised fertilizer application. VBAs in turn promote the application of these kits in their village.

As VBAs provide the direct link to the end-of-line implementing partners, AGRA needs to ensure that they receive the necessary training on the management of E&S risks as defined in the ESMS. AGRA therefore needs to implement a train-the-trainer programme for EOs and Farmers Organisation representatives. The programme can be rolled out as part of the regular trainings provided (see **Section 11.2**) and needs to cover the modules for key E&S risks of AGRA projects. Through these trainings, AGRA will ensure that EOs and Farmers Organisation representatives are equipped with the necessary competencies to train VBAs on the management of E&S risks.

11.4 TRAINING MODULES

The following table gives an overview of the training modules that will be used for training of AGRA internal staff and external project partners.

| Name of Module | Description | Materials |
|---|--|---|
| 1. Key Elements of the ESMS | | |
| Introduction to ESMS | <ul style="list-style-type: none"> • High-level overview of the key ESMS elements and procedures, tools and templates • Overview of Roles and Responsibilities of AGRA Personnel • High-level overview of the requirements of the IFC Performance Standards | <ul style="list-style-type: none"> • ESMS Manual + Annexes • IFC Performance Standards (2012) |
| Country Level Risk Assessment | <ul style="list-style-type: none"> • Introduction to the Strategic E&S Risk Assessment (Annex 2) • Approach and requirements of the Country-Level Risk Assessments (including responsibilities) • Review and update of Country-Level Risk Assessments | <ul style="list-style-type: none"> • ESMS Manual • Annex 1 – Strategic Risk Assessment |
| Grant Level Risk Assessment | <ul style="list-style-type: none"> • Approach and requirements of the Grant-Level Risk Assessments (including responsibilities) • High-level overview of the key E&S Risks of AGRA projects • Country-specific E&S risks at the grant level | <ul style="list-style-type: none"> • ESMS Manual (chapter 4.2.2; Table 3-2) |
| E&S Initial Screening and Due Diligence | <ul style="list-style-type: none"> • Process of risk screening and categorisation during Project conception • Environmental and Social Due Diligence including assessment of grantee organisational capacities and site visits • Proposal trainings and evaluation of proposals with regard to E&S • Introduction to E&S Documentation such as ESDD/ESAP/ESIA Templates • Internal coordination of activities (eg between E&S Officer and POs/APOs) | <ul style="list-style-type: none"> • Annex 3 - Exclusion List • Annex 4 – Initial E&S Screening Checklist • Annex 5 – Categorization Guideline • Annex 6 – Request for Concept Notes • Annex 7 – Project Proposal Guideline • Annex 8 – Pre-Funding Site Checklist & Capacity Assessment Tool • Annex 9 – E&S Risk Assessment Toolkit • Annex 10 – Grant Agreement Letter |
| E&S Monitoring and Reporting | <ul style="list-style-type: none"> • Requirements for grantees to report on E&S • Oversight and control through AGRA • Interaction with grantees in case of insufficient E&S performance • Interaction E&S Officers and POs/APOs | <ul style="list-style-type: none"> • Annex 11 – Grant Commitment Checklist • Annex 12 – E&S Monitoring Checklist • Annex 13 – E&S Monitoring Report |

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| | <ul style="list-style-type: none"> Internal coordination of activities (eg between E&S Officer and POs/APOs) | |
| Stakeholder and Community Relationship Management | <ul style="list-style-type: none"> AGRA Requirements for Stakeholder Engagement (strategic and grant level) Stakeholder Identification + Registration Interaction with communities (including Community Liaison Officers) Grievance Management (including responsibilities of the grantee) | <ul style="list-style-type: none"> Annex 9 – SEP Annex 9 – Grievance Mechanism |
| ESMS Review and External Reporting | <ul style="list-style-type: none"> Review requirements and responsibilities Reporting to donors (format, frequency) | <ul style="list-style-type: none"> Annex 14 – E&S Performance Report |
| 2. Key E&S Risks of AGRA Projects | | |
| Sustainable Soil and Water Management | <ul style="list-style-type: none"> Soil cultivation and tillage practices Erosion control Water management and irrigation practices Sustainable use of water resources | <ul style="list-style-type: none"> Specific training materials to be developed by AGRA and grantees/ partners/NGOs Supporting Documentation: <ul style="list-style-type: none"> IFC PS 3 – Resource Efficiency and Pollution Prevention + Guidance Note WBG EHS Guidelines – Water Conservation WBG Industry Sector Guidelines - Annual Crop Production; Perennial Crop Production |
| Biodiversity Management | <ul style="list-style-type: none"> Monocultures Pesticide use Intercropping Fertilizer use (organic and synthetic) | <ul style="list-style-type: none"> Specific training materials to be developed by AGRA and grantees/ partners/NGOs Supporting Documentation: <ul style="list-style-type: none"> IFC PS 6 – Biodiversity Conservation and Sustainable Management of Living Natural Resources + Guidance Note WBG Industry Sector Guidelines - Annual Crop Production; Perennial Crop Production |
| Waste Management | <ul style="list-style-type: none"> Disposal of different waste types (hazardous / non-hazardous) Recycling programmes | <ul style="list-style-type: none"> Specific training materials to be developed by AGRA and grantees/ partners/NGOs Supporting Documentation: <ul style="list-style-type: none"> IFC PS 3 – Resource Efficiency and Pollution Prevention + Guidance Note WBG EHS Guidelines – Waste Management; Hazardous Materials Management WBG Industry Sector Guidelines - Annual Crop Production; Perennial Crop Production |
| Occupational Health and Safety | <ul style="list-style-type: none"> Slips/trips/falls Use of heavy machinery Use of Personal Protective Equipment Risks from pesticides/agrochemicals | <ul style="list-style-type: none"> Specific training materials to be developed by AGRA and grantees/ partners/NGOs Supporting Documentation: <ul style="list-style-type: none"> IFC PS 2 - Labor and Working Conditions + Guidance Note |

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| | | <ul style="list-style-type: none"> • WBG EHS Guidelines – Occupational Health and Safety • WBG Industry Sector Guidelines - Annual Crop Production; Perennial Crop Production |
| Land Acquisition and Resettlement | <ul style="list-style-type: none"> • Case studies/examples for Land Acquisition and Resettlement • Principles and measures of resettlement • Livelihood Restoration Plan and Resettlement Action Plan • Timing for undertaking resettlement • Compensation • Monitoring and evaluation | <ul style="list-style-type: none"> • Annex 24 – Land Acquisition and Resettlement Guideline • Specific training materials to be developed by AGRA and grantees/ partners/NGOs • Supporting Documentation: <ul style="list-style-type: none"> • IFC PS 5 - Land Acquisition and Involuntary Resettlement+ Guidance Note |
| Community Health and Safety | <ul style="list-style-type: none"> • Examples for Community H&S impacts • Construction sites and transportation routes • Pesticides/agrochemicals use • Noise and air pollution | <ul style="list-style-type: none"> • Specific training materials to be developed by AGRA and grantees/ partners/NGOs • Supporting Documentation: <ul style="list-style-type: none"> • IFC PS 4 – Community Health, Safety and Security + Guidance Note • WBG EHS Guidelines – Community Health and Safety • WBG Industry Sector Guidelines - Annual Crop Production; Perennial Crop Production |
| Labour and Working Conditions and Human Rights | <ul style="list-style-type: none"> • Hiring Policies of grantees – contracting, salary and working conditions • Anti-discrimination policies • Gender policies and anti-harassment • Child and forced labour • Human rights | <ul style="list-style-type: none"> • Specific training materials to be developed by AGRA and grantees/ partners/NGOs • Supporting Documentation: <ul style="list-style-type: none"> • IFC PS 2 - Labor and Working Conditions + Guidance Note |
| SEAH | <ul style="list-style-type: none"> • Examples of sexual exploitation abuse and harassment • Handling of reported cases • Confidentiality of victims/survivors • Assisting survivors recover | <ul style="list-style-type: none"> • Sexual Harassment and Safeguarding Policy and guidelines |

11.5 SCHEDULING

For the training requirements as outlined above, AGRA will develop a detailed training schedule. The schedule should include the intended training module, expected participants, key contents and the duration and frequency at which the training will be given. **Table 11-2** gives a template for an internal training schedule that can be further modified and amended for external training sessions.

Table 11-2 *Training Schedule Template*

| Name of Training Module | Name and position of staff | Key content of the training | Frequency of the training | Date of last training | Date of next training |
|-------------------------|----------------------------|-----------------------------|---------------------------|-----------------------|-----------------------|
|-------------------------|----------------------------|-----------------------------|---------------------------|-----------------------|-----------------------|

| | | | | | |
|----------|--|--|--|--|--|
| Template | | | | | |
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11.6 TRAINING FORMAT AND MATERIALS

For the development of training materials related to the basic elements of the ESMS, the ESMS Manual and the corresponding Annexes can serve as the key training materials, supported by specific additions as necessary (see also **Table 11-2**).

For training materials with regard to E&S risks, AGRA will with the support of its partners and grantees develop training materials that are updated along with the development of the ESMS. These materials will be tailored to fit specific needs of the trained people and regional specific E&S risks.

These can also be used for the trainings in line with the train-the-trainer programme, with additional modifications tailored to the role of the VBAs and the end-of-line implementing partners/farmers.

To monitor the implementation of the trainings by EOs and Farmers Organisation representatives, AGRA will attend selected trainings for supervision and to provide additional training elements.

All trainings will be given as classroom sessions with supporting documents such as online reading materials and webinars. Additional trainings on site should be included for the management of key E&S risks on a case-by-case basis.

All training materials developed by AGRA and its project partners will be stored centrally within AGRA and updated at least on an annual basis. AGRA will document all trainings held through corresponding training records and attendance lists. AGRA will furthermore request training records and attendance list of all trainings delivered by project partners.

12 RESOURCES AND RESPONSIBILITIES

Internal trainings can either be provided by the E&S Manager, if this position can be filled with sufficient expertise. Alternatively, AGRA should consult external parties with E&S expertise in the agricultural sector to deliver these trainings.

The trainings for the train-the-trainer programme should be delivered by AGRA regional E&S Officers. In case external parties will be used for the trainings, AGRA must ensure that they provide sufficient expertise with regard to the management of E&S risks of AGRA project and in line with the requirements of the ESMS.

The regional E&S Officers will collect and document all trainings held by project partners in their region. They are also responsible for following up on the training schedule.

13 REVIEW AND MONITORING

This Plan will be reviewed by the E&S Manager at least on an annual basis. Updates can further be necessary if there are any changes within the AGRA Organisation, roles and responsibilities, project partners or amendments of the ESMS.

14 CONCLUSION AND RECOMMENDATIONS

All training requirements that form part of this plan are summarized in Table 14-1.

Table 14-1 Training Requirements for the implementation of the ESMS

| WHO NEEDS TRAINING? | TRAINING MODULE | WHAT ESMS ELEMENTS AND/OR DOCUMENTS (if any) ARE INVOLVED? | WHO IS RESPONSIBLE FOR GIVING THE TRAINING? (Position) | HOW/WHERE WILL THE TRAINING BE DONE? | TRAINING FREQUENCY? | WHAT WILL BE THE TRAINING RECORD? |
|--|--|--|--|---|---------------------|-------------------------------------|
| All internal AGRA staff | <i>"Introduction to the ESMS"</i> | All elements and Annexes should be presented at a high-level to provide an overview of the functionality of the ESMS | E&S Manager or External E&S Expert | Classroom Session | Annually | Training Records Attendance List |
| AGRA E&S Officers and POs/APOs | <i>"Basic Elements of the ESMS"</i> <i>"Key E&S risks as identified in the ESMS"</i> | All elements and Annexes provided in the ESMS | E&S Manager or External E&S Expert | Classroom Session | Annually | Training Records Attendance List |
| Extension Officers/Farmers Organisations/Community Based Organisations | <i>"Key E&S risks as identified in the ESMS"</i> | Section 3.2 - List of Key E&S Risks of AGRA projects | E&S Officers or External E&S Expert | Classroom Session | Annually | Training Records Attendance List |
| | Train the trainer programme: <i>"Key E&S risks as identified in the ESMS"</i> with additional materials tailored to VBAs | Section 3.2 - List of Key E&S Risks of AGRA projects | E&S Officers or External E&S Expert | Classroom Session On-site trainings Spot-check of trainings | Annually | Training Records Attendance List |
| Agro Dealers | <i>"Key E&S risks as identified in the ESMS"</i> | Section 3.2 - List of Key E&S Risks of AGRA projects | E&S Officers or External E&S Expert | Classroom Session | Annually | Training Records Attendance List |

ESMS – Annex 3

Exclusion List

AGRA

AGRA Exclusion List

The following is an Exclusion List for AGRA to be applied to all intervention

In general:

AGRA will not engage with activities involved in the production or trade in any product or activity deemed illegal under host country laws or regulations or international conventions and agreements, or subject to international bans, such as the production or trade of ammunition, weaponry, controversial weapons, alcoholic beverages, tobacco, radioactive or hazardous materials and chemicals. In addition, AGRA will only engage in activities within the internationally accepted reference framework for development partnerships in the agri-food sector.

In particular:

*AGRA will **not** support interventions linked to the following objectives:*

Environment

- Drift net fishing in the marine environment using nets in excess of 2.5 km in length²
- Commercial logging operations for use in primary tropical moist forest²
- Production or trade in wood or other forestry products other than from sustainably managed forests²
- Commercial animal testing, non-healthcare related³
- Logging of or trade in illegally harvested or uncertified timber⁴ (FSC, PEFC or Equivalent) as well logging in uncertified primary⁵ forest³
- Activities resulting in significant conversion or degradation of a critical habitat (UNESCO, RAMSAR, IUCN⁶)³
- Commercial Events with animals where the Five Animal Freedoms⁷ are not respected³

² IFC Exclusion List (2007)

³ ABN AMRO Exclusion List (2017)

⁴ Logging and forest management in the final stage (main assessment) of the process of certification is considered as certified

⁵ Naturally regenerated forest of native species, where there are no clearly visible indications of human activities and the ecological processes and are not significantly disturbed.

⁶ Critical habitat includes areas with high biodiversity value that meet the criteria of the IUCN classification, including habitat required for the survival of critically endangered or endangered species as defined by the IUCN Red List of Threatened Species or as defined in any national legislation; Primary Forest or forests of High Conservation Value shall be considered Critical Habitats. This also applies to UNESCO World Heritage Sites and areas subject to the Ramsar Convention on Wetlands.

⁷ FAWC 1979: 1. Freedom from Hunger and Thirst, 2. Freedom from Discomfort, 3. Freedom from Pain, Injury or Disease, 4. Freedom to express (most) normal behavior, 5. Freedom from Fear and Distress

- Production of or trade in pharmaceuticals, pesticide/herbicides, chemicals and ozone depleting substances subject to international phase outs or bans³
- Producing, processing and trading of palm oil by companies that are not member, or in the process⁸ of becoming member, of the Round Table for Sustainable Palm Oil (RSPO)³
- Burning of natural occurring ecosystems, such as forests and savanna, for the purpose of land clearing for the establishment of large scale agricultural plantations³
- Use of Endangered Species or Great Apes for testing and experimental purposes³
- Health care related Animal testing non-compliant with EU, US or equivalent legislation³

Social

- Production or activities involving harmful or exploitative forms of forced labor⁹/harmful child labor^{2,10}
- Activities causing human rights violations, e.g. child labour, the exploitation of children, bonded and/or forced (child) labour, gender based violence and abuse, and human trafficking³
- Activities resulting in the infringement of the rights of indigenous and/or vulnerable groups without their Free Prior and Informed Consent (FPIC)³
- Activities involving land acquisition and involuntary resettlement.

⁸ Companies that are not a member of RSPO should confirm (written) that they become a member within two years conform the Sustainability Engagement Strategy.

⁹ Forced labor means all work or service, not voluntarily performed, that is extracted from an individual under threat of force or penalty.

¹⁰ Harmful child labor means the employment of children that is economically exploitive, or is likely to be hazardous to, or to interfere with, the child's education, or to be harmful to the child's health, or physical, mental, spiritual, moral, or social development.

ESMS – Annex 4

Initial E&S Screening Checklist

Alliance for a Green Revolution in Africa (AGRA)

Initial E&S Screening Checklist

[To be completed through discussion with potential Grantees]

[Please provide information on the proposed project as detailed as possible for the Project Concept stage, making relevant assumptions of reasonably possible impacts and risks associated with the project concept]

[Please refer to Table 3-1 of the ESMS for examples of risks].

[Please include notes on what elements are yet to be confirmed. This is intended to be updated with information as this becomes available]

[There might be questions that are not applicable to the specific project and others where further information will be necessary to complete. Indicate which sections are not relevant]

[Please use as much space as possible and provide details and remarks on missing information as possible]

Project Basic Information

| | | | |
|---|-------|-------------------|-----------------|
| Project Title: | | | |
| Project Location (Country/Province) | | | |
| Report completed by | | | |
| <i>Please provide contact details of the responsible person(s) completing this questionnaire for further communication:</i> | | | |
| Position: | Name: | Telephone Number: | E-Mail Address: |
| | | | |
| | | | |

| Project Summary – Sector, Description, E&S Risks | |
|--|---|
| <p>Sector: (tick all that apply)</p> | <p><input type="checkbox"/> Crop cultivation</p> <p><input type="checkbox"/> Soil health and fertility</p> <p><input type="checkbox"/> Seed Production</p> <p><input type="checkbox"/> Crop protection (pesticide production & use)</p> <p><input type="checkbox"/> Agricultural machinery</p> <p><input type="checkbox"/> Post-Harvest Losses</p> <p><input type="checkbox"/> Climate Mitigation and Adaptation</p> <p><input type="checkbox"/> Agricultural research & development</p> <p><input type="checkbox"/> Markets/Retail operations and distribution</p> <p><input type="checkbox"/> Policy and Partnerships</p> <p><input type="checkbox"/> Gender Equality</p> <p><input type="checkbox"/> Extension Services</p> <p><input type="checkbox"/> Agronomy</p> |
| <p>Project Description:</p> | <p><i>Please provide a brief project description. The summary can be in form of bullet points. Include goal/objectives, expected results/outcomes, outputs and main activities:</i></p> <hr/> <p><i>If applicable: Please describe the overall land requirement for the direct project activities/facilities (including associated facilities¹¹), current land use and how this land will be acquired:</i></p> <p><u>Examples:</u></p> <p>1. Extension to agricultural production facility requiring 10 ha land currently used for crop production, to be purchased from neighbouring land owner.</p> <p>2. Additional land for seed production of 3 hectares currently used informally for livestock grazing to be provided by local government (land owner).</p> |

¹¹ According to IFC PS1: Associated facilities are facilities that are not funded as part of the project and that would not have been constructed or expanded if the project did not exist and without which the project would not be viable.

| Project Summary – Sector, Description, E&S Risks | | |
|--|--|---|
| Project's Risks: | E&S | Please provide a summary of the main E&S Risks that were identified within this questionnaire (complete questionnaire first): |
| | Topic: | Identified Risk/ Issues etc.: |
| | E&S Management | |
| | Labour & Working Conditions | |
| | Resources & Pollution | |
| | Community Health & Safety and Security | |
| | Land Acquisition & Resettlement | |
| | Biodiversity & Natural Resources | |
| | Indigenous People | |
| | Cultural Heritage | |

| | SCREENING QUESTION | | REMARKS |
|----------|--|---|---|
| A | Project Siting (Location/Setting) Does the project impact areas adjacent to or within any of the following sensitive areas? | | <i>If yes, please provide details of various project components</i> |
| 1 | Legally protected area and cultural sites (e.g. forest reserve, National Park, Ramsar site, archeological site, traditional/sacred site etc.). | Yes <input type="checkbox"/> No <input type="checkbox"/> | |
| 2 | Environmentally sensitive areas or critical habitats (such as primary forests, wetlands, mangrove, estuaries) | Yes <input type="checkbox"/> No <input type="checkbox"/> | |

| | | | |
|------------|---|---|--|
| 3 | Known areas of historical/cultural/archaeological interest | Yes <input type="checkbox"/> No <input type="checkbox"/> | |
| 4 | Areas prone to natural disasters or places of cultural and social interest | Yes <input type="checkbox"/> No <input type="checkbox"/> | |
| B | Potential Environmental and Social Impacts | | |
| B.1 | PS 1 - Assessment and Management of Environmental and Social Risks and Impacts | | Remarks |
| | Does local legislation require an Environmental (and/ or Social) Certificate? <i>If yes, please also attach copy of approved Environmental and Social Impact Assessment?</i> | Yes <input type="checkbox"/> No <input type="checkbox"/> | |
| | Does the project/ grantee have any existing E&S management plans (including emergency response plan) in place? | Yes <input type="checkbox"/> No <input type="checkbox"/> | <i>Please list</i> |
| | Does the project/ grantee have a Stakeholder Engagement Plan? | Yes <input type="checkbox"/> No <input type="checkbox"/> | |
| | Does the project/ grantee have a Grievance Mechanism in place? | Yes <input type="checkbox"/> No <input type="checkbox"/> | |
| | Does the project/ grantee have an E&S monitoring plan in place? | Yes <input type="checkbox"/> No <input type="checkbox"/> | |
| | Are there currently any reputational issues or negative media coverage of the project's sector in relation to E&S impacts? | Yes <input type="checkbox"/> No <input type="checkbox"/> | <i>If yes, please reference details and information sources:</i> |

| | | | |
|------------|---|---|--|
| | Has a SEAH-specific risk assessment been conducted for this project to identify potential SEAH risks and vulnerable groups? | | <i>Specify identified risks, mitigation measures, and vulnerable groups.</i> |
| | Does the project/grantee have a formal policy specifically addressing Sexual Exploitation, Abuse, and Harassment (SEAH)? | Yes <input type="checkbox"/> No <input type="checkbox"/> | <i>Remarks: Please attach the policy or describe its main components, including any zero-tolerance statements.</i> |
| | Does the organisation/project management unit etc have an employee code of conduct? | Yes <input type="checkbox"/> No <input type="checkbox"/> | |
| | Does the organisation organize trainings for staff on SEAH (particularly those responsible for training and other outreach activities)? | Yes <input type="checkbox"/> No <input type="checkbox"/> | |
| | Is SEAH included as a topic in stakeholder engagement? Is SEAH one of the issues that the GM will receive? | Yes <input type="checkbox"/> No <input type="checkbox"/> | |
| | Does your organisation have a trained SEAH focal point to hand and respond to issues as they arise? | Yes <input type="checkbox"/> No <input type="checkbox"/> | <i>Remarks:</i> <i>Provide contact details for the SEAH focal point and confirm training completed for this role.</i> |
| | Does the project involve the cooperation with external agencies (eg Extension Officers) that work within the communities affected by the project? | | |
| B.2 | PS 2 - Labour and Working Conditions | | Remarks |
| | Are there particular labour/ social risks associated with the project activities and its primary supply chains ¹² ? | Yes <input type="checkbox"/> No <input type="checkbox"/> | |

¹² According to IFC PS 2: Supply chain refers to both labor and material inputs for the life-cycle of a good or service.

| | | | |
|------------|---|---|---|
| | Are there measures in place to ensure the project complies with current national labour regulations? Please also consider additional national regulations in terms of forced or child labour. | Yes <input type="checkbox"/> No <input type="checkbox"/> | <i>Please note any differences between contractors, outgrowers, permanent/direct workers, migrant workers, third parties (e.g. Extension Officers)</i> |
| | Has SEAH been integrated into the grievance mechanism (GM) to ensure it can receive, handle, and track SEAH complaints confidentially? | Yes <input type="checkbox"/> No <input type="checkbox"/> | <i>Provide details on how SEAH complaints will be managed within the GM, emphasizing confidentiality and non-retaliation policies.</i> |
| | Does the grievance mechanism provide an option for anonymous and confidential SEAH reporting? | Yes <input type="checkbox"/> No <input type="checkbox"/> | <i>Describe specific measures in place to maintain confidentiality and protect the identity of complainants.</i> |
| | Are there measures in place to ensure project complies with national occupational health and safety regulations? | Yes <input type="checkbox"/> No <input type="checkbox"/> | <i>Please note any differences between contractors, outgrowers, permanent/direct workers, migrant workers, third parties (e.g. Extension Officers).</i> |
| | Does the project/ grantee have a Human Resource Policy in place? | Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> | <i>If N/A, describe why this is so</i> |
| | Are all staff and contractors involved in the project required to undergo mandatory SEAH training? | | <i>Indicate frequency of training and any refresher training schedule. Attach training documentation if available.</i> |
| B.3 | PS 3 - Resource Efficiency and Pollution Prevention | | Remarks |
| | Will the project involve any land clearance or construction activities? | Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> | <i>If yes, please elaborate key E&S risks expected: consider dust, noise, water pollution, waste generation,</i> |
| | Will the project involve use, transport, storage of hazardous materials and/ or hazardous wastes? (including agrichemicals)? | Yes <input type="checkbox"/> No <input type="checkbox"/> | <i>If yes, please elaborate:</i> |

| | | | |
|------------|--|---|---|
| | | | <i>Please elaborate on associated community H&S risks and management in Section B.4</i> |
| | <p>Please describe potential pollution impacts resulting from the project.</p> <p>Consider impacts on air, surface and ground water, soils, noise and vibrations, for example:</p> <ul style="list-style-type: none"> - Water use from surface or groundwater bodies. - Pollution due to poor use of agrichemicals - Contamination of soils through poor waste management practices | | |
| | Does the project/ grantee include resource management system or measures to address these impacts (e.g. with regard to fertilizer management, land management, inputs management and waste minimisation, energy efficiency and machinery management etc.)? | Yes <input type="checkbox"/> No <input type="checkbox"/> | <i>If yes, please elaborate:</i> |
| B.4 | PS 4 - Community Health, Safety, and Security | | Remarks |
| | Are there measures in place to ensure the project complies with national community health, safety and security regulations? | Yes <input type="checkbox"/> No <input type="checkbox"/> | <i>If yes, please elaborate:</i> |
| | Are there measures in place to manage potential H&S risks of use of agrochemicals/ fertilisers? | Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> | <i>If yes, please elaborate:</i> |
| | Has SEAH been included in community engagement activities to ensure community members understand reporting mechanisms, rights, and protections? | | <i>Specify the methods of community engagement and the community leaders involved.</i> |
| | Please describe potential community health & safety impacts resulting from the project. | Yes <input type="checkbox"/> | <i>If yes, please elaborate:</i> |

| | | | |
|------------|--|---|---|
| | Consider impacts on local communities, road traffic for example: <ul style="list-style-type: none"> - Increased risk of traffic accidents due to transport requirements. - Storage of hazardous materials close to domestic households. - Noise and disturbance affecting local communities. - Removal of areas providing "ecosystem services"¹³. | No <input type="checkbox"/> | |
| B.5 | PS 5 - Land Acquisition and Involuntary Resettlement | | |
| | Does the project has the potential to cause physical resettlement or economic displacement (i.e. displacement of people from homes and/or disturbance of economic activities/livelihoods/businesses)? Consider also associated facilities, acces restrictions and property value loss. | Yes <input type="checkbox"/> No <input type="checkbox"/> | <i>If yes, please elaborate and describe the measures to mitigate these impacts.:</i> |
| | Will the project have negative impact on vulnerable groups (eg the poor, female headed households, people with physical disabilities, children etc)? | Yes <input type="checkbox"/> No <input type="checkbox"/> | <i>If yes, please elaborate:</i> |
| B.6 | PS 6 - Biodiversity Conservation and Sustainable Management of Living Natural Resources | | |
| | | | |
| | Will the project involve any vegetation clearing? | Yes <input type="checkbox"/> | <i>If yes, please elaborate on scale and what habitat will be removed:</i> |

¹³ According to IFC PS 6: Ecosystem services are the benefits that people, including businesses, derive from ecosystems. Ecosystem services are organized into four types: (i) provisioning services, which are the products people obtain from ecosystems; (ii) regulating services, which are the benefits people obtain from the regulation of ecosystem processes; (iii) cultural services, which are the nonmaterial benefits people obtain from ecosystems; and (iv) supporting services, which are the natural processes that maintain the other services.

| | | | |
|------------|---|---|--|
| | | No <input type="checkbox"/> | |
| | Will the project involve any agricultural soil management techniques, application of fertilizer or pest management? | Yes <input type="checkbox"/> No <input type="checkbox"/> | <i>If yes, please elaborate how the project will avoid negative changes to habitats and species composition:</i> |
| | Will the project introduce new seed varieties, hybrids, Genetically modified crops (GM) or other non-native plant species that have the potential to impact the local biodiversity? | Yes <input type="checkbox"/> No <input type="checkbox"/> | <i>If yes, please elaborate, including how the project will manage these impacts:</i> |
| B.7 | PS 7 - Indigenous Peoples | | |
| | Is the project site in an area inhabited by or important to indigenous tribal or traditional peoples? E.g. forest dwellers, hunter-gathers, pastoralists and other nomadic groups. | Yes <input type="checkbox"/> No <input type="checkbox"/> | <i>If yes, please elaborate:</i> |
| | Even if indigenous groups are not found at the project sites, is there still a risk that the project could affect the rights and livelihood of indigenous peoples? | Yes <input type="checkbox"/> No <input type="checkbox"/> | <i>If yes, please elaborate:</i> |
| B.8 | PS 8 - Cultural Heritage | | |
| | Are any known areas within the project area with archaeological, paleontological, historical, cultural, artistic, and religious value (e.g burial sites, buildings or monuments, sacred natural sites, ceremonial areas)? | Yes <input type="checkbox"/> No <input type="checkbox"/> | <i>If yes, please name the specific site and potential impacts:</i> |
| C | Climate Adaptation Screening | | |

| C1 | Location and Design of the Project | Score ¹⁴ | Description of risks and adaption planning activities ¹⁵ |
|----|---|---------------------|---|
| | Are project activities and/or particular aspects of the project likely to be affected by (a change in) climate conditions including extreme weather related events such as floods, droughts, storms, landslides? | | |
| | Will project activities be located in regions that are expected to experience particular changes in future climate conditions including extreme weather? | | |
| | In case of construction of facilities - would the facility be impacted by any hydro-meteorological parameters (e.g., sea-level, peak river flow, reliable water level, peak wind speed etc.)? | | |
| C2 | Materials and Maintenance | | |
| | In case of operation of facilities - would weather, current and likely future climate conditions, and related extreme events likely affect the maintenance (scheduling and cost) of the facilities? | | |
| C3 | Performance of project outputs | | |
| | Would weather, current and likely future climate conditions or hydro-meteorological parameters (e.g. prevailing humidity level, temperature contrast between hot summer days and cold winter days, exposure to wind and humidity, extreme weather conditions) negatively affect the objectives of the project over the life of the project? | | |

¹⁴ Answer by assigning a score from 0 to 2, where 0 = Not Likely; 1 = Likely; 2 = Very Likely.

¹⁵ If possible, provide details on the sensitivity of project components to climate conditions, such as how climate parameters are considered in the design of standards for project components, how changes in key climate parameters and sea level might affect the project as a whole or specific parts of it etc.

Climate Adaptation Score Evaluation:

Responses when added that provide a score of

- 0 will rank a project as a low risk project.
- 1-5 (which include that no score of 2 was given to any single response) will rank a project as a medium risk project.
- 6 or more (which include providing a score of 1 in all responses or a 2 in any single response) will rank a project as a high risk project.

Result of Climate Adaptation Screening (Low, Medium, High): _____

Other Comments:

ESMS – Annex 5

Definition of Environmental and Social Safeguard Categorization AGRA

Categorization Guideline

All projects will be classified into one of the following **three categories “A”, “B” or “C”**, according to the relevance of their potentially adverse environmental and social impacts and risks.

Category A. Projects will be classified as category A, if they may have diverse significant adverse impacts and risks on the environment and the social conditions of the affected population. Impacts and risks may potentially be significantly adverse because the complex nature of the project, the scale (large to very large), the sensitivity of the location(s) of the project or the impacts and risks are irreversible or unprecedented. Projects will be classified as Category A if they, for example,

- adversely impact important features such as tropical forests, coral reefs, natural protection areas, sensitive wetlands, natural/near-natural forests, important cultural heritage sites;

- have significant transboundary impacts or relevance with regard to international treaties (such as conventions on international waste management regulations or on marine conservation, or agreements on the protection of biodiversity);
- lead to a high consumption of resources, in particular soil, land or water, and in resource-scarce areas;
- are associated with high risks to human health or safety (e.g. including industry or traffic facilities located adjacent to residential areas with considerable noise pollution and harmful emissions during construction and/or operation or handling hazardous substances);
- require large scale resettlement or lead to a significant loss of livelihood;
- anticipated to have an adverse impact upon indigenous people.

Category B. Projects will be classified as Category B if they may have potentially adverse risks and impacts upon the environment and on the social conditions of those concerned. However, the impacts and risks may have a lesser extent than these of category A projects and can usually be mitigated through state-of-the-art mitigation measures or standard solutions. Typically, the potential impacts and risks of category B projects are limited to a local area, are in most cases reversible and are easier to mitigate through appropriate measures.

Category C. Projects will be classified as Category C if they are expected to have no or only minor adverse environmental and social impacts or risks and if the implementation and operation of the project does not require any particular protection, compensation or monitoring measures.

ENVIRONMENTAL / SOCIAL CATEGORIZATION FORM

A. Instructions

The E&S Officer (at country/regional level) completes and submits this for endorsement and for approval by the Regional Head and Country Manager. Please use the information from the Initial E&S and Climate Adaptation Checklist to justify the choice of the Project Category.

The classification of a project is a continuing process. If there is a change in the project components or/and site that may result in category change, the Regional E&S Officer must submit a request for re-categorisation. The old form is attached for reference.

The E&S Officer indicates if the project requires broad community support (BCS) of tribal peoples communities. BCS is required when project activities involve (a) commercial development of the cultural resources and knowledge of Indigenous Peoples, (b) physical displacement from traditional or customary lands; and (c) commercial development of natural resources within customary lands under use that would impact the livelihoods or the cultural, ceremonial, or spiritual use that define the identity and community of Indigenous Peoples.

B. Project Data

Sector:

- ☐ Crop cultivation
- ☐ Livestock production
- ☐ Seed Production
- ☐ Crop protection (pesticide production)
- ☐ Agricultural machinery
- ☐ Agricultural research & development
- ☐ Retail operations and distribution

Brief Description of the Project:

C. Subject

- | | | |
|--------------------------------------|---|--|
| <input type="checkbox"/> Environment | <input type="checkbox"/> Involuntary Resettlement | <input checked="" type="checkbox"/> Indigenous (Tribal) People |
|--------------------------------------|---|--|

C. Categorization

☒ New ☒ Re-categorisation – Previous Category

| | | |
|--|-------------------------------------|--|
| <input type="checkbox"/> Category A | <input type="checkbox"/> Category B | <input checked="" type="checkbox"/> Category C |
| D. Basis for Categorisation/ Re-categorisation (pls. attach documents): | | |
| <input type="checkbox"/> Checklist and Type of Check List: <hr/> | | |
| <input type="checkbox"/> Project and/or Site Description: <hr/> | | |
| <input type="checkbox"/> Other (e.g. Due Diligence): <hr/> | | |
| E. Comments | | |
| Regional E&S Officer: | Regional Head/Country Manager: | |

| | | | |
|----------------------|--|---------------------|--|
| F. Approval | | | |
| Proposed by: | | Endorsed by: | |
| Regional E&S Officer | | Regional Head | |
| Date: | | Date: | |
| | | Endorsed by: | |
| | | | |
| | | Country Manager | |
| | | Date: | |

ESMS – Annex 6

Template for a Request for Concept Notes

AGRA

Request for Concept Notes under The Project Entitled:

[Enter Project Title]

Request For Concept Notes Issued:

[Enter Date]

Expiration Date:

[Enter Date]

I. BACKGROUND

Founded in 2006, the AGRA is an African-led African-based organization that seeks to catalyze Agriculture Transformation in Africa. AGRA is focused on putting smallholder farmers at the center of the continent's growing economy by transforming agriculture from a solitary struggle to survive into farming as a business that thrives. As the sector that employs the majority of Africa's people, nearly all small-scale farmers, AGRA recognizes that developing smallholder agriculture into a productive, efficient, and sustainable system is essential to ensuring food security, lifting millions out of poverty, and driving equitable growth across the continent.

To support this strategic partnership, AGRA is seeking to strengthen the impact on the entire value chain of selected agricultural products, which requires close collaboration with partners and stakeholders along the value chain. To achieve this, AGRA is requesting for proposals from implementation partners/consortia within its countries of operation.

II. ELIGIBILITY REQUIREMENTS

Institutions/organisations contemplating submission of applications in response to this request for concept notes (RFCN) must determine whether they meet the following requirements to be eligible for AGRA financial assistance:

- Unless specifically stated otherwise in this section, must be registered in the national country with valid registration documents.
- Organisation's primary business activity must be in the stated focal countries
- Organisation must be in a sound financial condition
- Organisation must have sufficient existing capability/capacity to perform new work. AGRA may consider limited financial assistance to fund capacity building only if the proposal is determined to be of interest to AGRA.
- Organisation must have demonstrated favorable past performance record
- Organisation must have acceptable to AGRA accounting systems and corporate integrity/ethics.
- Organization must not be excluded from the eligibility to receive AGRA's donor-provided funds.

If an institution/organization meets the above eligibility criteria, AGRA will request additional documentation to be submitted as part of the pre-award process. Organisations are advised that any funds made available are subject to AGRA's and its donor strict accountability and audit test.

III. ACTIVITIES ENVISIONED FOR FUNDING

The sub-grants to consortium partners will cater production of breeder and foundation seed and fertilizer and then linking this research directly to private companies who multiply, package, and distribute the new technologies (i.e. kits of optimized seed and fertilizer) to farmers via networks of private, village-based agro-dealers and government agencies. The sub-grants awarded to agro-dealers will strengthen their capacity to conduct mass demonstration of improved crop varieties and fertilizers and delivery of inputs to smallholder farmers.

IV. E&S MANAGEMENT

Institutions/organisations considered for funding under this RFCN must provide an Environmental and Social (E&S) Action Plan. The purpose of the ESAP is to identify E&S impacts and associated mitigation measures of the project to minimize negative effects and enhance positive effects, as identified during the internal AGRA E&S Screening and as listed below:

- *Provide list of Main E&S risks as identified during the E&S Pre-Screening and description of how these will be addressed*
- *Provide any climate related risks as identified during the Climate Adaptation Pre-Screening*
- *Provide a description of the project Area of Influence, based on the risks identified*

V. PERIOD PROPOSAL WILL BE ACCEPTED

This RFCNs remains open for a period of 15 days (from Date Issued to Expiration Date, shown above). Interested Institutions/organisations may submit their Applications any time up to the submission deadline. Early submission is strongly encouraged.

- Institutions/organisations/firms must follow the instructions mentioned below and must submit their applications using the proposal concept note template that can be downloaded in the AGRA website at the link: [To be completed by AGRA]
- Only those Institutions/organisations/firms whose applications AGRA determined to be of interest will be conducted for further details on the project implementation modalities.
- AGRA will not return any applications submitted.

- The projects that will be supported under this call for proposals will start between [To be completed by AGRA]
- The submission deadline is at [To be completed by AGRA]. Applications made after this deadline will not be considered.

ESMS – Annex 7

Guideline for the Submission of a Proposal to the AGRA

GUIDELINES FOR SUBMITTING A PROPOSAL TO AGRA

You are kindly advised to adhere to these guidelines to facilitate processing of your proposal.

Proposal Template

Please submit all materials in English:

1 PRE-AWARD ASSESSMENT DOCUMENTS

- Provide a brief description of the institution and the implementing unit including its mandate, when it was formed, status, and the locations at which it operates. Provide a brief narrative description of (i) your organization's principal purpose or mission, (ii) the activities and operations presently carried on by your organization, and (iii) those activities that you intend to carry on in the future.
- Attach a copy of your organization's charter, bylaws, and any other documents, including any relevant statutory laws, pursuant to which your organization was formed or by which its operations are governed.
- Provide a list of your organization's governing board and key officers.
- Provide latest audited accounts of your organization
- Provide a description of recent grants made by other organizations or units of government to your organization.
- Include a signed copy of the pre-grant inquiry form (see annex I below).

2 COVER LETTER

This letter must be on the applicants' organization letterhead and signed by the head of the institution, his/her designee authorized official. It should include the following details:

- A short description of the intervention; including the methodology, number of targeted beneficiaries, duration of the grant, proposed start date, total budget estimate and requested amount.
- A short description of the grantee history or the consortia make up (as applicable).

3 PAST PERFORMANCE (For organizations that have previously received grants from AGRA)

- Describe the grant no(s).
- Total grant amount (include total of all grants received at the point of application)
- Duration of the grant
- Key objectives of the proposal and the overall performance
- Key information on the implementation of the Environmental and Social Action Plan

Table 1: Summary of Deliverables against Targets

| Key Objective | Indicator | Targets | Achievement | % Achieved |
|---------------|-----------|---------|-------------|------------|
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |

4 GRANT PROPOSAL

Please provide a proposal executive summary that will include the following:

- Name of institution(s) requesting funds
- Name, address, telephone, fax and e-mail of contact person, chief executive officer and financial officer at institution. (if a consortia, this information is to be provided of all partners as appendices)
- Project Title
- Problem to be addressed
- Goal
- Main outputs and expected outcomes
- Key E&S risks to be managed throughout project implementation
- Number of targeted beneficiaries (specify direct and indirect).
- Total project budget amount.
- Amount requested (from AGRA) for the project.
- Other collaborating institutions, if applicable.
- Additional funding for this project requested/obtained from other organizations
- Proposed start date of project
- Duration of project

TABLE OF CONTENTS

Provide a list of sections and page numbers for easy reference by the reader.

DETAILED PROPOSAL

Statement of the Problem

- Describe the nature (what, why, when) and dimensions (geography and numbers of people affected) of the problem being addressed.
- Demonstrate its importance for poor and vulnerable households.
- Describe current status of work on this problem.
- Justification for the intervention.
- Note that quantitative data is very important.

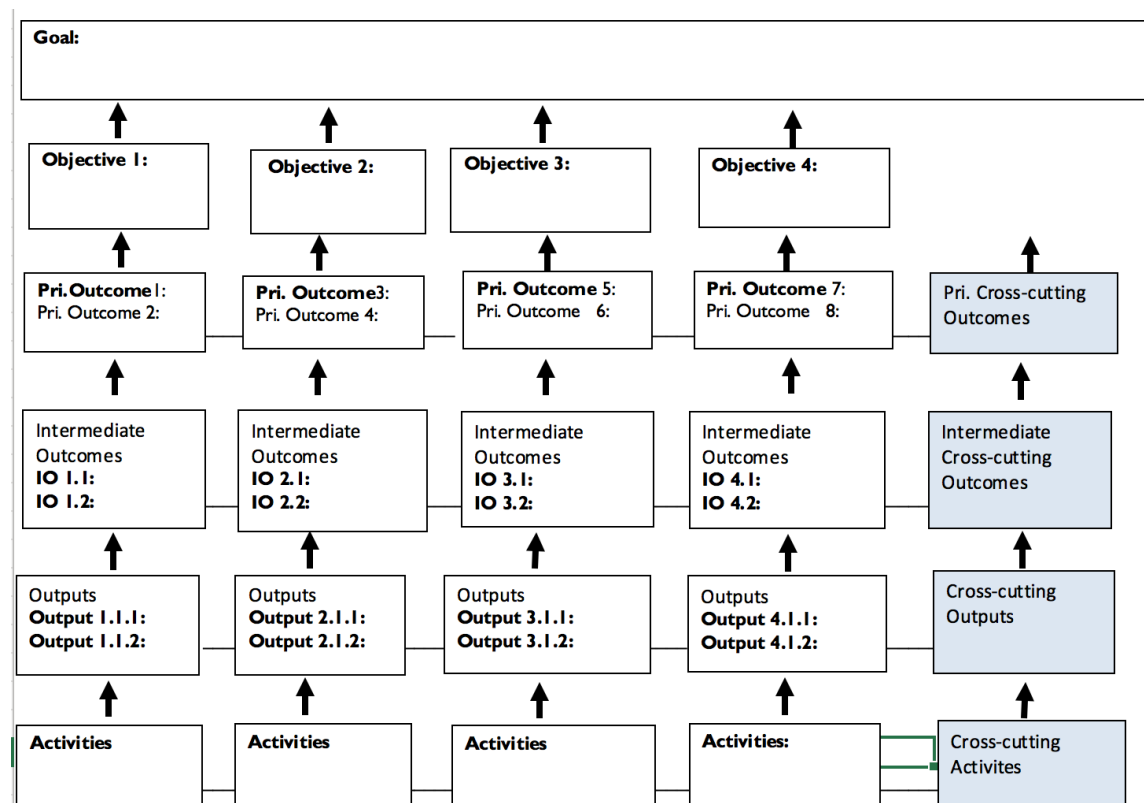
Strategy Proposed to Solve the Problem:

- Describe the most promising opportunities to solve the problem, specify those chosen in this project, and explain the choice.
- Describe the overall strategy to be used in this project.
- Describe past work of the grantee institution in this problem area and the stage of initiation of this project. (Attach an appendix if multiple organizations are involved).
- Describe the framework including stakeholder and gender analysis.
- Describe the intervention(s) indicating targeted beneficiaries, projected yield, projected income per farmer, impact on women and youth and the methodology.

Value for Money Statement

- Describe how the intervention will leverage on other resources in the area of intervention and how this can scale up.
- Describe other institutions (public, private, national, regional or international) with which the grantee institution will collaborate to implement this project (who, where, their mandate and core competencies).
- Describe the nature of the collaboration (who will do what).
- For linkages with the private sector, describe in more detail the structure of the sector, the main actors, the main partner companies, and any special arrangements governing collaboration (licensing arrangements, etc.)

Results Framework



Key Performance Indicators

Table 2: Key Performance Indicator Table

| Project Key Performance Indicator Table | | | | | | | | | | |
|---|------------|----------------------|-------------------------|--------------------------|----------|--------|-------|-------|--------------|---------------------|
| Project Goal 1: | | | | | | | | | | |
| Outcomes | Indicators | Indicator Definition | Level of Disaggregation | Frequency of measurement | Baseline | Target | | | | Partner Responsible |
| | | | | | | Yr. 1 | Yr. 2 | Yr. 3 | Total target | |

Project Implementation Plan (PIP):

A project implementation plan must be developed in the AGRA PIP design and submitted with the proposal.

Risk Management Plan

Indicate the basic risks and assumptions that will affect the success of the project. A risk management framework must be completed using AGRA template.

This includes the management of E&S risks as per the below (please attach the Action Plan as a separate Annex to the risk management framework):

- Describe the main E&S risks expected during the project
- Provide an Environmental and Social Action Plan that details the measures how to manage the E&S risks throughout project implementation, key deadlines for implementation, responsibilities of the grantee/individual consortium partners and Key Performance Indicators for monitoring E&S performance. This draft ESAP should be based on Annex 13 to the AGRA ESMS.

4.2 Knowledge Management

Knowledge management (KM) is important for organizational learning about what works and what does not work in agriculture and for supporting scaling and replication of successful interventions and avoiding mistakes of failed interventions. Knowledge captured from your project will also be useful for informing and influencing AGRA and stakeholders' strategy and investment decisions. Examples of knowledge products include lesson learnt document, manuals or guidelines, technical project reports, publications, documentaries, impact studies, surveys and analysis among others.

Indicate the knowledge products to be developed over the life of the project.

| Product | Responsible | Frequency | Dissemination | Audience |
|---------|-------------|-----------|---------------|----------|
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |

5. BUDGET (IN US DOLLARS)

A summary budget per broken down per budget line items, detailed budget showing how the cost per budget line item was arrived at and explanatory budget notes on the detailed budget required. It is necessary to ensure the following:

- That the budget represents the work described in proposal and it should follow the activity based budgeting model.
- That the budget sub-components add up
- That annual budgets are available if grant is for multi-year.
- Provide AGRA prescribed disbursement plans.
- That the budget is denominated in U.S. dollar. Where local currency is used then the details of exchange rate and date of conversion should be provided.
- That AGRA policies on cost allowed and apportionments are understood and applied in the budgeting process (indirect costs policy, CAPEX policy, Overheads policy).
- Costs share (matching) related to for profit businesses should not be less than 10% of the entire project budget.

6. PROJECT SUSTAINABILITY/TRANSITION or EXIT STRATEGY

Provide a specific sustainability plan to show how the organization will manage activities as a going concern after AGRA's support.

7. MONITORING AND EVALUATION

Provide a brief description of the project monitoring and evaluation plans to be used in the implementation of the project

8. OTHER CONTRIBUTORS TO THE PROJECT

Describe contributions (salaries, infrastructure, administrative support, etc.) to this project from other sources (government, other donors, non-governmental organizations).

9. ALL PROJECT STAFFING

| Names | Institution | Discipline | Education Qualifications | Time devoted to the project (%) |
|-------|-------------|------------|--------------------------|---------------------------------|
| | | | | |
| | | | | |

10. KEY PROJECT STAFF(S)

Provide the CV's of key project staff who will contribute above 50% of their time to the project

ESMS – Annex 8
Capacity Assessment & Pre-Funding Site Checklist
AGRA

Capacity Assessment & Pre-Funding Site Checklist for proposed Grantees

| | | |
|---|---|---------------------|
| ORGANIZATIONAL CAPACITY ASSESSMENT & PRE-FUNDING SITE CHECKLIST FOR PROPOSED GRANTEES. | | |
| Name of Organization: | | |
| Country: | | |
| Assessors: | | |
| Assessment Date: | | |
| Section 1: Leadership, Governance and Strategy | | |
| How does the organization govern itself and plan for the future? | | |
| Assessment Area | Question | Score 16 |
| 1.1. Constitution/Rules (Articles of Association, Memorandum of Association) | Does the organization have a written constitution or rules that are accepted and approved by all the members of the organization? | |
| 1.2. Governance Structures | Does the organization have a board/committee that meets regularly? | |
| 1.3 Foundation | Does the organization have a strategic plan ? | |
| | Does the organization have a bank account? | |
| | Does the organization have a diversified source of financial resources? | |
| | Is the organization/company financially sustainable and profitable? | |
| 1.5 Values | How does the organization respect, encourage, and promote equal participation from people of all genders? | |
| | Does the organization share a common set of basic beliefs and values with AGRA? | |
| Total Score (Average) | | |
| Section 2: Financial Management | | |

¹⁶ Assign a score from 0 to 1, where 0 = negative answer; 1 = positive answer.

| How does the organization plan and manage its finances? | | |
|--|---|-------|
| Assessment Area | Question | Score |
| 2.1 Bank Account | Does the organization have a bank account? | |
| 2.2. Financial Procedures | Does the organization follow documented financial procedures? | |
| 2.3. Budgets and Cash Flow Planning | Does the organization prepare, monitor and review budgets ? | |
| 2.4. Record Keeping | Does the organization keep records of revenue and expenditure that can be presented on demand? | |
| 2.5. Reporting | Does the organization prepare and submit reports to its stakeholders as required or expected? | |
| Total Score (Average) | | |
| Section 3: Administration and Human Resources | | |
| How does the organization manage its operations, staff and volunteers? | | |
| Assessment Area | Question | Score |
| 3.1 Office and Equipment | Does the organization have its own office with office equipment? | |
| 3.2 Office procedures | Does the organization have office procedures covering working hours, office administration and procurement? | |
| 3.3 Human Resources | What human resources are available to implement the organization's work? | |
| 3.4. Managing Staff/ volunteers | How does the organization ensure that staff and volunteers are well managed? | |
| 3.5 HR policies and procedures | Does the organization have formal and documented policies and procedures to guide the overall management of people? | |
| Total Score (Average) | | |
| Section 4: Project Design and Management | | |
| How does the organization develop and manage its projects? | | |
| Assessment Area | Question | Score |
| 4.1 Targeting | How does the organization determine its target for Agricultural activities? | |
| 4.2. Project design | How does the organization initiate its projects? | |
| 4.3 Gender Mainstreaming | How does the organization respect, encourage, and promote equal participation from people of all genders? | |
| 4.4 Environmental and Social | How does the organization assess and manage the environmental and social risks of its activities/projects? Has an Environmental and Social Action Plan been submitted with the project proposal? | |
| 4.5 Community Involvement / relevant Government structures | Does the organization involve the target community / government in program identification, implementation and performance Monitoring? | |
| 4.6 Project Implementation during Emergencies /Humanitarian Crisis | How does the organization implement its activities during humanitarian crisis or emergencies? | |
| 4.7 Phasing out | Does the organization have a phasing out strategy for its activities? | |
| Total Score (Average) | | |
| Section 5: Monitoring and Evaluation | | |

| How does the organization monitor, evaluate and track the implementation of its programmes? | | |
|--|---|-------|
| Assessment Area | Question | Score |
| 5.1 Monitoring and Evaluation | Does the organization routinely monitor and evaluate the progress of its project activities to ensure that resources are used efficiently and that goals are met? Does the organization monitor the E&S performance of its projects? | |
| 5.2 Inputs [Resources available to carry out an activity] | Are input indicators incorporated in the implementation and reporting methods/approaches? | |
| 5.3 Work plan | Does the organization prepare work plans for implementation of identified intervention activities? | |
| 5.4 Outputs [Measurable, direct results of activities, such as products or services provided] | After implementing its activities, does the organization look back to check what actually took place? | |
| 5.5 Outcomes [Measurable consequences of a projects or program's outputs, impacts on the client or the public, and the results of the outputs Outcomes may be immediate, ultimate or somewhere in between] | Does the organization follow up to establish the changes that its activities bring on the target groups? e.g. Micro dosing (SHP) | |
| 5.6 Impact [Impact is the result of project/program activities as felt by clients and society. Impacts may be positive or negative] | Does the organization measure the overall impact of its activities on the targets? | |
| Total Score (Average) | | |
| Section 6. Technical Capacity | | |
| What knowledge and experience does the organization have in agricultural interventions? | | |
| Assessment Area | Question | Score |
| 6.1 Competence [Knowledge and skills] | Do officials, staff, volunteers and members have the necessary skills to do their duties well? Does the organization have a designated role for the management of E&S risks and impacts? | |
| 6.2 Use of National guidelines | Are the organization's programme activities guided by established national practices? | |
| Total Score (Average) | | |
| Section 7: Sustainability | | |
| How does the organization ensure sustainability in order to be effective in its projects(s)? | | |
| Assessment Area | Question | Score |

| | | |
|--|--|--------------|
| 7.1 Programme Sustainability | Do the beneficiaries and stakeholders perceive that the services which they are receiving are of sufficient importance and value that they are willing to assume responsibility and ownership for them? | |
| 7.2 Financial Sustainability | Does the organization have a diversified source of financial resources? | |
| Total Score (Average) | | |
| Section 8: Knowledge Management | | |
| Knowledge management is a vital component of effective interventions and in impact mitigation. How does the organization record, store, maintain and share relevant data and information? | | |
| Assessment Area | Question | Score |
| 8.1 Managing data and information | To what extent is the organization using information and communication technologies (ICT) like the internet, email and cell phones to connect with key stakeholders, facilitate transfer and sharing of information? | |
| 8.2 Identification of lessons learnt | How does the organization identify and use lessons learned? | |
| 8.3 Identification of best practices | How does the organization identify best practices in any of its work? <i>(Best practices are approaches, techniques, characteristics and projects/programs for which there is evidence of effectiveness or promise of effectiveness)</i> | |
| 8.4 Documenting lessons learnt and best practices | How does the organization document its lessons learned and best practices? | |
| Total Score (Average) | | |
| TOTAL AVERAGE SCORE | | |

| | | |
|-------------|---------------|-------------|
| Name | Signed | Date |
| 1 | | |
| 2 | | |
| 3 | | |

Site Checklist and Questionnaire Table for use before the Funding of a Project Site.

| Issue | Remarks |
|---|---------|
| Date of Visit: | |
| Grant Applicant: | |
| Project Location: | |
| Field Visit Conducted by: | |
| Interviews Conducted: (Include names and titles of interviewees) | |

Confirm that original copies of the following documents were reviewed.

| Registration Certificate | Constitution | Bank Statements |
|------------------------------|--------------|----------------------------|
| [] | [] | [] |
| Audited Financial statements | Organogram | Management meeting minutes |
| [] | [] | [] |

Environmental and Social Performance

Complete the table below with information required

| Main E&S risks as defined in the Pre-Screening: | <i>List only these that are related to the visit.</i> |
|---|---|
| Assessment of the risks after site visit/ interviews conducted: | <i>Verify the above and/or provide additional information. Provide proof in the form of photographs, documents and meeting minutes.</i> |

ESMS - Annex 9

Environmental and Social (E&S) Risk Assessment Toolkit

AGRA

This Toolkit is a compilation of several separate E&S Tools within AGRA's Environmental and Social Management System (ESMS).

This Toolkit is intended to be used by AGRA for the E&S Risk Assessment during the Review of submitted Proposal within AGRA's Grant Management Process.

After the short-listed Grantees successfully submitted a project proposal it is AGRA's responsibility to perform a review of the proposals, especially in terms of potential E&S risk and issues.

This Toolkit therefore includes an assembly of different Guidelines, Checklists and Tools, which enable the user to adequately assess potential E&S risks within the Grantee's proposal and overall project design.

THIS TOOLKIT INCLUDES THE FOLLOWING TOOLS AND GUIDELINES:

Contents

| | |
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| ENVIRONMENT & SOCIAL ACTION PLAN (ESAP) - TEMPLATE | 90 |
| ENVIRONMENTAL & SOCIAL LEGAL REGISTER – TEMPLATE | 92 |
| ENVIRONMENTAL AND SOCIAL IMPACT ASSESSMENT (ESIA) REPORT - OUTLINE | 93 |
| STAKEHOLDER ENGAGEMENT PLAN (SEP) - OUTLINE | 96 |
| GRIEVANCE MECHANISM – TEMPLATE | 99 |
| LAND ACQUISITION AND RESETTLEMENT - GUIDELINE | 111 |

ENVIRONMENTAL AND SOCIAL DUE DILIGENCE (ESDD) REPORT - TEMPLATE

1. Introduction and Project Background

- (i) Purpose and scope of the ESDD report
- (ii) Project description: title, type of project, location and setting, amount, size (e.g. Production capacity, number of affected people)
- (iii) Environmental and social (E&S) categorization and rationale
- (iv) Applicable E&S Requirements (see ESMS Manual for further information)

2. Scope of review and methodology

- (i) Documents reviewed (e.g., project proposal and ESAP as submitted by shortlisted grantees/consortia, environmental assessment reports (ESIA, ESMP), Resettlement Action Plan, Indigenous Peoples Plan as applicable)
- (ii) Methodology adopted (site visit yes/no, desktop review, etc.)

3. Applicable E&S Requirements

- (i) Overview of the applicable AGRA E&S standards and requirements applicable to this Project
- (ii) Summary of relevant local legislative context, permitting requirements

4. Alignment of the Project with applicable AGRA E&S requirements

Examine issues in terms of E&S risks and impacts. Evaluate mitigation measures to address these issues (as outlined in the ESMP submitted by the shortlisted grantee/consortia) and compliance status with applicable AGRA E&S requirements and national laws, regulations, and standards. The assessment should validate:

- (i) appropriate identification of major anticipated environmental and social, resettlement, health and safety and labour impacts and risks
- (ii) adequacy of environmental assessments undertaken to date, in terms of scope as well as process
- (iii) status of alignment on (i) information disclosure, (ii) consultation with affected people and other stakeholders, (iii) occupational and community health and safety, (iv) labour and working conditions, (v) biodiversity conservation and sustainable natural resource management, and (vi) physical cultural resources
- (iv) adequacy of mitigation measures and ESMP (mitigation measures, monitoring and reporting, institutional arrangement, budget)

The report should be structured around the key topics listed within the IFC Performance Standards as per the following table. It lists the key aspects of each Performance Standard to report against. (Please note this list is not considered comprehensive neither are all aspects applicable to all projects. The sample question should be used to determine the scope of the due diligence and to identify aspects that are relevant for the management of E&S risks of the project. At this stage, the level of

information may vary for each project and the below questions should therefore be used to identify key actions to be included in the final project ESAP in order to ensure sound management of E&S risks by grantees.)

| IFC Performance Standard | Key Elements |
|---|--|
| PS 1. Assessment and Management of Environmental and Social Risks and Impacts | <ul style="list-style-type: none"> • Has an adequate Environmental and Social Management System (ESMS) been established or proposed for the project? • Does the project/grantee have an organizational structure to implement the ESMS/manage the key E&S risks identified during pre-screening? • Does the ESMS have an emergency preparedness and response system? If yes, is it adequate? • Does the project/grantee have a Stakeholder Engagement/ Communications Plan or is planning to develop it? Have all stakeholders been identified? • What consultations has been carried out to date and with who? Are meeting records available that include meeting minutes, registers and photos? • Do grantees have a Grievance Mechanism in place or are planning to do so? • Does the project/grantee have all necessary permits/licences or are there plans to obtain them? |
| PS 2: Labour and Working Conditions | <ul style="list-style-type: none"> • Do grantees have labour/HR policies in place that align with national requirements and international laws/conventions • Have grantees adopted policies/engagements against child and forced labour? • Do grantees issue formal worker contracts and pay at least minimum wage? • Are worker's rights communicated within the grantee organisation(s)? • Does the project expect worker influx from outside the region(s) and if so how are these being managed? • Do grantees have procedures for local content and procurement and the management of supply chain? • Do grantees have policies/procedures for non-discrimination and equal opportunities (eg migrant and non-migrant workers)? • Have grantee employees the right to form worker's organisations? • Does the project/grantee promote and provide safe and healthy working conditions? • Are adequate control measures in place at grantee organisation(s) to protect workers' health and safety (eg do they have the right PPE/equipment to safely do their job? Are incident records in place? Note the number / type of incidents that have taken place over the last year and lessons learned/how they have been addressed? • Is a worker grievance mechanism in place or is planning to be? • Are contractor and subcontractor Health and Safety procedures in place at the grantee organisation(s)? |
| PS 3: Resource Efficiency and Pollution Prevention | <ul style="list-style-type: none"> • Is the project/grantee compliant with all domestic regulatory requirements? • Have sensitive receptors at project sites been identified? • Have air and noise emissions of the project been assessed and plans for managing these been provided by the grantee? • Have water and energy consumption of the project been assessed and plans for managing these been provided by the grantee? • Waste and wastewater plans in place? • Have the storage, use and transportation of hazardous materials, fertilizers and agrochemicals been assessed and management measures proposed? • Is the project expected to emit significant GHG emissions, if so, are adequate management measures in place? • Is an Emergency Preparedness and Response Plan in place or are there plans to develop one? |
| PS 4: Community Health, Safety and Security | <ul style="list-style-type: none"> • Has the presence of local communities near project sites been adequately assessed? • Are ecosystem services of local communities impacted by the project? • Have impacts on local communities been adequately assessed (eg pesticide use, traffic, noise, site security, hazardous materials) and are management measures in place? |

| | |
|--|---|
| | <ul style="list-style-type: none"> • If the project has high risk structural elements in place located close to populated areas, has the project considered these populated areas in preparing these risk assessment and emergency response plans? • Are project sites near existing natural hazard such as landslides or flood area, which may be exacerbated as a result of the Project activities or any proposed future activities • Is worker influx expected and if so, are management measures in place to mitigate negative impacts on communities? • Will the grantee implement measures to avoid or minimize the potential for community exposure of water-borne, water-base, water- related, and vector borne diseases that could result from Project activities • Have gender based issues such as harassment, gender based violence been assessed and management measures proposed by grantee(s)? • Is a Community Grievance Mechanism in place or will be established? |
| PS 5: Land Acquisition and Involuntary Resettlement | <ul style="list-style-type: none"> • Will the project require physical or economic displacement? • Will there be physical assets/ecosystem services used by local communities impacted by the project • If the project/grantee has or will acquire land, have feasible alternative designs to avoid or minimize physical and/or economic displacement been considered? • If the project/grantee has or will acquire land,, has sufficient baseline data been collected and assessed with respect to affected person's current socio-economic characteristics (i.e. through a census or baseline of the affected persons)? Have vulnerable groups been identified and considered in the compensation process? • If the project/grantee has or will acquire land, will the project/grantee offer displaced communities and persons adequate compensation, including in-kind compensation such as replacement land, livelihood restoration programs, improved housing etc.? • Has a market valuation study been carried out? • What is the legal / land tenure status of the land in the affected area? • How will/ has the land been acquired? • Have resettlement / livelihood restoration steering committees been established? What is the composition of these? • Has there been an informed and participatory consultation process with affected communities? • Is there a stakeholder engagement plan in place to communicate with affected communities or are there plans to establish it? • Is there an adequate grievance mechanism in place that is accessible, transparent and free of retribution or are there plans to establish it? • Who is responsible for the land acquisition and resettlement process? Has a resettlement specialist/third part expert been hired? • What measures are in place to monitor and evaluate the implementation of a Resettlement Action Plan or Livelihood Restoration Plan and take corrective action as necessary? |
| PS 6: Biodiversity Conservation and Sustainable Management of Living Natural Resources | <ul style="list-style-type: none"> • Are project location(s) near sensitive habitats (e.g. protected area)? • Does the project impact ecosystem services used by local communities? • Have supply chain impacts been adequately assessed? • Have impacts on flora/fauna been adequately assessed and have management measures been proposed to avoid/minimize/compensate negative effects? • Does the project/grantee implement measures to avoid the potential for accidental or unintended introductions of alien species? |
| PS 7: Indigenous Peoples | <ul style="list-style-type: none"> • Has the presence of Indigenous Peoples in the project area(s) been adequately assessed and reported? • Are lands and natural resources subject to traditional ownership impacted by the project? <ul style="list-style-type: none"> • What has the project/grantee done to address impacts on IPs? • Has the project/grantee undertaken a process of Free, Prior and Informed Consent (FPIC) or established a mechanism to do so? What measures have been undertaken to consult with IPs? Have meetings been documented (e.g. registers/meeting minutes/photos) |

| | |
|------------------------|---|
| | <ul style="list-style-type: none"> • Will the project require relocation of IPs? • Have adequate compensation measures been developed by the grantee(s)? • Has an Indigenous Peoples Plan been developed or will be developed by the grantee? |
| PS 8: Culture Heritage | <ul style="list-style-type: none"> • Are cultural heritage sites known in the project area(s) (e.g. archology, sacred/traditional sites, graves etc.) • Has the project/grantee retained competent professionals to assist in the identification and protection of cultural heritage or is planning to do so? • Did the project/grantee consult with host/neighboring communities / IPs that use, or have used sites for traditional/cultural purposes? • Has consultation been undertaken with relevant national or local regulatory agencies that are entrusted with the protection of cultural heritage? • Is a chance finds procedure in place or will be? • If the project will remove, significantly alter, or damage critical cultural heritage, has the Project used a process of Informed Consultation and Participation (ICP) of the communities ? Has/will the project/grantee retain external experts to assist in the assessment and protection of critical cultural heritage? |

Appendix to ESDD Report: Environmental and Social Action Plan (ESAP)

The assessment should identify any gaps with the requirements listed above. These must be summarized in a final project Environmental and Social Action Plan (ESAP) to include mitigation measures, monitoring indicators and frequency, responsibilities and timelines. A template for an ESAP is provided as Annex to the ESMS Manual.

If the project includes operation of existing facilities and/or facilities under construction, examine whether the responsible company/organization paid pollution charges or fines/penalties for non-compliance in the last two years in accordance with national laws or whether the responsible company/ organization is exposed to potentially significant liabilities, such as those arising from known or suspected land/groundwater contamination, major accidents and incidents related to the company's past or ongoing operations, health and work safety measures or community severance issues. State further actions required/planned by the project, in particular actions to address any non-compliance problems and liabilities. Also examine whether there are complaints from the public or local communities on the project company's environmental and social performance.

State any risk control or mitigation measures to be taken by the project, such as conditions, loan covenants or monitoring and reporting requirements

Other project specific issues, if any:

Conclusion and Recommendations:

ENVIRONMENT & SOCIAL ACTION PLAN (ESAP) - TEMPLATE

Environmental & Social Action Plan (ESAP)¹⁷

| No | [Reference standard] | Actions (examples) | [Priority Low, Medium, High] | Responsibility | Timeframe for Completion | Monitoring/ Completion indicator | Cost [USD/EUR] |
|----------|-----------------------------|---|------------------------------|---|-----------------------------|---|----------------|
| <u>1</u> | IFC Performance Standard No | Identified mitigation measure as per ESDD | Low/Medium/ High | Responsible staff or in case of consortium applications responsible grantee | Timeline for implementation | KPI to be measured at the specified timeframe | [XXX] |
| | [STANDARD] | [ACTION 2] | | | | | |
| | [STANDARD] | [ACTION 3] | | | | | |
| | [STANDARD] | [ACTION 4] | | | | | |

¹⁷ *Based on the template and guidance for an Environmental, Social and Governance (ESG) Action Plan developed by Commonwealth Development Corporation (CDC) available here: <http://toolkit.cdcgroup.com/esg-in-the-investment-cycle/cdc-guidance/esg-action-plans>

GENERAL ELEMENTS OF GOOD ENVIRONMENTAL AND SOCIAL ACTION PLANS

- Concise, with specific descriptions of the identified actions to be undertaken.
- Each action should be written to specifically address the gaps identified, and not the company/organisation as a whole. It is useful to reference the relevant standard associated with the gap e.g. IFC Performance Standard 6; or local regulation reference.
- Each action should be linked to timeframe for completion. Consider the steps within the grant decision-making process and project design and implementation schedule.
- Each action should be assigned to an appropriate responsible person or entity.
- Actions should include defined elements (e.g. documentation, audit) to demonstrate or indicate their completion (e.g. documented stakeholder engagement plan).
- The actions should be prioritised such that the more urgent gaps are closed sooner and obtain greater attention.

ENVIRONMENTAL & SOCIAL LEGAL REGISTER – TEMPLATE

This template serves as reference for the development of a legal register of environmental and social laws and regulations for AGRA's countries of intervention. Each country should have a Legal Register in place which should be regularly updated by the Country Team with the latest changes in legislation. The table below serves as reference as to what should be referenced in each Legal Register. Please add as many rows as necessary.

| Category | Legislations | Description / Purpose | Responsible Authority | Remarks |
|------------------------|------------------------------|--|---|--|
| Environment/ Social | Name of legislation document | Description of the content of the document and the main points relevant to AGRA operations | Name of the Authority responsible for the implementation of the legislation | Any specifics/clarifications, eg from supplementary information provided |
| | | | | |

ENVIRONMENTAL AND SOCIAL IMPACT ASSESSMENT (ESIA) REPORT - OUTLINE

An environmental and social assessment report is required for all environment category A projects. Its level of detail and comprehensiveness is commensurate with the significance of potential environmental impacts and risks. A typical ESIA report contains the following major elements. The substantive aspects of this outline will guide the preparation of environmental impact assessment reports, although not necessarily in the order shown.

Executive Summary

This section describes concisely the critical facts, significant findings, and recommended actions.

Policy, Legal, and Administrative Framework

This section discusses the applicable safeguard requirements, including lender requirements and national laws, regulations and standards on environment, health, safety, involuntary resettlement and land acquisition, indigenous peoples, and physical cultural resources.

Description of the Project

This section describes the proposed project; its major components; and its geographic, ecological, social, and temporal context, including any associated facility required by and for the project (for example, access roads, power plants, water supply, quarries and borrow pits, and spoil disposal). It normally includes drawings and maps showing the project's Area of Influence and components and specific project sites (eg construction sites).

Environmental and Social Baseline

This section describes relevant physical, biological, and socioeconomic conditions within the project Area of Influence. It also looks at current and proposed development activities within the project's Area of Influence, including those not directly connected to the project. It indicates the accuracy, reliability, and sources of the data.

Anticipated Environmental and Social Impacts and Mitigation Measures

This section predicts and assesses the project's likely positive and negative direct and indirect impacts to physical, biological, socioeconomic (including occupational health and safety, community health and safety, vulnerable groups and gender issues, and impacts on livelihoods through environmental media, and physical cultural resources in the project's Area of Influence, in quantitative terms to the extent possible; identifies mitigation measures and any residual negative impacts that cannot be mitigated; explores opportunities for enhancement; identifies and estimates the extent and quality of available data, key data gaps, and uncertainties associated with predictions and specifies topics that do not require further attention; and examines global, transboundary, and cumulative impacts as appropriate.

Analysis of Alternatives

In case the project involves construction of facilities or infrastructure, this section examines alternatives to the proposed project site, technology, design, and operation—including the no project alternative—in terms of their potential environmental and social impacts; the feasibility of mitigating these impacts; their capital and recurrent costs; their suitability under local conditions; and their institutional, training, and monitoring requirements. It also states the basis for selecting the particular project design proposed and, justifies recommended emission levels and approaches to pollution prevention and abatement.

Information Disclosure, Consultation, and Participation

This section:

- (i) describes the process undertaken during project design and preparation for engaging stakeholders, including information disclosure and consultation with affected people and other stakeholders;
- (ii) summarizes comments and concerns received from affected people and other stakeholders and how these comments have been addressed in project design and mitigation measures, with special attention paid to the needs and concerns of vulnerable groups, including women, the poor, and Indigenous Peoples; and
- (iii) describes the planned information disclosure measures (including the type of information to be disseminated and the method of dissemination) and the process for carrying out consultation with affected people and facilitating their participation during project implementation.
- (iv) In dealing with cases of sexual harassment, the policy of sexual harassment and safeguarding will be used in outlining how these cases will be handled and the manner in which they can be disclosed bearing in mind the sensitivities of the matter and protection and recovery of survivors and victims.

Grievance Mechanism

This section describes the grievance framework (both informal and formal channels), setting out the time frame and mechanisms for resolving complaints about environmental performance.

Environmental and Social Management Plan

This section deals with the set of mitigation and management measures to be taken during project implementation to avoid, reduce, mitigate, or compensate for adverse environmental and social impacts (in that order of priority). It may include multiple management plans and actions. It includes the following key components (with the level of detail commensurate with the project's impacts and risks):

- (i) Mitigation:
 - (a) identifies and summarizes anticipated significant adverse environmental and social impacts and risks;
 - (b) describes each mitigation measure with technical details, including the type of impact to which it relates and the conditions under which it is required (for instance, continuously or in the event of contingencies), together with designs, equipment descriptions, and operating procedures, as appropriate; and
 - (c) provides links to any other mitigation plans (for example, for involuntary resettlement, Indigenous Peoples, or emergency response) required for the project.
- (ii) Monitoring:
 - (a) describes monitoring measures with technical details, including parameters to be measured, methods to be used, sampling locations, frequency of measurements, detection limits and definition of thresholds that will signal the need for corrective actions; and
 - (b) describes monitoring and reporting procedures to ensure early detection of conditions that necessitate particular mitigation measures and document the progress and results of mitigation.

- (iii) Implementation arrangements:
 - (a) specifies the implementation schedule showing phasing and coordination with overall project implementation;
 - (b) describes institutional or organizational arrangements, namely, who is responsible for carrying out the mitigation and monitoring measures, which may include one or more of the following additional topics to strengthen environmental management capability: technical assistance programs, training programs, procurement of equipment and supplies related to environmental management and monitoring, and organizational changes; and
 - (c) estimates capital and recurrent costs and describes sources of funds for implementing the environmental management plan.
- (iv) Performance indicators: describes the desired outcomes as measurable events to the extent possible, such as performance indicators, targets, or acceptance criteria that can be tracked over defined time periods.

Conclusion and Recommendation

This section provides the conclusions drawn from the assessment and provides recommendations.

STAKEHOLDER ENGAGEMENT PLAN (SEP) - OUTLINE

This document represents a Guide to Stakeholder Engagement Plan (SEP). It shall help grantees to document and set up a well-established stakeholder engagement and grievance process with those people potentially affected by the proposed project ("the Project"). The level of detail and comprehensiveness of the SEP shall be commensurate with the significance of potential risk and impacts for affected stakeholders. The following outline will guide the preparation of the SEP but can be adapted to project-specific needs.

The SEP shall be a living document and thus shall be updated as required during the various stages of the project. The SEP shall be written in an easy-to-understand and culturally appropriate language as it will be subject to translation and disclosure to the public.

Further guidance on the preparation of a SEP and stakeholder engagement and grievance management can be found in:

- [IFC \(2007\): Stakeholder Engagement: A Good Practice Handbook for Companies Doing Business in Emerging Markets](#)
- [IFC \(2009\): Good Practice Note Addressing Grievances from Project-Affected Communities](#)
- [IPIECA \(2012\): Operational level grievance mechanisms IPIECA Good Practice Survey](#)

Background and Objective

This section shall describe:

- General information on the project and the grantee;
- Communication channels and point of contacts;
- The objective of the SEP;
- The grantee's commitment to an 'international best practice' approach (ie according to IFC Performance Standards (2012));
- The current phase of the Project

Requirements for Stakeholder Engagement and Information Disclosure

This section shall list and describe:

- The applicable national legislation and regulations for stakeholder engagement including the relevant process
- The international best practice standards (ie. IFC)

Past Stakeholder Engagement Activities

This section shall describe all past and ongoing stakeholder engagement activities. This may include:

- public meetings;
- public announcements in the media;
- engagement with village leaders, ministries and NGOs;

A description of the main concerns, expectations and also positive feedback gathered during past stakeholder engagement shall be provided.

Stakeholder Engagement Program and information disclosure

This section describes the process of future planned stakeholder engagement activities by an iterative process. It shall include:

- The identification and mapping of relevant stakeholder groups,
- A full list of stakeholders including eg governmental bodies, affected communities and relevant NGOs (may be annexed to the SEP);
- Clear indication of who is considered as a stakeholder and why;
- An Action Plan in tabular format including as a minimum:
 - Activity/Element
 - Target Stakeholders
 - Description
 - Timing
- Key topic to be included in the stakeholder engagement will be sexual harassment. This will be linked to the setup of the grievance mechanism that is outlined below.

Grievance Mechanism

A detailed Grievance Mechanism shall be applied and follow the procedure outlined in the 'AGRA Grievance Mechanism'. The process of grievance management shall be outlined in this section of the SEP including the following information:

- Definition of grievance
- Grievance Procedure explained in clear and well defined steps
- Steps of documentation of grievances
- Time frame of grievance redress
- Emphasis will also be placed on procedures of handling cases of sexual and other types of harassment

Recording and Monitoring Stakeholder Engagement

This section presents an overview of the recording and monitoring of conducted SEP activities to provide evidence of effective and adequate grievance management towards AGRA. All grievances, suggestions and positive feedback shall be documented in a logical and systematic way so that they can be tracked from issuing of a grievance through resolution and closure. This register shall include as a minimum:

- Reference number for the stakeholder;
- Name and contact details (unless requesting anonymity);
- Date of contact(s);
- Issue(s) raised (comment, suggestion, question, complaint, etc.);
- Proposed response and actions to be taken; and
- Status (recorded, active, closed).

Please note: The register itself shall not be part of the SEP. The register is to be treated confidential as it includes personal data. The SEP shall only include the process of recording.

This section furthermore describes the approach of monitoring and reporting of grievance management ie how the implementation of activities will be evaluated against the goals of the SEP. The results and any lessons learned shall then be incorporated into further updates of the SEP as the Project evolves and is implemented.

Recording and monitoring shall be documented to AGRA as part of the regular reporting.

Introduction

AGRA and its grantees seek to build strong relationships with stakeholders and manage the impact of its business activities on affected communities. Nevertheless, they recognise that complaints about its activities may occur from time to time.

The Grievance Mechanism allows stakeholders to raise questions or concerns or provide positive feedback to AGRA and its grantees and have them addressed in a prompt and respectful manner. AGRA and its grantees aim to address all complaints received, regardless of whether they stem from real or perceived issues and whether the complainant is named or anonymous. Any stakeholder who considers themselves affected by activities of AGRA funded projects will have access to this Mechanism at no cost. The statutory rights of the complainant to undertake legal proceedings remain unaffected by participation in this process.

All AGRA grantees will have to acknowledge this Grievance Mechanism and ensure that the proper implementation is guaranteed by assigning the necessary competencies (see Section 4). The grantee seeks to foster trust in the process and its outcomes. To this end, the grantee will communicate this Mechanism in an understandable manner to affected stakeholder groups. Confidentiality will be respected and AGRA and its grantees will take all reasonable steps to protect parties to the process from retribution. The Grievance Mechanism should be communicated and forms made available in the relevant local languages to facilitate access to the mechanism.

Purpose

This Mechanism establishes the process for addressing complaints raised in connection with activities of AGRA funded projects. It describes the scope and procedural steps for the complaint handling process and specifies roles and responsibilities of the parties involved. It will be revised and updated periodically by the responsible person within the AGRA organisation based on experience and feedback from stakeholders.

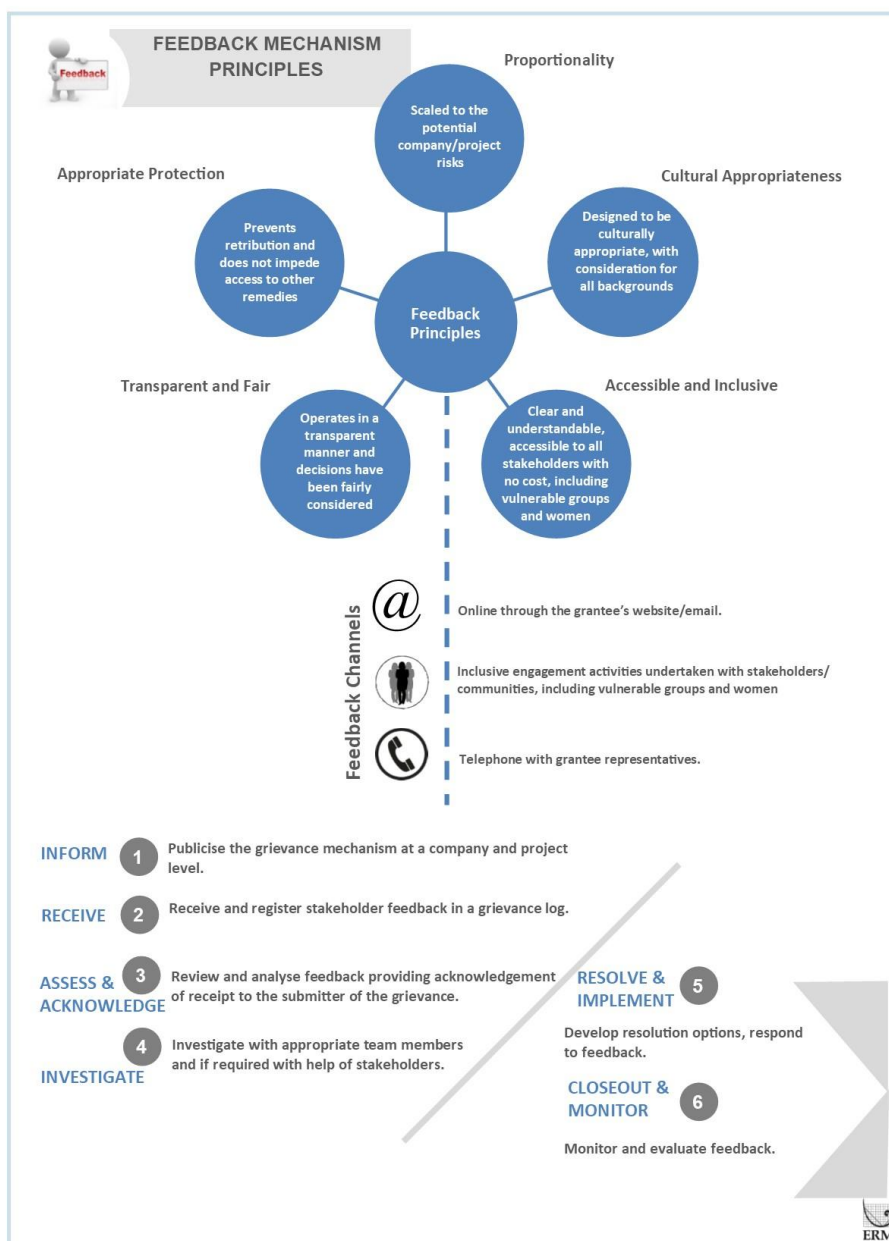
This Mechanism is designed for the handling of grievances by each individual AGRA grantee. Each grantee is responsible for handling grievances related to its activities under the AGRA supported project and will regularly report to AGRA as part of the overall monitoring.

Objectives

This Mechanism has the following objectives:

1. Establish a prompt, consistent and respectful mechanism for receiving, investigating and responding to complaints from stakeholders;
2. Ensure proper documentation (logging) of complaints and any corrective actions taken;
3. Identify and manage stakeholder concerns and thus support effective risk management;
4. Contribute to continuous improvement in performance through the analysis of trends and lessons learned; and
5. enhance trust and positive relationships with stakeholders.

Key principles of a successful Grievance Mechanism are outlined in **Figure 2**.



Grievance Principles

Scope

This Mechanism is open to all stakeholders who consider themselves affected by the activities of the project. Complaints may be submitted on a named or anonymous basis. Although anonymous submissions may be harder to resolve, they will be treated in the same way as named complaints to the extent reasonably possible.

There are no restrictions on the type of issue a stakeholder can raise under this Mechanism. However, when a complaint is received that is more appropriately handled under a separate company process established for that purpose (such as employment or business integrity related issues), it will be re-directed so as to prevent parallel processes being followed. All complaints received under this Mechanism shall be tracked until close out regardless of the process under which they are handled.

The grantee reserves the right not to address a complaint which it reasonably considers amounts to no more than general, unspecified and therefore un-actionable dissatisfaction with the grantee, is otherwise malicious or vexatious in nature, or concerns a matter for which the grantee has no formal responsibility (for example, a matter that the government controls).

Terminology

Terminology used in this Mechanism has the following meaning:

| Term | Definition |
|--------------------------|---|
| Complainant | An individual, group or organisation who submits a complaint to the grantee. |
| Complaint | An expression of dissatisfaction with the activities of a grantee under an AGRA funded project, typically referring to a specific source of concern and/or seeking a specific solution. For the purposes of this Mechanism, a question or request may also be treated as a complaint. |
| Complaint Log | A database for maintaining information about complaints received. |
| Contractor | An individual or firm that has entered into a contract to provide goods or services to the grantee. The term covers parties directly contracted by the grantee and those contracted by a contractor company, also referred to as subcontractors. |
| AGRA's grantee | A company or an organisation that receives a grant directly from AGRA. |
| Registration Form | A form used to capture information about an incoming complaint. |
| Projects | Project or project activities funded by the AGRA (see also definition in the AGRA ESMS). |

Roles and Responsibilities for AGRA and the grantee

Roles and responsibilities under this Mechanism are as follows:

| Role | Responsibility |
|--|--|
| AGRA Environment & Social Manager | Responsible person within AGRA who is responsible for the implementation of this Mechanism. This includes serving as custodian of the complaints process, monitoring the handling of complaints, and suggesting changes to policies or practices based on lessons learned. |

| | |
|---|---|
| AGRA Regional Environmental & Social Officer | Review of Grievance Log and review of closure/resolution of grievances for the projects that fall within the respective region. |
| AGRA Project Officers / Associate Project Officers | Members of AGRA having direct liaison with the grantees and thus assist and help resolving grievances on the ground. |
| Complaint Owner (CO) | A role of the grantee. Responsible for investigating and resolving a complaint. This includes conducting investigations, proposing resolutions, implementing corrective actions and co-ordinating with personnel on the ground and other parties. |

Mechanism for Resolving Complaints

This section sets out the process to be followed for receiving, investigating and resolving complaints. All grievances will be treated by the grantee who will also publicly communicate the Grievance Mechanism to affected stakeholders to make them aware of the process, their rights to submit grievances, and how the mechanism will function. The steps of the Grievance Mechanism are outlined in **Figure 3**.

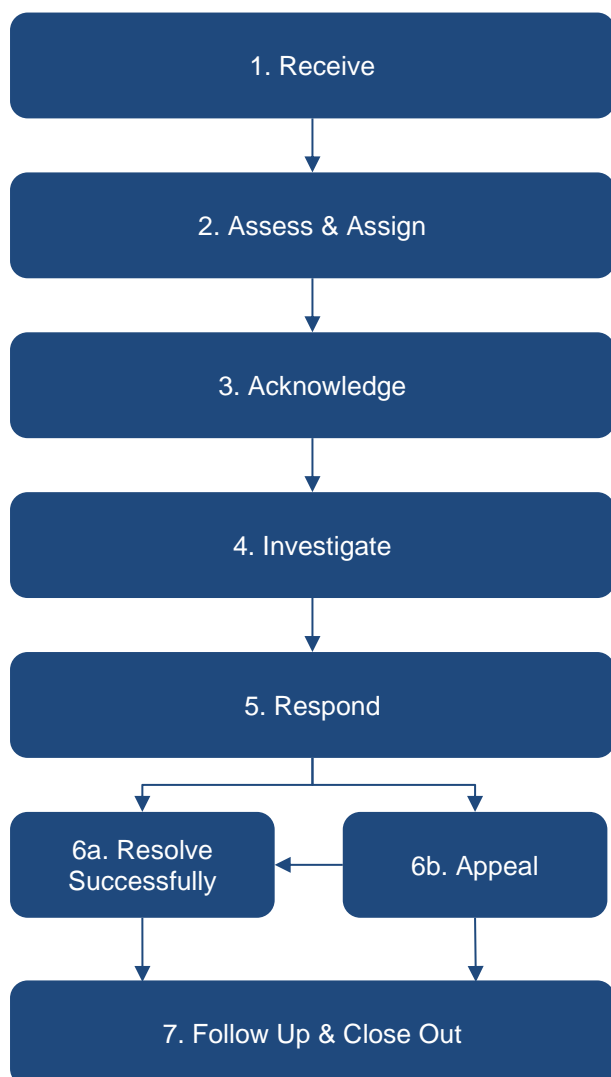


Figure 3 Grievance Mechanism

Receive

The grantee shall communicate the existence of this Grievance Mechanism to the stakeholders as part of their stakeholder engagement activities. Stakeholders shall be able to use the following methods to submit a grievance:

- Orally to the grantee;
- By filling the Public Grievance Form online; and
- In writing via grievance boxes located in the area of the project.

The Mechanism is initiated when a complaint is received by a staff member or contractor and referred to the Complaint Owner (CO).

If the complaint is readily resolvable and can be dealt with immediately, the CO takes action to address the issue directly and records the details in the Grievance Log.

If the complaint is not readily resolvable, the CO will ask the Complainant to complete the Public Grievance Form. An example is attached. If the Complainant is unable to complete the form, the CO will fill it out and read the contents back to verify accuracy. This method of completion will be noted on the form. If the Complainant refuses to complete the Public Grievance Form, he or she will be offered the option to have the complaint treated on an anonymous basis. The CO creates a record of the complaint in the Grievance Log.

A Complaint Register should capture the following: name (optional), contact details (optional), communication channels, type of complaint, complaint, date of complaint, steps of complaint management, and responsibilities of the relevant persons within the grantee's organisation at the project site and within the Grievance Mechanism.

Assess and Assign

The CO defines the timelines for an investigation and any follow up actions. For complaints regarding issues for which a more appropriate company process already exists, the CO shall refer the matter to the appropriate process owner for further action. This will typically be the case for Complaints related to contractual or commercial issues; industrial relations and employee relations; business integrity or criminal matters; and issues subject to current or pending litigation. The CO updates the Complaint Record as appropriate.

Acknowledge

Once a complaint has been assessed, the CO sends a written acknowledgement to the Complainant. The letter should normally be sent within 7 days of receiving the complaint. The CO documents the acknowledgement in the Grievance Log.

Investigate

The CO investigates the factual basis for the complaint and proposes options to resolve the issue.

The CO may involve AGRA and other third parties in the fact finding process as required. The identity of the Complainant should only be disclosed to the extent necessary to resolve the issue or as required by law. If the Complainant has specifically requested that his or her identity not be disclosed, their personal information may not be shared with third parties unless required by law.

The grantee generally seeks to resolve complaints within 30 days. The maximum resolution period should not normally exceed 60 days. The CO is responsible for providing regular progress reports to the Complainant, including a verbal update every 5 working days and a written update after 10 working days. If additional time is needed to complete an investigation, the CO will notify Complainant of the reason for the delay.

When the investigation is complete, the CO documents the findings and proposes options for resolving the complaint as appropriate.

Response

The CO defines a response to the Complainant. The response should communicate the findings of the investigation, set out the proposed solution and timelines, and seek feedback from the Complainant.

The CO determines next steps based on feedback from the Complainant. If the Complainant accepts the resolution, the grantee will proceed to implement (Section 6.6). If the Complainant does not accept the resolution, the Complaint can appeal the grievance (Section 6.7). The Complainant's response will be documented in the Complaint Log.

Resolution

If the Complainant accepts the proposed resolution, the agreed actions are implemented.

The CO is responsible for assigning action parties, actions and deadlines to implement the resolution. These will be recorded in the Grievance Log with any supporting documentation. Monitoring arrangements may need to be put in place to verify implementation.

The CO asks the Complainant to sign the Confirmation Form. If the Complainant agrees to sign, the Complaint is closed out as Resolved (Section 6.8). If the Complainant refuses to sign, or has failed to sign within the timeframe allowed, the Complaint will be appealed (Section 6.7).

Appeal

The grantee will seek to reach a resolution with the Complainant that is satisfactory to both sides. If the grantee and the Complainant are unable to agree on a solution, the Complaint may be escalated to the AGRA for review and final decision. The responsible E&S Officer will work with the CO and the Complainant on resolving the grievance.

In case the Complainant does not accept the resolution proposed by AGRA, the grievance will be taken to a third party for further action. Third parties may include the relevant regulatory authority (such as the Environmental Agency responsible), a lawyer or local community organisation. The third party reviews the case and determines if further reasonable action is possible. If no reasonable action is possible, the third party authorises the close out of the Complaint. A close out letter will be sent to the Complainant explaining the position of AGRA and the grantee.

Cases where the Complainant disputes or declines to acknowledge the implementation of a previously agreed resolution may also be referred to third parties for review.

If actions taken on a grievance are not successful, a stakeholder may turn to court in accordance with the existing national legislation.

Close Out

A Complaint is closed out when no further action can be or needs to be taken.

Closure status will be classified in the Grievance Log as follows:

- **Resolved.** Complaints where a resolution has been agreed and implemented and the Complainant has signed the Confirmation Form.
- **Unresolved.** Complaints where it has not been possible to reach an agreed resolution
- **Abandoned.** Complaints where the Complainant is not contactable after one month following receipt of a Complaint and efforts to trace his or her whereabouts have been unsuccessful.

The CO is responsible for updating the Grievance Log and the logistics associated with closing out the case.

At the end of a case, regardless of whether agreement was achieved, the CO will seek feedback from the Complainant on their level of satisfaction with the complaint handling process and its outcome.

Performance Monitoring and Reporting

The COIs responsible for gathering and reporting performance monitoring data under this Mechanism. All performance monitoring data should be reported to the responsible AGRA E&S Officer at least twice a year. Key performance indicators (KPIs) will be collected to enable AGRA to analyse trends in complaints received and identify underlying systemic issues. AGRA E&S Officers are responsible for making recommendations for changes to policies or practices of the grantee based upon on-going learning from Complaints.

Confidentiality

Duty of Confidentiality

AGRA and the grantee are committed to protecting the identity of the Complainant and to handling personal information in accordance with legal requirements. This duty extends to all employees or representatives of the grantee or its Contractors who participate in the complaint handling process.

Information about a Complaint will be shared within the grantee's organisation on a need-to-know basis and only to the extent necessary to complete a step under this Mechanism. AGRA and the grantee will not share personal information with third parties unless required by law or authorised by the Complainant.

Personal Data

Personal data contained in the Complaints Register will be kept only as long as necessary to investigate the complaint and implement a resolution. Personal data will then be either deleted or modified and transferred to an archive for a reasonable period as required by relevant laws and regulations on Data Privacy.

Conflicts of Interest

A conflict of interest exists where there is a divergence between the interests of an employee or Contractor and his or her responsibilities under this Mechanism, such that an independent observer might reasonably question whether the actions of that person are influenced by his or her own interests.

This Mechanism seeks to manage potential conflicts of interest by segregating the roles and responsibilities of individuals involved in the complaint handling process and avoiding placing individuals in a position where conflicts could be perceived to arise. When a complaint relates to a specific AGRA or grantee employee, that person shall not play a role in the complaint handling process.

Protection from Retribution

Retribution is any adverse action taken against a Complainant, employee or Contractor whose purpose is to frustrate the operation of this Mechanism. AGRA and the grantee will not tolerate such conduct. When concerns about retribution or victimisation are raised, they will be investigated under AGRA's Code of Conduct Mechanism.

| | |
|---|---|
| Public Grievance Form | |
| Reference No (assigned by the receiving agency): | |
| Date: | |
| <p><i>Please enter your contact information and grievance. This information will be dealt with confidence.</i></p> <p><i>Please note: If you wish to remain anonymous please enter your comment/grievance in the box below without indicating any contact information – your comments will still be considered by the agency.</i></p> | |
| Full Name | _____ |
| Anonymous submission | <input type="checkbox"/> I want to remain anonymous |
| Please mark how you wish to be contacted (mail, telephone, e-mail). | <input type="checkbox"/> By Mail (Please provide mailing address): _____ _____ <input type="checkbox"/> By Telephone (Please provide Telephone number): _____ By E-mail (please provide E-Mail address): _____ |
| Preferred Language for communication | <input type="checkbox"/> English <input type="checkbox"/> Other, please specify: _____ |
| Description of Incident or Grievance: <div style="float: right; text-align: right;"> What happened? Where did it happen? Who did it happen to? What is the result of the problem? </div> | |
| | |
| Date of Incident/Grievance: _____ | <input type="checkbox"/> One time incident/grievance (date _____) <input type="checkbox"/> Happened more than once (how many times? ____) <input type="checkbox"/> On-going (currently experiencing problem) |

What would you like to see happen to resolve the problem?

Example Grievance Log (Excel Spreadsheet)

| Section 1 - Details | | | | | | |
|-------------------------|-------------------|-------------------|--------------------------------------|-----------------------------------|------------------------|--|
| Grievance record number | Date communicated | Time communicated | Name of complainant if not anonymous | Contact number of the complainant | Address of complainant | Name of staff member that received the complaint |
| | | | | | | |

| Section 2 - Grievance Raised | | Section 3 - Reporting and Acknowledgement | | | | |
|---|--------------------------------|--|---|--|--|--|
| Grievance subject (eg land acquisition, employment, health) | Description of issue/complaint | Communication channel used (eg face to face, telephone, email etc) | Has the issue been documented in a grievance record form? (Y/N) | Has an acknowledgement been submitted to the complainant with a redress date? (Y/N) if so what date? | Name of staff member that submitted the acknowledgement to the complainant | |
| | | | | | | |

| Section 4- Grievance Management | Section 5 - Corrective Actions/Resolution |
|---------------------------------|---|
|---------------------------------|---|

| Has the complaint been re-assigned to a different person/department? | Name of staff member managing the complaint | Expected resolution date | Description of resolution | Has the resolution been communicated to the complainant? | Method of communication to the complainant | Date resolution communicated to the complainant | Is the complainant satisfied with the resolution? (Y/N) | If not, what additional action is being taken? | Name of staff member assigned | Revised resolution, if applicable | Grievance status (started/pending/resolved) |
|--|---|--------------------------|---------------------------|--|--|---|---|--|-------------------------------|-----------------------------------|---|
|--|---|--------------------------|---------------------------|--|--|---|---|--|-------------------------------|-----------------------------------|---|

LAND ACQUISITION AND RESETTLEMENT - GUIDELINE

Acronyms and Definitions

Acronyms

| | |
|--------|---|
| E&S | Environment and Social |
| ESIA | Environmental and Social Impact Assessment |
| FAO | Food and Agriculture Organization of the United Nations |
| IFC | International Finance Corporation |
| IFC PS | International Finance Corporation Performance Standard |
| LARP | Land Acquisition and Resettlement Policy |
| LRF | Livelihood Restoration Framework |
| LRP | Livelihood Restoration Plan |
| NGOs | Non-governmental Organisations |
| OD | Operational Directive |
| PAP | Project-Affected Person |
| RAP | Resettlement Action Plan |
| RF | Resettlement Framework |
| SEP | Stakeholder Engagement Plan |
| ToR | Terms of Reference |
| UN | United Nations |

IFC Related Definitions

| | |
|---------------------|---|
| Associated facility | Facilities that are essential to the construction or operation of an IFC-financed project but are not themselves part of the overall development. The IFC policy on involuntary resettlement is intended to apply to resettlement induced by the implementation of such facilities. |
| Compensation | Payment in cash or in kind for an asset or a resource that is acquired or affected by a project at the time the asset needs to be replaced. |
| Cut-off date | Date of completion of the census and assets inventory of persons affected by a project. Persons occupying the project area after the cut-off date are not eligible for compensation and/or resettlement assistance. Similarly, fixed assets (such as built structures, crops, fruit trees, and woodlots) established after the date of completion |

| | |
|-----------------------------------|---|
| | of the assets inventory, or an alternative mutually agreed on date, are not be compensated. |
| Host population | People living in or around areas to which people physically displaced by a project will be resettled who, in turn, may be affected by the resettlement. |
| Economic displacement | Loss of income streams or means of livelihood resulting from land acquisition or obstructed access to resources (land, water, or forest) resulting from the construction or operation of a project or its associated facilities. |
| Land expropriation | Process whereby a public authority, usually in return for compensation, requires a person, household, or community to relinquish rights to land that it occupies or otherwise uses. |
| Livelihood Restoration Plan (LRP) | A document in which a grantee or other responsible entity specifies the procedures that it will follow and the actions that it will take to mitigate adverse effects of economic displacement, including the entitlements of affected persons and/or communities ensuring that they are provided in a transparent, consistent, and equitable manner. The mitigation of economic displacement will be considered complete when affected persons or communities have received compensation and other assistance according to the requirements of the LRP, and are deemed to have been provided with adequate opportunity to re-establish their livelihoods. |
| Involuntary resettlement | Resettlement is involuntary when affected people or communities do not have the right to refuse land acquisition or restrictions on land use that result in displacement. This occurs in cases of (i) lawful expropriation or temporary or permanent restrictions on land use and (ii) negotiated settlements in which the buyer can resort to expropriation or impose legal restrictions on land use if negotiations with the seller fail. |
| Project-affected person (PAP) | Any person who, as a result of the implementation of a project, loses the right to own, use, or otherwise benefit from a built structure, land (residential, agricultural, or pasture), annual or perennial crops and trees, or any other fixed or moveable asset, either in full or in part, permanently or temporarily. |
| Project sponsor | A corporate entity/grantee seeking financing for a project either directly or through a financial intermediary supported by AGRA. |
| Physical displacement | Loss of shelter and assets resulting from the acquisition of land associated with a project that requires the affected person(s) to move to another location. |
| Replacement cost | <p>The rate of compensation for lost assets must be calculated at full replacement cost, that is, the market value of the assets plus transaction costs. With regard to land and structures, IFC guidance defines “replacement costs” as follows:</p> <ul style="list-style-type: none"> • agricultural land—the market value of land of equal productive use or potential located in the vicinity of the affected land, plus the cost of preparation to levels similar to or better than those of the affected land, plus the cost of any registration and transfer taxes; • land in urban areas—the market value of land of equal size and use, with similar or improved public infrastructure facility services preferably located in the vicinity of the affected land, plus the cost of any registration and transfer taxes; • household and public structures—the cost of purchasing or building a new structure, with an area and quality similar to or better than those of the affected |

| | |
|--------------------------------|--|
| | <p>structure, or of repairing a partially affected structure, including labour and contractors' fees and any registration and transfer taxes.</p> <p>In determining the replacement cost, depreciation of the asset and the value of salvage materials are not taken into account, nor is the value of benefits to be derived from the project deducted from the valuation of an affected asset.</p> |
| Resettlement Action Plan (RAP) | <p>A document in which a grantee or other responsible entity specifies the procedures that it will follow and the actions that it will take to mitigate adverse effects of physical displacement, regardless of the number of people affected. A RAP should include compensation at full replacement cost for land and other assets lost. It will be designed to mitigate the negative impacts of displacement; identify development opportunities; develop a resettlement budget and schedule; and establish the entitlements of all categories of affected persons (including host communities). Particular attention will be paid to the needs of the poor and the vulnerable. The RAP will also document all transactions to acquire land rights, as well as compensation measures and relocation activities.</p> |
| Resettlement assistance | <p>Support provided to people who are physically displaced by a project. Assistance may include transportation, food, shelter, and social services that are provided to affected people during their relocation. Assistance may also include cash allowances that compensate affected people for the inconvenience associated with resettlement and defray the expenses of a transition to a new locale, such as moving expenses and lost work days.</p> |
| Stakeholders | <p>Any and all individuals, groups, organizations, and institutions interested in and potentially affected by or has the ability to influence a project.</p> |
| Vulnerable groups | <p>People who by virtue of gender, ethnicity, age, physical or mental disability, economic disadvantage, or social status may be more adversely affected by resettlement than others may be, and who may be limited in their ability to claim or take advantage of resettlement assistance and related development benefits.</p> |

Introduction

Overview

Land acquisition and resettlement occurs when a project requires land for a development. This can cause physical (relocation or loss of shelter) or economic (loss of assets or access to assets that leads to loss of income sources or other means of livelihood) displacement of affected people. Displacement of people requires resettlement of such people to restore and adapt to change.

Land acquisition and resettlement can be a very time consuming and sensitive process, leading to long-term hardship and impoverishment, if not managed appropriately. However, it can also offer opportunities for affected people and grantees/developers. A summary of associated risks and opportunities is outlined in *Figure 1* below.

| Risks to Affected People | Risks to AGRA / Grantees | Opportunities |
|--|--|---|
| <ul style="list-style-type: none"> • Landlessness • Homelessness • Joblessness • Loss of access to common property or public services (eg community centres, schools, water, healthcare etc) • Poor health and wellbeing, and increased vulnerability • Food insecurity • Disruption of community structures / networks / institutions • Conflicts between communities and other groups • Disruption to cultural / traditional heritage | <ul style="list-style-type: none"> • Risks to reputation (locally / nationally / globally), particularly in relation to land grabbing and human rights • Loss of access to international partners and financing • Conflict with communities • Time and budget over-runs • Disruption of operations • Loss of social license to operate | <ul style="list-style-type: none"> • Alignment with national and regional development strategies • Increased opportunity for collaboration with communities, the government and other key stakeholders. • Increased diversity of livelihoods and opportunities for income generation • Empowerment and reduced vulnerability of groups (eg. young women/female headed households, youth, elderly etc - depending on the socio-economic context) - as result of improved infrastructure and community investment • Less time and budget spent on resolving grievances and disputes with communities |

Risks and Opportunities

Based on the above, this guideline sets out the best practice approach for undertaking land acquisition and resettlement in order to mitigate negative impacts and risks associated with displacement, as well as enhance positive impacts and opportunities. It should be noted that any land acquisition and resettlement process should be carried out in line with the country context and combining national laws with international requirements. International requirements embedded in guidance note include the following:

- International Finance Corporation (IFC) Performance Standards, in particular 5 on Land Acquisition and Involuntary Resettlement (2012);
- UN Basic Principles and Guidelines on Development-based Evictions and Displacement (2007); and
- Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security (FAO 2012)

References for relevant documentation is provided in *Annex A*.

Purpose and Scope of this Guideline

The purpose of this guideline is to set out the key steps and measures that should be undertaken by AGRA and grantees to mitigate the impacts of land acquisition and displacement as well as enhance the benefits of such processes, creating opportunities. Specifically, it includes the key steps required for undertaking land acquisition in line with international best practice requirements.

It should be noted that if physical and / or economic displacement is unavoidable as a direct result of the grantee activities, support from a third party professional resettlement expert, to facilitate land acquisition and resettlement will be required to ensure that international requirements are met and risks are appropriately mitigated.

Application

This procedure shall be applied to the establishment of all AGRA funded projects that require physical and / or economic displacement thereby resulting in involuntary resettlement. As stipulated in the IFC requirements, resettlement is considered involuntary when affected persons or communities **do not have the right** to refuse land acquisition or restrictions on land use that result in physical or economic displacement. This occurs in cases of (i) lawful expropriation or temporary or permanent restrictions on land use and (ii) negotiated settlements in which the buyer can resort to expropriation or impose legal restrictions on land use if negotiations with the seller fail.

Specifically, this procedure should be applied in the case of the following types of land-transactions.

Types of Grantee Land-Transactions

- Grantee acquires Government land for an agriculture processing plant, which is being informally used by local communities for subsistence farming, leading to forced eviction;
- A local Chief has allocated land to a grantee for a maize plantation in a livestock grazing area, triggering loss of grazing land;
- Grantee acquires land formally through the Government and traditional authorities in an area where local communities have customary rights and have been using the land for generations, but no legal title;
- Grantee acquires land directly through land owners, but the land is being used by tenants renting and / or cultivating the land for / from the owner; and
- There is no evidence of a willing seller-willing buyer scenario.

Source: Adapted from IFC PS5

AGRA will need to carefully consider local country laws and practices and engage with the relevant local authorities to design an approach that matches local norms as well as AGRA requirements and standards. This will be specific to the country institutional framework and legislation for expropriation, land rights and compensation levels. In particular, where the land acquisition or land clearance is undertaken by government authorities, the Grantees and AGRA staff will need to engage directly to align approaches to compensation levels, engagement and notification practices as well as recognition of rights for land use and tenure. Specialist land acquisition and resettlement advice should be sought to identify the best approach for a country and specific context, and could include additional activities by the Grantee/ AGRA (in addition to local requirements) such as community level benefits, top-up payments to align compensation levels and possible retrospective documentation of historical processes.

AGRA will need to consider resettlement aspects in any situation where a grantee is proposing to acquire or use land for a project, particularly if a greenfield site, including expansion projects. Additionally, resettlement will also need to be considered if people will be physically or economically displaced as a result of such a project as identified also through the AGRA Strategic E&S Risk assessment (Annex 2 of the ESMS Manual).

These issues will be identified during the project conception stage and proposal development will include an in-depth assessment of the scale and impacts related to land acquisition and resettlement.

AGRA responsibilities in the land acquisition process are detailed in Section 2 of this guideline.

In case the project requires new land take, the need for displacement and resettlement, and the applicability of this guidance note needs to be determined and the following questions shall be asked during the consideration of the Grant Application:

Determine the need for displacement and resettlement

- Are there any people or communities residing within the project site?
- Are there any people or communities using the land within the project site for farming or other economic activities?
- Is there any private land or privately-owned assets within the project site?
- Are there any natural resources within the project site that are utilised by people / communities – such as forests (for construction materials and fuel wood), pastoral land (for livestock grazing) etc?
- Are there any communal facilities situated within the project site? (eg such as schools, hospitals etc)?
- Are there any sites of cultural value situated on the project site (eg religious buildings, graveyards, sacred sites etc)?

If the answer is “yes” to any of the questions above, then resettlement may be required and grantees, with the support of a third party, will have to plan and implement this following the process as much as possible, using the approach outlined below.

Reference documents for AGRA and grantees in relation to land acquisition and resettlements is included in *Annex C*.

Resettlement Principles and Requirements

Resettlement Principles

The overarching principles that will be adopted by AGRA in the assessment of resettlement during the grantee review process are based on the key international requirements, as detailed in the previous section and are as follows:

Principles in the Assessment of resettlement during the grantee review process

- Avoid, and when avoidance is not possible, minimise resettlement by exploring feasible alternative project designs.
- Avoid forced eviction.
- Anticipate and avoid, or where avoidance is not possible, minimise adverse social and economic impacts from land acquisition or restrictions on land use by: (i) providing compensation for loss of assets at full replacement cost; and (ii) ensuring that resettlement activities are implemented with appropriate disclosure of information, consultation and the informed participation of those affected.
- When displacement is unavoidable, compensation for loss of assets should be provided at full replacement cost to enable affected persons to improve or restore their standards of living or livelihoods. Additionally, where applicable, moving allowances should also be provided.
- Improve living conditions among physically displaced persons through the provision of adequate housing with security of tenure at resettlement sites.
- Give particular attention to the requirements and needs of vulnerable groups, in light of their potentially disadvantaged status.
- Involve affected communities in decision making through inclusive and participatory consultation, including in planning activities, approach to compensation, livelihood restoration and monitoring
- To conceive and execute resettlement activities as sustainable development programs, providing sufficient investment resources to enable displaced persons to benefit directly from the project, as the nature of the project may warrant.
- To ensure that resettlement activities are planned and implemented with appropriate disclosure of information, meaningful consultation, and the informed participation of those affected

Resettlement Measures

The measures for addressing and mitigating impacts related to land acquisition and provided below.

For all resettlement measures, particular attention will be paid to the needs of the poor and the vulnerable by providing assistance, where required, and through monitoring to ensure to mitigate the risk of impoverishment. Gender should also be considered in the development of RAPs and LRPs to ensure gender specific measures and incorporated throughout the land acquisition and resettlement process, and that women have equal opportunities to participate in decision-making and planning activities.

All transactions should be documented to acquire land rights, as well as compensation measures and relocation activities.

Resettlement and / or Livelihood Restoration Framework

Where the exact nature or magnitude of the land acquisition or restrictions on land use related to a project with the potential to cause physical and/or economic displacement is unknown due to the stage of project development, the grantee will develop a Resettlement and/or Livelihood Restoration Framework. The RF or LRF will include;

- the general principles of resettlement;
- a general assessment of alternatives / options to avoid / minimise displacement;
- a general assessment of the resettlement impacts and the scale of displacement;
- include a draft eligibility and entitlement framework that sets out the various groups that are impacted and what they will be entitled to as a result of displacement;
- include a provisional budget and timeframe for developing a Resettlement Action Plan (RAP) or Livelihood Restoration Plan (LRP); and
- a draft monitoring and evaluation plan.

Once the project is more clearly defined and an Environmental and Social Impact Assessment (ESIA) has been drafted, the Framework will be further defined into a RAP or LRP.

Resettlement Action Plan (RAP)

In the case of physical displacement, grantees are required to develop a RAP regardless of the number of people affected to guide and document the measures in place to mitigate the impacts of the physical displacement. The RAP will:

- include compensation at full replacement cost for land and other assets lost;
- be designed to mitigate the negative impacts of displacement and demonstrate the steps taken to avoid and minimise displacement;
- identify community development opportunities;
- contain a baseline to monitor displacement impacts and impacts of RAP implementation;
- develop a resettlement budget and schedule; and
- establish the entitlements of all categories of affected persons (including host communities);
- include roles and responsibilities for implementation; and
- a monitoring and evaluation plan with key performance indicators to be monitored by the grantee.

Livelihood Restoration Plan (LRP)

In relation to economic displacement, a LRP will be developed that contains the above measures, but related to economic displacement. This includes the following:

- Identification of replacement land to maintain farming activities;
- Identify institutions/organisations that can support farmers with restoring land based livelihoods and increasing productivity, to benefit affected persons;
- Identifying livelihood restoration programmes that will support skills development and alternative livelihoods, where required.

Timing for Undertaking Resettlement Measures

During AGRA's concept stage, the need for a Framework or a Plan will be identified by AGRA.

In order to demonstrate that the risk is being managed by the grantee, at a minimum, a Framework will be completed by the grantee and reviewed by AGRA as part of additional E&S studies during the proposal development stage in order to understand the extent and costs for undertaking a RAP or LRP, as well as to determine the associated risks. The grant for the project will include a percentage of the total for the development and implementation of the RAP / LRP in order to account for such costs.

Furthermore, a Stakeholder Engagement Plan (SEP) should be developed to guide and facilitate the consultation process during the planning and implementation stages of resettlement, as well as ensure two-way communication throughout the project lifecycle.

The main objective of an SEP is to ensure good relations and cooperation between the grantee, affected persons and key stakeholders in order to facilitate inclusive participation in decision making. Additionally, the SEP will allow for disclosure of relevant information and for the views and expectations of affected persons to be actively considered and acted upon, ensuring that needs and vulnerabilities are incorporated into the grantees plan in relation to land acquisition and environmental and social management, more broadly.

The SEP should include a process of identifying and mapping stakeholders, establishing the most appropriate communication methods with consideration for literacy levels, gender and language. Additionally, the SEP should include a grievance mechanism that allows affected people and stakeholders to submit comments or concerns without retribution. The contents of an SEP is provided in Box 3.1 below. Box 20.4

Contents of SEP

- Project overview
- National and international requirements related to engagement activities;
- Summary of the socio-economic baseline, including demographics, language, education and literacy levels, gender context, livelihoods and vulnerable groups;
- Stages of engagement throughout the planning stages and engagement requirements during implementation;
- Roles and responsibilities of the grantee, the government, and committees established to facilitate the RAP process, where required;
- Details of a grievance mechanism that is transparent, accessible and allows affected people to submit comments or complaints without retribution;
- Monitoring, evaluation and reporting of engagement activities, ensuring that they are fully documented.

Establishing an Institutional Framework

A resettlement or livelihood restoration committee should be established by Grantees that includes representatives of government, affected communities, traditional leaders, and applicable non-governmental organisations (NGOs) or institutions. AGRA shall participate in the committee at an advisory (steering group) level, rather than at the working group level, as described below, for risk management and compliance purposes.

The principles which generally guide the formation and functioning of such a committee are summarised in Box 20.5

RAP Committee Formation Principles

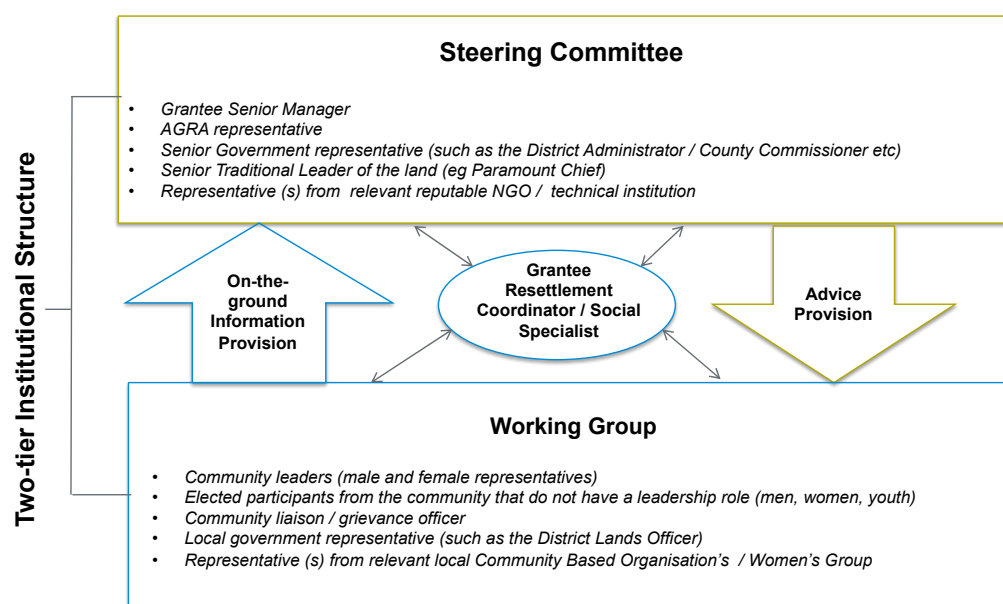
- Establish a good faith negotiation process and reach agreement on land compensation and livelihoods restoration, which is considered fair and has a broad base of support from amongst displaced persons;
- Maintain and strengthen, constructive relationships with project stakeholders, based on mutual understanding, respect and trust;
- Ensure that information sharing and other engagement activities are undertaken in a manner that is inclusive, culturally appropriate, and tailored to the language preferences, literacy levels, and gender specific needs of those affected; and
- Ensure that all engagement, consultation and disclosure activities are free of intimidation or coercion, and all participants are aware of their rights under national law and international standards.

This institutional framework will have two levels of management:

- **Steering Committee:** the higher level, more supervisory, strategic body (facilitated by Grantee senior management) with senior government representation to ensure legal compliance and coordination with relevant Ministries; and
- **Working Group:** the lower level, more hands-on, implementing body (including Grantee Community Liaison Officer (CLO), project manager or alternative representative).

Both groups should ensure a gender balance in order to ensure the views of both men and women are considered, as well as representatives of vulnerable groups, based on the context. In general, vulnerable groups may include groups that may face discrimination (such as a particular ethnic group), female-headed households, physically disabled, elderly etc.

Figure 2 provides an example of how the organisation of an institutional structure.



Example of a Grantee Institutional Framework

The Steering Committee shall constitute the highest organisational level in the land acquisition and resettlement setting and shall meet periodically to:

- ensure that legal obligations are being fulfilled through representation of a senior government representative, as well as alignment with government development plans and obligations within the agri-sector;
- Ensure appropriate representation of key influential and technical stakeholders, with consideration for gender and vulnerability;
- provide overarching guidance on strategic and practical land acquisition and resettlement issues and concerns, as they arise, and make key associated decisions;
- act as a forum for ensuring the resolution of land acquisition and resettlement-related problems; and
- instigate independent resettlement reviews, as and when necessary, to ensure compliance with national and international requirements.

An AGRA representative (e.g. Project Officer) should be responsible for sitting on the committee to feed into the decision-making process regarding planning, implementation and ongoing monitoring to be aware of and support the management of related risks.

The Working Group shall be responsible for planning and carrying out all of the land acquisition and resettlement-related activities on the ground. In particular, the Working Group shall be responsible for:

- facilitating all consultation and engagement with affected communities, ensuring a participatory and inclusive consultation approach;
- assisting with the Resettlement Plan socio-economic fieldwork (see below), as well as all other key aspects of the process, including household negotiations, the physical relocation itself, resettlement monitoring etc. (see below);

- coordinating all those participating in the land acquisition and resettlement process on the ground, including Government actors, external consultants and experts, contractors, Community Organisations, NGOs etc.; and
- ensuring conflict resolution, addressing grievances and alerting the Steering Committee to any additional problems.

All Steering Committee and Working Group meetings shall be minuted in a clear and transparent manner. These minutes will be circulated to all participants, including AGRA.

Develop Draft RAP / LRP

The contents of the RAP / LRP are outlined in *Error! Reference source not found.*

RAP / LRP Contents

- Legal and institutional framework underpinning the land acquisition and compensation process.
- Alternatives assessment and process to avoid/minimise physical and / or economic displacement.
- Socio-economic baseline of affected communities;
- Detailed description of physical and / or economic displacement impacts;
- RAP / LRP engagement process and issues raised;
- An assessment of the appropriateness of the proposed host / replacement sites for houses and / or farmland / or business;
- Eligibility and entitlements framework;
- Description of physical planning components related to physical displacement (if applicable), including house design, access to public services and utilities etc;
- Description of livelihood restoration programmes;
- Descriptions of institutional roles and responsibilities;
- The establishment of a grievance management procedure;
- Vulnerable Peoples' Plan;
- Descriptions of internal and external monitoring and evaluation;
- A programme, schedule and action plan for implementation of the RAP/LRP; and
- Costs and budget for implementation of the RAP / LRP.

The key components of a RAP / LRP are provided below.

Identification of Project Resettlement Impacts and the Nature of Affected Populations

Crucial to the development of a RAP or LRP is to identify affected people and the extent to which they will be impacted as a result of the project. This process will require an understanding of the socio-economic baseline that is gathered through quantitative surveys, focus group discussions (e.g. women, men, youth and other groups, key informant interviews (e.g. with NGOs, teachers, health works etc.) and asset surveys to determine the loss and associated compensation requirements.

Prior to this socio-economic baseline study, the project will require a detailed and accurate description of the design that includes the footprint/area of the development; high resolution maps of the areas to and from which people will be displaced, including population maps, land use maps etc; available secondary government data of the affected communities; relevant information from the Land Cadastre; and the identification and employment of an appropriate Community Organisation or NGO Partner to help support the socio-economic fieldwork, particularly in relation to vulnerable groups etc.

Public Consultation and Participation

As mentioned above, a SEP should be developed that sets out the approach for inclusive and participatory consultation throughout the life of the project/grantees project. Additionally, the RAP / LRP should include a section on all engagement activities undertaken in relation to land acquisition and resettlement.

Eligibility and Entitlements / Compensation Framework and Resettlement Assistance

A framework shall be developed that specifies all forms of asset ownership or use rights among the affected population, and the project's strategy for the provision of compensation. The compensation framework shall include: (i) a description of the methodology used to value losses; (ii) the proposed types and levels of compensation to be paid based on a market valuation study; (iii) eligibility criteria for compensation and resettlement assistance; and (iv) how and when compensation will be paid. In addition, an entitlements matrix shall be prepared that identifies: (i) all categories of affected people; (ii) all types of loss

associated with each category; and (iii) and all options for the types of compensation and resettlement assistance to which each category is entitled.

Livelihood Restoration Activities

The RAP/LRP shall provide a detailed description of the arrangements that will be made to fulfil the requirement to improve, or at least restore, means of income earning capacity, productivity levels and associated livelihoods of affected communities to pre-project levels. This is because compensation alone does not guarantee this restoration or improvement of affected people's economic conditions, and AGRA and the grantee **must** ensure that communities will not be worse off as a result of the project. It must focus on how incomes based on land or natural resources will be restored and improved (in the case of rural communities) and how wage-based or enterprise-based livelihoods will be restored and improved (in the case of urban resettlement).

Through grantee activities, livelihood restoration may be inter-twined with grantee objectives to improve food security and promote economic development in order to create or enhance benefits. This approach would need to be clearly explained in the RAP / LRP, specifically with regard to those affected.

Institutional Framework

As mentioned above, a RAP / LRP should include details of an institutional framework responsible for the land acquisition and resettlement process. The grantee should establish an institutional framework as early as possible in the resettlement process. If prepared by a third party, it is also vital that grantee plays an active role during the preparation, implementation and monitoring of the RAP / LRP to ensure that they are taking an active role to manage related risks, with the support of a third party.

It is important that the grantee has ongoing coordination with the relevant government regulatory bodies and institutions regarding land acquisition in order to ensure that legal obligations are fulfilled. Additionally, depending on the country context, the local government may have active role in the land acquisition process, such as land/ asset valuations and determining land rights for informal land users / settlers, for example.

The framework should also include clear roles and responsibilities for each person/representative that will participate in the Resettlement Committee.

Description of the Provisions for Redress of Grievances

The RAP / LRP shall provide details of the grievance mechanism and how it will be applied, ensuring that it is responsive to the needs to affected communities. The grantee will be responsible for ensuring that there are resources available for managing this and that the grievance process is accessible and transparent to all stakeholders, in particular to affected communities and vulnerable groups.

Identify Alternative Host Sites

Hosts sites should be identified for households and / or land owners/users to enable them to settle or farm in alternative locations. This process requires the participation of the government, traditional authorities and affected people to ensure that the location is feasible and has access to amenities such as access to healthcare, water, education facilities, sanitation, and other facilities, as applicable. As such as full feasibility assessment is required and should be developed by physical planners and agriculture specialists (where appropriate).

Framework for Monitoring, Evaluation and Reporting

The RAP / LRP should provide details of the project's arrangements for monitoring and evaluating the resettlement process. For legal reasons and risk management, the entire process shall be documented in the form of regular reports, meeting minutes and audits to ensure alignment with national and international requirements, as well as to evaluate the success of the process.

Implementation Plan and Schedule

The RAP / LRP shall provide a detailed implementation plan and schedule that will guide the project's land acquisition and resettlement process. The plan will enable careful planning of the timings associated with the implementation of the process.

The implementation plan shall outline key activities that need to take place as part of the land acquisition and resettlement process, divided into those that shall be completed: (i) in the planning for resettlement stage; (ii) during the implementation of the RAP / LRP; and (iii) during project construction.

Detailed Budget

The RAP / LRP should include a detailed budget that accounts for all the elements required for implementation. It is important that AGRA reviews the budget as it will impact on the costs of the overall project and account for a proportion of the grant provided by AGRA.

Disclosure on the RAP / LRP and Entitlements

In order to get 'buy in' from the government and affected people, a consultation process should be undertaken on the eligibility and entitlements matrix determined based on the results of the baseline and asset surveys. It is important that those affected have the opportunity to provide feedback and express any concerns that they have on the compensation process and entitlements that have been determined.

Additionally, consultation on livelihood restoration options should be undertaken to ensure that they are feasible and in line with the expectations of affected people. Engage with affected communities on the Eligibility and Entitlements Matrix

Disclosure on the RAP / LRP

Once the RAP / LRP and the entitlements have been updated resulting from the consultation process, the document should be updated then fully disclosed to affected communities and other key stakeholders.

AGRA are required to review the document to check compliance and feasibility from a financial perspective, as a grantee, prior to finalisation, as part of the grant award considerations.

Individual Negotiations on Entitlements

Once the RAP / LRP has been prepared, the initial step of implementation is the individual negotiations on entitlements including cash and in-kind entitlements, including eligibility for replacement land and access to livelihood restoration programmes. During this process, it is important that government representatives are present to sign off the agreements.

Preparation of Host Site Locations and Relocation

During this stage of the process, it is important that affected people participate in the design and layout of new residential areas, in the case of physical displacement. This includes being involved in the full planning aspects such as the layout of the village, design of houses, accessible utilities and recreational facilities etc. Additionally, support should be provided for land preparation, in the case of land based livelihoods and initiation of livelihood programmes, that may include financial literacy training, agricultural training and provision of inputs and specific skills trainings, depending on the context.

Monitoring and Evaluation

In order to measure the success of RAPs / LRPs, a monitoring and evaluation programme should be developed to measure the success of the process and ensure that affected people are not impoverished or worse off as a result. This requires frequent visits and ongoing engagement with affected people, and should be carried out by a third party with agreed reporting requirements and timeframes for audits.

AGRA are also responsible for monitoring implementation in accordance with AGRA's monitoring procedures, through review of RAP/LRP monitoring reports. This should also include direct engagement with the grantee, affected communities and the

third party resettlement specialist and site visits. The grantee shall develop a corrective action plan with timeframes to address any deficiencies issues and report regularly (every 3-6 months) until these are addressed.

Annex A: Reference documents

Food and Agriculture Organisation, Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security (2012): <http://www.fao.org/docrep/016/i2801e/i2801e.pdf>

Food and Agriculture Organisation, Environment and Social Standards: <http://www.fao.org/3/a-i4413e.pdf>

Handbook for Preparing a Resettlement Action Plan, March 2002:
https://www.ifc.org/wps/wcm/connect/topics_ext_content/ifc_external_corporate_site/sustainability-at-ifc/publications/publications_handbook_rap_wci_1319577659424

IFC Performance Standards:
https://www.ifc.org/wps/wcm/connect/Topics_Ext_Content/IFC_External_Corporate_Site/Sustainability-At-IFC/Policies-Standards/Performance-Standards/

IFC Performance Standard 5:

https://www.ifc.org/wps/wcm/connect/topics_ext_content/ifc_external_corporate_site/sustainability-at-ifc/policies-standards/performance-standards/ps5

World Bank Environmental and Social Framework (October 2017): <https://www.worldbank.org/en/projects-operations/environmental-and-social-framework/brief/environmental-and-social-standards#ess5>

UN Basic Principles and Guidelines on Development-based Evictions and Displacement (2007): https://www2.ohchr.org/english/issues/housing/docs/guidelines_en.pdf

Annex B: Example of ToR to Develop a Resettlement Action Plan / Livelihood Restoration Plan

A good ToR should provide potential bidders with sufficient information to enable them to make a detailed proposal for planning and implementing the land acquisition and resettlement associated with a given project. At the same time, the ToR should not be too prescriptive. Rather, it should allow potential bidders flexibility in the application of international standards to the local context, conditions and requirements – as identified through public consultation – of the people to be affected by the project. The following is a sample ToR for a project involving both physical and economic displacement and resettlement.

ToR

- [INSERT COMPANY] has signed an agreement with the [INSERT COUNTRY] Government for the construction and operation of [INSERT NAME OF PROJECT] situated in [INSERT LOCATION]. Construction is planned to commence in [INSERT PROVISIONAL PROJECT TIMELINE]. The Project footprint will cover [INSERT AREA OF LAND TO BE ACQUIRED] and affect [INSERT APPROXIMATE NUMBER OF PEOPLE] who will need to be both physically and economically displaced and resettled.
- Insert details of who the project is being funded by and the specific requirements that the project is aiming to comply with.
- [INSERT COMPANY] requires the expert services of a resettlement specialist to prepare a Resettlement Action Plan / or Livelihood Restoration Plan that fully meets the IFC Performance Standards, specifically IFC Performance Standard 5: Land Acquisition and Involuntary Resettlement.
- The Consultant Resettlement Team will work closely with [INSERT COMPANY], Government representatives and other experts and stakeholders.
- The Consultant will design the land acquisition, resettlement and development components of the Project in accordance with the requirements outlined in IFC Performance Standard 5, together with additional IFC-provided guidance materials.
- The Consultant will include local experts with demonstrated expertise in the following areas:
 - Track record of working on IFC/World Bank Group resettlement projects, ideally in the agriculture sector, including experience in baseline/socio-economic data collection and design, implementation and monitoring and evaluation of RAPs / LRPs within the relevant country;
 - A livelihoods specialist with a track record of designing livelihood restoration programmes in the relevant country, particularly in the agriculture sector;
 - If applicable, a physical planner with experience of participatory design and implementation of community relocation programmes, including house design, community layout, community infrastructure planning etc;
 - A community engagement specialist with experience of meeting facilitation, participatory rural appraisal/participatory information gathering and communication techniques and conflict resolution.
- The team will identify the additional local expertise needed to assist in the planning of the land acquisition and resettlement process, and also in the implementation, monitoring and evaluation of the resettlement.
- Interested parties should submit proposals by [INSERT PROPOSAL SUBMISSION DETAILS].
- Proposals should include an overview of the technical approach and organisational arrangements as well as CVs of key personnel, a budget and an estimated timetable. The RAP / LRP component (physical and economic resettlement of people) is to be completed by [INSERT DATE]. Implementation should be completed by [INSERT DATE].

Annex C: Land Acquisition and Resettlement Guideline for Grantees

This document is a guideline for grantees that will acquire land in order to facilitate their project whereby people will need to be relocated physically (relocation or loss of shelter) or economically (loss of assets or access to assets that leads to loss of income sources or other means of livelihood) as a result.

This Document

This document provides guidance on AGRA's requirements in relation to land acquisition. It includes the key principles for undertaking such processes, particularly in relation to managing compensation and entitlements for affected people/communities that will be displaced and will require resettlement.

What is Resettlement?

Resettlement is the process of moving people from one location to another as a result of being displaced/relocated because of land acquisition. This includes residents, farmers using land, businesses, livestock etc.

Land acquisition and resettlement occurs when a project requires land for a development. This can cause physical (relocation or loss of shelter) or economic (loss of assets or access to assets that leads to loss of income sources or other means of livelihood) displacement of affected people. Displacement of people requires resettlement of such people to restore and adapt to change. Land acquisition and resettlement can be a very time consuming and sensitive process, leading to long-term hardship and impoverishment, if not managed appropriately. However, it can also offer opportunities for affected people and grantees/developers.

Figure 1 shows the risks and opportunities evolving from land acquisition and resettlement.

| Risks to Affected People | Risks to Grantees | Opportunities |
|--|--|---|
| <ul style="list-style-type: none">• Landlessness• Homelessness• Joblessness• Loss of access to common property or public services (eg community centres, schools, water, healthcare etc)• Poor health and wellbeing, and increased vulnerability• Food insecurity• Disruption of community structures / networks / institutions• Conflicts between communities and other groups• Disruption to cultural / traditional heritage | <ul style="list-style-type: none">• Risks to reputation (locally / nationally / globally), particularly in relation to land grabbing and human rights• Loss of access to international financing• Conflict with communities• Time and budget over-runs• Disruption of operations• Loss of social license to operate | <ul style="list-style-type: none">• Alignment with national and regional development strategies• Increased opportunity for collaboration with communities, the government and other key stakeholders.• Increased diversity of livelihoods and opportunities for income generation• Empowerment and reduced vulnerability of groups (eg. young women/female headed households, youth, elderly etc - depending on the socio-economic context) - as result of improved infrastructure and community investment• Less time and budget spent on resolving grievances and disputes with communities |

Risks and Opportunities

Resettlement Principles

The land acquisition and resettlement process should be carried out in line with the country context and combining national laws with international requirements. International requirements embedded in this guidance note include the following:

- International Finance Corporation (IFC) Performance Standards, in particular 5 on Land Acquisition and Involuntary Resettlement (2012);
- The World Bank Environmental and Social Framework, in particular ESS5: Land Acquisition, Restrictions on Land Use and Involuntary Resettlement (October 2017);
- UN Basic Principles and Guidelines on Development-based Evictions and Displacement (2007); and

- Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security (FAO 2012)

The key principles that should be adopted are as follows:

- Avoid, and when avoidance is not possible, minimise resettlement by exploring feasible alternative project designs.
- Avoid forced eviction.
- Anticipate and avoid, or where avoidance is not possible, minimise adverse social and economic impacts from land acquisition or restrictions on land use by: (i) providing compensation for loss of assets at full replacement cost; and (ii) ensuring that resettlement activities are implemented with appropriate disclosure of information, consultation and the informed participation of those affected.
- When displacement is unavoidable, compensation for loss of assets should be provided at full replacement cost to enable affected persons to improve or restore their standards of living or livelihoods. Additionally, where applicable, moving allowances should also be provided.
- Improve living conditions among physically displaced persons through the provision of adequate housing with security of tenure at resettlement sites.
- Give particular attention to the requirements and needs of vulnerable groups, in light of their potentially disadvantaged status.
- Involve affected communities in decision making through inclusive and participatory consultation, including in planning activities, approach to compensation, livelihood restoration and monitoring
- To conceive and execute resettlement activities as sustainable development programs, providing sufficient investment resources to enable displaced persons to benefit directly from the project, as the nature of the project may warrant.
- To ensure that resettlement activities are planned and implemented with appropriate disclosure of information, meaningful consultation, and the informed participation of those affected

Key Elements Required for Land Acquisition and Resettlement

For any land acquisition process it is important to understand the national requirements/law relating to the process as well as the rights and entitlements of those affected. In addition, AGRA requires international standards to be integrated into the process **in proportion** with the size of the project and the extent/number of people impacted. This includes developing;

- A Resettlement or Livelihood Restoration Framework
- A Resettlement Action Plan; or
- A Livelihood Restoration Plan.

For all resettlement measures, particular attention will be paid to the needs of the poor and the vulnerable by providing assistance, where required, and through monitoring to ensure to mitigate the risk of impoverishment. Gender should also be considered in the development of RAPs and LRPs to ensure gender specific measures and incorporated throughout the land acquisition and resettlement process, and that women have equal opportunities to participate in decision making and planning activities.

All transactions should be documented to acquire land rights, as well as compensation measures and relocation activities.

Detail regarding these documents are included below.

Resettlement and / or Livelihood Restoration Framework

Where the exact nature or magnitude of the land acquisition or restrictions on land use related to a project with the potential to cause physical and/or economic displacement is unknown due to the stage of project development, the grantee will develop a Resettlement and/or Livelihood Restoration Framework. The RF or LRF will include;

- the general principles of resettlement;
- a general assessment of alternatives / options to avoid / minimise displacement;
- a general assessment of the resettlement impacts and the scale of displacement;

AGRA ENVIRONMENTAL AND SOCIAL MANAGEMENT SYSTEM
ENVIRONMENTAL & SOCIAL MONITORING REPORT

- include a draft eligibility and entitlement framework that sets out the various groups that are impacted and what they will be entitled to as a result of displacement;
- include a provisional budget and timeframe for developing a Resettlement Action Plan (RAP) or Livelihood Restoration Plan (LRP); and
- a draft monitoring and evaluation plan.

Once the project is more defined and an Environmental and Social Impact Assessment (ESIA) has been drafted, the Framework will be further defined into a RAP or LRP.

Resettlement Action Plan

In the case of physical displacement, grantees are required to develop a RAP regardless of the number of people affected to guide and document the measures in place to mitigate the impacts of the physical displacement. The RAP will:

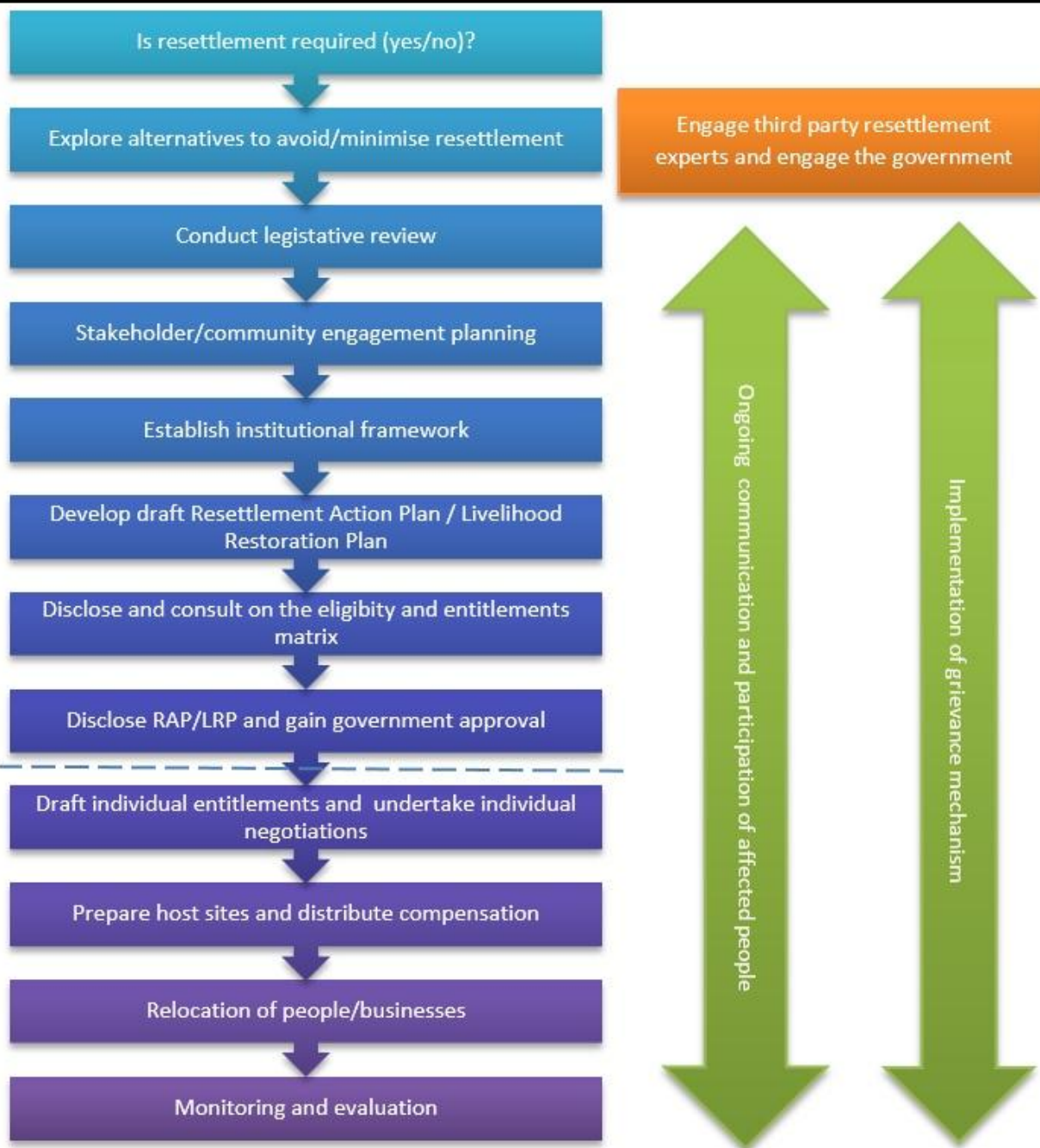
- include compensation at full replacement cost for land and other assets lost;
- be designed to mitigate the negative impacts of displacement and demonstrate the steps taken to avoid and minimise displacement;
- identify community development opportunities;
- contain a baseline to monitor displacement impacts and impacts of RAP implementation;
- develop a resettlement budget and schedule; and
- establish the entitlements of all categories of affected persons (including host communities);
- include roles and responsibilities for implementation; and
- a monitoring and evaluation plan with key performance indicators to be monitored by the grantee.

Livelihood Restoration Plan

In relation to economic displacement, a LRP will be developed that contains the above measures, but related to economic displacement. This includes the following;

- Identification of replacement land to maintain farming activities;
- Identify institutions/organisations that can support farmers with restoring land based livelihoods and increasing productivity, to benefit affected persons;
- Identifying livelihood restoration programmes that will support skills development and alternative livelihoods, where required.

The process for developing a RAP / LRP is illustrated in *Figure 2* below.



RAP Process

A key AGRA requirement for land acquisition and resettlement is to hire a third party specialist with the following experience to lead the process and develop the required documents;

- Track record of working on IFC/World Bank Group resettlement projects, ideally in the agriculture sector, including experience in baseline/socio-economic data collection and design, implementation and monitoring and evaluation of RAPs / LRPs within the relevant country;

- A livelihoods specialist with a track record of designing livelihood restoration programmes in the relevant country, particularly in the agriculture sector;
- If applicable, a physical planner with experience of participatory design and implementation of community relocation programmes, including house design, community layout, community infrastructure planning etc.;
- A community engagement specialist with experience of meeting facilitation, participatory rural appraisal/participatory information gathering and communication techniques and conflict resolution.

Clear scopes of work and request for proposals should be developed by grantees with inputs from AGRA. AGRA will review all scopes of work as well as participate in the selection process to ensure that the selected third party meets their requirements.

ESMS – Annex 10

Template & Guidelines for a Grant Agreement Letter

AGRA

AGRA Grant Agreement Letter

«Date»

«Org_Primary_Contact_Name»

«Org_Primary_Contact_Title»

«Org_Legal_Name»

«Org_Street_Address»

«Org_City», «Org_Postal_Code»

«Org_State»

«Org_Country»

Re: Grant Reference No. «Request_Reference_Number»

Dear «Org_Primary_Contact_Name»:

AGRA (“AGRA”) is pleased to award «Org_Legal_Name» (“«Org_Also_Known_As»”) a project support grant in the amount of «Request_Grant_Amount» for the period from «Request_Project_Start_Date» to «Request_Project_End_Date» («Request_Term_Months» months) to carry out the project titled, “«Request_Project_Title»,” which aims «Request_Purpose» as described in your proposal and budget dated «Request_Request_Date». This letter the (“Grant Agreement”) summarizes the terms and conditions under which AGRA has awarded this grant to you.

Legal Status. We understand that your company was created in (insert country) by (identify stature, charter, or other document) and is operated under the laws of (insert country). The terms and conditions of this grant are based on the materials that you have provided to AGRA. If there are any material changes in your organizing documents or other information submitted to AGRA during our consideration of this grant or made during the grant period, you agree to notify AGRA promptly.

Payment of Grant Funds. AGRA will disburse grant funds to you upon our receipt of this Grant Agreement signed by an authorized officer of your company and upon satisfactory completion by «Org_Legal_Name» of all the terms and conditions for this grant, including reporting obligations, according to the following schedule:

«Require_VIEWS_Payments»

Restrictions on the Use of Grant Funds. AGRA grant funds, and any income earned on those funds, may not be spent domestically or internationally (a) for any purpose other than that for which the grant is made; (b) without AGRA’s prior written approval, to make a grant to any individual for travel, study, or similar purpose, or to make a grant to any other organization; (c) for any purpose other than charitable, scientific, literary or educational purposes; (d) to carry on propaganda or otherwise attempt to influence, directly or indirectly, specific proposed or pending legislation; or (e) to purchase any capital equipment. In addition, any proposed change to a budget line item of more than 10% must be approved in writing by AGRA in advance.

The proposed project will primarily benefit the poor small holder farmer who makes up the majority of farmers in «Org_Country». You agree that any incidental financial benefit realized by your company in the course of carrying out the project will be invested in the continued operations of the company which will enhance the distribution system and benefit more poor farmers.

Anti-Terrorism. You hereby certify that «Org_Legal_Name» operates in compliance with the laws of «Org_Country» and confirms that it does not support or conduct, directly or indirectly, any terrorist activities or violence of any kind. You further certify that «Org_Legal_Name» takes reasonable steps to ensure that staff, board and other employees have no dealings whatsoever with terrorists or terrorist organizations and do not support, directly or indirectly, terrorist activities or violence of any kind.

If, as a part of this Project, any funds are to be disbursed to any specific individuals or organizations, you agree to check the names of such individuals or organizations against the United States Department of Treasury, Office of Foreign Assets Control ("OFAC") list of "Specially Designated Nationals" maintained on OFAC's website at www.treas.gov/offices/enforcement/ofac/sdn/ prior to disbursement. Re-granting of funds to any individual or organization that appears on this list is strictly prohibited.

Accessibility of Seed to Poor Farmers. By accepting this grant, you agree to: (a) avail seed to farmers at a price agreed upon between AGRA and yourselves and calculated to achieve the charitable objectives of the project; (b) remain focused on increasing awareness among small-scale farmers of the value of improved seed and on establishing direct, "over-the-counter" sales to small-scale farmers (as opposed to primarily seeking to sell seed to Non-Governmental Organizations or other intermediaries); (c) collaborate with public sector breeding groups in availing seed of improved, adapted crop varieties to farmers; (d) show evidence that the seed being produced or sold was inspected and certified by the relevant regulatory body; (e) show proof of source of breeder or foundation seed; and (f) produce, disseminate and market seed according to and in compliance with all applicable laws of «Org_Country».

Segregation and Investment of Grant Funds. All grant funds received by your company from AGRA for the Project must be maintained in a separate account dedicated to the charitable purposes of the Project. This account must be a physically separate bank account. Furthermore, all unspent or uncommitted grant funds must be invested in highly liquid investments for the duration of the grant period with the primary objective of preservation of principal so that the grant funds remain available for the funding of the Project in a manner described in the Proposal. Any interest or other income generated by the grant funds, including currency conversion gains, must be applied to the charitable purposes of the Project, and must be reported in the Interim and Final Narrative and Financial Reports defined below.

Return of Unused Funds. Any grant funds, or any income earned on grant funds not spent or committed for the purposes of the Project, must be promptly returned to AGRA at the end of the grant period.

Reports. It is important that all reports be submitted in a timely manner; otherwise payment may be delayed on this grant. Please indicate the grant number referenced in this Grant Agreement on all submissions. The reporting schedule for this grant is as follows:

«Require_Views_Grant_Report_View»

- Interim Narrative and Financial reports must be submitted on a quarterly basis in the standard formats attached.
- Annual Audited reports must be submitted upon completion of your company's annual audit.
- Final Narrative and Financial reports must cover the entire period of the grant.
- <Include reference to E&S monitoring report requirements here, including frequency>

All reports must be signed by the Project Manager and the Financial Officer of your company.

Environmental and Social Action Plan (ESAP): You agree to submit progress on the implement of the mitigation and management measures specified in the project ESAP on a quarterly basis. The data will be used to monitor E&S performance of your grant. Furthermore, you agree to submit progress on the main E&S indicators as specified in the E&S Monitoring Checklist.

Non-compliance with the requirements of the ESAP and relevant national E&S legislation will lead to the termination of the grant.

In addition, you agree to inform AGRA on any social, labour, health and safety, security or environmental incident or accident, and grievances logged which are expected to have a material impact on the project. You must report on the nature, circumstances, impacts, and remediation measures.

Performance Tracking Table: You agree to submit the IPTT on a quarterly basis following the IPTT form annexed to this letter. The data will be used to monitor performance of your grant. The attached guideline provides guidance on how to complete the IPPT form.

In addition, please send to AGRA copies of all papers, manuscripts, and other materials produced that are a direct result of AGRA's grant, including all promotional and educational materials such as radio programs and print documents.

PASS Monitoring Data: You agree to submit grant monitoring data on a semi-annual basis following the data-sheets provided by the program staff. The data will be used to monitor performance of your grant. The attached checklist gives an indication of the nature of data that will be required. One month before the respective data submission date, please mark the checklist indicating the templates that are relevant to your project (for the reporting period), and return it to us to enable us give you the relevant templates.

Requesting an Extension of the Grant Period. A grant may be considered for extension under the following circumstances:

- (1) a detailed explanation for the need for an extension has been received by AGRA with an up-to-date progress report and financial accounting, as well as a clear indication of the amount of time necessary to complete the Project; and
- (2) any required Interim Narrative and Financial reports have been submitted in a timely manner and have indicated that satisfactory progress is being made on the Project.

If an extension is approved, AGRA will send a letter to your company amending this grant agreement, which will include a revised schedule of reporting requirements and new payment terms, if applicable. This letter should be appended to the original award letter.

AGRA contacts for this project. Questions of a substantive nature and all grant reports should be directed to «Request_Staff_Person», «Request_Staff_Title»«Request_Staff_Title», «Request_Staff_E_mail» while administrative questions should be directed to Mr. Ignatius Mutula, Grants Manager, IMutula@agra.org. The marked Checklists, monitoring data and all questions concerning the PASS monitoring data sheets should be directed to Mary Muthama, MMuthama@agra.org with a copy to passdata@agra.org.

Record Maintenance, Inspection and Retention. You agree to maintain adequate records for the Project to enable AGRA to easily determine how the grant funds were expended. You also agree to make your books and records available for inspection by AGRA or its designee at reasonable times and permit us to monitor and conduct an evaluation of operations under this grant, which may include a visit by our personnel or our designee to observe your company, a discussion of the Project with your company's staff, and a review of financial and other records connected with this grant and the Project. Your company agrees to retain its accounting records related to the Project, as well as copies of the reports submitted to AGRA, for at least five years after completion of the use of the grant funds.

Publication, Public Access and License to Use. You will make the results of the Project, written reports, other publications, and any materials of any nature created by the company regarding the Project as a result of or in connection to this grant (collectively, the "Materials") available to the public (i) on hard copy media free of charge (other than reasonable processing and shipping costs), and/or (ii) for free unlimited access and use via an Internet site, which you will use reasonable efforts to have listed with major Internet search engines. One copy (electronic or hard copy) of each of the Materials must accompany the annual or final progress report submitted to AGRA for the period in which such Materials were created.

In addition, you hereby grant AGRA a perpetual, worldwide, non-exclusive license to use, reproduce, distribute, display, perform, edit, adapt, create derivative works from and otherwise utilize, in all languages and all media now known or hereafter developed, all Materials created by your company as a result of or in connection to this grant.

Warranty and Covenants. You represent and warrant that «Org_Legal_Name» has the full right and authority to grant licenses and rights granted in this Agreement and that «Org_Legal_Name»'s rights in any of the Materials and AGRA's license of the Materials will not violate any intellectual property, contractual or other rights of any third party.

Monitoring and Evaluation. You agree to participate in evaluation activities as directed by AGRA to enable AGRA to monitor and evaluate key aspects of its grant-making programs.

Compliance and Termination. If AGRA is not reasonably satisfied with the progress of the Project or the content of any written report from you regarding the Project, or if you fail to comply with any term or condition of this Grant Agreement, AGRA has the right at its discretion to terminate the grant and/or discontinue funding the Project.

Upon termination, if requested by AGRA, you agree to promptly return to AGRA any unspent and uncommitted grant funds (as

of the date of termination) previously distributed to you by AGRA. AGRA also reserves the right to withhold funds or terminate this Grant Agreement if significant leadership or other changes occur that AGRA believes may threaten the Project outlined in the Proposal.

Grant Announcements; Public Reports and Use of AGRA Name and Logo. Your company has been selected to participate in this Project at AGRA's discretion and you may not make any statement or otherwise imply to the media, the general public or any other donor or investor that your company, its operations, or its participation in this Project is supported by any organization other than AGRA, unless your company has directly received funds from the other organization.

AGRA will include information on this grant in our periodic public reports and may make information about this grant public at any time on its website and as part of press releases, public reports, speeches, newsletters, and other public documents. If you wish to issue a press release or report announcing this grant, or otherwise use AGRA's name or logo, please contact the Communications Director at least two weeks before the desired announcement or publication date. You agree to obtain advance approval from AGRA of the press release and the date of release, or of any other use of AGRA's name or logo. AGRA requests an opportunity to review and comment on subsequent press releases or reports that are directly related to the grant.

Indemnification. You agree to defend and indemnify AGRA against any liabilities, damages or expenses (including reasonable attorney's fees) that AGRA incurs based on a third party claim arising from a breach of «Org_Legal_Name»'s warranties, covenants, duties or obligations under this Agreement that may result from any action or omission of «Org_Legal_Name», its contractors and subcontractors, or any of its or their officers, agents or employees.

Force Majeure. Neither party will be responsible to the other for failure to perform any of the obligations imposed by this Agreement, provided such failure is caused by fire, flood, explosion, lightning, windstorm, earthquake, subsidence of soil, failure or destruction (in whole or in part) of machinery or equipment or failure of supply of materials, discontinuity in the supply of power, governmental interference, civil commotion, riot, terrorism, war, strikes, labor disturbance, transportation difficulties, labor shortage or a similar cause beyond the party's reasonable control. Notwithstanding the foregoing, if an act of force majeure causes a party to be unable to perform for more than 60 consecutive days, the other party may terminate this Agreement upon 10 days' written notice.

Governing Law. This Agreement will be governed by the laws of the State of Washington, United States of America.

Authority. You represent and warrant that you have the full legal right and authority to enter into this Agreement on behalf of «Org_Legal_Name».

Whistleblower Policy: As a part of a comprehensive anti-fraud and corruption policy initiative, AGRA has developed a Whistleblower policy. This policy is intended for all AGRA staff as well as external stakeholders including: vendors, consultants, contractors and grantees. The intent of the policy is to provide a mechanism to ensure transparency and integrity in all AGRA operations through a well-defined policy that protects individuals who report known or suspected acts of fraud, misconduct, corruption or illegal activity. For further details on the Policy and mechanisms of reporting an irregularity, please use the following link: <http://www.agra.org/resources/agra-whistleblower-policy>.

Entire Agreement. This agreement constitutes the entire understanding between us with respect to its subject matter and supersedes all prior agreements, discussions or representations between us. Any modification of this agreement must be in writing, signed by AGRA.

Expiry Clause: AGRA's offer will expire 90 days after the date of issue of this award letter. If AGRA does not receive a signed copy of this award letter within this timeframe, the offer will be deemed to have lapsed, unless otherwise extended by AGRA in writing.

Attached is a final copy of the proposal for your reference and records.

On behalf of AGRA, may I extend every good wish for the success of your work.

Sincerely,

«Request_President»
President

cc:

The undersigned company agrees to the terms and conditions set forth in this letter.

«Org_Legal_Name»

Signed: _____

Name: _____

Title: _____

Date: _____

Standard Provisions

1. UNDERTAKINGS BY THE GRANTEE

The grantee also undertakes:

- (i) To provide the necessary professional and administrative support, personnel services and any other resources required for a successful implementation of the activities; and
- (ii) To ensure that administration capacity and internal control systems of the activities resources are adequate;
- (iii) To ensure that the Project is carried out:
 - a. With due diligence and efficiency;
 - b. In conformity with appropriate administrative, technical, financial, economic, environmental and social standards and practices; and
 - c. In accordance with the provisions of the Grant Agreement;

2. EFFECTIVENESS OF THE GRANT AGREEMENT

Unless otherwise specified in the Grant Agreement, the Grant Agreement shall become effective on the date as of which it has been executed by all parties to the Grant Agreement.

3. DESIGNATED ACCOUNTS

The Grantee may open and maintain one or more designated accounts into which AGRA may, at the request of the Grantee, deposit amounts.

All Designated Accounts shall be opened in a financial institution acceptable to AGRA, and on terms and conditions acceptable to AGRA.

This Agreement shall not become effective until evidence satisfactory to AGRA has been furnished to AGRA that the Grantee has opened a Designated Account.

4. DISBURSEMENT

Disbursements shall only be made against a disbursement request in original from the grantee. The disbursement request shall be signed by the person authorized to sign for the Grantee and sent to AGRA.

5. ELIGIBLE EXPENDITURES

The Grantee shall ensure that the proceeds of the Grant are used exclusively to finance expenditures which, except as otherwise provided in the Grant Agreement, the payment is for the reasonable cost of goods, works or services required for the Project, to be financed out of the proceeds of the Grant and procured, all in accordance with the provisions of the Grant Agreement.

6. COST SHARE

The cost share expenditure is auditable and AGRA will assess grantees' cost share expenditure alongside AGRA funded reported expenditure. AGRA has the prerogative to reduce subsequent disbursements to match the implementing partner's cost share deficit. Lack of adherence to cost share expenditure allocation may lead to suspension and eventual cancellation of the grant.

7. DISBURSEMENT OF FUNDS TO THE GRANTEE

When the Grantee wishes AGRA to disburse the grant funds, the Grantee shall deliver to AGRA a written request for the purpose in such form and substance as AGRA shall reasonably request. AGRA shall pay the amounts requested by the Grantee only to, or on the order of, the Grantee.

The Grantee shall furnish to AGRA evidence satisfactory to AGRA of the authority of the person or persons authorized to sign each application and the authenticated specimen signature of each such person; and such documents and other evidence in support of each application as AGRA shall specify, whether before or after AGRA has permitted any disbursement requested in the application.

8. REALLOCATION OF FUNDS

If, in AGRA's opinion, an amount of the Grant allocated to a category of Eligible Expenditures under the Grant Agreement will be insufficient to finance the expenditures under such category, AGRA may, by notice to the Grantee:

- i. Reallocate to such category any other amount of the Grant which in AGRA's opinion is not needed for other Eligible Expenditures, to the extent required to meet the estimated shortfall; and
- ii. If such reallocation will not fully meet the estimated shortfall, reduce the percentage of Eligible Expenditures to be financed under such category, in order that further withdrawals for such expenditures may continue until all such expenditures have been made.

9. FINANCIAL MANAGEMENT AND AUDITS

The Grantee shall ensure that a financial management system is maintained for purposes of maintaining adequate records for the Project.

The Grantee is responsible for ensuring that AGRA-funded activities are audited annually. The audit shall be carried out by an external, independent and qualified auditor.

The audit shall be carried out in accordance with international financial reporting standards.

Each such audit of the financial statements shall cover the period of one fiscal year of the Grantee.

The cost for the audit shall be paid by the Grantee and shall be a part of the budget for the activities. AGRA may contribute towards the institutional audit fees either directly or through the indirect costs budget line. The Auditor's report shall express an opinion whether the submitted annual financial report is in accordance with Grantee's accounting records and international financial reporting standards.

The auditor shall submit a Management Letter/Audit Memorandum, which shall contain the audit findings made during the audit process and shall also state which measures have been taken as a result of previous audit and whether measures taken have been adequate to deal with reported shortcomings.

The Grantee shall present the auditor's report to AGRA within three months after the audit. The Grantee shall co-operate with and assist AGRA in the performance of any additional audits, follow-ups and financial studies that AGRA may request.

10. ANTI-CORRUPTION

AGRA and the Grantee agree on cooperating to counteract corruption during the implementation of the activities.

The Grantee undertakes to investigate and, if necessary, take action, including legal measures, against any person or persons whom there is good reason to suspect of corruption or other improper gain in relation to the Project.

The Grantee shall immediately inform AGRA of any illegal or corrupt practice or any other misuse of the contribution in the activities that the Grantee is aware of or that has been brought to its attention.

11. ENVIRONMENTAL AND SOCIAL MANAGEMENT AND AUDITS

The Grantee shall adhere to the following with regard to Environmental and Social aspects

- AGRA's Environmental and Social Policy (E&S requirements as contained within the AGRA Environment and Social Management System (ESMS). Additional actions including regular monitoring and reporting as identified by AGRA and listed within the Environmental and Social Action Plan (ESAP) (Attached in Annex XX).
- Reporting of serious E&S incidents (including Health & Safety incidents, community incidents such as protests, and significant environmental spills within 72 hours.

12. ARBITRATION

Any dispute, controversy or claim arising out of or in connection with this Agreement that cannot be settled amicably shall be definitively resolved by arbitration.

The place of arbitration shall be Nairobi and the language used in the proceedings shall be English.

Arbitration shall be in lieu of any other procedure for the settlement of controversies between the parties to the Grant Agreement or of any claim by any such party against the other such party arising under the Grant Agreement.

13. PROCUREMENT OF GOODS AND SERVICES BY THE GRANTEE

All goods, works and services required for the Project and to be financed out of the proceeds of the Grant shall be procured in an open and transparent manner.

Where appropriate the Grantee shall prepare and submit a procurement plan to AGRA from time to time.

14. REVIEW BY AGRA OF THE GRANTEE'S PROCUREMENT DECISIONS

AGRA will have access to Grantee's procurement guidelines and assess viability, accuracy, adequacy and adherence to policy and procedures in the light of best practice. AGRA has a right to terminate the contract if it is established that any contract financed out of the proceeds of the Grant is inconsistent with the procedures set forth or referred to in this Grant Agreement.

15. INSURANCE

The Grantee shall ensure that adequate provision is made for the insurance of any goods required for the project and to be financed out of the proceeds of the Grant, against hazards incident to the acquisition, transportation and delivery of the goods to the place of their use.

16. COOPERATION AND CONSULTATION.

The Grantee and AGRA shall cooperate fully to ensure that the purposes of the Grant and the objectives of the Project will be accomplished, and to this end, throughout the implementation of the Project and for a period of five years thereafter:

- a) From time to time, at the request of either of them, exchange views on the Project, the Grant, and the performance of their respective obligations under the Grant Agreement, and furnish to the other party all such information related to such matters as it shall reasonably request; and
- b) Promptly inform the other party of any condition which interferes with, or threatens to interfere with, such matters.

17. SUSPENSION BY AGRA

AGRA may, by notice to the Grantee, suspend the right of the Grantee to receive grant funds if any of the following events occurs and is continuing. Such suspension shall continue until AGRA has notified the Grantee that such right to receive grant funds has been restored.

- a. Interference: If the grantee has failed to afford a reasonable opportunity for representatives of AGRA to visit any part of the Project supported by the Grant.
- b. Performance Failure: The Grantee has failed to perform any obligation under the Grant Agreement.
- c. Fraud and Corruption: At any time, AGRA determines that any representative of the Grantee has engaged in corrupt, fraudulent, coercive or collusive practices in connection with the use of the proceeds of the Grant, without the Grantee having taken timely and appropriate action satisfactory to AGRA to address such practices when they occur.

- d. Extraordinary Situation: As a result of events which have occurred after the date of the Grant Agreement, an extraordinary situation has arisen which makes it improbable that the Project can be carried out or that the Grantee will be able to perform its obligations under the Grant Agreement.
- e. Misrepresentation: A representation made by the Grantee in or pursuant to the Grant Agreement, or any representation or statement furnished by the Grantee and intended to be relied upon by AGRA in making the Grant, was incorrect in any material respect.
- f. Assignment of Obligations and disposition of assets: The Grantee has, without the consent of AGRA:
 - (i) assigned or transferred, in whole or in part, any of its obligations arising under or entered into pursuant to the Grant Agreement; or
 - (ii) sold, leased, transferred, assigned, or otherwise disposed of any property or assets financed wholly or in part out of the proceeds of the Grant; provided, however, that the provisions of this paragraph shall not apply with respect to transactions in the ordinary course of business which, in the opinion of AGRA do not materially and adversely affect the ability of the Grantee to perform any of its obligations arising under or entered into pursuant to the Grant Agreement or to achieve the objectives of the Project; and
- g. Any action has been taken for the dissolution, disestablishment or suspension of operations of the Grantee (or of any other entity responsible for implementing any part of the Project).
- h. The Grantee (or any other entity responsible for implementing any part of the Project) has ceased to exist in the same legal form as that prevailing as of the date of the Grant Agreement.
- i. Failure to communicate to AGRA within reasonable time substantive change of critical personnel in the project or substantive change in time allocation by such personnel or failure to report serious E&S incidents (including Health & Safety incidents, community incidents such as protests, and significant environmental spills).
- j. In the opinion of AGRA, the legal character, ownership or control of the Grantee (or of any other entity responsible for implementing any part of the Project) has changed from that prevailing as of the date of the Grant Agreement so as to materially and adversely affect the ability of the Grantee (or such other entity) to perform any of its obligations arising under or entered into pursuant to the Grant Agreement, or to achieve the objectives of the Project.
- k. Grantee has failed to implement in full or in part recommendations made by AGRA's external or internal auditors
- l. Under performing grantee will automatically lose the right to be considered for re-granting or multiple granting across AGRA's programs

18. GRANT REFUND

If AGRA determines that an amount of the Grant has been used in a manner inconsistent with the provisions of the Grant Agreement, the Grantee shall, upon notice by AGRA to the Grantee, promptly refund such amount to AGRA. Such inconsistent use shall include, without limitation:

- i. Use of such amount to make a payment for an expenditure that is not an Eligible Expenditure; or
- ii. engaging in corrupt, fraudulent, collusive or coercive practices in connection with the use of such amount, or use of such amount to finance a contract during the procurement or execution of which such practices were engaged in by representatives of the Grantee, in either case without the Grantee having taken timely and appropriate action satisfactory to AGRA to address such practices when they occur.

19. FAILURE TO EXERCISE RIGHTS.

No delay in exercising, or omission to exercise, any right, power or remedy accruing to any party under the Grant Agreement upon any default shall impair any such right, power or remedy or be construed to be a waiver thereof or an acquiescence in such default.

No action of such party in respect of any default, or any acquiescence by it in any default, shall affect or impair any right, power or remedy of such party in respect of any other or subsequent default.

20. NOTICES AND REQUESTS

Any notice (or request) pursuant to the Grant Agreement shall be in writing. Such notice (or request) shall be deemed to have been duly given (or made) when it has been delivered by hand or by mail, (or, if permitted under the Grant Agreement, by other electronic means) to the party to which such notice (or request) is directed ("Addressee"), at the address specified in the Grant Agreement for the purpose (or at such other address as the Addressee shall have designated by notice to the party giving such notice or making such request) ("Address").

21. CONDITIONS FOR THE USE OF THE GRANT

When reports, studies and other information are produced, AGRA's cooperation as financier shall be indicated. AGRA's name may not be used in such a way that AGRA can be regarded as having contributed to or vouching for the content.

22. BRANDING AND MARKING

Grantee agrees to comply with AGRA's branding and marking strategy which is also annexed to the grant award letter

23. ACTION ON BEHALF OF THE GRANTEE

The representative designated by the Grantee in the Grant Agreement, for the purpose of this Section (or any person authorized in writing by such representative for the purpose) ("Grantee's Representative"), may take any action required or permitted to be taken pursuant to the Grant Agreement, and execute any documents required or permitted to be executed pursuant to the Grant Agreement on behalf of the Grantee.

24. EVIDENCE OF AUTHORITY

The Grantee shall furnish to AGRA:

- i. Sufficient evidence of the authority of the Grantee's Representative; and
- ii. The authenticated specimen signature of such representative.

25. INTELLECTUAL PROPERTY RIGHTS

All copyrights in all research and documents, reports, training and other material of any nature whatsoever prepared during the cause of the Project ('Copyright material') shall belong absolutely to AGRA.

AGRA reserves the right to use and publish any such Copyright material arising from the Project at its discretion.

26. PROTECTION OF AGRA AGAINST INTELLECTUAL PROPERTY CLAIMS

The Grantee hereby expressly protects, indemnifies and holds harmless AGRA, its affiliates and each of their officers, directors, employees, contractors and agents (collectively the "Indemnified Parties") from and against any liabilities, claims, suits, damages and expenses (including but not limited to reasonable attorneys' fees) arising from any third party claims alleging that any Deliverables or other materials provided by the Grantee hereunder, or the use of such Deliverables or materials in connection with the Project or by the Indemnified Parties during or after the termination or expiration of this Grant, infringe or misappropriate any trade name, trademark, trade secret, patent, copyright or any other intellectual propriety right of a third party, provided that such infringement does not result from negligent use.

27. DISCLOSURE OF INFORMATION BY GRANTEE

The Grantee declares and warrants that the information provided at every stage of the application process is true and accurate to the best of its ability. If any information is subsequently discovered to be false or misleading, then the offer of the Grant and the Grant will be terminated and any part of Grant already paid will become immediately repayable.

28. TERMINATION OF OBLIGATIONS

The Grant Agreement and all obligations of the parties under it shall forthwith terminate when all such obligations have been fully performed.

ESMS – Annex 11

Grant Commitment Checklist

AGRA

Grant Commitment Checklist

In-line with AGRA's Environmental & Social Management System (ESMS) requirements, the checklist consists of documents and management plans obliged to be provided by the grantee/consortium receiving a grant from AGRA. This document is intended to be used during the project implementation stage, after the grant has been sanctioned.

| Project Basic Information | |
|---|---|
| Project Title: | |
| Project Location (Country Province): | |
| Sector (check all that apply): | <input checked="" type="checkbox"/> Crop cultivation <input type="checkbox"/> Soil health and fertility <input type="checkbox"/> Seed Production <input type="checkbox"/> Crop protection (pesticide production & use) <input type="checkbox"/> Agricultural machinery <input type="checkbox"/> Agricultural research & development <input type="checkbox"/> Markets/Retail operations and distribution <input type="checkbox"/> Policy and Partnerships <input type="checkbox"/> Gender Equality <input type="checkbox"/> Extension Services <input type="checkbox"/> Agronomy |
| Project Category: | <input type="checkbox"/> Category A <input type="checkbox"/> Category B <input type="checkbox"/> Category C |
| AGRA Project Reference Number: | |

| Category A & B Projects | | Category C Projects | |
|---|--------------------------|---|--------------------------|
| Stakeholder Engagement Plan | <input type="checkbox"/> | Stakeholder Engagement Plan | <input type="checkbox"/> |
| Written Plan on Grievance Redress Mechanism | <input type="checkbox"/> | Written Plan on Grievance Redress Mechanism | <input type="checkbox"/> |
| E&S Management Plan: | <input type="checkbox"/> | IPTT | <input type="checkbox"/> |
| Local Environmental Impact Assessment (EIA) | <input type="checkbox"/> | | |
| Environmental and Social Impact Assessment (ESIA) | <input type="checkbox"/> | | |
| Resettlement Framework | <input type="checkbox"/> | | |
| Livelihood Restoration Framework | <input type="checkbox"/> | | |
| Resettlement Action Plan | <input type="checkbox"/> | | |

| Category A & B Projects | | Category C Projects | |
|--|--------------------------|---------------------|--|
| Livelihoods Restoration Plan | <input type="checkbox"/> | | |
| Indigenous Peoples Plan | <input type="checkbox"/> | | |
| IPTT | <input type="checkbox"/> | | |
| Additional E&S Management/Monitoring Plans, please specify: | <input type="checkbox"/> | | |

ESMS – Annex 12
E&S Monitoring Checklist
AGRA
E&S Monitoring Checklist

Note to AGRA: Please add to this list any specific requirements from the Project ESAP in the relevant sections.

*To be filled out by the responsible person of the grantee/consortium.
Please return the filled out questionnaire to the AGRA E&S Officer.*

Please use as much space as you need, the field height should not be a limit.

Attach any relevant documents to this questionnaire and indicate a cross reference. Clearly indicate "N/A" if the question does not apply to the Project.

| Details on the Grantee/Consortium | | | |
|---|-------------|-------------------------|----------------------|
| Grantee/Consortium: | | | |
| Completed by (Name): | | | |
| Country/Province: | | | |
| Company authorized representative I certify that the data contained in this report completely and accurately represents the current status of knowledge of the investment. Signature: | | | |
| Title: | | City/Date: | |
| Contact details of responsible persons completing this questionnaire, if assigned: | | | |
| Position | Name | Telephone Number | Email Address |
| | | | |

| Details on the Project | |
|---|--|
| Project Name: | |
| Project Category: | <i>A, B or C (please consult the AGRA E&S Officer if unsure of project category)</i> |
| Sector: <input type="checkbox"/> Crop cultivation <input type="checkbox"/> Livestock production <input type="checkbox"/> Crop protection <input type="checkbox"/> Agricultural Machinery <input type="checkbox"/> Seed <input type="checkbox"/> Retail operations & distribution <input type="checkbox"/> Agricultural research & development | |
| Current reporting period: | Previous reporting period: |
| When was the last site visit? Site(s) visited: Date: | By whom: |
| When is the next site visit planned? Site: Date: | |

| | |
|--|---------|
| General | |
| Permits | |
| If any permits are required for the project, list here: | |
| Permit: <input type="checkbox"/> Applied for <input type="checkbox"/> | Granted |
| <i>Please attach copies the permit if already granted.</i> | |
| <i>List others as applicable</i> | |

| PS 1 - Assessment and Management of Environmental and Social Risks and Impacts | | |
|--|---|--|
| E&S Action and Monitoring / Management System | | |
| Is Environmental and Social Management System (ESMS) documented for the project? | Yes <input type="checkbox"/> No <input type="checkbox"/> | |
| If an ESMS exists, have there been any changes in the Management System or the Management Plans? | Yes <input type="checkbox"/> No <input type="checkbox"/> | If yes, please describe: |
| Have there been any updates to the Environmental and Social Policies adopted by any of the organizations involved in the project? | Yes <input type="checkbox"/> No <input type="checkbox"/> | If yes, please provide a copy of the updated policies, including date when it was issued and reasons for the same. |
| Please summarize any staff training concerning this project (including number of staff trained) during the reporting period. Please provide a copy of the training plans and training records. | | |
| Have there been any changes in the Environmental and Social Action Plan (ESAP)? | Yes <input type="checkbox"/> No <input type="checkbox"/> | If yes, please provide ESAP change log and copy of new ESAP. |

| | | |
|---|---|---|
| <p>Have there been any accidents or environmental or social incidents (during this reporting period) that have caused damage, brought about injuries or fatalities, affected project labour or local communities, affected cultural property, or created liabilities for the project?</p> <p>Please provide incident logs.</p> | Yes <input type="checkbox"/> No <input type="checkbox"/> | If yes, please describe, including details of actions to repair and prevent reoccurrence: |
| <p>Is the project materially compliant with all applicable environmental and social laws and regulations?</p> | Yes <input type="checkbox"/> No <input type="checkbox"/> | If no, please provide details of any material non-compliances: |
| <p>How many inspections did the project receive from the local environmental authorities during the reporting period?</p> | Number: | Please provide details of these visits: |
| <p>How many inspections did the project receive from the local health and safety authorities during the reporting period?</p> | Number: | Please provide details of these visits: |
| <p>How many inspections did the project receive from the local labour authorities during the reporting period?</p> | Number: | Please provide details of these visits: |
| <p>Have these visits resulted in any penalties, fines and/or corrective action plans?</p> | Yes <input type="checkbox"/> No <input type="checkbox"/> | If yes, please describe: |
| <p>Have any activities of the project been reduced, temporarily suspended or closed down due to</p> | Yes <input type="checkbox"/> | If yes, please describe: |

| | | |
|--|---|---|
| environmental, health and safety or labour reasons? | No <input type="checkbox"/> | |
| Please describe any EHS or labour initiatives undertaken during the reporting period: | | |
| Stakeholder Engagement | | |
| Please provide the name and contact details for your external relations or community engagement manager: | | |
| Have there been any changes to the Stakeholder Engagement Plan (SEP)? | Yes <input type="checkbox"/> No <input type="checkbox"/> | If yes, please provide SEP change log and copy of new SEP. Please also provide updated stakeholder list, if applicable. |
| How many complaints or grievances did the project receive from members of the public or civil society organisations during the reporting period? Please split by stakeholder group. Summarise any issues raised in the complaints or grievances and explain how they were resolved. Please also provide copies of the grievance log and received grievances. | | |
| Please summarise meetings held with members of the public or public organisations during the reporting period. Please provide meeting minutes | | |
| Please summarise any information provided to members of the public and other stakeholders during the report period relating to environmental, social or safety issues. Please provide copies of disclosure notices and other correspondence with stakeholders. | | |
| Please summarise any on-going social or community development initiatives undertaken during the reporting period. Please provide details on spending during the reporting period and a copy of the updated Community Development Plan or similar documentation. | | |

| PS 2 - Labor and Working Conditions | | |
|---|---|--|
| Human Resources Management | | |
| Number of permanent employees for this project at the current reporting period: | Number of temporary employees for this project at the current reporting period: | If applicable, number of contractor staff working for the project at the current reporting period: |
| Have there been any changes to policies or terms and conditions concerning non-discrimination and equal opportunity within the organisations involved in the project during the reporting period? | Yes <input type="checkbox"/> No <input type="checkbox"/> | If yes, please give details: |
| Have there been any changes to policies or terms and conditions concerning under age (18) employment within the organisations involved in the project during the reporting period? | Yes <input type="checkbox"/> No <input type="checkbox"/> | If yes, please give details: |
| Have there been any changes to policies or terms and conditions concerning wages (wage level, normal, overtime etc.) or working hours within the organisations involved in the project during the reporting period? | Yes <input type="checkbox"/> No <input type="checkbox"/> | If yes, please give details: |
| Have there been any changes to policies or terms and conditions concerning union recognition or negotiation within the organisations involved in the project during the reporting period? | Yes <input type="checkbox"/> No <input type="checkbox"/> | If yes, please give details: |
| Have there been any changes to the health and safety policies within the organisations involved in the project during the reporting period? | Yes <input type="checkbox"/> No <input type="checkbox"/> | If yes, please give details: |
| <u>In case the project involves construction of facilities:</u> | | |

| | | | |
|--|---|--|---------|
| How many complaints or grievances did the project receive from workers during the reporting period? Summarise any issues raised in the complaints or grievances and explain how they were resolved. Please also provide copies of the grievance log and received grievances. | | | |
| Were there any collective redundancies during the reporting period? | Yes <input type="checkbox"/> No <input type="checkbox"/> | If yes, please describe including number of workers involved, reasons, consultation undertaken and how they were selected: | |
| Are there any planned redundancies or additions to the workforce in the next year? | Yes <input type="checkbox"/> No <input type="checkbox"/> | If yes, please provide redundancy plan, including number of workers involved and consultation process: | |
| Have there been any disputes related to labour and working conditions in the reporting period? | Yes <input type="checkbox"/> No <input type="checkbox"/> | If yes, please summarize below and provide copies of lodged disputes. | |
| Have there been any other significant labour issues or grievances raised during the reporting period (including court cases or complaints from trade unions or non-governmental organizations)? | Yes <input type="checkbox"/> No <input type="checkbox"/> | If yes, please describe: | |
| Health and Safety Data | | | |
| In addition to the data filled in below, please provide H&S incidence log, including follow up investigations and corrective action implementation for the current reporting period. | | | |
| Fatalities ¹⁸ : | Number: | Total Lost Time Accidents (including vehicular) ¹⁹ : | Number: |

¹⁸ If you have not already done so, please provide a separate report detailing the circumstances of each fatality.

¹⁹ Incapacity to work for at least one full workday beyond the day on which the accident or illness occurred.

| | | | |
|---|---------|---|---------|
| Total number of lost workdays ²⁰ resulting from incidents: | Number: | Total man-hours worked this reporting period: | Number: |
| Incidence ²¹ during this reporting period: | Number: | Incidence during the previous reporting period: | Number: |
| Please summarise any health and safety training that has been provided for project personnel during the report period. Please provide the training records. | | | |
| Please summarise any emergency prevention and response training that has been provided for company personnel during the report period. Please provide the training records. | | | |

| PS 3 - Resource Efficiency and Pollution Prevention | | |
|--|---|---|
| Have there been any spill cases or pollution of water, soil or air (eg through pesticides or fertilizer application)? | Yes <input type="checkbox"/> No <input type="checkbox"/> | If yes, please give details including emergency response. Please provide incidence log. |
| Has there been any event of fire, sediment loads, storm water, a flood or an earthquake? | Yes <input type="checkbox"/> No <input type="checkbox"/> | If yes, please give details and describe emergency response, if applicable: |
| Has there been any improvement in process efficiency, waste minimization or other schemes (energy savings, ISO certification)? | Yes <input type="checkbox"/> No <input type="checkbox"/> | If yes, please elaborate: |
| If applicable, has a Greenhouse Gas Assessment been conducted during the reporting period? | Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> | If yes, please summarise the results: |

²⁰ Lost workdays are the number of workdays (consecutive or not) beyond the date of injury or onset of illness that the employee was away from work or limited to restricted work activity because of an occupational injury or illness.

²¹ Incidence = total lost workdays / total hours worked

| PS 3 - Resource Efficiency and Pollution Prevention | | |
|--|---|--|
| Does the project have committed to the monitoring of environmental indicators (eg for soil health, erosion control)? | Yes <input type="checkbox"/> No <input type="checkbox"/> | If yes, please attach relevant monitoring sheets |

| PS 4 - Community Health, Safety, and Security | | |
|---|---|--|
| Does the project have an influence on traffic at night (e.g. construction trucks)? | Yes <input type="checkbox"/> No <input type="checkbox"/> | If yes, please give details: |
| Have there been any traffic incidents involving project vehicles? | Yes <input type="checkbox"/> No <input type="checkbox"/> | If yes, please summarize and provide traffic incident log, |
| Have there been any reports on negative impacts of pesticides or fertiliser use on community health and safety? | Yes <input type="checkbox"/> No <input type="checkbox"/> | If yes, please summarise, |
| Please summarize any training or awareness raising activities that have been undertaken by the project employees during the reporting period, both internally and externally, including training of Village-Based Associates. | | |

| PS 5 - Land Acquisition and Involuntary Resettlement | | |
|--|---|--|
| If Applicable , please summarize any progress made during the reporting period in the implementation of the Resettlement Action Plan (RAP) or Livelihood Restoration Framework (LRF). Please provide copy of updated RAF/LRF. | | |
| Have all the affected persons been fully compensated for their physical displacement and, if applicable, any economic losses resulting from the project? | Yes <input type="checkbox"/> No <input type="checkbox"/> | If no, specify how many compensation payments are still outstanding (in terms of number and percentage of recipients and payment amounts) and state when these payment will be made: |
| Please provide a status update of the implementation of livelihood restoration activities as stipulated within the RAP. | | |

| PS 5 - Land Acquisition and Involuntary Resettlement | | |
|--|---|--|
| Has there been any new land acquired during the reporting period for this project? | Yes <input type="checkbox"/> No <input type="checkbox"/> | If yes, explain the extent of the land acquisition and any due diligence conducted. Please provide copy of RAF/LRF, including compensation summary and details on compensation rates. |

| PS 6 - Sustainable Management of Living Natural Resources | Biodiversity | Conservation and |
|--|---|--|
| Has there been any vegetation clearing during this reporting period? | Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> | If yes, please give details: |
| If there has been vegetation clearing during this reporting period, has any clearing occurred during the breeding season of the affected fauna type? | Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> | If yes, please give details: |
| Has site clearing been minimised in accordance with the Construction Site Management Plan? | Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> | If no, please explain and give reasons: |
| Is soil erosion or landslides visible within the project area? | Yes <input type="checkbox"/> No <input type="checkbox"/> | If yes, please describe measures for mitigation: |

PS 7 - Indigenous Peoples

| | | |
|--|---|--|
| Have there been any changes to the Indigenous Peoples Plan (IPP) or Framework (IPF)? | Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> | If yes, please summarize and provide a copy of the updated IPP or IPF. |
|--|---|--|

Please highlight which stakeholder engagement activities detailed above related specifically to indigenous peoples.

PS 8 – Cultural Heritage

| | | |
|--|---|--|
| Has there been a chance find during the report period? | Yes <input type="checkbox"/> No <input type="checkbox"/> | If yes, please give details. Please provide reports/records and follow on actions. |
|--|---|--|

Please summarise any training on chance find that has been provided for personnel during the report period:

ESMS – Annex 13

Suggested Scope for an Environmental and Social Monitoring Report

AGRA

The purpose of the monitoring report is to review the project against the Environmental and Social Action Plan (ESAP) in order to 1) assess the status of each item in the ESAP, closing out items that have been addressed 2) identify any new items 3) assign corrective actions or enhancement measures to outstanding and new items with timeframes for completion.

A. Executive Summary

High-level summary of;

- (i) The project
- (ii) Approach to monitoring
- (iii) Key findings in a tabular format under each IFC Performance Standard heading

B. Introduction

- (i) Purpose and scope of the monitoring report
- (ii) Reporting period covered by this monitoring report (month/year)
- (iii) Approach to the review, including a list of activities/meetings held
- (iv) Project summary, including
 - o Location
 - o Scale/size/capacity
 - o Specification of project stage (design, construction, operation or closure stage)
 - o Key developments and any major changes in project location and design, if any

C. Report Findings

Under each heading, include a status summary of ESAP items and new findings under each PS. These should then be consolidated into one table for ease of use.

i. Performance Standard 1: Assessment and Management of Environmental and Social Risks & Impacts

Key areas for review:

- Does the project/grantee have all necessary permits/licenses in place?
- Has an environmental and social impact assessment process been carried out for the project? To what extent is it compliant with national and IFC requirements ?
- Has an adequate Environmental and Social Management System (ESMS) been established or proposed for the project?
- Does the project/grantee have an organisational structure to implement the ESMS? Is the organisational structure adequate?
- Does the ESMS have an emergency preparedness and response system? If yes, is it adequate?
- Will procedures are in place to monitor the effectiveness of the management program?
- Does the project/grantee have a Stakeholder Engagement/Communications Plan ? Have all stakeholders been identified?
- What consultations has been carried out to date and with who ? Are meeting records available that include meeting minutes, registers and photos ?
- Has (or will) the project/grantee put in place an adequate external communication and grievance mechanism? How has it been advertised ? Is it accessible to all stakeholder groups ? Is there a means to report a grievance anonymously without retribution ?

ii. Performance Standard 2: Labor and Working Conditions

Key areas for review:

- Number of staff by gender and category (e.g. outgrowers, contractors, permanent staff, migrant workers etc.).
- Labour/HR policies in place and alignment with national requirements and international laws/conventions.
- Does the project/grantee promote and provide safe and healthy working conditions?
- Are adequate control measures in place to protect workers' health and safety (e.g. do they have the right PPE/equipment to safely do their job? Are there incident records in place? Note the number / type of incidents that have taken place over the last year and lessons learned/how they have been addressed?
- What worker grievance mechanisms are in place? Are they accessible, transparent and free of retribution? Can workers report grievances anonymously?
- Does the Project promote the fair treatment of workers (including gender issues, equal opportunity and non-discrimination) to both migrant and non-migrant workers?
- Are there any proposed retrenchment plans for the project? What does this include?
- What policies/procedures are in place to manage unacceptable forms of labor at the Project/site (i.e. harmful child labor and forced labor, employment of trafficked persons)?
- What policies/procedures are in place regarding management of supply chains (i.e. poor EHSS performance within the project/grantee's supply chain; worker rights violations, child labor, poor health and safety practices etc.)?

iii. Performance Standard 3: Resource Efficiency and Pollution Prevention

Key areas for review:

- Is the project/grantee in compliance with all domestic environmental laws and regulations?
- Are there adequate measures in place to manage pollution (air and noise)/contamination? What are these? Are they consistent with good international industry practices?
- What measures are in place to manage efficiency of water and energy resources?
- Where are the main sources of water from? Does water usage impact on neighboring water sources or communities? How is this managed?
- How are pesticides / chemicals stored, used and managed to mitigate impacts to health and the environment (e.g. water sources and air quality)? Are they approved by the World Health Organisation (WHO) and national law.
- What is the project/grantee doing to minimise carbon emissions / greenhouse gases (GHG)? Are these adequate?
- What measures are in place to manage / dispose of hazardous and non-hazardous waste? Are associated hazards being managed effectively?
- Has the project/grantee prepared an Emergency Response Plan? Is this adequate?

iv. Performance Standard 4: Community Health, Safety, and Security

Key areas for review:

- What measures are in place to manage impacts to the health, safety and security of the community (e.g. hazard signs, community sensitization meetings, alternative access routes, timings for spraying / pesticide use etc.)? Has the Project taken reasonable measures to avoid/minimize community exposure to hazards associated with Project activities?
- If the project has high risk structural elements in place located close to populated areas, has the Project considered these populated areas in preparing these risk assessment and emergency response plans?
- If project activities involve moving equipment, supplies etc. by public roads, has the Project taken measures to prevent the occurrence of incidents and accidents on public roads?
- If the project will involve the use of and/or delivery of hazardous material or removal of hazardous material which could have an exposure to local communities, how is this being managed?
- Have the potential impacts and risks that might be exacerbated by climate change been identified?
- Is the project near any existing natural hazard such as landslides or flood area, which may be exacerbated as a result of the Project activities or any proposed future activities?
- Will the project/grantee implement measures to avoid or minimize the potential for community exposure of water-borne, water-base, water- related, and vector borne diseases that could result from Project activities?

- If the project/grantee will employ temporary /seasonal workers, have all potential risks and impacts been adequately assessed? (e.g. related to influx of people into the area resulting in the possibility of communicable diseases, etc.)?
- If the consequence of an emergency event extends beyond the Project boundary, has community safety been addressed in the emergency plan?
- Have gender based issues such as harassment, gender based violence etc. been considered in the management plans and in security measures?

v. Performance Standard 5: Land Acquisition and Involuntary Resettlement

Key areas for review:

- If the project/grantee has or will acquire land, which will cause physical (eg. loss of homes/shelter) or economic displacement (loss of livelihoods, including land based livelihoods) has a Resettlement / Livelihood Restoration Framework or Resettlement Action / Livelihood Restoration Plan been developed ?
- If the project/grantee has or will acquire land, have feasible alternative designs to avoid or minimize physical and/or economic displacement been considered?
- If the project/grantee has or will acquire land,, has sufficient baseline data been collected and assessed with respect to affected person's current socio-economic characteristics (i.e. through a census or baseline of the affected persons)? Have vulnerable groups been identified and considered in the compensation process ?
- If the project/grantee has or will acquire land, will the project/grantee offer displaced communities and persons adequate compensation, including in-kind compensation such as replacement land, livelihood restoration programs, improved housing etc.?
- Has a market valuation study been carried out ?
- What is the legal / land tenure status of the land in the affected area ?
- How will/ has the land been acquired ?
- Have resettlement / livelihood restoration steering committees been established ? what is the composition of these ?
- Has there been an informed and participatory consultation process with affected communities ?
- Is there a stakeholder engagement plan in place to communicate with affected communities ?
- Is there an adequate grievance mechanism in place that is accessible, transparent and free of retribution ?
- Who is responsible for the land acquisition and resettlement process ? Has a resettlement specialist/third part expert been hired ?
- What measures are in place to monitor and evaluate the implementation of a Resettlement Action Plan or Livelihood Restoration Plan and take corrective action as necessary?
- Will transitional support be provided as necessary to all economically displaced persons? Is the support adequate?

vi. Performance Standard 6: Biodiversity Conservation and Sustainable Management of Living Natural Resources

Key areas for review:

- Does the project impact biodiversity/flora/fauna ?
- What measures are in place to offset impacts to biodiversity/flora/fauna?
- Does the project/grantee have a Biodiversity Management Plan in place that considers ecological habitats ? Are impacts being adequately managed?;
- Does the project/grantee implement measures to avoid the potential for accidental or unintended introductions of alien species?
- If the project impacts on priority ecosystems services, are adequate mitigation measures in place?

vii. Performance Standard 7: Indigenous Peoples

Key areas for review:

- Is the project located in / near indigenous areas / settlements / communities or lands?
- Has the project/grantee identified, through an environmental and social risks and impacts assessment process, all communities of Indigenous Peoples within the Project area of influence who may be affected as well as the nature and degree of the expected direct and indirect economic, social, cultural), and environmental impacts on them?
- What has the project/grantee done to address impacts on IPs?
- Has the project/grantee undertaken a process of Free, Prior and Informed Consent (FPIC)? What measures have been undertaken to consult with IPs? Have meetings been documented (e.g. registers/meeting minutes/photos)
- What measures are in place to minimize, restore, and/or compensate IPs in a culturally adequate manner commensurate with the nature and scale of such impacts and the vulnerability of the IPs?
- Has an Indigenous Peoples Plan (IPP) or a broader community development plan with separate components for Indigenous Peoples been developed?

- Will project/grantee activities require the relocation of indigenous peoples and natural resources subject to Traditional Ownership or Under Customary Use? If yes, has the FPIC of IPs been obtained?
- Will the project have significantly impact on critical cultural heritage that is essential to the identity and/or cultural, ceremonial, or spiritual aspects of IPs lives?
- Do opportunities to benefit IPs from the Project aim to address the goals and preferences of the IPs?
- Has/will the government have a defined role in the management of IP issues in relation to the project? If yes, will the project/grantee collaborate with the responsible government agency?
- Has/will the project/grantee play an active role during planning, implementation, and monitoring of activities to the extent permitted by the agency?

viii. Performance Standard 8: Cultural Heritage

- Are there any cultural heritage sites in the project area (e.g. archology, sacred/traditional sites, graves etc.)?
- Has the project/grantee retained competent professionals to assist in the identification and protection of cultural heritage?
- Has a field study been undertaken to identify and map sites? What documentation is available regarding the sites?
- How has the project/grantee addressed impacts to these sites?
- Did the project/grantee consult with host/neighbors communities that use, or have used sites for traditional/cultural purposes?
- Has consultation been undertaken with relevant national or local regulatory agencies that are entrusted with the protection of cultural heritage?
- Does/will the project/grantee's ESMS include a chance finding procedure?
- Does/will the project/grantee allow continued access to cultural sites or provide an alternative access route to affected communities?
- If the project will remove, significantly alter, or damage critical cultural heritage, has the Project used a process of Informed Consultation and Participation (ICP) of the communities ? Has/will the project/grantee retain external experts to assist in the assessment and protection of critical cultural heritage?

D. Summary of Findings and Corrective Action Plan

This section should include a completed table that includes a summary of the ESAP status and new findings, as well as corrective actions and timeframes for addressing these. An introduction/overview of the table should also be included.

| No | Reference Standard | Action description | Completion Indicator | Timeframe for Completion (based on the original ESAP) | Current Status (date of monitoring audit) | Corrective Actions taken to date | Priority Level for Addressing the Action (High/Medium/Low) | Timeframe for Completion | Resources & Responsibilities |
|---|---|---|---|---|---|---|---|---|--|
| Performance Standard 1: Social and Environmental Assessment and Management Systems | | | | | | | | | |
| 1. | <i>Insert item (highlight new findings)</i> | <i>Insert a summary description of the action</i> | <i>Insert the indicator used to demonstrate that the action is complete</i> | <i>Insert the timeframe that the action was originally given)</i> | <i>Provide a status of the action (e.g. new, not started, in progress, complete) with a description</i> | <i>Insert the actions required to address the issue that have been taken to date and need to be taken</i> | <i>Prioritize the action based on the level of risk to the grantee/AGRA</i> | <i>Include a timeframe for completion based on the priority level</i> | <i>Insert the person (s) responsible</i> |
| PS 2: Labor and Working Conditions | | | | | | | | | |
| 2. | | | | | | | | | |
| PS 3: Resource Efficiency and Pollution Prevention | | | | | | | | | |

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|---|--|--|--|--|--|--|--|--|--|
| 3. | | | | | | | | | |
| <i>PS 4: Community Health, Safety, and Security</i> | | | | | | | | | |
| 4. | | | | | | | | | |
| <i>PS 5: Land Acquisition and Involuntary Resettlement</i> | | | | | | | | | |
| 5. | | | | | | | | | |
| <i>PS 6: Biodiversity Conservation and Sustainable Management of Living Natural Resources</i> | | | | | | | | | |
| 6. | | | | | | | | | |
| <i>PS 7: Indigenous Peoples</i> | | | | | | | | | |
| 7. | | | | | | | | | |
| <i>PS 8: Cultural Heritage</i> | | | | | | | | | |

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| 8. | | | | | | | | | |
|----|--|--|--|--|--|--|--|--|--|

E. Conclusion and Next Steps

Include detail on next steps and timing/recommendations for the next review

ESMS – Annex 14
Template for the E&S Performance Report
AGRA

AGRA E&S Performance Report

Please provide responses to the questions below.

Please include additional sheets or attachments as required to provide details on questions that have been answered Yes.

AGRA is required to submit the performance report to its Cooperating Partners as per agreed terms and to keep a record of this for audit purposes. The E&S Performance Report is to be updated annually.

| | | | |
|----------------------------------|--------------|--------------|------------|
| Name of Organization | | | |
| Completed by (name): | | | |
| Position in organization: | | Date: | |
| Reporting period | From: | | To: |

A. PORTFOLIO INFORMATION FOR GRANTS AWARDED

| Report Covering Period: | | | | |
|-------------------------|-------------------------|--------------------|------------|---|
| From: | | | To: | |
| Name of Project | Tenor of grant (months) | Grant value (US\$) | Sub sector | Any outstanding environmental and social issues during reporting period and actions taken to address the issues |
| | | | | |
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| Policies & Processes | Yes/No | |
|--|--------|---|
| Have there been any updates to the ESMS or policy and procedures adopted by your organization during the reporting period? | | If yes, please provide a copy of the updates including dates and reasons for the same. |
| Has senior management signed off on the updated policy/procedure? | | If yes, please provide the date and internal communication indicating the same. |
| Has your organization appointed staff tasked to implement the ESMS? | | IF yes, please provide information on number of staff and qualification (experience and education background) to implement the ESMS. |
| Please give details of any grants rejected due to environmental and/or social concerns. | | |
| Please state any difficulties and/or constraints related to the implementation of the ESMS. | | |
| Please describe how you ensure that your grantees and their projects are operated in compliance with the national laws and regulations and applicable international requirements (described in ESMS) | | |
| Please give details of any material social and environmental issues associated with grantees during the reporting period in particular. | | |
| In case the existing ESMS is not fully functional, what are the action plan being implemented by your organization? | | Please provide information or cite recommendation made by Financial Partners review mission to improve the ESMS and its implementation. |
| Capacity | Yes/No | |
| Please provide the name and contact information of the E&S Manager who has the overall responsibility for the implementation of ESMS. | | Please describe the training or learning activities the Environmental/Social Officer or Coordinator attended during the year. |
| Please provide current staffing of other core ESMS persons in the organization involved with ESMS implementation. | | Please describe the training provided to the ESMS persons and other team members during the year. |
| What was the budget allocated to the ESMS and its implementation during the year? | | Please provide budget details including staff costs and training as well as any actual costs. |
| Monitoring | Yes/No | |
| Do you receive environmental and social monitoring reports from grantees that you finance? | | If yes, please describe and provide supporting documents including any social and environmental considerations if applicable. |
| Do you check for ongoing compliance of your grantees with national regulation and any other requirements? | | If yes, please describe the process including any social and environmental considerations if applicable. |

| | | |
|--|---------------|---|
| Please describe how you monitor the grantees and their project's social and environmental performance. | | Please describe and provide supporting documents such as environmental and social monitoring reports and please provide information on the number of projects where a field visit was conducted by staff to review aspects including social and environmental issues. |
| Please provide details of any accidents/ litigation/complaints/regulatory notices and fines: Any incidents of non-compliance with the applicable Environmental and Social Requirements Covenants/conditionalities imposed by the Project Officer to the grantee as a result of any non-compliance | | |
| Reporting | Yes/No | |
| Is there an internal process to report on social and environmental issues to Senior management? | | If yes, please explain the process, reporting format and frequency and actions taken if any. |
| Do you prepare any social and environmental reports: For other multilateral agencies Other stakeholders E&S reporting in the Report Sustainability reports | | If yes, please provide copies of these reports. |
| Is there a process for reporting cases of sexual exploitation, abuse and harassment? | | Provide details: |
| Relevant (donor) partners will be informed of any reported incidents of sexual harassment and their handling without unnecessary delay | | |

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C. **GRANTS (TO BE FILLED OUT FOR EACH GRANT – DUPLICATE THE TABLE)**

| Issue | Remarks |
|--|--|
| Name of Project: | |
| Name of Grantee(s): | |
| Project location: | |
| Sub sector: | |
| Value of exposure (US\$ mn): | |
| Were any environmental and social due diligence undertaken and by your organization? | If yes, provide information on due diligence activities, such as desk review of safeguard documents, and field visit, and by whom. |
| Any Environmental Assessment Report (including Environmental Management Plan), | If yes, please provide the names of documents reviewed. |

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|---|---|
| Resettlement Action Plan, or audit reports reviewed by your organization? | |
| What were the main environmental, involuntary resettlement and indigenous peoples issues associated with this project that were identified through due diligence conducted by your organization, and how were the issues dealt with (i.e., outcome of due diligence)? | |
| Did you discuss with the project the applicable environmental and social requirements and their implementation? | |
| For category A projects, were safeguards-related documents such as ESIA, RAP or audit reports made publicly available? | If yes, please provide website link and the date the documents were uploaded. |
| Were any conditions or covenants related to environmental and social issues made along with the grant? | If yes, please briefly describe. |
| Does the project comply with applicable government requirements? | |
| Does the project comply with applicable international E&S requirements contained within the AGRA ESMS? | |