

# ANNEX 6

Appendix 1: Environmental and Social Baseline  
and Risk Assessment  
Version 4



## 2024

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**RE-GAIN: Scaling Solutions for Food Loss in Africa**

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# 1 Introduction

## 1.1 PROGRAMME BACKGROUND

A great deal of attention has been paid in recent decades to the impacts of climate change on crop production, i.e., on growing risks to agricultural productivity. Scholarly investigations and public and private research have invested heavily in identifying and – where feasible – quantifying the ramifications of climate change on crop yields, yield stability over seasons, and in exploring plausible management options for the emerging challenges (CGIAR, 2023). As governments and societies look at how to minimize the risks of climate change, the impact of these changes on food production is increasing, fuelling concerns about food security and livelihoods for current and future generations.

Food security, however, is affected not only by changes in crop production but by changes occurring throughout the crop value chain, including during post-harvest phases (Akoth, 2020). It is therefore crucial to examine the impacts of climate change on a crop’s value chain, including production, aggregation, storage, transportation, processing, and distribution. Each stage comprises several sub-processes, and climate change may plausibly affect many or all of the sub-processes too.

*With the lion’s share of research and resources for resilience interventions in the agricultural sector having been focused on production, the RE-GAIN project is an effort to give dedicated focus to harvest and post-harvest stages of the value chain – specifically, harvesting, post-harvesting handling and storage, processing, transportation, and logistics. As summarized in*

Table 1-1, the International Fund for Agricultural Development (IFAD) report highlights a range of climate change concerns in the post-production stages of value chains and potential adaptation interventions that could increase resilience against such climate change concerns (IFAD, 2015).

Table 1-1 - Illustrative climate change risks and climate change risk management interventions in post-production value chain processes (adapted from IFAD, 2015)

Value Chain Components	Climate Risk Issues	Risk Management Interventions
Post-harvest management	Rising losses in harvest volume; declining safety, market quality and nutritional value due to increasing temperatures, humidity, pests and diseases.	Improve knowledge sharing on harvesting techniques to reduce losses. incentivize waste reduction measures and value addition for by-products; provide renewable energy sources to cover changing requirements for cooling, drying, milling, and threshing.
Siting of processing facilities	Extreme climate events (such as, floods, heatwaves, and storms) may damage processing facilities; shifting climatic conditions may render some sites redundant or increase transportation costs. It could create sustainable environment to pests and diseases, affecting both product quality and its suitability for consumption	Use hazard exposure and crop suitability maps to inform the siting of processing facilities; retrofit processing facilities with protective features; insure processing facilities against extreme climate events.
Energy in processing	High dependence on local bioenergy (wood, charcoal, dung, crop residues) has trade-offs with better soil management; rising temperatures require more energy for cooling.	Provide renewable energy sources (such as solar photovoltaic panels for cooling/drying/milling/heating, wind, biogas); equip processing facilities with energy-saving appliances (e.g., solar lighting, solar charging, efficient cook stoves); adopt pollution control measures.

Value Chain Components	Climate Risk Issues	Risk Management Interventions
<b>Water in processing</b>	Declining and more irregular water supplies; growing competition with other domestic or industrial users.	Re-site facilities closer to more suitable water sources; increase water storage and distribution capacity (water harvesting, communal ponds, groundwater recharge); introduce demand-side water efficiency measures; support conflict resolution for different water users (e.g., water user groups).
<b>Packaging materials and methods</b>	Rising temperatures and humidity may increase or decrease post-harvest losses and waste, as well as impact food safety, particularly if current packaging materials are impacted by high temperatures leading to produce damage or poor quality.	Design suitable packaging materials in parallel with waste and storage management strategies.
<b>Processing infrastructure</b>	Buildings and roads are exposed to higher peak rainfall, winds, and heat stress.	Introduce protective features and reinforcements into the design of critical infrastructure to handle run-off and higher temperatures; improve ventilation in buildings; harvest surplus water and energy from rooftops and appliances; use early warning systems.
<b>Transport hubs and routes</b>	Routes may become seasonally or permanently impassable (or open up); extreme events will disrupt logistics.	Re-site hubs; develop contingency plans for road, rail, water, and air transport; co-design value addition, storage, and transport components to avoid high-risk transport routes and seasons; upgrade docks, jetties, roads, and railways.
<b>Refrigeration and cold chains</b>	Temperature rises increase requirements for and costs of refrigeration; rising energy requirements increase greenhouse gas emissions.	Conduct cost-benefit analyses of dependency on refrigerated cold chains to assess best routes; introduce renewable energy sources for cooling and ventilation; optimize storage and transport management.
<b>Just-in-time logistics</b>	Extreme climate events (floods, storms, heatwaves) can make it impossible to comply with “just-in time” requirements.	Develop contingency plans for climate shocks and extreme events; create contingency storage opportunities; link into regional markets to avoid over-dependence on high-value export markets.
<b>Demand from retail and consumers</b>	Shifts in quantity and quality requirements and seasonality with climatic trends; disruptions in demand with climate variability, hence higher price fluctuations.	Assess market risks and opportunities before value chain implementation, including likely climatic impacts on high-value markets; strengthen and diversify storage to buffer price fluctuations; diversify into “off-season” crops.
<b>Commodity labelling and certification</b>	Increased consumer awareness as climate change may create new markets for sustainably produced and processed commodities with a low carbon footprint.	Explore opportunities for sustainable procurement, green labelling, and certification.

AGRA is a continental institution working in 15 African countries addressing food systems focussing on smallholder farmers’ production, marketing and nutrition. In the countries where AGRA operates, which are highly diverse in terms of climate, soils, crop choices and institutional capacity, neither all of these climate-related concerns may be applicable, nor all of these potential interventions possible. **Even within the range of what may be applicable, this programme is likely to look at a subset of risks that may be viable to address, and – given resource constraints – only a limited number of high-priority resilience interventions may be feasible to design and deploy.** RE-GAIN is an effort to identify the most salient risks, select the most impactful solutions, and implement the priority interventions through a well-structured, strategic, multi-country programme.

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## 1.2 BRIEF PROGRAMME DESCRIPTION

**There is a clear gap in knowledge, data and interventions designed to target the impacts of climate change at the harvest and post-harvest stages of the value chain**, despite the mounting evidence of the ramifications on food loss and the impact this has on land use changes and associated climate change mitigation. The majority of the current programmes designed to tackle climate-induced food loss focus on the pre-harvest stages of the value chain.

**To address the pressing need for broader implementation of solutions aimed at reducing climate-related harvest and post-harvest food loss**, the proposed programme is designed to raise awareness and build capacity to promote the adoption of Food Loss Reduction Solutions (FL-RS). It will do this by creating institutional capacity, facilitating the uptake of FL-RS by end users and service providers, increasing options of solutions' availability, and enabling practical application through policy interventions. This will include enhanced financial access for farmers and Micro, Small, and Medium Enterprises (MSMEs), empowering them to invest in climate-friendly FL-RS and incentivising vendors, manufacturers, and suppliers of climate-adapted FL-RS, fostering a robust market ecosystem.

**A key focus is on strengthening the capabilities of countries to develop climate-resilient post-harvest infrastructure, both through providing physical solutions alongside capacity building along the value chains.** This includes investing in strategic frameworks and implementation plans, including a regulated quality-based pricing system and tax exemptions on imports, for reducing food loss. By enhancing access to markets, the programme will encourage farmers to adopt FL-RS products and services, thereby boosting their climate and economic resilience.

### 1.2.1 Target Countries Overview

During the 2023–2027 period, AGRA plans to target 28 million farmers across 15 Sub-Saharan African countries, 40% of which will be women. The RE-GAIN Programme focuses on AGRA's activities in seven target countries, as shown in Figure 1-1 below. The RE-GAIN Programme is designed to combat food loss during the post-harvest stages and to boost climate resilience by fostering awareness and by building capacity for the adoption of Food Loss Reduction solutions (FL-RS). The programme aims to transfer these solutions to end users and service providers for practical application while facilitating financial access to farmers and Micro, Small, and Medium Enterprises (MSMEs) to invest in climate-resilient FL-RS. The programme plans to incentivize vendors, manufacturers, and suppliers to adopt these solutions and enhance the capacity of countries to develop climate-resilient post-harvest food handling infrastructure.

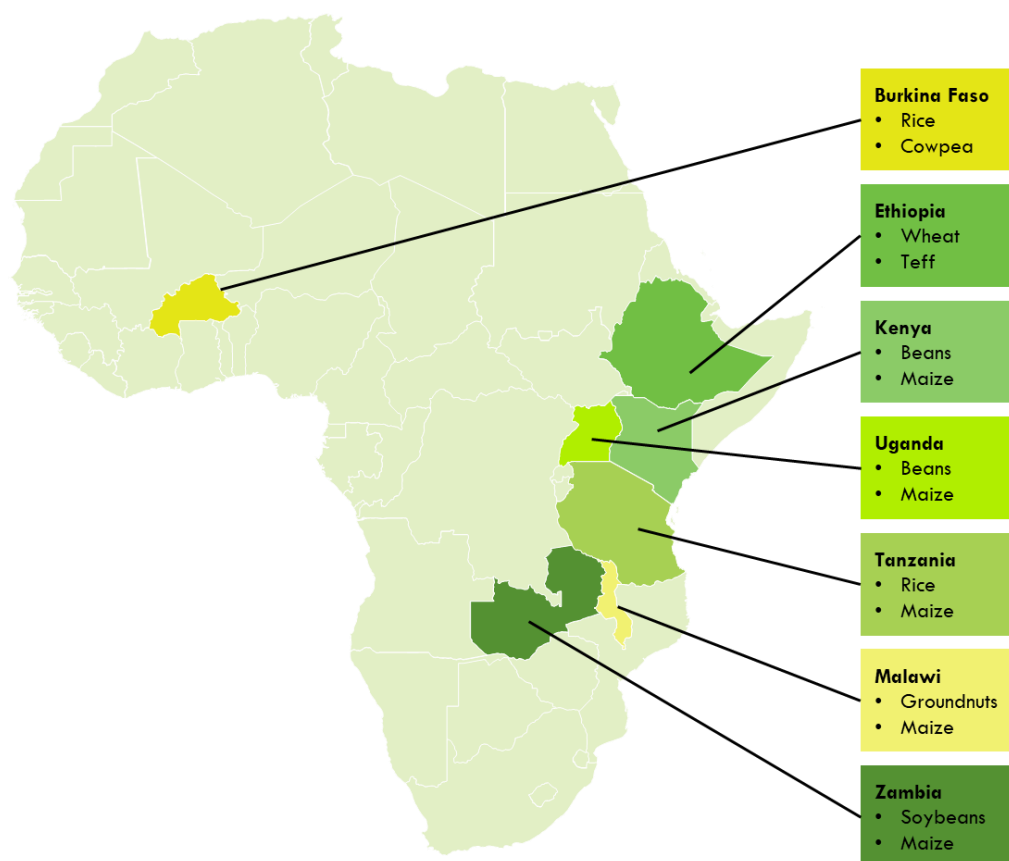


Figure 1-1 Focus Geographies for AGRA (2023-2027)

### 1.2.2 Crop selection

Key crops were identified by major stakeholders in the respective countries and expert assessments, supported by AGRA and the National Designated Authority (NDA) of each target country. Two major crops per target country were selected, based on area coverage, importance for food security and income, and climate vulnerability, to ensure that sufficient resources would be available for the crafting and execution of targeted solutions. Selected crops are representative of the agricultural dynamics of each country and aligned with the specific needs and strategic agricultural goals of the nation. In addition, these crops hold substantial importance to the country's food security and/or experience particularly high rates of loss within the value chain. Finally, these crops are produced in large parts of the respective countries by a significant number of smallholder farmers. The key crops, therefore, reflect the agronomic and economic realities of each country and provide opportunities for targeted enhancement of food security and sustainable agricultural practices. Additionally, the improved management of these crops is also expected to significantly reduction of GHG emissions contributing to the NDC targets of the countries involved. Figure 1-2 highlights the key crops selected for each of the countries within the programme.



1.2.3 Harvesting and Post Harvesting Definition

For the RE-GAIN programme, the key value chain stages considered are shown in Figure 1-2.



Figure 1-2 Strategic value chain stages included in the RE-GAIN Programme

The harvesting process within this RE-GAIN Programme proposal is defined as the interval between the culmination of agricultural production, marked by the crop reaching its maturity, and the initiation of post-harvest treatment. This process encompasses the identification of the optimal harvesting time and is further delineated into four distinct stages:

1. Removal of contaminated seeds, heads or cobs of matured crops at harvest
2. Reaping, which involves cutting, pulling, or gathering the mature crops.
3. Threshing, the process of separating the grain from the rest of the plant.
4. Cleaning, such as winnowing, to remove chaff and other impurities.
5. Hauling, which entails the transportation of the harvested produce to storage or processing facilities.

The post-harvest handling and storage stage commences once the crop exits the field and is typically conducted on the farm<sup>1</sup>.

This stage encompasses several key operations, including:

1. Threshing, which can be performed manually or with mechanical threshing machines.
2. Drying, utilizing cribs, tarpaulins, and similar methods.
3. Cleaning and sorting, such as through winnowing, to remove impurities.
4. On-farm storage, which includes the use of granaries, hermetic bags, ordinary bags, stacks, metal silos, and plastic silos.
5. In some instances, primary processing activities, such as grinding, hulling, pounding, milling, drying, and sieving, are also conducted during this stage.

The processing, transportation, and logistics stage involves farmers selling their harvested crops either directly to traders, who collect the produce from the farm, or to collection centres and processors. These market participants then undertake the tasks of product accumulation, initial processing, quality control, grading, packaging, and transportation to wholesale buyers.

<sup>1</sup> In this instance, a field is where the crops are grown, and a farm consists of the whole small holding including the small aggregation site.

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## 1.3 REASONING FOR REQUESTED FUNDING

Africa's food insecurity challenge has been exacerbated by climate change. Sub-Saharan Africa stands at a crossroads with an unprecedented opportunity for food systems transformation, driven by the demands of a rapidly growing population of 1.5 billion and the pressures of a changing climate (World Bank, 2023) (Worldometer, n.d.). The continent faces significant development challenges including food insecurity, resource degradation, poverty, gender inequality, and social exclusion. The vicious cycle of poverty and environmental degradation in Africa is evident in low crop productivity, deforestation, land degradation, conflict, migration, and vulnerability to climate shocks, which perpetuate persistent food insecurity and poverty. The effects of climate change are expected to be severe in Africa, where the capacity to adapt and respond to a changing climate is weak.

The impacts of climate change have increased over the past decades in Africa, manifesting in more frequent, intense, and prolonged extreme weather events, such as floods, droughts, heatwaves, locust outbreaks, desertification, and sandstorms. These extreme weather events have resulted in increased temperatures and humidity, shifts in precipitation patterns, water stress, and soil erosion. Most African countries already face recurrent droughts that affect growing seasons, often leading to short growing periods reducing the viability of farming in marginal agricultural areas. Projected reductions in crop yields in some countries could reach as much as 50% by 2030, and crop net revenues may fall by up to 90% by 2100, with smallholder farmers being the most affected (IPCC, 2018).

Therefore, the RE-GAIN programme aims to enhance the climate resilience and adaptive capacity of smallholders by promoting the widespread adoption of FL-RS in seven African countries. According to the World Bank estimates, a one percent reduction in post-harvest losses in Sub-Saharan Africa could lead to economic gains of \$40 million each year, and most of the benefits would go directly to smallholder farmers (World Bank, 2011). Moreover, food loss and waste are the result of an extremely inefficient use of resources and account for about 3.3 gigatonnes of greenhouse gas emissions globally (FAO, 2013). Large amounts of water and fertilizer also go into the production of food that never reaches human mouths. Recovering the food that is lost during harvest and post-harvest handling some can help close that calorie gap in Africa while strengthening livelihoods and improving food security— without imposing any additional environmental cost. Therefore, facilitated by the Green Climate Fund (GCF) investment, RE-GAIN will roll out a suite of physical interventions alongside capacity building and enhanced financial and market access. Not only will this benefit the respective countries as whole, but it also has the potential to benefit the region and the wider planet.

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## 1.4 PROGRAMME GOAL STATEMENT

IF the capacity of the target countries and communities to respond to climate-triggered food losses is strengthened through improved and inclusive access to financing, promotion of context-specific and gender-responsive innovations to reduce food losses, and better enabling conditions for public and private investments, THEN smallholder farmers will have enhanced food security and livelihood resilience, BECAUSE the widespread use of food loss-reduction technologies will reduce food loss and reduce the carbon footprint of food systems, while increasing household income and building the resilience of smallholder farmers, MSMEs and rural communities to climate shocks.

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## 1.5 PURPOSE OF THIS REPORT

As per the Concept Note, the RE-GAIN: Scaling Solutions for Food Loss in Africa Programme (hereafter referred to as “the Programme”) has initially been categorised by AGRA (a GCF PSAA Applicant) as a Category B project. The definition of Category B as per the GCF Revised Environmental and Social (E&S) Policy<sup>2</sup> is as follows: “Category B. Activities with potential limited adverse environmental and/or social risks and impacts that individually or cumulatively, are few, generally site-specific, largely reversible, and readily addressed through mitigation measures”.

For Category B projects, the GCF requires that the scope of the E&S due diligence includes a fit-for-purpose ESIA and an ESMP, with a more limited focus as may be appropriate, that describes the potential impacts, as well as appropriate mitigation, monitoring and reporting measures will be required.

The GCF defines “ESIA” and “ESMP” as follows:

- ESIA: “refers to a process or tool based on an integrated assessment where the scale and type of potential biophysical and social, including, where appropriate transboundary risks and impacts of projects, programs and/or policy initiatives, are predicted, acknowledged and evaluated. It also involves evaluating alternatives and designing appropriate mitigation, management, and monitoring measures to manage the predicted potential impacts”.
- ESMP: “refers to a set of management processes and procedures that allow an organization to identify, analyse, control and reduce the environmental and social impacts of its activities including transboundary risks and impacts, in a consistent way and to improve performance in this regard over time”.

In order to be aligned with the E&S due diligence requirements of the GCF, Annex 6 sets out the environmental and social (E&S) baseline and risk assessment of the Programme as well as the Programme E&S mitigation measures in the form of a Programme Environmental and Social Action Plan (ESAP). Chapters 2 & 3 of this Annex constitute the “fit-for-purpose ESIA” and Chapter 4 sets out the Programme’s “ESMP”. The intention of this Annex is to demonstrate AGRA’s ability to identify and assess E&S risks associated with the Programme and to put forward credible risk mitigation measures that will be implemented upon receiving funding from the GCF and the exact individual project specifics are known in each in-scope country.

### 1.5.1 Structure of this Annex

Annex 6 is divided into the following Chapters:

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<sup>2</sup> Source: <https://www.greenclimate.fund/sites/default/files/document/revised-environmental-and-social-policy.pdf>

## 2 2.Programme Overview

The RE-GAIN programme is designed to address food loss in Africa through an integrated approach, taking into account the growing need for climate adaptation in this space and the potential for mitigation of reducing food losses. The RE-GAIN programme's holistic approach to these growing challenges includes strengthening extension services, particularly as it portrays to climate information, demand-side interventions, supply-side development, financial mechanisms, and creating an enabling environment. Below is a comprehensive summary of the programme's three components. Further information on the programme design and process can be uncovered on the Feasibility Study (Annex 2) and the full Funding Proposal.

### 2.1 COMPONENT 1: FOOD LOSS-REDUCTION SOLUTIONS (FL-RS) DEMAND-SIDE DEVELOPMENT

This component focuses on increasing the demand for and adoption of FL-RS among smallholder farmers to reduce post-harvest food losses, enhance food security, and build resilience to climate change. The activities are centered around raising awareness, providing training, and improving market linkages.

#### 2.1.1 Output 1.1: Support to Smallholder Farmers:

- **Awareness-Raising Campaigns:** Targeted campaigns educate farmers about the impacts of climate change on post-harvest losses and the benefits of adopting climate-resilient FL-RS.
- **Training Programs through Extension Services:** Farmers receive training on best practices for harvesting, post-harvest handling, storage techniques, and the use of FL-RS. Training is tailored to local contexts and emphasizes gender responsiveness and youth engagement.
- **Demonstrations of FL-RS:** Practical demonstrations showcase the effectiveness of FL-RS, helping farmers understand and adopt these solutions in their local environments.
- **Technical Assistance to Food Processors:** Assistance is provided to facilitate a shift to whole-grain flour production, which reduces food waste and improves profitability.

#### 2.1.2 Output 1.2: Improved Market Linkages:

- **Technical Assistance for Value Chain Structuring:** The programme helps establish more structured relationships between farmers, processors, and buyers, ensuring better quality compliance and reduced post-harvest losses.
- **Linkages with Institutional Markets:** Farmers are connected to institutional markets like school feeding programs, which provide reliable demand for high-quality produce, thereby encouraging the adoption of FL-RS.

#### 2.1.3 Outcome for Component 1

The main outcome of the component 1 is increased adoption of FL-RS by smallholder farmers.

### 2.2 COMPONENT 2: FL-RS SUPPLY-SIDE DEVELOPMENT

This component complements the first by improving the availability and affordability of FL-RS through support for local businesses and the introduction of innovative financial mechanisms to stimulate supply of FL-RS and to improve the

affordability of physical FL-RS solutions that can improve climate resilience for smallholder farmers and micro, small, and medium enterprises (MSMEs).

#### 2.2.1 Output 2.1: Business Development Support for FL-RS Providers:

- **Training for MSMEs and Cooperatives:** Local MSMEs and cooperatives, especially those led by women and youth, are trained to develop sustainable FL-RS service provision operations, with lease-to-own as an example. This includes technical training on equipment use and business management.
- **Market Intelligence and Networking:** AGRA supports the development of market intelligence and networks among local manufacturers, importers, and agro-dealers to boost the FL-RS market.

#### 2.2.2 Output 2.2: Financial Mechanisms and Physical Solutions to Support the Adoption of FL-RS:

To stimulate supply and increase the affordability of FL-RS that can increase smallholder farmers and community-led organisations' climate resilience, the following physical FL-RS solutions have been selected given their impact on food loss and its climate-impacted causes:

- **Hermetic Bags, Metal and Plastic Silos, Tarpaulins, and Plastic Sheets:** These are essential physical solutions aimed at reducing post-harvest losses. They protect crops from pests, moisture, and contamination, thus improving storage and prolonging the shelf life of produce.
- **Harvesting Machinery and Mechanical Threshers/Shellers:** These tools, including solar-powered options, are designed to reduce labor intensity and improve the efficiency of harvesting and post-harvest processing, minimizing losses due to improper handling.
- **Moisture Meters and Storage Protectants:** These devices help maintain optimal conditions for stored crops, preventing spoilage and contamination. Moisture meters are crucial for monitoring and managing crop moisture levels, which is vital in preventing mold growth and toxin production.
- **Communal Storage Structures and Warehouses:** These facilities offer shared storage solutions that help smallholder farmers and aggregators store their produce in controlled environments, reducing the risk of losses due to poor individual storage conditions.

To increase the affordability of these solutions in the market, the following financial models will be leveraged:

Model 1 promotes the local supply of FL-RS interventions by using conditional procurements to effectively subsidise interventions at smallholder farmer level (referred to hereafter as 'smart-subsidies'). At its base, the smart-subsidy model enables agro-dealers to provide FL-RS to smallholder farmers at a discounted rate by using GCF funds to procure one item for every two items procured and sold by an agro-dealer. The subsidy is passed down to the smallholder farmers as a discount on the purchase price.

The interventions are typically focused on smallholder farmers, with lower individual ticket sizes to the end-users — i.e. for FL-RS such as tarpaulins and plastic sheets, metal and plastic silos, and hermetic bags. The flow of funds will be facilitated through a trust/escrow account at a local financial institution (FI) and released once proof of offtake by eligible smallholder farmers has been obtained. However, while funds will pass through an FI, it should be noted that no GCF funds will be transferred to a financial institution as the end beneficiary. The aim of the model is two-fold:

- to stimulate production and manufacturer capacity by placing pre-emptive orders of FL-RS, however, maintaining control over risk through a conditional release of funds to the manufacturer; and
- to reduce the cost of interventions at smallholder farmer level, additional profitability will drive additional demand and facilitate knowledge sharing about the benefits of interventions.

The model has been designed with two variations to allow for administration of the model using the smart-subsidy alone, or with the option of unlocking additional financing from partner financial institutions (FIs), with the latter offering greater potential benefits at the cost of greater complexity.

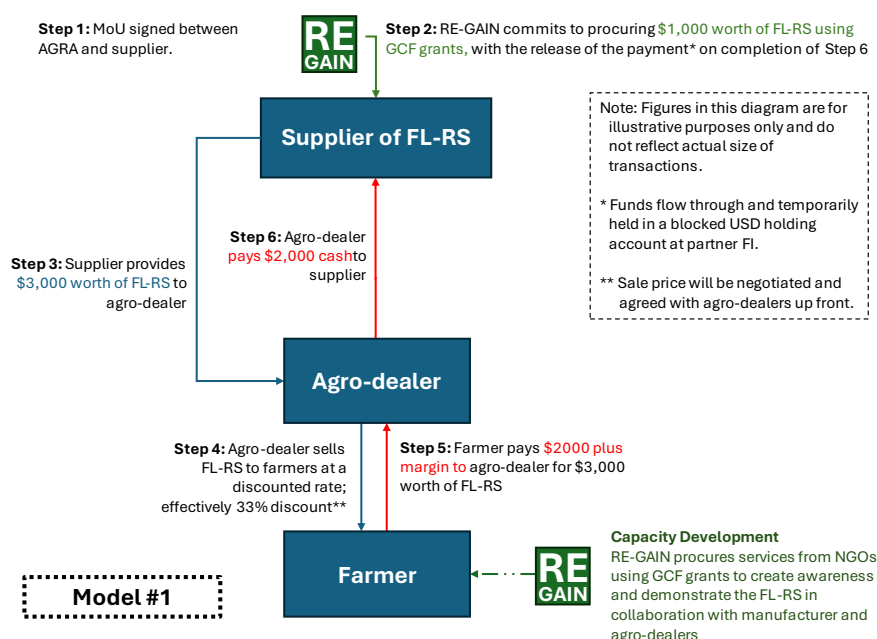


Figure 2-1 Model 1 RE-GAIN Programme

- The above model will be used for smallholder-focussed interventions, which include: tarpaulins and plastic sheets, metal and plastic silos, hermetic bags, and storage protectants and control agents of biological origin.

#### Youth Group/Cooperative Level (Model 2):

**Model 2** will use GCF grants to provide a unique approach to unlocking larger ticket items and food loss reducing equipment to farmer collectives or small to medium sized enterprises. The term 'youth groups' is used in this model description to highlight the priority given to this vulnerable demographic; however, the model will also apply to other cooperatives, including women's groups and local MSMs. The aim of Model 2 is to create multi-stakeholder agreements with suppliers, youth groups, and financial institutions, with the goal of:

- Enhancing creditworthiness – through repurchase assurances from the suppliers that lower the loss given default.
- Reducing borrowing costs – Through a combination of the lowered credit risk (as per above) and subsidies on the purchase price. The structure will ensure larger-ticket FL-RS become more affordable and thus accessible to youth groups who provide services to smallholder farmers.

At the heart of Model 2 is the engagement of local youth groups that will be supported to act as service providers for FL-RS that require more expensive equipment that can service multiple farmers — such as mechanical multi-crop threshers and shellers (preferably solar-powered), moisture meters and communal storage structures. The establishment of the service operations will be supported through the business development under Output 2.1, ensuring that the youth groups have the necessary foundation to provide a reliable service. This approach leverages several key concepts to unlock the targeted benefits:

- Collectivism provides benefits to smallholder farmers in economies of scale through cost sharing and increased bargaining power with off-takers. These should promote further profitability and therefore additional demand for FL-RS.
- Post-harvest handling will increase the quality and quantity of agricultural produce, allowing smallholder farmers to capture more value, hence increased incomes.

The inclusion of financiers will further unlock access to finance in a typically underserved market. The structure aims to reduce credit risk by providing a partial subsidy that will lead to lower borrowing costs (thanks to smaller loan size and interest payments).

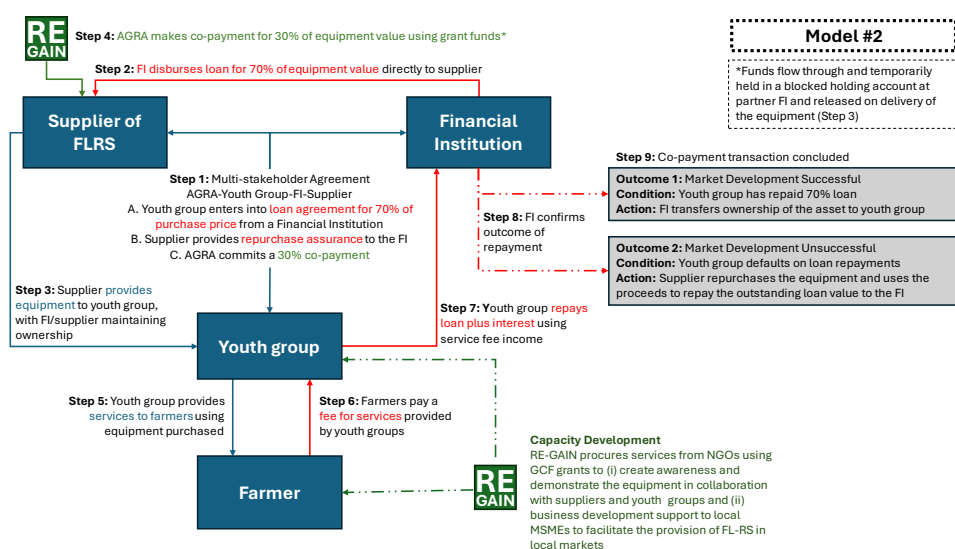


Figure 2-2 Model 2 RE-GAIN Programme

- The above financial model will be used for MSME's - focussed interventions, which include: mechanical multi-crop threshers and shellers (preferably solar-powered), moisture meters and communal storage structures

## 2.2.3 Outcome of Component 2

The main outcome of the component 2 is enhanced supply and affordability of FL-RS.

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## 2.3 COMPONENT 3: ENABLING ENVIRONMENT FOR FL-RS MARKET SUSTAINABILITY

This component addresses policy-level constraints and builds institutional capacity to ensure the long-term sustainability and scalability of the FL-RS market, ensuring the long-term sustainability of the RE-GAIN programme

### 2.3.1 Output 3.1: Enhanced Capacity of National Institutions:

- **Policy Reform and Advocacy:** AGRA collaborates with governments to reform policies that currently hinder the adoption of FL-RS, including advocating for tax exemptions, reduced import duties, and the establishment of quality standards. AGRA also supports national governments to formulate, enact and implement new policies and regulations where gaps exist.
- **Institutional Capacity Building:** Technical assistance is provided to local and national government entities to support the scaling of successful FL-RS models and policies. This includes strengthening the analytical capacity of institutions to track and report on food loss and climate change metrics.
- **Development of Business Cases for FL-RS Investments:** Research is conducted, and evidence gathered to inform solid business cases for investing in FL-RS, which are then used to attract private sector investments and promote successful business models for scaling and replication.
- **Monitoring, Evaluation, and Learning (MEL) System:** A comprehensive MEL framework is implemented to track the progress of the programme, assess the impact of interventions, and ensure continuous improvement and knowledge sharing.

### 2.3.2 Outcome of Component 3

The main outcome of the component 3 is strengthened enabling environment for the uptake of FL-RS.

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## 2.4 IMPLEMENTATION COMMENTARY FOR E&S ANALYSIS

The Programme will be implemented in-country by different financial models using GCF funding and in-kind contributions from AGRA. In each country, and more specifically identified regions in those countries, AGRA and its local country teams will identify a suitable organisation(s) to partner with to facilitate the FL-RS interventions, with eligibility criteria discussed in detail on Annex 2 and Annex 10. Potential AGRA implementation partners may include (non-exhaustive):

- Governments and public sector organizations such as the Ministry of Agriculture; Ministry of Policy & Planning etc.;
- Government Extensions Agencies;
- Not for Profit Organizations (NGOs);
- Financial Institutions;
- Private sector organizations /e.g. agri manufacturing companies, agro-dealers; and
- Farmers' organizations.

As discussed in the introduction, the Programme will be implemented in seven countries: Burkina Faso, Ethiopia, Kenya, Malawi, Tanzania, Uganda, and Zambia. In each of these countries, priority commodities (crops) have been pre-selected based on the potential impact of climate on their production, their significance to food and nutrition security, contributions to the national economy, employment opportunities, and current levels of food loss, as discussed in the above introduction



section. As described in the introduction, the table below outlines the countries involved, along with the specific regions and crops targeted by the project:

**Table 2-1 – Countries, Regions and Priority Crops**

Countries	Priority Regions	Priority Crops
<b>Burkina Faso</b>	<ul style="list-style-type: none"> <li>Hauts Basins</li> <li>Centre Ouest</li> <li>Boucle du Mouhoun</li> <li>Cascades</li> <li>Sud-Ouest</li> </ul>	Rice & Cowpeas
<b>Ethiopia</b>	<ul style="list-style-type: none"> <li>Arsi,</li> <li>West Arsi,</li> <li>North Shoa</li> <li>East Gojam</li> <li>Hadiya zone</li> </ul>	Wheat & Teff
<b>Kenya</b>	<ul style="list-style-type: none"> <li>Makueni</li> <li>Kitui</li> <li>Embu</li> <li>Tharaka Nithi</li> </ul>	Beans & Maize
<b>Malawi</b>	<ul style="list-style-type: none"> <li>Kasungu Agricultural Development Division (ADD)</li> <li>Lilongwe ADD</li> <li>Salima ADD</li> <li>Mzuzu ADD</li> </ul>	Maize & Groundnuts
<b>Tanzania</b>	<ul style="list-style-type: none"> <li>Morogoro</li> <li>Iringa</li> <li>Njombe</li> <li>Ruvuma</li> <li>Mbeya</li> <li>Songwe</li> <li>Katavi</li> <li>Rukwa</li> <li>Manyara</li> <li>Kigoma</li> <li>Tabora</li> </ul>	Rice & Maize
<b>Uganda</b>	<ul style="list-style-type: none"> <li>Bugisu,</li> <li>Busoga,</li> <li>Sebei</li> </ul>	Maize & Beans
<b>Zambia</b>	<ul style="list-style-type: none"> <li>Southern Province (District: Choma),</li> <li>Eastern Province (District: Chipata),</li> <li>Central Province (District: Mumbwa).</li> </ul>	Maize & Soy Beans

AGRA will work with partners who have a proven track record and trusted relationship with the smallholder farmers in the region as well as the broader agriculture value chain ecosystem comprising government extension agencies, agro-dealers/suppliers/manufacturers among others. The intention is to demonstrate the interventions with pre-selected model smallholder farmers in order to create awareness and market demand in the regions. This requires training and capacity building to be undertaken for both the AGRA partner and the selected smallholder farmers including E&S risk training.

- Describes the scope of the intended AGRA interventions designed to meet the overall objective of the Programme which is to build climate resilience and adaptive capacity of smallholder farmers by promoting the wide-scale adoption of Food Loss Reduction Solutions (FL-RS).

- 3. Programme E&S Baseline and Risk Assessment
  - 3.1: Country and Region Contextual E&S Baseline and Risk Analysis
    - Provides a description of the contextual E&S risks and impacts at a country and crop level. The extent to which the Programme would be exposed to, or potentially exacerbate the contextual E&S risks identified, is dependent on the type of intervention, country and region, and crop type.
  - 3.2: Indigenous Peoples (IPs) Screening and Vulnerability Assessment
    - The assessment screened for the presence of IPs in selected regions in the seven in-scope African countries that are targeted by the Programme. Additionally, the assessment identified, at a high level, possible risks to IPs as a result of the Programme in the selected regions.
  - 3.3: Intervention Level E&S Risk Assessment
    - An assessment of the E&S risks associated with the individual aspects of the Programme interventions is set out. Given that the actual country level interventions are not yet known, this E&S risk assessment is applicable to all in-scope countries and crops.
- 4. Programme E&S Mitigation Measures:
  - 4.1: AGRA ESMS
    - AGRA has in place a centralised Environmental and Social Management System (ESMS) that is applicable to all interventions initiated in AGRA's focus countries. The ESMS sets out E&S risk management methodologies applicable to AGRA's procurement process which would be embedded into the Programme activities.
  - 4.2: Programme Environmental and Social Action Plan
    - Based on the findings of Chapter 3, taking into account the existing E&S risk management methodology as set out in the AGRA ESMS, this Chapter sets out a Programme ESAP which will be used as the basis for the management of E&S risks and impacts at the individual intervention level. The Programme ESAP will be adapted where appropriate to be specific to the E&S risks and impacts associated with the individual country, region, crop and combination of Food Loss Reduction Solutions (FL-RS) applicable to the specific intervention envisaged.

Further information on the country-specific E&S analysis is available on Appendix 2 of this Annex, while Appendix 3 of this Annex provides an overview of the ESMS policies within AGRA that this Programme's E&S Mitigation Measures relies on.

## 3 Programme Overview

The RE-GAIN programme is designed to address food loss in Africa through an integrated approach, taking into account the growing need for climate adaptation in this space and the potential for mitigation of reducing food losses. The RE-GAIN programme's holistic approach to these growing challenges includes strengthening extension services, particularly as it portrays to climate information, demand-side interventions, supply-side development, financial mechanisms, and creating an enabling environment. Below is a comprehensive summary of the programme's three components. Further information on the programme design and process can be uncovered on the Feasibility Study (Annex 2) and the full Funding Proposal.

### 3.1 COMPONENT 1: FOOD LOSS-REDUCTION SOLUTIONS (FL-RS) DEMAND-SIDE DEVELOPMENT

This component focuses on increasing the demand for and adoption of FL-RS among smallholder farmers to reduce post-harvest food losses, enhance food security, and build resilience to climate change. The activities are centered around raising awareness, providing training, and improving market linkages.

#### 3.1.1 Output 1.1: Support to Smallholder Farmers:

- **Awareness-Raising Campaigns:** Targeted campaigns educate farmers about the impacts of climate change on post-harvest losses and the benefits of adopting climate-resilient FL-RS.
- **Training Programs through Extension Services:** Farmers receive training on best practices for harvesting, post-harvest handling, storage techniques, and the use of FL-RS. Training is tailored to local contexts and emphasizes gender responsiveness and youth engagement.
- **Demonstrations of FL-RS:** Practical demonstrations showcase the effectiveness of FL-RS, helping farmers understand and adopt these solutions in their local environments.
- **Technical Assistance to Food Processors:** Assistance is provided to facilitate a shift to whole-grain flour production, which reduces food waste and improves profitability.

#### 3.1.2 Output 1.2: Improved Market Linkages:

- **Technical Assistance for Value Chain Structuring:** The programme helps establish more structured relationships between farmers, processors, and buyers, ensuring better quality compliance and reduced post-harvest losses.
- **Linkages with Institutional Markets:** Farmers are connected to institutional markets like school feeding programs, which provide reliable demand for high-quality produce, thereby encouraging the adoption of FL-RS.

#### 3.1.3 Outcome for Component 1

The main outcome of the component 1 is increased adoption of FL-RS by smallholder farmers.

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## 3.2 COMPONENT 2: FL-RS SUPPLY-SIDE DEVELOPMENT

This component complements the first by improving the availability and affordability of FL-RS through support for local businesses and the introduction of innovative financial mechanisms to stimulate supply of FL-RS and to improve the affordability of physical FL-RS solutions that can improve climate resilience for smallholder farmers and micro, small, and medium enterprises (MSMEs).

### 3.2.1 Output 2.1: Business Development Support for FL-RS Providers:

- **Training for MSMEs and Cooperatives:** Local MSMEs and cooperatives, especially those led by women and youth, are trained to develop sustainable FL-RS service provision operations, with lease-to-own as an example. This includes technical training on equipment use and business management.
- **Market Intelligence and Networking:** AGRA supports the development of market intelligence and networks among local manufacturers, importers, and agro-dealers to boost the FL-RS market.

### 3.2.2 Output 2.2: Financial Mechanisms and Physical Solutions to Support the Adoption of FL-RS:

To stimulate supply and increase the affordability of FL-RS that can increase smallholder farmers and community-led organisations' climate resilience, the following physical FL-RS solutions have been selected given their impact on food loss and its climate-impacted causes:

- **Hermetic Bags, Metal and Plastic Silos, Tarpaulins, and Plastic Sheets:** These are essential physical solutions aimed at reducing post-harvest losses. They protect crops from pests, moisture, and contamination, thus improving storage and prolonging the shelf life of produce.
- **Harvesting Machinery and Mechanical Threshers/Shellers:** These tools, including solar-powered options, are designed to reduce labor intensity and improve the efficiency of harvesting and post-harvest processing, minimizing losses due to improper handling.
- **Moisture Meters and Storage Protectants:** These devices help maintain optimal conditions for stored crops, preventing spoilage and contamination. Moisture meters are crucial for monitoring and managing crop moisture levels, which is vital in preventing mold growth and toxin production.
- **Communal Storage Structures and Warehouses:** These facilities offer shared storage solutions that help smallholder farmers and aggregators store their produce in controlled environments, reducing the risk of losses due to poor individual storage conditions.

To increase the affordability of these solutions in the market, the following financial models will be leveraged:

Model 1 promotes the local supply of FL-RS interventions by using conditional procurements to effectively subsidise interventions at smallholder farmer level (referred to hereafter as 'smart-subsidies'). At its base, the smart-subsidy model enables agro-dealers to provide FL-RS to smallholder farmers at a discounted rate by using GCF funds to procure one item

for every two items<sup>3</sup> procured and sold by an agro-dealer. The subsidy is passed down to the smallholder farmers as a discount on the purchase price<sup>4</sup>.

The interventions are typically focused on smallholder farmers, with lower individual ticket sizes to the end-users — i.e. for FL-RS such as tarpaulins and plastic sheets, metal and plastic silos, and hermetic bags. The flow of funds will be facilitated through a trust/escrow account at a local financial institution (FI) and released once proof of offtake by eligible smallholder farmers has been obtained. However, while funds will pass through an FI, it should be noted that no GCF funds will be transferred to a financial institution as the end beneficiary. The aim of the model is two-fold:

- to stimulate production and manufacturer capacity by placing pre-emptive orders of FL-RS, however, maintaining control over risk through a conditional release of funds to the manufacturer; and
- to reduce the cost of interventions at smallholder farmer level, additional profitability will drive additional demand and facilitate knowledge sharing about the benefits of interventions.

The model has been designed with two variations to allow for administration of the model using the smart-subsidy alone, or with the option of unlocking additional financing from partner financial institutions (FIs), with the latter offering greater potential benefits at the cost of greater complexity.

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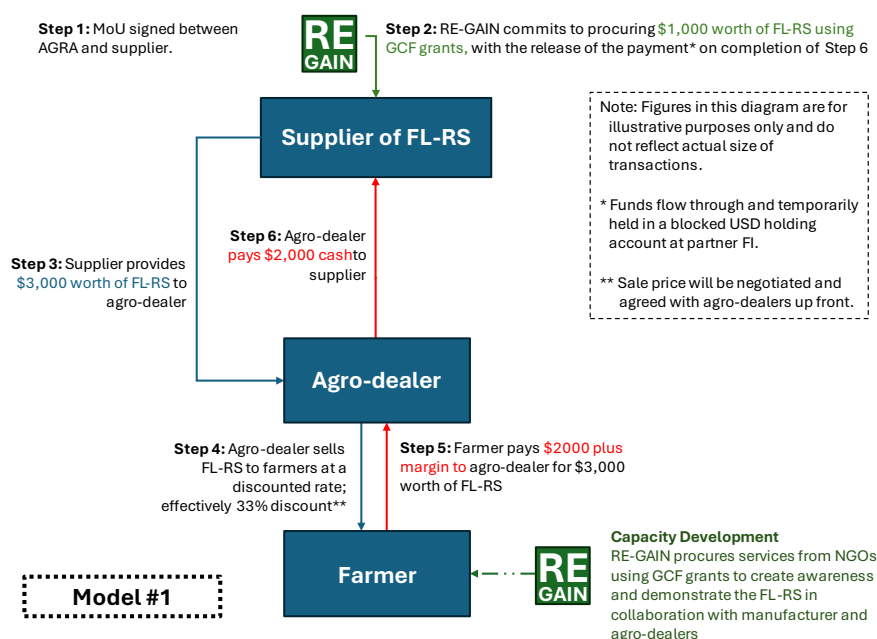


Figure 2-1 Model 1 RE-GAIN Programme

<sup>3</sup> Note: the specific ratios will vary based on context of local markets in each country, with more developed markets receiving a smaller subsidy than less developed markets. A three-for-two model has been used as a base for demonstration purposes.

<sup>4</sup> The maximum retail sales price and number of items per customer — as well as the eligibility criteria and geography where the sales at reduced cost can be made — will be included as part of the agreement between RE-GAIN and the suppliers as a condition for participation in the scheme.

- The above model will be used for smallholder-focussed interventions, which include: tarpaulins and plastic sheets, metal and plastic silos, hermetic bags, and storage protectants and control agents of biological origin.

#### **Youth Group/Cooperative Level (Model 2):**

**Model 2** will use GCF grants to provide a unique approach to unlocking larger ticket items and food loss reducing equipment to farmer collectives or small to medium sized enterprises. The term 'youth groups' is used in this model description to highlight the priority given to this vulnerable demographic<sup>5</sup>; however, the model will also apply to other cooperatives, including women's groups and local MSMEs. The aim of Model 2 is to create multi-stakeholder agreements with suppliers, youth groups, and financial institutions, with the goal of:

- Enhancing creditworthiness – through repurchase assurances from the suppliers that lower the loss given default.
- Reducing borrowing costs – Through a combination of the lowered credit risk (as per above) and subsidies on the purchase price. The structure will ensure larger-ticket FL-RS become more affordable and thus accessible to youth groups who provide services to smallholder farmers.

At the heart of Model 2 is the engagement of local youth groups that will be supported to act as service providers for FL-RS that require more expensive equipment that can service multiple farmers — such as mechanical multi-crop threshers and shellers (preferably solar-powered), moisture meters and communal storage structures. The establishment of the service operations will be supported through the business development under Output 2.1, ensuring that the youth groups have the necessary foundation to provide a reliable service. This approach leverages several key concepts to unlock the targeted benefits:

- Collectivism provides benefits to smallholder farmers in economies of scale through cost sharing and increased bargaining power with off-takers. These should promote further profitability and therefore additional demand for FL-RS.
- Post-harvest handling will increase the quality and quantity of agricultural produce, allowing smallholder farmers to capture more value, hence increased incomes.

The inclusion of financiers will further unlock access to finance in a typically underserved market. The structure aims to reduce credit risk by providing a partial subsidy that will lead to lower borrowing costs (thanks to smaller loan size and interest payments).

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<sup>5</sup> Preferentially targeting youth groups will help build resilience among this vulnerable group of the population, as well as unlock the energy and innovation that youth can bring to the process.

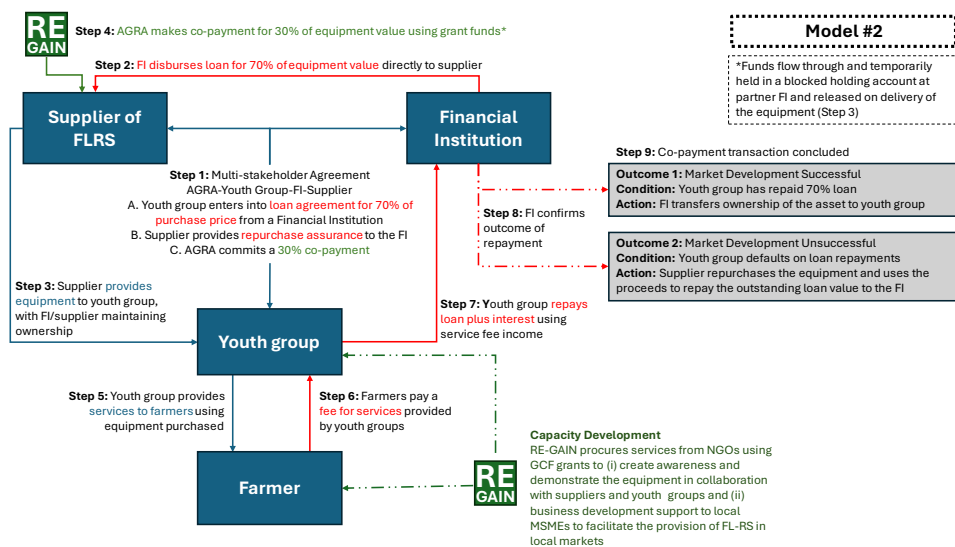


Figure 2-2 Model 2 RE-GAIN Programme

- The above financial model will be used for MSME's - focussed interventions, which include: mechanical multi-crop threshers and shellers (preferably solar-powered), moisture meters and communal storage structures

### 3.2.3 Outcome of Component 2

The main outcome of the component 2 is enhanced supply and affordability of FL-RS.

## 3.3 COMPONENT 3: ENABLING ENVIRONMENT FOR FL-RS MARKET SUSTAINABILITY

This component addresses policy-level constraints and builds institutional capacity to ensure the long-term sustainability and scalability of the FL-RS market, ensuring the long-term sustainability of the RE-GAIN programme

### 3.3.1 Output 3.1: Enhanced Capacity of National Institutions:

- Policy Reform and Advocacy:** AGRA collaborates with governments to reform policies that currently hinder the adoption of FL-RS, including advocating for tax exemptions, reduced import duties, and the establishment of quality standards. AGRA also supports national governments to formulate, enact and implement new policies and regulations where gaps exist.
- Institutional Capacity Building:** Technical assistance is provided to local and national government entities to support the scaling of successful FL-RS models and policies. This includes strengthening the analytical capacity of institutions to track and report on food loss and climate change metrics.

- **Development of Business Cases for FL-RS Investments:** Research is conducted, and evidence gathered to inform solid business cases for investing in FL-RS, which are then used to attract private sector investments and promote successful business models for scaling and replication.
- **Monitoring, Evaluation, and Learning (MEL) System:** A comprehensive MEL framework is implemented to track the progress of the programme, assess the impact of interventions, and ensure continuous improvement and knowledge sharing.

### 3.3.2 Outcome of Component 3

The main outcome of the component 3 is strengthened enabling environment for the uptake of FL-RS.

## 3.4 IMPLEMENTATION COMMENTARY FOR E&S ANALYSIS

The Programme will be implemented in-country by different financial models using GCF funding and in-kind contributions from AGRA. In each country, and more specifically identified regions in those countries, AGRA and its local country teams will identify a suitable organisation(s) to partner with to facilitate the FL-RS interventions, with eligibility criteria discussed in detail on Annex 2 and Annex 10. Potential AGRA implementation partners may include (non-exhaustive):

- Governments and public sector organizations such as the Ministry of Agriculture; Ministry of Policy & Planning etc.;
- Government Extensions Agencies;
- Not for Profit Organizations (NGOs);
- Financial Institutions;
- Private sector organizations /e.g. agri manufacturing companies, agro-dealers; and
- Farmers' organizations.

As discussed in the introduction, the Programme will be implemented in seven countries: Burkina Faso, Ethiopia, Kenya, Malawi, Tanzania, Uganda, and Zambia. In each of these countries, priority commodities (crops) have been pre-selected based on the potential impact of climate on their production, their significance to food and nutrition security, contributions to the national economy, employment opportunities, and current levels of food loss, as discussed in the above introduction section. As described in the introduction, the table below outlines the countries involved, along with the specific regions and crops targeted by the project:

**Table 2-1 – Countries, Regions and Priority Crops**

Countries	Priority Regions	Priority Crops
<b>Burkina Faso</b>	<ul style="list-style-type: none"> <li>• Hauts Basins</li> <li>• Centre Ouest</li> <li>• Boucle du Mouhoun</li> <li>• Cascades</li> <li>• Sud-Ouest</li> </ul>	Rice & Cowpeas
<b>Ethiopia</b>	<ul style="list-style-type: none"> <li>• Arsi,</li> <li>• West Arsi,</li> <li>• North Shoa</li> <li>• East Gojam</li> <li>• Hadiya zone</li> </ul>	Wheat & Teff
<b>Kenya</b>	<ul style="list-style-type: none"> <li>• Makueni</li> <li>• Kitui</li> <li>• Embu</li> <li>• Tharaka Nithi</li> </ul>	Beans & Maize



<b>Malawi</b>	<ul style="list-style-type: none"> <li>• Kasungu Agricultural Development Division (ADD)</li> <li>• Lilongwe ADD</li> <li>• Salima ADD</li> <li>• Mzuzu ADD</li> </ul>	Maize & Groundnuts
<b>Tanzania</b>	<ul style="list-style-type: none"> <li>• Morogoro</li> <li>• Iringa</li> <li>• Njombe</li> <li>• Ruvuma</li> <li>• Mbeya</li> <li>• Songwe</li> <li>• Katavi</li> <li>• Rukwa</li> <li>• Manyara</li> <li>• Kigoma</li> <li>• Tabora</li> </ul>	Rice & Maize
<b>Uganda</b>	<ul style="list-style-type: none"> <li>• Bugisu,</li> <li>• Busoga,</li> <li>• Sebei</li> </ul>	Maize & Beans
<b>Zambia</b>	<ul style="list-style-type: none"> <li>• Southern Province (District: Choma),</li> <li>• Eastern Province (District: Chipata),</li> <li>• Central Province (District: Mumbwa).</li> </ul>	Maize & Soy Beans

AGRA will work with partners who have a proven track record and trusted relationship with the smallholder farmers in the region as well as the broader agriculture value chain ecosystem comprising government extension agencies, agro-dealers/suppliers/manufacturers among others. The intention is to demonstrate the interventions with pre-selected model smallholder farmers in order to create awareness and market demand in the regions. This requires training and capacity building to be undertaken for both the AGRA partner and the selected smallholder farmers including E&S risk training.

## 4 Programme E&S Baseline and Risk Assessment

### 4.1 COUNTRY AND REGION CONTEXTUAL E&S RISK ANALYSIS

AGRA conducted a desktop E&S contextual risk screening analysis for each country participating in its program. This analysis utilized publicly available data sources and focused on crops within the program's scope, incorporating a regional perspective where applicable. The primary aim was to develop a comprehensive understanding of the environmental and social factors influencing agriculture across various contexts in Africa taking into account the in-scope crop types per country<sup>6</sup>.

Each country report is structured into four primary sections:

- 1. Agricultural Economic Landscape:** This section examines the economic context of agriculture within each country, with a specific emphasis on the in-scope crops. It provides an overview of the economic contributions of these crops to national and regional economies, as well as their roles in local and international markets. This analysis includes factors such as crop production volumes, market dynamics, and economic dependencies that may affect agricultural sustainability and growth. Additionally, it includes an assessment of post-harvest food losses for each country.
- 2. Environmental and Social (E&S) Policy Framework:** This section reviews the existing environmental and social policy frameworks that govern the agricultural sector in each country. It analyses relevant policies, regulations, and standards, offering insights into how these policies shape agricultural practices and influence the sector's sustainability and social responsibility.
- 3. Environmental Risk Analysis:** This section evaluates the environmental risks associated with agricultural practices. Key topics include:
  - **Water Availability:** Assessing the adequacy of water resources for irrigation and crop sustainability.
  - **Land Degradation and Soil Erosion:** Evaluating the impacts of agricultural activities on land quality and productivity.
  - **Soil Fertility and Acidification:** Investigating factors affecting soil health and crop yields.
  - **Pesticide Use:** Analysing the implications for environmental and human health.
  - **Deforestation:** Understanding the effects of agricultural expansion on forest ecosystems.
  - **Genetically Modified Crops:** Considering the ecological and biodiversity impacts of genetically modified organisms (GMOs).
- 4. Social Risk Analysis:** This section examines the social risks associated with agricultural practices. Key topics include:
  - **Labor and Working Conditions:** Evaluating compliance with labour standards and worker safety.
  - **Child Labor:** Addressing the prevalence and impact of child labour in agriculture.
  - **Forced Labor:** Investigating issues related to human rights violations in the agricultural sector.
  - **Access to Land and Land Tenure:** Assessing the security of land rights and access for smallholder farmers.
  - **Land Fragmentation:** Evaluating the impacts on agricultural productivity and economic viability.
  - **Community Health and Safety:** Ensuring that agricultural practices do not adversely affect local communities.

<sup>6</sup> In-scope countries include : Burkina Faso, Ethiopia, Kenya, Malawi, Tanzania, Uganda, and Zambia.

**5. General E&S Risk Considerations in FL-RS intervention implementation:** Each country's analysis concludes with a paragraph detailing the anticipated impacts of implementing the project interventions on key environmental and social risk areas.

The analysis of Appendix 2 – Countries Contextual E&S Risks to this Annex 6 offers an examination of the specific environmental and social risks associated with each country, is provided in a dedicated, separate document.

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## 4.2 INDIGENOUS PEOPLES SCREENING AND VULNERABILITY ASSESSMENT

AGRA conducted a desktop Indigenous Peoples (IPs) Screening and Vulnerability Assessment for the RE-GAIN: Scaling Solutions for Food Loss in Africa Programme. This assessment aimed to identify the presence of IPs in the selected regions across the seven African countries targeted by the program and to evaluate potential risks to these communities. The assessment helps ensure that the program's interventions are sensitive to the needs and vulnerabilities of IPs and do not inadvertently harm these communities.

### Overview of Assessment Findings

The assessment focused on identifying IPs within the program's scope and evaluating potential risks associated with the program's implementation. Of the seven countries assessed, no recognized IPs were identified in Zambia and Malawi. However, potential IPs were identified in specific regions within Burkina Faso, Ethiopia, Kenya, Tanzania, and Uganda. These findings underscore the need for careful consideration and tailored approaches to address the unique circumstances and challenges faced by Indigenous communities in these areas.

### Potential Risks to Indigenous Peoples

In traditional development scenarios involving infrastructure development, commercial agriculture, or other large-scale projects, IPs may be exposed to several potential risks due to large-scale land acquisition and construction activities. These risks may include:

- **Loss of Land and Access to Common Property Resources:** IPs may lose traditional lands and resources essential for their livelihoods and cultural practices.
- **Deforestation:** Project activities may lead to deforestation, affecting ecosystems that indigenous communities rely on.
- **Pollution:** Construction and industrial activities may result in environmental pollution, impacting health and natural resources.
- **Loss of or Disruption to Livelihoods:** Indigenous communities may experience disruptions to traditional livelihoods and economic activities.
- **Loss of Autonomy:** Projects may undermine IPs' self-determination and governance structures.
- **Marginalization and Exacerbated Vulnerability:** Indigenous communities may become further marginalized and vulnerable to socio-economic challenges.
- **Project-Induced Influx:** An influx of workers and non-local populations may strain local resources and social dynamics.
- **Impacts on Cultural Heritage:** Development activities may threaten sites of cultural and historical significance to IPs.

### Programme Interventions and Mitigation of Risks

The proposed interventions under the RE-GAIN Programme are targeted at increasing climate resilience and improving livelihoods at the individual smallholder and micro, small, and medium enterprise (MSME) levels as well as strengthening capacities of systems and institutions for an enabling environment that promotes the adoption of food loss reduction solutions. These interventions may result in net-positive impacts or mitigate potential negative impacts on vulnerable land users. Key components of the Programme include:

- **Increased Awareness and Demand for FL-RS:** By educating end users, including smallholder farmers and MSMEs, the program aims to increase the adoption of food loss reduction strategies.

- **Market Creation and Accessibility:** The program focuses on making affordable, climate-resilient FL-RS available in local markets, thereby supporting economic opportunities.
- **Strengthening Policy Environments:** Enhancing the policy framework to support the wide-scale adoption of climate-resilient practices is a central goal of the program.

Based on these objectives, there are no circumstances in which the Programme will result in any form of displacement of IPs, affect access to land or natural resources, nor will the Programme's interventions include activities that significantly alter the physical or social context of the local areas in which the interventions will be implemented. Hence, IPs in the selected regions will be less likely to be exposed to the risks mentioned above.

For a detailed analysis and findings, refer to APPENDIX BC, which contains the complete IPs Screening and Vulnerability Assessment report.

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## 4.3 RISKS ASSOCIATED WITH SEXUAL EXPLOITATION, ABUSE, AND HARASSMENT (SEAH), AND SAFEGUARDING INSTRUMENTS IN PLACE

### Overview of Assessment Findings

AGRA conducted a desktop review to assess potential risks related to Sexual Exploitation, Abuse, and Harassment (SEAH) within the REGAIN: Scaling Solutions for Food Loss in Africa Programme across the target countries. The assessment identified that SEAH risks are linked to unequal power dynamics, especially those involving gender and economic resources, which could lead to tensions within households and communities. The evaluation underlined the need for safeguarding mechanisms to protect vulnerable groups and ensure program interventions are inclusive and equitable.

### Potential Risks Related to SEAH

The following risks were highlighted in the assessment:

- **Gender-Based Violence (GBV) from Economic Empowerment:** When women's financial independence increases, it may challenge traditional gender roles, potentially leading to retaliation or intimate partner violence, as seen in previous programs in Uganda.
- **Community Backlash:** Women entering nontraditional sectors, such as leadership roles in agribusiness, may face ostracism or harassment, particularly in regions where cultural norms do not align with gender equality efforts.
- **SEAH Incidents Among Program Staff:** Power imbalances between staff and participants, as witnessed in Kenya, may result in inappropriate relationships or exploitative behaviour.

### Program Interventions and Mitigation of SEAH Risks

To address these risks, REGAIN will integrate the following key components into the program:

- **Gender and Social Norms Assessments:** Conducted in each country to identify specific gender dynamics and potential risks.
- **Community Engagement:** REGAIN will work closely with local leaders and men's groups to address negative perceptions of women's economic participation and create awareness of shared decision-making benefits.
- **Safeguarding Policies:** AGRA's Safeguarding Policy will be enforced, requiring all program staff, partners, contractors and third-persons/ entities to undergo mandatory training and adhere to safeguarding principles, with clear reporting channels for SEAH incidents.

### Processes in Place to Manage SEAH Risks

AGRA has implemented comprehensive systems to manage SEAH and GBV risks at the programmatic level:

- **Safeguarding Training:** All staff, partners, contractors and third-persons/ entities receive regular safeguarding training, and adherence is closely monitored through performance reviews and audits.
- **Gender-Sensitive Reporting Mechanisms:** Anonymous reporting tools, such as hotlines and online platforms, ensure that survivors can report incidents safely.
- **Collaboration with Local Organizations:** AGRA partners with local women's rights organizations to ensure participants have access to immediate support services and legal resources.

For detailed findings and further analysis, refer to **Appendix D**, which contains the full SEAH risk assessment and safeguarding framework for the RE-GAIN program.

## 4.4 INTERVENTION LEVEL E&S RISK ASSESSMENT

AGRA has conducted an intervention level E&S risk assessment specific to the Programme. The results of the assessment are presented in Table 4-1 below.

**Table 4-1 Intervention level E&S Risk Assessment (country independent)**

Programme Activities:	Description:	Potential E&S Risks and Impacts:	Consequence for AGRA:
<b>Overall Programme E&amp;S Risks</b>			
<b>AGRA employee mobilization</b>	AGRA employees routinely mobilize to remote rural areas to meet with Programme stakeholders such as NGOs, smallholder farmers, and government extension officers etc.	Travel health and safety risks associated with road transportation in rural areas where poor road conditions may exist and/or lack of readily available emergency medical services.	<ul style="list-style-type: none"> <li>• Potential for accidents involving AGRA employees that may lead to injury or fatality.</li> <li>• In countries with known conflict zones and/or unexpected civil unrest, the travel health and safety risks may be exacerbated resulting in potential travel bans and/or inclusion of accompanying security personnel.</li> </ul>
<b>In-country partner sourcing</b>	AGRA procures the services of local NGOs and/or private sector actors to support the building of the intervention ecosystem (i.e., to build the connections between manufacturers, agrodealers, and the end recipients such as smallholder farmers and MSMEs).	Reputational risks through engagement and partnership with NGOs, research institutes and other private and/or governmental bodies with poor E&S performance and/or reputation.	<ul style="list-style-type: none"> <li>• Not achieving intended positive impact of intervention.</li> <li>• Vulnerability to accusation from local and international NGOs, and reputational damage.</li> <li>• Limiting partnership options with NGOs and other support organisations needed to successfully execute the Programme due to limited E&amp;S risk management capacity and track record.</li> </ul>
	Implementation of activities through government representatives such as Agricultural Extension Services (AES) and Village-Based Advisors (VBAs).	<ul style="list-style-type: none"> <li>• Potential for misuse of power at local and regional levels by VBAs and AES resulting in increased dependencies and vulnerability.</li> <li>• Reinforcing inequalities and discrimination e.g. of women due to cultural bias and/or self-serving needs.</li> </ul>	
<b>Identifying suitable manufacturers of FL-RS technologies</b>	AGRA will preferentially identify and partner with locally available manufactures of FL-RS technologies for inclusion into the Programme.	Reputational risks associated with manufactures due to E&S related risk factors such as: <ul style="list-style-type: none"> <li>• Sub-standard labour and working conditions including potential for poor occupational health and safety practices;</li> </ul>	<ul style="list-style-type: none"> <li>• Vulnerability to accusation from local and international NGOs, and reputational damage.</li> <li>• Limiting partnership options with manufacturers needed to successfully execute the Programme due to limited E&amp;S risk management capacity and track record.</li> </ul>

		<ul style="list-style-type: none"> <li>Limited pollution control measures and waste management; and/or</li> <li>Road transport health and safety risks associated with transporters (either internal/external) of FL-RS technologies to agrodealers.</li> </ul>	
<b>In-country financial institution sourcing</b>	AGRA will partner with locally available financial institutions to provide financing at preferential rates to either manufacturers or smallholder farmers / MSMEs.	Reputational risks associated with financial institutions due to poor and/or unethical terms and conditions of financial models (especially those related to microfinance institutions) which may lead to smallholder farmer dependence.	<ul style="list-style-type: none"> <li>Vulnerability to accusation from local and international NGOs, and reputational damage.</li> <li>Limiting partnership options with financial institutions needed to successfully execute the Programme due to limited E&amp;S risk management capacity and track record.</li> </ul>
<b>Contractor management</b>	AGRA may engage with contractors (either directly or via the Programme partner(s)) for various services and infrastructural development as part of the Programme implementation in respect of the installation of FL-RS.	<ul style="list-style-type: none"> <li>Poor contractor performance in meeting E&amp;S standards can lead to Programme delays and quality issues.</li> <li>Labor rights violations, including unsafe working conditions and unfair wages, presence of forced and/or child labour practices can occur among contracted workers.</li> </ul>	<ul style="list-style-type: none"> <li>Reputational damage due to association with contractors failing to meet E&amp;S standards.</li> <li>Legal liabilities if contractors violate labor laws or environmental regulations.</li> <li>Increased scrutiny from stakeholders and potential loss of trust.</li> </ul>
<b>External grievance management</b>	AGRA will establish a system for stakeholders, including local communities, partners, agrodealers, and the general public to raise concerns and grievances related to the Programme activities.	<ul style="list-style-type: none"> <li>Ineffective grievance mechanisms can lead to unresolved community issues and dissatisfaction with the Programme objectives.</li> <li>Potential for increased community tensions if grievances are not addressed in a timely and transparent manner.</li> <li>Risk of misinformation and escalation of conflicts if grievances are not effectively managed.</li> </ul>	<ul style="list-style-type: none"> <li>Damage to reputation and community relations if grievances are not effectively managed.</li> <li>Increased conflict and resistance from local communities, affecting Programme success.</li> <li>Potential legal challenges if grievances escalate without resolution.</li> </ul>
<b>Stakeholder engagement</b>	Developing and implementing a plan for regular and meaningful engagement with all relevant stakeholders, including local communities, government bodies, partners, suppliers and NGOs etc.	Exclusion of key stakeholders can result in misalignment of Programme goals with community needs and priorities.	<ul style="list-style-type: none"> <li>Reputational risks due to perceived lack of transparency and inclusivity.</li> <li>Challenges in Programme implementation due to lack of stakeholder support and cooperation.</li> <li>Missed opportunities for collaboration and leveraging local knowledge and resources.</li> </ul>
<b>Regional conflicts</b>	Known conflict areas were identified as part of the E&S contextual risk reviews in certain regions in Burkina Faso and	Key issues associated with conflict areas that may impact the implementation of the Programme may include:	<ul style="list-style-type: none"> <li>Reputational risks associated with in-country partners.</li> </ul>



	Ethiopia where the Programme is intended to be implemented.	<ul style="list-style-type: none"> <li>• Health, safety and security related risks of AGRA employees as well as Programme partners operating in these areas;</li> <li>• Difficulties in procuring and transporting FL-RS technologies to the smallholder farmers;</li> <li>• Community relationships may be impacted and/or influenced by the ongoing conflict creating barriers to successful roll-out of Programme objectives;</li> <li>• Sourcing suitable Programme partners within the conflict regions may be challenging as there may be tensions and/or biased connections between the partners and the recipients of the FL-RS interventions; and</li> <li>• Relationships with government at various levels as part of implementation are likely to be directly related to the context. There are times when it is not suitable to have any formal relationship with a government – for example if the government is contributing to violent conflict or oppressing particular groups.</li> </ul>	<ul style="list-style-type: none"> <li>• Challenges in Programme implementation due to the listed key issues/barriers associated with conflict areas.</li> <li>• Increased risk of security incidents that may lead to Programme stakeholder injury or death.</li> <li>• In countries with known conflict zones and/or unexpected civil unrest, the travel health and safety risks may be exacerbated resulting in potential travel bans and/or inclusion of accompanying security personnel.</li> </ul>
<b>Labour and working conditions of smallholder farmers</b>	The end recipients of the FL-RS are smallholder farmers and MSMEs.	Depending on the country, maturity and oversight of labour regulations as well as the agricultural activities associated with the growing of the in-scope crops involved, risks associated with labour and working conditions may exist. These may include the presence of child and/or forced labour practices on these farms, poor health and safety practices, non-compliance with labour laws and non-alignment with the requirements of international standards such as those set out in the ILO and IFC PS 2.	<ul style="list-style-type: none"> <li>• Reputational Risk: Unsafe labor practices of smallholder farmers can lead to negative publicity and harm AGRA's reputation as organization.</li> <li>• Reputational Risk: Presence of child labor and/or forced labour in smallholder farmers can severely damage reputation, leading to loss of stakeholder trust and public backlash.</li> <li>• Child labor on smallholder farms may be exposed to increased health and safety risks associated with the installation and/or use of FL-RS interventions (including exposure to crop protectants etc.).</li> </ul>
<b>Land tenure issues on smallholder farmers</b>	The end recipients of the FL-RS are smallholder farmers.	Smallholder farmers in the target regions in each country may be involved in active	<ul style="list-style-type: none"> <li>• Reputational Risk: FL-RS interventions on smallholder farms in which land disputes are</li> </ul>

		land tenure issues that may impact the ability of AGRA to roll out the Programme interventions. These land issues may lead to distrust of new agricultural projects in the area especially if the Programme includes government support in circumstances where the land issues are associated with public sector involvement.	<p>taking place can lead to negative publicity and damage to AGRA's reputation.</p> <ul style="list-style-type: none"> <li>• Supply Chain Risk: Unresolved land tenure issues can cause delays and disrupt the implementation of agricultural projects.</li> <li>• Conflicts over land use can lead to unsustainable agricultural practices and environmental degradation leading to difficulties in rolling out FL-RS interventions in target regions by AGRA.</li> </ul>
<b>Community health and safety</b>	The Programme involves introducing potential new activities in the communities within which the interventions are to take place.	The Programme will result in an influx of new stakeholders into the region such as contractors, agrodealers and NGO staff etc. The risk of increased road traffic and associated exposure to community health and safety risks may occur. Furthermore, the Programme may result in unintended exposure or use of FL-RS technologies to the surrounding communities. For example, if the recipients of the FL-RS technologies are not trained correctly on the safe use, storage and disposal of waste (i.e., such as plastics, used crop protectant containers etc.), these FL-RS technologies may end up in local community areas exposing those communities to EHS risks and impacts. The introduction of machinery such as threshers could lead to smoke air pollution if they are not properly maintained or serviced	<ul style="list-style-type: none"> <li>• Health and safety incidents can tarnish AGRA's reputation, leading to loss of community support and stakeholder confidence associated with FL-RS implementation.</li> <li>• Improper use of agricultural crop protectants can harm local ecosystems and community health, leading to environmental liabilities.</li> <li>• The Programme may inadvertently result in increase in plastic waste generation leading to reputational risks to AGRA.</li> <li>• Equipment that is not properly serviced may lead to excessive smoke discharge that could affect air quality. This can lead to reputation risks to AGRA</li> </ul>
<b>Smallholder Farm / MSME E&amp;S Risks</b>			
<b>Introduction and promotion of novel FL-RS technologies</b>	The technologies may include the introduction of metal silos, hermetic bags, moisture meters, multiple crop harvesters (MCH) mechanical threshers, shellers, and pre-storage protectants (non-exhaustive).	<ul style="list-style-type: none"> <li>• The innovative technology introduced to small holder farmers and/or MSMEs may lead to unintended health, safety and/or environmental risks such as injury or increased pollution generation as a consequence of recipients not being adequately trained on their correct use and/or waste disposal.</li> <li>• Specific risks may include the potential misuse of harvesting</li> </ul>	<ul style="list-style-type: none"> <li>• Potential reputational damage due to accidents or misuse of technology.</li> <li>• Potential legal challenges associated with health and safety incidents.</li> </ul>

		machinery leading to accidents and liability, and inadequate training for the safe use of mechanical multi-crop threshers and shellers, resulting in injuries or fatalities.	
	Introducing biological pest control methods as part of integrated pest management strategies.	<ul style="list-style-type: none"> <li>• Health and safety risks associated with the application of biological control measures if not properly managed or applied could potentially affecting both users and local ecosystems.</li> <li>• Inadequate training on the use of biological controls may lead to ineffective pest management or harm to non-target species.</li> <li>• Difficulty in finding suppliers of biological control measures in local supply chains that meet the Programme requirements.</li> </ul>	<ul style="list-style-type: none"> <li>• Potential for negative environmental impact if biological control measures are misused.</li> <li>• Increased scrutiny from stakeholders and potential reputational damage.</li> <li>• Risk of reduced effectiveness of biological control measures if not properly implemented.</li> <li>• Failure to source locally available biological control measures leading to use of and/or difficulty in meeting Programme requirements in respect of pest control.</li> </ul>
<b>Training and capacity building</b>	AGRA procures NGOs to create awareness and demonstrate the FL-RS in collaboration with manufacturer and agrodealers. These trainings are conducted at selected smallholder farms.	<ul style="list-style-type: none"> <li>• NGO staff may not have adequate technical competencies to provide training on unintended health, safety and/or environmental risks associated with the FL-RS technologies.</li> <li>• NGOs may deliver training that is not culturally suited to the target audience and may be biased from an inclusion and gender perspective.</li> <li>• Risks of inadequate training leading to improper use of FL-RS technologies by smallholder farmers, potentially resulting in health, safety, or environmental incidents.</li> </ul>	<ul style="list-style-type: none"> <li>• Failure to achieve the desired outcomes of the Programme.</li> <li>• Limiting future collaboration with training partners if issues are not addressed.</li> </ul>
<b>Pollution Prevention</b>	Introduction of hermetic bags and moisture meters which are comprised of plastic on smallholders' farms.	<ul style="list-style-type: none"> <li>• End of use of these plastic technologies may result in large volumes of plastic waste generated if not managed correctly.</li> <li>• Potential for environmental pollution due to improper disposal of used materials.</li> <li>• Increased waste management challenges at the local government</li> </ul>	<ul style="list-style-type: none"> <li>• Reputational risks associated with environmental pollution if plastic waste is not managed properly.</li> <li>• Potential regulatory penalties if waste management practices do not comply with local laws and standards.</li> <li>• Increased exposure of plastic waste (or other intervention waste products) to surrounding communities which may lead to increased</li> </ul>

		level, necessitating the development of effective recycling and disposal strategies.	prevalence of grievances and/or community health and safety incidents.
	General waste generated from Programme activities	<ul style="list-style-type: none"> <li>• Accumulation of non-hazardous waste materials can lead to environmental pollution if not effectively managed.</li> <li>• Inefficient waste management systems can contribute to local environmental degradation and affect community relations.</li> <li>• Potential for environmental Pollution from improper disposal of oil waste from machinery.</li> </ul>	<ul style="list-style-type: none"> <li>• Increased scrutiny from stakeholders and community members regarding waste management practices.</li> <li>• Potential reputational damage if waste is not managed in an environmentally responsible manner.</li> </ul>
<b>Hazardous Waste</b>	Introduction of crop protectants that may be classified as hazardous (containers and packaging)	<ul style="list-style-type: none"> <li>• Increased generation of hazardous waste on smallholders' farms combined with lack of suitable accredited hazardous waste management facilities.</li> <li>• Potential for environmental contamination if hazardous waste is not disposed of correctly.</li> <li>• Health risks to communities and workers if exposed to improperly managed hazardous materials.</li> </ul>	<ul style="list-style-type: none"> <li>• Legal liabilities and reputational damage if hazardous waste management does not meet regulatory standards.</li> <li>• Increased costs associated with compliance and waste management improvements.</li> <li>• Potential resistance from communities if hazardous waste impacts local health and environments.</li> </ul>

## 5 Programme E&S Mitigation Measures

### 5.1 AGRA ESMS

AGRA has in place a centralised Environmental and Social Management System (ESMS) that is applicable to all interventions initiated in AGRA's focus countries. The AGRA ESMS was developed in 2019 by a global sustainability consultancy - ERM). In practice, the ESMS is adapted where necessary to include country-specific amendments to reflect risks and their management in line with the national institutional and regulatory frameworks.

The 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.

The ESMS will be applied to the Programme to manage the E&S risks associated with the disbursement of funds stemming from the GCF through the in-scope country and crop level interventions. A summary of the AGRA ESMS elements is provided below.

#### **E&S Policy**

To ensure the development, establishment and maintenance of the ESMS, AGRA has developed an E&S Management Policy. The Policy is published on the AGRA website<sup>7</sup>. 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 those implementing partners must comply with the Policy. The Policy is endorsed by the AGRA board and is described in the Appendix 3 Annex 6 AGRA ESMS separate document.

#### **ESMS Structure and Contents**

In order to give effect to the Policy, AGRA implements an ESMS that is described in a separate document (Appendix 3 Annex 6 AGRA ESMS) and that includes a Manual, which is the framework document and includes the following chapters:

- Introduction
- Identification of E&S Risks and Impacts
- ESMS Management and Organisation
- E&S Management and Monitoring
- Stakeholder Engagement (Stakeholder Engagement Plan and Grievance Mechanism)
- ESMS Monitoring and Reporting
- ESMS Review

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<sup>7</sup> <https://agra.org/policy/environment-and-social-management-policy/#:~:text=In%20implementing%20this%20E%26S%20Policy,biodiversity%20and%20sustainably%20manage%20natural>

The ESMS Manual is complimented with the following annexures making up AGRA's E&S risk management toolkit:

- Annex 1: Strategic E&S Risk Assessment
- Annex 2: Capacity Building and Training Plan
- Annex 3: AGRA Exclusion List
- Annex 4: Initial E&S Screening Checklist
- Annex 5: E&S Categorisation Guideline
- Annex 6: Template for a Request for Concept Notes
- Annex 7: AGRA Project Proposal Submission Guidelines
- Annex 8: Capacity Assessment & Pre-Funding Site Checklist
- Annex 9: E&S Risk Assessment Toolkit (including Grievance Mechanism and Stakeholder Engagement Plan)
- Annex 10: Grant Agreement Letter
- Annex 11: Grant Commitment Checklist
- Annex 12: E&S Monitoring Checklist
- Annex 13: Template for an E&S Monitoring Report
- Annex 14: Template for an E&S Performance Report

### **Reference Framework**

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)"; and
- 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 reviews and evaluate all procurement activities against these standards.

### **Identification of E&S Risks and Impacts**

Chapter 2 of the ESMS Manual sets out AGRA's approach to E&S risk and impact identification, which is divided into two processes, namely:

- Strategic E&S Risk Assessment; and
- E&S risks in AGRA's procurement process (i.e. at the implementation partner level).

#### Strategic E&S Risk Assessment

Annex 1 of the ESMS contains a Strategic Risk Assessment template pre-populated with potential E&S risks that must be updated for each Country/ Region. The strategic risk assessment specifically lists the following E&S risk areas:

- Procurement
  - At individual implementation level, due to project activities;
  - Cumulative effects of individual support across a region or country; and
  - Externalities related to the delivery approach and working with VBAs, EOs outside of direct influence of AGRA.
- Country Support and Delivery, Program Development & Innovation, Policy & Strategic Partnerships
  - E&S impacts (externalities) associated with national policy support and country initiatives;
  - Reputational risks associated with policy support direction; and
  - Reputational risks associated with partnerships.

#### E&S risks in AGRA's process

The ESMS Manual sets out E&S risk management activities embedded throughout the lifecycle which is defined as follows:

- 1) Project Conception: conception and approval of project ideas by AGRA must consider possible E&S risks and impacts during project implementation upfront as follows:
  - a. Proposed projects must comply with AGRA's E&S Policy and are considered against AGRA's Exclusion List.
  - b. Desktop review of expected impacts resulting from the proposed project on key E&S parameters including climate adaptation risks.
  - c. Preliminary categorisation of the project into Category A, B or C in line with the IFC PS definitions.
  - d. Following the E&S and climate adaptation screening and the project E&S categorisation, AGRA will decide to pursue the project and proceed with the Request for Applications (RFA).
- 2) Procurement Identification and Concept Development: identification of implementation partners will usually be through an open competition following the Request for Application (RFA). In exceptional circumstance also closed competition or direct solicitation is possible:
  - a. 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.
  - b. The RFCN will include selection criteria for implementation partners 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 partners 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 partners that builds on the risks identified during Pre-Screening and needs to propose management and mitigation measures to be implemented by the applying implementation partner.
  - c. Based on the review of the concept notes, the Grants Regional Charter Committee will define a set of shortlisted implementation partner/consortium that will be invited for proposal development.
- 3) Proposal Development: shortlisted implementation partners are invited to submit proposals according to AGRAs 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.

- a. The review of E&S aspects included in the proposal will be done as part of the detailed review by AGRA. The information provided in the proposal and the ESAP will be used to confirm or amend the preliminary project category.
  - b. Review of proposals will furthermore include a detailed assessment of the organisational capacity of the implementation partner/consortium. This includes an assessment of E&S performance of the implementation partner/consortium.
- 4) Implementation Procurement Award: procurement is 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 in the ESDD report and project ESAP and decision for approval needs to consider the E&S risks as identified.
- a. Post-award Monitoring: E&S reporting and monitoring will be submitted by the implementation partner/consortium at the frequency as specified in the Grant Agreement Letter.
- 5) Close Out: Along with the final reporting on the project by the implementation partner, AGRA approves and provide a Final E&S Report. The final report references the close-out of all ESAP items and requirements of other studies. Should open items remain, these are clearly assigned to the responsible implementation partner to ensure that they will be completed after termination of the implementation timeline.



## 5.2 PROGRAMME ENVIRONMENTAL AND SOCIAL ACTION PLAN

The Programme ESAP detailed below is aligned to the applicable IFC Performance Standards and includes mitigation measures for the E&S risks and impacts based on the findings of the Intervention Level E&S Risk Assessment (refer to 4.4). The Programme ESAP will be adapted where appropriate to be specific to the E&S risks and impacts associated with the individual country, region, crop and combination of FL-RS applicable to the specific intervention envisaged.

**Table 5-1 Programme Environmental and Social Action Plan**

Performance Standard	Programme Activity	Potential E&S Risks and Impacts	Mitigations	Deliverables / Measurable KPI
<b>PS1</b>	<b>E&amp;S Risk Management</b> AGRA has in place a centralised ESMS (see Chapter 4.1) that is applicable to all interventions initiated in AGRA's focus countries. The 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.	Each individual Programme intervention will present specific E&S risks and impacts taking into account the country and region, crop, smallholder farmers, project partners and specific FL-RS interventions deployed.	<ul style="list-style-type: none"> <li>• Apply the AGRA ESMS to each Programme intervention using the E&amp;S risk and impact management processes, tools and templates.</li> <li>• For each intervention pay specific attention to the potential E&amp;S risks and impacts associated with the Programme activities listed in this Programme ESAP.</li> </ul>	<ul style="list-style-type: none"> <li>• Completed E&amp;S risk management tools and templates per country/region level intervention (refer to Chapter 4.1 for details).</li> </ul>
<b>PS1</b>	<b>In-country partner sourcing</b> AGRA procures the services of local NGOs and/or private sector actors to support the building of the intervention ecosystem (i.e., to build the connections between manufacturers, agrodealers, and the end recipients such	Reputational risks through engagement and partnership with NGOs, research institutes and other private and/or governmental bodies with poor E&S performance and/or reputation.	<ul style="list-style-type: none"> <li>• Conduct a due diligence process on potential partners in each in-scope country, focusing on their E&amp;S performance and associated management systems, compliance with local and international standards, and their reputation among local communities and stakeholders. The due diligence process should include desktop</li> </ul>	<ul style="list-style-type: none"> <li>• Due diligence reports.</li> <li>• Partner Code of Conduct.</li> <li>• Signed Partner Code of Conduct agreements.</li> <li>• Gender Equality and Anti-discrimination Training Materials.</li> <li>• Training attendance records by in-scope country partners.</li> </ul>

as smallholder farmers and MSMEs).

review, reputational risk reviews, site visits and interviews with potential partner senior management including those responsible for E&S risk management.

- Develop a Partner Code of Conduct that outlines AGRA's expectations for E&S performance, ethical behaviour, and compliance with relevant standards. This code should be incorporated into partnership agreements and include provisions for regular monitoring and penalties for non-compliance.

Implementation of activities through government representatives such as Agricultural Extension Services (AES) and Village-Based Advisors (VBAs).

- Potential for misuse of power at local and regional levels by VBAs and AES resulting in increased dependencies and vulnerability.
- Reinforcing inequalities and discrimination e.g. of women due to cultural bias and/or self-serving needs.

- Develop and implement a Code of Conduct specifically for VBAs and AES in each in-scope country. This policy should include guidelines on avoiding conflicts of interest, maintaining transparency, and adhering to ethical standards in decision-making.
- Conduct gender equality and anti-discrimination training tailored to the local context in each in-scope country for Programme partners including AES and VBAs. This training should emphasize the importance of equitable treatment of all beneficiaries, address local cultural norms that may perpetuate inequality, and promote the active participation of women and other vulnerable groups in activities.

PS1	<p><b>External grievance management</b></p> <p>AGRA will establish a system for stakeholders, including local communities, partners, agrodelears, and the general public to raise concerns and grievances related to the Programme activities.</p>	<ul style="list-style-type: none"> <li>• Ineffective grievance mechanisms can lead to unresolved community issues and dissatisfaction with the Programme objectives.</li> <li>• Potential for increased community tensions if grievances are not addressed in a timely and transparent manner.</li> <li>• Risk of misinformation and escalation of conflicts if grievances are not effectively managed.</li> </ul>	<ul style="list-style-type: none"> <li>• Develop and implement a Grievance Mechanism for all in-scope countries that is accessible, transparent, and culturally appropriate. This mechanism should include multiple channels for grievance submission (e.g., in-person, online, hotline), a clear process for grievance resolution with defined timelines, and regular communication with the complainant throughout the process.</li> <li>• Regularly review and report on grievances received, resolutions provided, and any trends or systemic issues that emerge, ensuring continuous improvement of the mechanism.</li> </ul>	<ul style="list-style-type: none"> <li>• Adapted AGRA Grievance Mechanism for each in-scope country.</li> <li>• Country-level Grievance Log.</li> </ul>
PS1	<p><b>Stakeholder Engagement</b></p> <p>Developing and implementing a plan for regular and meaningful engagement with all relevant stakeholders, including local communities, government bodies, partners, suppliers and NGOs etc.</p>	<p>Exclusion of key stakeholders can result in misalignment of Programme goals with community needs and priorities.</p>	<ul style="list-style-type: none"> <li>• Develop a Stakeholder Engagement Plan specific to each in-scope country, ensuring it identifies and includes all relevant stakeholders, particularly marginalized groups. The plan should detail methods for stakeholder identification, engagement schedules, culturally appropriate communication strategies, and feedback mechanisms.</li> <li>• Capture the diverse interests of ethnic groups in the stakeholder engagement activities where applicable.</li> <li>• Monitor and report on stakeholder engagement activities and outcomes regularly, ensuring that</li> </ul>	<ul style="list-style-type: none"> <li>• Adapted AGRA Stakeholder Engagement Plan for each in-scope country.</li> <li>• Stakeholder Engagement Log.</li> </ul>

feedback is incorporated into program adjustments where necessary. Use stakeholder satisfaction surveys, feedback forms, and community meetings to gauge effectiveness.

PS2	<b>Training and capacity building</b> AGRA procures NGOs using GCF grants to create awareness and demonstrate the FL-RS in collaboration with manufacturer and agrodealers. These trainings are conducted at selected small farm holders.	<ul style="list-style-type: none"> <li></li> <li></li> <li>Risks of inadequate training leading to improper use of FL-RS technologies by smallholder farmers, potentially resulting in health, safety, or environmental incidents.</li> </ul>	<ul style="list-style-type: none"> <li>Conduct EHS risk assessments on each FL-RS technology to identify key risks and include mitigation measures in the training to be provided.</li> <li>Develop a culturally sensitive training curriculum tailored to each in-scope country's context, covering technical aspects of the FL-RS technologies, E&amp;S risks, gender inclusion, and best practices for engagement with local communities. Local experts should review the curriculum to ensure relevance and effectiveness.</li> <li>Define periodicity for each training and Monitor the effectiveness of the training provided through feedback surveys, follow-up assessments, and field observations to ensure that the intended outcomes are achieved and that any gaps are addressed promptly.</li> </ul>	<ul style="list-style-type: none"> <li>E&amp;S Training Needs Assessment.</li> <li>EHS Risk Assessment Reports for each FL-RS technology/intervention.</li> <li>E&amp;S Training curriculum by in-scope country.</li> <li>Training Evaluation Reports.</li> </ul>
PS2	<b>Labour and working conditions in the agricultural sector with a focus on child labour</b>	<ul style="list-style-type: none"> <li>Smallholder farming and labour conditions vary significantly across countries, with key risks including child labour, poor working conditions, and lack of formal employment protections. Child labour remains a prevalent issue in agricultural</li> </ul>	<ul style="list-style-type: none"> <li>Develop an E&amp;S screening questionnaire to be completed by participating smallholder farmers and MSMEs. The questionnaire should include specific questions on local labour law compliance,</li> </ul>	<ul style="list-style-type: none"> <li>Completed E&amp;S Screening Questionnaires.</li> <li>Stakeholder engagement meeting on Child and forced labour screening results to reinforce the messaging on child and forced labour</li> </ul>

		sectors, driven by poverty, lack of education, and inadequate enforcement of labour laws. Forced labour and unsafe working conditions are additional risks, particularly among migrant workers and seasonal labourers.	including questions on forced and child labour practices. <ul style="list-style-type: none"><li>Fully enforce AGRA's exclusion list which has a strict code on no tolerance of child and forced labour</li></ul>	
PS2	<b>Labour and working conditions of smallholder farmers</b> The end recipients of the FL-RS are smallholder farmers and MSMEs.	<ul style="list-style-type: none"> <li>Depending on the country, maturity and oversight of labour regulations as well as the agricultural activities associated with the growing of the in-scope crops involved, risks associated with labour and working conditions may exist. These may include labour practices on these farms, poor health and safety practices, non-compliance's with labour laws: laws: contracting standards, non-adherence on the use of personal protective equipment (PPE) in various operations, improper storage and handling of equipment and farm level inputs that could cause bodily harm; and non-alignment with the requirements of international standards such as those set out in the ILO and IFC PS 2.</li> <li>Road transport health and safety risks associated with transporters (either internal/external) of FL-RS technologies to agrodealers</li> <li>Potential misuse of harvesting machinery leading to accidents and liability, and inadequate training for the safe use of mechanical multi-crop threshers and shellers, resulting in injuries or fatalities.</li> </ul>	Develop an E&S screening questionnaire to be completed by participating smallholder farmers and MSMEs. The questionnaire should include specific questions on local labour law compliance, including questions on forced and child labour practices.  Assessment undertaken in areas that may require PPE  Ensure appropriate labelling and training on the interpretation of labels particularly in machine operation, and storage of equipment	<ul style="list-style-type: none"> <li>Completed E&amp;S Screening Questionnaires.</li> <li>Training on the use of PPE</li> <li>Training on machine handling labels</li> </ul>

		<ul style="list-style-type: none"> <li>Health and safety risks associated with the application of biological control measures if not properly managed or applied, potentially affecting both users and local ecosystems</li> </ul>		
<b>PS2</b>	<b>AGRA employee mobilisation</b> AGRA employees routinely mobilise to remote rural areas to meet with Programme stakeholders such as NGOs, smallholder farmers, and government extension officers etc.	<ul style="list-style-type: none"> <li>Travel health and safety risks associated with road transportation in rural areas where poor road conditions may exist and/or lack of readily available emergency medical services.</li> </ul>	<ul style="list-style-type: none"> <li>Develop or adhere to already existing Transport Health and Safety Procedure applicable to AGRA employees for each of the in-scope countries. This procedure should include a travel risk assessment template that assesses road conditions, vehicle safety standards, emergency preparedness measures, and communication protocols. It should also cover training on defensive driving, first aid, and emergency response tailored to the specific challenges of remote rural areas.</li> <li>Implement a check-in communication protocol for employees traveling to remote areas, ensuring that they have regular contact with a designated office-based coordinator.</li> </ul>	<ul style="list-style-type: none"> <li>Transport Health and Safety Procedures by in-scope country.</li> <li>Completed travel risk assessments.</li> <li>Training completion certificates.</li> </ul>
<b>PS2</b>	<b>Contractor management</b> AGRA may engage with contractors (either directly or via the Programme partner(s)) for diverse services and infrastructural development as part of the Programme implementation in respect of the installation of FL-RS.	<ul style="list-style-type: none"> <li>Labor rights violations, including unsafe working conditions and unfair wages, presence of forced and/or child labour practices can occur among contracted workers.</li> </ul>	<ul style="list-style-type: none"> <li>Develop/Update a Contractor E&amp;S Management Plan tailored to each in-scope country, which includes specific requirements for compliance with local labor laws, safety regulations, and IFC PS2. The plan should outline contractor selection criteria and regular compliance monitoring.</li> </ul>	<ul style="list-style-type: none"> <li>Contractor E&amp;S Management Plans by in-scope country.</li> </ul>

<b>PS3</b>	<p><b>Identifying suitable manufacturers of FL-RS technologies</b></p> <p>AGRA will preferentially identify and partner with locally available manufactures of FL-RS technologies for inclusion into the Programme.</p>	<p>Reputational risks associated with manufactures due to E&amp;S related risk factors such as:</p> <ul style="list-style-type: none"> <li>• Limited pollution control measures and waste management; and/or</li> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>• Conduct E&amp;S screening assessments of potential manufacturers that will provide FL-RS technologies to the Programme. The screening assessment, waste management practices, and transport safety protocols.</li> <li>• Include detailed E&amp;S clauses in contracts with manufacturers (if applicable), specifying the required standards for worker safety, environmental protection, and transport safety, along with penalties for non-compliance.</li> </ul>	<ul style="list-style-type: none"> <li>• E&amp;S screening assessment reports</li> <li>• Contracts with E&amp;S clauses</li> </ul>
<b>PS3</b>	<p><b>Introduction and promotion of novel FL-RS technologies</b></p> <p>The technologies may include the introduction of metal silos, hermetic bags, moisture meters, multiple crop harvesters (MCH) mechanical threshers, shellers, and pre-storage protectants (non-exhaustive).</p> <p>Introducing biological pest control methods as part of integrated pest management strategies</p>	<ul style="list-style-type: none"> <li>• The innovative technology introduced to smallholder farmers and/or MSMEs may lead to unintended environmental risks such as injury or increased pollution generation as a consequence of recipients not being adequately trained on their correct use and maintenance of equipment..</li> <li>• Health and safety risks associated with the application of biological control measures if not properly managed or applied, potentially affecting both users and local ecosystems</li> <li>• Inadequate training on the use of biological controls may lead to ineffective pest management or harm to non-target species.</li> </ul>	<ul style="list-style-type: none"> <li>• In collaboration with manufacturer and agrodealers, Develop and deliver tailored training sessions in local languages for smallholder farmers in each in-scope country on the safe use and maintenance of FL-RS technologies. The training should include hands-on demonstrations, safety precautions, emergency response procedures, and maintenance best practices.</li> <li>• Distribute user manuals and safety guidelines specific to the technologies and their country contexts, with clear illustrations and step-by-step instructions in appropriate languages. Manuals should also include information on proper disposal methods for any waste generated by the technologies.</li> </ul>	<ul style="list-style-type: none"> <li>• Training curriculum.</li> <li>• Training records by in-scope country.</li> <li>• Distributed user manuals and safety guidelines.</li> <li>• Pest Management Monitoring Reports.</li> </ul>

			<ul style="list-style-type: none"> <li>• Develop and deliver a training program on biological pest control measures specific to each in-scope country. The program should cover the safe handling and application of biological controls, potential risks to non-target species, monitoring of pest populations, and safe disposal of any residuals.</li> <li>• Define periodicity for each training.</li> <li>• Monitor the use and impact of biological controls in the field regularly, with data collection on effectiveness and any unintended consequences. Regularly review the supply chain to ensure compliance with the program's E&amp;S requirements.</li> </ul>	
PS3	<b>Pollution Prevention</b> Introduction of hermetic bags and moisture meters which are comprised of plastic on smallholders' farms.	<ul style="list-style-type: none"> <li>• End of use of these plastic technologies may result in large volumes of plastic waste if not managed correctly.</li> <li>• Potential for environmental pollution due to improper disposal of used materials.</li> <li>• Increased waste management challenges at the local level, necessitating effective recycling and disposal strategies.</li> </ul>	<ul style="list-style-type: none"> <li>• Develop and implement a Waste Management Plan for plastic materials specific to each in-scope country, including strategies for recycling and disposal. The plan should identify local recycling facilities, outline the responsibilities of farmers and agrodealers in waste management, and provide guidelines on the proper disposal of used materials.</li> <li>• Partner with local recycling facilities and conduct awareness campaigns on proper waste disposal among farmers in each in-scope country, emphasizing the environmental and health risks</li> </ul>	<ul style="list-style-type: none"> <li>• Waste Management Plans by in-scope country.</li> <li>• Agreements with local recycling facilities.</li> <li>• Waste Management Awareness Training and Campaign records.</li> <li>•</li> </ul>
PS3	<b>Generic Waste</b> General waste generated from Programme activities	<ul style="list-style-type: none"> <li>• Accumulation of non-hazardous waste materials can lead to environmental pollution if not effectively managed.</li> <li>• Inefficient waste management systems can contribute to local</li> </ul>		



		environmental degradation and affect community relations.	associated with improper waste management. These campaigns should use local languages and culturally appropriate messaging.	
<b>PS3</b>	<b>Hazardous Waste</b> Introduction of crop protectants that may be classified as hazardous (containers and packaging)	<ul style="list-style-type: none"> <li>Increased generation of hazardous waste on smallholders' farms combined with lack of suitable accredited hazardous waste management facilities.</li> <li>Potential for environmental contamination if hazardous waste is not disposed of correctly.</li> <li>Health risks to communities and workers if exposed to improperly managed hazardous materials.</li> </ul>	<ul style="list-style-type: none"> <li>Develop a Hazardous Waste Management Plan for each in-scope country, focusing on the identification, storage, and disposal of hazardous materials. The plan should include procedures for safe storage (e.g., labelling, containment, ventilation), transportation (e.g., licensed carriers, safe loading), and disposal.</li> <li>Provide training to farmers and workers on the safe handling, storage, and disposal of hazardous waste, ensuring that they understand the risks associated with improper management and are equipped to follow the Hazardous Waste Management Plan.</li> </ul>	<ul style="list-style-type: none"> <li>Hazardous Waste Management Plans by in-scope country.</li> <li>Training records.</li> <li>Evidence of proper hazardous waste storage facilities.</li> </ul>
<b>PS4</b>	<b>Regional conflicts</b> Known conflict areas were identified as part of the E&S contextual risk reviews in certain regions in Burkina Faso and Ethiopia where the Programme is intended to be implemented.	<p>Key issues associated with conflict areas that may impact the implementation of the FL-RS interventions may include:</p> <ul style="list-style-type: none"> <li>Health, safety and security related risks of AGRA employees as well as Programme partners operating in these areas;</li> <li>Sourcing suitable Programme partners within the conflict regions may be challenging as there may be tensions and/or biased connections between the partners and the recipients of the FL-RS interventions; and</li> </ul>	<ul style="list-style-type: none"> <li>Develop a Conflict Sensitivity Programme for Burkina Faso and Ethiopia which includes the following: <ul style="list-style-type: none"> <li>Conflict Analysis which considers of areas of concern / areas of opportunity where the Programme and conflict areas/issues may overlap.</li> <li>Based on the output of the Conflict Analysis</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Conflict analysis reports and mitigation measures.</li> <li>Training curriculum on conflict sensitivity.</li> </ul>

		<ul style="list-style-type: none"> <li>Relationships with government at different levels as part of implementation are likely to be directly related to the context. There are times when it is not suitable to have any formal relationship with a government – for example if the government is contributing to violent conflict or oppressing particular groups.</li> </ul>	<ul style="list-style-type: none"> <li>develop Programme level mitigation measures. <ul style="list-style-type: none"> <li>Training on conflict sensitivity specific to the risks identified in the conflict analysis and recommended mitigations.</li> </ul> </li> </ul>	
		<ul style="list-style-type: none"> <li></li> </ul>	<ul style="list-style-type: none"> <li></li> </ul>	
		<ul style="list-style-type: none"> <li></li> </ul>	<ul style="list-style-type: none"> <li></li> </ul>	<ul style="list-style-type: none"> <li></li> </ul>
<b>PS4</b>	<b>In-country financial institution sourcing</b> AGRA will partner with locally available financial institutions to provide financing at preferential rates to either manufacturers or small holder farmers / MSMEs.	<ul style="list-style-type: none"> <li>Reputational risks associated with financial institutions due to poor and/or unethical lending processes (especially those related to microfinance institutions) which may lead to smallholder farmer indebtedness.</li> </ul>	<ul style="list-style-type: none"> <li>Conduct E&amp;S screening assessments on financial institutions in each in-scope country to assess their lending practices, particularly their treatment of smallholder farmers and MSMEs. The screening assessment should evaluate the institutions' compliance with ethical lending practices and transparency where possible.</li> <li>Develop financial partnership agreements (if applicable) that include specific E&amp;S performance requirements, such as commitments to responsible lending, transparency in loan terms, and adherence to anti-corruption standards. These agreements should also outline mechanisms for monitoring</li> </ul>	<ul style="list-style-type: none"> <li>E&amp;S screening assessment reports</li> <li>Contracts with E&amp;S clauses</li> </ul>

			compliance and addressing any E&S concerns that arise.	
<b>PS4</b>	<b>Community health and safety</b> The Programme involves introducing potential new activities in the communities within which the interventions are to take place.	The Programme will result in an influx of new stakeholders into the region such as contractors, agrodealers and NGO staff etc. The risk of increased road traffic and associated exposure to community health and safety risks may occur. Furthermore, the Programme may result in unintended exposure or use of FL-RS technologies to the surrounding communities. For example, if the recipients of the FL-RS technologies are not trained correctly on the safe use, storage and disposal of waste (i.e., such as plastics, used crop protectant containers etc.), these FL-RS technologies may end up in local community areas exposing those communities to EHS risks and impacts.	<ul style="list-style-type: none"> <li>• Conduct an E&amp;S risk assessment on all Programme activities to understand to what extent they may pose unintended E&amp;S risks to the local communities.</li> <li>• Based on the EHS risk assessment conducted, develop a Community Health and Safety Plan for each in-scope country detailing mitigation measures.</li> </ul>	<ul style="list-style-type: none"> <li>• Community Health and Safety Plan per in-scope country</li> </ul>
<b>PS5</b>	<b>Land tenure issues on smallholder farmers</b> The end recipients of the FL-RS are smallholder farmers.	<p>With the application of FL-RS, farmers are likely to increase their profits that may lead to increased investments in land under cultivation. This may lead to increased land acquisition. If this is not done following laid down laws, it could lead to conflict and or reputational issues</p> <p>Smallholder farmers in the target regions in each country may be involved in active land tenure issues that may impact the ability of AGRA to roll out the Programme interventions. These land issues may lead to distrust of new agricultural projects in the area especially if the Programme includes government support in circumstances where the land issues are associated with public sector involvement.</p>	Develop an E&S screening questionnaire to be completed by participating smallholder farmers and MSMEs. The questionnaire should include specific questions on land tenure potential risks and impacts. Any Land Acquisition and Involuntary Resettlement will form part of the exclusion list.	<ul style="list-style-type: none"> <li>• Completed E&amp;S Screening Questionnaires and exclusion list.</li> <li>• Stakeholder engagement to include topics on land acquisition issues</li> </ul>

<b>PS6</b>	<b>Biodiversity Risk Management</b>	Each individual Programme intervention will present specific Biodiversity risks and impacts taking into account the country and region, crop and specific FL-RS interventions deployed.	<p>Apply the AGRA ESMS to each Programme intervention using the E&amp;S risk and impact management processes, tools and templates including those specifically dedicated to Biodiversity Conservation and Sustainable Management of Living Natural Resources.</p> <p>Increased profits at farmers level may lead to expansion of agriculture lands into areas with biodiversity of national (and global importance)</p> <p>Most smallholder farmers activities are in rural areas that usually also have biodiversity assets on land and or in water. Project waste, as described above, may pollute and damages biodiversity if not used appropriately or disposed of appropriately</p>	<ul style="list-style-type: none"> <li>Completed E&amp;S risk management tools and templates per country/region level intervention (see PS 1 Risk Management)</li> </ul>
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## APPENDIX A      Physical Solutions Selection Summary

An evaluation of proposed physical Food Loss-Reduction Solutions (FL-RS) was conducted to identify those with the highest potential to reduce postharvest food losses and protect the harvests against growing impacts from climate hazards.

Leveraging the following criteria:

- a) Unit cost and cost-effectiveness and of the solution.
- b) Target audience, distinguishing between agricultural cooperatives and individual farmers.
- c) Accessibility of the solution, including available supply, location of target farmers and suppliers.
- d) Estimated reduction in food losses/ Positive impact of the FL-RS.
- e) Possibility of using the solution for different crops, and
- f) Technical and implementation feasibility, and existing bottlenecks/barriers.

This exercise led to the selection of 10 FL-RS solutions for further evaluation:

- Harvesting machinery (e.g., multi-crop harvesters)
- Mechanical multi-crop threshers and shellers
- Tarpaulins and plastic sheets
- Wooden and metal cribs
- Metal and plastic silos
- Hermetic and other plastic bags
- Moisture meters
- Storage structures (e.g., huts, baskets, grain sheds)
- Storage protectants and control agents (biological fumigants, insecticides and pesticides)
- Transport packaging (e.g., wooden crates and bags)

This assessment facilitated the development of a shortlist of seven relevant physical FL-RS solutions that could be tailored to meet specific country needs. This analysis considered initially address identified climate risks in the target value chains, affordability for the smallholder farmers, and level of appropriateness to the local context, as stakeholder engagements in all seven countries provided critical nuances including advantages, disadvantages, and barriers for use, particularly for smallholder farmers.

In addition to the above-mentioned prioritizations following the climate rationale, the final selection of solutions considered additional prioritization factors to ensure the success of the RE-GAIN Programme and achieve lasting systemic changes in all target countries. These include:

- Impact of the solution on the environment (environmental pollution/ GHG emissions during the use of the solutions),
- current level of awareness of the farmers about the solution's proper use and maintenance,
- frequency of the solutions' uses during the year,
- solution's estimated potential in reducing food losses,
- availability of selected FL-RS in the country, and

- potential for the supply scalability and job creation through locally produced or assembled solutions and improving market linkages.

Given these factors, affordable solutions such as solar-powered small-scale mechanized solutions with the highest potential to protect harvests from high moisture and pests are prioritized.

Additionally, considering the critical loss points for the target crops, particularly during post-harvest handling and storage, proper access to appropriate storage technologies for farmers is essential. Combining hermetic storage solutions (hermetic bags, silos, storage structures) with moisture meters is crucial for preventing spoilage and aflatoxin development, particularly in crops like maize and groundnut. This combination offers an enhanced opportunity to reduce food losses effectively.

The list of solutions for each country, a high, medium, and low scoring approach was applied, considering synergies and increased potential impact of the solutions on food loss reduction. The final shortlist of prioritized solutions for each country are presented in the table below:

**Table 5-2 Physical Solutions Prioritisation per AGRA country**

Solutions	Burkina Faso	Ethiopia	Kenya	Malawi	Tanzania	Uganda	Zambia
Harvesting machinery	low	medium	low	low	medium	low	low
Mechanical multi-crop threshers and shellers	high	high	medium	medium	high	high	high
Tarpaulins and plastic sheets	medium	medium	medium	high	medium	high	high
Wooden and metal cribs	low	low	low	low	low	low	low
Metal and plastic silos	high	high	medium	high	high	high	high
Hermetic bags	high	high	high	high	high	high	high
Moisture meters	high	medium	medium	medium	medium	medium	medium
Communal storage structures	high	high	high	high	medium	high	high
Storage protectants and control agents	medium	medium	medium	medium	low	low	low
Transport packaging	low	low	low	low	low	low	low

Concerning storage protectants and control agents, particularly in Burkina Faso, Ethiopia, Kenya and Malawi, stakeholders identified these as affordable and beneficial. However, there remains a considerable need to raise awareness regarding the proper use (dosage and application of chemical protectants) across the countries. Additionally, there is a need to develop the supply of biological I protectants and control agents in the markets.

For the effective introduction and maintenance of communal storage, adequate facility management and maintenance, proper road infrastructure and sufficient transport availability will be crucial.

Based on the above, we propose delivery of shortlisted solutions using the following approach:

- Communal use by the target communities/farmer groups: mechanical multi-crop threshers and shellers (preferably solar-powered), moisture meters and communal storage structures
- Individual use by the target farmers: tarpaulins and plastic sheets, metal and plastic silos, hermetic bags, and storage protectants and control agents of biological origin.

We recommend the FL-RS adaptation strategy for all target countries to be deployed as basket of option as bespoke combinations such as mechanical multi-crop threshers and shellers (preferably solar-powered) combined with moisture

meters for monitoring the level of moisture in the target crops, and communal storage structures, with the FL-RS uses on the individual farm level, such as tarpaulins and plastic sheets for drying crops, hermetic storage technologies (hermetic bags, silos) used for storage of the crops, and storage protectants and control agents, preferably biological origin.

Further discussion on the selection process of the physical solutions and the respective analysis can be found on Annex 2 and the respective Appendixes for country-specific analysis.

# APPENDIX B

As described in Annex 7, four stakeholder engagements – two national and two in potential implementation areas for the engagement - were conducted across the seven countries to discuss in greater detail the RE-GAIN programme. These engagements followed the procedures outlined in the ESMS policy described in Appendix 3 Annex 6 as well as the principles explored in Annex 7. The dates and locations of these engagements are outlined below and further discussed in Annex 7.

Table B-1 National and Local Stakeholder Engagement 1 Locations

Country	Location of National Stakeholder Engagement 1	National Engagements 1 Dates	Location of Local Stakeholder Engagement 1	Local Engagements 1 Dates
Burkina Faso	Ouagadougou	04 June 2024	Bobo Dioulasso	06 June 2024
Ethiopia	Addis Ababa	11 June 2024	Addis Ababa	12 June 2024
Kenya	Nairobi	21 May 2024	Embu	23 May 2024
Malawi	Lilongwe	06 June 2024	Nathenje-Lilongwe	07 June 2024
Tanzania	Dar es Salaam	13 June 2024	Morogoro	11 June 2024
Uganda	Kampala	13 June 2024	Mbale	11 June 2024
Zambia	Lusaka	04 June 2024	Chipata	06 June 2024

Table B-3 National and Local Stakeholder Engagement 2 Locations

Country	Location of National Stakeholder Engagement 2	National Engagements 2 Dates	Location of Local Stakeholder Engagement 2	Local Engagements 2 Dates
Burkina Faso	Ouagadougou	02 July 2024	Bobo Dioulasso	04 July 2024
Ethiopia	Addis Ababa	02 July 2024	Addis Ababa	03 July 2024
Kenya	Nairobi	18 June 2024	Kitui	20 June 2024
Malawi	Lilongwe	25 June 2024	Salima	27 June 2024
Tanzania	Dodoma	09 July 2024	Mbeya	11 July 2024
Uganda	Kampala	04 July 2024	Mbale	02 July 2024
Zambia	Lusaka	09 July 2024	Choma	11 July 2024



# APPENDIX C Indigenous Peoples Screening and Vulnerability Assessment

## LIST OF ACRONYMS

FPIC	Free, Prior Informed Consent
GCF	Green Climate Fund
ICCPR	International Covenant on Civil and Political Rights
ICESCR	International Covenant on Economic, Social and Cultural Rights
IFC	International Finance Corporation
IK	Indigenous Knowledge
IPs	Indigenous Peoples
ITPC	Indigenous and Tribal Peoples Convention
IWGIA	International Working Group on Indigenous Affairs
OHCHR	Office of the United Nations High Commissioner for Human Rights
PS	Performance Standard
TCCA	Tama Community Conservation Area
UDHR	Universal Declaration of Human Rights
UWA	Uganda Wildlife Authority

## C 1. INTRODUCTION

### C 1.1. Background

This Indigenous Peoples (IPs) Screening and Vulnerability Assessment screened for the presence of IPs in selected regions in the seven African countries that are part of the RE-GAIN Programme: Uganda, Malawi, Kenya, Ethiopia, Burkina Faso, Zambia, and Tanzania. Additionally, the assessment has identified, at a high level, possible risks to IPs as a result of the Programme in the selected regions.

It is estimated that there are approximately 476 million IPs around the world, who make up 6% of the global population, and account for roughly 19% of those who live in extreme poverty (International Work Group for Indigenous Affairs, 2024).

### Definition of Indigenous Peoples

For the purposes of this Assignment, IPs are defined on the basis of the following characteristics, adopted from the United Nation Permanent Forum on Indigenous Issues:

- Self-identification as IP at the individual level and accepted by the community as their member;
- Historical continuity with pre-colonial and/or pre-settler societies;
- Strong link to territories and surrounding natural resources;
- Distinct social, economic or political systems;
- Distinct language, culture and beliefs;
- Form non-dominant groups of society; and
- Resolve to maintain and reproduce their ancestral environments and systems as distinctive peoples and communities.

Although the above characterisation of IPs may be largely applicable in other parts of the world, there are certain complexities that need to be considered when screening for IPs in the context of African countries. Section 2 explores some of those complexities as a pre-caution to the sensitivity of the concept of IPs, and to highlight other factors that may need to be considered as equally important to IPs in the selected regions.

### C 1.2. Reference Framework

The following international standards and conventions, and the GCF IP Policy were considered in this IP Screening and Vulnerability Assessment:

- The Universal Declaration of Human Rights (UDHR) (1948);
- International Covenant on Economic, Social and Cultural Rights (ICESCR) (1966);
- International Covenant on Civil and Political Rights (ICCPR) (1966);
- Indigenous and Tribal Peoples Convention (ITPC) (1989);
- UN Declaration on the Rights of Indigenous Peoples (2007); and
- IFC Performance Standard (PS) 7 (2012).

### Country Ratification of international conventions on Indigenous Peoples

None of the countries in which IPs were screened have ratified the ITPC (1989). Additionally, as shown in the table below, there are countries that voted in favour of the UN Declaration on the Rights of Indigenous Peoples but have not ratified the Convention.

Table 5-4 Country Ratification of International Conventions of Indigenous People

Country	United Nations Declaration on the Rights of Indigenous Peoples	Indigenous and Tribal Peoples Convention
<b>Uganda</b>	Signatory - not ratified	Not ratified
<b>Malawi</b>	Signatory - not ratified	Not ratified
<b>Kenya</b>	Signatory - not ratified	Not ratified
<b>Ethiopia</b>	Not a signatory - not ratified	Not ratified
<b>Burkina Faso</b>	Signatory - not ratified	Not ratified
<b>Zambia</b>	Signatory - not ratified	Not ratified
<b>Tanzania</b>	Signatory - not ratified	Not ratified

### C 1.3. Country Legal Framework

The constitutions of each of the seven countries were also considered in the screening of IPs and the assessment of their vulnerability. As indicated in the table below, some countries do not recognise the existence of distinct groups of IPs in their constitutions, and/or do not have specific provisions for IPs.

Table 5-5 Country Constitutions

Country	Legal framework
<b>Uganda</b>	The Constitution of Uganda (1995, revised in 2017): recognises the existence of 56 IP communities in the country, and provides for the inclusion of marginalised groups.
<b>Malawi</b>	The Constitution of Malawi (1994): does not recognise the existence of IPs in the country and makes no specific provisions for marginalised ethnic groups.
<b>Kenya</b>	The Constitution of Kenya (2010, revised in 2022): provides for the promotion and representation of marginalised groups including IP.
<b>Ethiopia</b>	The Constitution of Ethiopia (1995) (the Federal Democratic Republic of Ethiopia, 1995): does not recognise IP as distinct groups, instead, it provides for the protection of the rights of minority nationalities, including their representation in governance, and has considerations for the protection of their distinct forms of livelihood.

<b>Burkina Faso</b>	The Constitution of Burkina Faso (1991, revised in 2015): does not recognise the existence of IPs in the country, and makes no specific provisions for minority ethnic groups. However, there are groups who identify as IPs in Burkina Faso, and are recognised by international organisations.
<b>Zambia</b>	The Constitution of Zambia (1991): does not have provisions or recognition of the existence of distinct groups identified as IPs.
<b>Tanzania</b>	The Constitution of the United Republic of Tanzania (1977): does not recognise the existence of distinct IPs in the country. However, there are groups who identify as IPs in the country, and are recognised as such by international organisations (Minority Rights Groups, 2018).

C 1.4.    **Approach and Methodology**

The Assessment was undertaken through the following tasks:

- **Task 1:** Information Review;
- **Task 2:** Interviews with In-Country Experts and Stakeholder Engagements; and
- **Task 3:** Reporting.

**Information Review**

IBIS undertook a preliminary and contextual review and assessed publicly available information, including databases of IPs in selected countries, studies undertaken on IPs issues in the specific regions, and satellite imagery. IP database sources reviewed include the following:

- International Working Group on Indigenous Affairs (IWGIA): a global human rights organisation dedicated to promoting and defending IPs’ rights. They cooperate with indigenous organisations and international institutions to promote recognition and implementation of the rights of IPs (IWGIA, 2024).
- Minority Rights Group: an international non-governmental organisation with an international governing council that has a consultative status with the United Nations Economic and Social Council and observer status with the African Commission for Human and Peoples’ Rights. Minority Rights Group is also registered with the Organization of American States. Minority Rights Group is the leading human rights organisation working with ethnic, religious and linguistic minorities, and IPs worldwide (Minority Rights Group, 2023).
- Indigenous Navigator: a framework and set of tools for and by Indigenous Peoples to systematically monitor the level of recognition and implementation of their rights. By using the Indigenous Navigator, indigenous organisations and communities, duty bearers, NGOs and journalists can access free tools and resources based on community-generated data (Indigenous Navigator, 2024).

**Stakeholder engagements and Interviews with in-Country Experts**

IBIS conducted interviews with in-country experts between 12 June and 10 July 2024. These are personnel who are familiar with the context of IPs in specific countries. The list of people interviewed is reflected in Section 5 of this Appendix. The interviews were undertaken to confirm the initial list of IPs that were identified through document review. The risks or factors of vulnerability affecting IPs in specific regions were also discussed in these interviews, as part of verifying the initial findings from the document review. Moreover, IP representatives were present in some of the local stakeholder engagements across the countries in the scope of the programme. As presented in Annex 7, these local stakeholder engagements were used to

discuss the potential risks of the programme and were used to inform the ESAP and the mitigation strategies described in this document.

### **C 1.5. Limitations**

The following limitations apply to this assignment:

- This exercise was a desktop screening and no ground truthing has been undertaken as part of the assignment. No IPs were interviewed in this process.
- The IPs Screening and Vulnerability Assessment is an assessment of potential IP vulnerabilities associated with broader geographical locations of the Project only and is not site or intervention specific.
- All conclusions and recommendations made represent the professional opinions of the IBIS consultants involved with the project, and the results of this report should not be considered a legal interpretation of existing regulations.
- IBIS assumes no responsibility or liability for errors in the public data utilised, information provided by the client, or statements from sources outside of IBIS, or developments resulting from situations outside the scope of this project. We make no warranties, expressed or implied, including, without limitation, as to merchantability or fitness for a particular purpose.
- All data and information provided were assumed to be accurate and up to date.

### **C 1.6. Report Structure**

The report presents the findings of the IPs Screening and Vulnerability Assessment and is structured as follows:

- Section 1: Introduction;
- Section 2: Indigenous Peoples Screening and Vulnerability Assessment;
- Section 3: Summary of Potential Risks to Indigenous Peoples;
- Section 4: Concluding Remarks and Recommendations;
- Section 5: Interview List; and
- Bibliography

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## C 2. INDIGENOUS PEOPLES SCREENING AND VULNERABILITY ASSESSMENT

The findings in this section reflect a high-level assessment of IPs, and IP groups identified in the regions considered to be of priority for Re-Gain. Countries in which no IPs were identified in the specific regions and were subsequently screened-out of the Project are Malawi and Zambia. In some countries the existence of IPs is not recognised by the constitution, such as in Tanzania and Burkina Faso, but identified IPs in those countries were screened-in based on the definition of IPs adopted in this screening assessment, which includes self-identification; strong link to territories and surrounding natural resources; distinct social, economic or political systems; non-dominant groups of society; and resolve to maintain and reproduce their ancestral environments and systems as distinctive peoples and communities. Where IPs fit the definition of IPs as described, they are considered and discussed as IPs, even if they are not recognised as such in their own countries.

The IPs screened-in and discussed in Table 2-1 were confirmed by the interviewed in-country stakeholder engagement personnel.

### C 2.1. Indigenous Peoples Context in Africa

The concept of IPs is a contested one, particularly in African countries, for reasons that include the complexity of legal recognition and self-identification as IPs, and socio-economic, environmental and political factors. This section discusses some complexities around this concept.

#### Complexities around legal recognition and self-identification

In some countries, the concept of IPs is not recognised by law; it is not provided for in the constitution, nor acknowledged by institutions of government. In Tanzania, the existence of IPs is not acknowledged in the constitution, although there are groups who self-identify as IPs, and are recognised as such by international communities that work on IP issues, such as the IWGIA and Minority Rights Group.

In Ethiopia, due to its history as a country that was never colonised, all ethnic groups are considered to be indigenous to the country. However, the country does recognise minority nationalities. There are also groups that could fit several the aspects of the characterisation of IPs, such as strong link to territories and surrounding natural resources; distinct social, economic or political systems; distinct language, culture and beliefs; and non-dominant groups of society, but are not considered to be IPs. Instead, a term commonly used to refer to these groups of people in Ethiopia is “native communities”.

In Burkina Faso, IPs are not recognised as distinct groups, as all ethnic groups are considered to be indigenous to the country. However, as noted in Table 2-1, there are groups that self-identify as IPs, and are recognised as such by the international community.

Tied to the lack of recognition of IPs in some African countries is the agenda of building unified nations, where the emphasis of indigenous identities may be seen as divisive or contrary to efforts towards building a cohesive national identity that transcends ethnic differences.

In addition to constitutional provisions, or lack thereof, which are inconsistent with the principle of self-identification, there are groups that have segments that may be categorised as IPs, and others may be a part of a dominant group of society within the same ethnic group. In a similar manner, some groups may be considered IPs in some regions by virtue of their

numbers and relative minority status amongst broader population, for example, and as non-indigenous people in others where they represent a much larger proportion of society. Examples of these are the Maasai and the Turkana of Kenya, and the Omoro in Ethiopia, although in Ethiopia the Omoro would be considered as native communities and not as IPs.

**Land rights and natural resources use**

The concept of IPs is closely linked to land rights and use of natural resources. The lack of legal recognition of IPs may be accompanied by inadequate protections of their land rights and rights to the use of natural resources. Where IPs are not recognised, the right to maintain indigenous lifestyles and to remain on their ancestral land may be inhibited by both state and private sector actors, in pursuit of a developmental agenda that is in contradiction with the IP way of life. The Maasai of Kenya and Tanzania are examples of IPs that have suffered land dispossession due to government and private sector-led development and conservation projects (IWGIA, 2024).

**International versus local perspectives**

There are also disparities between international definitions of IPs (e.g., based on UN frameworks as stated above) and local interpretations rooted in specific cultural and historical contexts. Ethiopia, as indicated above, is a good example of a case where specific cultural or localised perspectives apply, over what may be widely accepted internationally. In such cases, there is a perception that the term “indigenous” is externally imposed and does not accurately reflect the context of a particular nation.

**C 2.2. Consideration of Vulnerability**

IFC PS 7 recognises that IPs, as social groups with distinct identities, are often among the most marginalised and vulnerable segments of the population. The factors of vulnerability for IPs may include loss of identity, culture, and natural resource-based livelihoods, as well as exposure to impoverishment and diseases. In this sense, the vulnerability of IPs is tightly linked to their precarious social and physical environments, as groups that are exposed to marginalisation and material deprivation. Within the context in which the Project will be undertaken, there may be people exposed to similar factors of vulnerability, even if they do not identify as IPs, due to their reliance on natural resource-based livelihoods, and inadequate access to resources. In this context, it is advisable to not only focus on the concept of IPs as the only, or main factor of vulnerability, but to also consider other factors applicable within the selected regions.

Vulnerability can also be determined by a complex interplay of socio-economic and environmental factors, often further influenced by a group or community’s minority status due to their ethnicity or cultural practices. In some cases, as it came out in the interviews with in-country stakeholder personnel, ethnicity may be a less critical determining factor of vulnerability, where factors such as geography, gender, impacts of government policies, socio-economic circumstances, and environmental and political factors may be more elevated. Hence, these factors must also be taken into account in the understanding a Project’s context.

The impacts of projects on not only IPs but also other affected communities are dependent on the type of projects undertaken. Infrastructure development projects, for example, may be accompanied by significant changes to the local context of a project, such as land acquisition, development of infrastructure that may affect access to certain spaces or resources, and associated changes to livelihoods.

However, implementing agencies need to be cognisant of the changes that may be imposed by the project on land use patterns, and the land tenure context and its implications on certain groups such as women, and implement projects in a manner that is sensitive to pre-existing livelihoods and contextual dynamics.

In Ethiopia, for example, due to the patriarchal context of the country, women are still largely excluded from the ownership or holding of land. While the government implemented policies to ensure the formalisation of land rights to secure land tenure, the policy has mainly benefited those who already own land, but has not extended ownership to those who were historically excluded, and who continue to be marginalised, such as women and young people.

While the RE-GAIN Programme will not necessarily exacerbate the vulnerability of women and their exclusion from land ownership, it is important to be sensitive to this country context, so that targeted measures may be planned and implemented to respond to these forms of vulnerability. Such measures could include gender-inclusive opportunities in the Programme, or projects aimed at uplifting women within the local contexts.



**Table D- 3: IP Screening and Vulnerability Assessment**

COUNTRY	IPS KNOWN TO INHABIT COUNTRY	REGION	POTENTIALLY IDENTIFIED IPS IN PROJECT REGIONS	PROJECT IP SCREENING STATUS	IP SCREENING FINDINGS	IP VULNERABILITY CHARACTERISTICS
Burkina Faso	Peul, Tuareg	Boucle du Mouhoun	Peul	Screened-in	<ul style="list-style-type: none"> <li>• Peul people are confirmed to exist in the broader Project region of Boucle du Mouhoun.</li> <li>• The Peul largely live in geographically isolated, dry and economically marginalised areas.</li> <li>• Peul are a livestock pastoralist group who are gradually becoming sedentarised in Burkina Faso. However, there are still some who are nomadic and travel seasonal migratory routes across West Africa, including into neighbouring countries such as Togo, Benin and Ghana.</li> <li>• In the interviews with in-country personnel, it was indicated that the Peul people are not marginalised but are respected and treated equally.</li> <li>• Peul people are also landowners in the region.</li> <li>• Peul are well-represented in Project stakeholder engagement. However, they are engaged as part of a broader group forum (i.e., not identified or engaged separately, as a single identified stakeholder group. FPIC has not been considered/applied in stakeholder engagement.</li> </ul>	<ul style="list-style-type: none"> <li>• The concept of IPs is not recognised by the government of Burkina Faso – all endemic/ethnic groups in Burkina Faso are considered to be indigenous.</li> <li>• Because the Peul are Nomadic, they are exposed to risks and impacts relating to security of tenure and availability of land.</li> <li>• The Peul are vulnerable to risks and impacts relating to their dependency on natural resources.</li> <li>• The Peul are particularly vulnerable to climate change impacts and risks, due to limited access to climate change adaptation and mitigation measures.</li> <li>• Education levels amongst the Peul are considered low comparative to the average population and they are vulnerable to negative project risks and impacts due to their material deprivation.</li> </ul>

Ethiopia	Oromo, Amhara, Somali, Tigray, Sidama, Gurage, Welaita, Hadiya, Afar, Gamo, Gedeo, Siite, Kefficho, Kunama, Irob	Arsi	Oromo	Screened-in	<ul style="list-style-type: none"> <li>The Oromo people constitute the largest ethnic group in Ethiopia, over 60 million people, which is nearly 50% of the population, while the Amhara constitute 25%. However, there are segments of the Oromo and Amhara people who are considered as native communities (as the concept of IPs is not recognised in Ethiopia).</li> <li>Oromo and Amhara livelihoods centre around livestock keeping and subsistence farming, with crops grown for consumption, including durra (a cereal grain), maize, wheat, barley, beans, and rice, supplemented by milk and meat from livestock.</li> <li>Reliance on natural resources is also emphasised in Oromo and Amhara livelihoods, which include the use of thorn tree branches and indigenous grasses for house construction and farm implements such as ropes and whips. These common property resources are managed by community members using indigenous knowledge (IK) systems.</li> </ul>	<ul style="list-style-type: none"> <li>Recurring droughts present a significant risk in terms of food security for native communities in Ethiopia, and this will be exacerbated by climate change.</li> <li>The widespread degradation of natural resources threatens the livelihood of native communities.</li> <li>Pastoral conflicts fuelled, in part, by the government policy of ethnic federalism are a risk to native communities in Ethiopia.</li> <li>Crop production tends to be low in the affected regions, due to environmental degradation, and the land tenure system that historically excluded peasant farmers from land ownership.</li> <li>Reliance on natural resources among the native communities in this region presents risks associated with declining resources due to population pressure, deforestation, overgrazing, and climatic shocks.</li> </ul>
		North Shoa	Oromo and Amhara			
		East Gojam	Amhara			
		Hadiya zone	Hayida	Screened-in	<ul style="list-style-type: none"> <li>The main sources of livelihood among the Hadiya are small-scale agriculture and animal husbandry.</li> <li>One of the challenges experienced by native communities in the area is the sizes of arable land that are getting smaller over time, and the declining vegetation, largely due to environmental degradation.</li> </ul>	<ul style="list-style-type: none"> <li>The Hadiya People are exposed to risks related to environmental degradation and negative impacts on livelihoods and food security; and</li> <li>Drought and associated water scarcity and reduced crop production.</li> </ul>

					<ul style="list-style-type: none"> <li>Impacts on water bodies, due to persistent droughts, also affect access to water for the inhabitants of the regions, with exacerbated impacts for native communities, due to their material deprivation and reliance on natural resources including sources of water.</li> </ul>	
<b>Kenya</b>	Ogiek, Sengwer, Yaaku Waata and Sanya, Endorois, Turkana, Maasai, Samburu, Waata and Aweer (Boni), Rendille, Borana, Ilchamus, Somali, Gabra, Pokot, Terik	N/A	None	Screened-out	<ul style="list-style-type: none"> <li>No IPs were identified on the basis of this IP Screening in the updated priority regions, which are Tharaka Nithi, Embu, and Makueni and Kitui</li> </ul>	<ul style="list-style-type: none"> <li>N/A</li> </ul>
<b>Malawi</b>	None	N/A	None	Screened-out	<ul style="list-style-type: none"> <li>There are no recognised IPs in Malawi. All endemic ethnic groups in Malawi are considered to be indigenous, and thus, there are no distinct groups that can be classified as IPs. The constitution of Malawi does not recognise the existence of IPs.</li> </ul>	<ul style="list-style-type: none"> <li>N/A</li> </ul>
<b>Tanzania</b>	Akie, Hadzabe, Barabaig, Datoga, Maasai	Manyara	Maasai, Mangati (also known as Barabaig or Jisamiang), Akie and Hadzabe	Screened-in	<ul style="list-style-type: none"> <li>The Maasai and Barabaig are confirmed to exist in the broader Project region of Manyara.</li> <li>The Maasai and Barabaig are pastoralists mainly found in Kiteto District.</li> <li>Akie and Hadzabe are hunter gatherers.</li> </ul>	<ul style="list-style-type: none"> <li>IPs are not recognised in Tanzania by government or law.</li> <li>Pastoralists including the Maasai are vulnerable to land access conflicts with farmers and landowners (including conservation and national parks) and are faced with limited land on which to graze and water their</li> </ul>

			<ul style="list-style-type: none"> <li>All identified IP groups have organised themselves and their status around the international concept of IPs.</li> </ul>	livestock.
Morogoro	Maasai (also known as Parakuyu) and Barabaig/Mang'ati.	Screened-in	<ul style="list-style-type: none"> <li>The Maasai and Barabaig are confirmed to exist in the broader Project region of Morogoro.</li> <li>Maasai and Barabaig have organized themselves and their status around the international concept of IPs.</li> <li>Maasai and Barabaig are semi-nomadic pastoralists.</li> <li>Maasai experience relentless land pressure due to the loss of land to conservation and commercial projects, and degradation.</li> </ul>	<ul style="list-style-type: none"> <li>Many indigenous communities in Tanzania, such as the Maasai, Hadzabe, and Barabaig, face land tenure insecurity and displacement from their traditional lands. This is in some cases due to government conservation policies, large-scale agricultural projects, and land acquisition by external investors. Although it was indicated in the interviews that RE-GAIN will be implemented on privately acquired land, it is important to take these contextual issues into account, and to ensure that IP's livelihoods are not disrupted.</li> <li>IPs are also faced with risks associated with the impacts of climate change conditions, with effects including deforestation and land degradation, which threaten food security, water sources, and other livelihoods attached to natural resources.</li> <li>A lack of recognition of IPs in the country, and the inadequate protection of their rights exposes them to the risks associated with human rights abuses.</li> </ul>
Iringa	Maasai and Barabaig/Mang'ati.			
Rukwa				
Katavi				
Mbeya				
Tabora	Taturu (also known as Datoga)	Screened-in	<ul style="list-style-type: none"> <li>The Datoga People are Mainly found in Uyui and Sikonge Districts.</li> <li>The Datoga People group is confirmed</li> </ul>	<ul style="list-style-type: none"> <li>The Datoga People are exposed to risks relating to the lack of protection of pastoral livelihoods; and</li> </ul>

					<p>to exist in the broader Project region.</p> <ul style="list-style-type: none"> <li>• Datoga have organised themselves and their status around the international concept of IPs.</li> <li>• The Datoga People are predominantly semi-nomadic pastoralists.</li> <li>• The Datoga face risks affecting their livelihoods, such as limited access to clean water and land scarcity resulting, in part, from project-induced land acquisition.</li> <li>• Based on the documents reviewed, there are no specific policies to promote pastoralism, in Tanzania.</li> <li>• Pastoralists such as the Dagota people face socio-economic marginalisation that impede the improvement of their lives and livelihoods.</li> </ul>	<ul style="list-style-type: none"> <li>• Socio-economic marginalisation and associated deprivations, such as poor access to healthcare, inadequate protection of fundamental rights to self-determination (due to a lack of recognition of IPs), adequate standards of living (due to a lack of support of pastoral livelihoods).</li> </ul>
Uganda	Benet, Batwa, Ik, Karamojong and Basongora	Sebei	Benet	Screened-in	<ul style="list-style-type: none"> <li>• The Benet IPs are confirmed to exist in the broader Project region of Sebei, in the extreme northeastern parts of the region (Mount Elgon and surrounds).</li> <li>• The Benet are hunter gatherers with an estimated population of 8 500 in Uganda (estimated at last national census in 2013). Their primary livelihood activities include crop farming, livestock rearing and forest product gathering (e.g., wild honey harvesting).</li> <li>• The Benet IP group has been repeatedly removed by government from their ancestral land (Mount</li> </ul>	<ul style="list-style-type: none"> <li>• The Benet are not recognised as IPs by the constitution nor institutions of government. The Benet are seen as an inferior group by neighbouring communities and as a result are vulnerable to poverty, social and political exploitation and marginalisation.</li> <li>• Other impacts on the Benet include food insecurity and homelessness resulting from state-induced landlessness to protect conservation areas;</li> <li>• Impacts and vulnerabilities resulting from historical resettlement; and</li> </ul>

				<p>Elgon forests). Initially, they were removed by the National Forest Authority in 1983, and again in 1993 by the Uganda Wildlife Authority (UWA) when the forest was declared a national park. In 2008, UWA forcefully evicted an estimated 200 Benet households alleged to still be settled inside the national park. In 2005, the Uganda Supreme Court ordered the government to return the lands to the Benet people. However, the government has yet to do so.</p> <ul style="list-style-type: none"> <li>• Given geographical and economic isolation, the Benet's access to infrastructure and services is poor (including healthcare, roads, housing, education).</li> <li>• The Benet have been largely assimilated into the broader Ugandan society over the years and only a small number continue to practice indigenous lifestyles.</li> </ul>	<ul style="list-style-type: none"> <li>• Their significant dependence on natural resources.</li> <li>• The region is also vulnerable to heavy rainfall and flooding resulting from climate change. The Benet particularly have limited to no access to climate change adaptation and mitigation tools and support. Climatic conditions have resulted in significant food insecurity amongst the Benet people.</li> <li>• International IPs and legal community and Human Rights Groups identify significant vulnerabilities and impacts to the Benet people, resulting largely from forced government resettlement in 1983, 1993 and 2008. The UWA is accused of numerous alleged human rights infringements, including murder, unlawful use of force and firearms, torture, extortion and inhuman and degrading treatment. It is understood these allegations are a result of Benet people continuing to use the forest to cultivate crops, graze animals or perform their cultural rituals. Benet's education levels are low meaning they are potentially vulnerable to negative project risks and impacts where FPIC is not applied.</li> </ul>
Zambia	Khoisan	None	Screened out	<ul style="list-style-type: none"> <li>• Similar to Malawi, there are no recognised IPs in Zambia, all ethnic groups within the country are classified as indigenous to Zambia. The constitution of Zambia does not</li> </ul>	<ul style="list-style-type: none"> <li>• N/A</li> </ul>

recognise the existence of IPs.

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### C 3. SUMMARY OF POTENTIAL RISKS TO INDIGENOUS PEOPLES

In cases of traditional projects development scenarios such as infrastructure development, commercial agriculture, etc., due to large scale land take and/or construction activities, IPs may be exposed to the following potential risks:

- Loss of land and access to common property resources;
- Deforestation;
- Pollution;
- Loss of or disruption to livelihoods;
- Loss of autonomy;
- Marginalisation and exacerbated vulnerability;
- Project-induced influx; and
- Impacts on cultural heritage.

However, in the case of the RE-GAIN Programme, the proposed local level physical and non-physical interventions are targeted at increasing climate resilience and livelihoods improvement at an individual smallholder, community level or MSME level, by increasing the amount of available food, either for direct consumption or for trading. **This may therefore result in net-positive impacts or mitigation of potential negative impacts on vulnerable land users**, since they will focus on support and capacity building resulting in:

- Increased awareness and demand of Food Loss Reduction Solutions (FL-RS) by end users (smallholder farmers and MSMEs);
- Market creation, availability and accessibility of affordable climate-resilient FL-RS in markets;
- Increased food reserves and availability for consumption and trading;
- Increased employment;
- Strengthening an enabling policy environment support for wide-scale adoption of climate-resilient FL-RS and protection of local livelihoods that are predominantly agriculture-based; and
- Reduced conflict due to less pressure on land conversion

The specific interventions and associated socio-economic impacts of the Programme at a local level still need to be determined and assessed, but based on the above objectives it is extremely unlikely that it will result in any displacement, or affect access to land or natural resources, nor will the Programme's interventions include any activities that will significantly alter the physical and/or social context of the local areas in which the interventions will be implemented. Hence, IPs in the selected regions will be less likely to be exposed to the above stated risks. **The project is, therefore, considered to be very low risk to IPs**, but certain aspects such as may present areas of concern and will need to be considered in the design and delivery of physical and non-physical interventions at the local level. These include:

- educational levels;
- communication;
- cultural practices and customs,

Key vulnerability considerations to be considered are presented in Table 4.1.



## C 4. INDIGENOUS PEOPLE'S PLANNING FRAMEWORK

### *Engagement of Indigenous Peoples (IPs)*

In alignment with best practice and international standards, including the IFC Performance Standard 7 (PS7), the Programme will ensure that the development and implementation of the activities are undertaken in consideration of IPs, and safeguard their rights, cultural practices, and natural resource-based livelihoods. To achieve this, the Programme will undertake a detailed assessment of IPs, and ensure appropriate engagement of identified IPs in the context of the Programme activities.

Based on the High-level Screening of IPs undertaken at the Programme level, and once programme interventions are better understood in a specific context, the programme will implement the following:

Aspect	Description
Detailed and focussed IP Screening	This will entail a focussed identification and mapping of IPs presence in the specific locations and geographical context. A requirement will be to speak with local IP experts to ensure it reflects the reality on the ground.
An assessment of risks and impacts to identified IPs	Where IPs are confirmed to exist in specific locations, an assessment of the risks and impacts to IPs will be assessed in more detail, in relation to the programme activities and the interactions with IPs receptors in specific locations.
Development and implementation of stakeholder engagement process with consideration of IPs	<p>Prior to any implementation decisions being confirmed, the programme will seek and ensure Free, Prior and Informed Consent (FPIC) is obtained as outlined by the GCF Indigenous Peoples Policy (2018, Section 7.2). This will involve:</p> <ul style="list-style-type: none"><li>• Identify community leaders, representatives and decision-making structures</li><li>• Develop a culturally appropriate communication strategy, factoring in language, context and format, and may include oral presentations and/ or translated documents.</li><li>• Throughout the engagement process all inputs, concerns and decisions made will be documented</li><li>• Arrange initial consultations with representatives to outline the FPIC process, answer initial questions, and gather feedback on any specific concerns or interests they have</li><li>• Conduct formal consultations to provide a comprehensive overview of the programme, including scope, timeline and expected opportunities<ul style="list-style-type: none"><li>◦ Pending this first round of consultations, adequate time will be provided to allow for internal discussions amongst communities and representatives as needed.</li></ul></li><li>• If no significant adverse impacts are identified by the IP communities, and consent is given, an agreement will be drafted that outlines the terms, any specific conditions, along with a commitment to ongoing consultation and</li></ul>

	<p>monitoring. Consent will be documented in a manner that aligns with the IPs concerned. If consent is not given, or significant adverse impacts are identified, this will be reported back to AGRA senior leadership, and decisions on alternative interventions or locations will be sought.</p> <ul style="list-style-type: none"> <li>• In recognition that effectively addressing IP issues is a process and not a single decision point, IP impacts will be monitored during implementation through ongoing engagement with representatives, and any significant adverse impacts will be raised at AGRAs existing 6-monthly safeguarding review. Decisions on mitigating impacts or renewing consent will be determined through this review, and draft resolutions will be brought back to IP communities for their agreement and input.</li> <li>• .</li> </ul>
<b>Development of a tailored IP Plan for country/location of the programme intervention</b>	<p>Once the impacts are better understood, and the need for an IP Plan confirmed, it will be developed to guide the implementation of appropriate mitigation measures to address risks and impacts. The Plan, and mitigation measures will be designed in collaboration with IPs, and may include:</p> <ul style="list-style-type: none"> <li>• Integration of language considerations in implementation activities;</li> <li>• Integration of more specific cultural practices;</li> <li>• Incorporation of Indigenous Knowledge and practices into the design and implementation of Programme activities;</li> <li>• Tailored grievance mechanisms (GM); and</li> <li>• Incorporation of environmentally sensitive design to reduce impacts on land-based and natural resource-based livelihoods.</li> </ul> <p>The Plan will also guide documentation of the approach followed and the engagements undertaken with the IPs in accordance with the developed SEP.</p>
<b>Implementation of the IP Plan</b>	<p>The Plan will include clear budget and resource requirements for implementation, and identification of relevant partners such as specialist NGOs working in the country context, that may be brought in as partners to deliver on the Plan.</p>

## C 5. CONCLUDING REMARKS AND RECOMMENDATIONS

There are seven countries that are part of the RE-GAIN Programme, namely Uganda, Kenya, Malawi, Ethiopia, Burkina Faso, Zambia and Tanzania. Two of these countries, Malawi and Zambia, were screened-out, and the remaining five were screened-in for IPs. In those five countries that were screened-in, there are regions that have been screened-out, and those that have been screened-in, and these are indicated in Table 2-1 above.

While there are certain characteristics that are considered internationally as defining elements of IPs, there is no standard definition of IPs that can adequately apply in all local contexts. The findings of this screening must be considered as high-

level findings. Interviews were undertaken to understand the dynamics of IPs in specific regions, but the nuances that may only be expressed at the local level were not explored in detail.

Although there are variations in how risks to IPs are expressed across countries and regions, there are common issues that can be considered to be generally applicable to IPs, and in the case of Ethiopia, to native communities. These include environmental degradation, land pressure, and scarcity of water resources, which are all exacerbated by climate change. Where possible, the RE-GAIN Programme will ensure the implementation of climate change mitigation and adaptation initiatives that mainstream and or integrate the vulnerabilities that have been outlined herein, in specific regions, as part of its support to local communities, in line with the GCF, and national level, IPs Policies.

Further, there are also government policy issues in some countries that have been shown to inhibit or weaken cohesion among IPs, such as in Kenya, where individualised land tenure disrupts IPs' way of life; or in the case of some native communities in Ethiopia, where state policies, reportedly, fuel local conflicts. The Programme will take into account the manner in which state policies impose deprivation or disruption of IP lives and livelihoods and ensure that the implementation of the Programme seeks to mitigate associated risks. This could include inclusive opportunities where inequalities are identified.

Even though IPs are generally regarded as vulnerable, due to their reliance on natural resources, a lack of protection of their rights, the disruption of their livelihoods by externally imposed development initiatives, and a general exclusion in development project activities (due to things like cultural, language and long distances constraining reach), there are also other factors of vulnerability that need to be taken into account. These include gender, age (youth), limited of access to land, exclusion due to language barriers and poor access to public and community goods. While these may apply to IPs, they can also apply to non-IP communities who face similar circumstances. It is also important to consider vulnerability and risks within the context and nature of the activities in the RE-GAIN Programme, which if successfully implement may ultimately have potentially net positive impacts on affected people.

The principles of FPIC recognises the targeted engagement of legitimate representatives of identified indigenous communities present in a particular context. However, there is a need to consider applicable factors of vulnerability, other than ethnicity, that are more elevated in specific regions and use those to design and implement targeted engagements with the groups affected by those factors. While IPs can be a reference point for vulnerability, in some cases the more significant vulnerability factors may be geography, or gender, or lack of property, etc., and not only ethnicity.

The RE-GAIN Programme, therefore, in its implementation of both physical and non-physical interventions, to reduce food loss, will take into consideration key vulnerability factors in the design and delivery of interventions at the local level. Below is an indicative list of key considerations:

**Table 4-1: RE-GAIN Programme Intervention and Delivery Considerations**

COUNTRY	IPS KNOWN TO INHABIT COUNTRY	PROJECT IP SCREENING STATUS	IP SCREENING FINDINGS	IP VULNERABILITY CHARACTERISTICS	RE-GAIN PROGRAMME INTERVENTION AND DELIVERY CONSIDERATIONS
<b>Burkina Faso</b>	Peul, Tuareg	<b>Screened-in</b>	<ul style="list-style-type: none"> <li>• Peul people are confirmed to exist in the broader Project region of Boucle du Mouhoun.</li> <li>• The Peul largely live in geographically isolated, dry and economically marginalised areas.</li> <li>• Peul are a livestock pastoralist group who are gradually becoming sedentarised in Burkina Faso. However, there are still some who are nomadic and travel seasonal migratory routes across West Africa, including into neighbouring countries such as Togo, Benin and Ghana.</li> <li>• In the interviews with in-country personnel, it was indicated that the Peul people are not marginalised, but are respected and treated equally.</li> <li>• Peul people are also landowners in the region.</li> <li>• Peul are well-represented in Project stakeholder engagement. However, they are engaged as part of a broader group forum (i.e., not identified or engaged separately, as a single identified stakeholder group. FPIC has not been considered/applied in stakeholder</li> </ul>	<ul style="list-style-type: none"> <li>• The concept of IPs is not recognised by the government of Burkina Faso – all endemic/ethnic groups in Burkina Faso are considered to be indigenous.</li> <li>• Because the Peul are Nomadic, they are exposed to risks and impacts relating to security of tenure and availability of land.</li> <li>• The Peul are vulnerable to risks and impacts relating to their dependency on natural resources.</li> <li>• The Peul are particularly vulnerable to climate change impacts and risks, due to limited access to climate change adaptation and mitigation measures.</li> <li>• Education levels amongst the Peul are considered low compared to the average population and they are vulnerable to negative project risks and impacts due to their material deprivation.</li> </ul>	<ul style="list-style-type: none"> <li>• Ensure language considerations</li> <li>• Local stakeholder mapping should ensure more detailed interrogation on cultural practices that may lead to further exclusion</li> <li>• Grievance mechanism (GM) and stakeholder engagements should be designed to ensure ease in accessibility and take into account local barriers</li> <li>• Ensure that interventions are implemented in a manner that is suitable for people with no formal education</li> </ul>

engagement.				
Ethiopia	Oromo, Amhara, Somali, Tigray, Sidama, Gurage, Welaita, Hadiya, Afar, Gamo, Gedeo, Siite, Kefficho, Kunama, Irob	Screened-in	<ul style="list-style-type: none"> <li>The Oromo people constitute the largest ethnic group in Ethiopia, over 60 million people, which is nearly 50% of the population, while the Amhara constitute 25%. However, there are segments of the Oromo and Amhara people who are considered as native communities (as the concept of IPs is not recognised in Ethiopia).</li> <li>Oromo and Amhara livelihoods centre around livestock keeping and subsistence farming, with crops grown for consumption, including durra (a cereal grain), maize, wheat, barley, beans, and rice, supplemented by milk and meat from livestock.</li> <li>Reliance on natural resources is also emphasised in Oromo and Amhara livelihoods, which include the use of thorn tree branches and indigenous grasses for house construction and farm implements such as ropes and whips. These common property resources are managed by community members using indigenous knowledge (IK) systems.</li> </ul>	<ul style="list-style-type: none"> <li>Recurring droughts present a significant risk in terms of food security for native communities in Ethiopia, and this will be exacerbated by climate change.</li> <li>The widespread degradation of natural resources threatens the livelihood of native communities.</li> <li>Pastoral conflicts fuelled, in part, by the government policy of ethnic federalism are a risk to native communities in Ethiopia.</li> <li>Crop production tends to be low in the affected regions, due to environmental degradation, and the land tenure system that historically excluded peasant farmers from land ownership.</li> <li>Reliance on natural resources among the native communities in this region presents risks associated with declining resources due to population pressure, deforestation, overgrazing, and climatic shocks.</li> </ul>
		Screened-in	<ul style="list-style-type: none"> <li>The main sources of livelihood among the Hadiya are small-scale agriculture and animal husbandry.</li> <li>One of the challenges experienced by native communities in the area is the sizes of arable land that are</li> </ul>	<ul style="list-style-type: none"> <li>Language and cultural characteristics that may cause exclusion</li> <li>Interventions should be environmentally sensitive to reduce further degradation</li> <li>Inclusive GM design and stakeholder engagement</li> <li>Incorporation of Indigenous Knowledge and practices into the design and implementation of climate-resilient FL-RS</li> <li>The Hadiya People are exposed to risks related to environmental degradation and negative impacts on livelihoods and food security; and</li> <li>Drought and associated water scarcity and reduced crop</li> </ul>

			getting smaller over time, and the declining vegetation, largely due to environmental degradation.	production.	
			<ul style="list-style-type: none"><li>Impacts on water bodies, due to persistent droughts, also affect access to water for the inhabitants of the regions, with exacerbated impacts for native communities, due to their material deprivation and reliance on natural resources including sources of water.</li></ul>		
Tanzania	Akie, Hadzabe, Barabaig, Datoga, Maasai	Screened-in	<ul style="list-style-type: none"><li>The Maasai and Barabaig are confirmed to exist in the broader Project region of Manyara.</li><li>The Maasai and Barabaig are pastoralists mainly found in Kiteto District.</li><li>Akie and Hadzabe are hunter gatherers.</li><li>All identified IP groups have organised themselves and their status around the international concept of IPs.</li></ul>	<ul style="list-style-type: none"><li>IPs are not recognised in Tanzania by government or law.</li><li>Pastoralists including the Maasai are vulnerable to land access conflicts with farmers and landowners (including conservation and national parks) and are faced with limited land on which to graze and water their livestock.</li></ul>	<ul style="list-style-type: none"><li>Language sensitive design in:<ul style="list-style-type: none"><li>Interventions</li><li>Grievance Mechanisms</li><li>Ease of access to demos taking into account the pastoral nature of the IPs</li></ul></li><li>Inclusive interventions that take into account self-identified IPs way of life, even in cases where they are not recognised by law in their countries.</li></ul>

**Screened-in**

- The Maasai and Barabaig are confirmed to exist in the broader Project region of Morogoro.
- Maasai and Barabaig have organized themselves and their status around the international concept of IPs.
- Maasai and Barabaig are semi-nomadic pastoralists.
- Maasai experience relentless land pressure due to the loss of land to conservation and commercial projects, and degradation.
- Many indigenous communities in Tanzania, such as the Maasai, Hadzabe, and Barabaig, face land tenure insecurity and displacement from their traditional lands. This is in some cases due to government conservation policies, large-scale agricultural projects, and land acquisition by external investors. Although it was indicated in the interviews that RE-GAIN will be implemented on privately acquired land, it is important to take these contextual issues into account, and to ensure that IP's livelihoods are not disrupted.
- IPs are also faced with risks associated with the impacts of climate change conditions, with effects including deforestation and land degradation, which threaten food security, water sources, and other livelihoods attached to natural resources.
- A lack of recognition of IPs in the country, and the inadequate protection of their rights exposes them to the risks associated with human rights abuses.

**Screened-in**

- The Datoga People are Mainly found in Uyui and Sikonge Districts.
- The Datoga People group is confirmed to exist in the broader Project region.
- Datoga have organised themselves
- The Datoga People are exposed to risks relating to the lack of protection of pastoral livelihoods; and
- Socio-economic marginalisation and associated deprivations, such as poor access to healthcare,

			<p>and their status around the international concept of IPs.</p> <ul style="list-style-type: none"> <li>• The Datoga People are predominantly semi-nomadic pastoralists.</li> <li>• The Datoga face risks affecting their livelihoods, such as limited access to clean water and land scarcity resulting, in part, from project-induced land acquisition.</li> <li>• Based on the documents reviewed, there are no specific policies to promote pastoralism, in Tanzania.</li> <li>• Pastoralists such as the Dagota people face socio-economic marginalisation that impede the improvement of their lives and livelihoods.</li> </ul>	<p>inadequate protection of fundamental rights to self-determination (due to a lack of recognition of IPs), adequate standards of living (due to a lack of support of pastoral livelihoods).</p>	
Uganda	Benet, Batwa, Ik, Karamojong and Basongora	Screened-in	<ul style="list-style-type: none"> <li>• The Benet IPs are confirmed to exist in the broader Project region of Sebei, in the extreme northeastern parts of the region (Mount Elgon and surrounds).</li> <li>• The Benet are hunter gatherers with an estimated population of 8 500 in Uganda (estimated at last national census in 2013). Their primary livelihood activities include crop farming, livestock rearing and forest product gathering (e.g., wild honey harvesting).</li> <li>• The Benet IP group has been repeatedly removed by government from their ancestral land (Mount Elgon forests). Initially, they were</li> </ul>	<ul style="list-style-type: none"> <li>• The Benet are not recognised as IPs by the constitution nor institutions of government. The Benet are seen as an inferior group by neighbouring communities and as a result are vulnerable to poverty, social and political exploitation and marginalisation.</li> <li>• Other impacts on the Benet include food insecurity and homelessness resulting from state-induced landlessness to protect conservation areas;</li> <li>• Impacts and vulnerabilities resulting from historical resettlement; and</li> <li>• Their significant dependence on</li> </ul>	<ul style="list-style-type: none"> <li>• Inclusive GMs</li> <li>• Environmentally sensitive design to reduce impacts that may further negatively impact their livelihoods</li> <li>• Inclusive interventions that take into account self-identified IPs way of life, even in cases where they are not recognised by law in their countries</li> <li>• Ensure that interventions are implemented in a manner that is suitable for people with no formal education</li> </ul>



removed by the National Forest Authority in 1983, and again in 1993 by the Uganda Wildlife Authority (UWA) when the forest was declared a national park. In 2008, UWA forcefully evicted an estimated 200 Benet households alleged to still be settled inside the national park. In 2005, the Uganda Supreme Court ordered the government to return the lands to the Benet people. However, the government has yet to do so.

- Given geographical and economic isolation, the Benet's access to infrastructure and services is poor (including healthcare, roads, housing, education).
- The Benet have been largely assimilated into the broader Ugandan society over the years and only a small number continue to practice indigenous lifestyles.

natural resources.

- The region is also vulnerable to heavy rainfall and flooding resulting from climate change. The Benet particularly have limited to no access to climate change adaptation and mitigation tools and support. Climatic conditions have resulted in significant food insecurity amongst the Benet people.
- International IPs and legal community and Human Rights Groups identify significant vulnerabilities and impacts to the Benet people, resulting largely from forced government resettlement in 1983, 1993 and 2008. The UWA is accused of numerous alleged human rights infringements, including murder, unlawful use of force and firearms, torture, extortion and inhuman and degrading treatment. It is understood these allegations are a result of Benet people continuing to use the forest to cultivate crops, graze animals or perform their cultural rituals. Benet's education levels are low meaning they are potentially vulnerable to negative project risks and impacts where FPIC is not applied.

C 6. INTERVIEWS CONDUCTED

DATE	NAME	COUNTRY
12 June 2024	Constantine Bitwayiki	Uganda
14 June 2024	Ouezzin Jean David Coulibaly	Burkina Faso
14 June 2024	Madaka Tumbo	Tanzania
4 July 2024	Robi Redda	Ethiopia
10 July 2024	Simon Thuo and John Macharia	Kenya

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# APPENDIX D Risks associated with Sexual Exploitation, Abuse and Harassment (SEAH), and Safeguarding instruments in place

## D 1. Risks associated with REGAIN target countries

The risks associated with Sexual Exploitation, Abuse, and Harassment (SEAH) and Gender-Based Violence (GBV) within REGAIN’s focus countries are grounded in existing unequal power dynamics, particularly those related to economic resources and decision-making. For example, when women’s economic agency improves through increased income, this may unintentionally create tensions within households or communities where traditional gender norms dictate male control over finances. Such shifts in power dynamics can result in retaliation or violence against women, including intimate partner violence. In Uganda, for instance, economic empowerment programs have reported cases where male partners, feeling threatened by changes in household power dynamics, have resorted to violence to reassert their control. These instances underscore the urgent need for comprehensive support systems that address the root causes of such violence and provide women with the tools and resources to navigate these changes.

REGAIN will seek to improve women’s agency and decision making and these can unintentionally introduce changes that may increase tensions within households or communities that can intensify conflict or GBV. These can potentially lead to a drop in participation by the survivors, or the harm they endure may outweigh any potential benefits (economic, social, or otherwise) associated with program opportunities.

Moreover, in male-dominated industries, women participating in nontraditional roles (e.g., agribusiness leadership) may face community backlash or ostracism. It’s crucial to understand the cultural context in which these changes are taking place. For instance, in parts of northern Nigeria, when women were encouraged to join agri-processing cooperatives traditionally run by men, they experienced verbal harassment and isolation from the community. This deterrent effect can lead to women withdrawing from such opportunities out of fear for their safety or family stability. Understanding and respecting these cultural norms is essential in designing effective interventions that promote gender equality and economic development.

### Mitigation Strategy:

REGAIN will integrate a Gender and Social Norms Assessment in each country to map out context-specific gender dynamics and social norms. In doing so, REGAIN will work with local leaders and men’s groups to preemptively address negative perceptions of women’s economic participation and create awareness about the benefits of shared decision-making. Additionally, Community Gender Dialogues will be initiated to facilitate discussions on positive masculinity, prevent backlash, and promote equitable household roles.

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## D 2. Examples of risks and how they were mitigated

One example of SEAH risk encountered in AGRA programs was the perception of inappropriate relationships between staff and program participants in Kenya. A situation arose where a staff member was suspected of engaging in an exploitative relationship with a partner from the target community, which led to concerns about the abuse of power and favouritism.

**Mitigation Actions Taken:** The case was handled by invoking AGRA's Safeguarding Policy, which mandates independent investigations for all safeguarding violations. The Internal Audit Team conducted a thorough investigation, which included confidential interviews and a review of program records. Based on their findings, an independent disciplinary panel was convened to decide on appropriate actions, resulting in the staff member's suspension and mandatory retraining of all program staff on safeguarding.

**Ongoing Prevention Measures:** AGRA reinforces safeguarding practices through regular training sessions and policy refreshers for staff and partners. All staff are required to sign adherence agreements to uphold safeguarding principles, and clear reporting channels are established (e.g., anonymous whistleblower lines and designated safeguarding officers). This is continually communicated through internal newsletters, workshops, and visual reminders at project sites.

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## D 3. AGRA processes in place for SEAH and GBV Risk Management

AGRA's commitment to the **Do-No-Harm** principle is embedded in all its programs. This commitment is operationalized through the AGRA Safeguarding Policy, designed to prevent and respond to any risks of abuse or exploitation. This includes **mandatory gender and safeguarding training** for all staff, partners, contractors, third-persons/ entities and community leaders involved in program implementation. For example, in Rwanda, AGRA has implemented **Community-Based Safeguarding Committees** composed of both male and female representatives who serve as the first point of contact for reporting SEAH and GBV concerns.

At the programmatic level, AGRA takes a proactive stance by integrating a **GBV/SEAH Risk Assessment** as part of its **Gender Analysis Toolkit**. This forward-thinking approach is applied before launching interventions in new contexts, ensuring that potential risks are identified and addressed from the outset. The toolkit includes specific modules on power dynamics, social norms, and potential risks related to GBV/SEAH. For instance, in Malawi, this risk assessment revealed that women engaging in higher-income agricultural roles faced heightened risks of domestic violence. AGRA responded by designing **Household Gender Balance Trainings** that worked with men and women to reduce tensions around shifting financial roles.

### Risk Monitoring and Mitigation Framework:

- **Country-Specific Safeguarding Risk Audits:** Conducted annually to identify program-specific risks related to SEAH and GBV.
- **AGRA's Grievance Mechanism** is a robust system that is further strengthened with gender-sensitive reporting tools. These tools, including anonymous hotlines and online platforms, ensure that survivors of SEAH or GBV can report safely and without fear of retaliation. This effective system is a testament to AGRA's commitment to ensuring the safety and well-being of all individuals involved in its programs.
- **Partnership with Local Women's Rights Organizations:** AGRA collaborates with local organizations specializing in women's rights and GBV prevention in each focus country to ensure that participants can access immediate support

and legal resources. For instance, in Tanzania, AGRA's partnership with local NGOs enabled swift referral services for survivors of SEAH during a community-based agricultural training program.

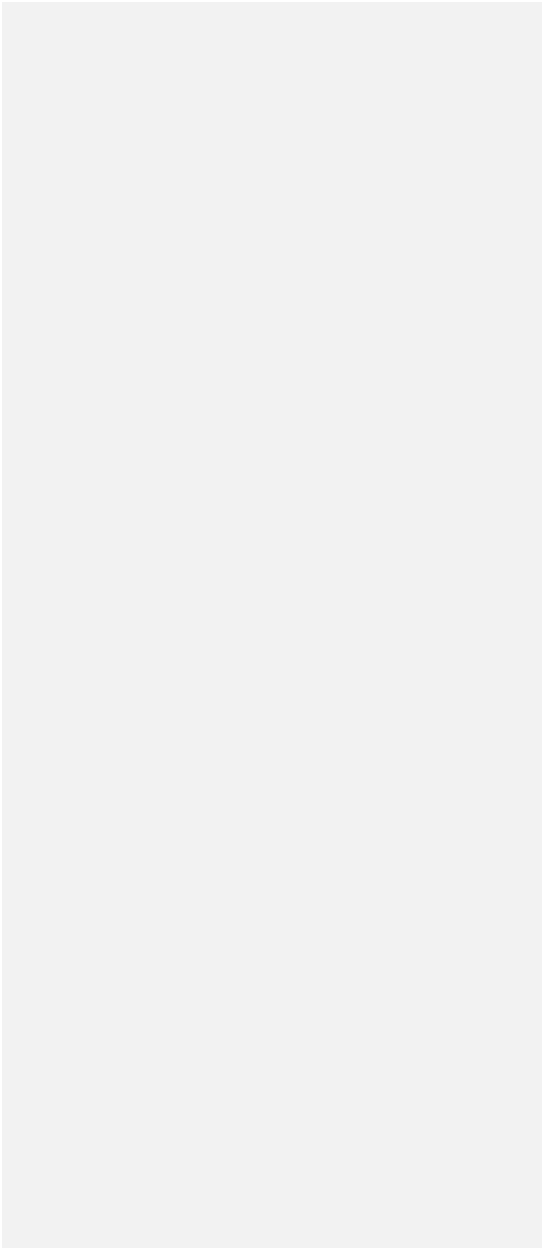
The risk mitigation matrix included below aligns with the instruments in place at AGRA to ensure program teams are equipped and ready to deal with potential SEAH and GBV risks within the REGAIN program, along with mitigation strategies and responsible parties.

<b>Risk</b>	<b>Description</b>	<b>Mitigation Strategy</b>	<b>Monitoring/Follow-up Mechanism</b>	<b>Responsible Parties</b>
Power dynamics leading to increased GBV	Economic empowerment may shift power dynamics in households, leading to tensions and violence as men may feel threatened by women's increased decision-making and financial control.	<ul style="list-style-type: none"> <li>- Conduct Gender and Social Norms Assessment in target communities.</li> <li>- Establish Community Gender Dialogues to address power dynamics and promote positive masculinity.</li> <li>- Include men in household financial management training to reduce tensions.</li> </ul>	<ul style="list-style-type: none"> <li>- Regular monitoring of household dynamics via surveys and focus group discussions.</li> <li>- Include gender-based violence indicators in program monitoring frameworks.</li> </ul>	<ul style="list-style-type: none"> <li>- REGAIN Gender Advisors</li> <li>- Local NGOs/women's rights groups</li> <li>- Community leaders</li> </ul>
Backlash against women in nontraditional roles	Women participating in male-dominated sectors (e.g., agribusiness leadership) may face community backlash, harassment, or exclusion.	<ul style="list-style-type: none"> <li>- Engage community leaders and conduct gender sensitization workshops.</li> <li>- Provide mentorship and peer support networks for women entering nontraditional roles.</li> <li>- Public campaigns to challenge gender norms and promote women's participation.</li> </ul>	<ul style="list-style-type: none"> <li>- Track women's participation and retention rates in program activities.</li> <li>- Conduct quarterly feedback sessions with female participants to assess experiences of backlash or harassment.</li> </ul>	<ul style="list-style-type: none"> <li>- REGAIN Program Managers</li> <li>- Gender Sensitization Officers</li> <li>- Local community facilitators</li> </ul>
SEAH incidents involving staff or partners	Inappropriate relationships or abuses of power between staff and program participants may occur, risking exploitation or harassment.	<ul style="list-style-type: none"> <li>- Strengthen training on AGRA Safeguarding Policy and mandatory adherence sign-offs.</li> <li>- Set up clear, anonymous reporting mechanisms for SEAH incidents.</li> </ul>	<ul style="list-style-type: none"> <li>- Quarterly safeguarding training refreshers for staff.</li> <li>- Continuous monitoring via AGRA's whistleblower system and anonymous reporting hotlines.</li> </ul>	<ul style="list-style-type: none"> <li>- AGRA Internal Audit Team</li> <li>- Safeguarding Officers</li> <li>- Program Implementation Teams</li> </ul>

		- Implement periodic, independent safeguarding audits.		
Participation drop due to SEAH/GBV	Survivors of SEAH or GBV may withdraw from program participation due to the physical and emotional toll of the abuse, impacting project outcomes.	<ul style="list-style-type: none"> <li>- Conduct regular well-being check-ins with participants.</li> <li>- Provide access to support services (legal, psychological) through partnerships with local NGOs.</li> <li>- Develop and communicate SEAH/GBV response protocols to protect survivors.</li> </ul>	<ul style="list-style-type: none"> <li>- Track participation rates and identify trends linked to SEAH/GBV cases.</li> <li>- Implement confidential exit surveys for participants who leave the program.</li> </ul>	<ul style="list-style-type: none"> <li>- Local NGOs (providing support services)</li> <li>- REGAIN Program Managers</li> <li>- Safeguarding and Gender Officers</li> </ul>
Lack of community support for safeguarding measures	Communities may resist safeguarding measures, viewing them as external interventions that challenge local customs.	<ul style="list-style-type: none"> <li>- Conduct community-level consultations to co-design safeguarding protocols.</li> <li>- Involve local leaders and influencers to champion safeguarding measures.</li> <li>- Tailor safeguarding policies to reflect local cultural contexts while adhering to global best practices.</li> </ul>	<ul style="list-style-type: none"> <li>- Monitor community engagement through focus group discussions and stakeholder meetings.</li> <li>- Measure community support via local leadership involvement in safeguarding initiatives.</li> </ul>	<ul style="list-style-type: none"> <li>- Local community leaders</li> <li>- Safeguarding Officers</li> <li>- Program Implementation Teams</li> </ul>
Staff lack awareness of SEAH/GBV risks	Some staff members may lack understanding or awareness of SEAH/GBV risks, leading to unintentional harm or inadequate responses to incidents.	<ul style="list-style-type: none"> <li>- Regular mandatory training on SEAH/GBV awareness and mitigation.</li> <li>- Integrate SEAH/GBV risk management into staff performance reviews and program planning.</li> </ul>	<ul style="list-style-type: none"> <li>- SEAH/GBV training attendance logs.</li> <li>- Conduct pre- and post-training assessments to evaluate staff awareness.</li> <li>- Track staff adherence to</li> </ul>	<ul style="list-style-type: none"> <li>- HR Department</li> <li>- Safeguarding Officers</li> <li>- Gender Advisors</li> </ul>



		- Include SEAH/GBV awareness sessions in onboarding for new staff.	safeguarding protocols during program activities.	
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## Grievance Mechanism Process

The SEAH-related grievance mechanism process will follow the guidelines provided in the GRM template provided Annex 9: Environmental and Social Risk Assessment Toolkit of AGRA'S ESMS, available at the Appendix 3 Annex 6 RE-GAIN ES Risks Assessment and Mitigation. The Grievance Mechanism will follow the below principles:

1. The GRM has multiple channels that guarantee confidentiality and anonymity. One of the channels that will be installed are grievance committees that will be formed following local socio-cultural norms
2. Investigations into cases, should they arise, will be undertaken via independent parties to guarantee fairness and protection of victims from any victimization
3. The awareness creation of SEAH, the GRM and other issues during stakeholder engagement meetings takes a gender-sensitive approach

Specifically, grievances and reports will be received through the multiple GM channel that have been established. On cases of sexual, exploitation, abuse and harassment, investigation into the report will be conducted and concluded with 14 days.

Survivor support processes will be initiated upon receipt of the report, this process will be led by AGRA's Safeguarding Officers and or the Human Resources depending the country office setup. Support services will be in the form of counselling services, medical services, compensatory time off, flexible working times, and working from home arrangements. Regarding support services, AGRA will work with national and local partners for these services. See diagram on the process and support services for survivors below.

