



## **Dairy Interventions for Mitigation and Adaptation (DaIMA)**

### **Funding Proposal**

#### **Annex 6a: Environmental and Social Management Framework (ESMF)**

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## **ABBREVIATIONS AND ACRONYMS**

|       |   |
|-------|---|
| AEZ   | Agro Ecological Zone                                    |
| AIDS  | Acquired Immunodeficiency Syndrome                      |
| BDF   | Business Development Fund.                              |
| BMOs  | Business Membership Organizations                       |
| BRD   | Rwanda Development Bank.                                |
| CEO   | Chief Executive Officer                                 |
| CRA   | Climate Risk Analysis                                   |
| CSA   | Climate Smart Agriculture                               |
| CSNs  | country strategy notes.                                 |
| DaIMA | Dairy Interventions for Mitigation and Adaptation       |
| DGs   | Sustainable Development Goals                           |
| EA    | Environmental Assessment                                |
| EDPRS | Economic Development and Poverty reduction Strategy     |
| EIA   | Environmental Impact assessment                         |
| EICV  | Integrated Household Living Conditions Survey.          |
| ESMF  | Environmental and Social Management Framework           |
| ESIA  | Environmental and Social Impact Assessment              |
| ESMP  | Environmental and Social Management Plan                |
| FAO   | Food and Agriculture Organization                       |
| FPIC  | Free, prior and informed consent                        |
| GBV   | Gender Based Violence.                                  |
| GCF   | Green Climate Fund                                      |
| GDP   | Gross Domestic Product                                  |
| GEF   | Global Environment Facility                             |
| GGCRS | Green Growth and Climate Resilience Strategy.           |
| GII   | Gender Inequality Index.                                |
| GoR   | Government of Rwanda                                    |
| GRM   | Grievance redress mechanism                             |
| GVTC  | Greater Virunga Trans-Boundary Collaboration.           |
| HIV   | Human Immunodeficiency Virus                            |
| IEC   | Information, Education and Communication ( )            |
| IFAD  | International Fund for Agricultural Development         |
| ILO   | International labour Organisation                       |
| IMCE  | Integrated Management of Critical Ecosystems.           |
| INDC  | Intended Nationally Determined Contributions            |
| IPMP  | Integrated Pest Management Plan                         |
| ITCZ  | Inter-Tropical Convergence Zone                         |
| JICA  | Japan International Cooperation Agency                  |
| LAC   | Land Adjudication Committee                             |
| LMP   | Labour management plan                                  |
| M&E   | Monitoring and Evaluation                               |
| MoU   | Memorandum of Understanding.                            |
| NBI   | Nile Basin Initiative.                                  |
| NBSAP | National Biodiversity Strategy and Action Plan.         |
| NDC   | Nationally Determined Contribution.                     |
| NGO   | Non-Governmental Organisation.                          |
| NST1  | First phase of the National Strategy for Transformation |
| OHS   | Occupational Health and Safety                          |
| OSHA  | Occupational Safety and Health Administration           |
| PAPs  | Project Affected Persons                                |
| PCP   | public consultation plan                                |
| PCU   | Programme Coordination Unit                             |
| PDO   | Programme Development Objective                         |
| PDR   | Project Design Report                                   |
| PMT   | Project Management Team                                 |



|           |   |
|-----------|---|
| POs       | Producer Organizations  |
| PPE       | Personal Protective Equipment                                       |
| RDDP2     | Rwanda Dairy Development Project phase II                           |
| PSC       | Project Steering Committee  |
| PSTA 4    | Fourth phase of the Strategic Plan for Agricultural Transformation. |
| PWD       | Persons With Disabilities.  |
| RAB       | <i>Rwanda</i> Agriculture Board                                     |
| RAFs      | Resettlement Action Frameworks                                      |
| RAP       | Resettlement Action Plan  |
| RB-COSOPs | Results-Based Country Strategic Opportunities Programmes.           |
| RCA       | Rwanda Cooperative Agency   |
| REMA      | Rwanda Environment Management Authority                             |
| RPF       | Resettlement Policy Framework                                       |
| RSB       | Rwanda Standards Board  |
| SEA       | Sexual Exploitation and Abuse                                       |
| SECAP     | Social, Environmental and Climate Assessment Procedures             |
| SEP       | Stakeholder Engagement Plan   |
| SMEs      | Small and medium enterprises  |
| SPIU      | Single Project Implementation Unit                                  |
| UN        | United Nations  |
| UNCCD     | UN Convention to Combat Desertification                             |
| UNDP      | United Nations Development Programme                                |
| UNEP      | United Nations Environmental Programme.                             |
| UNESCO    | United Nations Educational, Scientific and Cultural Organization,   |
| UNFCCC    | UN Framework Convention on Climate Change                           |
| UNICEF    | United Nations Children's Fund                                      |
| VC        | Value Chains  |
| WB        | World Bank  |
| WFP       | World Food Programme  |

## **EXECUTIVE SUMMARY**

### **Introduction**

This ESMF provides guidance on how to examine the risks and impacts of the various activities proposed under DaIMA Programme. It sets out the principles, rules, guidelines, and procedures to assess the environmental and social risks and impacts. The ESMF contains measures and plans to reduce, mitigate and/or offset adverse risks and impacts. The ESMF includes information on the target areas where activities will be carried out, the target beneficiaries, the potential environmental and social vulnerabilities of the area, the potential impacts that may occur and the proposed mitigation measures. It also includes institutional mechanisms to allow the executing entities to implement the recommended measures. There are also provisional estimates and cost of managing, mitigating, and monitoring environmental and social concerns related to the Programme.

### **Components of the Programme**

The DaIMA Programme is planned to be implemented for a duration of six years and is articulated around the following three interlinked components: i) Strengthened national capacities and enhanced enabling environment for low emissions climate resilient dairy sector, ii) Low emissions and climate resilient primary dairy production; and iii) Green Dairy Financing Facility.

### **Target areas of DaIMA**

The geographic target areas of DaIMA Programme are selected based on opportunities available in each country to optimize the outcomes of the programme. In Kenya, 12 counties were selected, including the Marsabit and Samburu counties to enhance soil carbon sequestration in ASAL areas and leverage co-financing from the IFAD-funded KeLCoP and INReMP projects, which invest in better rangeland management and landscape governance. Rwanda will implement the Programme in 27 rural districts, fully aligned with the IFAD-funded RDDP-2. In Uganda, the Programme will invest in 30 districts along the cattle corridor, aligned with the ReLIV. In Tanzania, the Programme will be implemented in 9 regions, aligned with the Climate Smart Smallholder Dairy Transformation Project (C-SDTP).

### **Policy and Regulatory Framework**

The ESMF has been prepared in alignment with IFAD Social, Environmental and Climate Assessment Procedures, GCF's Environmental and Social Safeguards and the legal framework of the relevant host countries, i.e., Kenya, Rwanda, Uganda, and United Republic of Tanzania. In cases where there is inconsistency between national legal requirements and the DaIMA ESMF, this Framework will prevail to the extent of the inconsistency or more stringent requirements will be applied.

### **Identified Environmental and Social Impacts and Risks**

Identification of environmental and social impacts has been done and included in the ESMF. The major E&S impacts associated with the program are: a) Vegetation clearance at construction sites, b) Temporary visual intrusion (Marred landscape), c) Impacts on soil, d) Solid waste nuisance, e) Ambient air pollution, f) Habitat loss and biodiversity disturbances, g) Waste generation and biosafety issues, h) Effluent discharges into natural resources (rivers, wetlands), i) Loss of diversity in farm animal genetic resources, k) Limited Stakeholder Participation, l) Poor Programme Inception, Anxiety and Anticipation, m) Potential exclusion of indigenous people, n) Occupational Health and Safety Issues, o) Gender Based Violence (GBV) and SEAH, p) Child labour, q) Water use conflict over the right of community water sources.

### **Environmental, Social and Climate Risk Category of the Programme**

The DAIMA programme has been screened in line with IFAD's Social, Environmental and Climate Assessment Procedures (SECAP) and deemed to fall under the Moderate category for both Environmental and Social Risk Categorization as well as Climate Risk

categorization. According to the results from screening, the activities proposed under DaIMA Programme do not have high potential for harming people or the environment and will be located away from environmentally or socially sensitive areas. Furthermore, the risks associated with the programme are predictable and expected to be temporary or reversible and possess the low probability of causing serious adverse effects to human health or the environment.

### **Environmental and Social Management Plan**

To mitigate the identified environmental and social impacts and risks, a generic ESMP that can be used for the whole programme has been prepared as part of the ESMF. The ESMP provides guidelines for the management of potential environmental and social aspects of the activities. The ESMP also identifies parties responsible for monitoring actions, standard to be adhered to and the estimated cost of implementing mitigation measures.

### **Monitoring, Reporting and Review**

To keep track of the implementation of the ESMF there will be two types of monitoring to be conducted, i.e., Performance and Results monitoring. The Environment and Social Safeguard Specialist will conduct at least one field visit at an interval of six months to verify reports submitted from focal persons/coordinators. Additional site visits and/or changes in site visit frequency may be required based on the risk level of the activity.

The project focal person or coordinator at the site will prepare quarterly reports and submit the same to the E&S Safeguard specialist in each country. The E&S Safeguard Specialist will consolidate quarterly reports received from various coordinators into one main report on semi-annual basis for submission to the Project Manager at the PMU in each country.

As regards Reviews, there will be quarterly and annual reviews of the ESMP. This activity will be participatory and shall involve programme stakeholders at all levels in each country. These reviews are necessary to ensure that the implementation of the projects and interventions is undertaken in compliance with IFAD SECAP and GCF Environmental and Social Standards.

### **Safeguards Budget**

The safeguards budget for DaIMA is estimated at US Dollars 8,200,000.00. This budget will cater for the following components: (i) Monitoring, Evaluation and Review of the ESMP, (ii) International Technical Assistance (iii) Cost for Environmental, Social and Gender Specialist in each country, (iv) Cost for implementation of GBV/SEA Action plan, (v) Cost for ensuring Free Prior Informed Consent is sought, (vi) Budget for Capacity Building and Training, (vii) Budget for annual and end of project audits, and (viii) Site Specific Environmental and Social Impact Assessments in line with country regulatory requirements.

The budgets for undertaking Stakeholders Engagement, GRM and Gender Action Plan are not included in this ESMF but shown in the stand-alone annexes attached to the Funding Proposal.

### **Key issues arising and Recommended actions.**

*Project Implementation Arrangements:* The institutional arrangements for DaIMA provide for an Environmental, Social safeguard Specialist as part of the Programme Management Team in each country. These persons will be directly responsible for overseeing the environmental, social- and safeguards related aspects of the Programme interventions in respective countries. The Programme Manager at respective countries must ensure that the Specialist is adequately facilitated to perform his/her duties.

*Involvement of end beneficiaries in project implementation:* Community involvement will be critical throughout the implementation phase of DaIMA. Thus, they should be involved at every stage to ensure sustainability of the activities beyond the Programme life span.

*Capacity building and knowledge transfer.* For the enhancement of farmers' technical knowledge and skills in dairy management the Programme Management Teams should render special attention on the provision of training programs, Farmer Field Schools, and extension services on sustainable feeding practices, breeding strategies, disease control measures, and the effective use of water resources.

## **1. INTRODUCTION**

### **1.1 BACKGROUND**

This Environmental and Social Management Framework (ESMF) has been prepared to form an important annex to the Funding Proposal to the Green Climate Fund (GCF) for funding of the regional Programme - "Dairy Interventions for Mitigation and Adaptation (DaIMA) to be implemented by the Governments of Kenya, Tanzania, Rwanda and Uganda. The funding of the Programme will be sourced from GCF and IFAD in a co-financing arrangement. However, IFAD will play both roles as financier on one hand and GCF Accredited Entity on the other. The programme has been screened against IFAD's Social, Environmental and Climate Assessment Procedures (SECAP) utilizing the Environmental and Social Safeguards Screening Checklist and deemed a Moderate Risk Programme. The ESMF deals with environmental and social impacts only as the climate assessments are covered in Study 3 of the Project Development process<sup>1</sup>:

The DaIMA programme includes a range of activities that have been specified in terms of specific components that are assessed for all potential social and environmental risks and impacts. As such, this ESMF has been prepared to set out the principles, rules, guidelines, and procedures for screening, assessing, and managing the potential social and environmental impacts of the proposed interventions. It contains measures and plans to avoid, and where avoidance is not possible, to reduce, mitigate and/or offset adverse risks and impacts. The ESMF specifies the most likely applicable social and environmental policies and requirements and how those requirements will be met through procedures for the screening, assessment, approval, mitigation, monitoring and reporting of social and environmental risks and impacts associated with the activities to be supported.

The ESMF seeks to manage the environmental and social risks of the DaIMA program and proposed mitigation measures. For the development of this framework, each of the components and activities included in the DaIMA program was analysed. The existing environmental, social, and economic conditions in the region where the program will be implemented was also assessed. In addition to the environmental, social, and institutional context elements, the document lays out an environmental and social management plan that defines the guidelines, procedures, and obligations for the responsible partner countries and strategic partners, which comply with the IFAD's Social, Environmental and Climate Assessment Procedures (SECAP 2021) and standards, as well as with the partner countries national regulations and public policy. The incorporation and enforcement of these arrangements will minimize the potential adverse impacts of the project on the environment, communities, and project beneficiaries.

### **1.2 SCOPE AND PURPOSE OF THE ESMF**

The ESMF has been developed on the basis of the Programme risk categorisation and to outline the processes that will be undertaken during the Programme implementation phases for the additional assessment of potential impacts and identification and development of appropriate risk/impacts management measures. It contains measures and plans to avoid, and where avoidance is not possible, to reduce, mitigate and/or offset adverse risks and impacts.

The ESMF also details the roles and responsibilities for its implementation and includes a detailed monitoring and evaluation plan, and guidelines for Terms of Reference to be used to guide the development of the required assessments and management plans.

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<sup>1</sup> Climate Impact Potential Assessments: by Kirungu, C Et Al, 2023.

### **1.3 APPROACH TO THE PREPARATION OF THE ESMF**

The ESMF has been prepared in accordance with the applicable partner countries' Environmental policies and procedures, the revised environmental and social policy of GCF and IFAD SECAP (2021) requirements. Both primary and secondary sources of information were used to prepare the ESMF. The methodologies adopted for the preparation of this ESMF includes literature review, field visits in all the four partner countries, with comprehensive stakeholder Consultations.

The focus of the ESMF is to highlight the potential environmental, and social impacts for the planned future activities of the programme and recommend a management plan for addressing potential negative impacts. To achieve these targets, the ESMF took on board views from a cross section of people, at least from the local level, District level, and National government level of each of the four partner countries.

The strategies of preparing the ESMF followed the following six steps:

- a) Review of the current conditions of the existing livestock and dairy activities, and provide an assessment of their status and operation levels,
- b) Review and analysis of the level of degradation of the Fodder fields, and potential fields (Baseline Conditions) in the potential project areas,
- c) Review of typical implementation approach and processes for the proposed development activities within the smallholder sector,
- d) Identification and analysis of potential environmental and social impacts the implementation processes will likely trigger and generate within and around the agriculture activities,
- e) Development of a screening process for negative impacts for proposed programme sites and activities,
- f) Identification of appropriate mitigation measures for the predicted impacts and compilation of a management plan for addressing environmental, social and climate impacts during implementation, operation, and maintenance of the programme activities.

#### **1.3.1 Literature Review**

Review on the existing baseline information and relevant literature were undertaken to have better insight of the DaIMA Program areas. Similarly, the national policies and legal framework and IFAD environmental, and social Assessment procedure (SECAP 21) were also reviewed.

#### **1.3.2 Field Visits.**

As part of the DaIMA Design mission, visits were conducted to the project districts of each partner country, to carry out consultations with the stakeholders and with the beneficiaries of DaIMA and to inspect such facilities as MCCs, MCPs and milk processing plants for their compliance or capacities to comply with the environmental safeguards. The design missions met the relevant institutions and communities including women and youth at the district level.

The visits gave the design team an insight into the environmental and social settings of the proposed project areas and identified opportunities and challenges that are expected to be encountered during DaIMA implementation. The detailed Stakeholder Engagement Plan and Grievance Redress Mechanism has been prepared and attached to the Funding Proposal as Annex 7.

## 1.4 STRUCTURE OF THE ESMF

This ESMF is organized in ten chapters:

**Chapter One** provides background information to the proposed Dairy Interventions for Mitigation and Adaptation (**DAIMA**). It outlines the scope and purpose of the Environmental and Social Management Framework, and the approach and methodology that was taken in developing the framework.

**Chapter two** provides an overview of the project description covering target areas and socio-economic targeting, Components of the Project and planned activities.

**Chapter three** describes the relevant legal frameworks which regulate and manage resource utilization, protection of sensitive areas including aquatic and land ecosystems, land use control and protection of endangered species in the four participating countries. It then explains in general terms IFAD's Social, Environmental and Climate Assessment Procedure (SECAP) and the GCF Guiding Frameworks including the GCF Revised Environmental and Social Policy.

**Chapter four** provides the procedure for activities screening assessment and management. It is the procedure for ensuring that environmental and social potential impacts are adequately addressed through the institutional arrangements and procedures used by PSN for managing the identification, preparation, approval, and implementation of activities.

**Chapter five** outlines the nature and scope of the proposed activities under the proposed project, the process for environmental and social categorisation, significance rating, components likely to be affected by the project activities, the nature and potential sources of the main environmental and social risks and impacts, environmental and social impact analysis. The chapter then outlines the typical environmental management plan for the impacts for integration into the project activities. The plan includes responsible authorities for collaboration in the implementation of the mitigation measures and recommendations of appropriate monitoring activities by different stakeholders at local level, district level and national level to ensure compliance to mitigation measures.

**Chapter Six** outlines the Detailed Mitigation Actions which the programme will implement. This includes a Biodiversity Plan, Emergency preparedness and response procedure, and Serious accident and incident reporting procedure. These are generic action plans to guide the implementation of the DaIMA programme while adhering to the precautionary principle which calls for addressing adverse environmental risks and impacts even when there is lack of full scientific certainty.

**Chapter Seven** describes the institutional frameworks which will govern the programme at Regional, National, Sub- national and local levels. It outlines how the programme will be coordinated, the implementing agents, and the end beneficiaries. The chapter further describes the relevant environmental and social training and capacity building measures for stakeholders at all levels to adequately participate in the implementation. It includes specific training activities for the stakeholders and the cost estimates to facilitate the training programme.

**Chapter Eight** outlines the monitoring Plan, reporting and document review process for DaIMA. It outlines the areas of concern, the method of monitoring, the indicators, the frequency of monitoring and the responsible authorities. It covers collection of monitoring data, monitoring process, reporting, performance monitoring, results monitoring, and reviews. It explains that the lead implementing Agent (DaIMA) with the help of relevant authorities must monitor the environmental effects of project implementation and the success of mitigation measures.

**Chapter Nine** provides a budget estimate for implementation of safeguards actions of the ESMF.

**Chapter Ten** Provides a conclusion of the findings of the ESMF drawing from the analysis of the preceding chapters.

**References**, this provides the literature which was used in the study is then listed and,

**Annexes; Twelve annexes** are then attached at the end of the report covering (i) IFAD exclusion list, (ii) The environmental and social screening form, (iii) SECAP risk categorisation, (iv) Methodology for significance rating of impacts, (v) Emergency preparedness and response procedure guidance, (vi) Serious accident and incident reporting procedure guidance, (vii) Labour, community health and safety management plan, (viii) Archaeological chance finds procedure, (ix) DaIMA monitoring and review programme guidance, (x) TORs for environmental and social safeguards specialists, (xi) GBV/SEAH action plan, and (xii) Conflict analysis plan.



## **2. PROGRAMME DESCRIPTION**

### **2.1 OVERVIEW AND OBJECTIVE OF THE PROGRAMME**

IFAD designed a regional programme entitled Dairy Interventions for Mitigation and Adaptation (DaIMA) to be co-financed by the Green Climate Fund (GCF). The proposed Programme, which will be implemented in Kenya, Rwanda, Tanzania, and Uganda, aims to reduce methane and other GHG emissions from the dairy sector while increasing the resilience of livestock-dependent communities. The Programme will support a shift from low production efficiency to improved, gender-sensitive, integrated and NDC-aligned practices that reduce emissions at farm and food system levels (including interventions that reduce milk losses and increase milk collection, decarbonize processing with renewable energies, formalize dairy value chains and strengthening partnerships with the private sector), as well as interventions that promote circularity, and increase rangelands ecosystems resilience and services (including carbon sequestration in grasslands).

### **2.2 PROGRAMME COST**

The total cost of the Programme is US\$ 374 million, of which: US\$ 74.8 million for component 1, US\$ 189.3 million for component 2, US\$ 82.8 million for component 3, US\$ 27 million for Programme management. In addition to the requested US\$ 120 million grant and US\$ 80 million senior loan from GCF, IFAD and partner countries will contribute a total of US\$ 174 million in co-financing

### **2.3 TARGET AREA**

#### **2.3.1 Regional Geographic Targeting Strategy**

Programme intervention areas are identified based on the integration of: (i) the climate risk hotspots; (ii) absolute methane emissions from the dairy sector; (iii) soil carbon sequestration potential in pastures and grasslands; (iv) milk production by district/county; and (v) complementarity with other international financing institutions (IFI)-funded interventions, more particularly from IFAD.

### 2.3.2 Target Areas in Tanzania

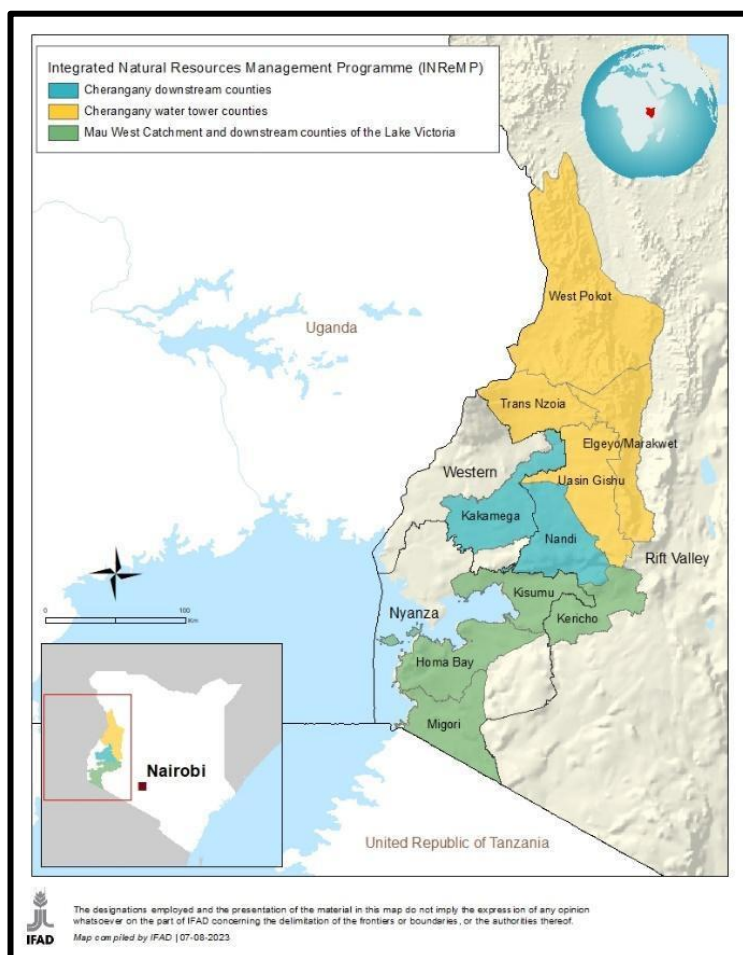
In Tanzania DaIMA programme will be implemented parallel with Climate smart Smallholder Dairy Transformation Programme (C-SDTP) in Southern Highlands, Eastern Zone and Zanzibar. Specifically, the Programme will be implemented in Southern Highland: Mbeya (Rungwe, Mbeya, Chunya and Mbarali districts), Iringa (Mufundi, Kilolo, Iringa districts) and Njombe (Njombe, Makete and Wanging'ombe districts); Eastern Zone: Tanga (Lushoto, Muheza, Korogwe, Pangani, Tanga districts), Morogoro (Mvomero, Kilosa and Morogoro districts) and Pwani (Kibaha and Bagamoyo). And Zanzibar: Unguja (West, Central and South districts) and Pemba (South and North districts). (Figure 2-1)



**Figure 2-1** Map of Tanzania showing target areas.

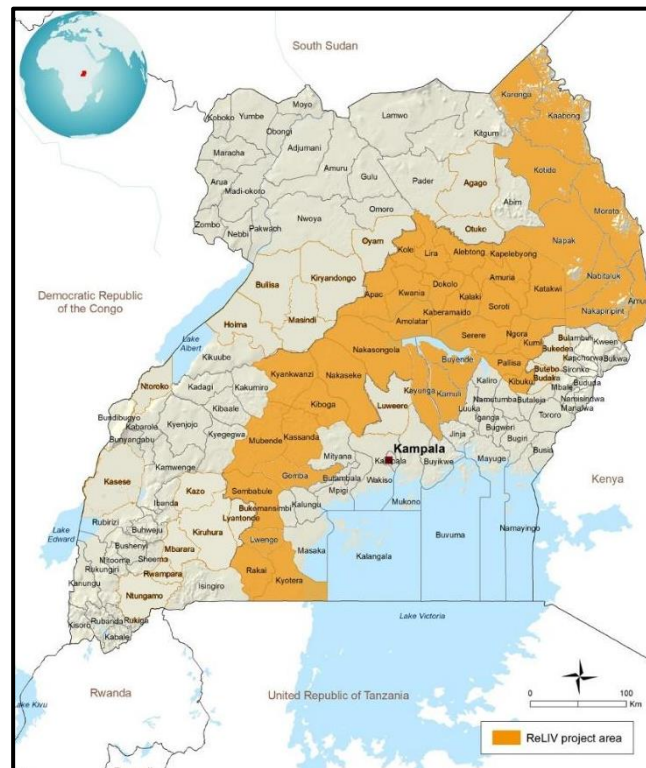
### 2.3.3 Target Areas in Kenya

In Kenya, 12 counties were selected, including the Marsabit and Samburu counties to enhance soil carbon sequestration in ASAL areas and leverage co-financing from the IFAD-funded KeLCoP and INReMP projects, which invest in better rangeland management and landscape governance. In addition, complementarity with the IFAD co-funded projects KeLCoP and INReMP was considered, as appropriate, Figure 2-2.



**Figure 2-2** Map of INReMP target areas which DAIMA will complement.

In Uganda, the Programme will invest in 30 districts along the cattle corridor, aligned with the ReLIV (figure 2-3).



**Figure 2-3** ReLIV Target Districts that DAIMA will target also.

DAIMA will target the same 31 districts in the country's livestock corridor in the same areas as ReLIV. The targeting is based on: (i) high incidence and density of poverty, food insecurity and malnutrition; (ii) household herd size; (iii) climate vulnerability and potential for emission reduction and carbon sequestration; (iv) potential for women and youth participation; and (v) potential for dairy value chain development.

### 2.3.5 Target Areas in Rwanda

In Rwanda DaIMA will be implemented in the 27 rural districts across the country which are essentially the same intervention area as the IFAD-funded Regional Dairy Development Project, phase 2 (RDDP-2 (Figure 2-4). The geographic targeting strategy of RDDP-2 will be applied, while DaIMA will enhance and scale up the adaptation and mitigation measures. The methodology proposed for geographic targeting will support the identification of Programme areas and stakeholders in each major category of DaIMA intervention.



**Figure 2-4** Map of RDDP-2 target areas that DAIMA will target also.

## 2.4 SOCIO-ECONOMIC TARGETING

Different targeting strategies shall be applied for different country programs according to each country's context in terms of whether there existed, before DaIMA, a dairy program supported by IFAD and its partners, or not. In Kenya, such a program did not exist, but in Tanzania, there is an upcoming Climate Smart Dairy Transformation Programme (C-SDTP) that will be supported by IFAD and other co-financiers. In Uganda there exists a ReLIV project supported by IFAD and in Rwanda there is Rwanda Dairy Development Project Phase 2 (DRRP2).

### 2.4.1 Kenya

In Kenya, the socio-economic targeting strategy of the programme will ensure the inclusion of poor and nutrition insecure households that meet the Programme selection criteria in line with IFAD's and FAO's targeting strategy. In Kenya, the Programme is leveraging on actions and lessons from Kenya's Dairy National Appropriate Mitigation Actions (NAMA), which is a research project that supports private and public stakeholders at local and national levels to develop, pilot, and scale up activities that promote dairy development. The project identified best practices at farm level and in extension services, and developed monitoring, reporting and verification (MRV) approaches. The project analysed on-farm practices and climate-smart business models, including how the practices and business models may contribute to increased gender equity. The project attempted to include women and men in different age and social groupings and collected sex-disaggregated data whenever possible.

In line with GCF and IFAD priorities, women, youth, and social categories that intersect with gender, such as people living with disabilities and poverty, in the dairy enterprise space, will be targeted. Women from female headed households and men and women from male headed households will be considered during implementation of the project. Special focus, too, will be on households headed by youth and those with persons with disabilities, young children, adolescent girls, pregnant and nursing women.

#### Gender and Youth<sup>2</sup>

The project will ensure the inclusion of the most vulnerable population, women, youth and other marginal and vulnerable groups. In order to ensure a gender and youth-inclusive approach, DaIMA targeting will further factor in opportunities and barriers to inclusion such as access to and control over land and natural resources and finance including credit.

Participation of women and youth, compared to older men, in the dairy value chain will constitute an important component of the design of DaIMA. Participatory gender analysis of the dairy value chain, and a nutrition assessment of participating households using proxy indices for nutrition such as Daily Dietary Diversity Score (DDDS) and Months of Adequate Household Food Provisioning (MAHFP) will constitute an integral component of the gender and nutrition assessments. Based on the findings, appropriate interventions, including affirmative action measures to enhance the pace of closing identified gender gaps will be recommended.

There being no pre-existing IFAD partnering dairy program to draw lessons from, this will be a fresh study. Nevertheless, there have been numerous gender value chain studies in Kenya where the connection between dairy commercialization and exclusion of women and youth has been demonstrated. Also, the decline in household milk consumption with dairy commercialization<sup>3</sup>.

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[https://cgspace.cgiar.org/bitstream/handle/10568/107010/\(Bullock%20&%20Crane\)%20Youth%20in%20Dairy%20InfoNote.pdf](https://cgspace.cgiar.org/bitstream/handle/10568/107010/(Bullock%20&%20Crane)%20Youth%20in%20Dairy%20InfoNote.pdf).

<sup>3</sup> <http://cgspace.cgiar.org/handle/10568/33738>

Kenyan youth are mainly attracted to the dairy enterprise in geographical locations with road access, electricity, markets, access to motorbikes and supporting institutions such as dairy cooperatives. Their role is mainly activities that require low capital investments such as transportation and or sale of milk and casual labour. Women and men alike transport milk to urban centres, with women relying on public transport and men having their own transport. Gender norms of seclusion apply to women youth curtailing their mobility. More difficult, specialized, and remunerative positions for youth in the dairy value chain include running agrovet shops, providing AI services and installing biogas. These positions are male dominated because men have greater access to credit and training.

Cooperatives exist in counties with dairy animals. Membership of these cooperatives is constituted mainly by men, because they own most of the land and high valued dairy cattle. Young women and men sometimes organize into youth groups through regional dairy projects that support business and skill development. Youth groups provide opportunities to interact with and learn from each other. Youth groups' activities include savings and knowledge sharing. The high access to mobile phones by youth has ushered in new ways of learning about local and global dairy practices, linking to markets, e.g., heifer sales, and connecting with dairy farmers in social media platforms.

#### **2.4.2 Tanzania**

The primary Programme beneficiaries are: (i) livestock smallholders: (ii) different dairy value chain processes and SMEs, including renewable energy (MCPs, MCCs, processing units, mechanization services, etc.).

The beneficiaries of DaIMA would be all stakeholders along the dairy value chains, with a primary focus on small dairy producers with improved breeds that are willing and able to invest in growing their production and productivity, to ultimately shift the overall production base in a climate-smart manner and support the growth of the formal sector and short value chains for enhanced livelihoods, food security, and nutrition. In Components 2 and 3, the target beneficiaries will be operating in the private sector, with the farmers in Component 2 being, in majority, small producers who will be reached through cooperatives and/or local financial intermediaries, and dairy processors and marketers in Component 2 being mainly small and medium enterprises (SMEs). Some larger enterprises will also be targeted for enhancing their Productive Alliances with small dairy producer cooperatives adoption of climate-smart technology via Component 2 and 3.

Many actors in the value chain will also benefit from the Programme including: (i) public providers of livestock services and policy development with a focus to strengthen public veterinary services through digitalization of surveillance systems, vaccination fund and including youth as private veterinarians under the sanitary mandate; (ii) dairy producers not directly targeted by the Programme, from better capacitated MCPs/MCCs with digitized transactions and efficient pay systems, from improved animal health and AI access, fodder seed development programmes, nutrition education interventions, and policy interventions; (iii) consumers through a better access to quality dairy products and other indirect beneficiaries will include large and medium scale private sector actors such as feeders, processors who will engage in more profitable businesses with beneficiaries.

#### **Gender and Youth**

DaIMA and the Climate Smart Smallholder Dairy Transformation Project (C-SDTP) interventions have many similarities including areas of geographical coverage. DaIMA will, however, support stakeholders from additional geographical areas such as the peri-urban dairy communities in the coastal region as well as some pastoral communities not included in the C-SDTP. Mostly, gender relations vary with diverse cultural contexts, and this diversity should inform analysis and interventions. In traditional dairy production systems, gender roles vary with geographies. For example, in the Southern Highlands of Tanzania,



milking is a man's activity, but not a taboo for women, whereas in Tanga both women and men can milk. In both these areas, men own the cattle and women the milk, but the man can sell the milking cow and as a consequence the woman loses the milk. Thus, the woman's ownership of the milk is contingent upon the man not selling the cow. In this case, the woman's right to the milk is a usufruct right, rather than ownership to the extent of having decision making power over whether to sell the cow or not. Youth too often have usufruct rights over household assets, like women, by virtue of being members of the household. Agricultural asset ownership by women and male youth is, therefore, transient, and tentative.

Some gender relation patterns, however, appear to be held constant across contexts such as cultures and geographies whereby they are reproduced in similar ways. For example, control and ownership of commodities changes from women to men, while leaving productive roles intact, with commercialization of agricultural value chains, even of traditionally women's products such as milk and eggs. As value chains commercialize and markets become sophisticated, moving further away from the farm gate, women tend to lose control of the commodities in question. For as long as the production of milk is low and the markets rudimentary, milk shall remain a woman's commodity. Once the productivity increases to profitable magnitudes and the value chain becomes commercialized the ownership of milk is likely to change to men. The proposal for Tanzania proposes three interventions that are likely to prevent or at least slow down the takeover of the milk commodity from women by men. First, beneficiary households should be trained in the Gender Action Learning System (GALS) methodology, whereby women and men shall practice working together and agreeing on co-owning the dairy value chain for their mutual benefit. By the time milk is commercialized and earning good money, the commodity will be co-owned by women and men. Heifer Project International (HPI) Tanzania, which DaIMA foresees as implementing partner, uses participatory sensitization meetings with women and men at household and farmer group level to develop agreed gender strategies and action plans for mainstreaming and transformation. Couple training in GALS is also used to achieve this goal. This HPI model should be adopted. Second, women have multiple livelihood options, such as dairy production, crop residue preservation for fodder production and fodder harvesting "cut and carry" from communal lands, raise poultry, collect, and trade with non-timber forest products such as medicinal herbs and gums (for food, medicine and other uses). With support for the various livelihood options, the women can still survive the worst-case scenario of losing milk business to men. Finally, affirmative collective action was once practiced at the East African Dairy (EADD) project where women owning cows joined coops as individuals. Women from households owning cows, but women were not members of the coop, formed groups and joined the coop as groups and made their group contributions to the coop account using some of the milk they delivered.

Youth (15-35 years) and children (0-15 years) account for 75% of the population, with a median age of 18 years old. Two-thirds of Tanzania's labour force is younger than 35 years. For the youth, being linked to a market (earning money) and working with modern and digital technologies are important. Around half of the 16 million youth are, however, engaged in farming (off-farm agribusiness: 24%). Young men more often than young women find non-agriculture employment, approximately 60% versus 40%. The Government of Tanzania (GoT), specifically the Ministry of Agriculture (MoA), started the Build a Better Tomorrow – Youth Agribusiness Initiative 2022-2030 (BBT-YAI), with the following strategic objectives: i) inspire youth through implementing behaviour/attitude-changing communication strategy; ii) empower youth through training mentoring and coaching; iii) engage youth in profitable and sustainable management of agribusinesses; iv) enable youth-led enterprises by improving business environment; and v) coordinate effectively youth agribusiness support initiatives for synergy and efficiency (in short inspire, empower, engage, enable and coordinate). Through partnerships between the private sector, NGOs and government institutions, the MoA anticipates achieving 12,000 new agribusiness enterprises in villages across the country, for which 200,000 youth are



trained via internship and 15,000 youth are mentored through incubation programmes. For livestock specifically, youth involvement is less well documented. There are eight Youth Incubation Centres for beef and goat fattening that will take 240 and 1,000 youth in 2022/23 and 2023/24 respectively.

Collective action for the youth has been explored and has successfully worked in Zanzibar, as a result of the Agricultural Sector Development Programme–Livestock (ASDP-L) project. Communal Cowsheds for dairy are a type of Livestock Farmer Field School (L-FFS) that is dependent on social cohesion from which youth learn and farm dairy together<sup>4</sup>. The Communal Cowshed Concept could serve as a dairy production incubator for youth, having the young farmers passing through and starting their own dairy business from there.

### **People living with Disability**

More than three million women and men in Tanzania, which is approximately 5% of the population, have a disability. People with disabilities are among the most vulnerable groups in society. They are often undereducated, untrained, unemployed or underemployed. They are also likely to be extremely poor – especially women, youth and those living in rural areas. In Tanzania, movements supporting / protecting the rights of people with disability are quite well established. Different disabled persons' organisations and the umbrella organisation regularly take part in discussions with the government on issues affecting the lives of people with disabilities. In spite of this, there is a need to systematically ensure equity, and ultimately equality of people with disability and living in rural areas where they rely on agriculture and related activities with the rest of the rural population. This can be achieved by providing them with opportunities to engage in agribusiness and supporting them with access to training, finance and productive resources.

### **Nutrition**

Malnutrition in Tanzania remains high. Over 34% of children under the age of five are stunted and nearly 45% of women of reproductive age suffer from anaemia. The most affected regions, with a prevalence of stunting exceeding 40%, include the semi-arid areas of Ruvuma (41%), Iringa (47%), Rukwa (48%), Kigoma (42%), Njombe (54%), and Songwe (43%). In Pemba North, 39%, and, in Pemba South, 31%, of children are stunted. In Zanzibar, stunting rates range from 20 to 24% in Stone Town and Unguja North, respectively. Between 2014 and 2018, a significant decrease of the prevalence of stunting was observed in Dodoma, Morogoro, Pwani, Lindi, Tabora, Mwanza, and Katavi. According to the 2015–2016 Tanzania Demographic and Health Survey and Malaria Indicator Survey (DHS-MIS), 5% of children under five are wasted. Wasting is more common in Zanzibar than in Tanzania Mainland (7% versus 4%) and is very high in Kusini Pemba (9%), Kaskazini Pemba (9%) and Kusini Unguja (8%). In Tanzania, 14% of children under five are underweight (too thin for age). Rates of stunting, wasting, and underweight generally decrease as maternal education increases. All three nutritional status indicators are highest among children in the lowest wealth quintile and lowest among children in the highest wealth quintile. Complementary feeding practices are inadequate, with only 10% of breastfed children of 6–23 months receiving a minimum acceptable diet, which has a major impact on growth and development. Inadequate caring and feeding practices, low nutrition education on dietary needs of different age groups (young children, adolescent girls, women of reproductive age, pregnant and lactating mothers, etc.) remain an issue. Studies also show that 59% of the Tanzanian population cannot afford a nutritionally adequate diet. Equal distribution of opportunities and decision-making access is absent in all regions, so gender represents a key issue to take into consideration for DaIMA. To improve access to milk, a nutritious (high protein animal source food), dairy farmers need to be trained on the importance of allocating some of the milk (mainly evening milk) for household consumption and the importance of making other animal source foods such as chicken and eggs available for consumption at home, rather than selling. For the sake of

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<sup>4</sup> IFAD 2022. [https://www.ifad.org/documents/38714170/47116743/Stocktaking\\_ESA\\_web.pdf/cc8f6720-6dc1-5a92-f61b-4bcccf4d1d15?t=1671547955602](https://www.ifad.org/documents/38714170/47116743/Stocktaking_ESA_web.pdf/cc8f6720-6dc1-5a92-f61b-4bcccf4d1d15?t=1671547955602)

nutrition, protection of women's livelihood options such as poultry, and collective action in the milk cooperative will empower these women with knowledge on nutrition. DaIMA, partners e.g. HPI etc can support school milk feeding programs by applying lessons from past successful interventions such as in Kenya whereby providing school milk increased nutrition, attendance and enrolment <sup>5</sup>.

### **2.4.3 Rwanda.**

The beneficiaries of DaIMA will be all stakeholders along the dairy value chains, with a focus on dairy smallholders. The Programme will target around 175,000 households (HHs) of which 145,000 HHs will be involved in dairy farming (mostly zero grazing) and 30,000 HHs in agribusiness /SME along the dairy value chain, representing 700,000 beneficiaries.

The socio-economic targeting strategy of the Programme will ensure the inclusion of poor and nutrition insecure HHs who meet the project selection criteria in line with IFAD's and FAO's targeting strategy and the Ubudehe categorization<sup>6</sup> of the population in Rwanda. In line with IFAD priorities, women and youth-led dairy related enterprises will be targeted as well as people living with disabilities. Female headed households and male headed households will all be considered during implementation of the project. Special focus will also be on youth headed households, and HHs with persons with disabilities, small children, adolescent girls, pregnant and lactating women.

#### **Gender and Youth**

In addition to geographic targeting and stakeholders' identification, IFAD investment operations apply additional corporate guidelines to ensure the inclusion of the most vulnerable population, women and youth. In order to ensure a gender and youth-inclusive approach, DaIMA targeting will further factor in barriers to inclusion such as access to and control over land and natural resources. In Rwanda land holding will be a significant consideration for geographical targeting while a value chain analysis will inform the activities most attractive to women, youth and poorer members of the community.

Special attention to the needs of youth and women in milk collection and transportation roles as well as training on value addition will be important in the design of DaIMA. Community mapping to identify members with little access to livestock assets and opportunities due to social exclusion and marginalization will be critical in ensuring that the poorest and most vulnerable people are reached. The Programme will also provide direct opportunity for women and youth decent job creation along the dairy value chain.

RDDP implementation was premised on the community led empowerment methodology; Gender Action Learning methodology (GAL) that uses principles of inclusion to improve income, food and nutrition security of vulnerable people in a gender equitable way. The impact assessment of GAL is underway, and a report is expected by the end of October 2023. No separate gender assessment has been conducted for DaIMA neither did the studies conducted integrate gender, youth, nutrition and targeting. To mitigate this gap to the extent possible, discussions were held with various stakeholders to inform the mission findings and recommendations, supplemented by a review of relevant documents. It was also noted that the Gender baseline study conducted in 2019 informed the design of RDDP-2.

Despite the significant achievements in the participation of women and youth under RDDP, it was established that due to predominant land ownership by men, livestock farming especially among smallholder farmers is still male dominated. The exception was for

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<sup>5</sup> <https://fil-idf.org/dairys-global-impact/school-milk-knowledge-hub/addressing-childhood-malnutrition-in-sri-lanka-3/>

<sup>6</sup> Ubudehe is a wealth-ranking system which classifies Rwandans depending on income among households, consisting of five categories (A, B, C, D, E).

female headed households (mainly widows). For larger farms, where land is jointly owned (leased through joint titling), women's participation and benefit at various levels of the value chain, especially milk collection and transportation, were higher. Women in farms expressed that they were more involved in most activities including decision making on income use with their spouses. In both cases, women and men confirmed that their households benefited from milk consumption and access to related dairy products such as ghee, cheese and yoghurt which is essential for improved nutrition. Gender Based Violence (GBV) was reportedly very low, attributed to the zero-tolerance national policy on GBV and existing structures to respond to cases of GBV should they occur.

Livestock Farmer Field Schools (L-FFS) were appreciated by farmers as a great source of knowledge and skills for improved livestock management practices. The mission learnt that there was equal participation by women and men in most L-FFS given that joint participation of spouses is deliberately encouraged.

Most farmers reported using hired labour which is readily available and affordable. Women, men, and youth have equal opportunities for employment at the various levels of the value chain.

It was shared that there was no discrimination in job opportunities. All community members including those not involved in livestock management were encouraged to play a role depending on ability and interest. Opportunities are open to persons with disability as well as the most vulnerable community members.

Youth in the dairy sector expressed inadequate access to land as a major barrier. They expressed interest in pasture management, collection, and transportation of farm inputs such as feeds as well as milk collection and transportation to the collection centers. Most youth (both male and female) transported milk on foot mostly using 20-liter plastic jerricans carried on their heads and backs. Through income from collection and transportation, some youth including women were able to buy their own livestock. The majority expressed more benefits from milk collection and transportation than primary production whose inputs are much higher. The mission visited Sezonye Farmers' Cooperative which has a membership of 11 women and 74 men. Out of the 5 Board members, one is a woman and of the 132 milk collectors and transporters 52 were women. Over 90% of milk collectors and transporters are youth.

#### **2.4.4 Uganda.**

The beneficiaries of DaIMA will be all stakeholders along the dairy value chains, with a focus on dairy smallholders with the potential of becoming commercial dairy farmers. At least 40 percent of the beneficiaries will be women and 25 percent will be youths. The primary Programme beneficiaries are: (i) livestock smallholders, (ii) different dairy value chain processes and SMEs, including renewable energy (MCPs, MCCs, processing units, mechanization services, etc.).

The socio-economic targeting strategy of the Programme will ensure the inclusion of poor and nutrition insecure HHs who meet the project selection criteria in line with IFAD's targeting strategy. In line with IFAD priorities, women and youth-led dairy related enterprises will be targeted as well as people living with disabilities. Female headed households and male headed households will all be considered during implementation of the project. Special focus will also be on youth headed households, and HHs with persons with disabilities, small children, adolescent girls, pregnant and lactating women.

#### **Gender and Youth**

DaIMA will provide opportunities for skills development and training, introduce women and youth friendly businesses and innovations, such as mechanized production, milking, and transportation, and facilitate access to finance. The project will apply gender – sensitive

lenses and implement gender-sensitive household models, to ensure that both men and women benefit from the dairy and beef development.

DaIMA will pay special attention to the needs of youth and women in milk collection and transportation roles as well as training on value addition. Community mapping to identify members with little access to livestock assets and opportunities due to social exclusion and marginalization will be critical in ensuring that the poorest and most vulnerable people are reached. The Programme will also provide direct opportunity for women and youth decent job creation along the dairy value chain.

The project will also put emphasis on cooperatives and the role of women and youths in these cooperatives. Among other things, the Project will: (i) map and profile existing dairy cooperatives nationally, including women and youth representation (at least 40%), and (ii) strengthen institutional governance and management structures of dairy cooperatives, including women's leadership in decision making bodies.

### **Indigenous peoples**

Uganda consists of several distinct ethnic groups (in majority indigenous of Bantu and Nilotic origin). Ethnic controversy and conflict are low in Uganda. Tension between peoples of sedentary smallholder mix farming and pastoralism is, however, increasing with climate change. Sector transformations, private financial investments, and policies favour sedentary over pastoral livelihoods.

DaIMA will map out the indigenous peoples in the project areas and will pay particular attention to any needs of any identified indigenous peoples. The project is not expected to alter the indigenous peoples' cultures nor marginalize them, but to be inclusive.

### **People living with Disability**

People with disabilities are among the most vulnerable groups in society and tend to be marginalised in such projects. They are often undereducated, untrained, unemployed, or underemployed. They are also likely to be extremely poor – especially women, youth and those living in rural areas.

Movements supporting / protecting the rights of people with disability are quite well established in Uganda. Different disabled persons' organisations and the umbrella organisation regularly take part in discussions with the government on issues affecting the lives of people with disabilities. In spite of this, there is a need to systematically ensure equity, and ultimately equality of people with disability and living in rural areas where they rely on agriculture and related activities with the rest of the rural population. DaIMA will thus target People living with Disabilities by providing them with opportunities to engage in the dairy value chain and supporting them with access to training, finance and productive resources.

### **Nutrition**

Malnutrition in Uganda remains high and of great concern. Over 30% of children under the age of five are stunted and nearly 50% of women of reproductive age suffer from anaemia. Wasting is at a rate of 7% and 15% of children under five are underweight (too thin for age). Rates of stunting, wasting, and underweight generally decrease as maternal education increases.

All three nutritional status indicators are highest among children in the lowest wealth quintile and lowest among children in the highest wealth quintile. Complementary feeding practices, caring and feeding practices are inadequate. Low nutrition education on dietary needs of different age groups (young children, adolescent girls, women of reproductive age, pregnant and lactating mothers, etc.) remain an issue.

To improve access to milk, (a nutritious high protein animal source food), dairy farmers need to be trained on the importance of allocating some of the milk (mainly evening milk) for household consumption and the importance of making other animal source foods such as chicken and eggs available for consumption at home, rather than selling. For the sake of nutrition, protection of women's livelihood options such as poultry, and collective action in the milk cooperative will empower these women with knowledge on nutrition. DaIMA will support school milk feeding programs by applying lessons from past successful interventions such as in Kenya whereby providing school milk increased nutrition, attendance, and enrolment.

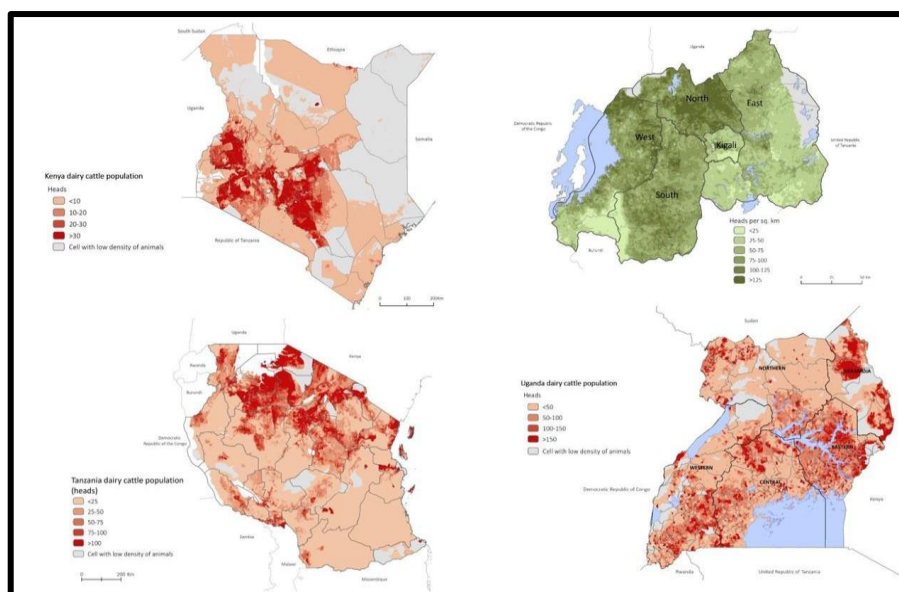
## 2.5 DAIRY BREEDS IN THE REGION

In the four participating countries, smallholder dairy farmers keep animals of mixed breed-types; however, productivity levels are low and the countries are not able to meet their national demands for milk production (Majiwa et al., 2013; Makoni et al., 2013; SNV, 2013, FAO 2024). The countries have been making concerted efforts to improve dairy production, with a strong focus on community development (Makoni et al., 2013; Ojango et al., 2016). The level of impact in each country has been variable because of the lack of targeted breeding programs with objectives and strategies relevant to specific production systems.

The targeted region has got three categories of dairy animals: indigenous breeds, exotic breeds, and crossbreeds. The indigenous breeds are generally low milk yielders which are kept for the dual purpose of milk and meat production. Indigenous breeds are highly adapted to the hostile environmental conditions and are tolerant to endemic diseases. Local cattle groups in Kenya, Tanzania, and Uganda include the large and small East African Zebu, Zenga, and Sanga, whereas in Rwanda, only the Sanga group is found. Furthermore, the exotic breeds include the following either as pure breeds or crosses with local breeds: Holstein-Friesian, Jersey, Guernsey, Ayrshire, Brown Swiss, and the Milking Shorthorn a dual-purpose (milk and meat) breed. The choice of an exotic as crossbreeding or pure breed usage is based on milk production, adaptation to the environment and longevity. Table 2-1 shows the Breed composition of dairy cattle in East Africa and Figure 2-5 their spatial distribution.

**Table 2-1** Breed composition and contribution to dairy production (FAO 2024)

|                 | Local Breeds       |  | Exotic             |  |
|-----------------|--------------------|--|--------------------|--|
|                 | % dairy population | Contribution to total dairy production | % dairy population | Contribution to total dairy production |
| <b>Kenya</b>    | 54                 | 54                                     | 46                 | 46                                     |
| <b>Rwanda</b>   | 45                 | 17                                     | 55                 | 73                                     |
| <b>Tanzania</b> | 98.7               |  | 1.3                |  |
| <b>Uganda</b>   | 94                 | 81                                     | 6                  | 19                                     |



**Figure 2-5** Spatial distribution of dairy cattle in Kenya, Rwanda, Tanzania, and Uganda (FAO 2024)

## 2.6 CURRENT CONDITION OF RANGELANDS AND PASTURES

The rangelands and pastures in the target countries are classified as tropical and subtropical grasslands, savannas, and shrublands. In addition, according to (P/PET) Precipitation/Potential evapotranspiration, there are three main dryland types in these countries, which are Arid (P/PET 0.05-0.20), Semiarid (P/PET 0.20-0.50), and dry sub humid (P/PET 0.50-0.65) rangelands (FAO 2024).

In **Kenya**, 67% of the total land area is characterized by arid and semi-arid climate rangeland, commonly referred to as arid and semi-arid lands (ASAL). These ecosystems are home to about 36% of the human population, 70% of the national livestock herd, and 85% of the total wildlife population (Ministry of Agriculture, Livestock, Fisheries and Cooperatives, 2021). Rangelands characterized by humid and sub-humid climate and Temperate and tropical highlands climate represent only 3.4% and 7.1% respectively of the country area. Intensive and semi-intensive dairy production systems are mostly located in the central and western parts of the country (Ochungo et al., 2016, FAO 2024)

In **Rwanda**, rangelands and pastures represent around 33.8% of the total country area (21.1% in temperate and tropical highlands, and 12.7% in humid and sub-humid climate).

In **Tanzania**, rangelands represent 41.7% of the total land area and are used by 20 to 30% of the population. In these ecosystems, grassland-based and mixed crop-livestock systems include large herds of local cattle defined as traditional meat-dairy production systems (CISRO, 2020). It is estimated that 26.2% of the total land area is classified as rangelands in arid and semi-arid climates, 12% in humid and sub-humid, and 3.7% in temperate and tropical highlands climates. According to the National Land Use Framework Plan (National Land Use Framework Plan) for 2013 - 2033, the size of land allocated for grazing is equivalent to 10.3% of the entire arable land area in the country (Northern Tanzania Rangelands Initiative, 2019, FAO 2024)

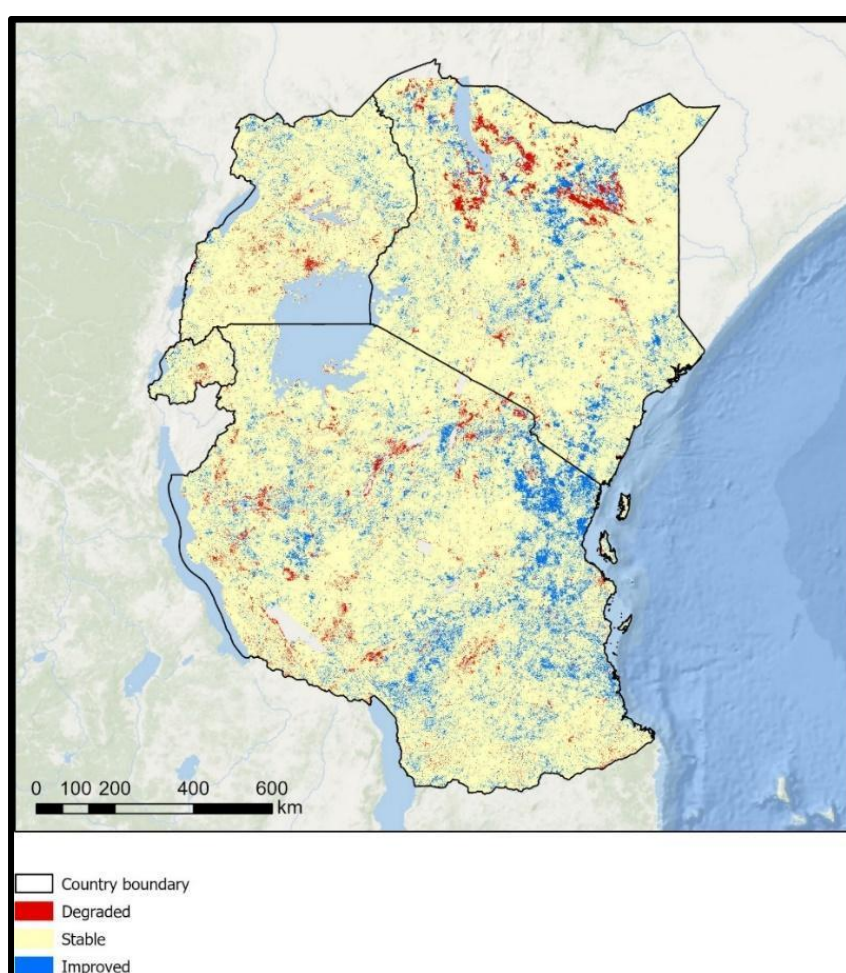
In **Uganda**, rangelands and pastures represent 56.6% of the total land area, including 45.7% in humid and sub-humid climates, 6.6% in arid and semi-arid climates, and 4.3% in temperate and tropical highlands. It represents about 35% of Uganda's total land area with varying ecosystem conditions and characterized by perennial grasses suitable for livestock grazing. The main issue is, in this area, periodic droughts and profound rainfall



variability constrain pastoralists to move their livestock according to seasons to search for water and pasture (Kisamba-Mugerwa, W.,1992, FAO 2024)

## 2.7 LEVEL OF DEGRADATION OF RANGELANDS AND PASTURES

Figure 2-6 presents the trend of the level of degradation of rangelands and pastures in the four target countries computed between 2012 to 2020. The degraded land represents 27% of total rangeland areas in Tanzania, 3.6% in Kenya, and 2.1% each in Uganda and Rwanda.



**Figure 2-6** Level of degradation of rangelands and pastures in the four countries (FAO 2024)

## 2.8 THE DaIMA COMPONENTS

The DaIMA Programme, planned to be implemented for a duration of six years, is articulated around three interlinked components. The first component will enhance the enabling conditions, which are required to make the primary dairy production systems and the processing and marketing chain (farm-to-table) more efficient, removing barriers and enabling a low-emission development pathway that will yield healthy diets for the population. Veterinary and extension support services for dairy farmers will be strengthened in each of the selected targeted areas. Components 2 and 3 will focus on reducing emissions from the primary production system, and from the processing and marketing chain to the final consumers (improving yields, reduction of loss and waste, and reducing emissions from industrial processes, including cooling, and transportation). In

components 2 and 3, the target beneficiaries will be operating in the private sector, with the farmers in Component 2 being, in majority, small producers who will be reached through cooperatives and/or local financial intermediaries, and dairy processors and marketers in Component 2 being mainly small and medium enterprises (SMEs). The third and final component aims to deliver long-term sustainability for the investments and provide avenues for upscaling in other geographies.

## **2.9 The DaIMA Activities and Sub-activities**

The summary of proposed activities and Sub-activities that are planned for implementation in all 4 countries is presented herein below under each component as follows:



**a) Component 1: Strengthened National Capacity and Enhanced Enabling Environment for Low Emissions and Climate Resilient Dairy Sector**

**Table 2-2** Component 1

| <b>Activity</b>  | <b>Sub-activity</b>  |
|--|--|
| <b>Activity 1.1.1: Review and formulate Dairy Sector policies, strategies and regulations for climate-change adaptation and mitigation</b> | Sub-activity 1.1.1.1 Support the review and preparation of national dairy policies, strategies, and regulations to mainstream climate-change adaptation and mitigation.    |
|  | Sub-activity 1.1.1.2: Support the regional policy dialogue to mainstream climate-change adaptation and mitigation in regional dairy policies, strategies and regulations   |
|  | Sub-activity 1.1.1.3 National dairy value chain governance and awareness creation  |
|  | Sub-activity 1.1.1.4 District/regional/county level dairy value chain governance and planning  |
| <b>Activity 1.1.2 Launch awareness campaigns on nutritional benefits of milk and food safety aspects</b>                                   | Sub-activity 1.1.2.1: Public awareness on the contribution of milk to nutrition and resilience, with focus on climate vulnerable population                                |
|  | Sub-activity 1.1.2.2: Build capacity on dairy inspection to ensure milk quality and safety and reduce food loss and waste  |
| <b>Activity 1.1.3: Improve land tenure security and management for sustainable dairy farming</b>   | Sub-activity 1.1.3.1: Mapping of local tenure risks and preparation of training materials  |
|  | Sub-activity 1.1.3.2: Developing capacity on land at decentralized level   |
|  | Sub-activity 1.1.3.3: Participatory planning of tenure for dairy farms on communal and customary land at local level   |
| <b>Activity 1.2.1 Strengthen veterinary services for better animal health, higher milk productivity and reduced losses</b>                 | Sub-activity 1.2.1.1 Support installation of both private and public veterinarians and veterinary paraprofessionals  |
|  | Sub-activity 1.2.1.2. Strengthening diagnostic capacity of veterinary laboratories and capacity to test quality of animal feed   |
| <b>Activity 1.2.3 Strengthen extension services for low-carbon and climate resilient dairy sector</b>                                      | Sub-activity 1.2.3.1. Preparation of training modules for extension in climate mitigation and adaptation measures  |
|  | Sub-activity 1.2.3.2 Training of master trainers (ToTs) and facilitators of extension systems in climate-change related topics   |
|  | Sub-activity 1.2.3.3 Promote innovative extension tools  |
| <b>Activity 1.3.1: Develop capacity in the country on MRV system</b>   | Sub-activity 1.3.1.1: Capacity assessment and development of public and private sector in capturing, recording, tracking and reporting data on dairy GHG emissions         |
|  | Sub-activity 1.3.1.2: Developing MRV systems for the Livestock sub-sector  |
| <b>Activity 1.3.2: Improve GHG emission estimates and measurements in dairy value chains</b>   | Sub-activity 1.3.2.1: Collect activity data on farm necessary to calculate Tier 2 dairy emissions under various herd, feed, animal health and manure management situations |

| Activity   | Sub-activity  |
|--|---|
|  | Sub-activity 1.3.2.2: Conduct experiments and run models to generate Tier2 emission factors (EF) for baseline and improved dairy, under various herd, feed, animal health and manure management situations                          |
|  | Sub-activity 1.3.2.3: Training on the Global Livestock Environmental Assessment Model – interactive (GLEAM-i) and IPCC assessment tool to calculate GHG emissions biannually, and to inform the national MRV system and inventories |
| <b>Activity 1.3.4: Climate risk and vulnerability assessments</b>  | Sub-activity 1.3.4.1: Climate risk and vulnerability assessments, including impacts on the dairy sector, at local level   |
|  | Sub-activity 1.3.4.2: Review and enhancement of national feed balance mechanisms, and support to early warning systems  |
| <b>Activity 1.4.1. Support to Regional Centres of Excellence for technology validation and for maintaining a regional database on practices, GHG emissions and adaptation indicators</b>               | Sub-activity 1.4.1.1: Support to regional Centres of Excellence in technology validation and dissemination  |
|  | Sub-activity 1.4.1.2: Develop and maintain a regional database/ repository on practices, GHG emissions per sources and systems, and climate change adaptation   |
| <b>Activity 1.4.2: Establish regional cooperation platforms and participation to regional/ global networks for knowledge exchange and policy dialogue on climate-smart dairy sector transformation</b> | Sub-activity 1.4.2.1: Regional platform for knowledge sharing and policy dialogue to enhance low-emission, climate resilient dairy development  |

## b) Component 2: Low Emissions and Climate Resilient Primary Dairy Production

**Table 2-3** Component 2

| Activity  | Sub-activity   |
|---|--|
| <b>2.1.1 Strengthen dairy cooperatives on organizational management and service delivery</b>                        | Sub-activity 2.1.1.1 Strengthen the governance and management structures of dairy cooperatives     |
|   | Sub-activity 2.1.1.2 Strengthen capacity to reduce milk losses and ensure milk quality and safety. |
|   | Sub-activity 2.1.1.3 Expand the outreach and capacity of cooperatives, MCCs and MCPs.              |
|   | Sub-activity 2.1.1.4 Create gender awareness among households of dairy farmers                     |
| <b>2.1.2: Build and enhance Productive Alliances between dairy cooperatives, processors, and other enterprises.</b> | Sub-activity 2.1.2.1 Strengthen cooperatives' capacity in business and financial management.       |
|   | Sub-activity 2.1.2.2. Build linkages along the dairy value chain.                                  |
|   | Sub-activity 2.1.2.3. Improve the digitalization and traceability of dairy operations.             |

| Activity   | Sub-activity  |
|--|---|
| <b>Activity 2.1.3 Promote renewable energy (RE) and waste management technologies</b>                | Sub-activity 2.1.3.1 Assess the need and economic viability of renewable energy and waste management solutions.   |
|  | Sub-activity 2.1.3.2 Support the acquisition of renewable energy and waste management solutions.  |
|  | Sub-activity 2.1.3.3 Organize capacity building in energy efficiency and waste management.  |
| <b>Activity 2.1.3 Promote renewable energy (RE) and waste management technologies.</b>               | Sub-activity 2.1.3.1 Assess the need and economic viability of renewable energy and waste management solutions  |
|  | Sub-activity 2.1.3.2 Support the acquisition of renewable energy and waste management solutions   |
|  | Sub-activity 2.1.3.3 Organize capacity building in energy efficiency and waste management   |
| <b>Activity 2.2.1 Promote the adoption of climate-smart dairy breeds adapted to climate change</b>   | Sub-activity 2.2.1.1 Make good quality semen for climate-smart breeds available, adaptable to extreme climatic conditions and to diseases                   |
|  | Sub-activity 2.2.1.2 Invest in breeding and AI centres  |
|  | Sub-activity 2.2.1.3 Scale up the insemination of dairy cattle to make the herd more productive and climate resilient                                       |
|  | Sub-activity 2.2.1.4 Organize awareness campaigns and support breeders' organizations   |
| <b>Activity 2.2.2 Provide support for better animal care, herd management and disease prevention</b> | Sub-activity 2.2.2.1 Organise trainings on animal husbandry, with a specific focus on animal health, animal welfare, herd management and disease prevention |
|  | Sub-activity 2.2.2.2 Scale up the use of digital Apps to monitor animal health and herd performance   |
|  | Sub-activity 2.2.2.3 Scale-up vaccination campaigns to mitigate the impact of climate change on the spread of diseases.                                     |
| <b>Activity 2.2.3 Promote climate-smart forage production and conservation</b>                       | Sub-activity 2.2.3.1 Make certified forage seed available to private and community multipliers  |
|  | Sub-activity 2.2.3.2 Support multiplication of climate-resilient seed for fodder crops and pastures   |
|  | Sub-activity 2.2.3.3 Build capacity of dairy farmers on forage production and conservation on intensive and semi-intensive dairy farms                      |
|  | Sub-activity 2.2.3.4 Access to water for animals and forage production in intensive and semi-intensive dairy systems  |
| <b>Activity 2.2.4 Promote climate-smart feeding practices to reduce enteric methane emissions</b>    | Sub-activity 2.2.4.1 Develop production system-specific supplementation plans and feed packages equipment and vegetative propagation material.              |
|  | Sub-activity 2.2.4.2 Build capacity on appropriate feed formulation   |
|  | Sub-activity 2.2.4.3 Promote appropriate diet formulation that reduce enteric methane emissions   |
| <b>Activity 2.2.5 Increase sustainable nutrient recycling from manure and</b>                        | Sub-activity 2.2.5.1 Manure management in intensive and semi-intensive dairy production systems   |
|  | Sub-activity 2.2.5.2 Promote adapted animal housing   |

| Activity  | Sub-activity  |
|---|---|
| <b>dairy waste to reduce emissions</b>  | Sub-activity 2.2.5.3 Manure management in extensive systems                         |
| <b>Activity 2.2.6 Build capacity for on-farm use of biodigesters and biogas.</b>                                    | Sub-activity 2.2.6.1 Support capacity building on the management of biodigesters    |
|   | Sub-activity 2.2.6.2 Support the investments in biodigesters at the household level |
| <b>Activity 2.3.1 Strengthening rangeland governing structures and capacity for managing communal grazing areas</b> | Sub-activity 2.3.1.1 Organize participatory planning for rangeland management       |
|   | Sub-activity 2.3.1.2 Training on rangeland management in communal grazing areas     |
|   | Sub-activity 2.3.1.3 Enhance availability of water                                  |

### c) Component 3: Green Dairy Facility

**Table 2-4** Component 3

| Activity  | Sub- Activity   |
|---|---|
| <b>Activity 3.1.1 Business plan development for green investments</b>   | The Programme will provide capacity development for enterprise development and finance energy audits and develop clean energy investment proposals based on climate smart practices. Cooperatives and farmers will be supported with skills in financial management, while capacity in green lending and green products development will be provided to financial institutions. Five percent of the Financing Facility would be allocated to this activity  |
| <b>Activity 3.2.1 Develop and operationalize a Private Sector Facility to provide concessional loans to foster best adoption practices and use of renewable energy along dairy value chains</b> | The Programme would focus its concessional capital to develop a Private Sector Facility to provide concessional loans to foster best adaptation practices and use of renewable energy along dairy value chains (following the IGREENFIN approach) and support access to affordable (e.g., lower interest rate) and adequate (longer tenure, grace periods, etc.) loans as well as scaling up private investment in larger value chain agribusinesses.   |
| <b>Activity 3.3.1. Develop a carbon certification system</b>  | This activity will use the carbon tracing tools developed to track GHG emission reduction. It will also incentivize actors in the dairy value chain to set premium prices to produce low-carbon, high-quality milk. The Programme will pilot this initiative and raise awareness of processors and consumers about the environmental performance of dairy products. To reduce barriers to carbon finance, the Programme will mobilize technical assistance to: (i) review the alignment of national regulations for the registration of carbon projects in East Africa (which facilitate foreign investments); (ii) develop/align monitoring and verification standards tailored to the East African context and dairy sector projects in particular – in cooperation with ACMI, governments and research institutes; (iii) develop a proposal for collective certification of projects; (iv) support the establishment of local and regional monitoring and verification companies – to reduce certification and verification costs; (v) undertake policy dialogue and regional cooperation to strengthen the recently established Kenya Carbon Exchange – with the aim of it becoming the regional exchange |

## **2.10 ENVISAGED DAIRY INFRASTRUCTURE WORKS.**

The following is an outline of the envisaged infrastructure works that are likely to be established in the project. They include construction of vet labs. AI centers for artificial insemination, water harvesting systems such as micro dams and cattle sheds. The scale of these structures will be site specific and will be determined in each country as the project progresses. The following are examples of what can be established:

### **2.10.1 Construction of Vet Labs**

**Figure 2-7** Flow chart of activities in a laboratory animal facility

Such facility can be housed on half a hectare of land  
The main areas are:

- Reception area
- Animal holding pens
- Animal holding rooms
- Procedure Rooms
  - Laboratories
  - Surgical suites
  - Necropsy
- Teaching and training rooms
- Effluent Handling system

Potential impacts include pollution from contaminated effluents, effluents from the various laboratories, solid waste from cattle manure, hazardous waste contaminated body parts, carcasses of dead animals etc.

from the insemination process, etc.

### **2.10.2 AI Centers For Artificial Insemination**

**Figure 2-8** AI Centre in Rwanda

Such facility can be housed on half a hectare of land  
The main areas are:

- Reception area
- Animal holding pens
- Animal holding rooms
- Procedure Rooms
  - Laboratories
  - Surgical suites
  - Necropsy
- Teaching and training rooms
- Effluent Handling system

Potential impacts include pollution from contaminated effluents, solid waste from cattle manure, hazardous waste from the insemination process, etc.

### **2.10.3 Water Harvesting Systems - Micro Dams**

**Figure 2-9** Microdam in Rwanda

Micro-dams are typically 50m high and average storage capacity of 50 million m<sup>3</sup>. The micro-dams are for supplying water for domestic use, irrigation and livestock. The construction comprises of the main dam including spillway, intake tower, water outlet conduit and diversion culvert, upstream cofferdam and small hydropower plant and involves vegetation clearing and earthworks.

### **2.10.4 Cattle Sheds**

**Figure 2-10** Cattle shed in Rwanda.

Such facility can be housed in an area of 2500m<sup>2</sup>.  
The main areas are:

- Animal holding pans.
- Storage for feed
- Effluent Handling system

Potential impacts from Cattle Sheds includes pollution from contaminated rainfall runoff, solid waste from cattle manure, and urine.

### 3. APPLICABLE LEGAL FRAMEWORKS

#### 3.1 DaIMA's E&S COMMITMENTS

The Programme will strengthen the capacities of national institutions for low emission development of the dairy industry, including measurement, reporting and verification of Programme outputs, outcomes, and impacts. The programme will undertake/update a review(s) of the market, and of the regulatory and institutional environment governing the dairy sector in each of the countries and support the development of improved legislation and regulation for the sector, including import/export regulations. A review will be undertaken in each of the countries, but there will also be a region-wide assessment and suggestions for regional alignment on dairy sector regulations (including harmonisation of trade strategies, importation of inputs e.g., fodder seeds) to enhance regional convergence in standards and markets. The programme will strengthen national and county institutional capacities for MRV, including capacities for monitoring and evaluation of resilience and other socio-economic benefits and preparation of national GHG inventory. This would provide credible evidence to national policy makers of the positive role of the dairy sector in both further specifying and meeting their respective National Determined Contributions.

#### 3.2 NATIONAL LEGAL FRAMEWORKS

This section entails a brief review of policies, Acts and statutory Instruments relevant to the DaIMA Programme in each of the four countries in East Africa.

##### 3.2.1 Rwanda Legal Framework

##### a) Rwanda Relevant Policies and Strategic Provisions

**Table 3-1** Relevant Policies and Strategic Provisions in Rwanda

| N<br>o. | Relevant<br>policies<br>and<br>strategic<br>provisions | Interpretation   | Relevance to DaIMA   |
|---------|--|--|--|
| 1.      | The National Environment Policy of 2003                | The Policy seeks to achieve its overall objective of the improvement of human wellbeing, the judicious utilization of natural resources and the protection and rational management of ecosystems for a sustainable and fair development. | The Policy harmonizes other policies like on agriculture, energy.  |
| 2.      | National Environment and Climate Change Policy (2019)  | Rwanda to be a nation that has a clean and healthy environment, resilient to climate variability and change that supports a high quality of life for its society. Promoting Circular Economy and industrial symbiosis. <sup>1</sup>      | Policy requires activity to consider principles that complement ESF including assessment of environmental risks and impacts for development projects |
| 3.      | National Agriculture Policy of 2018                    | The vision and mission of the National Agricultural Policy is for Rwanda to become a nation that enjoys food security, nutritional health and sustainable agricultural growth from a   | Dairy Development projects provide a great opportunity for ensuring inclusive and sustainable development that reduces                               |

| N<br>o. | Relevant<br>policies<br>and<br>strategic<br>provisions                       | Interpretation  | Relevance to DaIMA  |
|---------|--|---|---|
|         |  | productive, green and market-led agricultural sector.   | poverty, food insecurity and malnutrition.  |
| 4.      | Gender and youth Mainstreaming 2019  | Gender and youth mainstreaming intends to realize increased and sustainable productivity in the agriculture sector for healthy and wealthy women, men and youth. The aim is for women and youth to have increased knowledge and access to services, and to participate equally in all parts of the value chain.                     | Promoting sustainable improvements in milk production and enhanced marketing it is expected to sustainably improve the livelihoods of women and youths.   |
| 5.      | Revised National Gender Policy 2021  | Gender mainstreaming across sectors remains with some technical gaps, leading to the planning and implementation of programs that are less gender responsive. Persistent cultural norms and stereotypes affect the effectiveness of gender promotion and adoption of gender equality principles.                                    | This policy, like DaIMA, aims to narrow the gender gap in opportunities and benefits from development interventions. DaIMA will, therefore, work in response and support to these policies.                       |
| 6.      | Private Sector Development and Youth Employment Strategy (PSDYES) 2018-2024. | The overall goal of the PSDYES is to increase the competitiveness of the Rwandan economy. This will improve the trade balance both by recapturing parts of the Rwandan market from imports and by improving the ability of Rwandan producers to compete in export markets, creating productive jobs in dynamic and resilient firms. | PSDYES facilitates Private service providers (with priority to youth and women) engaged or willing to engage in veterinary services, fodder services, milk collection, milk transportation, milk processing etc.  |
| 7.      | The Green Growth and Climate Resilience Strategy                             | The national Green Growth and Climate Resilience Strategy (GGCRS) is a vision for Rwanda to be a developed climate-resilient and low-carbon economy by 2050. The GGCRS stipulates 4 strategic objectives which are translated into action by 14 Programmes of Action.   | GGCRS stipulates strategic objectives aligned with the DaIMA requiring activities to practice sustainable land use and water resource management that results in food security whilst preserving the environment. |

#### **b) Rwanda Relevant Legislation**

The following is an outline of the relevant legislation, their interpretation and relevance to the DaIMA Programme. On implementation, DaIMA must recognize the requirements of these Acts.



**Table 3-2** Relevant Legislation in Rwanda

| No . | LEGISLATION  | INTERPRETATION   | RELEVANCE TO DaIMA  |
|------|--|--|---|
| 1.   | Law n° 04/2005 on National Environment Law.  | This Act encompasses the modalities of protection, conservation, and promotion of the environment in Rwanda including regulating Environmental impact Assessments.   | DaIMA pro will be implemented along with impact assessment instruments developed in compliance with the provisions of the environmental law   |
| 2.   | Law N°48/2018 on Environment   | Article 3: Precautionary principle - Activities considered or suspected to have negative impacts on the environment must not be implemented pending results of a scientific assessment ruling out the potentiality of such impacts.  | The law will apply to activities involving construction activities that may have negative environmental and social impacts which will need EIA certification before any works start.            |
| 3.   | Law n° 28/2016 on the preservation of cultural heritage and traditional knowledge  | Defines tangible cultural heritage, provides classification criteria, organs in charge of classification and stresses on the preservation of cultural heritage and traditional knowledge   | The project will protect and preserve the historical area, building, visual representation, and monuments showing artistic talent.  |
| 4.   | Law N° 30/2012 of 01/08/23012 On Governing of Agrochemicals Ministerial Order No. 001/2006 Determining the Structure of Lands (2006) | This Law governs the manufacturing, importing, distribution, use, storage, sale and disposal and burial of agrochemicals for the protection of human and animal health and the environment, to avoid injury and contamination which may result from their use. The Ministry of Agriculture and Animal Resources (MINAGRI) has the responsibility for its implementation. | This Act will be relevant in DaIMA activities by facilitating training of farmers to strictly adhere to the approved use of agrochemicals and safe disposal thereof to preserve the environment |

| No. | LEGISLATION   | INTERPRETATION  | RELEVANCE TO DaIMA   |
|-----|---|---|--|
| 5   | Law establishing Rwanda Agriculture and Animal Resources Development Board (RAB)<br><br>LAW No. 38/2010 OF 25/11/2010<br><br>and Determining its Mission, Organisation and Functioning Law 14 of 2017 | Law Establishing Rwanda Agriculture and Animal Resources Development Board (RAB) <ul style="list-style-type: none"> <li>• This law establishes the Rwanda Agriculture and Animal Resources Development Board (RAB).</li> <li>• The law determines the mission, organization, and functioning of RAB.</li> <li>• The Board of Directors of RAB is appointed by the President and includes a Chairperson and Deputy Chairperson.</li> </ul> | This Act will be relevant in DaIMA activities as it deals with Rwanda's animal resources which includes dairy cattle.  |
| 6.  | Law no 66/2018 regulating labour in Rwanda  | Stipulates several provisions for employment contract, Occupational Health, and Safety (OHS) and general working conditions.  | The law will apply to activities that will entail employment of workers to ensure their health and safety. Any form of sexual harassment will be prohibited. |

**c) Rwanda Relevant Statutory Instruments (SI)**

Several regulations have been enacted to support the implementation of the main Acts. The following is discussion of the subsidiary legislation which supports the legislation in table 3-2. These are the regulations which give teeth to the legislation and on implementation, DaIMA must recognize the requirements of these regulations.

**Table 3-3** Relevant Statutory Instruments (SI) in Rwanda

| No. | STATUTORY INSTRUMENT   | INTERPRETATION   | RELEVANCE TO DaIMA  |
|-----|--|--|---|
| 1.  | Ministerial order N° 003/2008 relating to the requirements and procedure for EIA | Provides roles and responsibilities of all participants in the EIA process and a General Guidelines and Procedure for Environmental Impact Assessment-by step guide of the proceed | The order will apply to activities involving construction activities that may have negative environmental and social impacts in the preparation of EIAs according to Rwandan law. |

| No. | STATUTORY INSTRUMENT  | INTERPRETATION  | RELEVANCE TO DaIMA  |
|-----|---|---|---|
| 2.  | MINISTERIAL ORDER N°001/11.30 OF 10/02/2016 REGULATING THE COLLECTION, TRANSPORTATION AND SELLING OF MILK | This Order determines guidelines for collection, transportation and selling of milk in Rwanda. The ministerial order outlines provisions that need to be adhered to in order to ensure health and safety of human, animals and environment including requirements for a milk collection centre and issues related to Transportation of milk and issuance permits, modes of transport, packaging of milk and requirements for certificate of origin, milk quality control and inspections. | The programme is in line with the provisions of this Statutory Instrument as it seeks to strengthen facilities and mechanisms for collection, aggregation, transportation, cold storage and distribution of milk including marketing. |
| 3.  | Ministerial order N° 003/2008 of 15/08/2008 - environmental impact Assessment (EIA)                       | The regulations relate to the requirements and procedure for environmental impact Assessment (EIA) and stipulate the requirements for conducting an Environmental Impact study prior to implementation of developmental projects. This includes an initial project Brief.   | The implementation of DaIMA activities will be preceded by the requisite Environmental Impact studies.  |
| 4.  | Ministerial order N°004/2008 of 15/08/2008 establishing the list of works that have to undertake an EIA.  | The Regulations establish the list of works, activities and projects that have to undertake an environment impact assessment before being granted permission to commence.   | The present project has adhered to this order by listing works, activities that the programme is going to do.   |

### 3.2.2 Uganda Legal Framework

#### a) Uganda Relevant Policies and Strategic Provisions

**Table 3-4** Relevant Policies and Strategic Provisions in Uganda

| No | RELEVANT POLICIES and Strategic Provisions | INTERPRETATION   | RELEVANCE TO DaIMA   |
|----|--|--|--|
| 1. | National Agriculture Policy (NAP) 2013     | <p>Uganda's National Agriculture Policy (NAP) is a set of policies and strategies that aim to improve the country's agricultural sector. The policy's goals include increasing household incomes, improving food security, and promoting sustainable agriculture.</p> <p>Policy goals</p> <ul style="list-style-type: none"> <li>• Food security: Ensure that all Ugandans have access to adequate food</li> <li>• Income: Increase the income of farming households</li> <li>• Sustainability: Promote sustainable agricultural practices</li> <li>• Trade: Promote domestic and international trade in agricultural products</li> <li>• Efficiency: Promote the use of efficient and cost-effective technologies</li> <li>• Safety: Establish and enforce safety standards for agricultural products</li> </ul> <p>Policy strategies.</p> <ul style="list-style-type: none"> <li>• Infrastructure: Provide basic infrastructure and access to utilities</li> <li>• Agro-processing: Support the development of agro-processing industries</li> <li>• Farming enterprises: Promote the establishment of large-scale farming enterprises</li> <li>• Public-private partnerships: Develop and strengthen public-private partnerships</li> </ul> | <p><u>This policy will guide the implementation of Daime as it majors on establishment of agricultural infrastructure and agricultural sustainability.</u></p> |

| No | RELEVANT POLICIES and Strategic Provisions            | INTERPRETATION   | RELEVANCE TO DaIMA  |
|----|---|--|---|
| 2. | The National Gender policy 1997                       | The policy ensures that all Government policies and programmes, in all areas and at all levels, are consistent with the long-term goal of eliminating gender inequalities.   | _DaIMA is a gender and social inclusive program that will leave no one behind. DaIMA has mainstreamed gender dimensions into its formulation, planning and implementation framework hence, its compliance with the National Gender Policy for Uganda. |
| 2. | The national environment management policy 1994- NEMP | _The key policy objectives include the enhancement of the health and quality of life of Ugandans and promotion of long-term, sustainable socio-economic development through sound environmental and natural resource management and use; and optimizing resource use and achieving a sustainable level of resource consumption.  | With regard to DaIMA, aspects of Environmental Assessment have been integrated into the project with the objective of ensuring sustainability in the project.   |
| 3. | The National Development Plan III 2019/2020-2023/24   | The National Development Plan (NDP) covers the fiscal period 2019/20 to 2023/24. It stipulates the Country's medium term strategic direction, development priorities and implementation strategies. According to the NDP, the share of agriculture in GDP was 51.1% in 1988 and 33.1% in 1997, declining further to 15.4% in 2008. The sharp decline in the share of agriculture in GDP represents significant structural transformation in the economy. | It is therefore recognized that there is a compelling need to ensure that productivity growth in agriculture supports the high population growth, particularly in the Dairy sector.   |
| 4  | Livestock Development Strategy and Investment Plan    | The strategy emphasizes on Livestock sector roadmap, based on climate-resilient livestock management, enhanced livestock productivity and value chains.  | DIAMA project is relevant here by will contributing to climate resilient livestock and  |

| No | RELEVANT POLICIES and Strategic Provisions | INTERPRETATION | RELEVANCE TO DaIMA                 |
|----|--|----------------|------------------------------------|
|    | (LDSIP) (2015)                             |                | increasing livestock productivity. |

**b) Uganda Relevant Legislation**

**Table 3-5** Relevant Legislations in Uganda

| No | LEGISLATION                                      | INTERPRETATION   | RELEVANCE TO DaIMA  |
|----|--|--|---|
| 1. | The Constitution of The Republic of Uganda, 1995 | The right to a clean and healthy environment is enshrined in Article 39 of the Constitution of Uganda, 1995.   | <i>To ensure DaIMA compliance with the Constitutional obligations on sustainability, an ESMF has been prepared which outlines mechanisms for environment assessment and mitigation measures included therein.</i> |
| 2. | The National Environment Act, Cap 153.           | <p>This Act is the umbrella legislation in terms of environmental protection and has several sections which protects the environment from project which include the following:</p> <ul style="list-style-type: none"> <li>• Section 70(3) stipulates that, a person shall not import, export, manufacture, formulate, distribute, or use hazardous chemicals or products containing hazardous chemicals prohibited under its subsections (1) and (2).</li> <li>• Part X of the Act in its Section 110 provides for preparation of environmental and social assessments whose purpose is to evaluate environmental and social impacts, risks or other concerns of a given project or activity, taking into</li> </ul> | The ESMF outlines some of the salient impacts in DaIMA as well as mechanisms for conducting further assessments on the project sub-components.  |

| No. | LEGISLATION   | INTERPRETATION   | RELEVANCE TO DaIMA   |
|-----|---|--|--|
|     |   | account the environmental principles set out in its Section 5(2).  |  |
| 3   | Environmental Impacts Assessment (EIA) regulations, 2020. | <p>The EIA Regulations gives a systematic EIA procedure in Uganda. It gives EIA a legal mandate, thus paving the way for an enabling environment for it to use as a tool for environmental protection. The regulation also has punitive measures for offenders. It recognizes three levels of EIA:</p> <ol style="list-style-type: none"> <li>An environment impact review shall be required for small scale activities that may have significant impact; and</li> <li>Environmental impact evaluation for activities that are likely to have significant impacts; and</li> <li>Environmental impact study for activities that will have significant impacts.</li> </ol> | In all, issues of EIA are being addressed in the project in line with these Regulations.                     |
| 4   | Land Act, CAP 227   | The Land Act vests land ownership in Uganda in the hands of Ugandans and that, whoever owns or occupies land shall manage and utilize the land in accordance with the Forest Act, Mining Act, National Environment Act, the Water Act, the Uganda Wildlife Act and any other law [section 43, Land Act].   | The planned DaIMA has integrated Environmental Assessments in its ESMF in compliance with the Act provisions |
| 5.  | Biosafety and biotechnology bill 2012                     | There has been much debate about the pros and cons of biotechnology, especially genetic modification. This is relevant to Dairy production because some of the most widely used modifications confer pest resistance, and in Uganda a number of such traits have been engineered and tested. Enactment of the Bill would provide the necessary regulatory framework for the commercialization and release of these materials, which would have substantial implications for the way in which pest problems are managed.  | GMOs impact much on dairy production and this Bill is relevant in this sector.                               |
| 6.  | The Occupational Safety and Health Act, 2006              | The Act provides for the prevention and protection of persons at all workplaces from injuries, diseases, death and damage to property.   | The ESMF provides for provision of safety gear for workers during implementation of DaIMA school and         |

| No | LEGISLATION  | INTERPRETATION   | RELEVANCE TO DaIMA  |
|----|--|--|---|
|    |  |  | selected Farmer Groups activities.  |
| 7. | Control of Agricultural Chemicals Act (Ch 29)  | An Act to control and regulate the manufacture, storage, distribution and trade in, use, importation and exportation of, agricultural chemicals and for other purposes connected therewith.                                  | This act is relevant to DAIMA as the project will involve agricultural Chemicals in animal husbandry. Daima |
| 8  | The National Agricultural Research Act, 2095.  | Establishes a National Agricultural Research Organization to coordinate agricultural research activities   | Will assist in Dairy development research.  |
| 9  | Agricultural and Livestock Development Fund Act Chapter 233 Legislation as at 31 December 2000 | Establishes a fund to support agricultural and livestock development   | DAIMA will work with this fund as a tool for future sustainability after the project is done.               |
| 10 | Climate Change Policy (2015)   | The policy encourages Uganda's livestock sector to incorporate climate change considerations. The policy includes measures to increase climate change resilience, reduce GHG emissions, and promote sustainable development. | . DIAMA project is aligned with this policy in reducing GHG emissions and promoting sustainable development |

### 3.2.3 Tanzania Legal Framework.

#### a) Tanzania Relevant Policies and Strategic Provisions

**Table 3-6** Relevant Policies and Strategic Provisions in Tanzania



| No. | Relevant Policies and Strategic Provisions | Interpretation   | Relevance to DaIMA   |
|-----|--|--|--|
| 1.  | The National Environmental Policy of 2021  | This policy serves as a national framework for planning and guiding sustainable management of the environment in a coordinated, holistic, and adaptive approach taking into consideration the prevailing and emerging environmental challenges like climate change.  | DaIMA Programme is aligned to the policy objective of ensuring sustainable management of the environment in the wake of climate change challenges. |
| 2.  | National Livestock Policy of 2006          | The policy is aimed at attaining food security, poverty reduction and increase in national income from the livestock sector.   | One of the components of DaIMA is increasing dairy productivity in a sustainable manner. This is aligned to the policy objective.                  |
| 3.  | Tanzania Agricultural Sector Policy 2013   | Tanzania Agricultural Sector Policy 2013 is a national cross-sectoral policy with an overall goal to promote sustainable development of the agricultural sector for economic, social and environmental benefits for its people.<br><br>improvement of food insecurity and nutrition is amongst the objectives of this strategy | DaIMA Programme is aligned to the policy objective of ensuring sustainable agricultural development for Tanzania.                                  |
| 3.  | National Land Policy of 1996               | This Policy advocates for the protection of land resources from degradation for sustainable development. issues like acquisition of land stakeholders' engagement are also included.   | Land is an important resource that will be needed in the implementation of some of the DaIMA interventions   |

**b) Tanzania Relevant Legislation**

**Table 3-7**      Relevant Legislations in Tanzania

| No. | Relevant legislations  | Interpretation  | Relevance to DaIMA  |
|-----|--|---|---|
| 1.  | Environmental Management Act of 2004   | This is a framework legislation (a comprehensive umbrella) under which management, conservation, protection, and administration of all environmental and related matters are stipulated therein. Furthermore, the Act includes provisions for; legal and institutional framework for sustainable management of environment; an outline of principles for management, impact and risk assessments, prevention and control of pollution, waste management, environmental quality standards, public participation, compliance and enforcement. | Preparation of the ESMF is hinged on the precautionary principle which is embodied in the law. The programme must adhere to the requirement of the law during design and implementation phases. |
| 2.  | Dairy Industry Act of 2004   | This is an Act to provide for the production, regulation and promotion of the dairy industry in Tanzania.   | DaIMA has a direct link to this Act as it aims to promote dairy production that has low emission and is climate resilient.  |
| 3.  | The Occupation Health and Safety Act of 2003                                 | This Act provides for the protection of human health from occupational hazards. It specifically requires the employer at any workplace to take all necessary measures to ensure the safety of workers at all times.   | DaIMA interventions will involve carrying out activities at new or old sites where occupational health and safety masters are unavoidable.  |
| 4   | Agricultural Development Fund Act Chapter 199 Legislation as at 31 July 2002 | Establishes a fund to support agricultural and livestock development  | DAIMA will work with this fund as a tool for future sustainability after the project is done.   |

|    |  |  |  |
|----|--|--|--|
| 5. | Tanzania Agricultural Research Institute Act, 2016 | <p>An Act to provide for the enhancement of an agricultural research system; establishment of a Tanzania Agricultural Research Institute; effective coordination, governance, management and conducting of agricultural research activities and to provide for other related matters.</p> <p>This Act establishes the Tanzania Agricultural Research Institute (TARI) as a body corporate and provides with respect to its functions, powers, administration, etc.</p> | DAIMA will benefit from this institute as it is geared for research. |
|----|--|--|--|

### c) Tanzania Relevant Statutory Instruments (Si)

**Table 3-8** Relevant Statutory Instruments in Tanzania

| No. | Relevant Statutory Instruments   | Interpretation   | Relevance to DaIMA  |
|-----|--|--|---|
| 1.  | The Dairy Industry (Registration of Dairy Industry Stakeholders) Regulations of 2007 | The Regulations requires that all dairy premises dealing with raw milk production, collection and transportation shall be located away from environmentally polluted areas and industrial activities which poses a serious threat of contaminating milk and its products | These regulations provide guidance on setting up facilities and their operations in the dairy value chain of which DaIMA aim to support                       |
| 2.  | The Environmental Impact Assessment and Audit Regulations of 2005 as Amended in 2018 | These regulations guide the conduct of Environmental Impact Assessment and Auditing for all types of projects that require EIA certification in Tanzania.  | Although DaIMA activities do not require going through the EIA process for certification, should there be a need for such permits the regulations will apply. |

### 3.2.4 Kenya Legal Framework.

#### a) Kenya Relevant Policies and Strategic Provisions

**Table 3-9** Relevant Policies and Strategic Provision in Kenya

| No. | Relevant Policies and Strategic Provisions                                     | Interpretation  | Relevance to DaIMA   |
|-----|--|---|--|
| 1.  | National Environment Policy 2013   | The Policy aims to provide a framework for an integrated approach to sustainable management of Kenya's environment and natural resources.               | All DaIMA Activities planned for implementation under DaIMA in Kenya must be aligned to this policy.               |
| 2.  | National Livestock Policy (2019)   | This policy is designed to, among other things, achieve appropriate livestock management systems for sustainable development of the livestock industry. | DaIMA is linked to the policy as it aims to enhance productivity of the dairy sector while ensuring low emissions. |
| 3.  | The National Policy on Gender and Development (Sessional Paper No. 02 of 2019) |   |  |

#### b) Kenya Relevant Legislations

**Table 3-10** Relevant Legislations in Kenya

| No. | Relevant Legislations                | Interpretation  | Relevance to DaIMA  |
|-----|--------------------------------------|---|---|
| 1.  | Dairy Industry Act, Cap 336, RE 2012 | This is the Act enacted to provide for the improvement and control of the dairy industry and its products in Kenya.   | DaIMA aims at improving the services and products in the dairy value chain in Kenya. As such all activities under the programme must not contravene the provision of this law in any way. |
| 2   | Agriculture Act (Cap. 318).          | n Act of Parliament to promote and maintain a stable agriculture, to provide for the conservation of the soil and its fertility and to stimulate the development of | This Act is relevant to all activities of DAIMA as it is an agricultural project.   |

| No. | Relevant Legislations   | Interpretation  | Relevance to DaIMA   |
|-----|---|---|--|
|     |   | <p>agricultural land in accordance with the accepted practices of good land management and good husbandry.</p> <p>This Act provides rules relative to good agricultural practice and in particular rules for the use of agricultural land and aiming at its development and preservation. Furthermore, the Act provides for administrative instruments to ensure a sound agricultural development and the marketing of agricultural products. The Act consists of 223 sections divided into 16 Parts.</p> |  |
| 3.  | The Environmental Management and Coordination Act 1999 and the amendment Act 2015 | This is a legal instrument enacted to provide appropriate legal and institutional framework for environmental management in Kenya. The Act further outlines sections on Environmental Protection and Conservation, Environmental Impact Assessment (EIA), Environmental Audit and Monitoring.   | DaIMA is designed in such a way that it embodies all aspects of the law in Kenya including Protection and Conservation of the environment. |
| 4   | Agricultural and Livestock Extension Services Act 2022.                           | This Act provides for agricultural and livestock extension services and establishes the Agricultural and Extension Service.   | Extension services are critical in the implementation of DAIMA. Thus this Act will assist DAIMA greatly.                                   |

### c) Kenya Relevant Statutory Instruments (Si)

**Table 3-11** Relevant Statutory Instruments in Kenya

| No. | Relevant Statutory Instruments  | Interpretation  | Relevance to DAIMA   |
|-----|---|---|--|
| 1.  | Dairy Industry (Milk) Regulations Cap 336   | These Regulations provide standards for milk for sale in Kenya.   | These regulations are relevant to DaIMA because the programme promotes food safety and quality of dairy products.  |
| 2.  | The Environmental Impact Assessment and Audit Regulations of 2003                 | These regulations guide the conduct of Environmental Impact Assessment and Auditing for all types of projects that require EIA certification in Kenya.  | Although DaIMA activities do not require to go through the EIA process for certification but should there be a need for such permits/certificates, the regulations will apply. |
| 3.  | Dairy Industry (Dairy Produce Safety) Regulations, 2021. Legal Notice no. 22/2021 | These Regulations implement provisions of section 19 of the Dairy Industry Act, 2006 and apply in respect to dairy produce and the activities that affect the safety of dairy produce throughout the dairy value chain. | These regulations are critical to the success of DAIMA as they embody the health and safety requirements of the dairy industry.  |

### 3.3 IFAD'S SOCIAL, ENVIRONMENTAL AND CLIMATE ASSESSMENT PROCEDURE (SECAP).

The DaIMA ESMF is guided by IFAD's Social, Environmental and Climate Assessment Procedure (SECAP). The SECAP lays out a framework and process for managing risks and impacts, integrating mainstreaming priorities into new IFAD supported investments using a set of nine standards. In line with SECAP, this ESMF has identified the possible risks that DaIMA will pose, provided the possible mitigation measures for the identified risks and recommended the strategy to implement and make sure the environment is protected in the course of project implementation. It has also developed the monitoring procedures. The requirements of the ESMF will be applicable across the programme from the DaIMA Regional Coordination Unit, DaIMA Country Management/Coordination Units to the End Beneficiaries.

#### 3.3.1 Relevant IFAD Policies

DaIMA has been designed and informed by IFAD's Climate Change Strategy, Environment and Natural Resources Management (ENRM) Policy (IFAD, 2011), Indigenous Peoples Policy, Gender and Targeting Policy and Land Policy. The Programme has also been designed in compliance with IFAD's guidelines on Social, Environmental and Climate Assessment Procedures (SECAP 21). To ensure an integrated approach to environmental

and social management, the SECAP presents guidance statements. The following is a summary of the relevant pieces of policies.

**a) IFAD Environment and Natural Resources Management (ENRM) Policy**

Accelerating environmental degradation is eroding the natural asset base of poor rural people. Environmentally damaging agricultural and other economic activities are the drivers of these challenges.

The goal of the ENRM policy is: “To enable poor rural people to escape from and remain out of poverty through more productive and resilient livelihoods and ecosystems”. Its purpose is: “To integrate the sustainable management of natural assets across the activities of IFAD and its partners”.

The policy sets out 10 core principles to guide IFAD’s support for clients in ENRM. The principles include both the core issues to be addressed and suggested approaches (section II.A). In summary, IFAD will promote:

- (1) Scaled-up investment in multiple-benefit approaches for sustainable agricultural intensification,
- (2) Recognition and greater awareness of the economic, social, and cultural value of natural assets,
- (3) ‘Climate-smart’ approaches to rural development,
- (4) Greater attention to risk and resilience to manage environment and natural-resource-related shocks,
- (5) Engagement in value chains to drive green growth,
- (6) Improved governance of natural assets for poor rural people by strengthening land tenure and community-led empowerment,
- (7) Livelihood diversification to reduce vulnerability and build resilience for sustainable natural resource management.
- (8) Equality and empowerment for women and indigenous peoples in managing natural resources.
- (9) Increased access by poor rural communities to environment and climate finance; and
- (10) Environmental commitment through changing its own behaviour.

**b) IFAD’s Strategy and Action Plan on Environment and Climate Change (2019-2025)**

The speed and intensity of climate change are outpacing the ability of poor rural people and societies to cope. The natural environment and climate change influence the lives of poor rural people in critical ways. Sustained agricultural productivity and economic success depend on reliable access to environmental goods and services, as well as the assets and capacities to withstand environmental and climate hazards and shocks.

IFAD has formulated this strategy in order to address environment and climate change issues across all its policies, strategies and operations. The main objective of the strategy is to enhance the resilience of smallholder farmers and rural communities to environmental degradation and climate change impacts.

Thus, IFAD is enhancing its approach to rural development in the context of increasing environmental threats, including climate change. As IFAD will continue to target its investments at the poorer and often most climate-change affected people – whose livelihoods depend largely on agriculture and natural resources – particularly at women as producers and indigenous people as stewards of natural resources, it has put in place measures to address the adversarial climate changes. The Strategy recognises that climate-related risks, and potential opportunities, can be addressed more systematically within the different projects and policy advice. This will be done by being alert to new



sources of risk, and exploring more opportunities like rewarding emissions reductions (IFAD, 2018)

### **c) IFAD Indigenous Peoples' Policy**

This Policy on Engagement with Indigenous Peoples aims to enhance IFAD's development effectiveness in its engagement with indigenous peoples' communities in rural areas. It sets out the principles of engagement IFAD will adhere to in its work with indigenous peoples, and the instruments, procedures and resources IFAD will deploy to implement them.

Indigenous people account for an estimated 5 percent of the world's population, but 15 percent of those people live in poverty. In many countries, rural poverty is increasingly concentrated in indigenous and tribal communities.

IFAD's Strategic Framework identifies indigenous peoples as an important target group because they face economic, social, political, and cultural marginalization in the societies in which they live, resulting in extreme poverty and vulnerability for a disproportionate number of them. To reach them requires tailored approaches that respect their values and build upon their strengths. In its engagement with indigenous peoples, IFAD will be guided by nine fundamental principles: (a) cultural heritage and identity as assets; (b) free, prior and informed consent; (c) community-driven development; (d) land, territories and resources; (e) indigenous peoples' knowledge; (f) environmental issues and climate change; (g) access to markets; (h) empowerment; and (i) gender equality.

The formulation of the ESMF document recognises these principles so that they can be implemented throughout the project cycle.

### **d) IFAD Gender and Targeting Policy**

Poverty targeting, gender equality and empowerment are cornerstones of IFAD's work to reduce rural poverty and food and nutrition insecurity. This puts people – rural women, men, youth, and indigenous peoples – at the centre of IFAD's development projects and policy engagement. This unique approach aims to support the development of inclusive, equitable, sustainable and resilient rural societies and agriculture sectors that are food secure and able to take advantage of the opportunities provided by growing markets, thus providing a springboard to rural transformation. Thus, IFAD has developed a deliberate Policy to address this issue.

### **e) IFAD Land Policy**

Secure access to productive land is critical to the millions of poor people living in rural areas and depending on agriculture, or forests for their livelihood.

It reduces their vulnerability to hunger and poverty; influences their capacity to invest in their productive activities and in the sustainable management of their resources; enhances their prospects for better livelihoods; and helps them develop more equitable relations with the rest of their society, thus contributing to justice, peace and sustainable development (IFAD, 2008)

The Fund's first strategic objective is to help "ensure that, at the national level, poor rural men and women have better and sustainable access to natural resources (land and water), which they are then able to manage efficiently and sustainably." Land access and tenure security issues are linked, directly or indirectly, to all the strategic areas of IFAD's interventions.

The IFAD Policy on Improving Access to Land and Tenure Security has been formulated to: (a) provide a conceptual framework for the relationship between land issues and rural poverty, acknowledging the complexity and dynamics of evolving rural realities; (b) identify the major implications of that relationship for IFAD's strategy and programme

development and implementation; (c) articulate guiding principles for mainstreaming land issues in the Fund’s main operational instruments and processes; and (d) provide the framework for the subsequent development of operational guidelines and decision tools.

In the policy, land refers to farmland, wetlands, pastures, and forests. Land tenure refers to rules and norms and institutions that govern how, when and where people access land or are excluded from such access. Land tenure security refers to enforceable claims on land, with the level of enforcement ranging from national laws to local village rules, which again are supported by national regulatory frameworks. It refers to people’s recognized ability to control and manage land – using it and disposing of its products as well as engaging in such transactions as the transferring or leasing of land.

### **3.3.2 THE SOCIAL, ENVIRONMENTAL AND CLIMATE ASSESSMENT PROCEDURES (SECAP 2021)**

Social, environmental and climate sustainability is critical for achieving IFAD’s mandate. Projects and Programs that foster social, environmental and climate sustainability rank among the Fund’s highest operational priorities. To meet these objectives, in 2021 IFAD updated its 2017 Social, Environmental and Climate Assessment Procedures (SECAP). This updated edition of SECAP lays out an improved framework and process for managing risks and impacts and integrating mainstreaming priorities into new IFAD-supported investments. SECAP 21 will:

- (i) Help IFAD to identify social, environmental and climate risks and impacts, and their significance, and determine the level of risk management required to address the risks and impacts associated with IFAD-supported investments and global and regional grant-funded Programs.
- (ii) Help to identify opportunities to mainstream climate resilience, environmental sustainability, nutrition, gender equality and the empowerment of women, youth and other vulnerable groups into IFAD strategies and programming.
- (iii) Support borrowers/recipients/partners and IFAD in improving decision-making and promoting the sustainability of project and Program outcomes through ongoing stakeholder engagement.
- (iv) Assist borrowers/recipients/partners in fulfilling their own international and national social, environmental and climate commitments.
- (v) Ensure that IFAD’s practices are aligned with its own policies and the procedures of other multilateral financial institutions.
- (vi) Enable IFAD to continue accessing environmental and climate financing.

#### **a) IFAD’s Environmental and Social Standards**

IFAD’s Environmental and Social Standards outline essential requirements to ensure the environmental and social sustainability of projects. These standards address nine key environmental, social, and climate issues that must be managed throughout the project lifecycle. They are primarily directed at borrowing governments and private sector partners, who are responsible for conducting environmental, social, and climate risk assessments and for project implementation. Adherence to these standards involves following proper environmental assessment procedures and taking steps to mitigate all potential negative impacts. The table below highlights the standards most relevant to DaIMA:

**Table 3-12** Standards most relevant to DaIMA

| STANDARDS   | RELEVANCE TO DaIMA |               |  |
|---|--------------------|---------------|--|
|   | Less Relevant      | More Relevant |  |
| Standard 1:<br>Biodiversity conservation                    |                    | X             | <p>Biodiversity Conservation is more relevant to the project since Dairy project activities may have direct impacts on biodiversity, ecosystems or natural resources as animal husbandry interacts with the open environment involving grazing and production of fodder.</p> <p>The access to biodiversity, ecosystems and natural resources of Communities may also be affected by the project activities'</p>  |
| Standard 2:<br>Resource efficiency and pollution prevention |                    | X             | <p>Standard 2: Resource efficiency and pollution prevention is more relevant to the project since Dairy project activities will Significantly consume or cause consumption of water, energy, or other resources, generate or cause generation of solid, liquid, or gaseous waste or emissions and will use, store or dispose of hazardous materials and chemicals, including pesticides and fertilizers.</p>   |
| Standard 3:<br>Cultural heritage                            | X                  |               | <p>Standard 3: Cultural heritage is less relevant for the Dairy project as the dairy activities will not directly impact any cultural heritage. The projects will not create risks and/or result in adverse impacts on cultural heritage and will not be in the vicinity of cultural heritage sites. The projects will also not utilize tangible or intangible forms of cultural heritage for commercial or other purposes.</p>  |
| Standard 4:<br>Indigenous peoples                           | X                  |               | <p>Standard 4: Indigenous peoples is less relevant as the project is not expected to alter the indigenous peoples' cultures nor marginalize them, but to be inclusive. DaIMA will map out the indigenous peoples in the project areas and will pay particular attention to any needs of any identified indigenous peoples.</p> <p>In DaIMA, the exposure of indigenous peoples in the programme area to this risk depends on the extent of their traditional cattle herding. Nonetheless, specific targeted efforts should be made to enhance the part</p> |

|   |   |   |   |
|---|---|---|---|
| Standard 5: Labour and working conditions                   |   | X | Standard 5 Labour and working conditions is 'more relevant' for DAIMA as dairy activities are labour intensive and the working conditions of the workers must be upheld. DAIMA will promote decent employment of all project and related staff. Prevent discrimination and promote equal opportunities. Above all it will prevent child and forced labour and will promote safety and health of the workers.                                  |
| Standard 6: Community health and safety                     |   | X | Standard 6: Community health and safety is 'more relevant' for DAIMA as dairy activities may pose significant risks to and adverse impacts on human health, nutrition, and safety. This can arise from pollution emanating from waste generated from animal husbandry and from the hazardous chemicals and pesticides used in fodder production.  |
| Standard 7: Physical and economic resettlement              | X |   | Standard 7: Physical and economic resettlement is 'less relevant' for DAIMA as the project will not cause or support displacement or need for resettlement whether full or partial, permanent, or temporary, or even economic displacement. No sub-project that will cause displacement will be supported.  |
| Standard 8: Financial intermediaries and direct investments | X |   | Standard 8: Financial intermediaries and direct investments is 'less relevant' for DAIMA as the project will not entirely depend on Financial intermediaries although for instance in Tanzania, for components 2 and 3, the target beneficiaries will be operating in the private sector, with the farmers in Component 2 being, in majority, small producers who will be reached through cooperatives and/or local financial intermediaries, |
| Standard 9: Climate change                                  |   | X | Standard 9: Climate change is 'more relevant' for DAIMA as the project's development outcomes may be threatened by climate change or related disaster risks such as droughts, floods and extremes of weather<br><br>The project activities may also contribute to increased exposure or vulnerability to climate change and related disaster risks including over grazing and trampling by dairy  |

|  |  |  |  |
|--|--|--|--|
|  |  |  | animals. The project may also produce significant GHG emission |
|--|--|--|--|

The IFAD's Environmental and Social Standards are detailed in Annex 3.

**b) IFAD's environmental and social categorization**

IFAD's environmental and social categorization of projects and programmes includes the following categories: High Risk, Substantial Risk, Moderate Risk, and Low Risk. The criteria for each risk category are detailed in Annex 3. Additionally, the environmental and social screening exercise assesses the programme objectives' exposure to climate-related risks, categorizing them as High, Substantial, Moderate, or Low. SECAP provides guidance on biodiversity and protected area management, agrochemicals, energy, fisheries and aquaculture, forest resources, water, small dams, physical cultural resources, rural roads, value chain development, microenterprises and small enterprises, and physical and economic resettlement.

**c) Free, Prior and Informed Consent in IFAD Investment Projects (FPIC)**

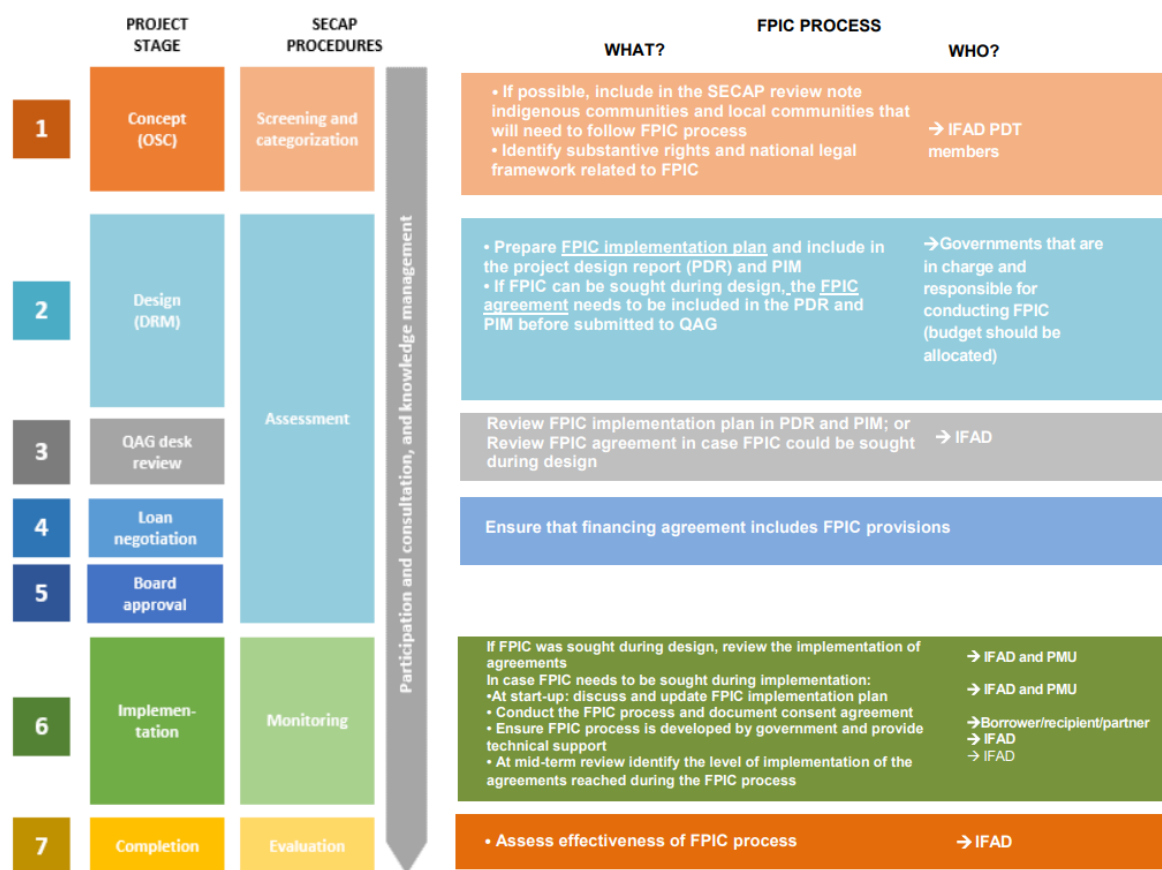
Free, prior and informed consent (FPIC) is an operational instrument that empowers local and indigenous peoples' communities, ensuring mutual respect and full and effective participation in decision-making on proposed investment and development programmes that may affect their rights, their access to lands, territories and resources, and their livelihoods (IFAD, 2021). FPIC is solicited through consultations in good faith with the representative institutions endorsed by communities. It ensures that they participate in decision-making processes concerning a given development project. The Consent should be sought in a way that is "free, prior and informed".

- Free implies no coercion, intimidation, or manipulation.
- Prior implies that consent has been sought sufficiently in advance of any decision point or commencement of activities.
- Informed implies that information provided covers all relevant issues to make the decision maker fully enlightened.
- Consent is the expected outcome of the consultation, participation, and collective decision-making process by the local communities.

IFAD requires the application of FPIC in two scenarios:

1. When IFAD-funded projects are likely to have an impact on the land access and use rights of rural communities. In this case the FPIC is applied to the local communities in a broad sense. Hence, during project design and in application of the Social, Environmental and Climate Assessment Procedures (SECAP), design teams need to identify the local communities that would potentially be affected.
2. When IFAD-funded projects are targeting rural areas that are home to indigenous peoples. In areas that are home to indigenous and tribal peoples and ethnic minorities, there is a general requirement for FPIC.

Figure 3-1 below, depicts the process of seeking FPIC in IFAD's project cycle.



**Figure 3-1** Free, Prior and Informed Consent (FPIC)

### 3.4 GCF GUIDING FRAMEWORKS

The DaIMA ESMF is also guided by its Lenders' E&S Frameworks. The GCF Guiding Framework serves to guide the project developers and investors on identification of risks and how to manage them in the process of project development and implementation using a set of policies, guidelines, and standards. They include i) Environmental and Social Policy, ii) Environmental and Social Screening guidelines, and iii) the Independent Redress Mechanism procedure.

#### 3.4.1 GCF Revised Environmental and Social Policy.

##### a) Environmental and Social Policy

Commitments of GCF to sustainable development are articulated in the Revised Environmental and Social policy of 2021. The policy also elaborates how GCF integrates environmental and social issues into its processes and activities and sets the roles and responsibilities including the requirements to deliver the commitments. Furthermore, the policy sets out the requirements for accredited entities working with GCF to establish and maintain robust, systematic, accountable, inclusive, gender- responsive, participatory, and transparent systems to manage risks and impacts, from GCF-financed activities.

##### b) Environmental and Social Screening guidelines

The Environmental and Social policy requires that proposed activities are properly screened, assigned appropriate environmental and social risk categories and that the environmental and social risks and impacts are properly and sufficiently assessed. The accredited entity takes the role of ensuring proper screening and risk categorization of GCF funded activities.

**c) The Independent Redress Mechanism procedure.**

The independent Grievance Redress Mechanism (GRM) is a problem-solving mechanism with voluntary, good-faith efforts by all parties to resolve complaints and/or grievances on terms that are mutually acceptable to all parties. The objective of the project-specific Independent GRM is to provide an accessible, rapid, fair, culturally appropriate and effective process and appropriate dispute resolution mechanisms for the people allegedly affected by project activities either directly or indirectly. The GCF Environmental and Social policy requires an accredited entity to have in place an Independent Grievance Redress Mechanism for GCF funded activities to ensure that complaints from people affected by the activities are properly and promptly addressed.

**Table 3-13** GCF Guiding Frameworks

| FRAMEWORK   | DESCRIPTION   |
|---|---|
| GCF (2018):<br>Guidelines for the<br>Environmental and<br>Social Screening of<br>Activities | Environmental and social screening is an essential and primary step in the assessment of environmental and social risks and impacts of activities proposed for GCF financing. The results of the screening form the basis of the accredited entities for assigning the environmental and social risk category of activities, informing the decisions on the extent and depth of the Environmental and Social due Diligence (ESDD) that will be undertaken. The screening identifies the key aspects that may need to be further examined and managed. |
| GCF (2018):<br>Revised<br>Environmental and<br>Social Policy                                | The Environmental and social policy articulates how GCF will integrate environmental and social considerations into decision making.<br><br>The Policy defines how GCF will support the overall sustainability of its operations and investments in line with obligations under national and international law and other relevant standards. The revised policy also addresses Sexual Exploitation, Sexual Abuse, and Sexual Harassment.  |
| GCF (2019):<br>Procedures and<br>Guidelines of the<br>Independent<br>Redress Mechanism      | Procedures and Guidelines of the Independent Redress Mechanism introduces the Independent Redress Mechanism (IRM) and its key functions and objectives; addresses requests to the IRM for reconsiderations of funding decisions by the GCF Board, addresses grievances and complaints to the IRM by those affected or who may be affected by GCF projects or programmes; and contains general provisions applicable to the IRM.   |

### 3.5 ADDITIONAL GUIDING FRAMEWORKS

The DaIMA ESMF is guided by other international frameworks which are outlined in the table below:

**Table 3-14** Additional Guiding Frameworks

| Framework          | Description   |
|--------------------|---|
| Equator Principles | A financial industry benchmark intended to serve as a common baseline and risk management framework for financial |

| Framework  | Description  |
|--|--|
|  | institutions to identify, assess and manage environmental and social risks when financing Projects.  |
| Women Empowerment Principles (WEPs)                              | A set of Principles established by UN Global Compact and UN Women offering guidance to business on how to advance gender equality and women's empowerment in the workplace, marketplace, and community.  |
| Gender Equality Mainstreaming (GEM) Framework                    | A practical manual and toolkit for assessing gender equality, and identifying, implementing, and measuring gender equality mainstreaming strategies within companies   |
| A Fund Manager's Guide to Gender-Smart Investing' by IFC and CDC | Provides fund managers with a roadmap on how to strengthen gender diversity at the firm level, and incorporate a gender lens into investment decision-making at the portfolio level  |
| GFANZ  | A global coalition of leading financial institutions committed to accelerating the decarbonization of the economy. GFANZ is developing the tools and methodologies needed to turn financial institutions' net-zero commitments into action.  |
| Task Force on Climate-Related Disclosures (TCFD)                 | Created by the Financial Stability Board (FSB) to develop recommendations on the types of information that companies should disclose to support investors, lenders, and insurance underwriters in appropriately assessing and pricing a specific set of risks—risks related to climate change. |
| Climate Action 100+  | Investor-led initiative to ensure the world's largest corporate greenhouse gas emitters take necessary action on climate change.   |

The ESMF is aligned to these frameworks in the following manner:

**Table 3-15** Alignment with other applicable frameworks.

| No. | GUIDING FRAMEWORK  | HOW THE ESMF ALIGNS TO THE FRAMEWORK   |
|-----|--|--|
| 1.0 | Equator Principles   | An ESMF is developed to identify, assess and manage environmental and social risks.  |
| 2.0 | Women Empowerment Principles (WEPs)                              | The ESMF stresses the welfare of women, youth and the disadvantaged and has developed a Gender Action Plan which is in line with the Women Empowerment Principles.                   |
| 3.0 | Gender Equality Mainstreaming (GEM) Framework                    | The ESMF stresses the welfare of women, youth and the disadvantaged and has developed a Gender Action Plan which is in line with the Gender Equality Mainstreaming (GEM) Framework.  |
| 4.0 | A Fund Manager's Guide to Gender-Smart Investing' by IFC and CDC | The ESMF stresses the welfare of women, youth and the disadvantaged and has developed a Gender Action Plan which is in line with the Fund Manager's Guide to Gender-Smart Investing. |



| No. | GUIDING FRAMEWORK                                | HOW THE ESMF ALIGNS TO THE FRAMEWORK  |
|-----|--|---|
| 5.0 | GFANZ  | The ESMF has identified possible climate related risks and proffered mitigation measures in line with GFANZ commitments of decarbonization of the economy.  |
| 6.0 | Task Force on Climate-Related Disclosures (TCFD) | The ESMF has identified possible climate related risks and proffered mitigation measures in line with the Task Force on Climate-Related Disclosures (TCFD) on the type of information necessary for pricing specific risks.                             |
| 7.0 | Climate Action 100+                              | The ESMF has identified possible climate related risks and proffered mitigation measures which will ensure that any possible large corporate greenhouse gas emitters will take necessary action on climate change if it wants to invest in the project. |

### 3.6 INTERNATIONAL CONVENTIONS AND TREATIES

All four countries in East Africa are signatories and party to international conventions, treaties, and protocols. The following international instruments listed in table 3-4 are relevant to the implementation of DaIMA.

**Table 3-16** Overview of the relevant International Conventions and Treaties.

| No. | INTERNATIONAL CONVENTIONS  | INTERPRETATION   | RELEVANCE TO DaIMA   |
|-----|--|--|--|
| 1.  | Convention on Biological Diversity (CBD1992)   | Aims to conserve biological diversity, promote the sustainable use of the components of biological diversity, and ensure fair and equitable sharing of the benefits arising out of the utilization of genetic resources.   | Some sub-activities may require some level of the clearing of vegetation thus affecting biodiversity.  |
| 2.  | Cartagena Protocol on Biosafety to the Convention on Biological Diversity  | Aims to ensure the safe handling, transport, and use of living modified organisms (LMOs) resulting from modern biotechnology that may have adverse effects on biological diversity, taking also into account risks to human health.  | Will be relevant in instances where modified pasture seed is to be used on the pasture farms.  |
| 3.  | The Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization | A supplementary agreement to the Convention on Biological Diversity which provides a legal framework for the effective implementation of the fair and equitable sharing of benefits arising out of the utilization of genetic resources. The Protocol addresses traditional knowledge associated with genetic resources with provisions on access, benefit-sharing, and compliance. It also addresses genetic resources where indigenous and local communities have the established right to grant access to them. | May be relevant if traditional legumes are to be replaced by non-native pasture species, and where plants traditionally used for medical or cultural practices may be destroyed due to conversion of wetlands or Catchments. |
| 4.  | Convention on the Conservation of Migratory Species  | A framework convention which provides a global platform for the conservation and sustainable use of migratory animals and their habitats.  | Relevant if project activities will affect marshlands/wetlands where migratory fowl  |

| No. | INTERNATIONAL CONVENTIONS  | INTERPRETATION  | RELEVANCE TO DaIMA   |
|-----|--|---|--|
|     | of Wild Animals (CMS)  |   | frequent, across wetlands.   |
| 5.  | UN Framework Convention on Climate Change (UNFCCC)   | Provides a framework for international cooperation to combat climate change by limiting average global temperature increases and the resulting climate change and coping with its impacts.  | DaIMA focusses on sustainable dairy value chains and requires a climate risk assessment to be undertaken in order to guide detailed activity designs in coping with climate-related impacts on livelihoods |
| 6.  | Paris Agreement to the UNFCCC (2015)   | Seeks to accelerate and intensify the actions and investment needed for a sustainable low carbon future. Its central aim is to strengthen the global response to the threat of climate change by keeping a global temperature rise this century well below 2 degrees Celsius above pre-industrial levels and to pursue efforts to limit the temperature increase even further to 1.5 degrees Celsius. The Agreement also aims to strengthen the ability of countries to deal with the impacts of climate change | DaIMA focusses on sustainable dairy value chains and requires a climate risk assessment to be undertaken in order to guide detailed activity designs in coping with climate-related impacts on livelihoods |
| 7.  | United Nations Convention to Combat Desertification (UNCCD, 1994)  | Aims to combat desertification and mitigate the effects of drought in countries experiencing serious drought and/or desertification, particularly in Africa, through effective action at all levels, supported by international cooperation and partnership arrangements. It specifically addresses the arid, semi-arid and dry sub-humid areas, known as the drylands, where some of the most vulnerable ecosystems and peoples can be found.  | DaIMA focuses on dairy productivity with a view to minimize incidents of poor resource management.   |
| 8.  | The Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal (the Basel Convention, 1989) | Designed to reduce the movements of hazardous waste between nations, and specifically to prevent transfer of hazardous waste from developed to less developed countries (LDCs). It does not, however, address the movement of radioactive waste. Also intended to minimize the amount and toxicity of wastes generated, to ensure their environmentally sound management as closely as possible to the source of generation, and to assist LDCs in environmentally sound  | DaIMA subscribes to provisions that assist in the avoidance of hazardous and other wastes.   |

| No. | INTERNATIONAL CONVENTIONS   | INTERPRETATION  | RELEVANCE TO DaIMA   |
|-----|---|---|--|
|     |   | management of the hazardous and other wastes they generate.   |  |
| 9.  | The Rotterdam Convention (formally, the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade) | Promotes shared responsibilities in relation to importation of hazardous chemicals. The convention promotes open exchange of information and calls on exporters of hazardous chemicals to use proper labelling, include directions on safe handling, and inform purchasers of any known restrictions or bans. Signatory nations can decide whether to allow or ban the importation of chemicals listed in the treaty, and exporting countries are obliged to make sure that producers within their jurisdiction comply. | No agrochemicals will be used on the pasture farms to avoid health impacts to the cattle and dairy products. As such, requirements under the convention will not be triggered.                   |
| 10. | Convention concerning the Protection of the World Cultural and Natural Heritage (World Heritage Convention, 1972)   | Requires state parties to recognize that the duty of ensuring the identification, protection, conservation, presentation, and transmission to future generations of the cultural and natural heritage situated on its territory, belongs primarily to that State. It will do all it can to this end, to the utmost of its own resources and, where appropriate, with any international assistance and cooperation, in particular, financial, artistic, scientific and technical, which it may be able to obtain.        | East African countries have a number of UNESCO World Heritage Sites. However, the Project will have no interaction with these. As such, requirements under the convention will not be triggered. |
| 11. | Stockholm Convention on Persistent Organic Pollutants (1992)  | Aims to eliminate or restrict the production and use of persistent organic pollutants (POPs).   | No agrochemicals will be used on the pasture farms to avoid health impacts to the cattle and dairy products. As such, requirements under the convention will not be triggered.                   |
| 12. | Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) (Washington Convention, 1975)   | Aims to protect endangered plants and animals and to ensure that international trade in specimens of wild animals and plants does not threaten the survival of the species in the wild. It accords varying degrees of protection to more than 35,000 species of animals and plants.   | Under DaIMA, selection of sites for activities will avoid areas close to National parks and conserved areas for wildlife.  |

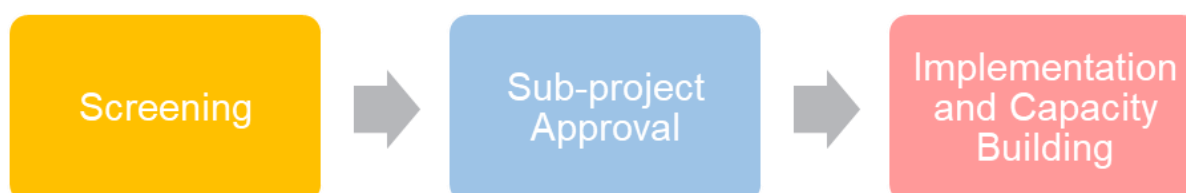
| No. | INTERNATIONAL CONVENTIONS  | INTERPRETATION  | RELEVANCE TO DaIMA  |
|-----|--|---|---|
| 13. | The Bamako Convention on the ban on the Import into Africa and the Control of Transboundary Movement and Management of Hazardous Wastes within Africa (Bamako Convention, 1991). | Prohibits the import of any hazardous Relevant in the event that expired (including radioactive) waste into Africa agrochemicals and their containers are taken to other countries for disposal.  | DaIMA will ensure that the environment is well protected against hazardous wastes by avoiding their application and extending the same concept to project beneficiaries and stakeholders. |
| 14. | Malabo Declaration on Accelerated Agricultural Growth and Transformation for Shared Prosperity and Improved Livelihoods. Malabo, Equatorial Guinea June 26-27, 2014.             | <ul style="list-style-type: none"> <li>• Commitment to Enhancing Investment Finance in Agriculture.</li> <li>• Commitment to Ending Hunger in Africa.</li> <li>• Commitment to Halving Poverty through Inclusive Agricultural Growth and Transformation.</li> <li>• Commitment to Enhancing Resilience of Livelihoods and Production Systems to Climate Variability and other related risks.</li> <li>• Commitment to Mutual Accountability to Actions and Results.</li> </ul>  | These commitments are in line with DaIMA's objectives.  |
| 15. | Convention against Torture and Other Cruel Inhuman or Degrading Treatment or Punishment (CAT)  | "Torture" means any act by which severe pain or suffering, whether physical or mental, is intentionally inflicted on a person for such purposes as obtaining from him or a third person information or a confession, punishing him for an act he or a third person has committed or is suspected of having committed. No exceptional circumstances whatsoever, whether a state of war or a threat of war, internal political instability or any other public emergency, may be invoked as a justification of torture. | This is in line with the revised GCF Environmental and social policy and IFAD's social safeguarding principles.   |
| 16. | United Nations Convention on the Rights of the Child (CRC).  | A legally binding international agreement setting out the civil, political, economic, social and cultural rights of every child, regardless of their race, religion or abilities.   | In line with the revised GCF Environmental and social policy and IFAD's social safeguarding principles.   |

| No. | INTERNATIONAL CONVENTIONS  | INTERPRETATION  | RELEVANCE TO DaIMA  |
|-----|--|---|---|
| 17. | The International Convention on the Elimination of All Forms of Racial Discrimination. | This is a resolve to adopt all necessary measures for speedily eliminating racial discrimination in all its forms and manifestations, and to prevent and combat racist doctrines and practices in order to promote understanding between races and to build an international community free from all forms of racial segregation and racial discrimination.   | In line with the revised GCF Environmental and social policy and IFAD's social safeguarding principles. |
| 18. | Convention on the Elimination of All Forms of Discrimination against Women             | An international legal instrument that requires countries to eliminate discrimination against women and girls in all areas and promotes women's and girls' equal rights. often described as the international bill of rights for women and is one of the key international agreements that guides the work of UN Women in achieving gender equality and empowering all women and girls. CEDAW for Youth is a youth-friendly version of CEDAW, that was authored by a young woman and young man.   | In line with the revised GCF Environmental and social policy and IFAD's social safeguarding principles. |
| 19. | The United Nations Declaration on the Rights of Indigenous Peoples                     | The declaration provides a framework for reconciliation, healing and peace, as well as harmonious and cooperative relations based on the principles of justice, democracy, respect for human rights, non-discrimination and good faith. It recognizes the urgent need to respect and promote the inherent rights of indigenous peoples which derive from their political, economic and social structures, from their cultures, spiritual traditions, histories and philosophies, especially their rights to their lands, territories and resources. It also recognizes that respect for indigenous knowledge, cultures and traditional practices contributes to sustainable and equitable development and proper management of the environment. | In line with the revised GCF Environmental and social policy and IFAD's social safeguarding principles. |

## 4. PROCEDURE FOR SCREENING ASSESSMENT AND MANAGEMENT

### 4.1 INTRODUCTION

This chapter covers the process of determining the activities' significant environmental and social consequences, deciding on the level of Environmental Assessment work to be done and then implementing the developed mitigation measures. The DaIMA Programme has been rated "Moderate" in terms of Environmental and Social Risk Category and thus most of the projects in the different countries will fall within this category. There will not be a "Substantial" Risk Category activity funded by DaIMA. Nonetheless, it is recommended that DaIMA avoid sensitive areas and take steps to ensure that activities stay within the "Moderate" Risk Category. Thus, every activity that will be funded under DaIMA will require environmental and social risk screening. The risk screening process is depicted in the figure below:



**Figure 4-1** The DaIMA risk assessment process

Thus, using this process, Project Management Team (PMT) in each country will identify, assess, and manage the project's E&S risks. This process will be applied at national, sub-national down to end Beneficiaries level:

- **Screening:** Collecting Sufficient E&S information in order to screen against excluded activities, to categorise their risk level and assess the potential E&S risks of an activity against international E&S standards using the screening form presented in Annex 2. Key topics to be assessed include Biodiversity Conservation and Sustainable Natural Resource Management; Community Health, Safety and Working Conditions; Social, Gender and human rights and opportunities; Resettlement and land acquisition; Cultural Heritage; resource efficiency; climate risk and impact pollution; and indigenous peoples.
- **Activity Approval:** Includes conditions to ensure E&S risk management practices by beneficiaries, which may include the development of additional Environmental Assessment instruments like site specific ESMPs.
- **Implementation and Capacity Building:** Measures to ensure implementation of the ESMP including capacity building, training as required and E&S monitoring and reporting requirements.

Cumulative impacts should also be considered as part of the assessment of the eligibility of activities. Cumulative impacts refer to the incremental impacts on E&S resources or areas that may occur from other existing or planned developments, activities, or external factors, in addition to the impact resulting from project activities (for example, water scarcity may occur because multiple projects are using the same water resource).

Activities will also be analysed to ensure that risk of Sexual Exploitation, Sexual Abuse and Sexual Harassment (SEAH) is included in the activity risk assessment, as per the GCF Revised Environmental and Social Policy.

#### **4.1.1 Screening of Activities**

The screening of activities will be done using the IFAD SECAP Environmental and Social Screening Checklist (Annex 2) together with information on typical project impacts and mitigation measures in the environmental and social management plan (ESMP) (Table 5-22). In some cases, special planning reports may have to be developed and implemented. These will require extra resources to prepare, and this may require amendments to the activity design. The sections below detail the stages of the environmental and social screening process (the screening process) leading towards the review and environmental and social approval of any activity that will be undertaken in the DaIMA. Each activity that will be funded through DaIMA will have to undergo the Environmental and Social Screening Process, as outlined in Figure 4-2 below.

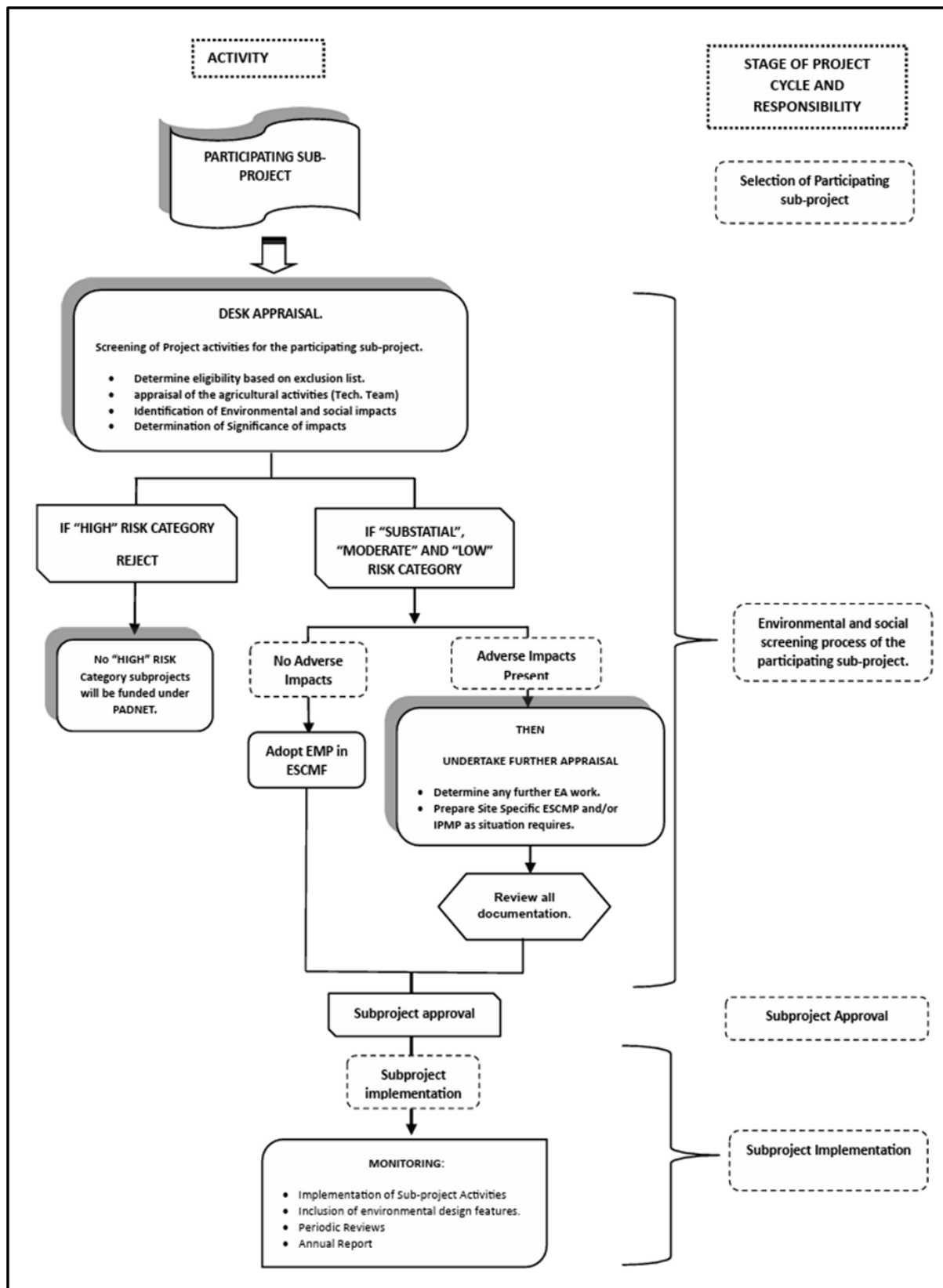
##### **a) SECAP Screening Requirements**

SECAP 2021 requires that each project that is funded by IFAD be screened first, in order to determine its significant environmental and social consequences. The screening results are used to determine environmental and social category, and climate risk classification for the activity, together with the necessary actions to address the associated environmental, social and climate risks, and their expected impacts. The screening tool and checklist (Annex 2) should be used in conjunction with the exclusion list (Annex 1).

The screening is aimed at identifying the major social, environmental and climate impacts and risks associated with the activity, defining the necessary steps for further analysis and identifying measures to enhance development opportunities and minimize risks and negative impacts.

##### **b) Stages of Environmental and Social Screening**

Each selected site for an activity will be subjected to a rigorous environmental and social screening process. The initial stage is a desk appraisal of the planned activities, including designs. The Environmental and Social Safeguard Specialist will undertake the desk appraisal to ensure that all pertinent environmental and social issues are identified. This initial screening will be carried out through the use of the Environmental and Social Screening checklist (Annex 2).



**Figure 4-2** Project Screening Process



### **c) Assigning the Environmental and Social Categories**

The assignment of the appropriate environmental and social category to a particular activity will be based on the information provided in the Environmental and Social Screening checklist (Annex 2). The Environmental and Social Safeguard Specialist will be responsible for categorizing the activity either as High, Substantial, Moderate or Low.

Most of the activities of the DaIMA Programme are likely to be categorized as moderate Risk, meaning that their potential adverse environmental and social impacts on human populations or environmentally important areas will be site-specific, few if any of the impacts are reversible, and they can be mitigated readily.

## **4.2 ACTIVITY APPROVAL**

The completed screening form along with any additional planning reports, will be forwarded to the Project Management Team of each participating country. The PMT will review the recommendations in the screening form, review the proposed mitigation measures, and conduct public consultations. It will further determine whether the application of simple mitigation measures outlined in the Environmental and Social Screening Form (Annex 2) will suffice; or whether further Environmental and social Management Plan needs to be prepared.

The activities which did not require the preparation of additional management plans will automatically be approved on the basis of the screening form and will be required to go ahead and use the screening form together with the requirements of the ESMF as its Safeguards instruments.

If the desk appraisal indicates that the proposed subproject may have environmental or social concerns that are not adequately addressed in the current documentation, the PMT may require the preparation of additional mitigation plans as the situation may require. The additional management plans may include site specific ESMs, site specific ESIAs etc. Once all documentation is in place these will then be synchronized with the main ESMF and/or approval. Generally, most of the activities that will be financed by DaIMA will not need any further EA work beyond just the site specific ESMs to guide the implementation of the ESMF.

## **4.3 IMPLEMENTATION AND CAPACITY BUILDING**

The End-Beneficiaries will be required to implement the E&S actions identified in the site specific ESMs or site-specific E&S Checklists within the timeframes specified. Action items in the ESMs will likely need to be added/adjusted over time, based on changes in operations or risks of the portfolio/activities.

As part of the implementation process, the End-Beneficiaries may be required to participate in capacity building/training exercises covering E&S best practices, ESMs implementation, and/or the identification and management of E&S risks related to specific activities in their portfolio.

Monitoring and reporting on E&S risks and impacts, commensurate with risk of the activity will be undertaken during the whole Programme period. Details on the monitoring requirements for End-Beneficiaries are provided in Chapter 8.

## **5. POTENTIAL ENVIRONMENTAL AND SOCIAL RISKS AND IMPACTS**

### **5.1 INTRODUCTION**

This chapter outlines the potential Environmental impacts that will be caused by the implementation of the Programme, including their significance. The DaIMA Programme is envisaged to result in more positive than negative environmental and social impacts. With appropriate design, adequate management and monitoring, negative impacts can be kept to a minimum. On the other hand, if that is not done, the Programme may have negative impacts some of which can have ripple effects making it difficult to apply remedial actions.

### **5.2 ENVIRONMENT AND SOCIAL CATEGORY**

The environmental and social category for the DaIMA Programme is Moderate. Although the programme will be implemented in four countries in East Africa, it is not complex, does not involve activities with high potential for harming people or the environment, and will be located away from environmentally or socially sensitive areas.

Recognizing that some activities can have moderate adverse impacts on the environment and may affect the health and safety of workers during various phases of the programme, appropriate mitigation measures will be implemented to eliminate all types of impacts or reduce them to an acceptable level. Furthermore, the programme focuses on employment creation for young men and women and household mentoring through the Gender Action Learning System (GALS) to ensure gender-based violence is reported, reduced, or eliminated. In addition to the programme-specific Grievance Redress Mechanism, ILO guidelines on child labour will be applied when engaging youth in the dairy value chain. Pollution risks associated with the intensification of dairy production and lack of appropriate waste management are important issues to consider. In this regard, the programme will adopt a climate-smart dairy production intensification approach that includes enhancing animal feeding practices, improving energy use efficiency along the dairy value chain, and managing manure and waste. Emphasis will be placed on improving pasture productivity and quality by enhancing the composition of forage varieties, fodder conservation, and better pasture management, coupled with low-carbon sources of energy in milk processing. These measures are crucial for improving food security and natural resource management, adapting to climate change, reducing both direct and indirect GHG emissions, and mitigating environmental risks.

### **5.3 ACTIVITIES AND SOURCES OF ENVIRONMENTAL AND SOCIAL IMPACTS**

#### **5.3.1 Environmental and Social Impacts**

All three DaIMA components including respective activities and sub-activities have been described earlier in this report (Refer to Chapter 2). The implementation of some of the activities may cause negative impacts on environmental and social aspects to varying extent depending on the nature of the interventions. The table below summarizes typical environmental and social impacts and risks associated with activities proposed for the DaIMA Program.

**Table 5-1** Anticipated environmental and social impacts/risks (based on proposed activities)

| No. | Activity   | Sub-activity   | Environmental and social Impacts/Risks  |
|-----|--|--|---|
| 1   | Activity 1.2.1<br>Strengthen veterinary services for better animal health, higher milk productivity and reduced losses | Sub-activity 1.2.1.2.<br>Strengthening diagnostic capacity of veterinary laboratories and capacity to test quality of animal feed            | This sub activity may necessitate construction or rehabilitation of Vet Labs.<br><ul style="list-style-type: none"> <li>During construction excavation activities Vegetation Clearing for site surveys and pegging is likely to occur leading to soil erosion, dust generation and ambient air pollution.</li> <li>During Operation of Labs waste Generation and Biosafety issues may arise.</li> </ul> |
| 2   | Activity 2.2.1<br>Promote the adoption of climate-smart dairy breeds adapted to climate change                         | Sub-activity 2.2.1.1<br>Make good quality semen for climate-smart breeds available, adaptable to extreme climatic conditions and to diseases | This may necessitate construction or expansion of AI centers and semen storage facilities including liquid nitrogen units. This may require excavation activities and clearing of vegetation leading to soil erosion, dust emissions, loss in biodiversity; and resulting increase in run-off. Occupational Safety and Health incidents might arise from handling construction machinery and equipment. |
| 3   | Activity 2.3.1<br>Strengthening rangeland governing structures and capacity for managing communal grazing              | Sub-activity 2.3.1.3<br>Enhance availability of water  | Construction of small-scale water harvesting systems (e.g., individual micro dams in zero grazing units) may lead to clearing of vegetation leading to impacts on soil, dust emissions, loss in biodiversity.   |
| 4   | Activity 2.1.3<br>Promote renewable energy (RE) and waste management technologies                                      | Sub-activity 2.1.3.2<br>Support the acquisition of renewable energy and waste management solutions   | This may necessitate installation of solar-powered boreholes in semi-grazing system areas thus leading to generation of dust and solid waste from drilling works.   |
| 5   | Activity 2.2.5<br>Increase sustainable nutrient recycling from manure and dairy waste to reduce emissions              | Sub-activity 2.2.5.2<br>Promote adapted animal housing   | Construction and operation of cow sheds may lead to environmental degradation at areas of sourcing construction materials for construction, solid waste nuisance from cow dung.   |

| No. | Activity   | Sub-activity  | Environmental and social Impacts/Risks  |
|-----|--|---|---|
| 6   | Activity 2.2.3<br>Promote climate-smart fodder production and conservation | a) Sub-activity 2.2.3.1:<br>Make certified forage seed available to private and community multipliers<br>b) Sub-activity 2.2.3.2<br>Support multiplication of climate-resilient seed for fodder crops and pastures<br>c) Sub-activity 2.2.3.3<br>Support multiplication of climate-resilient seed for fodder crops and pastures | In the course of establishment of new farms for fodder, clearing of vegetation during farm preparation is likely to occur leading to: <ul style="list-style-type: none"> <li>• Loss in biodiversity and soil erosion;</li> <li>• Temporary Visual Intrusions (Marred landscape).</li> </ul> |
|     |  | d) Sub-activity 2.2.3.4<br>Access to water for animals and fodder production in intensive and semi-intensive dairy systems  | Construction of community based shallow water wells and water tanks may lead to generation of dust and solid waste from drilling works.   |

## 5.4 ENVIRONMENTAL IMPACT ANALYSIS

The potential environmental impacts associated with the DaIMA Programme have been grouped based on two main phases of the Programme i.e., construction and operations.

### 5.4.1 CONSTRUCTION PHASE

#### a) Vegetation clearing

There will be limited clearing of Vegetation that will occur at all construction sites to include, excavations for foundations and Construction of vet labs, AI Centres, cowsheds and storage facilities, preparations of farmlands for pastures or fodder seeds. All will involve localized land clearing, removal of trees and shrubs. This will result in habitat fragmentation and loss of plant cover leading to compaction of soil, exposure of topsoil and possibility for erosion, weakening and degradation of soils, disturbance of the natural landscape and disfiguring of the natural morphology.

#### Assessment of the impact

The impacts of vegetation clearing will be short to medium term in nature and will occur for the duration of construction and land preparations. These impacts have a regional effect as they will not only be a problem to the footprint area but will also reach all the nearby residences. It is expected that the intensity of these impact will be medium.

The disturbances from the vegetation clearance will be negative and direct in nature albeit limited in scope. The consequence of the impact is anticipated to be slightly detrimental. For the people residing nearest to the project site it is considered to be of moderate severity. The slightly detrimental nature, definite probability and moderate severity result of this impact being of moderate significance.

**Table 5-2** Impact of vegetation clearance

| Impact of vegetation clearance   |                                      |
|--|--------------------------------------|
| <b>Project Phase</b>   | Construction                         |
|  | Pre-Mitigation Impact                |
| <b>Type of Impact</b>  | Negative (-), Direct                 |
| <b>Duration</b>  | Medium-short term (2)                |
| <b>Extent</b>  | Regional (3)                         |
| <b>Intensity</b>   | Medium (3)                           |
| <b>Consequence =<br/>+/- (Duration<br/>+ Extent +<br/>Intensity)</b>             | Slightly detrimental $-(2+3+3) = -8$ |
| <b>Probability</b>   | Definite (5)                         |
| <b>Severity</b>  | Moderate (3)                         |
| <b>Significance<br/>(Probability +<br/>Severity +<br/>Extent +<br/>Duration)</b> | Moderate $(5+3+3+2) = 13$            |

### Residual Impact

**Post-mitigation.** It is expected that the impact of vegetation clearance (i.e., dust, noise, and traffic) on local communities could be reduced to one of low significance for all people.

### b) Temporary visual intrusion (marred landscape)

Construction of Vet Labs, AI Centres, Semen Storage facilities, Construction of micro dams or water harvesting tanks and other possible facilities will change the aesthetics of the project areas and has potential to leave marred landscapes impacting on the appearance of the surrounding areas. It is expected that there will be some extraction of building materials for cowshed construction.

### Assessment of the impact

This will result in potential changes in the landscape, leaving a defaced and scarred landscape from borrow pits and other excavations, negatively impacting natural habitats, sediment loads, etc.

The impact will be negative and direct in nature albeit limited in scope. The consequence of the impact is anticipated to be slightly detrimental because of the medium to short duration that the impact will be experienced. For the people residing nearest to the project site it is considered to be of low severity. The definite probability, slightly detrimental nature and low severity of this impact result in it being of moderate significance.

**Table 5-3** Impact of temporary visual intrusion (marred landscape)

| Impact of temporary visual intrusion (marred landscape)                          |                                      |
|--|--------------------------------------|
| <b>Project Phase</b>   | Construction                         |
|  | Pre-Mitigation Impact                |
| <b>Type of Impact</b>  | Negative (-), Direct                 |
| <b>Duration</b>  | Medium-short term (2)                |
| <b>Extent</b>  | Site (2)                             |
| <b>Intensity</b>   | Low-Medium (2)                       |
| <b>Consequence =<br/>+/- (Duration<br/>+ Extent +<br/>Intensity)</b>             | Slightly detrimental $-(2+2+2) = -6$ |
| <b>Probability</b>   | Definite (5)                         |
| <b>Severity</b>  | Low (2)                              |
| <b>Significance<br/>(Probability +<br/>Severity +<br/>Extent +<br/>Duration)</b> | Moderate $(5+2+2+2) = 11$            |

### Residual Impact

**Post-mitigation.** It is expected that the impact of temporary visual intrusion (marred landscape) on local landscapes could be reduced to one of low significance.

### c) Impacts on soil

Construction equipment working at construction sites may lead to impairment of soil due to leakage of oils, lubricants, and fuel. Furthermore, although construction work will be limited to local areas, the establishment of pasture farms, including the rehabilitation of existing ones will expose the soils to erosion and compact it and break down the soil structure which will potentially decrease the drainage of the areas. This will generally result in soil erosion, defacing of the area and generation of dust.

### Assessment of the impact

During the construction phase, all soil forms will be susceptible to erosion to some extent because the vegetation cover will be cleared before construction takes place.

The main direct potential consequences of soil erosion are the reduction in soil quality, the gully formation, and the reduced water-holding capacity of many eroded soils. The indirect consequences of soil erosion include disruption of riparian ecosystems and sedimentation leading to reduced water quality. This impact is considered to be negative, medium to long term and moderate significance.

**Table 5-4** Impact of impacts on soil

| <b>Impact of impacts on soil</b>   |                                      |
|--|--------------------------------------|
| <b>Project Phase</b>   | Construction                         |
|  | Pre-Mitigation Impact                |
| <b>Type of Impact</b>  | Negative (-), Direct                 |
| <b>Duration</b>  | Medium-long term (3)                 |
| <b>Extent</b>  | Site (1)                             |
| <b>Intensity</b>   | Low-Medium (2)                       |
| <b>Consequence =<br/>+/- (Duration<br/>+ Extent +<br/>Intensity)</b>             | Slightly detrimental $-(3+1+2) = -6$ |
| <b>Probability</b>   | Definite (5)                         |
| <b>Severity</b>  | Moderate (3)                         |
| <b>Significance<br/>(Probability +<br/>Severity +<br/>Extent +<br/>Duration)</b> | Moderate $(5+3+1+3) = 12$            |

**Residual Impact**

**Post-mitigation.** It is expected that through mitigation measures, especially the timely planting of fast-growing vegetation cover, the impact of soil erosion on the local landscapes could be reduced to one of low significance.

**d) Solid waste nuisance**

Substantial amounts of solid wastes are normally generated from construction activities. Such wastes include stones, wood, broken glasses, containers, rods of metal, pieces of iron sheets etc. All these require proper design and putting in place appropriate measures for the collection and disposal of the various wastes produced at construction sites. Animals may suffocate from ingesting the solid waste materials. Solid waste can also be dangerous to aquatic animals if washed into water courses.

**Assessment of the impact**

The disturbances from Solid Waste will be short – medium term in nature and will occur for the duration of construction. These impacts have a site effect. It is expected that the intensity of this impact will be low - medium.

The consequence of the impact is anticipated to be negligible. For the people surrounding the environment nearest to the project site it is considered to be of moderate severity. The negligible nature, definite probability and moderate severity result in this impact being of moderate significance.

**Table 5-5** Impact of Solid waste nuisance

| <b>Impact of Solid waste nuisance</b>  |                            |
|--|----------------------------|
| <b>Project Phase</b>   | Construction               |
|  | Pre-Mitigation Impact      |
| <b>Type of Impact</b>  | Negative (-), Direct       |
| <b>Duration</b>  | Medium-short term (2)      |
| <b>Extent</b>  | Site (1)                   |
| <b>Intensity</b>   | Low-Medium (2)             |
| <b>Consequence =<br/>+/- (Duration<br/>+ Extent +<br/>Intensity)</b>             | Negligible $-(2+1+2) = -5$ |
| <b>Probability</b>   | Definite (5)               |
| <b>Severity</b>  | Moderate (3)               |
| <b>Significance<br/>(Probability +<br/>Severity +<br/>Extent +<br/>Duration)</b> | Moderate $(5+3+1+2) = 11$  |

**Residual Impact**

**Post-mitigation.** It is expected that the impact of solid waste nuisance could be reduced to one of low significance as the mitigation measures are implemented.

**e) Ambient air pollution**

Air quality will be impacted by dust emissions mainly from the construction of structures which includes, Cow sheds, Vet Labs, AI Centers, Semen Storage Facilities, water harvesting tanks, micro dams etc. Increased dust emissions may affect habitats for various species if not controlled. These dust emissions will require dust control measures to bring air quality within the national environmental standards and World Health Organization (WHO) recommended guideline levels.

The dust generation results in the pollution of air, increases in bronchial disorders and disturbs normal developments of vegetation.

**Assessment of the impact**

The air pollution disturbances will be short to medium term in nature and will occur for the duration of construction. These impacts have a regional effect as they will not only be a problem to the footprint area, but it will also reach all the nearby residences. It is expected that the intensity of this impact for most people will be medium-high. The disturbances will be negative and direct in nature. The impact will be experienced at the regional level. This impact will definitely occur during the construction phases and will be short to medium term in nature. The consequence of the impact is anticipated to be slightly detrimental. For the people residing nearest to the project sites it is considered to be of moderate



severity. The slightly detrimental nature, definite probability and moderate severity result in this impact being of moderate significance.

**Table 5-6** Impact on ambient air pollution

| <b>Impact on ambient air pollution</b>   |                                      |
|--|--------------------------------------|
| <b>Project Phase</b>   | Construction                         |
|  | Pre-Mitigation Impact                |
| <b>Type of Impact</b>  | Negative (-), Direct                 |
| <b>Duration</b>  | Medium-short term (2)                |
| <b>Extent</b>  | Regional (3)                         |
| <b>Intensity</b>   | Medium-High (4)                      |
| <b>Consequence =<br/>+/- (Duration<br/>+ Extent +<br/>Intensity)</b>             | Slightly detrimental $-(2+3+4) = -9$ |
| <b>Probability</b>   | Definite (5)                         |
| <b>Severity</b>  | Moderate (3)                         |
| <b>Significance<br/>(Probability +<br/>Severity +<br/>Extent +<br/>Duration)</b> | Moderate $(5+3+3+2) = 13$            |

### **Residual Impact**

**Post-mitigation.** It is expected that the impact of construction nuisances (i.e., dust, noise, and traffic) on local communities could be reduced to one of low significance when mitigation measures are implemented.

### **f) Habitat loss and biodiversity disturbances**

The construction of dairy infrastructure is likely to generate considerable noise and vibrations which will cause small wild animals to migrate away from the project sites. The small game may migrate back once the construction is done. During construction there could be contamination of rivers and water bodies and may cause fish kills and destruction of other aquatic life.

### **Assessment of the impact**

The habitat loss and biodiversity disturbances caused by the activities of this project will be short -medium term in nature and will occur mostly during the construction period. These impacts have a regional effect as they will not only be a problem to the footprint area but will cause small game to migrate away from the projects site and less animals will be found in the area.

This impact will be negative and direct in nature and its consequences are anticipated to be slightly detrimental. For the people surrounding the environment nearest to the project

site it is considered to be of moderate severity. The slightly detrimental nature, definite probability and moderate severity result in this impact being of moderate significance.

**Table 5-7** Impact on habitat loss and biodiversity disturbances

| <b>Impact on habitat loss and biodiversity disturbances</b>                      |                                      |
|--|--------------------------------------|
| <b>Project Phase</b>   | Construction                         |
|  | Pre-Mitigation Impact                |
| <b>Type of Impact</b>  | Negative (-), Direct                 |
| <b>Duration</b>  | Medium-long term (3)                 |
| <b>Extent</b>  | Regional (3)                         |
| <b>Intensity</b>   | Medium (3)                           |
| <b>Consequence =<br/>+/- (Duration<br/>+ Extent +<br/>Intensity)</b>             | Slightly Detrimental $-(3+3+3) = -9$ |
| <b>Probability</b>   | Definite (5)                         |
| <b>Severity</b>  | Moderate (3)                         |
| <b>Significance<br/>(Probability +<br/>Severity +<br/>Extent +<br/>Duration)</b> | Moderate $(5+3+3+2) = 13$            |

### **Residual Impact**

**Post mitigation.** It is expected that the impact of habitat loss and biodiversity disturbances could be reduced to one of low significance as the mitigation measures are implemented.

## **5.4.2 OPERATION PHASE**

### **a) Soil erosion**

During the operation phase, the potential for soil erosion will be much less. However loose soil at the levelled fields as well as areas with steep slopes will still be susceptible to erosion. The main potential consequences of soil erosion are the reduction in soil quality and the reduced water-holding capacity of many eroded soils. The indirect consequences of soil erosion include disruption of riparian ecosystems and sedimentation leading to reduced water quality.

### **Assessment of the impact**

During the operation phase, all soil forms will be susceptible to erosion to some extent because the vegetation cover will be cleared before construction takes place at project sites.

The main direct potential consequences of soil erosion are the reduction in soil quality and the reduced water-holding capacity of many eroded soils. The indirect consequences of

soil erosion include disruption of riparian ecosystems and sedimentation leading to reduced water quality. This impact is considered to be negative, medium to long term and of moderate significance.

**Table 5-8** Impact of soil erosion

| <b>Impact of Soil Erosion</b>  |                                      |
|--|--------------------------------------|
| <b>Project Phase</b>   | Operation                            |
|  | Pre-Mitigation Impact                |
| <b>Type of Impact</b>  | Negative (-), Direct                 |
| <b>Duration</b>  | Medium-long term (3)                 |
| <b>Extent</b>  | Site (2)                             |
| <b>Intensity</b>   | Medium (3)                           |
| <b>Consequence =<br/>+/- (Duration<br/>+ Extent +<br/>Intensity)</b>             | Slightly Detrimental $-(3+2+3) = -8$ |
| <b>Probability</b>   | Definite (5)                         |
| <b>Severity</b>  | Moderate (3)                         |
| <b>Significance<br/>(Probability +<br/>Severity +<br/>Extent +<br/>Duration)</b> | Moderate $(5+3+2+1) = 11$            |

### **Residual Impacts**

**Post-mitigation.** It is expected that the impact of soil erosion on the local landscapes could be reduced to one of low significance.

### **b) Solid waste nuisance**

Less quantities of solid wastes are normally generated during the operation phase. However, such wastes like domestic wastes, cow dung, etc will be generated. There are measures for the collection and disposal of the various wastes produced from operations. Solid waste can also be dangerous to aquatic environments if washed into water courses.

### **Assessment of the impact**

This impact is medium to long term in nature and will occur for the duration of the operation phase. These impacts have a regional effect as they will not only be a problem to the footprint area but can affect the wider surrounding community if not managed. It is expected that the intensity of this impact for most people will be low-medium.

The solid waste impact will be negative and direct in nature. Some indirect impacts could be experienced because of the presence of higher volumes of people, including jobseekers in the area resulting in pressure on social services and infrastructure.

The consequence of the impact is anticipated to be slightly detrimental. For the people residing nearest to the project site it is considered to be of low severity. The slightly detrimental, definite probability and low severity result in this impact being of moderate significance.

**Table 5-9** Impact of solid waste nuisance

| <b>Impact of solid waste nuisance</b>  |                                      |
|--|--------------------------------------|
| <b>Project Phase</b>   | Construction                         |
|  | Pre-Mitigation Impact                |
| <b>Type of Impact</b>  | Negative (-), Direct                 |
| <b>Duration</b>  | Medium-long term (3)                 |
| <b>Extent</b>  | Regional (3)                         |
| <b>Intensity</b>   | Low-Medium (2)                       |
| <b>Consequence =<br/>+/- (Duration<br/>+ Extent +<br/>Intensity)</b>             | Slightly Detrimental $-(3+3+1) = -7$ |
| <b>Probability</b>   | Definite (5)                         |
| <b>Severity</b>  | Low (2)                              |
| <b>Significance<br/>(Probability +<br/>Severity +<br/>Extent +<br/>Duration)</b> | Moderate $(5+2+3+3) = 13$            |

### **Residual Impact**

**Post-mitigation.** It is expected that the impact of solid waste pollution on local communities could be reduced to one of low significance for all people if solid waste management protocols are followed.

### **c) Waste generation and biosafety issues**

The AI and Veterinary activities will generate different kinds of waste requiring different kinds of handling. The generated effluent has potential to pollute the soil and water resources, but also contaminate gene pools and affect human and animal health. These stations will also handle blood samples, e.g., during disease outbreaks and these have to be disposed of properly.

### **Assessment of the impact**

The waste generation from AI stations will be medium – long term in nature and will occur for the duration of operations. These impacts have a regional effect as they will not only be a problem to the footprint area but can be transported downstream and pollute water courses. It is expected that the intensity of this impact will be low - medium.

This impact will be negative and direct in nature and its consequences are anticipated to be slightly detrimental. For the people surrounding the environment nearest to the project

site it is considered to be of low severity. The slightly detrimental nature, definite probability and low severity result in this impact being of moderate significance.

**Table 5-10** Impact of waste generation and biosafety issues

| <b>Impact of waste generation and biosafety issues</b>                           |                                      |
|--|--------------------------------------|
| <b>Project Phase</b>   | Construction                         |
|  | Pre-Mitigation Impact                |
| <b>Type of Impact</b>  | Negative (-), Direct                 |
| <b>Duration</b>  | Medium-long term (3)                 |
| <b>Extent</b>  | Regional (3)                         |
| <b>Intensity</b>   | Low-Medium (2)                       |
| <b>Consequence =<br/>+/- (Duration<br/>+ Extent +<br/>Intensity)</b>             | Slightly Detrimental $-(3+3+2) = -8$ |
| <b>Probability</b>   | Definite (5)                         |
| <b>Severity</b>  | Low (2)                              |
| <b>Significance<br/>(Probability +<br/>Severity +<br/>Extent +<br/>Duration)</b> | Moderate $(5+2+3+3) = 13$            |

#### **Residual Impact**

**Post-mitigation.** It is expected that the impact of waste generation and biosafety issues could be reduced to one of low significance.

#### **d) Effluent discharges into natural resources**

Most dairy farming and milk processing operations produce liquid effluent besides the solid waste. These effluents have potential to pollute natural resources like rivers, wetlands and dams located at the downstream end.

#### **Assessment of the impact**

Effluent discharges during the operation phase will be long term in nature and might occur for the duration of the operation phase. These impacts will not only be a problem to the footprint area, but it will flow downstream and pollute the water resources in the area. It is expected that the intensity of these impact for the environment will be medium-high, necessitating the installation of proper treatment systems before effluent discharges. The disturbances from the effluent discharges will be negative and direct in nature. The impact will be experienced at the regional level. The consequence of the impacts anticipated to be moderately detrimental. For the people residing nearest to the project site it is of moderate severity. The moderately detrimental nature, definite probability and moderate severity result in this impact being of high significance.

**Table 5-11** Impact of effluent discharges into natural resources

| <b>Impact of effluent discharges into natural resources</b>                      |   |
|--|---|
| <b>Project Phase</b>   | Construction                            |
|  | Pre-Mitigation Impact                   |
| <b>Type of Impact</b>  | Negative (-), Direct                    |
| <b>Duration</b>  | Long term (4)                           |
| <b>Extent</b>  | Regional (3)                            |
| <b>Intensity</b>   | Medium - High (4)                       |
| <b>Consequence =<br/>+/- (Duration<br/>+ Extent +<br/>Intensity)</b>             | Moderately Detrimental $-(4+3+4) = -11$ |
| <b>Probability</b>   | Definite (5)                            |
| <b>Severity</b>  | Moderate (3)                            |
| <b>Significance<br/>(Probability +<br/>Severity +<br/>Extent +<br/>Duration)</b> | High $(5+3+3+4) = 15$                   |

**Residual Impact**

**Post-mitigation.** It is expected that the impact of effluent discharge on local communities could be reduced to one of moderate significance for all people once proper effluent treatment plants are installed and are running properly.

**e) Loss of diversity in farm animal genetic resources**

Reliance on a very limited number of modern breeds suited for the high input-high output dairy production is the main cause of genetic erosion. The global trend towards fewer livestock breeds has been facilitated by the biotechnologies that make possible worldwide access to germplasm, and the improvement and easy movement of highly selected breeds. The result to date is that a large number of breeds and strains which were highly adapted to very specific environmental and feeding conditions are now threatened or extinct.

**Assessment of the impact**

The impact of genetic resources erosion will be medium to long term in nature and will occur for the duration of operations phase and beyond. The risk of this impact will be negative and direct in nature. The impact will be experienced at the community level and even beyond the project sites. The impact is anticipated to be slightly detrimental and with definite probability and moderate severity, resulting in this impact being of high significance.

**Table 5-12** Impact of loss of diversity in farm animal genetic resources

| <b>Impact of loss of diversity in farm animal genetic resources</b>              |                                      |
|--|--------------------------------------|
| <b>Project Phase</b>   | Construction                         |
|  | Pre-Mitigation Impact                |
| <b>Type of Impact</b>  | Negative (-), Direct                 |
| <b>Duration</b>  | Medium - Long term (3)               |
| <b>Extent</b>  | Regional (3)                         |
| <b>Intensity</b>   | Medium (3)                           |
| <b>Consequence =<br/>+/- (Duration<br/>+ Extent +<br/>Intensity)</b>             | Slightly Detrimental $-(3+3+3) = -9$ |
| <b>Probability</b>   | Definite (5)                         |
| <b>Severity</b>  | Moderate (3)                         |
| <b>Significance<br/>(Probability +<br/>Severity +<br/>Extent +<br/>Duration)</b> | High $(5+3+3+3) = 14$                |

**Residual Impact**

**Post-mitigation.** It is expected that the impact of animal genetic resources erosion on communities could be reduced to one of moderate significance for all people if proper strategies and management protocols are followed.

**(f) Revegetation**

This will be the order of the day during the operational phase. This will greatly enhance the revegetation process, while protecting and preserving the environment.

**Assessment of Impact**

The revegetation of the project sites will be of a long-term nature occurring throughout the operation phase. The impact will be site-specific, as it will only affect the footprint of the rehabilitated project areas.

The benefits will be experienced as a positive impact, at the local level, will be long-term, of medium intensity and most likely to occur. The impacts will most likely be highly beneficial – the communities regard this as a major long-term positive change as it will improve their livelihoods. The impacts are therefore of medium significance.

**Table 5-13** Impact of revegetation

| <b>Impact of revegetation</b>                                    |   |
|--|---|
| <b>Project Phase</b>   | Operation                               |
| <b>Type of Impact</b>  | Positive (+), Direct                    |
| <b>Duration</b>  | Permanent (5)                           |
| <b>Extent</b>  | Site (2)                                |
| <b>Intensity</b>   | Medium (3)                              |
| <b>Consequence = +/- (Duration + Extent + Intensity)</b>         | Moderately beneficial $+(5+2+3) = + 10$ |
| <b>Probability</b>   | Most likely (4)                         |
| <b>Severity</b>  | Moderate (3)                            |
| <b>Significance (Probability + Severity + Extent + Duration)</b> | High $(4+3+2+5) = 14$                   |

## 5.5 SOCIAL AND HEALTH IMPACT ANALYSIS

The following is an analysis of the social and health impacts of the DaIMA programme. The list of stakeholders consulted is provided in Annex 7. This section assesses the adverse social impacts identified for the proposed DaIMA programme during the planning, construction and operation phases.

### 5.5.1 PLANNING PHASE

#### a) Limited stakeholder participation

The level of participation of all relevant stakeholders during Programme planning and designing is of paramount importance as a buy-in process. Unclear roles and responsibilities and inadequate information may lead to limited participation of critical Stakeholders.

The beneficiary Communities are not in favour of top-down approaches being imposed on them. Such poor stakeholder participation will result in the lack of ownership of the Programme by the locals, poor participation in Programme implementation and low chances of sustainability of the Programme.

#### Assessment of Impact

The limited stakeholder participation may occur at Programme inception. The intensity of this impact on Programme stakeholders is rated as medium, as the households will be affected by not being consulted properly, and the significance low



**Table 5-14** Impact of limited stakeholder participation

| Impact of limited stakeholder participation                                      |                                      |
|--|--------------------------------------|
| <b>Project Phase</b>   | Planning                             |
|  | Pre-Mitigation Impact                |
| <b>Type of Impact</b>  | Negative (-), Direct                 |
| <b>Duration</b>  | Short-term (1)                       |
| <b>Extent</b>  | Site (2)                             |
| <b>Intensity</b>   | Medium (3)                           |
| <b>Consequence =<br/>+/- (Duration<br/>+ Extent +<br/>Intensity)</b>             | Slightly Detrimental $-(1+2+3) = -6$ |
| <b>Probability</b>   | Possible (2)                         |
| <b>Severity</b>  | Moderate (3)                         |
| <b>Significance<br/>(Probability +<br/>Severity +<br/>Extent +<br/>Duration)</b> | Low $(2+3+2+1) = 8$                  |

**Residual Impact**

**Post-mitigation.** Implementation of the appropriate mitigation measures is expected to reduce the impact of limited stakeholder participation to one of no significance.

**b) Poor programme inception, anxiety and anticipation**

The planning stage brings a lot of anxiety and anticipation. Lack of proper plans of action with timelines and full disclosure create anxiety among stakeholders. They then hold the whole process with suspicion and do not want the planning phase to drag on for too long.

**Assessment of Impact**

Poor Programme inception mostly results in the locals not fully cooperating with the Programme preparation team and not disclosing all the relevant information during consultations. The intensity of a poor programme inception impact on households is rated as medium.

**Table 5-15** Impact of poor programme inception, anxiety and anticipation

| Impact of poor programme inception, anxiety and anticipation |                       |
|--|-----------------------|
| <b>Project Phase</b>   | Planning              |
|  | Pre-Mitigation Impact |
| <b>Type of Impact</b>  | Negative (-), Direct  |
| <b>Duration</b>  | Short-term (1)        |

|  |                                      |
|--|--------------------------------------|
| <b>Extent</b>  | Site (2)                             |
| <b>Intensity</b>   | Medium (3)                           |
| <b>Consequence =<br/>+/- (Duration<br/>+ Extent +<br/>Intensity)</b>             | Slightly Detrimental $-(1+2+3) = -6$ |
| <b>Probability</b>   | Possible (2)                         |
| <b>Severity</b>  | Moderate (3)                         |
| <b>Significance<br/>(Probability +<br/>Severity +<br/>Extent +<br/>Duration)</b> | Low $(2+3+2+1) = 8$                  |

### Residual Impact

**Post-mitigation.** Implementation of the appropriate mitigation measures is expected to reduce the impact of a poor programme inception to one of no significance.

### c) Potential exclusion of indigenous people

In most cases, indigenous people are least able to cope with the effects of negative development impacts due to their socio-economic position in society. Some individuals and groups are more vulnerable than others to the negative consequences of economic, political, and social trends, cyclical changes or 'shocks'. In DaIMA, the exposure of indigenous peoples in the programme area to this risk depends on the extent of their traditional cattle herding. Nonetheless, specific targeted efforts should be made to enhance the participation and access to project benefits for these types of groups of people in the project sites.

### Assessment of Impact

The risk of exclusion will be long term in nature and will occur during the design and implementation phases. The risk will be negative and direct in nature. The impact will be experienced at the community level where indigenous people are usually found. The consequence of the impact is anticipated to be moderately detrimental to the minority groups. The moderately detrimental, definite probability and moderate severity result in this impact being of moderate significance.

**Table 5-16** Impact of potential exclusion of indigenous people

| Impact of potential exclusion of indigenous people |                       |
|--|-----------------------|
| <b>Project Phase</b>                               | Planning              |
|  | Pre-Mitigation Impact |
| <b>Type of Impact</b>                              | Negative (-), Direct  |
| <b>Duration</b>                                    | Long-term (4)         |
| <b>Extent</b>                                      | Site (2)              |

|  |   |
|--|---|
| <b>Intensity</b>   | Medium - high (4)                       |
| <b>Consequence =<br/>+/- (Duration<br/>+ Extent +<br/>Intensity)</b>             | Moderately Detrimental $-(4+2+4) = -10$ |
| <b>Probability</b>   | Possible (2)                            |
| <b>Severity</b>  | Moderate (3)                            |
| <b>Significance<br/>(Probability +<br/>Severity +<br/>Extent +<br/>Duration)</b> | Moderate $(2+3+2+4) = 11$               |

### Residual Impact

**Post-mitigation.** Implementation of the appropriate mitigation measures is expected to reduce the impact of potential exclusion of indigenous peoples to one of low significance.

## 5.5.2 CONSTRUCTION/OPERATIONS PHASE

### a) Occupational health and safety issues

During the construction phase there is potential for injuries to the work force resulting from weak technical capacity and/or negligence in operation of vehicles and machinery. There could also be cases of bronchial diseases from dust, and diseases. The safety of the local population trying to access construction sites may be at risk during the construction period. The operation of various equipment and machinery and the actual construction activities will expose workers to work-related accidents and injuries. Personal Protective Clothing is required at all times during construction and operation of machinery.

### Assessment of impact

Pollutants such as dust and noise could also have negative implications for the health of workers and near-by communities such as bronchial diseases from dust and hearing impairments due to prolonged working under noisy conditions. The impact to the labour force should be eliminated by application of proper protective equipment and adhering to the requirement of Occupational Health and Safety Standards. For the people residing nearest to the project site it is considered to be of moderate severity. The moderately detrimental nature, moderate severity and highly likely probability make this impact of high significance.

**Table 5-17** Impact of occupational health and safety issues

| Impact of occupational health and safety issues |                         |
|---|-------------------------|
| <b>Project Phase</b>                            | Construction/Operations |
|   | Pre-Mitigation Impact   |
| <b>Type of Impact</b>                           | Negative (-), Direct    |
| <b>Duration</b>                                 | Long-term (4)           |
| <b>Extent</b>                                   | Regional (3)            |

|  |   |
|--|---|
| <b>Intensity</b>   | Medium - high (4)                       |
| <b>Consequence =<br/>+/- (Duration<br/>+ Extent +<br/>Intensity)</b>             | Moderately Detrimental $-(4+3+4) = -11$ |
| <b>Probability</b>   | Highly Likely (4)                       |
| <b>Severity</b>  | Moderate (3)                            |
| <b>Significance<br/>(Probability +<br/>Severity +<br/>Extent +<br/>Duration)</b> | High $(4+3+3+4) = 14$                   |

### Residual Impact

**Post-mitigation.** Implementation of the appropriate mitigation measures is expected to reduce the impact of occupational health and safety issues to one of moderate significance.

### b) Gender Based Violence (GBV) and SEAH

There are chances of sexual exploitation (in its various forms) of poor women and young girls by construction workers, Farm management and Programme implementation personnel. If not well controlled, there could be rampant exploitation of women and youths in the project area. Assessment of exposure and appropriate preventive actions must be carried out to avoid gender-based violence at all costs.

### Assessment of the impact

The risk of Gender Based Violence (GBV) and Sexual Exploitation, Abuse and Harassment (SEAH) will be medium to long term in nature and will occur for the duration of Constructions/Operations phases. The risk of GBV will be negative and direct in nature. The impact will be experienced at the activity sites and at the households of Programme beneficiaries. The consequence of the impact is anticipated to be moderately detrimental. The moderately detrimental nature, likely probability and moderate severity result in this impact being of moderate significance.

**Table 5-18** Impact of Gender Based Violence (GBV) and SEAH

| <b>Impact of Gender Based Violence (GBV) and SEAH</b> |                         |
|---|-------------------------|
| <b>Project Phase</b>                                  | Construction/Operations |
|   | Pre-Mitigation Impact   |
| <b>Type of Impact</b>                                 | Negative (-), Direct    |
| <b>Duration</b>                                       | Medium-Long-term (3)    |
| <b>Extent</b>   | Regional (3)            |
| <b>Intensity</b>                                      | Medium - high (4)       |

|  |   |
|--|---|
| <b>Consequence =<br/>+/- (Duration<br/>+ Extent +<br/>Intensity)</b>             | Moderately Detrimental $-(4+3+4) = -11$ |
| <b>Probability</b>   | Likely (3)                              |
| <b>Severity</b>  | Moderate (3)                            |
| <b>Significance<br/>(Probability +<br/>Severity +<br/>Extent +<br/>Duration)</b> | Moderate $(3+3+3+3) = 12$               |

### Residual Impact

**Post-mitigation.** It is expected that the impact of Gender Based Violence (GBV) and SEAH on local communities could be reduced to one of low significance.

### c) Child labour

This involves the engagement of underage children in adult work. The chances are that underage children will be engaged in such work as cattle herding, collection of water for animals, and other farm chores. Due to high poverty levels in the rural areas, school going children quickly graduate to being breadwinners for the family and will be engaged in all sorts of menial jobs at the farms.

### Assessment of the impact

The risk of Child labour will be medium to long term in nature and will occur for the duration of Construction/Operations phases. The risk of Child labour will be negative and direct in nature. The impact will be experienced at the project sites and at the households of Programme beneficiaries. The consequence of the impact is anticipated to be moderately detrimental. The moderately detrimental nature, likely probability and moderate severity result in this impact being of moderate significance.

**Table 5-19** Impact of child labour

| Impact of child labour   |   |
|--|---|
| <b>Project Phase</b>   | Construction/Operations                 |
|  | Pre-Mitigation Impact                   |
| <b>Type of Impact</b>  | Negative (-), Direct                    |
| <b>Duration</b>  | Medium-Long-term (3)                    |
| <b>Extent</b>  | Regional (3)                            |
| <b>Intensity</b>   | Medium - high (4)                       |
| <b>Consequence =<br/>+/- (Duration<br/>+ Extent +<br/>Intensity)</b> | Moderately Detrimental $-(3+3+4) = -10$ |

|  |                         |
|--|-------------------------|
| <b>Probability</b>   | Likely (3)              |
| <b>Severity</b>  | Moderate (3)            |
| <b>Significance<br/>(Probability<br/>+ Severity<br/>+ Extent<br/>+ Duration)</b> | Moderate (3+3+3+3) = 12 |

### Residual Impacts

**Post-mitigation.** It is expected that the impact of child labour on local communities could be reduced to one of low significance.

#### d) Water use conflict over the right of community water sources

During the operation phase the water resources that will be available for communal use may be less than the need of the community especially during dry seasons. Inadequacies in management of such resources like drilled boreholes and mini dams may lead to conflicts over the right to use them. Establishment of effective community organization to equitably administer water among the communities is inevitable under such circumstances.

### Assessment of Impact

The risk of conflicts will be medium to long term in nature and will occur for the duration of the Operations phase. The risk will be negative and direct in nature. The impact will be experienced at those project sites where water demand is higher than the available resource during dry seasons. The consequence of the impact is anticipated to be moderately detrimental. The moderately detrimental nature, likely probability and moderate severity result in this impact being of moderate significance.

**Table 5-20** Impact of water use conflict over the right of community water sources

| <b>Impact of water use conflict over the right of community water sources</b> |   |
|---|---|
| <b>Project Phase</b>  | Construction/Operations                 |
|   | Pre-Mitigation Impact                   |
| <b>Type of Impact</b>   | Negative (-), Direct                    |
| <b>Duration</b>   | Medium-Long-term (3)                    |
| <b>Extent</b>   | Regional (3)                            |
| <b>Intensity</b>  | Medium - high (4)                       |
| <b>Consequence =<br/>+/- (Duration<br/>+ Extent<br/>+ Intensity)</b>          | Moderately Detrimental $-(3+3+4) = -10$ |
| <b>Probability</b>  | Likely (3)                              |
| <b>Severity</b>   | Moderate (3)                            |

|  |                         |
|--|-------------------------|
| <b>Significance</b><br><b>(Probability</b> +<br><b>Severity</b> +<br><b>Extent</b> +<br><b>Duration)</b> | Moderate (3+3+3+3) = 12 |
|--|-------------------------|

### Residual Impacts

**Post-mitigation.** It is expected that the impact of conflicts over water among local communities could be reduced to one of low significance for all people.

### e) Economic opportunities and job creation

Currently there are limited economic opportunities beyond subsistence-based agriculture in the proposed project areas. Communities have expressed high expectations for employment and business opportunities associated with this Project, and they anticipate that these opportunities will bring about improvements to their standards of living.

During the operational phase, there will be several employment opportunities. The work will require both skilled and unskilled labour. It is expected that all the labour will initially be sourced locally in the project areas and only unavailable skilled labour will be sourced from elsewhere.

### Assessment of Impact

The benefits will be experienced as a positive impact, at the local level, will be long-term to permanent, of medium-high intensity and most likely to occur. The impacts will most likely be moderately beneficial – the communities regard this as a major long-term positive change as it will improve their livelihoods. The impacts are therefore of high significance.

**Table 5-21** Economic Opportunities and Improved Livelihoods

| Impact on Economic Opportunities and Improved Livelihoods                        |                                      |
|--|--------------------------------------|
| <b>Project Phase</b>   | Operation                            |
| <b>Type of Impact</b>  | Positive (+), Direct                 |
| <b>Duration</b>  | Long-term- (4)                       |
| <b>Extent</b>  | Regional (3)                         |
| <b>Intensity</b>   | Medium-High (4)                      |
| <b>Consequence =<br/>+/- (Duration<br/>+ Extent +<br/>Intensity)</b>             | Moderately beneficial +(4+3+4) = +11 |
| <b>Probability</b>   | Highly likely (4)                    |
| <b>Severity</b>  | Moderate (3)                         |
| <b>Significance<br/>(Probability +<br/>Severity +<br/>Extent +<br/>Duration)</b> | High (4+3+3+4) = 14                  |

## **5.6 THE ENVIRONMENTAL AND SOCIAL MANAGEMENT PLAN (ESMP)**

This section outlines the Environmental and Social Management Plan (ESMP) for the DaIMA Programme. The ESMP provides guidelines for managing the potential environmental and social aspects of the activities. It also identifies the parties responsible for monitoring actions, activities, and targets. This ESMP is a generic plan for the entire region, with individual countries adopting relevant measures specific to their context.

Mitigation measures have been identified to reduce current and potential impacts associated with the programme activities. These mitigation measures are categorized as either social or physical. Social mitigation includes measures to address impacts such as noise, land use, and other effects on the human environment. Physical mitigation includes measures that address impacts on the physical environment, such as biological communities, vegetation, and air quality.



**Table 5-22** Environmental, Social and Social Management Plan (ESMP)

| No.        | POTENTIAL IMPACTS/ISSUES   | SIGNIFICANCE LEVEL | RECOMMENDED MITIGATION/ENHANCEMENT MEASURES  | RESPONSIBILITY   | CAPACITY BUILDING                                     | RELEVANT STANDARDS | Cost Estimates (\$) |
|------------|--|--------------------|--|--|---|--------------------|---------------------|
| <b>1.0</b> | <b>ENVIRONMENTAL IMPACTS</b>   |                    |  |  |   |                    |                     |
| <b>1.1</b> | <b>CONSTRUCTION PHASE</b>  |                    |  |  |   |                    |                     |
| <b>a)</b>  | <b>Vegetation clearing</b> <ul style="list-style-type: none"> <li>Limited Vegetation clearing may occur during the establishment of the DaIMA Activities as new structures will be erected like vet labs, AI Centres, cowsheds and storage facilities, preparation of farmlands for pastures or fodder seeds.</li> </ul> | Moderate           | <ul style="list-style-type: none"> <li>Contractors should limit vegetation clearing to working areas only, which include areas for foundations for structures, etc.</li> <li>Project activities shall include revegetation and reforestation (e.g., Planting grass, and trees as appropriate) throughout the project area.</li> <li>Environmental and Social Safeguard Specialists to ensure end beneficiaries are assisted to restore habitats where effects have been caused e.g., re-grassing bare areas.</li> <li>The local communities must be assisted to develop Catchment Management plans and implement Sustainable Catchment management.</li> <li>Site clearance is to be minimized as far as possible to reduce the potential impacts.</li> </ul> | Contractors monitored by: <ul style="list-style-type: none"> <li>Country DaIMA PMT.</li> <li>Local Leadership.</li> <li>End Beneficiaries.</li> </ul>  | Environmental awareness training to local communities | IUCN Red List      | 80,000              |
| <b>b)</b>  | <b>Temporary visual intrusions (marred landscape)</b> <ul style="list-style-type: none"> <li>Construction of Vet Labs, AI Centres, semen storage facilities, micro dams or water harvesting tanks and other facilities will change</li> </ul>  | Moderate           | <ul style="list-style-type: none"> <li>Contractors should ensure minimum footprint of construction activities and provide decent accommodation for workers.</li> <li>Contractors to rehabilitate all altered landscapes, i.e., filled and re-grassed.</li> </ul>   | Country DaIMA PMT. With the assistance of: <ul style="list-style-type: none"> <li>Local Leadership</li> <li>Beneficiaries</li> <li>Contractors</li> <li>District Environmental Officers</li> </ul> | None  | None               | Contractors' costs  |

| No. | POTENTIAL IMPACTS/ISSUES   | SIGNIFICANCE LEVEL | RECOMMENDED MITIGATION/ENHANCEMENT MEASURES  | RESPONSIBILITY  | CAPACITY BUILDING | RELEVANT STANDARDS                        | Cost Estimates (\$) |
|-----|--|--------------------|--|---|-------------------|---|---------------------|
|     | the aesthetics of the project areas and will potentially leave marred landscapes impacting on the appearance of the surrounding areas.   |                    |  |   |                   |   |                     |
| c)  | <b>Impacts on soil</b> <ul style="list-style-type: none"> <li>Point source contamination from diesel, lubricants from equipment/trucks etc. around working areas.</li> <li>Increased soil erosion due to vegetation clearing, soil trampling and compaction.</li> <li>Increased rapid runoff due to vegetation clearing and soil compaction diminishing infiltration capacity during construction phase.</li> <li>Deterioration of soil characteristics due to increased erosion.</li> </ul> | Moderate           | <ul style="list-style-type: none"> <li>Contractors to establish appropriate containment measures for all operational areas and proper disposal of used lubricants.</li> <li>At any site, the contractor must institute soil erosion control measures (e.g., re-vegetation, reseeding of grasses, land preparation, terracing, use of gabions, stabilization of banks etc.)</li> <li>Contractors must restore the environment at borrow pits, sand and quarry stone abstraction sites.</li> <li>Contractors must ensure that all bare surfaces are revegetated, and re-grassed.</li> <li>Contractors must minimize vegetation clearing to working areas only.</li> <li>Contractors must install soil erosion control structures like gabions, contour ridges, swells and catch dams at all badly degraded areas.</li> </ul> | Contractors assisted by: <ul style="list-style-type: none"> <li>Country DaIMA PMTs.</li> <li>Local Leadership.</li> <li>Beneficiaries.</li> </ul> | None              | None                                      | Contractors' costs  |
| d)  | <b>Solid waste nuisance</b> <ul style="list-style-type: none"> <li>Excess soil and debris from construction activities may pollute</li> </ul>  | Moderate           | <ul style="list-style-type: none"> <li>Environmental Specialist and Local environmental officers at District level must identify acceptable disposal sites.</li> </ul>   | Local environment officers at district level assisted by  | None              | SECAP Standard 2: Resource efficiency and | Contractors' costs  |

| No. | POTENTIAL IMPACTS/ISSUES   | SIGNIFICANCE LEVEL | RECOMMENDED MITIGATION/ENHANCEMENT MEASURES  | RESPONSIBILITY  | CAPACITY BUILDING | RELEVANT STANDARDS  | Cost Estimates (\$) |
|-----|--|--------------------|--|---|-------------------|---|---------------------|
|     | the environment at the point of disposal.  |                    | <ul style="list-style-type: none"> <li>Contractors must collect all construction debris for proper disposal at designated landfills.</li> </ul>  | <ul style="list-style-type: none"> <li>Country DaIMA PMT Environment and Social Specialist.</li> <li>Local Leadership.</li> <li>Contractors.</li> </ul>   |                   | pollution prevention  |                     |
| e)  | <p><b>Ambient air pollution</b></p> <ul style="list-style-type: none"> <li>Increased dust generation, which causes:</li> <li>Pollution of air.</li> <li>Increases in bronchial disorders.</li> <li>Disturbs to normal developments of vegetation.</li> <li>Acid rain.</li> </ul> | Moderate           | <ul style="list-style-type: none"> <li>Institute dust suppression measures at all construction sites. This must include covering soil mounds and spraying bare areas with water.</li> <li>Minimize site clearance to working areas only to reduce the potential for dust, erosion, and other impacts.</li> <li>Minimize dust during transportation of construction materials by using covers and/or control equipment.</li> <li>Manage and control emissions from vehicles transporting construction material by operating in compliance with relevant vehicle emission standards and regular maintenance to minimize air pollution.</li> <li>Rehabilitate quarry to its original status.</li> <li>Monitor dust levels to maintain the WHO hourly Total Suspended Particulates (TSP) limit of 500 µg/m<sup>3</sup> measured at 25°C and 101.325 kPa (one atmosphere) for construction dust impact assessment.</li> </ul> | <p>Country DaIMA Environment Specialist with the assistance of:</p> <ul style="list-style-type: none"> <li>Local Leadership.</li> <li>Contractors</li> <li>Local Environment Officers at district level.</li> </ul> | None              | WHO hourly Total Suspended Particulates (TSP) limit of 500 µg/m <sup>3</sup> measured at 25°C and 101.325 kPa (one atmosphere). | Contractors' costs  |

| No.   | POTENTIAL IMPACTS/ISSUES   | SIGNIFICANCE LEVEL | RECOMMENDED MITIGATION/ENHANCEMENT MEASURES   | RESPONSIBILITY  | CAPACITY BUILDING                | RELEVANT STANDARDS | Cost Estimates (\$) |
|-------|--|--------------------|---|---|----------------------------------|--------------------|---------------------|
| f)    | <b>Habitat loss and biodiversity disturbances</b> <ul style="list-style-type: none"> <li>The construction of dairy infrastructure is likely to generate significant noise and vibration, which will cause small wildlife to migrate away from project sites. During construction, there may be contamination of rivers and water bodies, resulting in fish kills and destruction of other aquatic life.</li> </ul> | Moderate           | As per Biodiversity Action Plan (see Section 7.2): <ul style="list-style-type: none"> <li>Limit clearance of vegetation within sites designated for construction of infrastructure only.</li> <li>Carry out rapid biodiversity assessment on areas designated for construction and avoid all sites with threatened, vulnerable, or endangered species of flora and fauna.</li> </ul>  | Country DaIMA Environment Specialist with the assistance of: <ul style="list-style-type: none"> <li>Local Leadership.</li> <li>Contractors.</li> <li>Environment Officers at district level.</li> </ul> | None                             | IUCN red list      | Contractors' costs  |
| 1.2   | <b>OPERATION PHASE</b>   |                    |   |   |                                  |                    |                     |
| 1.2.1 | <b>Negative Impacts</b>  |                    |   |   |                                  |                    |                     |
| a)    | <b>Soil erosion</b> <ul style="list-style-type: none"> <li>Loose soil at the sides of construction sites, levelled and steep slopes will be susceptible to erosion, with consequences such as reduced soil quality and lower water-holding</li> </ul>  | Moderate           | <ul style="list-style-type: none"> <li>End-Beneficiaries to revegetate and re-grass all bare surfaces.</li> <li>End-Beneficiaries to minimize vegetation clearing to working areas only – fields under preparation.</li> <li>End-Beneficiaries to install soil erosion control structures like, gabions, contour ridges, swells and catch dams.</li> <li>End-Beneficiaries to establish grassed drainage systems to prevent erosion.</li> </ul> | Country PMTs with the assistance of: <ul style="list-style-type: none"> <li>Local Leadership.</li> <li>Beneficiaries.</li> <li>Local Environment Officers.</li> </ul>                                   | Environmental awareness training | None               | 160,000             |

| No. | POTENTIAL IMPACTS/ISSUES  | SIGNIFICANCE LEVEL | RECOMMENDED MITIGATION/ENHANCEMENT MEASURES   | RESPONSIBILITY   | CAPACITY BUILDING                      | RELEVANT STANDARDS   | Cost Estimates (\$) |
|-----|---|--------------------|---|--|--|--|---------------------|
|     | capacity of eroded soils, disruption of riparian ecosystems and sedimentation leading to reduced water quality.   |                    |   |  |  |  |                     |
| b)  | <b>Solid waste nuisance</b> <ul style="list-style-type: none"> <li>Poor management of cow dung and cow urine especially at zero grazing sites, cow sheds.</li> <li>Littering and indiscriminate dumping.</li> <li>Solid waste can also be hazardous to the aquatic environment if it is washed into watercourses.</li> <li>Deterioration of the aesthetics of the areas.</li> </ul> | Moderate           | <ul style="list-style-type: none"> <li>End-Beneficiaries to collect all solid waste in a systematic manner for disposal at designated landfills.</li> <li>End-Beneficiaries to place waste collection bins at strategic positions throughout the project area.</li> <li>Solid waste should never be burnt on site.</li> <li>End-Beneficiaries to have a solid waste management plan and implement it.</li> <li>End-Beneficiaries to institute proper manure management at zero grazing sites and cowsheds preferably composting it into manure for application in the fields.</li> <li>End-Beneficiaries to institute proper urine management in properly constructed pits which avoids discharge into the environment.</li> <li>End-Beneficiaries to reuse and recycle waste rather than disposing it.</li> <li>Environmental Specialists must monitor any waste accumulations in the project area.</li> <li>End-Beneficiaries may generate biogas from the waste by erecting biogas digesters.</li> </ul> | Country DaIMA PMTs with the assistance of <ul style="list-style-type: none"> <li>Local Leadership.</li> <li>Beneficiaries.</li> <li>Local Environment Officers.</li> <li>Contractors.</li> </ul> | Environmental awareness training       | SECAP Standard 2: Resource efficiency and pollution prevention<br><br>Local Waste Management Standards | 160,000             |
| c)  | <b>Waste generation and biosafety issues</b> <ul style="list-style-type: none"> <li>The AI activities will generate different</li> </ul>  | Moderate           | <ul style="list-style-type: none"> <li>AI Centres to handle all waste streams appropriately, and effluents should be channelled to waste stabilization/treatment ponds.</li> </ul>  | DaIMA PMT. With the assistance of <ul style="list-style-type: none"> <li>Local Leadership.</li> </ul>  | Training on Hazardous Waste Management | SECAP Standard 2: Resource efficiency and  | 80,000              |

| No. | POTENTIAL IMPACTS/ISSUES  | SIGNIFICANCE LEVEL | RECOMMENDED MITIGATION/ENHANCEMENT MEASURES   | RESPONSIBILITY  | CAPACITY BUILDING | RELEVANT STANDARDS  | Cost Estimates (\$) |
|-----|---|--------------------|---|---|-------------------|---|---------------------|
|     | <p>kinds of waste requiring different kinds of handling. The generated effluent has potential to pollute the soil and water resources, but also contaminate gene pools and affect human and animal health.</p> <ul style="list-style-type: none"> <li>• Veterinary labs will handle blood samples, e.g., during disease outbreaks and these have to be disposed of properly.</li> <li>• Photovoltaic systems generate large quantities of e-waste at the end of their useful life.</li> </ul> |                    | <ul style="list-style-type: none"> <li>• AI centres should segregate waste at the source: there is a need for accurate and complete labelling and safe storage, transport, treatment, and disposal of waste. Waste should be segregated, and mixing avoided where possible, as unexpected reactions may occur.</li> <li>• AI centres should minimize waste generation where possible. Waste chemicals and solvents will be stored in suitable areas whilst awaiting collection and must not be accumulated. Regular disposal from the laboratories must be part of the laboratory OHS program.</li> <li>• AI centres should designate a separate residue container for any type of waste which will be generated in large amounts. The container must be leak-proof and there should be no spillage on the exterior of the container.</li> <li>• AI centres should provide Personal Protective Equipment (PPE) for normal laboratory operations and for handling any chemical waste.</li> <li>• All researchers, veterinarians at AI and VET labs should adhere to biosafety regulations.</li> <li>• AI and VET centres should have easily accessible incinerators preferably on site.</li> <li>• The veterinarians should incinerate all blood and other samples especially from disease outbreak surveys.</li> <li>• Each rural organisation to be equipped with a solar system will be trained to establish and operate an equipment maintenance account in a local financial institution, in which regular small contributions will sum up to allow repairs to the systems to be undertaken. This will be an important element of the strategy to reach a long</li> </ul> | <ul style="list-style-type: none"> <li>• Beneficiaries.</li> <li>• Contractors.</li> <li>• Local Environment Officers.</li> </ul> |                   | <p>pollution prevention</p> <p>Local Waste Management Standards</p> |                     |

| No. | POTENTIAL IMPACTS/ISSUES  | SIGNIFICANCE LEVEL | RECOMMENDED MITIGATION/ENHANCEMENT MEASURES  | RESPONSIBILITY  | CAPACITY BUILDING | RELEVANT STANDARDS               | Cost Estimates (\$) |
|-----|---|--------------------|--|---|-------------------|----------------------------------|---------------------|
|     |   |                    | <p>useful life of solar equipment and to avoid electronic waste.</p> <ul style="list-style-type: none"> <li>When a solar system is beyond repair, the rural organisation owning it will have it dismantled and disposed of according to national regulations.</li> </ul> |   |                   |                                  |                     |
| d)  | <p><b>Effluent discharges into natural resources</b></p> <ul style="list-style-type: none"> <li>Most dairy farms and milk processing plants produce liquid effluent in addition to solid waste. These effluents have the potential to pollute natural resources such as rivers, wetlands, and downstream dams.</li> </ul>                                     | High               | <ul style="list-style-type: none"> <li>Installation of appropriate effluent treatment systems and infrastructure and undertake regular maintenance of the same.</li> </ul>   | <p>DaIMA PMT. With the assistance of</p> <ul style="list-style-type: none"> <li>Local Leadership</li> <li>Beneficiaries</li> <li>Contractors</li> <li>Local Environment Officers</li> </ul> | None              | Local Waste Management Standards | Contractors' costs  |
| e)  | <p><b>Loss of diversity in farm animal genetic resources</b></p> <ul style="list-style-type: none"> <li>Reliance on a very limited number of modern breeds suitable for high input/high output dairy production is the main cause of genetic erosion. The global trend towards fewer livestock breeds has been facilitated by biotechnologies that</li> </ul> | High               | <ul style="list-style-type: none"> <li>Adherence to the requirement of the global strategy for management of genetic resources .</li> </ul>  | <p>DaIMA PMT in collaboration with:</p> <ul style="list-style-type: none"> <li>Agricultural and Livestock Research Organizations/ Centers at National Level in each country</li> </ul>      | None              | None                             | 160,000             |

| No.   | POTENTIAL IMPACTS/ISSUES  | SIGNIFICANCE LEVEL | RECOMMENDED MITIGATION/ENHANCEMENT MEASURES  | RESPONSIBILITY   | CAPACITY BUILDING | RELEVANT STANDARDS | Cost Estimates (\$) |
|-------|---|--------------------|--|--|-------------------|--------------------|---------------------|
|       | allow global access to germplasm and the improvement and easy movement of highly selected breeds. The result to date is that a large number of breeds and strains that were highly adapted to very specific environmental and nutritional conditions are now threatened or extinct. |                    |  |  |                   |                    |                     |
| 1.2.2 | <b>Positive Impacts</b>   |                    |  |  |                   |                    |                     |
|       | <b>Revegetation</b> <ul style="list-style-type: none"> <li>The habit of planting grass, trees and revegetation instilled to the communities.</li> </ul>   | High               | <ul style="list-style-type: none"> <li>Country DaIMA PMTs to identify the correct indigenous plants that can thrive in the areas.</li> <li>End Beneficiaries to conduct deliberate exercise to revegetate the project area using trees and other grasses.</li> </ul> | Country DaIMA PMTs Environmental Specialist with the assistance of: <ul style="list-style-type: none"> <li>Local Environment Officers at district level</li> </ul> | None              | None               | 160,000             |
| 2.0   | <b>SOCIAL AND HEALTH IMPACTS</b>  |                    |  |  |                   |                    |                     |
| 2.1   | <b>PLANNING PHASE</b>   |                    |  |  |                   |                    |                     |



| No. | POTENTIAL IMPACTS/ISSUES   | SIGNIFICANCE LEVEL | RECOMMENDED MITIGATION/ENHANCEMENT MEASURES   | RESPONSIBILITY   | CAPACITY BUILDING                              | RELEVANT STANDARDS                  | Cost Estimates (\$) |
|-----|--|--------------------|---|--|--|-------------------------------------|---------------------|
| a)  | <b>Limited stakeholder participation</b> <ul style="list-style-type: none"> <li>Low chances of success and sustainability.</li> <li>Failure to take up ownership of the project.</li> </ul>  | Low                | <ul style="list-style-type: none"> <li>Conduct a comprehensive participatory stakeholder mapping exercise including roles and responsibilities.</li> <li>Timeous dissemination of information.</li> <li>Always target buy-in at decision making level.</li> <li>Stakeholders are continuously appraised of the project progress.</li> <li>Assistance is provided to affected people to improve, or at least restore incomes and living standards to at least the equivalent level prior to project implementation, if not better.</li> <li>Affected persons should be consulted on decisions that affect their livelihoods and well-being and shall be fully informed of their options and the compensation rates.</li> <li>Grievance redress mechanisms are developed and accessible.</li> </ul> | DaIMA PMT with the assistance of: <ul style="list-style-type: none"> <li>Local Leadership.</li> <li>Beneficiaries.</li> <li>Environment Officers at District level.</li> </ul> | Training for Country Programme Management Team | None                                | 80,000              |
| b)  | <b>Poor project inception, anxiety and anticipation</b> <ul style="list-style-type: none"> <li>Anxiety and anticipation.</li> <li>Limited cooperation.</li> <li>Suspicion and hence concealing the importance of information.</li> </ul> | Low                | <ul style="list-style-type: none"> <li>Efforts must be made to stick to agreed timelines.</li> <li>Transparency and full disclosure of key elements of the project.</li> <li>Production of a proper plan of action with timelines.</li> <li>Presenting full disclosure of project decisions and actions to all concerned stakeholders.</li> <li>The planning phase should not drag for far too long as people tend to lose despair.</li> </ul>  | DaIMA PMT with the assistance of: <ul style="list-style-type: none"> <li>Local Leadership.</li> <li>Local Environment Officers.</li> </ul>                                     | None   | None                                | 80,000              |
| c)  | <b>Potential exclusion of indigenous people</b> <ul style="list-style-type: none"> <li>In most cases, indigenous peoples</li> </ul>  | Moderate           | <ul style="list-style-type: none"> <li>Implement actions stated in the Indigenous People Plan.</li> </ul>   | DaIMA PMT with the assistance of: <ul style="list-style-type: none"> <li>Local Leadership</li> </ul>   | None   | SECAP Standard 4: Indigenous People | 80,000              |

| No.          | POTENTIAL IMPACTS/ISSUES   | SIGNIFICANCE LEVEL | RECOMMENDED MITIGATION/ENHANCEMENT MEASURES   | RESPONSIBILITY   | CAPACITY BUILDING | RELEVANT STANDARDS                              | Cost Estimates (\$) |
|--------------|--|--------------------|---|--|-------------------|---|---------------------|
|              | are least able to cope with the effects of negative development impacts due to their socio-economic position in society. Some individuals and groups are more vulnerable than others to the negative consequences of economic, political, and social trends, cyclical changes or 'shocks'. |                    | <ul style="list-style-type: none"> <li>Special efforts should be made to increase participation and access to project benefits for these groups in project areas.</li> </ul>  |  |                   |   |                     |
| <b>2.2</b>   | <b>CONSTRUCTION/OPERATIONS PHASE</b>   |                    |   |  |                   |   |                     |
| <b>2.2.1</b> | <b>Negative impacts</b>  |                    |   |  |                   |   |                     |
| <b>a)</b>    | <b>Occupational health and safety Issues</b> <ul style="list-style-type: none"> <li>Temporary and permanent physical injuries.</li> <li>Bronchial diseases from dust.</li> <li>Diseases and illness from agricultural activities etc.).</li> <li>Loss of life.</li> </ul>                  | High               | <ul style="list-style-type: none"> <li>Health/Safety/Environment officers should be present during construction.</li> <li>All safety precautions must be enforced.</li> <li>Provide PPEs to all workers.</li> <li>Institute dust and noise suppression measures.</li> <li>Prepare a Contractor's Health, Safety and Environment Management Plan (HSE-MP) as per the guidelines for construction Contractors annexed in the ESMF).</li> <li>Ensure safe work practices and guidelines and adhere to safe work practices/procedures.</li> </ul> | Contractors,<br>DaIMA PMT <ul style="list-style-type: none"> <li>Local Leadership.</li> <li>Local Environment Officers.</li> </ul> | None              | SECAP Standard 5: Labour and working conditions | Contractors' Cost   |

| No. | POTENTIAL IMPACTS/ISSUES | SIGNIFICANCE LEVEL | RECOMMENDED MITIGATION/ENHANCEMENT MEASURES   | RESPONSIBILITY | CAPACITY BUILDING | RELEVANT STANDARDS | Cost Estimates (\$) |
|-----|--------------------------|--------------------|---|----------------|-------------------|--------------------|---------------------|
|     |                          |                    | <ul style="list-style-type: none"> <li>● New workers must be provided with induction training/awareness on health and safety features and procedures of the site. In addition, workers must also receive toolbox &amp; briefings when they move to new sites.</li> <li>● Conduct training on how to prevent and manage incidences. This will involve proper handling of electricity, water, machinery etc. and on various modes of escape, conduct and responsibility during such incidences. All workers must fully be aware and mentally prepared for potential emergencies.</li> <li>● Use signage to warn staff and/or visitors in the construction activities of dangerous places and activities.</li> <li>● Clear marking of work site hazards and training in recognition of hazard symbols,</li> <li>● Strict instructions on safety must be given for drivers of heavy equipment to avoid accidents.</li> <li>● Supervision of works must be done regularly to ensure that safety conditions are met while any deviation from safety regulations is immediately reclaimed following the best practices of work safety.</li> <li>● Develop evacuation procedures to handle emergency situations.</li> <li>● Provide adequate OHS protective gear (PPEs) to construction workers, such as hearing protection; safety glasses, gloves; use body overall to protect against dust, vapours, splashes; use safety shoes and hard helmets to prevent injuries from falls and overhead material drop.</li> </ul> |                |                   |                    |                     |

| No. | POTENTIAL IMPACTS/ISSUES   | SIGNIFICANCE LEVEL | RECOMMENDED MITIGATION/ENHANCEMENT MEASURES  | RESPONSIBILITY   | CAPACITY BUILDING  | RELEVANT STANDARDS                              | Cost Estimates (\$) |
|-----|--|--------------------|--|--|--|---|---------------------|
|     |  |                    | <ul style="list-style-type: none"> <li>● Avail or provide a full first aid kit at the construction sites.</li> <li>● Fence the construction or hazard sites to restrict entry of unauthorized persons.</li> </ul>  |  |  |   |                     |
| b)  | <b>Gender-Based Violence (GBV) and SEAH</b> <ul style="list-style-type: none"> <li>● Physical bodily harm.</li> <li>● Lack of productivity.</li> <li>● Communicable disease incidences.</li> </ul> | Moderate           | <ul style="list-style-type: none"> <li>● Zero tolerance to gender-based violence and SEAH.</li> <li>● Instituting a Gender sensitive training and employment system for all implementing entities.</li> <li>● Ensure SEAH Policy is implemented at all levels involved in the programme.</li> <li>● Assign women in works that do not affect their biological condition.</li> <li>● Ensure that women and construction workers do not encounter any type of GBV and sexual exploitation, abuse and harassment through extending monitoring activities and system of the institution to cover construction workers.</li> <li>● Ensure the safety and security of women workers and protect them from GBV and sexual harassment in the workplace by establishing a standard code of conduct that will be produced by the contractor and signed by all workers.</li> <li>● Incorporate administrative and legal measures against those workers who commit GBV and sexual harassment.</li> </ul> | DaIMA PMT with the assistance of: <ul style="list-style-type: none"> <li>● Local Leadership.</li> <li>● Local Environment Officers.</li> </ul> | Gender Sensitization Training targeting leaders at workplaces      | SECAP Standard 5: Labour and working conditions | 160,000             |
| c)  | <b>Child labour</b> <ul style="list-style-type: none"> <li>● Underage children are likely to be engaged in work such as herding, fetching water for</li> </ul>                                     | Moderate           | <ul style="list-style-type: none"> <li>● Targeted awareness-raising campaigns, especially for those who are most at risk of becoming victims of child forced labour and inform them about how to protect themselves against fraudulent or abusive recruitment and employment practices.</li> </ul>   | DaIMA PMT with the assistance of: <ul style="list-style-type: none"> <li>● Local Leadership.</li> </ul>  | Sensitization on the applicable laws and international conventions | SECAP Standard 5: Labour and working conditions | 160,000             |

| No. | POTENTIAL IMPACTS/ISSUES   | SIGNIFICANCE LEVEL | RECOMMENDED MITIGATION/ENHANCEMENT MEASURES  | RESPONSIBILITY  | CAPACITY BUILDING  | RELEVANT STANDARDS | Cost Estimates (\$) |
|-----|--|--------------------|--|---|--|--------------------|---------------------|
|     | animals and other farm work. Due to the high level of poverty in rural areas, children who attend school are soon the breadwinners for the family and are employed in all sorts of menial jobs on farms.   |                    | <ul style="list-style-type: none"> <li>Targeted awareness-raising campaigns regarding sanctions for violating the prohibition on child forced labour.</li> </ul>   | <ul style="list-style-type: none"> <li>Local Environment Officers.</li> <li>Department of child welfare.</li> </ul>                               |  |                    |                     |
| d)  | <p><b>Water use conflict over the right of community water sources</b></p> <ul style="list-style-type: none"> <li>During the operational phase, the water resources available for community use may be less than the community's needs, especially during the dry season. Inadequate management of such resources, such as boreholes and mini-dams, can lead to conflicts over the right to use them.</li> </ul> | Moderate           | <ul style="list-style-type: none"> <li>Establish effective community organization to equitably administer water among the communities.</li> <li>Carry out assessment study on water demand and availability of the project area under consideration.</li> <li>Carry out community consultations to reach consensus.</li> <li>Consider alternative sites when constructing new micro dams and reservoirs.</li> <li>Give priority to upgrading and renovating existing water supply systems instead of constructing new ones.</li> <li>Ensure full participation of all water uses for the purpose of water supply: livestock during the planning of micro-dams,</li> <li>Provide/ensure alternate facilities for domestic water supply</li> </ul> | <p>DaIMA PMT with the assistance of:</p> <ul style="list-style-type: none"> <li>Local Leadership.</li> <li>Local Environment Officers.</li> </ul> | Training and facilitation session on formation of groups | None               | 160,000             |

| No.   | POTENTIAL IMPACTS/ISSUES   | SIGNIFICANCE LEVEL | RECOMMENDED MITIGATION/ENHANCEMENT MEASURES  | RESPONSIBILITY   | CAPACITY BUILDING | RELEVANT STANDARDS | Cost Estimates (\$) |
|-------|--|--------------------|--|--|-------------------|--------------------|---------------------|
| 2.2.2 | <b>Positive impacts</b>  |                    |  |  |                   |                    |                     |
| e)    | <b>Economic opportunities and job creation</b> <ul style="list-style-type: none"> <li>Improvement on their income generation.</li> <li>Improvement of livelihoods</li> <li>maintained land output gain.</li> <li>capacitation on entrepreneurial skills</li> </ul> | High               | <ul style="list-style-type: none"> <li>Set up favourable partnership agreements.</li> <li>Meet all promises.</li> <li>Endeavour for a win-win situation</li> </ul> | DaIMA PMT with the assistance of: <ul style="list-style-type: none"> <li>Local Leadership.</li> <li>Local Environment Officers at district level.</li> </ul> | None              | None               | None                |
|       | <b>TOTAL</b>   |                    |  |  |                   |                    | <b>1,360,000</b>    |

## **6. DETAILED MITIGATION ACTIONS**

### **6.1 INTRODUCTION**

The following is an outline of some of the mitigation approaches that will be employed in the course of implementing DaIMA.

### **6.2 BIODIVERSITY ACTION PLAN.**

The construction of structures such as rainwater harvesting tanks, cowsheds for smallholder dairy farmers, milk collection points, and the establishment of pasture and fodder farms in rural areas is likely to cause loss of biodiversity at specific locations during the implementation of the DaIMA programme. It is difficult to determine the magnitude of this environmental impact at this stage, in terms of the size of land that will be cleared and the types of flora and fauna species that will be affected, as the exact locations and sizes of the land involved are not yet known. Therefore, a generic biodiversity action plan will suffice to guide the implementation of the DaIMA programme, adhering to the precautionary principle, which calls for addressing adverse environmental risks and impacts even in the absence of full scientific certainty. A detailed biodiversity action plan, including specific information on location, size, types of species under threat, and relevant mitigation measures, will be prepared prior to the commencement of activities.

The biodiversity impacts and management action plan outlined below aims to provide guidance for preparing specific plans based on the aspects to be considered and the sensitivity of locations where activities will be undertaken.

**Table 6-1** General mitigation measures & management actions

| ASPECT                           | LOCATION                           | RECOMMENDED MITIGATION ACTION  | RESPONSIBLE PARTY                         | MODE OF VERIFICATION   |
|----------------------------------|------------------------------------|--|---|--|
| Checks at planning stage         | Land located in sensitive habitats | <p>Before commencement of vegetation stripping biodiversity specialists will conduct pre-clearance checks, to help avoid accidental injury or death to sensitive species such as ground nesting birds, reptiles, amphibians and bats. Checks will include within hollow trees and other places of shelter.</p> <p>The biodiversity specialists will prepare a weekly monitoring report and hazard map showing sensitive locations. This will be shared with workers in an appropriate manner (e.g. toolbox talks) so that sensitive areas can be avoided, or bespoke mitigation implemented.</p> | Programme management team at each country | Biological resources, field assessment report, monitoring report, maps |
| Training during land preparation | All project sites                  | <p>Construction workers will be made aware of the ecological sensitivities of the areas they will be working in and will be trained on mitigation measures necessary for unforeseen events, including the presence of uncommon habitats and species. Health and safety recommendations regarding poisonous or otherwise dangerous plants or animals will also be provided. Emergency numbers will be provided for ecologists should protected species be found at sites in the absence of site supervision.</p>  | Programme management team at each country | Field verification, monitoring reports                                 |



| ASPECT                            | LOCATION                   | RECOMMENDED MITIGATION ACTION  | RESPONSIBLE PARTY                         | MODE OF VERIFICATION   |
|-----------------------------------|----------------------------|--|---|--|
| Services of the specialist        | Forests, riparian habitats | <p>Where works in forests, riparian habitats or in water catchments are unavoidable, at least one biodiversity specialists should be deployed to work with the workforce during clearance to identify sensitive habitats and species present on site, in particular nests with eggs/chicks, dens, burrows, hibernacula, and other places of shelter to prevent direct mortality.</p> <p>Active bird nests will not be damaged. As far as possible tree and scrub clearance will not be undertaken during the breeding bird season. Should clearance during this time be necessary a preclearance nesting bird check of the vegetation to be cleared will be undertaken by the biodiversity specialists and a decision on whether to move the nest or defer the clearance will be made by the biodiversity specialists.</p> | Programme management team at each country | Taxonomy reports, field verification, monitoring reports, photographic records.            |
| Translocation                     | All project sites          | Potential habitats for translocation will be identified in close proximity to project footprint (but outside of the works corridor) if required. Translocation location will vary depending on the species but should be located according to target habitat.  | Programme management team at each country | Taxonomy reports, field verification, monitoring reports, photographic records.            |
| Tree conservation                 | All project sites          | Wherever possible the felling of significant/mature trees will be avoided and connectivity between areas of forest habitats will be maintained. No trees over 100 mm in diameter will be felled without a pre-felling check by a biodiversity specialist.  | Programme management team at each country | Biological resources report, field verification, monitoring reports, photographic records. |
| Monitoring and management regimes | All project sites          | Restored or reclaimed areas will be monitored. The success of ecological restoration measures will be observed for a minimum of 3  | Programme management team at each country | Field verification, monitoring reports, photographic records.                              |

| ASPECT                              | LOCATION          | RECOMMENDED<br>MITIGATION ACTION  | RESPONSIBLE<br>PARTY                      | MODE OF<br>VERIFICATION                                      |
|-------------------------------------|-------------------|---|---|--|
|                                     |                   | years so as to validate the effectiveness of the mitigations adopted; however, 5 years monitoring is recommended. |   |  |
| Animal passages/<br>or<br>corridors | All project sites | Maintain vegetated buffers wherever possible along known animal travel corridors (i.e., watercourses)             | Programme management team at each country | Field verification, monitoring reports, photographic records |

### **6.3 EMERGENCY PREPAREDNESS AND RESPONSE PROCEDURE**

Pursuant to ensuring the health and safety of all Programme participants DaIMA will adhere to an emergency preparedness and response procedure to manage and respond to incidents, accidents, and emergencies.

All participating governments, agents and beneficiaries will be capacitated and have a system in place to respond to accidental and emergency situations in their own operations. DaIMA PMUs should be able to monitor the participating agents including the beneficiaries' risks for emergencies and respond and report appropriately. This includes delegation of roles and responsibilities for the assessment of risks to life, property, and environment (including roles within the community where applicable) and plans and communication protocols for specific emergencies. DaIMA's Programme-level Emergency Preparedness Response Procedure is outlined in Annex 5 and can be adapted as appropriate by the rest of the participants in the case that they do not have a procedure in place.

### **6.4 SERIOUS ACCIDENT AND INCIDENT REPORTING**

Serious accidents or incidents are those which:

- Have, or are likely to have a material adverse effect on people or the environment,
- Have, or are likely to be categorised as a severe human rights impact,
- Have attracted or are likely to attract substantial adverse attention from third parties,
- May lead to adverse media coverage or
- Gives, or has the potential to give rise to material legal or financial liabilities and reputational risks.

A serious accident or incident may relate to the environment, human rights, labour, the community, security, or health and safety. DaIMA will and all its partners will promptly notify IFAD/GCF of any serious accidents or incidents associated with activities.

The Serious Accident and Incident Reporting Procedure (see Annex 6) outlines the specific processes required to report the incident for DaIMA to investigate the incident, and for DaIMA and the relevant parties to develop and report on corrective measures to prevent a future incident from occurring.

A Serious Accident and Incident report may be received via the Programme's GRM in which case it will be categorised and escalated by the responsible personnel to the Serious Accident and Incident Reporting Procedure (see Annex 6).

## **7. INSTITUTIONAL ARRANGEMENTS AND CAPACITY BUILDING**

### **7.1 INTRODUCTION**

This chapter focuses on the proposed institutional arrangement for implementation of the DaIMA Programme in the East African Region. As the Accredited Entity (AE) for the Programme, IFAD is responsible for its overall management, which includes Programme appraisal, administrative and technical oversight, fund management, quality monitoring, and reporting to the GCF, resulting in the Programme completion and final evaluation. This role extends to IFAD's various offices, including its headquarters in Rome and regional office in Nairobi, as well as its country offices in Kenya, Rwanda, Tanzania, and Uganda.

Having a regional scope, two aspects of the programme implementation arrangement have been laid out i.e. Governance and Coordination. Also, the chapter sheds light on issues of capacity building in the course of the Programme implementation.

### **7.2 PROGRAMME GOVERNANCE AT REGIONAL LEVEL**

The Programme's approaches, actions, modes of organisation and implementation will apply a general principle of subsidiarity in decision-making processes, with delegation of implementation to direct users and institutions when possible. A Regional Steering Committee (RSC) will be constituted by Permanent Secretaries from the Ministries responsible for livestock in each country. The livestock expert for East African Community (EAC) may constitute the RSC since it is a regional Programme. The RSC meeting shall be conducted on a six-monthly basis and on rotation each country hosting it once every two years. The RSC will specifically oversee the progress realized of regional aspects of the Programme and that regional added value is achieved.

### **7.3 PROGRAMME GOVERNANCE AT NATIONAL LEVEL**

In each country, a national Programme Steering Committee (PSC) will be established. The role of the PSCs will be to: (i) provide overall guidance and direction to the Programme, ensuring it remains within any specified constraints; (ii) address Programme issues as raised by the national Programme coordinator; (iii) monitor Programme risks and the effectiveness of mitigation measures, and provide guidance on new Programme risks, and agree on possible countermeasures and management actions to address specific risks; (iv) review the Programme progress and effectiveness, and provide direction and recommendations to ensure that the agreed deliverables are produced satisfactorily according to plans; (v) review and agree with annual work plan and budget (AWPB) and provide necessary strategic guidance for its implementation; (vi) appraise the annual Programme implementation report, including the quality assessment rating report; (vii) make recommendations for subsequent work plans to build on achievements and address any shortcomings; (viii) provide ad hoc direction and advice for exceptional situations when the Programme coordinator's tolerances are exceeded, (ix) identify lessons learned and good practices. In each country, the PSCs will be expected to meet formally at least once every 12 months. Formal meetings will be scheduled and arranged by the National Programme Coordinator in consultation with, and at the request of PSC members (with tentative dates for the following meeting being agreed under Any Other Business). Extraordinary meetings of the PSC can be requested by any of its members. Detailed membership at country level is presented below.

In Kenya, an Inter-Ministerial/Agency PSC under the leadership of the Permanent Secretary (PS), the State Department for Livestock (SDLD) to provide overall policy guidance to implementation. The other members of the PSC will be drawn from National Treasury and Economic Planning; State Department for Cooperatives; State Department of Micro, Small and Medium Enterprises (MSME) Development; State Department for

Environment and Climate Change; the Kenya Dairy Board (KDB); the Kenya Agricultural and Livestock Research Organization (KALRO), and the Council of Governors. The main responsibility of the PSC will be to ensure successful implementation of the Programme.

In Rwanda, the PSC will be chaired by the PS of the Ministry of Agriculture and Animal Resources (MINAGRI), co-chaired by the Director General of Rwanda Agriculture Board (RAB). The same PSC as RDDP-2 will be used. The Programme will add additional members (e.g. Meteorology services, Ministry of Environment, Ministry of Infrastructure, REMA, private sector, civil society) to the RDDP-2 PSC.

In Tanzania, a PSC will add additional members (e.g. Meteor Service, private sector, civil society) to the C-SDTP PSC and PSC will oversee and guide its implementation. The PSC will be chaired by Permanent Secretary MLF, and Co-chaired by the Principal Secretary, MAINL, Zanzibar. It will be chaired by the Permanent Secretary MLF, co-chaired by PS – MAINL and will be composed by the Permanent Secretaries of the ministries finance and planning, Vice President's Office (VPO) and President Office-Regional Administration and Local Government (TAMISEMI) for mainland; and First Vice President Office in Zanzibar (VP1), Ministry of Finance and Planning President's Office for Zanzibar, as well as representatives from the private sector and farmers' organizations.

In Uganda, the Government will setup a PSC that will be co-chaired by the Permanent Secretary (PS) of the Ministry of Agriculture, Animal Industries and Fisheries (MAAIF), which is the lead EE, and Ministry of Finance, Planning and Economic Development (MoFPED), the GCF National Designated Authority (NDA). The PSC will comprise of the Director of Animal Resources (DAR), Executive Directors of MAAIF Agencies (DDA, NAGRIC & DB and NARO); Director responsible for climate change from the Ministry of Water and Environment, Ministry of Energy and Mineral Development, Ministry of Local Government (MoLG) and the Uganda National Meteorological Agency (UNMA)

### **7.3.1 National Executing Entities**

In Uganda, the Programme will be executed by two Executing Entities (EE). MAAIF will be the lead agency for Components 1 and 2. A specialized entity (TBD) in charge of Component 3 (Green Dairy Financing Facility) in a co-execution modality to deliver the Programme activities funded by the GCF proceeds.

In Kenya, Components 1 and 2 of the Programme will be executed by the Ministry of Agriculture and Livestock Development (MoALD) (lead agency) and the KDB. A specialized entity in charge of Component 3 (Green Dairy Financing Facility) in a co-execution modality to deliver the Programme activities funded by the GCF proceeds.

In the United Republic of Tanzania, the three EEs will be (i) the Ministry of Livestock and Fisheries (MLF), (ii) the Vice President Office (VPO), Climate Change Adaptation and Mitigation (CCM&A). A specialized entity (TBD) in charge of Component 3 (Green Dairy Financing Facility) in a co-execution modality to deliver the Programme activities funded by the GCF proceeds.

In Rwanda, Components 1 and 2 of the Programme will be placed under the RAB, within the MINAGRI. A specialized entity (TBD) in charge of Component 3 (Green Dairy Financing Facility) in a co-execution modality to deliver the Programme activities funded by the GCF proceeds.

## **7.4 PROGRAMME COORDINATION AND MANAGEMENT**

In each of the four countries, the Programme will be managed by a national Programme Coordination Unit (or equivalent, see below). These units will be responsible for overall coordination and day-to-day management of the Programme. Specifically, the units' responsibilities will include: (i) the development of annual work plans and budgets

(AWPB); (ii) the coordination of the implementation of Programme activities among Executing Entities (EE) and implementing agencies and partners; (iii) the development of operational strategies and establishment of effective tools (e.g. MIS systems) for Programme implementation, (iv) the fiduciary management of the Programme; (v) the mobilization, contracting and coordination of implementation partners, (vi) the monitoring, evaluation, knowledge management and learning (M&E KML) - including dissemination of lessons learned and good practices and providing guidance for effective Programme implementation, (vii) management of the environmental and social management framework (ESMF), (viii) the procurement of goods and services, (ix) the communication and visibility of the Programme.

In Kenya, at national level, a Programme Coordination Unit (PCU) will be established within the State Department of Livestock Development (SDLD) in MoALD. At the County level, a County Programme Coordination Committee (CPCC) will be established. Additionally, a County Programme Implementation Team (CPIT) will be established with the responsibility of implementation within each County as per the established MoUs with the national PCU. At the sub-county level, a Sub-County Programme Implementation Team (SCPIT) comprising sub-county officers from relevant departments as outlined for the CPIT will be established to coordinate implementation of activities at the sub-county.

In Uganda, the lead EE (MAAIF) will set up the Programme Management Unit (PMU). The PMU – which will be shared with the IFAD-funded ReLIV Project - will consist of a qualified Programme manager, technical, procurement, and financial accounting staff to be competitively filled. At district level, a District Coordination and Implementation Unit (DCIU) will be formed and chaired by the Chief Administrative Officer (CAO). Members will include relevant Departments such as Production and Marketing, Veterinary, Environment, the Department responsible for gender, youth and social development, representatives of farmers' organization, the private sector and NGOs.

In Rwanda, the Programme is implemented through the Single Programme Implementation Unit (SPIU/RAB) under the authority of the Rwanda Agricultural Board (RAB). The SPIU will leverage its long-standing experience with IFAD. At local level, the Programme will create partnerships with the Local Government Authorities (LGA) in each targeted District, building on the existing networks established through the ongoing projects RDDP and the Project for Inclusive Small Livestock Markets (PRISM).

In Tanzania, the Programme is an integral part of the Climate smart Smallholder Dairy Transformation Project (C-SDTP). The C-SDTP will be placed under the Ministry of Livestock and Fisheries (MLF) as lead agency. A Programme Management Unit (PMU) will be established and will comprise staff under the authority of a National Coordinator, all competitively selected. At the District level, the Programme will adhere to the existing ASDP II structures by working with the District Facilitation team. The activities will be carried out by implementing partners contracted by the PMU.

## **7.5 IMPLEMENTING AGENTS**

Access to financial services by smallholders in the dairy sector will be from local commercial banks or microfinance institutions (MFIs). The Green Dairy Financing Facility (the "Facility") in the DaIMA Programme would utilise concessional capital through an investment facility aimed at scaling up private investment in larger value chain agribusinesses.

During implementation of the Programme, in addition to the above EE, the Programme will engage relevant and specialized government agencies, academia and research institutions. Several partners (NGOs/ non-profit organizations, service providers, private sector, International Livestock Research Institute - ILRI, FAO, and other international development organizations etc.) will also be engaged in the Programme either to ensure complementarity with their activities and/or delivery of goods works and Services. The

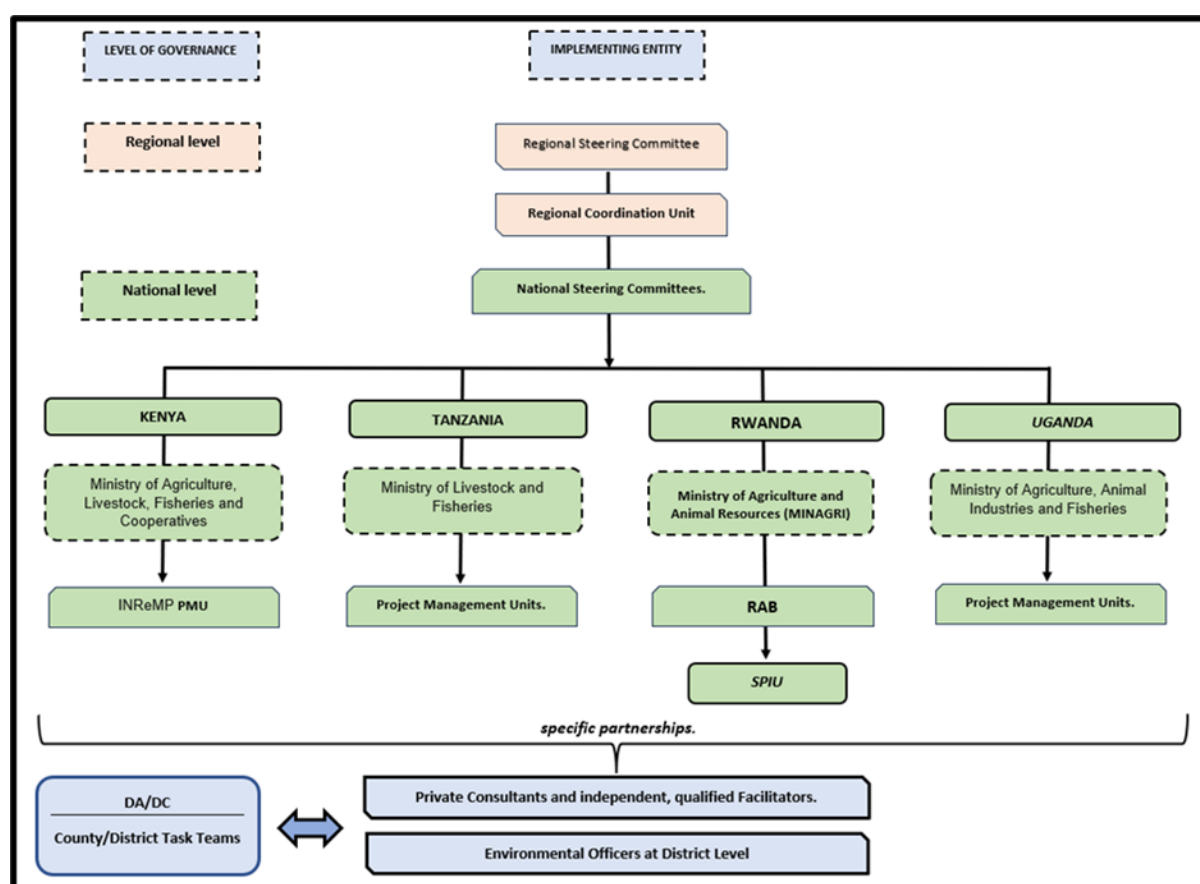
Programme coordination units described above will enter into Memorandum of Understanding (MoUs) and/or subsidiary agreements with the implementing partners for implementation of respective activities. Details are provided below for each of the countries.

In Kenya, implementation will be supported by the Kenya Dairy Board (KDB), the Kenya Agricultural and Livestock Research Organization (KALRO), the Kenya Animal Genetic Resources Centre (KAGRC), amongst others.

In Uganda, implementation will be supported by the Dairy Development Authority (DDA), the National Animal Genetic Resources Centre and Data Bank (NAGRC&DB), National Research Organization (NARO), Ministry of Local Government (MoLG), Universities (e.g. Makerere University), local private sector and NGOs.

In Rwanda, implementation will be supported by the Rwanda Agriculture and Animal Resources Board (RAB), the Rwanda National Dairy Platform (RNDP), the Rwanda Environment Management Authority (REMA), the Rwanda Council of Veterinary Doctors (RCVD), the Ministry of Environment (MoE), the University of Rwanda; Faculty of Veterinary Medicine and Animal Sciences (UR-CAVM), amongst others.

In Tanzania, implementation will be supported by the Tanzania Dairy Board (TDB), the Tanzania Livestock Research Institute (TALIRI), the President Office, Regional Administration and Local Government (PO-RALG), Ministry of Lands, National Land Use commission (MoL NLUC), the Ministry of Water (MoW), the Ministry of Community Development, Gender and Special Groups (MCDGC), NGOs, Academia (Sokoine University of Agriculture – SUA), Livestock Training Agency (LITA).



**Figure 7-1** Programme Implementation arrangements

## **7.6 END BENEFICIARIES**

The Programme aims to directly benefit 590,000 dairy farmers and dairy value chain actors. The Programme aims to reduce milk emission intensities by 23 percent in Kenya, 47 percent in Rwanda, 26 percent in Tanzania and 28 percent in Uganda. In addition, the Programme is expected to significantly increase milk production in the region: a 31 percent increase in Kenya, 72 percent in Rwanda, 28 percent in Tanzania, and 30 percent in Uganda by 2050. This increase in milk production will notably contribute to the growth of agricultural GDP in these four countries, marking a substantial impact on the economy and climate resilience of the region.

## **7.7 CAPACITY BUILDING AND TRAINING**

The successful implementation and monitoring of the Environmental and Social Management Framework along with its environmental and social management plans (ESMPs) will require that delivery organisations (e.g., contractors, NGOs) and stakeholders who play a role in its implementation be provided with appropriate training and awareness.

There exists some level of capacity within implementing entities to implement environmental and social requirements necessary to manage the potential environmental and social risks and impacts resulting from the proposed activities and sub-activities. However, some capacity gaps have been identified that need training and sensitization to be able to achieve the desired level of achievement in the implementation of the ESMF.

### **7.7.1 Training Requirement**

The DaMA Programme activities will be numerous and challenging. Successful implementation of the programme activities will require dynamic and multi-disciplinary professionals. Therefore, regular short and tailor-made training courses and seminars will be required to reinforce the capacity and skills of the stakeholders and dairy farmers during the entire project period.

### **7.7.2 Capacity building needs for DaIMA Partners**

The key experts from the DaIMA implementation partners are highly skilled in the relevant fields for which they are responsible. However, there are some areas in Environmental, social and climate aspects for which they will need some training and sensitisation in order to improve effectiveness in the implementation of the programme. They will need to be sensitised on the specific requirements of the project, including IFAD's SECAP, 2021, and Disclosure Policies for IFAD as well as on the findings and recommendations of the ESMF. This will be geared at bringing them to the same level of understanding as Country programme Management Teams so that they can offer their services from an informed position.

#### **7.7.2.1 Capacity Building needs for Country Programme Management Teams**

The Programme Management Teams at Country level will be responsible for the day-to-day environmental, social and climate interactions on the ground and how existing management actions are being implemented. It is therefore important that the capacity within country PMT be strengthened in order to ensure that adequate staff are available for the sustainable implementation of the various project activities from an environmental and social perspective, also taking into consideration any climate related issues that may arise from time to time in the different locations for activities.

#### **7.7.2.2 Capacity Building needs for beneficiary communities**

The training needs for the beneficiary communities have been identified and leaders will need to be trained to prepare and capacitate them for sustainable implementation of the activities that they will be engaged with. The training will target the dairy farmers



associations as well as the management structures for each benefiting group of dairy farmers, depending on the stage at which the activities are at.

#### **7.7.2.3 Training of all farmers on watershed management issues**

Every dairy farmer is key in ensuring compliance with the ESMPs that have been developed by this ESMF process. Therefore, it will be important for them to have a good understanding of how the activities they will carry out under DaIMA will affect and/or be affected by environmental, social and climate change aspects, occurring in the rest of the watershed. They will need to be trained on what measures are required to address these watershed management issues.

#### **7.7.2.4 Capacity building for gender equity**

Gender balance should be promoted in order to increase awareness of gender roles in the households and communities by improving the capacity of vulnerable groups such as household heads who are female and single parents of either gender, to negotiate their needs and interests. These Households will be capacitated on how to effectively participate in livelihoods planning and value chain development through gender-equitable solutions.

#### **7.7.2.5 Training on health, safety and environmental quality issues**

Contractors employing workers especially for menial jobs usually understand the importance of personal protective equipment but unfortunately this knowledge is seldom passed on to workers. Therefore, training and sensitization on the importance of using such equipment will be conducted at all levels.

## **8. MONITORING PLAN, REPORTING AND DOCUMENT REVIEW**

### **8.1 COLLECTION OF MONITORING DATA**

Environmental and social monitoring involves gathering of scientific data to establish the progress in implementation of the mitigation measures, the extent to which they are effective in maintaining environmental and social integrity and if any changes are required to improve the implementation of the Environmental and Social Management Plan.

Monitoring of activities will be the responsibility of the focal persons or coordinators. He/she will collect monitoring data under the guidance of the Environment and Social Safeguard Specialist. All focal persons/coordinators shall collect the following data with respect to their activities and/or operation:

- Non-conformances (e.g., non-conformance with national legal requirements or regulations)
- Environmental and Social incidents and accidents (including Health and Safety, Environment, Labour, and Social/community incidents)
- Grievances (internal and external)
- Changes/updates to the Environmental and Social Management Systems
- Any other additional information and data for activities with high risk levels (e.g., waste quantities, water, effluent pollution loads, and energy consumption).

### **8.2 MONITORING SITE VISITS**

The Environment and Social Safeguard Specialist will conduct at least one field visit at an interval of six months to verify reports submitted from focal persons/coordinators at activity site levels to the Project Management Unit. Additional site visits and/or changes in site visit frequency may be required based on the risk level of the activity. During field visits the E&S Safeguard Specialist will pay particular attention to issues of concern to stakeholders or end beneficiaries.

### **8.3 REPORTING**

The project focal person or coordinator at the site level will prepare quarterly reports and submit the same to the E&S Safeguard specialist at the Programme Management Unit in each country. The E&S Safeguard Specialist will consolidate quarterly reports received from various coordinators into one main report on semi-annual basis for submission to the Project Manager who will consolidate all reports into an annual report for submission to the IFAD regional office. From the regional office of IFAD, the annual E&S monitoring report shall be submitted to GCF.

### **8.4 PERFORMANCE MONITORING**

Performance monitoring requires that:

- The various safeguards instruments have been prepared to the required standard, within the required timelines,
- The safeguards instruments have been reviewed and approved by the responsible entities,
- Environmental, social and climate mitigation measures have been/are being implemented and that mitigation measures are effective. This includes monitoring the implementation of the ESMPs and ESAPs, and also the grievance redress mechanism(s),
- The community is participating in all stages of the environmental and social management and monitoring processes,
- PMU and relevant officers in the implementing agencies have been trained in accordance with the capacity building proposals,

- Reports are prepared and delivered as required.

Performance monitoring will be done primarily by the Environmental and Social Safeguard Specialist. Examples of typical monitoring parameters and indicators are shown in table below:

**Table 8-1** Typical Performance Monitoring Indicators

| <b>Monitoring Parameter</b> | <b>Monitoring Activity/Indicators</b>                               | <b>Target</b>   | <b>Responsibility for Monitoring</b> |
|-----------------------------|---|---|--------------------------------------|
| Licenses and permits        | % of required permits obtained                                      | 100% of required permits obtained                           | ESS Specialist                       |
| Safeguards training         | # of PMU and relevant implementing agency officers trained          | All PMU and relevant implementing agencies officers trained | ESS Specialist                       |
| Grievance Redress           | Number of countries having functioning grievance redress committees | 4 countries have functioning grievance redress committees   | ESS Specialist                       |
|                             | # of grievances received  | 100% of grievances resolved                                 | ESS Specialist                       |
| Reporting                   | No. of quarterly reports received                                   | 4 quarterly reports received                                | ESS Specialist                       |
|                             | No. of annual reports received                                      | 1 annual report received                                    |                                      |

## 8.5 RESULTS MONITORING

Results monitoring involves monitoring compliance and effectiveness of the safeguards instruments, and also assesses the overall environmental, socio-economic and climate-related impacts of the Programme's interventions in relation to its development objectives. Results monitoring will be done on an annual basis by the ESS Specialist, in collaboration with the coordinators or focal persons at the project site level. Results monitoring will be critical in providing feedback and lessons learned for any future phases of DaIMA.

## 8.6 REVIEWS

There will be quarterly and annual reviews that will be undertaken by the ESS Specialist. These reviews are necessary to:

- Ensure that projects and interventions are complying with the processes established in the ESMF,
- Ensure that projects are compliant with the conditions and requirements stipulated in the ESMP,
- Identify challenges and opportunities in order to learn lessons and thereby improve Programme performance, and
- Be able to determine the cumulative impacts of the Programme to establish attainment of its Development Objectives.

In each year, workshops will be held where environmental, climate change and social performance of the Programme will be reviewed and discussed, and recommendations made for improved Programme performance. These workshops will be attended by the ESS Specialist, project site coordinators/focal persons, representatives from the ministry, among others.

The Quarterly and Annual Review reports will be presented to the Steering Committee at National level in order to ensure that the Programme activities are achieving its objectives. IFAD will participate in these presentations.

## 9. SAFEGUARDS BUDGET

### 9.1 COMPONENTS OF THE SAFEGUARDS BUDGET

The safeguard budget provides an estimate of the financial resources required to implement the DaIMA project across the following safeguard areas: (i) Training on SECAP standards (including GBV/SEAH); (ii) Design and implementation of the ESCMP, including stakeholder engagement; (iii) Site-specific Environmental and Social Impact Assessments (ESIAs); (iv) Waste treatment facilities to complement the project's infrastructure and protective equipment; (v) Rehabilitation of landscapes as part of the mitigation measures outlined in the ESCMF; (vi) ESMF checklists; (vii) Grievance Redress Mechanisms (GRM); (viii) Monitoring and evaluation of the ESMP and SECAP measures (including field visits); and (ix) Design and implementation of Free, Prior, and Informed Consent (FPIC) processes.

The safeguard budget should be integrated into the overall project costs to ensure that the proposed safeguard actions are fully implemented.

| ESMF activities  | Estimated cost   |
|--|------------------|
| ESMF trainings   | 505 000          |
| ESCMP and stakeholder engagement                         | 1 205 000        |
| ESMF ESIAs   | 733 000          |
| ESMF waste treatment facilities and protective equipment | 589 500          |
| ESMF rehabilitation of landscapes                        | 805 000          |
| ESMF checklists  | 225 000          |
| ESMF GRM   | 140 000          |
| ESMF Field visits  | 110 000          |
| ESMF M&E   | 530 000          |
| ESMF FPIC  | 678 000          |
| <b>Total</b>   | <b>5 520 500</b> |

#### 9.1.1 Budget for Mitigation of Environmental and Social Impacts as per ESMP

The Environmental and Social Management Plan (ESMP) outlines proposed mitigation measures for environmental and social impacts throughout all phases of the project, along with corresponding cost estimates. The total budget for implementing the ESMP is US \$1,360,000. However, a portion of this budget is already accounted for under various project activities, which is why this amount is not directly reflected in the COSTABs.

### 9.1.2 Training on SECAP standards

Section 8.7 highlights the need for capacity building and training for various stakeholders on environmental, social, and gender aspects to ensure effective implementation of the ESMF during the project's execution. The budget for this critical component is summarized in the table below: (i) ESMF training for government staff (e.g., health and safety, gender-sensitive training); (ii) ESMF training on GBV/SEAH prevention and response for project partners and beneficiaries, including the communication strategy; and (iii) ESMF training courses, workshops, and awareness sessions on SECAP instruments for PMUs and extension officers.

| SN | Component  | Estimated Cost (US \$) |
|----|--|------------------------|
| 1  | ESMF training for government staff (e.g., health and safety, gender-sensitive training)  | 150,000                |
| 2  | ESMF training on GBV/SEAH prevention and response for project partners and beneficiaries, including the communication strategy | 205,000                |
| 3  | ESMF training courses, workshops, and awareness sessions on SECAP instruments for PMUs and extension officers                  | 150,000                |
|    | <b>Sub Total</b>   | <b>505,000</b>         |

### 9.1.3 Design and implementation of the ESCMP, including stakeholder engagement

This budget section includes: (i) Development of the ESCMP, including the preparation of environmental and social management plans such as watershed management plans, solid waste management plans, and the Health, Safety, and Environment Management Plan (HSE-MP); (ii) Site-specific ESMPs under the ESMF; and (iii) Implementation of the ESCMP, including stakeholder engagement activities. The breakdown of costs is presented below:

| SN | Component  | Estimated Cost (US \$) |
|----|--|------------------------|
| 1  | Development of the ESCMP   | 45,000                 |
| 2  | Site-specific ESMPs and checklists                                       | 635,000                |
| 3  | Implementation of the ESCMP, including stakeholder engagement activities | 750,000                |
|    | <b>Sub Total</b>   | <b>1,430,000</b>       |

### 9.1.3 Site-specific Environmental and Social Impact Assessments (ESIAs)

This activity includes a budget for site-specific Environmental and Social Impact Assessments (ESIAs), which also cover a biodiversity assessment of areas designated for construction. The biodiversity assessment aims to avoid sites with threatened, vulnerable, or endangered species of flora and fauna (estimated budget of USD 23,000).

#### 9.1.4 Waste treatment facilities to complement the project's infrastructure and protective equipment

This waste management activity includes: (i) Waste management, including waste segregation and the establishment of appropriate containment measures, as well as effluent treatment facilities (e.g., waste stabilization/treatment ponds); (ii) Dust monitoring; and (iii) Provision of personal protective equipment (PPE) for all workers involved in laboratory operations and handling of chemical waste (such as hearing protection, goggles, gloves, safety shoes, and hard hats). Below is the detailed table with a breakdown of costs.

| SN | Activity   | Estimated Cost (US \$) |
|----|--|------------------------|
| 1  | Implementation of waste treatment facilities (including effluent treatment facilities) | 446,500                |
| 2  | Dust monitoring  | 120,000                |
| 3  | Provision of personal protective equipment (PPE)                                       | 23,000                 |
|    | <b>Sub Total</b>   | <b>589,500</b>         |

#### 9.1.5 Rehabilitation of landscapes

This activity includes: (i) Restoration of all altered landscapes (such as sand pits, borrow pits, and brick molding sites), including filling and re-grassing; and (ii) Rehabilitation of degraded land through the implementation of soil erosion control measures, such as re-vegetation, reseeding with grasses, land preparation, terracing, use of gabions, bank stabilization, contour ridges, swales, and catch dams.

| SN | Activity  | Estimated Cost (US \$) |
|----|---|------------------------|
| 1  | Restoration of all altered landscapes, including filling and re-grassing                    | 386,000                |
| 2  | Rehabilitation of degraded land through the implementation of soil erosion control measures | 419,000                |
|    | <b>Sub Total</b>  | <b>805,000</b>         |

#### 9.1.6 Grievance Redress Mechanisms (GRM)

At the early stages of project implementation, the Project Management Unit (PMU) must ensure that a comprehensive Grievance Redress Mechanism (GRM) and a Stakeholder Engagement Plan (SEP) are developed and incorporated into the implementation framework. Effective stakeholder engagement provides a platform for information sharing, consultation, feedback collection, and grievance resolution, ensuring inclusivity and transparency.

As part of the ongoing consultation process, a multi-level GRM will be established. This mechanism will address inquiries or concerns related to the project, resolve implementation challenges, and handle complaints and grievances in an efficient and effective manner. The GRM aims to respond to the needs of beneficiaries, stakeholders, and the broader public, ensuring their concerns are addressed promptly and transparently.

The project GRM will include multiple channels for lodging complaints, ensuring accessibility to all stakeholders. Specific protocols will be developed for handling complaints related to Gender-Based Violence (GBV) and Sexual Exploitation, Abuse, and Harassment (SEA/SH). These protocols will prioritize confidentiality and ethical standards, providing a safe environment for reporting and documenting such cases.

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### 9.1.7 Monitoring and evaluation of the ESMP and SECAP measures

The main activities under Monitoring & Evaluation (M&E) include the analysis of monitoring data, evaluations and assessments (including GIS), and field monitoring visits, specifically to follow up on ESIAs, ESMPs, and related activities.

| SN | Activity   | Estimated Cost (US \$) |
|----|--|------------------------|
| 1  | Analysis of monitoring data, evaluations and assessments (including GIS)                   | 530,000                |
| 2  | Field monitoring visits, specifically to follow up on ESIAs, ESMPs, and related activities | 110,000                |
|    | <b>Sub Total</b>   | <b>640,000</b>         |

### 9.1.8 Design and implementation of Free, Prior, and Informed Consent (FPIC) processes

Activities for Free, Prior, and Informed Consent (FPIC), which should be sought early during project implementation, include: (i) Providing compensation and assistance to affected individuals to restore or improve their income and standard of living; (ii) Conducting FPIC awareness-raising events for disadvantaged groups; and (iii) Preparing implementation plans. By gaining a better understanding of land tenure assessments and sociocultural elements, FPIC will ensure the full, effective, and equal participation of stakeholders in the consultation process.

**Table 9-5** Budget for Seeking Free Prior Informed Consent

| SN | Activity   | Estimated Cost (US \$) |
|----|--|------------------------|
| 1  | Compensation and assistance to affected individuals    | 28,000                 |
| 2  | FPIC awareness-raising events for disadvantaged groups | 345,000                |
| 3  | FPIC Implementation plans                              | 305,000                |
|    | <b>Sub Total</b>                                       | <b>678,000</b>         |



## **10. CONCLUSIONS AND RECOMMENDATIONS**

The proposed DaIMA regional programme has the potential to significantly enhance agricultural productivity and improve the livelihoods of smallholder dairy farmers and dairy value chain players in the target partner countries of Kenya, Tanzania, Uganda, and Rwanda. Improved productivity among smallholder farmers will translate to better livelihoods as they gain increased income to meet other needs.

The anticipated environmental and social impacts include soil disturbance from infrastructure construction, agricultural activities, digging of pits and foundations, and the construction of irrigation and value addition infrastructure. Additionally, solid and liquid waste generation, tree cutting, general vegetation clearing, dust emission, and noise generation are expected. These environmental impacts are generally temporary, predictable, or reversible, and they can be entirely avoided or mitigated. Although potentially cumulative, these impacts are less severe and more readily managed than those in a high-risk project. The impacts pose a medium to low probability of serious adverse effects on human health or the environment, with known and reliable mechanisms to prevent or minimize such effects.

Mitigating these impacts involves adhering to the requirements of the current Environmental and Social Management Framework (ESMF), which outlines measures to prevent or minimize them. The final benefits of this programme to the region will far outweigh any potential negative effects. If the recommended mitigations are carried out, the programme will not have any significant environmental impacts.

It is therefore recommended that:

- All agricultural and value addition infrastructure must include appropriate waste disposal or handling systems.
- Stakeholder organizations such as district administrators, partner country environmental management authorities, NGOs, and other interested parties should be consulted and kept informed of the implementation progress to ensure their participation and support.
- Noise levels should be controlled and reduced to minimize disruption to wildlife and local communities.
- Land surrounding any activity should remain intact, and pollution should be minimized.
- Bush clearance should be confined to absolutely necessary areas, buffer strips should be maintained, and large indigenous trees should be preserved as much as possible.
- Labour-intensive methods should be encouraged to benefit the local community through job creation. The project should employ locals as much as possible to ensure that benefits remain in the areas where development is taking place.

In conclusion, the programme will not have any significant environmental impacts if the recommended mitigation measures are implemented effectively.

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## 12. Appendix

### Appendix 1: IFAD EXCLUSION LIST

IFAD will not knowingly finance, directly or indirectly, projects involving the following:

- (i) Production or activities involving harmful or exploitative forms of forced labour<sup>[1]</sup>, or practices, which prevent employees from lawfully exercising their rights of association and collective bargaining.
- (ii) Production or activities involving harmful or exploitative forms of child labour<sup>[2]</sup>.
- (iii) Production or activities that impinge on the lands owned, or claimed under adjudication, by indigenous peoples, without full documented consent of such peoples.
- (iv) Activities prohibited by host-country legislation or international conventions relating to the protection of biodiversity resources, cultural heritage, or other legally protected areas<sup>[3]</sup>.
- (v) The production, trade in or use of any product or activity deemed illegal under host country (i.e., national) laws or regulations, international conventions, and agreements, or subject to international phase-out or bans, such as:
  - a) Products containing polychlorinated biphenyls (PCBs).
  - b) Pharmaceuticals, pesticides, herbicides, and other hazardous substances subject to international phase-outs or bans<sup>[4]</sup>.
  - c) Ozone-depleting substances subject to international phase-outs regulated by the Montreal Protocol<sup>[5]</sup>.
  - d) Wildlife products regulated under the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES)<sup>[6]</sup>, and
  - e) Transboundary trade in waste or waste products, as defined by the Basel Convention<sup>[7]</sup>.
- (vi) Commercial logging operations or the purchase of logging equipment for use in primary tropical moist forests or old-growth forests.
- (vii) Production or trade in wood or other forestry products other than from sustainably managed forests.
- (viii) Production or trade in alcoholic beverages (excluding beer and wine), tobacco or drugs.
- (ix) Marine and coastal fishing practices such as blast fishing, large-scale pelagic drift net fishing using nets in excess of 2.5 km in length or fine mesh net fishing harmful to vulnerable and protected species in large numbers and damaging to marine biodiversity and habitats.
- (x) Trade in goods without required export or import licenses or other evidence of authorization of transit from the relevant countries of export, import and, if applicable, transit.
- (xi) Production of, trade in or use of unbounded asbestos fibres.
- (xii) All mining, mineral processing and extraction activities.
- (xiii) Production or trade in radioactive materials<sup>[8]</sup>.
- (xiv) Gambling, casinos and equivalent enterprises, trade related to pornography or prostitution.
- (xv) Money laundering, terrorism financing, tax avoidance, tax fraud and tax evasion.
- (xvi) Production and distribution, or investment in media that are racist, antidemocratic or that advocate discrimination against an individual, group or part of the population.

- (xvii) Activities prohibited by host country legislation or other legally binding agreements regarding genetically modified organisms (GMOs).
- (xviii) Production of or trade in palm oil, unless from growers and companies with internationally recognised certification<sup>[9]</sup>124, or undergoing certification<sup>[10]</sup>.
- (xix) Production of soy in the Amazon region or trade in soy produced in the Amazon region, unless from growers with internationally recognised certification<sup>[11]</sup>.

- 
- [1] Forced labour is work exacted under the threat of penalty and for which the worker has not offered himself or herself voluntarily. It can involve threats of dismissal or physical violence, the withholding of identity documents or wages, threats to report workers to immigration authorities and entangling workers in fraudulent debt.
- [2] Child labour includes: (i) labour below the host country's minimum age of employment; and (ii) any other work that may be hazardous, may interfere with a child's education, or may be harmful to a child's health or physical, mental, spiritual, moral, or social development. If national laws or regulations provide for employment of children of at least 16 years of age (in line with ILO's 1973 Minimum Age Convention), on the condition that their health, safety, and morals are fully protected, and they have received adequate instruction or vocational training in the relevant branch of activity, then child labour means employing children for work that does not comply with these laws and regulations.
- [3] Relevant international conventions include the: Convention on the Conservation of Migratory Species of Wild Animals (Bonn Convention); Convention on Wetlands of International Importance, especially as Waterfowl Habitat (Ramsar Convention); Convention on the Conservation of European Wildlife and Natural Habitats (Bern Convention); World Heritage Convention; and Convention on Biological Diversity.
- [4] Relevant international conventions include the: United Nations Consolidated List of Products whose Consumption and/or Sale have been Banned, Withdrawn, Severely Restricted or not Approved by Governments; Convention on the Prior Informed Consent Procedures for Certain Hazardous Chemicals and Pesticides in International Trade (Rotterdam Convention); Stockholm Convention on Persistent Organic Pollutants; and WHO Classification of Pesticides by Hazard. A list of pesticides, herbicides, and other hazardous substances subject to phase-outs or bans is available at <http://www.pic.int>.
- [5] A list of the chemical compounds regulated by the Montreal Protocol, together with details of signatory countries and phase-out target dates, is available from UNEP.
- [6] A list of CITES species is available from the CITES secretariat.
- [7] See <http://www.basel.int>.
- [8] This does not apply to the purchase of medical or veterinary equipment, quality control (measurement) equipment and any similar equipment where the radioactive source is trivial and/or adequately shielded.
- [9] For example, Round Table on Sustainable Palm Oil (RSPO).
- [10] This includes growers and companies that have initiated such certification process.
- [11] For example, Round Table on Responsible Soy Association (RTRS).

## Appendix 2: IFAD SECAP's ENVIRONMENTAL AND SOCIAL SCREENING FOR THE PROGRAMME

| SECAP standard                   | Summary of potential risks  | Mitigation measures  | Risk categorization |
|----------------------------------|---|--|---------------------|
| <b>Biodiversity conservation</b> | <ul style="list-style-type: none"> <li>• Loss of biodiversity due to vegetation clearing for site surveys, pegging, and installation of new infrastructure (i.e., MCCs, MCPs, pasture farms, pasture seed farms, and road rehabilitation).</li> <li>• Soil erosion due to vegetation clearing, soil trampling and compaction and deterioration of soil characteristics.</li> <li>• Increased runoff due to vegetation clearing and soil compaction diminishing infiltration capacity during construction.</li> <li>• Loss of habitat and biodiversity, displacement of wildlife, pollution of rivers killing fish and destroying other aquatic life.</li> <li>• Loss of diversity in fam animal genetic resources.</li> </ul> | <ul style="list-style-type: none"> <li>• Preservation of tree species of biodiversity importance.</li> <li>• Limitation of clearing to core working areas only (including areas for pastures and foundations for infrastructure).</li> <li>• Prioritization of revegetation and reforestation (e.g., planting grass and trees as appropriate).</li> <li>• Avoidance of over-abstraction of construction materials like sand and gravel.</li> <li>• Implementation of habitat restoration where effects have been caused (e.g., refilling borrow pits and re-grassing bare areas).</li> <li>• Practice of sustainable catchment management.</li> <li>• Implementation of dust suppression measures, including covering soil mounds and spraying water.</li> <li>• Use of water sprinklers, especially on roads leading to project sites.</li> <li>• Implementation of appropriate containment measures for all operational areas and proper disposal of used lubricants.</li> <li>• Implementation of soil erosion control measures (e.g., re-vegetation, reseeding of grasses, land preparation, terracing, use of gabions, stabilization of banks, contour ridges, swales, and catch dams.).</li> <li>• Restoration of borrow pits, sand and quarry stone abstraction sites, and brick moulding sites.</li> <li>• Utilization of existing roads to access fields and farm sites and implementation of drainage control measures and culverts to manage natural runoff and overland flow.</li> </ul> | Moderate            |

| SECAP standard                                      | Summary of potential risks   | Mitigation measures  | Risk categorization |
|---|--|--|---------------------|
|   |  | <ul style="list-style-type: none"> <li>Utilization of low noise equipment and Implementation of noise management measures, including maintenance of vehicles and equipment to ensure quiet operation, and avoidance of leaving engines running unnecessarily.</li> <li>Preservation of traditional and locally-adapted breeds.</li> </ul>  |                     |
| <b>Resource efficiency and pollution prevention</b> | <ul style="list-style-type: none"> <li>Environmental degradation.</li> <li>Agrochemicals pollution (forage farms).</li> <li>Pollution of the environment from mismanagement of solid waste.</li> <li>Waste generation and biosafety at Artificial Insemination (AI) Centres and veterinary services.</li> <li>Ambient air pollution.</li> <li>Water quality impacts from wastewater discharges, including sewage and rainwater runoff from construction activities.</li> <li>Soil and water pollution due to the accumulation of solid and liquid waste.</li> <li>Pollution from chemicals and fertilizers used in production.</li> <li>Littering and indiscriminate dumping of solid waste, polluting land, and water resources.</li> <li>Poisoning of aquatic and inland ecosystems.</li> <li>Ecosystem imbalance and destruction of flora and fauna, habitat loss.</li> </ul> | <ul style="list-style-type: none"> <li>Installation of septic tanks and treatment systems at slaughterhouses, dairy processing plants, and cattle washing areas to manage wastewater discharges and prevent water contamination.</li> <li>Ensuring proper disposal of solid waste at authorized sites and promoting recycling or reuse to minimize environmental pollution.</li> <li>Containment of oil leaks at workshops and equipment using oil separators, and adherence to emission standards and regular maintenance to control emissions from vehicles and construction equipment.</li> <li>Implementation of proper manure management practices, including composting at zero grazing sites and cowsheds, and construction of designated pits for urine management to prevent environmental discharge.</li> <li>Promotion of Integrated Pest Management (IPM) to reduce pesticide use, provision of training on safe chemical handling, and secure storage of agrochemicals away from foodstuffs.</li> <li>Encouragement of organic farming and adoption of climate-smart agriculture practices to decrease reliance on inorganic fertilizers and agrochemicals.</li> <li>Consultation with downstream communities and adoption of integrated water resource management practices to ensure sustainable water use and management.</li> </ul> | Moderate            |



| SECAP standard           | Summary of potential risks  | Mitigation measures  | Risk categorization |
|--------------------------|---|--|---------------------|
|                          |   | <ul style="list-style-type: none"> <li>• Recycling and reuse of waste by beneficiary farmers to prevent waterway dumping, with treatment of polluted water before disposal.</li> <li>• Proper collection and disposal of construction debris by contractors at designated landfills.</li> <li>• Processing of agricultural waste by farmers into other uses, such as organic manure, with a preference for reuse and recycling over disposal.</li> <li>• Generation of biogas from waste by erecting biogas digesters.</li> <li>• Limited use of chemicals and hazardous materials.</li> <li>• Segregation of solid waste and strict avoidance and monitoring of banned or hazardous substances.</li> <li>• Promotion and adoption of renewable energy technologies.</li> <li>• Provision of personal protective equipment (PPE) to agrochemical handlers.</li> <li>• Use of integrated pest management approaches to minimize pesticide use.</li> <li>• Management and control of emissions from vehicles transporting construction materials by ensuring compliance with relevant vehicle emission standards and regular maintenance to minimize air pollution.</li> </ul> |                     |
| <b>Cultural heritage</b> | <ul style="list-style-type: none"> <li>• Potential reluctance among community members to adapt to new norms during Programme activities.</li> <li>• Insufficient involvement of local leaders in program design to address cultural considerations effectively.</li> <li>• Low risk of cultural heritage degradation from the project.</li> </ul> | <ul style="list-style-type: none"> <li>• Sensitization sessions and ongoing engagement of community leaders.</li> <li>• Participation of locals in program design through Focus Group Discussions (FGDs) and stakeholder workshops with local authorities.</li> <li>• Prevention of impacts on the rights and resources of indigenous peoples and their lands.</li> </ul>  | Low                 |

| SECAP standard                       | Summary of potential risks  | Mitigation measures   | Risk categorization |
|--------------------------------------|---|---|---------------------|
|                                      | <ul style="list-style-type: none"> <li>• Use of culturally appropriate materials in household-level animal shelter construction.</li> </ul>   |   |                     |
| <b>Indigenous peoples</b>            | <ul style="list-style-type: none"> <li>• The project poses a low risk of significant adverse impacts in regions with integrated smallholder systems.</li> <li>• Presence of potential indigenous peoples within the project area.</li> </ul>  | <ul style="list-style-type: none"> <li>• Conducting community consultations to document and address the voices of indigenous peoples.</li> <li>• Targeting smallholder farmers already engaged or interested in dairy.</li> <li>• Implementing community-based approaches and facilitators (CF) for service delivery to anticipate and mitigate potential adverse effects on stakeholders.</li> <li>• Promoting zero-grazing dairy development to minimize impact on indigenous peoples' territories.</li> <li>• Special efforts should be made to increase participation and access to project benefits for these groups in project areas.</li> <li>• Implement actions stated in the Indigenous People Plan.</li> </ul>   | Low                 |
| <b>Labour and working conditions</b> | <ul style="list-style-type: none"> <li>• Increased workloads, particularly for women and children responsible for domestic care tasks, feeding, water fetching, and transporting to milk collection centres due to zero grazing.</li> <li>• Risks include child labour due to high dropout rates in potential project areas, children working during school holidays, heavy labour burdens on women, occupational health and injury risks during works, and poor working conditions for workers partnering with service providers.</li> </ul> | <ul style="list-style-type: none"> <li>• Organization of the fodder value chain, including the installation of specialized private fodder producers and vendors, and promotion of small-scale mechanization to reduce the workload for dairy farmers, particularly women.</li> <li>• Implementation of Gender Action Learning Systems (GALS) to address labour inequity and support women's participation in dairy farming.</li> <li>• Enforcement of all safety precautions and provision of PPE to all workers (e.g., hearing protection, safety glasses, gloves, body overalls, safety shoes, and hard helmets).</li> <li>• Adherence to safe work practices and procedures.</li> <li>• Demarcation of work site hazards and training of workers to recognize them.</li> </ul> | Moderate            |

| SECAP standard                               | Summary of potential risks  | Mitigation measures   | Risk categorization |
|--|---|---|---------------------|
|  |   | <ul style="list-style-type: none"> <li>• Supervision of work to ensure compliance with safety conditions and prompt addressing of any deviations.</li> <li>• Training on occupational safety and health standards at the processing level to ensure workplace safety.</li> <li>• Comprehensive mitigation and monitoring/surveillance measures to prevent or limit child labour, promote appropriate youth engagement, ensure occupational health and safety, and improve working conditions.</li> </ul>  |                     |
| <b>Community health, safety and security</b> | <ul style="list-style-type: none"> <li>• Increased agricultural productivity through the use of inorganic fertilizers and pesticides may lead to higher agrochemical usage. Improper handling and application of agrochemicals pose health risks to those exposed, including agricultural workers and consumers of agricultural products.</li> <li>• The increased domestic workload for women, coupled with their participation in labour-intensive activities, can jeopardize their health and nutrition. This situation also heightens the risk of gender-based violence.</li> <li>• Occupational risks are prevalent among livestock farmers due to regular exposure to animal waste, urine, and blood. Farmers involved in animal treatment face additional risks such as needlestick injuries and exposure to zoonotic diseases like Tuberculosis and Brucellosis. Furthermore, improper use and disposal of chemicals, including acaricides and their containers, pose environmental contamination risks.</li> </ul> | <ul style="list-style-type: none"> <li>• Sensitization of target groups on zoonotic disease risks, communicable diseases and best practices for safe animal handling to prevent cross-species contamination.</li> <li>• Establishment of doorstep services to support good animal and human health, including nutrition awareness.</li> <li>• Setting up laboratory facilities to monitor antimicrobial use and mitigate antimicrobial resistance (AMR) risks.</li> <li>• Implementation of integrated pest management (IPM) practices to reduce acaricide use and minimize health and biodiversity impacts.</li> <li>• Provision of support for disease prevention through vaccinations to mitigate residual health risks associated with keeping live animals.</li> <li>• Implementation of capacity-building programs using approaches such as L-FFS (Learning and Farmer Field Schools), VBHCD (Vector Borne and Human Communicable Disease) management, and Gender Action Learning System (GALS).</li> <li>• Implementation of capacity-building programs to promote the use of Personal Protective Equipment (PPE).</li> <li>• Establishment of protocols for the proper disposal of veterinary medicine containers and implementation of food safety screening measures.</li> <li>• Implementation of awareness campaigns and training on gender-based violence prevention, management, and</li> </ul> | <p>Moderate</p>     |

| SECAP standard                            | Summary of potential risks   | Mitigation measures  | Risk categorization |
|---|--|--|---------------------|
|   | <ul style="list-style-type: none"> <li>Risks include community health and safety concerns, particularly related to zoonotic diseases, antimicrobial residues, and antimicrobial resistance (AMR), as well as risks associated with unsafe food consumption. Additionally, there is a risk that the project may not achieve anticipated food security and nutrition outcomes due to challenges in marketing animal products.</li> </ul> | reporting, as well as HIV and AIDS management protocols in collaboration with the Ministry of Health.  |                     |
| <b>Physical and economic resettlement</b> | <ul style="list-style-type: none"> <li>Economic displacement (e.g., loss of assets or access to resources due to land acquisition or access restrictions).</li> <li>Impacts on or changes to land tenure arrangements and/or community-based property rights/customary rights to land, territories and/or resources.</li> </ul>  | <ul style="list-style-type: none"> <li>Agreement with local communities on land use based on relevant national practices.</li> <li>Training in alternative livelihood options such as agro-processing, small-scale businesses, or livestock rearing.</li> <li>Priority given to economically displaced farmers for employment in the construction and operation of the infrastructure.</li> <li>Fair compensation to economically displaced farmers in terms of quality land for grazing and cultivation and/or monetary compensation.</li> <li>Establishment of new community centres and social structures in resettlement areas.</li> <li>Mechanisms for resolving conflicts and establishment of a Grievance Redress Mechanism (GRM).</li> <li>Promotion of sustainable agricultural and grazing practices to prevent overuse of new areas.</li> <li>Provision of legal recourse and other forms of arbitration/conflict resolution.</li> <li>Assessments and legal reviews to understand existing land tenure and alignment with national laws and best practices.</li> <li>Stakeholder engagement through inclusive consultations and Free, Prior, and Informed Consent (FPIC).</li> </ul> | Low                 |

| SECAP standard   | Summary of potential risks   | Mitigation measures   | Risk categorization |
|--|--|---|---------------------|
|  |  | <ul style="list-style-type: none"> <li>• Development and disclosure of clear, legally binding land use agreements.</li> </ul>   |                     |
| <b>Financial intermediaries and direct investments</b> | <ul style="list-style-type: none"> <li>• Non-compliance with environmental and social policies and lack of an associated environmental and social management system (ESMS) in place (transparent, publicly available).</li> <li>• Insufficient capacities to implement the ESMS (i.e., unqualified personnel e.g., ES Officer).</li> <li>• Limited GRM and capacity building support.</li> </ul> | <ul style="list-style-type: none"> <li>• Creation of a comprehensive ESMS aligned with international standards and public availability.</li> <li>• Hiring and training of qualified Environmental and Social (ES) Officers.</li> <li>• Continuous training on environmental and social risk management and GRM.</li> <li>• Establishment of an accessible and transparent GRM.</li> <li>• Information dissemination to stakeholders about the GRM through workshops and meetings.</li> <li>• Allocation of sufficient resources for ESMS implementation.</li> <li>• Partnerships with external experts and institutions for additional support.</li> <li>• Regular audits to ensure compliance and continuous improvement.</li> </ul> | Low                 |

## Appendix 3: SECAP RISK CATEGORISATION

### Appendix 3.1 SECAP STANDARDS

The nine SECAP standards are as follows:

**Table ANN 3-1** Summary of IFAD SECAP Standards

| ENVIRONMENTAL AND SOCIAL STANDARDS                              | OBJECTIVES   | SCOPE OF APPLICATION  |
|---|--|---|
| <b>Standard 1: Biodiversity conservation</b>                    | <ul style="list-style-type: none"> <li>• Maintain and conserve biodiversity.</li> <li>• Ensure the fair and equitable sharing of benefits from the utilization of genetic resources.</li> <li>• Respect, preserve, maintain, and encourage knowledge, innovations and practices of indigenous peoples and local communities relevant for the conservation and sustainable use of biodiversity, and their customary use of biological resources. and</li> <li>• Adopt a precautionary approach to natural resource conservation and management to ensure opportunities for environmentally sustainable development.</li> </ul>  | <p>This Standard and its associated requirements apply to all IFAD-supported projects that are:</p> <ul style="list-style-type: none"> <li>• Located in modified, natural or critical habitats.</li> <li>• Located in areas providing ecosystem services upon which project stakeholders depend for survival, sustenance, livelihoods, or primary income, or that are used for sustaining the project.</li> <li>• Extracting renewable natural resources, i.e., projects that include the generation of living natural resources (e.g. plantation forestry, commercial harvesting, agriculture, aquaculture).</li> <li>• Using and commercializing an indigenous knowledge system.</li> </ul> <p>This Standard also applies to situations where the livelihoods of affected communities – including those of indigenous peoples – whose access to or use of biodiversity, ecosystem services or living natural resources may be affected by project activities.</p> |
| <b>Standard 2: Resource efficiency and pollution prevention</b> | <ul style="list-style-type: none"> <li>• Avoid, minimize, and manage the risks and impacts associated with hazardous substances and materials, including pesticides.</li> <li>• Avoid or minimize project-related emissions of short- and long-lived climate pollutants.</li> <li>• Promote more sustainable use of resources, including energy, land, and water. and</li> <li>• Identify opportunities for improving resource efficiency.</li> </ul> <p>This Standard applies to any IFAD-supported projects that:</p> <ul style="list-style-type: none"> <li>• Significantly consume or cause consumption of water, energy, or other resources.</li> <li>• Aim to improve existing waste management practices.</li> <li>• Generate or cause generation of solid, liquid, or gaseous waste or emissions.</li> <li>• Use, cause the use of, or manage the use, storage or disposal of hazardous materials and</li> </ul> | <p>This Standard applies to any IFAD-supported projects that:</p> <ul style="list-style-type: none"> <li>• Significantly consume or cause consumption of water, energy, or other resources.</li> <li>• Aim to improve existing waste-management practices.</li> <li>• Generate or cause generation of solid, liquid, or gaseous waste or emissions.</li> <li>• Use, cause the use of, or manage the use, storage or disposal of hazardous materials and chemicals, including pesticides and fertilizers.</li> </ul>   |

| ENVIRONMENTAL AND SOCIAL STANDARDS | OBJECTIVES                                       | SCOPE OF APPLICATION |
|------------------------------------|--|----------------------|
|                                    | chemicals, including pesticides and fertilizers. |                      |

| ENVIRONMENTAL AND SOCIAL STANDARDS       | OBJECTIVES   | SCOPE OF APPLICATION  |
|--|--|---|
| <b>Standard 3:<br/>Cultural heritage</b> | <ul style="list-style-type: none"> <li>• Preserve and safeguard cultural heritage.</li> <li>• Ensure that active efforts are made to prevent IFAD-supported projects from altering, damaging, or removing any tangible or intangible cultural heritage.</li> <li>• Promote the equitable sharing of benefits from the use of cultural heritage.</li> <li>• Promote meaningful consultation on matters related to cultural heritage.</li> </ul> | <ul style="list-style-type: none"> <li>• Tangible cultural heritage may be defined as movable or immovable objects, sites, structures, groups of structures, natural features and landscapes that have archaeological, historical, religious, spiritual, or other cultural significance. Tangible cultural heritage can be found almost anywhere: in urban or rural settings, above or below ground, and even under water. Tangible cultural heritage derives its significance from various sources, whether as part of a community's cultural identity and heritage, as assets for economic or social development, or as a source of valuable scientific or historical information. As a result, its cultural significance may be local, provincial, national, or even international.</li> <li>• Intangible cultural heritage can be defined as practices, representations, expressions, knowledge, skills, and associated instruments, objects, artifacts, and cultural spaces that communities and groups recognize as part of their cultural heritage. Intangible heritage is transmitted from generation to generation, and constantly recreated in response to changes in their environment, their interaction with nature and their history.</li> <li>• The Standard applies to projects that may create risks and/or result in adverse impacts on cultural heritage, including those that may be in – or in the vicinity of – a cultural heritage site, or that propose to utilize tangible or intangible forms of cultural heritage for commercial or other purposes.</li> <li>• IFAD is committed to identifying and protecting cultural heritage that borrowers/recipients/partners could impact upon. Even smallholder agriculture and rural development projects on marginal lands may, depending on their location, involve resources of archaeological (e.g., ancient ruins, monuments, prehistoric caves), historical (e.g., original structures, architectural works, historic sites), religious (e.g., churches, mosques, temples, sacred grounds) or cultural (e.g., cemeteries, traditional meeting places) significance. Of particular concern are IFAD projects: (i) involving significant excavations, demolition, movement of earth, flooding, or other environmental changes and (ii) located in – or in the vicinity of – cultural heritage sites. IFAD will use the SECAP to ensure that any cultural heritage site involved in or potentially affected by an</li> </ul> |



| ENVIRONMENTAL AND SOCIAL STANDARDS | OBJECTIVES | SCOPE OF APPLICATION  |
|------------------------------------|------------|---|
|                                    |            | <p>IFAD-supported project is identified and adequately protected.</p> |

| ENVIRONMENTAL AND SOCIAL STANDARDS               | OBJECTIVES  | SCOPE OF APPLICATION   |
|--|---|--|
| <b>Standard 4: Indigenous peoples</b>            | <ul style="list-style-type: none"> <li>• Support indigenous peoples to determine priorities and strategies for exercising their right to development.</li> <li>• Ensure that each project is designed in partnership with indigenous peoples and with their full, effective, and meaningful consultation, leading to FPIC.</li> <li>• Ensure that indigenous peoples obtain fair and equitable benefits and opportunities from project supported activities in a culturally appropriate and inclusive manner.</li> <li>• Recognize and respect the rights of indigenous peoples to the lands, territories, waters, and other resources that they have traditionally owned, used or relied upon.</li> </ul>  | <p>Consistent with international best practices and with respect for the right of self-determination, IFAD's Policy on Engagement with Indigenous Peoples defines indigenous peoples based on the following criteria:</p> <ul style="list-style-type: none"> <li>• Priority in time, with respect to occupation and use of a specific territory.</li> <li>• The voluntary perpetuation of cultural distinctiveness, which may include aspects of language, social organization, religion and spiritual values, modes of production, laws, and institutions.</li> <li>• Self-identification, as well as recognition by other groups, or by state authorities, as a distinct collective.</li> <li>• An experience of subjugation, marginalization, dispossession, exclusion, or discrimination.</li> </ul>   |
| <b>Standard 5: Labour and working conditions</b> | <ul style="list-style-type: none"> <li>• Promote direct action to foster decent rural employment.</li> <li>• Promote, respect, and realize fundamental principles and rights by:</li> <li>• Preventing discrimination and promoting equal opportunities for workers.</li> <li>• Supporting freedom of association and the right to collective bargaining, and</li> <li>• Preventing the use of child labour and forced labour.</li> <li>• Protect and promote the safety and health of workers.</li> <li>• Ensure that projects comply with national employment and labour laws, and international commitments.</li> <li>• Leave no one behind by protecting and supporting workers in disadvantaged and vulnerable situations, including women (e.g., maternity protection), young workers, migrant workers, workers in the informal economy and workers with disabilities.</li> </ul> | <ul style="list-style-type: none"> <li>• The following requirements should be applied in line with the unique nature of each project, its specific activities, the associated social and environmental risks and impacts, and the contractual relationships with workers engaged in the project.</li> <li>• These requirements apply to all project workers directly engaged by borrowers/recipients/ partners to work on a project or perform work essential to the project, and to people employed or engaged through third parties (e.g. contractors, subcontractors, brokers, agents and intermediaries) to perform work essential to a project. When a project engages community workers, relevant provisions of the requirements will be applied in a proportionate manner, recognizing the potential risks and impacts. The full requirements apply to full-time, part-time, temporary, seasonal, and migrant workers.</li> <li>• Government civil servants working in connection with IFAD-supported projects remain subject to the terms and conditions of their existing public sector employment arrangements.</li> </ul> |
| <b>Standard 6: Community health and safety</b>   | <ul style="list-style-type: none"> <li>• Ensure quality and safety in the design and construction of</li> <li>• programming-related infrastructure, preventing and minimizing potential safety risks and accidents.</li> </ul>  | <p>This Standard applies to projects that may pose significant risks to and adverse impacts on human health, nutrition, and safety. The applicability of this Standard will be determined during the environmental, social and climate risk screening and assessment phase. Measures to ensure occupational health and safety are</p>  |

| ENVIRONMENTAL AND SOCIAL STANDARDS                                 | OBJECTIVES  | SCOPE OF APPLICATION   |
|--|---|--|
|  | <ul style="list-style-type: none"> <li>● Avoid or minimize community exposure to disaster risks, diseases and hazardous materials associated with project activities.</li> <li>● Ensure that the safeguarding of personnel and property minimizes risks to communities and is carried out in accordance with international human rights standards and principles.</li> <li>● Have in place effective measures to address emergency events, whether human-made or natural hazards.</li> </ul>  | <p>covered in Standard 5: Labor and working conditions. Further requirements to avoid or minimize impacts on human health and the environment from pollution are included in Standard 2: Resource efficiency and pollution prevention.</p>   |
| <b>Standard 7: Physical and economic resettlement</b>              | <ul style="list-style-type: none"> <li>● Avoid involuntary resettlement or, when unavoidable, minimize involuntary resettlement by exploring alternative project designs and sites.</li> <li>● Avoid forced eviction.</li> <li>● Ensure that resettlement activities are planned and implemented collaboratively with the meaningful participation of affected people.</li> <li>● Enhance and restore the livelihoods- of all displaced people. And provide explicit guidance to borrowers/recipients/partners on the conditions that need to be met regarding involuntary resettlement.</li> </ul> | <ul style="list-style-type: none"> <li>● This Standard applies to all IFAD-supported projects that involve any displacement or need for resettlement. The displacement may be full or partial, permanent, or temporary, and could result from a variety of project activities. This Standard also applies to any physical or economic displacement caused by a borrower/recipient/partner for purposes relevant to the project before IFAD's involvement.</li> <li>● Application of this Standard must be consistent with universal respect for fundamental human rights and freedoms, the principles of non-discrimination, equal opportunity and fair treatment, and the right to private property, adequate housing, and improvement of living conditions.</li> </ul> |
| <b>Standard 8: Financial intermediaries and direct investments</b> | <ul style="list-style-type: none"> <li>● Promote sound environmental, social and climate practices, and sound human resource management with FIs and direct investees.</li> <li>● Ensure that FIs and direct investees access and manage any environmental and social risks and impacts of projects.</li> <li>● Promote good environmental and social management practices by direct investees and in the projects financed by FIs.</li> </ul>  | <ul style="list-style-type: none"> <li>● This Standard applies to FIs and direct investors that receive financial support from IFAD, guided by its Rural Finance Policy and NSO Framework.</li> <li>● When an FI receiving support from IFAD provides financing or de-risking instruments to other financial intermediaries, the primary financial intermediary should apply this Standard, guided by IFAD's Rural Finance Policy and NSO Framework, and should ensure that each FI also applies this Standard.</li> <li>● If a direct investee implements other projects, projects or sub-activities concurrently, the investee should ensure that this Standard is applied.</li> </ul>   |

| ENVIRONMENTAL AND SOCIAL STANDARDS | OBJECTIVES   | SCOPE OF APPLICATION   |
|------------------------------------|--|--|
| <b>Standard 9: Climate change</b>  | <ul style="list-style-type: none"> <li>• Ensure alignment of IFAD supported projects with the Nationally Determined Contributions of countries and the goals of the Paris Agreement and other international frameworks.</li> <li>• Ensure that proposed activities are screened and assessed for climate change and disaster risks and impacts, including both impacts of projects and on them.</li> <li>• Apply the mitigation hierarchy in project design.</li> <li>• Strengthen the resilience of communities to address the risk of climate change impacts and climate-related disasters.</li> <li>• Increase the ability of communities to adapt to the adverse impacts of climate change, and foster climate resilience and low GHG-emitting projects that do not threaten food production.</li> </ul> | <p>The requirements of this Standard apply to all IFAD-supported projects that:</p> <ul style="list-style-type: none"> <li>• Have development outcomes that may be threatened by climate change or related disaster risks.</li> <li>• May contribute to increased exposure or vulnerability to climate change and related disaster risks. or may produce significant GHG emissions.</li> </ul> |
|                                    |  |  |

## Appendix 3.2 SECAP RISK CATEGORISATION

The tables below provide the SECAP E&S and Climate Risk Categorisations.

**Table ANN 3-2** Environmental and social risk categories

| CATEGORY    | ENVIRONMENTAL AND SOCIAL RISK LEVEL   |
|-------------|---|
| <b>High</b> | <p>This classification takes into account whether the potential risks and impacts associated with a project have most or all of the following characteristics:</p> <ul style="list-style-type: none"> <li>• Result in sensitive, irreversible or unprecedented significant risks and impacts (for example, resulting in loss of major natural habitat or conversion of wetlands),</li> <li>• Result in risks and impacts that are significant in magnitude and/or spatial extent (large geographical area or size of the population likely to be affected),</li> <li>• Have significant risks and impacts that affect an area much broader than the sites or facilities subject to physical interventions,</li> <li>• Result in significant adverse cumulative or transboundary impacts,</li> <li>• High probability of serious adverse effects to human health and/or the environment (e.g. due to accidents, toxic waste disposal),</li> <li>• Risks and potential impacts are not readily remedied by preventive actions or mitigation measures.</li> <li>• The area affected is of high value and sensitivity, for example, sensitive and valuable ecosystems and habitats (legally protected and internationally recognized areas of high biodiversity value), lands or rights of indigenous peoples and other vulnerable minorities, intensive or complex involuntary resettlement or land acquisition, or impacts on cultural heritage.</li> <li>• There are significant concerns that the project's adverse social impacts and associated mitigation measures may give rise to significant social conflict, harm, significant risks or impacts on human security.</li> <li>• There is a history of unrest in the project area or significant concerns regarding the activities of security forces.</li> <li>• The project is being developed in a legal or regulatory environment where there is significant uncertainty or conflict regarding the jurisdiction of competing agencies, legislation or regulations do not adequately address the risks and impacts of complex projects, changes to applicable legislation are being made, or enforcement is weak.</li> <li>• There are significant concerns related to the capacity, commitment and track record of project stakeholders in relation to engagement, or there are several external factors that could have a significant impact on the project's environmental or social performance, or outcomes.</li> </ul> <p>Additionally, a project is classified as High Risk when it finances one or more of the following activities:</p> <ul style="list-style-type: none"> <li>• New construction, rehabilitation or upgrade of large/major dams or reservoirs (more than 15-metre-high wall, more than 500-metre-long crest, and/or with a reservoir exceeding 3 million m<sup>3</sup>) or incoming flood of more than 2,000 m<sup>3</sup>/s,</li> <li>• New construction or upgrade of large-scale irrigation schemes (above 999 hectares per scheme).</li> <li>• New construction, or upgrade of rural roads (annual average daily traffic [AADT] above 1,000).</li> <li>• Surface water abstraction: significant extraction/diversion or containment of surface water, leaving the river flow less than 5 per cent above the environmental flow when downstream user requirements are taken into account.</li> <li>• Ground water abstraction: withdrawal of groundwater in areas already experiencing soil subsidence due to over-abstraction and/or increasing groundwater depth (e.g. observed in existing wells) and/or withdrawal of groundwater close to the recharge rate (considering all abstraction needs from the groundwater unit),</li> <li>• Large-scale aquaculture or mariculture of at least 50 hectares on one site.</li> </ul> |

| CATEGORY | ENVIRONMENTAL AND SOCIAL RISK LEVEL   |
|----------|---|
|          | <ul style="list-style-type: none"> <li>• Economic or physical displacement (e.g. land, potable water and water for other uses), or physical resettlement of more than 100 households or businesses, and/or significant loss of assets or access to resources (i.e. over 15 per cent reduction in a farmer's or community's assets),</li> <li>• Conversion and loss of physical cultural resources.</li> </ul> |

| CATEGORY           | ENVIRONMENTAL AND SOCIAL RISK LEVEL  |
|--------------------|--|
| <b>Substantial</b> | <p>A project should be classified as Substantial Risk when it is not as complex as a High-Risk project and its environmental and social scale is not in such a sensitive area, but may pose significant risks and impacts if not adequately managed. These potential risks and impacts have most or all of the following characteristics:</p> <ul style="list-style-type: none"> <li>• They are mostly temporary, predictable or reversible, and the nature of the project makes it possible to entirely avoid or reverse them.</li> <li>• There are concerns that the project's adverse social impacts and associated mitigation measures may give rise to a limited degree of social conflict, harm or impacts on human security.</li> <li>• The geographical area and size of the population likely to be affected are medium to large.</li> <li>• There is some potential for cumulative or transboundary impacts, but they would be less severe and more readily avoided or mitigated than in a High-Risk project.</li> <li>• There is medium to low probability of serious adverse effects to human health or the environment (e.g. due to accidents, toxic waste disposal), and there are known and reliable mechanisms to prevent or minimize such incidents,</li> <li>• The project's effects on areas of high value or sensitivity are expected to be lower than for High-Risk projects.</li> <li>• Mitigation or compensation measures may be designed more easily and be more reliable than those of High-Risk projects.</li> <li>• The project is being developed in a legal or regulatory environment where there is uncertainty or conflict regarding the jurisdictions of competing agencies, legislation or regulations do not adequately address the risks and impacts of complex projects, changes to applicable legislation are being made, or enforcement is weak.</li> <li>• The past experience of the borrower/recipient/partner and implementing agencies in developing complex projects is limited, and their track records regarding environmental and social issues suggest that some concerns can be addressed through implementation support.</li> <li>• There are concerns about capacity and experience in managing stakeholder engagement, but these can be readily addressed through implementation support.</li> </ul> <p>Additionally, a project may be classified as Substantial Risk when it finances one or more of the following activities:</p> <ul style="list-style-type: none"> <li>• New construction, rehabilitation or upgrade of medium dams/reservoirs (between</li> <li>• 10-14-metre-high wall, and/or with a reservoir of between 100,000-3 million m<sup>3</sup>).</li> <li>• New construction or upgrade of medium-scale irrigation schemes (between 300-999 hectares per scheme).</li> <li>• New construction or upgrade of rural roads (AADT between 400-1000).</li> <li>• Development of a large-scale Agro processing facility.</li> <li>• Aquaculture or mariculture of 25 to 49 hectares on one site.</li> <li>• Construction or operation causing an increase in traffic on rural roads.</li> <li>• Economic or physical displacement (e.g. land, potable water, water for other uses), or physical resettlement of 20-100 households or businesses, or a 10 to 15 per cent reduction in a farmer's or community's assets.</li> </ul> <p>If the environmental and social screening exercise shows that the risks and impacts are significant, the project category will be upgraded to High Risk.</p> |

| CATEGORY        | ENVIRONMENTAL AND SOCIAL RISK LEVEL  |
|-----------------|--|
| <b>Moderate</b> | <p>A project should be classified as Moderate Risk when potential adverse risks and impacts on human populations or the environment are not likely to be significant. This may be because the project is not complex or large, does not involve activities with high potential for harming people or the environment, and is located away from environmentally or socially sensitive areas. The potential risks and impacts are:</p> <ul style="list-style-type: none"> <li>• Predictable and expected to be temporary or reversible.</li> <li>• Low in magnitude,</li> <li>• Site-specific, without the likelihood of impacts beyond the project life cycle.</li> <li>• Low probability of serious adverse effects to human health or the environment (e.g. they do not involve the use or disposal of toxic materials, or routine safety precautions are expected to be sufficient to prevent accidents),</li> <li>• The project's risks and impacts can be easily mitigated in a predictable manner.</li> <li>• Additionally, a project is classified as Moderate Risk when it finances one or more of the following activities: <ul style="list-style-type: none"> <li>• Small dam or reservoir construction (between 5-9-metre-high wall, and/or with a reservoir below 100,000 m<sup>3</sup>),</li> <li>• Construction of small-scale irrigation schemes rehabilitation/development (below 300 hectares per scheme).</li> <li>• New construction, rehabilitation, or upgrade of rural roads (AADT below 400); and/or — Aquaculture or mariculture of less than 25 hectares on one site.</li> </ul> </li> </ul> |
| <b>Low</b>      | <p>A project should be classified as Low Risk if it will have negligible or no environmental or social implications. Examples include:</p> <ul style="list-style-type: none"> <li>• Technical assistance grants for agricultural research and training.</li> <li>• Research.</li> <li>• Extensions,</li> <li>• Health.</li> <li>• Nutrition.</li> <li>• Education and</li> <li>• Capacity- and institution building.</li> </ul>  |

The classifications for climate risk are defined in the table below.

**Table ANN 3-3** Climate risk classifications

| Category           | Climate risk   |
|--------------------|--|
| <b>High</b>        | The outcome of the project will be jeopardized by climate change, with the potential for severe impacts of significant irreversibility. Climate-related risks and impacts are likely to result in financial, environmental, or social underperformance or failure. Adaptation measures are likely to be ineffective, extremely costly, socially unacceptable or may increase risk and reduce resilience. Adaptation limits |
| <b>Substantial</b> | There is the potential for widespread impacts from climate change. Outcomes may be undermined by climate change and adaptation measures may not be readily available. Financial, environmental, and social underperformance or failure cannot be excluded. However, risk-management activities are likely to increase the resilience and adaptive capacity of households, infrastructure, communities, and ecosystems.     |
| <b>Moderate</b>    | Impact from climate change may occur, but will be limited, transient or manageable. Financial, environmental, and social underperformance or failure is unlikely. The system has the capacity to manage volatility, shocks, stressors or changing climate trends.  |
| <b>Low</b>         | No negative impact from climate change is expected based on the best available data. Financial, environmental, and social underperformance or failure appear very unlikely.  |



#### Appendix 4: METHODOLOGY FOR SIGNIFICANCE RATING OF IMPACTS

The significance of adverse impacts from project activities will be assessed based on their magnitude, duration, and probability, as detailed below. Each of these factors will be rated on a scale from 1 to 5, with 1 representing low impact and 5 representing high impact. If an aspect is influenced by multiple impacts, the highest rating among them will be considered as the significance of the impact.

**Table ANN 4-1** Climate risk classifications

| No .       | CRITERIA                          | DESCRIPTION   | SCORING |
|------------|-----------------------------------|---|---------|
| <b>1.0</b> | <b>Impact Assessment Criteria</b> | <b>The criteria used for the assessment of the potential impacts of the proposed project are described herein</b>   |         |
|            | Nature                            | Includes a description of what causes the effect, what will be affected and how it will be affected   |         |
|            | Duration                          | Lifetime of the impact is measured in relation to the lifetime of the project   |         |
|            | Extent                            | Physical and spatial scale of the project   |         |
|            | Intensity<br>Extent               | Examining whether the impact is destructive or benign, whether it destroys the impacted environment, alters its functioning, or slightly alters the environment   |         |
|            | Type                              | Description of the type of impact as positive, negative, or neutral, and direct or indirect   |         |
|            | Consequence                       | Combination of duration, extent and intensity of impact in relation to the type   |         |
|            | Probability                       | This describes the likelihood of the impacts actually occurring. The impact may occur for any length of time during the lifecycle of the activity, and not at any given time  |         |
|            | Significance severity             | Synthesis of the characteristics described above and assessed as low, medium or high. Distinction will be made for the significance rating without the implementation of mitigation measures and with the implementation of mitigation measures |         |
|            | Nature                            | Includes a description of what causes the effect, what will be affected and how it will be affected   |         |
| <b>2.0</b> | <b>Quality</b>                    | <b>Nature of Environmental Change</b>   |         |
|            | <b>Positive</b>                   | Beneficial impacts  | N/A     |
|            | <b>Negative</b>                   | Adverse Impacts   | N/A     |
| <b>3.0</b> | <b>Probability</b>                | <b>The likelihood of the impact actually occurring</b>  |         |
|            | Improbable                        | Possibility of the impact occurring is none, due either to the circumstances, design, or experience. The chance of this impact occurring is thus zero (0%).   | 1       |
|            | Possible                          | Possibility of the impact occurring is very low, either due to the circumstances, design or experience. The chances of this impact occurring is defined as 25%.   | 2       |
|            | Likely                            | There is a possibility that the impact will occur to the extent that provisions must therefore be made. The chances of this impact occurring is defined as 50%.   | 3       |

| No .       | CRITERIA        | DESCRIPTION  | SCORING |
|------------|-----------------|--|---------|
|            | Highly Likely   | It is most likely that the impact will occur at some stage of the development. Plans must be drawn up before carrying out the activity. The chances of this impact occurring is defined as 75%.  | 4       |
|            | Definite        | The impact will occur regardless of any prevention plans, and only mitigation or contingency plans can be relied upon to contain the impact, the probability of this impact occurring is defined as 100%.  | 5       |
| <b>4.0</b> | <b>Severity</b> | <b>The degree of disturbance</b>   |         |
|            | Very Low        | Impact affects the quality, use and integrity of the system/component in a way that is barely perceptible.   | 1       |
|            | Low             | Impact alters the quality, use and integrity of the system/component, but the system/ component continues to function in a slightly modified way and maintains original integrity (no/limited impact on integrity).  | 2       |
|            | Moderate        | Impact alters the quality, use and integrity of the system/component, but the system/component continues to function in a moderately modified way and maintains general integrity.   | 3       |
|            | High            | Impact affects the continued viability of the system/component, and the quality, use, integrity and functionality of the system or component is severely impaired and may temporarily cease. High costs of rehabilitation and remediation.   | 4       |
|            | Very High       | Impact affects the continued viability of the system/component, and the quality, use, integrity and functionality of the system or component permanently ceases and is irreversibly impaired (system collapse). Rehabilitation and remediation are often impossible. If possible, rehabilitation and remediation are often infeasible due to extremely high costs of rehabilitation and remediation. | 5       |
| <b>5.0</b> | <b>Extent</b>   | <b>The spatial influence of the effects produced by the impact</b>   |         |
|            | Footprint       | Impacted area extends only as far as the activity, such as footprint occurring within the total site area  | 1       |
|            | Site            | Impact could affect the whole, or a significant portion of the site  | 2       |
|            | Regional        | Impact could affect the area around the site including neighbouring farms, transport routes and adjoining towns  | 3       |
|            | National        | Impact could have an effect that expands throughout the country (South Africa)   | 4       |
|            | International   | Impact has international ramifications that go beyond the boundaries of South Africa   | 5       |
| <b>6.0</b> | <b>Duration</b> | <b>Period when the impact is expected to occur</b>   |         |
|            | Short-term      | The impact and its effects will either disappear with mitigation or will be mitigated through  | 1       |

| No.        | CRITERIA              | DESCRIPTION  | SCORING   |
|------------|-----------------------|--|-----------|
|            |                       | natural process in a span shorter than the construction phase (0 – 1 years), or the impact and its effects will last for the period of a relatively short construction period and a limited recovery time after construction, thereafter it will be entirely negated (0 – 2 years).  |           |
|            | Medium-Short-term     | The impact and its effects will continue or last for the period of a relatively long construction period and/or a limited recovery time after this construction period, thereafter it will be entirely negated (2 – 5 years).  | 2         |
|            | Medium-Long-term      | The impact and its effects will continue or last for some time after the construction phase but will be mitigated by direct human action or by natural processes thereafter (5 – 15 years)   | 3         |
|            | Long-term             | The impact and its effects will continue or last for the entire operational life of the development but will be mitigated by direct human action or by natural processes thereafter (15 – 50 years).   | 4         |
|            | Permanent             | The only class of impact that will be non-transitory. Mitigation either by man or natural process will not occur in such a way or such a time span that the impact can be considered transient (Indefinite).   | 5         |
| <b>7.0</b> | <b>Intensity</b>      | <b>The assessment of the intensity of the impact will be a relative evaluation within the context of all the activities and the other impacts within the framework of the project</b>  |           |
|            | Low                   | Impact alters the affected environment in such a way that the natural processes or functions are not affected  | 1         |
|            | Low-Medium            | Impact alters the affected environment in such a way that the natural processes or functions are slightly affected   | 2         |
|            | Medium                | Affected environment is altered, but functions and processes continue, albeit in as modified way   | 3         |
|            | Medium-High           | Affected environment is altered, but functions and processes are modified immensely  | 4         |
|            | High                  | Function or process of the affected environment is disturbed to the extent where the function or process temporarily or permanently ceases   | 5         |
| <b>8.0</b> | <b>Consequence</b>    | <b>The Consequence of issues will be determined using the following formula: Consequence = Type x (Duration + Extent + Intensity)</b>  |           |
|            | Extremely Detrimental | A very serious negative impact which may be sufficient by itself to prevent implementation of the Project. The impact may result in permanent change. Very often these impacts are immitigable and usually result in very severe effects. The impacts will be irreplaceable and irreversible should adequate mitigation and management measures not be successfully implemented. | -18 to 20 |

| No .       | CRITERIA               | DESCRIPTION   | SCORING     |
|------------|------------------------|---|-------------|
|            | Highly Detrimental     | A serious negative impact which may prevent the implementation of the Project. These impacts would be considered by society as constituting a major and usually a long-term change to the (natural and/or social) environment and result in severe effects. The impacts may result in the irreversible damage to irreplaceable environmental or social aspects should mitigation measures not be implemented.                     | 14 to > -17 |
|            | Moderately Detrimental | An important negative impact which requires mitigation. The impact is insufficient by itself to prevent the implementation of the project but which in conjunction with other impacts may prevent its implementation. These impacts will usually result in negative medium to long-term effect on the social and/or natural environment.  | -10 to 13   |
|            | Slightly Detrimental   | A small negative impact. The impact will result in medium to short-term effects on the social and/or natural environment.   | -6 to 9     |
|            | Negligible             | An acceptable negative/positive impact for which mitigation is desirable but not essential. The impact by itself is insufficient even in combination with other low impacts to prevent the development being approved. These impacts will result in negative/positive medium to short-term effects on the social and/or natural environment. The impacts are reversible and will not result in the loss of irreplaceable aspects. | -5 to 5     |
|            | Slightly Beneficial    | A small positive impact. The impact will result in medium to short-term effects on the social and/or natural environment.   | 6 to 9      |
|            | Moderately Beneficial  | An important positive impact. The impact is insufficient by itself to justify the implementation of the Project. These impacts will usually result in a positive medium to long-term effect on the social and/or natural environment.   | 10 to 13    |
|            | Highly Beneficial      | A beneficial impact that may help to justify the implementation of the Project. These impacts would be considered by society as constituting a major and usually a long-term positive change to the (natural and/or social) environment.  | 14 to 17    |
|            | Extremely Beneficial   | A very beneficial impact which may be sufficient by itself to justify implementation of the project. The impact may result in permanent positive change.  | 1 to 20     |
| <b>9.0</b> | <b>Magnitude</b>       | <b>Effect on Environmental and Social Processes</b>   |             |
|            |                        | Magnitude = Probability + Severity + Extent + Duration  |             |
|            | Negligible             | Not serious: changes are barely noticeable  | < 6         |
|            | Low                    | Acceptable, mitigable   | 6-9         |
|            | Moderate               | Undesirable, but mitigable  | 10-13       |
|            | High                   | Very serious  | 14-17       |
|            | Very high              | Totally unacceptable  | >17         |

## **Appendix 5: EMERGENCY PREPAREDNESS AND RESPONSE PROCEDURE GUIDANCE**

The goal of an emergency preparedness and response procedure is threefold:

- To mitigate the impact of the event or incidence on people, property, and the environment.
- To be prepared all the time: The tools and resources needed to react to the disaster and reduce potential damages.
- To have the ability to respond. This is to take action to react to the disaster.

DaIMA Programme consists of various activities of which some are likely to generate impacts and risks in the course of their implementation. In this regard, a system to respond to accidental and emergency situations should be prepared for all activities that are categorized as having substantial risk. An emergency preparedness and response plan should be aligned with local laws and regulations governing occupational health & safety practices and fire & rescue procedures in each country where the DaIMA Programme will be implemented. At the sub project level, emergency preparedness and response plans will entail, at the minimum, all possible emergencies, consequences, required actions, written procedures, and the resources available. They will also have detailed lists of emergency response personnel including their cell phone numbers, alternate contact details, and their duties and responsibilities.

Furthermore, the following broad components should be included in an Emergency Preparedness and Response Plan:

- Identification of potential emergencies based on hazard assessment.
- Procedures to respond to the identified emergency situations.
- Procedures to shut down equipment.
- Procedures for rescue and evacuation.
- List and location of alarms and schedule of maintenance.
- List and location of emergency response equipment (firefighting, spill response, first aid kits, personal protection equipment for emergency response teams).
- Protocols for the use of the emergency equipment and facilities.
- Schedule for periodic inspection, testing and maintenance of emergency equipment.
- Clear identification of evacuation routes and meeting points.
- Schedule of training and drills, including with local emergency response services (firefighters).
- Procedures for emergency drills.
- Emergency contacts and communication protocols, including with communities when necessary, and procedures for interaction with the government authorities.
- Procedures for periodic review and update of emergency response plans.

## Appendix 6: SERIOUS ACCIDENT AND INCIDENT REPORTING PROCEDURE GUIDANCE

### Definitions

- **Incident** - An incident is any unplanned event that resulted in harm or could have resulted in harm or damage to plant or environment.
- **Serious Harm** – Any injuries or illness that causes temporary or severe loss of bodily function (e.g. fractures, amputation).
- **Hazard** – Anything that is a potential source of harm i.e.: trip, slip, work tools etc.
- **Significant Hazard** – Any hazard that has the potential to cause serious harm.
- **All Practicable Steps** – Practicable steps are actions that a reasonable person would take to reduce the chance of harm occurring.
- **Controls** – Actions to reduce the likelihood of harm or the potential consequence of harm.

### Introduction

An Accident and Incident Reporting Procedure ensures that all incidents are responded to in a timely and effective manner and investigated thoroughly. The scope, scale and type of accident and incident reporting process will be proportionate to the nature and scale of the potential impact and risk of the end beneficiary. The following broad components should be included in the DaIMA Participants' Serious Accident and Incident Reporting Procedures:

- Internal resource with designated responsibility for the incident reporting procedure.
- Definition of types of incidents and accidents relevant to the DaIMA programme.
- Methodology to categorise the severity of the accident/incident.
- Process for incident reporting and investigation, including:
  - Receipt of the incident.
  - Documentation of the incident.
  - Categorisation of the type of incident.
  - Notification of relevant parties (e.g. board, investors), dependent on the severity of the incident.
  - Investigation of the incident.
  - Identification of corrective actions.
  - Reporting on the above process.

The above incident investigation and reporting process should include timeframes to ensure timely response to and resolution of incidents. An Incident Notification Form and Incident Reporting Form template can be developed to support this process.

### Incident reporting procedure

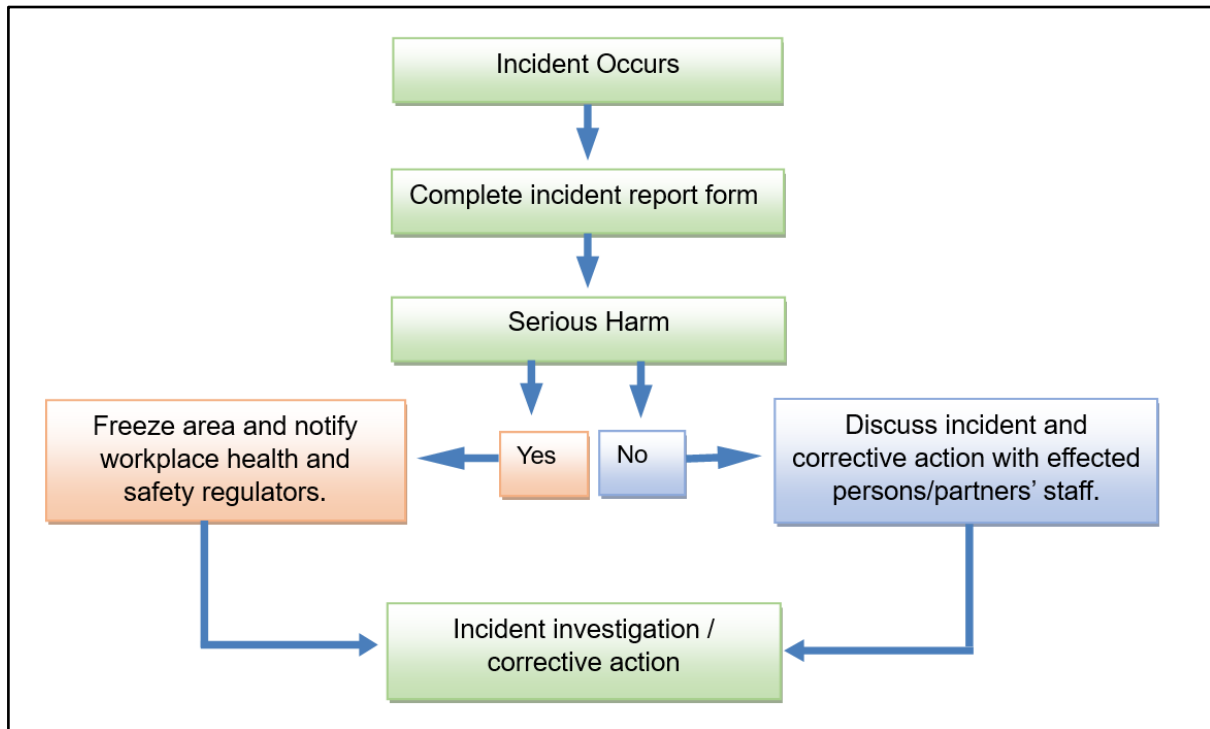
1. Management or employees must report all incidents/accidents to the health and safety office (HSO) with-in 24 hours of becoming aware of the incident/accident.
2. Management or employees must complete the incident/accident reporting form. A copy should be forwarded to the HSO where it will be entered into the Incident register.
3. The supervisor, manager or HSO will discuss the incident with affected staff within 48 hours of receiving the incident report and together they will discuss corrective actions required to prevent re-occurrence.
4. All major incidents and serious harm accidents will be investigated by the HSO.

### Serious Harm

If the incident caused "serious harm" to any person in the workplace, management or employees must inform a supervisor, manager or HSO urgently. The scene must be FROZEN until **the partner country workplace health and safety regulators** have been notified and have given clearance to continue normal work.

Either management, employee or HSO, will notify **the partner country workplace health and safety regulators** of the 'Serious Harm' incident initially via telephone. This will be followed up with-in 7 days by a completed Serious Harm Notification form.

An investigation must commence within 48 hours of the incident occurring.



## **Appendix 7: LABOUR, COMMUNITY HEALTH AND SAFETY MANAGEMENT PLAN**

### **1.0 BACKGROUND**

This Labour Management Procedures (LMP) was developed to manage risks under the **Dairy Interventions for Mitigation and Adaptation(DaIMA)**.

### **1.1 THE DaIMA PROGRAMME**

The **Dairy Interventions for Mitigation and Adaptation(DaIMA) Programme** is a regional programme to be co-financed by the Green Climate Fund (GCF). The objective of the programme is to promote net zero pathways in the dairy sector in East Africa (Uganda, Kenya, Rwanda and Tanzania) for improved food security, livelihoods and incomes of smallholder dairy farmers. It will enable public, private, national and regional investments to be leveraged to reach the objectives of reducing farm-level methane emissions and marketing chain while making net-zero dairy production economically attractive to farmers and dairy sector processors.

### **1.2 DaIMA OBJECTIVES.**

The proposed DaIMA programme aims to reduce methane and other GHG emissions from the livestock sector while increasing the resilience of livestock-dependent communities by ensuring enabling policies, institutional capacity and regional and cross-sectoral cooperation and incentive mechanisms for dairy producers, processors and value chain actors in both public and private sectors to adopt low-emission and climate-resilient technologies and practices that also improve food security, income, employment and pastoral ecosystems across East Africa.

## **2.0 OVERVIEW OF LABOUR ON THE DaIMA PROJECT**

The LMP is applicable, as per ESS 5 to all the DaIMA Project workers as per the following condition:

- People employed or engaged directly by DaIMA to work specifically in relation to the Project,
- Service providers to the Project, will remain subject to the terms and conditions of their existing public sector employment agreement or arrangement,
- People employed or engaged by consultants to perform work related to core function of the Project, regardless of location,
- People employed or engaged by DaIMA's primary suppliers,

### **2.1 LABOUR REQUIREMENTS.**

#### **2.1.1 Direct Workers:**

Direct workers include, the DaIMA PMU staff, PMU, MSMEs staff, Program-based Staff and Permanent Government Staff. The PMU will employ consultants and support staff who will be working on contractual basis as part of the PMU. Terms and conditions of these consultants will be guided by the Labour Laws of each individual country. In addition, the civil servants at the local level will be involved in the program implementation on a full time or on part-time basis. The consultants will be engaged by the Program to undertake short period assignments as necessary. These are consultants guided by specific contractual agreements between them and DaIMA.

Direct workers are eligible to work for a fixed contract period of not more than 1 year. Contracts will be renewed annually based on satisfactory Services. Consultants will be engaged under a short-term period of not more than six months and the labour requirement including the time schedule and deliverables are stipulated in their respective contracts.

The DaIMA will establish a Project Management Unit (PMU) to oversee the Project. The Unit will engage throughout the Project the following personnel:



- Project Coordinator,
- Administrator,
- Procurement Specialist,
- Project Accountant,
- Internal Auditor,
- Monitoring and Evaluation Specialist,
- Environmental and Social Specialist,
- Driver.

### **2.1.2 Contracted Workers:**

Based on the requirement in every component the PMU will employ contractors who will hire contracted workers based on their level of skills and program needs. If agreed with the PMU, sub-contracts of the work could be given. Sub-contractors recruited may supply labourers as per the agreed terms and conditions.

Contracted workers are eligible to work for a contract period fixed by the PMU, and then recruited by the Contractor. Their contracts will be renewed, if required, based on satisfactory services.

### **2.1.3 Primary Supply Workers:**

Based on the requirement in every component primary supply workers will be recruited by the suppliers as required. It will be ensured (and monitored periodically by the PMU) that no children are recruited and supplied as workers. Furthermore, it will be monitored like above that these workers are not subject to 'forced labour' in any manner. The PMU will be responsible to make sure that these standards are followed strictly. If any deviation is identified the PMU will take action as prescribed in the contract/agreement following the LMP.

Their tenure service will be based on supplies as procured.

## **3.0 ASSESSMENT OF POTENTIAL LABOUR RISKS**

The main labour risks associated with the Project are assessed to be related to the work environment and associated risks of accidents. **Based on current conditions in the sector it is assessed that the risk of child or forced labour is negligible**, and already managed through national legislation.

The DaIMA has developed this LMP as part of the ESCMF which will illustrate the types of workers to be engaged and their management in line with ESS5 and national labour laws and regulations. Even though labour influx is not anticipated, social impacts such as GBV, sexual exploitation and communicable diseases for local communities cannot be ruled out. Thus, management and mitigation of GBV/SEA risks were integrated in both the stakeholder engagement and LMP.

### **3.1 LABOUR INFLUX**

It is not expected that there will be any labour influx in any project community. The DaIMA will mandate and localize the economic benefits and only allow for outside, including expatriate labour, where there is a requirement for special skills.

Specific requirements to manage risks associated with labour influx, related to interaction between project workers and local communities, such as communicable diseases and gender-based violence, are managed through contractual requirements, Code of Conduct and training set out in this document. These procedures are guided by the national legislation.

### **3.2 OCCUPATIONAL HEALTH AND SAFETY:**

The Occupational health and Safety measures and action plan guided by the IFAD updated SECAP 21 will be developed and implemented to assess and manage risks and impacts to the community arising from Project activities and workers. The consultants to be engaged will ensure that their employees/staff will be trained on occupational health and safety and records of which are to be inspected monthly and audited bi-annually. The DaIMA will consider the incremental risks of the public's health and safety and potential exposure to operational accidents.

### **3.3 GENDER-BASED VIOLENCE:**

Gender based violence is widespread in Eastern Africa and primarily affects girls and women, hence based on the GBV/SEA/SH country-level risk assessment rating, the social risks of Sexual Exploitation/Harassment and GBV are rated as moderate, and the project will not directly or indirectly cause or contribute to any of the pre-existing social issues related to gender-based violence but will attempt to ultimately contribute to their mitigation through improving the livelihoods of the poor stakeholders.

Nonetheless, there is a possibility of contextual risks of GBV and there could be an increase in the risk and exposure of GBV/SEA against women because they have improved economic opportunity as a result of the project. There is thus a need to uphold safe environments at all activity areas and implement the GBV Action Plan in the project ESCMF.

### **3.4 CHILD AND FORCED LABOUR:**

The risk of child labour will be very minimal and will be mitigated through Certification of labourers' age. This will be done by using the legally recognized documents such as the National Identification Card, and Birth Certificate. Further, awareness-raising sessions will be conducted regularly to the communities to sensitize on prohibition and negative impacts of child and forced Labour.

## **4.0 REGULATORY FRAMEWORK**

All activities under the proposed project must be consistent with all applicable laws, regulations, and notifications that are relevant in the context of the proposed project interventions. Therefore, it is the responsibility of the DaIMA to ensure that the proposed activities are consistent with the regulatory/legal framework, whether National or regional.

### **4.1 LEGAL FRAMEWORK**

DaIMA programme activities must be compliant with the provisions of the legal framework of the relevant host countries as referenced in DaIMA's E&S Policy.

Programme stakeholders in committing to adhere to DaIMA E&S Policy thereby commit to achieving and demonstrating compliance with national, environmental, social, occupational health and safety and labour laws, and construction and operation permits, etc.

In cases where the national requirement provides for the more stringent safeguarding standard, DaIMA's stakeholders shall conform to the national requirements provided it does not create any inconsistencies with the Framework. In cases where there is inconsistency between national requirements and the DaIMA's ESMF, this Framework will prevail to the extent of the inconsistency.

### **4.2 NATIONAL LEGAL FRAMEWORKS**

The DaIMA SEP is also guided by the national laws, regulations, and policies in the End Beneficiary countries in which the Programme will operate. Key national E&S legislation and policies in the DaIMA countries are outlined in the ESMF.

## **5.0 RESPONSIBLE STAFF AND PROCEDURES**

The DaIMA PMU has the overall responsibility to oversee all aspects of the implementations of the LMP, to ensure contractor compliance. DaIMA PMU will address all LMP aspects as part of procurement for works as well as during contractor induction. The contractors will subsequently be responsible for management of labour issues in accordance with contract specific labour Management Plans, implementation of which will be supervised by DaIMA PMU monthly or at shorter intervals as defined by specific Plans. The detailed approach is described in the following sections.

### **5.1 OCCUPATIONAL HEALTH AND SAFETY.**

The DaIMA PMU Environmental Specialist must ensure that the implementation of DAIMA will be conducted in compliance with occupational health and safety requirements. The DaIMA Environmental Specialist will make sure that each participating country and institution receives the template OHS programs, establish safety representatives for day-to-day monitoring of safety requirements, record and report all incidents according to the DaIMA.

### **5.2 LABOUR AND WORKING CONDITIONS.**

Government civil servants, who may provide support to the Project, will remain subject to the terms and conditions of their existing public sector employment agreement and their contract will include Environmental and Health and Safety Guidelines and industry standard code of conduct that address OHS risks and measures to prevent GBV etc. In addition to these the COVID – 19 regulations 2020 will also apply. A Labour Management Procedure (LMP), which illustrates types of workers to be engaged and their management in line with ESS 6 and national labour laws and regulations, has been developed. Although the labour influx is not anticipated, social risks such as GBV, sexual exploitation and abuse within the project workforce are envisaged as possibilities.

### **5.3 CONTRACTORS OCCUPATIONAL HEALTH AND SAFETY.**

Contractors must engage a minimum of one safety representative. Smaller contracts may permit for the safety representative to carry out other assignments as well. The safety representative will ensure the day-to-day compliance with specified safety measures and records of any incidents are done. Minor incidents are reported to DaIMA PMU monthly; serious incidents are reported immediately. Minor incidents are reflected in the quarterly reports to the IFAD.

### **5.4 CONTRACTOR LABOUR AND WORKING CONDITIONS.**

Contractors will keep records in accordance with specifications set out in this LMP. DaIMA PMU may at any time require records to ensure that labour conditions are met. The PMU will review records against actuals at a minimum monthly and can require immediate remedial actions if warranted. A summary of issues and remedial actions will be included in quarterly reports to the IFAD.

### **5.5 WORKER GRIEVANCES.**

The DaIMA PMU's procedures currently developed will remain in place for Project staff. Contractors will be required to present a worker grievance redress mechanism which responds to the minimum requirements in this LMP. The PMU's Social Officer will review records monthly. Where worker concerns are not resolved, the national system will be used as set out in the section, but the PMU will keep abreast of resolutions and reflect them in quarterly reports to IFAD.

### **5.6 ADDITIONAL TRAINING.**

Contractors are required to, always, have a qualified safety officer on board. If training is required, this will be the contractor's responsibility. The safety officer will provide instructions to contractor staff. DaIMA PMU will provide training to address risks associated with labour influx and will provide a schedule for training required. The contractor will be

obligated to make staff available for this training, as well as any additional mandatory training required by DaIMA PMU, as specified by the contract.

## **6.0 POLICIES AND PROCEDURES**

### **6.1 RELEVANT POLICIES AND PROCEDURES**

The engagement and treatment of program staff will be made based on characteristics related to inherent job requirements. It will be based on the principle of equal opportunity and fair treatment, and there will be no discrimination with respect to any aspects of the employment relationship, such as recruitment and hiring, compensation (including wages and benefits), working conditions and terms of employment, access to training, job assignment, promotion, termination of employment or retirement, or disciplinary practices.

Contractors will be responsible for mitigating all environmental and social impacts of projects resulting from activities directly under their control. The DaIMA PMU Environmental Specialist will incorporate standardized environmental and social clauses in the tender and contract documents for potential bidders to be aware of environmental and social performance requirements that will be expected from them and are able to reflect that in their bids and required to implement the clauses for the duration of the contract.

The contractor will be required to ensure that all documentation related to environmental and social management, including the LMP, is available for inspection at any time by the respective Labour Ministries or their appointed agents in the different countries. The contractual arrangements with each project worker must be clearly defined in accordance with each local Legislation. All environmental and social requirements will be included in the bidding documents and contracts in addition to any additional clauses, which are contained in the Projects environmental and social instruments.

The PMU, MSMEs, Contractors, suppliers or sub-contractors will never engage forced labour. Forced labour includes bonded labour (working against an impossible debt), excessive limitations of freedom of movement, excessive notice periods, retaining the worker's identity or other government-issued documents or personal belonging, imposition of recruitment or employment fees payable at the commencement of employment, loss or delay of wages that impede the workers' right to end employment within their legal rights, substantial or inappropriate fines, physical punishment, use of security or other personnel to force or extract work from project workers, or other restrictions that compel a project worker to work on a non- voluntary basis.

### **6.2 LABOUR INFLUX AND GENDER BASED VIOLENCE**

Contractors will need to maintain labour relations with local communities through a code of conduct (CoC). The CoC commits all persons engaged by the contractor, including sub-contractors and suppliers, to acceptable standards of behaviour. The CoC must include sanctions for non-compliance, including non-compliance with specific policies related to gender-based violence, sexual exploitation and sexual harassment (e.g., termination). The CoC should be written in plain language and signed by each worker to indicate that they have:

- Received a copy of the CoC as part of their contract.
- Had the CoC explained to them as part of the induction process.
- Acknowledged that adherence to this CoC is a mandatory condition of employment.
- Understood that violations of the CoC can result in serious consequences, up to and including dismissal, or referral to legal authorities.

A copy of the CoC shall be displayed in a location easily accessible to the community and project affected people. It shall be provided in English and the local language.

Contractors must address the risk of gender-based violence, through: Mandatory training and awareness raising for the workforce about refraining from unacceptable conduct toward local community members, specifically women. Training may be repeated.

- Informing workers about national laws that make sexual harassment and gender-based violence a punishable offence which is prosecuted.
- Adopting a policy to cooperate with law enforcement agencies in investigating complaints about gender-based violence.
- Developing a system to capture gender-based violence, sexual exploitation and workplace sexual harassment related complaints/issues.

This process will be under the portfolio of the Environmental Specialist to be recruited under the PMU and shall identify and engage the relevant stakeholders on GBV and HIV and Aids related issues.

### **6.3 OCCUPATIONAL, HEALTH AND SAFETY**

DaIMA is committed to:

- Complying with Participating Governments' legislation and other applicable requirements which relate to the occupational health and safety hazards.
- Enabling active participation in OH&S risks elimination through promotion of appropriate skills, knowledge and attitudes towards hazards.
- Continually improving the OH&S management system and performance.
- Communicating this policy statement to all persons working under the control of DaIMA with emphasis on individual OH&S responsibilities.
- Availing this policy statement to all interested parties at all participating educational facilities and institutions.

The DaIMA Environmental Specialist will be responsible for overseeing the workplace Safety, Health and Environmental issues. He/she must:

- Identify potential hazards.
- In collaboration with the employer, investigate the cause of accidents at the workplace.
- Attend meetings of the safety and health committee to which that safety and health representative is a member.
- Make recommendations to the employer in respect of safety and health matters affecting employees.

Further to avoid work related accidents and injuries, the contractor will:

- Provide occupational health and safety training to all employees involved in DaIMA works.
- Ensure availability of first aid boxes.
- Provide employees with access to toilets and potable drinking water.
- Provide safety and occupational safety measures to workers with Personal Protection Equipment (PPE) when installing solar systems to prevent accidents during replacement and installation and follow safety measures in installing them.
- Properly dispose of solid waste at designated permitted sites landfill allocated by the local authorities.

Further to enforcing the compliance of environmental management, contractors are responsible and liable of safety of site equipment, labours and daily workers attending to the site installations and safety of citizens for each activity site, as mandatory measures.

### **7.0 AGE OF EMPLOYMENT**

The participating countries have approved both the ILO Minimum Age Convention (C138) and the ILO Worst Forms of Child Labour Convention (C182) in 2002. Section 97 of the

Employment Act applies minimum age protections to children working in industrial undertakings, but it does not cover children working in domestic and agricultural work. Similarly, Section 246 of the Children's Protections and Welfare Act 6, 2012 prohibits hazardous work for children under the age of 18 in industrial undertakings.

The African Charter on the Rights and Welfare of the Children (also known as ACRWC or Children's Charter) was adopted by the Organisation of African Union (OAU) in 1990 and was entered into force in 1999. Most of the participating countries have also ratified both the ILO Minimum of Age Convention (C138) and the ILO Worst Forms of Child Labour Convention (C182). The ACRWC, C138, C182 prohibit employment of children under the age of 18.

The minimum age of employment for this project shall be 18 years and to ensure compliance, all employees will be required to produce National Identification Cards as proof of their identity and age which is the national identification required for employment.

If any consultant employs a person under the age of 18 years, that consultant will not only be terminated but also reported to the authorities.

## **8.0 TERMS AND CONDITIONS**

As stated in the LMP sections, the terms and conditions of employment in the participating countries are governed by the provisions of their respective Employment Acts and it is generally mandatory for employers to give its employees a copy of the written particulars of employment, signed by both parties within six weeks of employment.

Contractors will also be required to comply with the most current Regulations of Wages Orders for their particular sector, e.g., the Building and Construction Industry which is issued by the Government and reviewed on a regular basis. The Wages Orders normally specify the minimum wages, hours of work, overtime pay, leave entitlements, travelling and subsistence allowances, and the issue of protective clothing.

Also it is generally accepted that, before a contractor is awarded a public contract, that contractor is required to certify in writing that the wages, hours and conditions of work or persons to be employed by him on the contract are not less favourable than those contained in the most current wages regulation issued in that country. Where a contractor fails to comply with this requirement, the contract with the contractor may be withdrawn as an approved contractor.

## **8.1 WORKER'S ORGANIZATION**

Most of the countries have also ratified the numerous ILO Conventions aimed at ensuring that member states protect the notion of collective bargaining. These Conventions include ILO Convention 87 on Freedom of Association and Protection of the Right to Organize and ILO Convention 98 on the Right to Organize and Collective Bargaining.

The participating countries' Constitutions also guarantee all workers of their rights to freely form, join or not join a trade union for the promotion and protection of the economic interest of that worker and collective bargaining and representation.

## **9.0 DISCIPLINARY PROCEDURES AND GRIEVANCE MECHANISM**

In any working environment it is essential for both employers and employees to be fully conversant with all aspects of disciplinary processes, the grievance handling procedures and the legal requirements and rights involved. In implementing an effective dispute management system consideration must be given to the disputes resulting from the following:

- Disciplinary Action
- Grievance Redress Mechanism (GRM)
- Individual grievances

- Gender-based violence, sexual exploitation and workplace sexual harassment

### **9.1 DISCIPLINARY PROCEDURE**

The starting point for all disciplinary action is rules. These rules may be implied or explicit and of course will vary from workplace to workplace. Some rules are implied in the contract of employment (e.g., ruling against use of alcohol and drugs at the workplace), however it is advisable that even implied rules be included in the disciplinary code or schedule of offences. Therefore, the workplace rules must be:

- Valid and reasonable
- Clear and unambiguous
- The employee must understand the procedure to be applied if he/she contravenes any of the rules.

A comprehensive Grievance Redress Mechanism has been developed for the project, however the following dispute resolution procedures at workplace will be as follows:

- Conducting a comprehensive investigation to determine whether there are grounds for a hearing to be held.
- If a hearing is to be held, the employer is to notify the employee of the allegations using a language that the employee can understand.
- The employee is to be given reasonable time to prepare for the hearing and to be represented by a fellow employee or lawyer.
- The employee must be given an opportunity to respond to the allegations, question the witnesses of the employer and to lead witnesses.
- If an employee fails to attend the hearing the employer may proceed with the hearing in the absence of the employee.
- The hearing must be held and concluded within a reasonable time and is to be chaired by an impartial representative.
- If an employee is dismissed, he must be given the reasons for dismissal and the right to refer the dispute concerning the fairness of the dismissal to the labour Court.

Therefore, it is incumbent upon the Consultants/Contractor to ensure that they have a disciplinary procedure and Code and Standards which the employees are aware of. Each Consultant/Contractor will be required to produce this procedure to ensure that employees are not treated unfairly.

### **9.2 INDIVIDUAL GRIEVANCE PROCEDURE**

Termination of Employment requires every employer, including contractors, to have a Formal Grievance Procedure which should be known and explained to the employee. Such procedure should at least:

- a. Specify to whom the employee should lodge the grievance.
- b. Refer to time frames to allow the grievance to be dealt with expeditiously.
- c. Allow the person to refer the grievance to a more senior level within the organization, if it is not resolved at the lowest level.
- d. If a grievance is not resolved the employee has the right to lodge a dispute with the employer.

All the contractors who will be engaged for the project will be required to produce their grievance procedure as a requirement for tender which at a minimum comply with these requirements. In addition, good international practice recommends that the procedures be transparent, is confidential, adheres to non-retribution practices and includes the right to representation. After they are engaged, they will be required to produce proof that each employee has been inducted and signed that they have been inducted on the procedure.

### **9.3 COLLECTIVE GRIEVANCES AND DISPUTES RESULTING FROM THE NEGOTIATIONS OF COLLECTIVE AGREEMENTS**

Where a trade union is recognized, it is entitled to negotiate on a regular basis with the employer over terms and conditions existing at the workplace and the employer is obliged to negotiate with it. The procedures followed in such instances is usually contained in the Recognition Agreement, which states how the issues are raised, the procedure for negotiations, the composition of the parties involved in the negotiation and the procedure to deal with issues that are not resolved through consensus.

### **9.4 GENDER-BASED VIOLENCE, SEXUAL EXPLOITATION AND WORKPLACE SEXUAL HARASSMENT**

Violence and harassment in the work world deprives people of their dignity, is incompatible with decent work, and a threat to equal opportunities and to safe, healthy, and productive working environments. It remains a widespread phenomenon, present in all participating countries and disregarding sectors, occupations and workplace arrangements. Convention No. 190 and Recommendation No. 206 recognizes the right of everyone to a world of work free from violence and harassment, including gender-based violence and harassment.

## **10.0 CONTRACTOR MANAGEMENT**

The DaIMA PMU will require that contractors monitor, keep records and report on terms and conditions related to labour management. The contractor must provide workers with evidence of all payments made, including social security benefits, pension contributions or other entitlements regardless of the worker being engaged on a fixed term contract, full-time, part-time or temporarily. The application of this requirement will be proportionate to the activities and to the size of the contract, in a manner acceptable to the DaIMA and the IFAD:

- **Labour conditions:** records of workers engaged under the Project, including contracts, registry of induction of workers including CoC, hours worked, remuneration and deductions (including overtime), collective bargaining agreements.
- **Safety:** recordable incidents and corresponding Root Cause Analysis (lost time incidents, medical treatment cases), first aid cases, high potential near misses, and remedial and preventive activities required (for example, revised job safety analysis, new or different equipment, skills training, and so forth).
- **Workers:** number of workers, indication of origin (expatriate, local, nonlocal nationals), gender, age with evidence that no child labour is involved, and skill level (unskilled, skilled, supervisory, professional, management).
- **Training/induction:** dates, number of trainees, and topics.
- **Details of any security risks:** details of risks the contractor may be exposed to while performing its work—the threats may come from third parties external to the project.
- **Worker grievances:** details including occurrence date, grievance, and date submitted; actions taken and dates; resolution (if any) and date; and follow-up yet to be taken grievances listed should include those received since the preceding report and those that were unresolved at the time of that report.

Every Safety File is 'site-specific'. It will be compiled following the client's and the site's safety specifications. The overall information requirements remain the same, and the site-specific documents will be added.

## **11.0 COMMUNITY WORKERS**

The project will not engage community workers, Community workers are not currently used by the Participating Governments' Ministries of Agriculture in any projects due to the specialized labour needs required.



## **12.0 PRIMARY SUPPLY WORKERS**

This section addresses labour management risk associated with people employed or engaged by DaIMA's primary suppliers. Primary suppliers are suppliers who, on an ongoing basis, provide goods or materials directly to the Project.

The project will require procurement of a substantial number of materials, including protection and control equipment, power-poles, steel products, Solar products, computer products etc.

All primary suppliers are formal businesses who are required to procure and produce materials subject to high standards.

## **Appendix 8: ARCHAEOLOGICAL CHANCE FINDS PROCEDURE**

### **1.0 INTRODUCTION**

The purpose of the Archaeological Chance Find Procedure is to address the possibility of archaeological deposits, finds and features becoming exposed during earthmoving and ground altering activities that will be associated with the **Dairy Interventions for Mitigation and Adaptation (DaIMA)** and to provide procedures to follow in the event of a chance archaeological find.

The objectives of these procedures are to identify and promote the preservation and recording of any archaeological material that may be discovered and notify the relevant District Authority, the Environment Management Authority and the Institution responsible for Museums in the particular country of the discovery, to resolve any archaeological issue that may arise.

### **2.0 ARCHAEOLOGICAL CHANCE FINDS PROCEDURE**

During the project induction meeting/training, all contractors/construction teams will be made aware of the need to be on the lookout for objects of archaeological interest as they carry out their earthmoving and excavation activities.

Generally, the following procedure is to be executed in the event that archaeological material is discovered:

- All construction activity in the vicinity of the find/feature/site will cease immediately.
- The discovered find/ feature/ site will be delineated immediately.
- Record the find location, and make sure all remains are left in place.
- Secure the area to prevent any damage or loss of removable objects.
- Contact, inform and notify the District Administrator (DA), District Environmental Officer (DEO), the Environment Management Authority and the Institution responsible for Museums in the particular country of the discovery,
- The Authorities so notified will avail an archaeologist.
- The archaeologist will assess, record and photograph the find/feature/ site.
- The archaeologist will undertake the inspection process in accordance with all project health and safety protocols under the direction of the District Health and Safety Officer.
- In consultation with the DA, DEO, the Environment Management Authority and the Institution responsible for Museums, the Archaeologist will determine the appropriate course of action to take.

#### **Finds retrieval strategy:**

- All investigation of archaeological soils will be undertaken by hand, all finds, osteological remains and samples will be kept and submitted to the National Museum as required. In the event that any artefacts need to be conserved, the relevant license (License to Alter) will be sought from the National Museum Department.
- An on-site office and finds storage area will be provided, allowing storage of any artefacts or other archaeological material recovered during the monitoring process.
- In the case of human remains, in addition to the above, the Local Leadership will be contacted and the guidelines for the treatment of human remains will be adhered to. If skeletal remains are identified, an osteoarchaeologist will be available to examine the remains.

**Conservation:**

- A conservator should be made available to the project, if required.
- The on-site archaeologist will complete a report on the findings as part of the licensing agreement in place with the Department of Culture.
- Once authorization has been given by the responsible statutory authorities, the client will be informed when works can resume.

## **Appendix 9: DaIMA MONITORING AND REVIEW PROGRAMME GUIDANCE**

A well-drawn Environmental and social monitoring and Review programme should be in place for use during the implementation of the activities funded under the DaIMA Programme. The flow of the monitoring process should start from the project site level where end beneficiaries are found to the Programme Management Unit and further up to IFAD regional office and finally to GCF. The Monitoring and Review Programme should specify the monitoring and reporting requirements for each activity. It will also show clearly the type of end Beneficiaries and risk level of activities that the programme is aimed to monitor. In instances where external monitoring is required to compliment internal efforts the monitoring programme should state so.

The Monitoring and Review Programme for DaIMA should include, among others, the following broad components:

- a. Collection of monitoring data: This should cover guidance on specific data points to be collected and frequency of data collection.
- b. Monitoring Site Visit. This should entail:
  - Site visit protocol (site inspection, interview and performance reporting requirements)
  - Guidance on selection of sites and frequency of site visits
- c. Reporting. This should entail the following aspects:
  - Lines of reporting
  - Frequency of reporting
  - Structure and content of performance monitoring reports (e.g. regulatory compliance, ESMS development updates, new risks identified, etc).
  - Guidance on events that trigger an ESMS review (e.g. changes in regulatory environment, expansion of operations, new risks identified, etc).
  - Details on steps for undertaking an ESMS review.

## **Appendix 10: TORS FOR ENVIRONMENTAL AND SOCIAL SAFEGUARDS SPECIALISTS**

### **1.0 SCOPE OF WORK**

To ensure the effective implementation of the ESMF project wide environmental and social safeguards Specialists will be engaged at:

1. DaIMA Coordination Unit at IFAD.
2. DaIMA focal point at Country level.

The following TORs for environmental and social safeguards can be adapted for each level of operation,

Specific responsibilities and duties will cover three main areas of activity:

#### **Area (1):**

- Support, manage and co-ordinate the project's SECAP risk management issues to ensure the implementation of the Environmental and Social Management Framework (ESMF), Climate Risk Assessment (CRA), activity site specific Environmental and Social Management Plans (ESMPs), Environmental Checklists, Integrated Pest Management Plans (IPMPs), etc.
- Evaluate needed updates as necessary to ensure that the project SECAP risk management instruments are always up to date, and
- Manage procedures including the establishment of an appropriate field structure to ensure the appropriate level of support to technical personnel.

#### **Area (2):**

Establish a Grievance Redress Mechanism/feedback mechanism and advise the DaIMA and key stakeholders in the best practice of monitoring and reporting on the social and environmental impact of the project.

#### **Area (3):**

Support in the coordination of capacity building and training activities to ensure the principles and procedures for the Environmental and Social Management Framework (ESMF) are well understood and complied with by stakeholders.

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#### **Area (1): Project SECAP risk management instruments Implementation support**

- Continuously review and update the developed project SECAP risk management instruments in line with current SECAP developments.
- Support the DaIMA in the coordination, management and implementation of the project SECAP risk management instruments in compliance with the SECAP Policies and the Government of partner states' Environmental standards.
- Support the DaIMA in the development and rolling out of a SECAP risk management monitoring and reporting system against the Environmental and Social Management Framework (ESMF) provisions.
- Support the project partner states line ministries, and all responsible parties to achieve the maximum SECAP risk management efficiency in their assigned tasks.
- Support the project to ensure that safety and health concerns of the workers and the general public are addressed during design, setting up/construction and implementation phases of the project.
- Provide assistance to DaIMA and applicant communities in screening of proposed activities and assigning environmental categories.
- Visit proposed activity sites to assess baseline conditions and potential site-specific impacts.

- Advise on anticipated environmental impacts and possible mitigation measures, and on the relevant type of environmental review to be undertaken and documentation to be prepared (e.g., activity specific Environmental Assessment and/or Environmental Management Plan).
- review activity specific environmental documentation and give recommendations as needed, to applicant communities and designers, for finalizing the documents.
- Participate in evaluation of activity proposals and advise on environmental eligibility and acceptability of proposals, based on guidance provided in the ESMF and on personal experience.
- Working with DaIMA Procurement staff, ensure that environmental compliance is incorporated as appropriate in contracts for goods and services (mainly civil works contracts) and ensure that contractors are fully aware of their responsibilities in this regard.
- During implementation of the approved activities, undertake regular environmental monitoring and supervision in order to verify whether and how provisions of the project ESMF and activity specific ESMPs are followed by all relevant stakeholders (designers, contractors, beneficiaries).
- Report regularly to the DaIMA Coordinator in writing on the results of monitoring visits, promptly identify any environmental issues or cases of non-compliance, and make recommendations for dealing with those issues. In conjunction with the DaIMA Coordinator, discuss compliance status and measures to re-establish compliance with contractors and/or beneficiaries as appropriate, including agreeing on specific steps and timing for any remediation/corrective actions.
- Closely collaborate with technical staff and engineers to ensure that environmental measures are incorporated at all stages of activity preparation and implementation, including site selection, activity design, preparation and evaluation of bidding documents and bids, preparation and supervision of contracts.
- Provide contribution to the DaIMA's regular progress reports on the project implementation.

**Area (2): Establish a Grievance Redress Mechanism in Line with the ESMF requirements.**

- Develop the project grievance redress/feedback mechanism and design the complaints register using an established methodology in consultation with the DaIMA.
- Coordinate the formation of Grievance Redress Committees before the commencement of construction or any identified potentially impactful activities to resolve issues.
- support the establishment and training of a selected focal person within the DaIMA to handle Grievance Redress issues and facilitate the resolution of issues.
- Technically support the DaIMA in creating awareness of the Grievance Redress Mechanism amongst all the stakeholders through public awareness campaigns; and support dissemination of information to the concerned local communities as proposed in the ESMF.
- Develop a system to document information on grievances and redress and progress for monthly/quarterly reporting.

**Area (3): Support in the coordination of training and awareness raising activities.**

- Support in the efficient coordination regarding SECAP instruments considerations to be taken into account in the activity preparatory activities.
- Support the identification of the capacity and training needs of the DaIMA, the partner country's Focal point, partner country's District Offices and other Responsible Parties regarding:
  - Training all farmers in proper dairy livestock keeping, including environmentally friendly fodder production.
  - Training the Farmers in climate change adaptation approaches.

- Training the cooperatives in Group Dynamics, Gender equality, youth engagement and other socially related subjects.
- Training of DaIMA PMU, Country focal persons, District Focal Persons, District Administration Staff, Proximity Extension Staff and farmers in Environmental and natural resources Management, Waste management, etc.
- Training in Pesticides, and pest management.
- Advise on the coordination of the delivery of the requisite training.

## **2.0 QUALIFICATIONS AND EXPERIENCE**

### **2.1 Key Qualifications:**

To adequately address the core issues of this position, the Environmental Specialist should possess the following:

- Master's degree or above in environment, sociology, economics, development, or a closely related field.
- At least seven years of experience related to social and environmental standards and impact assessment in an international development context.
- Technical background and experience in developing safeguards for agriculture, livestock production, land use and management projects.
- Knowledge of Human rights (including human rights-based approaches and human rights impact assessment); gender equality and women's empowerment (including gender mainstreaming and gender analysis).
- Demonstrated knowledge of cultural heritage (including chance find procedures, physical and intangible cultural resources).

### **2.2 Competencies:**

#### Functional Competencies:

- Excellent drafting, documentation and communication skills in English.
- Knowledge of Climate Change and project management skills.
- Proven record on similar documentation work at the National level.

#### Corporate Competencies:

- Promote the highest standards of ethics and integrity.
- Support creativity and innovation.
- Help create an enabling environment for open communication.
- Share knowledge and support a culture of learning.
- Demonstrate fairness and transparency.

#### Language:

- An excellent command of English and Local Languages is a requirement.

## Appendix 11: GBV/SEAH ACTION PLAN

### 1.0 INTRODUCTION

This is a GBV/SEAH and Child Protection Prevention and Response Action Plan for DaIMA. **The plan was developed to ensure that the Project does not have any negative impacts or further perpetuate GBV/SEA.** It presents operational activities as well as recommendations for GBV/SEAH risk mitigation that build on existing mechanisms in the partner states.

### 2.0 CONTEXT OF GBV

**Drivers of GBV/SEAH include entrenched social norms.** Harmful socio-cultural practices such as early and forced marriage, as well as female genital mutilation or circumcision (FGM/C), also persist in some parts of the region, while alcohol and substance abuse further contribute to GBV. Poverty and unemployment are also key drivers of GBV, as associated stress and frustration often manifest in negative coping behaviours including aggression and violence, particularly in the home.

**Incidence of GBV and SEAH in the Partner States presents a significant and persistent challenge.** Despite important gains in advancing more equitable gender norms, challenges in the promotion of gender equality across all spheres persist and incidence rates of GBV/SEAH remain high.

**A culture of silence around experiences of GBV prevails across the region.** This is influenced by socio-cultural norms that both stigmatize survivors, justify and normalize perpetration of violence, particularly in the home. Feelings of shame and fear also deter survivors from seeking care or reporting incidents to justice or security actors. As such understanding of incidence is often impaired and the magnitude of the challenge is likely even more significant. Over half of women (53 percent) who experience sexual violence never seek care nor tell anyone about their experiences of violence, while 42 percent of those who experience physical violence never seek care or tell anyone. It is notable that there is limited understanding of male experiences of physical or sexual violence, however, several studies highlight experiences particularly of sexual assault among adult men and boys. Actual and perceived stigmatization is often even more pronounced for male survivors; thus, the scope and extent of the challenge remains underreported and poorly understood.

The National Governments have developed critical legislation, legal instruments and policy frameworks that seek to address and mitigate the consequences of GBV. These include enacting Sexual Offenses Laws, establishing National Gender and Equality Commissions (NGEC), and laws that Prohibit Female Genital Mutilation.

### 3.0 CATEGORIZATION OF GBV/SEA

GBV/SEAH is an 'umbrella term for any harmful act that is perpetrated against a person's will and that is based on socially ascribed gender differences.' GBV/SEA can occur in a variety of ways, including through the infliction of physical, mental, and sexual harm or suffering threats of such acts, as well as coercion and other deprivations of liberty, such as early or forced marriage, economic abuse and denial of resources, services and opportunities, trafficking and abduction for exploitation, or IPV perpetrated by a former or current partner.

It can also be defined as any actual or attempted abuse of position of vulnerability, differential power or trust, for sexual purposes. This includes, but not limited to, profiting monetarily, socially or politically from the sexual exploitation of another. In IFAD financed operations/projects, sexual exploitation occurs when access to or benefit from IFAD financed goods, works, non-consulting services or consulting services is used to extract sexual gain. Sexual abuse is defined as the actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions.



Sexual harassment (SH) is understood as unwelcome sexual advances, requests for sexual favours, and other unwanted verbal or physical conduct of a sexual nature. SH differs from SEA in that it occurs between personnel/staff working on the project, and not between staff and project beneficiaries or communities. The distinction between SEA and SH is important so that agency policies and staff training can include specific instructions on the procedures to report on both. Both women and men can experience SH.

Four key areas of GBV/SEA risks can be defined:

- *SEA* - exploitation of a vulnerable position, use of differential power for sexual purpose; actual or threatened sexual physical intrusion,
- *Workplace sexual harassment* - unwanted sexual advances; requests for sexual favours, sexual physical contact,
- *Human trafficking* - sexual slavery, coerced transactional sex, illegal transnational people movement; and
- *Non-SEA* - physical assault, psychological or physical abuse, denial of resources, opportunities or services and IPV.

**The broader definition of GBV/SEAH will be applied to this project.** This approach will ensure that a wider set of acts are covered in order to guarantee the protection of project affected persons.

### **3.1 Potential Project-related GBV/SEAH Risks**

**There are several GBV-related negative impacts anticipated from this project.**

There is a risk of GBV against potential project beneficiaries from project and workers. There is also potential risk among co-workers contracted by the DaIMA and among the primary suppliers. GBV could spill over to the communities in the form of sexual favours sought by service providers (e.g., by contractors and primary suppliers) to benefit from the project interventions. Specifically, the following forms of abuse are likely to occur:

- *SEA* - exploitation of workers and community members by the project workers (direct, contract and primary suppliers) using their differential power. This could lead to rape/defilement of women engaged in project activities as workers and service providers, and,
- *Workplace sexual harassment*: this may occur among the workers within the DaIMA, contract workers and primary suppliers in the form of unwanted sexual advances; requests for sexual favours, sexual physical contact.

### **3.2 Key GBV/SEA Mitigation Measures**

**Reporting of GBV/SEA cases committed by contract workers or other workers engaged by the project will be critical.** The DaIMA and the implementing partners including primary suppliers, will require contractors/suppliers to report instances involving credible allegations of GBV/SEA accurately and fully by contract workers, primary suppliers, and/or third parties; and sharing of best practices and lessons learned on addressing GBV/SEA with other stakeholders.

**When working with Primary Suppliers, adequate safeguards will be established, and appropriate actions taken on GBV/SEA.** This will include screening, cooperative arrangements, monitoring, and termination of arrangements where applicable. The dedicated focal points identified for this project (social safeguards officers, and GRM focal points at the national and district offices) have the overall responsibility for the implementation of prevention of SEA policies and activities and will report regularly to the Project Management Unit (PMU) and IFAD.

**GBV/SEA programming guiding principles are outlined below.**

- i. **Confidentiality:** at all stages of the intervention, the privacy and confidentiality of survivors will be assured, prioritizing the well-being of survivors, and ensuring that the delivery of services and support will not compromise the privacy or identity of the individuals involved.
- ii. **Respect:** respect of the wishes, dignity and choice of the survivors will be always observed and during all stages of any intervention. Survivors will be supported to give their free and informed consent, based on a clear understanding of the facts, implications, risks, and consequences of an action, before information is shared or action is taken.
- iii. **Safety and security:** awareness and consideration of any risks or safety concerns that might compromise the physical safety of individuals affected by GBV/SEA will be sufficiently addressed and factored into any GBV/SEA intervention or initiative.
- iv. **Non-discrimination:** all GBV/SEA interventions will be designed to ensure access and the same level of quality of care and assistance for all persons seeking support, or persons affected by GBV/SEA, without regard to sex, gender, age, ethnicity, religion, or other status.

### 3.3 Community awareness

**Practice within IFAD funded projects prescribes that beneficiary awareness raising efforts are undertaken on SEA in beneficiary communities.** Information will be provided on the DaIMA's standards of conduct and reporting mechanisms; community-based complaints mechanisms will be set up in project sites and offices as appropriate, including mechanisms for monitoring and reviewing the complaints mechanisms. An incident reporting form is an integral part of the complaints and investigation mechanisms.

### 3.4 GBV/SEA Referral Pathways

**The IFAD advocates for a survivor centred approach to managing all GBV/SEA cases.** The security and safety of the survivor should take precedence with any actions taken once the case is reported. The PMU aims to provide avenues for comprehensive GBV/SEA services including GBV/SEA case management, psychosocial support and referral mechanisms for survivors, among others, as illustrated in Table 11-7:

**Table ANN 11-1** Template of a Referral Mechanism

| TELLING SOMEONE AND SEEKING HELP (REPORTING)   |  |   |
|--|--|---|
| Survivor/client tells family, friend, community member or service provider; that person accompanies the survivor to the health or psychosocial entry point   | Survivor/client self-reports to any service provider |   |
| IMMEDIATE RESPONSE   |  |   |
| The service provider must provide a safe, caring environment and respect the confidentiality and wishes of the survivor/client, learn the immediate needs, and give honest and clear information about the services available. If agreed and requested by survivor/client, obtain informed consent and make referrals, accompany the survivor/client to assist her/him in accessing services |  |   |
| Medical/health care entry point- GBV/SEA   | Psychosocial support entry point - GBV/SEA Adult     | Psychosocial support entry point-GBV/SEA Child- under 18                    |
| List of health facilities or other entities offering GBV/SEA care and support at the district level.   | Agencies (list agencies operating in the district.)  | The Children Services and other organizations involved in child protection. |
| If the survivor/client wants to pursue police/legal action or if there are immediate safety and security risks, for example, if the survivor is a minor (under 16 years), refer and accompany survivor to police/security or to legal assistance for information   |  |   |
| Safety and Security  | Legal Assistance Counsellors                         |   |

| <b>AFTER IMMEDIATE RESPONSE, FOLLOW-UP AND OTHER SERVICES</b>   |  |  |   |
|---|--|--|---|
| Over time and based on survivor's/Client's choices <b>can</b> include any of the following:                       |  |  |   |
| <b>Healthcare</b>   | <b>Psychosocial services/ Case management</b>  | <b>Protection, security, and justice actors</b>  | <b>Basic needs - children's services, safe shelter</b>  |
| Refer to facilities identified as able to handle GBV/SEA cases (each District has facilities that manage GBV/SEA) | This could be accessed at health facilities or through partners (CSOs, CBOs or FBOs) | <p>Agency Name: The Mounted Police, Ministry of Labor and Social Protection, National Gender Commission.</p> <p><b>SERVICES:</b></p> <ul style="list-style-type: none"> <li>* Arrest perpetrator – Police,</li> <li>* Gather evidence and complete file for case,</li> <li>* Inform survivor and witnesses on court hearing,</li> <li>* Provide physical protection/safe shelter.</li> </ul> <p><b>SERVICES:</b></p> <ul style="list-style-type: none"> <li>* Provide legal counselling,</li> <li>* Transport, accommodation and meals for survivor/witness and family to attend court.</li> </ul> | <p>Agencies: Children Services (among other providers depending on the district) <b>SERVICES:</b></p> <ul style="list-style-type: none"> <li>*Livelihood program, life skills/vocational training/ entrepreneurship.</li> </ul> |

#### 4.0 ACCESS TO JUSTICE

The provision for a project based GRM does not in any way limit the aggrieved party from seeking recourse from the courts of law in the country. Information will be provided to the project beneficiaries on the legal system that they could use as needed including the sources outlined below.

- The Judiciary system has in the past invested in strengthening the National Police Force to establish gender desks in most police stations across the region. Specific police officers have also been trained to manage survivors and ensure that all necessary information and evidence is gathered to facilitate prosecution of offenders/perpetrators, as necessary.
- The National Gender Commissions, which have a GBV/SEA mandate, have offices across the member countries which can be used to facilitate access to justice for survivors and their families.
- There are many organizations (both local and international) operating across the member countries (although not evenly distributed) which render support to survivors in the pursuit of justice.

#### 5.0 PREVENTION OF SEXUAL EXPLOITATION AND ABUSE

This Plan aims to facilitate a consistent approach across all potential GBV/SEA complaints received from every possible channel established to manage GRM on the project (email, call center/hotline, phone calls, in-person reports, etc.). The IFAD has SEA misconduct response systems, which will apply and ensure that all parties engaged in the project respond to the misconduct of project staff or any worker of contractors and primary suppliers. These responses will follow the different organizational set-ups but will all comply with the relevant IFAD protocols on SEA.

All IPs, contractors and suppliers for this project are obligated to create and maintain an environment that prevents GBV/SEA. They are also required to develop systems that maintain this environment, including but not limited to the following.

- i. *Adoption of the Core Principles of the IFAD's GBV/SEA policy.* All categories of workers will be inducted and required to sign a code of conduct (CoCs), which includes expected standards of behaviour regarding GBV/SEA. The IPs, contractors and primary suppliers will further ensure that all workers have been inducted and have signed a CoC.
- ii. *Prevention of Child Labor:* The project shall not engage anyone aged below 18 years of age (as per ILO guidelines to prevent Child Labor).
- iii. *Media:* The DaIMA will ensure that images of children are not used without the consent of both the parent/guardian/caregiver and the child (assent based on the age), and any pictures should have children fully dressed and none should depict them as victims including in captions.

### **5.1 Mitigation of SEA**

Several mitigation measures will be implemented by the project to ensure the protection of all people involved in the project.

- i. *Community awareness and disclosure of CoC:* The CoC will be made available to the public in the project areas, especially to identified project stakeholders. Education and raising of awareness for communities on SEA and their legal rights will be done. Project beneficiaries will be made aware of the laws and services that can protect them and provide redress in case of an incident.
- ii. *Community awareness on child protection concerns:* Communities will be informed that in case project and partner staff abuse children, they should refer such complaints to child protection partners and any other agencies engaged in GBV/SEA prevention without recording the survivor's details.
- iii. *Gender and child sensitive communication channels:* Disclosure will take place through different communication channels taking into consideration child and survivor safety when designing and distributing information by the PMU and/or the respective IP.
- iv. *Training of Workers and Partners:* the DaIMA and all IPs will ensure their direct workers, partners, suppliers and others are trained in CoC, GBV/SEA and child protection risk issues as part of their induction (and refreshers will be offered regularly). They will roll out direct training activities for all contracted, as well as community workers deployed for their activities – prior to the start of such. The IPs will ensure that records of all inductions are kept and shared with the PMU. The PMU and IFAD Team will further review training materials and make suggestions for revision if there are gaps.
- v. *Cases of GBV/SEA can be reported through the general Project GRM:* the GRM focal points for the project will be trained to receive GBV/SEA cases in an appropriate manner. Beneficiaries and communities will generally be encouraged to report all GBV/SEA cases through the dedicated GBV/SEA referral system and complaints resolution mechanism. Contact information will be made explicit in all community awareness sessions, as well as be part of the publicly disclosed information. All information will be made accessible to all project beneficiaries. The GBV/SEA referral system will ensure that survivors receive all necessary services, including medical, legal, counselling, and that cases involving children aged 16 years and below are reported to the police where applicable.

**Cases of GBV will require immediate attention.** If such cases are reported through the Project GRM, the GRM focal point will report the case immediately to the PMU, as the PMU is obligated to report any cases of GBV/SEA to IFAD within 24 hours. Furthermore,

cases need to be reported to the respective IPs, if they concern direct workers or workers from a contractor, NGO partner or even community workers.

## **5.2 Response to GBV/SEA**

The Project team has established a separate GBV/SEA response mechanism that will be used in line with the IFAD Guidance. Responses will include the implementation of sanctions for violations of worker CoC.

- i. All partners and contractors will be required to develop organizational whistleblowing policies that encourage workers to report concerns or suspicions of misconduct by colleagues by offering protection from retaliation for reporting. The definition, scope, and protection measures may differ between organizations. General principles apply to whistle-blowers, as they would to any complainant, and internal agency policies will protect whistle-blowers on GBV/SEA from retaliation, so long as the report is made in good faith and in compliance with internal agency policies (this obligation is also contained in the CoC which is signed with all workers engaged on project activities).
- ii. All IPs will commit to timely and expeditious action to provide assistance to survivors and to comply with all timelines for action laid out in this Action Plan.

## **6.0 INVESTMENTS IN GBV/SEA SERVICE PROVISION AND REFERRAL PATHWAYS**

This GBV/SEA Action Plan provides general guidance and recommendations for improving existing mechanisms, specifically in rural areas and the historically marginalized communities. Where services are not available, training will be provided to frontline health providers on basic response (e.g., psychosocial first aid and basic care). This will be done in consultation with other agencies engaged in project activities as appropriate.

- i. *Safety audit and GBV/SEA assessments* to understand specific GBV/SEA risks in project sites that relate to workers and beneficiaries as well as changes in community gender dynamics.
- ii. *GBV/SEA risk assessments*: This assessment will serve to understand possible negative impacts in gender dynamics in schools and communities in order to implement appropriate mitigation measures. Examples of activities include the engagement of key stakeholders in the community, psychosocial support to workers, community members, etc.
- iii. *Mapping and delineation of GBV/SEA referral services in project areas*: In order to complete existing information on referral pathways in project areas, a community and stakeholder consultation on GBV/SEA referral pathways assessment will provide information on the functioning and effectiveness of referral pathways in place. Consultation will take place during the Project Inception Phase and will serve to update this GBV/SEA Action Plan.
- iv. *Provision of a package of GBV/SEA services* (medical, legal, mental health, psychosocial and materials support) in project areas as per results of the GBV/SEA mapping of Services. GBV/SEA services will be provided through either mobile health outreach teams and/or community/district health centres depending on the project area needs.
- v. *Training on GBV/SEA and Survivor Centered Response for community and district health professionals*. The training of key community structures will include GBV/SEA guiding principles and referral pathways. Also, training on WHO guidelines for Clinical Management of Rape (CRM) and psychosocial support.
- vi. *Provision of hygiene/dignity kits* for vulnerable girls including GBV/SEA survivors and pregnant girls.
- vii. *Provision of relevant GBV materials*, including fliers on referral pathways to be used in case of violation, school re-entry guidelines, and legal redress mechanisms.

- viii. *Strengthen coordination and collaboration:* This will be done at national and district levels by involving the government's relevant units in strengthening of the GBV/SEA package of services and referral systems in project areas.

## **7.0 PARTNERSHIP AND COLLABORATION**

The project will seek partnership with several partners at the Regional, national and sub-national levels. These will include the Health Ministries, Department of Gender, Children's department, Police Service, Judiciary, Probation and Office of the DPP to ensure that perpetrators are arrested, tried in court and sentenced accordingly. The Department of Children's Services has the capacity to rescue abused children and secure them while court proceedings are ongoing to prevent perpetrators from interfering with the judicial process. Further, faith-based organizations, NGOs and various charity organizations also offer support services and rescue efforts countrywide.

## **8.0 GBV/SEA CAPACITY BUILDING, MONITORING AND EVALUATION.**

The project will put in place monitoring tools to ensure adherence to the provisions made in this plan.

### **8.1 Response to GBV/SEA**

The PMFU, as well as IPs, will use the existing GBV/SEA referral pathways as well as expand the availability of the basic package of multi-sectoral GBV/SEA services at the district level. Also, the project will build capacity of service providers to deliver quality GBV/SEA services in line with best practices, with a focus in counties that might not have GBV service providers. The project will ensure that affected women, men, boys and girls receive psychosocial support and safe referral Services.

### **8.2 Monitoring and Supervision**

The Project safeguards team will monitor all GBV/SEA reported cases through the various reporting mechanisms and report back to the PMU. The monitoring will adopt a mixed-methods approach, including the utilization of perception surveys and community-based monitoring to enable an in-depth understanding of the impact of project activities on community members. This is a particularly pertinent approach given the sensitivities of the interventions that centre on children.

**Continuous monitoring:** new complaints and ongoing cases and complaints will be followed closely by the GBV/SEA focal points at the sub-national and national levels.

**Monthly review of services:** the PMU will conduct monthly review of services to ensure the continuous availability of services, continued access to services by survivors, dissemination of correct information to survivors during case management and to women, girls and the community at large during awareness on available Services.

**Quarterly monitoring:** The PMU will monitor the implementation of this Action Plan on a quarterly basis. Quarterly reviews will focus on:

- i. Ensuring that all activities (as listed above) have been undertaken and/or are on track,
- ii. Reviewing all referrals made in specific cases, and assessing whether complaints have been handled and/or resolved appropriately,
- iii. Monitoring and reporting on the effectiveness of the implementation of the GBV/SEA Action Plan, and
- iv. Reporting on progress on all activities and re-assessment of risks and monitoring of the situation as appropriate.

**Non-compliance:** where quarterly reviews identify non-compliance with the GBV/SEA Action Plan, the matter will be reported to the Project Manager in case of IPs' non-compliance and to the IFAD in case of PMU non-compliance. The PMU and IFAD will then

seek clarification from the respective IP or PVMU and jointly develop plans on how to assist to bring activities back on track. Serious cases can lead to the termination of contract with the IP.

**Monitoring and evaluation of SEAH activities will include the following measures:**

- i. The PMU will ensure that all project workers sign the CoC developed for this project. Spot checks will be done at funded facilities to monitor adherence to this provision,
- ii. All staff will be trained on SEA, CoC and the relevant protocols. All GBV/SEA related complaints will be received and handled in a manner that safeguards the well-being of the survivor,
- iii. It is expected that all IPs, contractors, and sub-contractors will disclose their CoC, and that IPs will report all related activities to the PMU for monitoring purposes,
- iv. PMU will monitor that IPs have a GBV/SEA free environment and implement safety audit recommendations regarding lighting, signing of CoC, information on GRM and referral pathways, and
- v. PMU will monitor the project implementers bimonthly on their implementation of the GBV/SEA action plan via reports, community-based monitoring, and field visits.

**On GBV/SEA programming, the PMU will monitor that:**

- i. Communities, including children, are aware of the risks of GBV/SEA, their rights, and the mechanisms available to them to report GBV/SEA cases,
- ii. Appropriate GBV/SEA services and referral pathways are provided to survivors,
- iii. Referral pathways are in place and functional,
- iv. Percentage of first responders who are trained/oriented on the referral pathway,
- v. Standard intake and referral forms are developed and utilized by service providers; and
- vi. Percentage of GBV/SEA survivors who were referred for comprehensive care, within a given period.

## **Appendix 12: CONFLICT ANALYSIS PLAN**

### **1.0 INTRODUCTION**

The conflict analysis Process follows three stages which are i) preparation; ii) creating ownership and committing partners; and iii) data gathering and analysis (Figure 1). Each of the stages involves numerous steps as outlined in figure 1 below.

### **2.0 PREPARATION**

#### **2.1 DEFINING THE OBJECTIVE OF THE CONFLICT ANALYSIS**

The main reasons for conducting the Conflict Analysis include the following:

- To get a better understanding of the possible conflicts and their dynamics to ensure more targeted interventions.
- To enable staff, stakeholders, and other international organisations working in the project area to have an in-depth view of potential conflicts in the region.
- The results of the Conflict Analysis will provide the DaIMA programme with the necessary background information that will enable it to integrate greater conflict sensitivity into its approach and it will allow for organisational adaptation to accommodate the sensitive issues.
- The Conflict Analysis will provide the necessary baseline data against which future evaluations regarding impacts and effects could be measured.

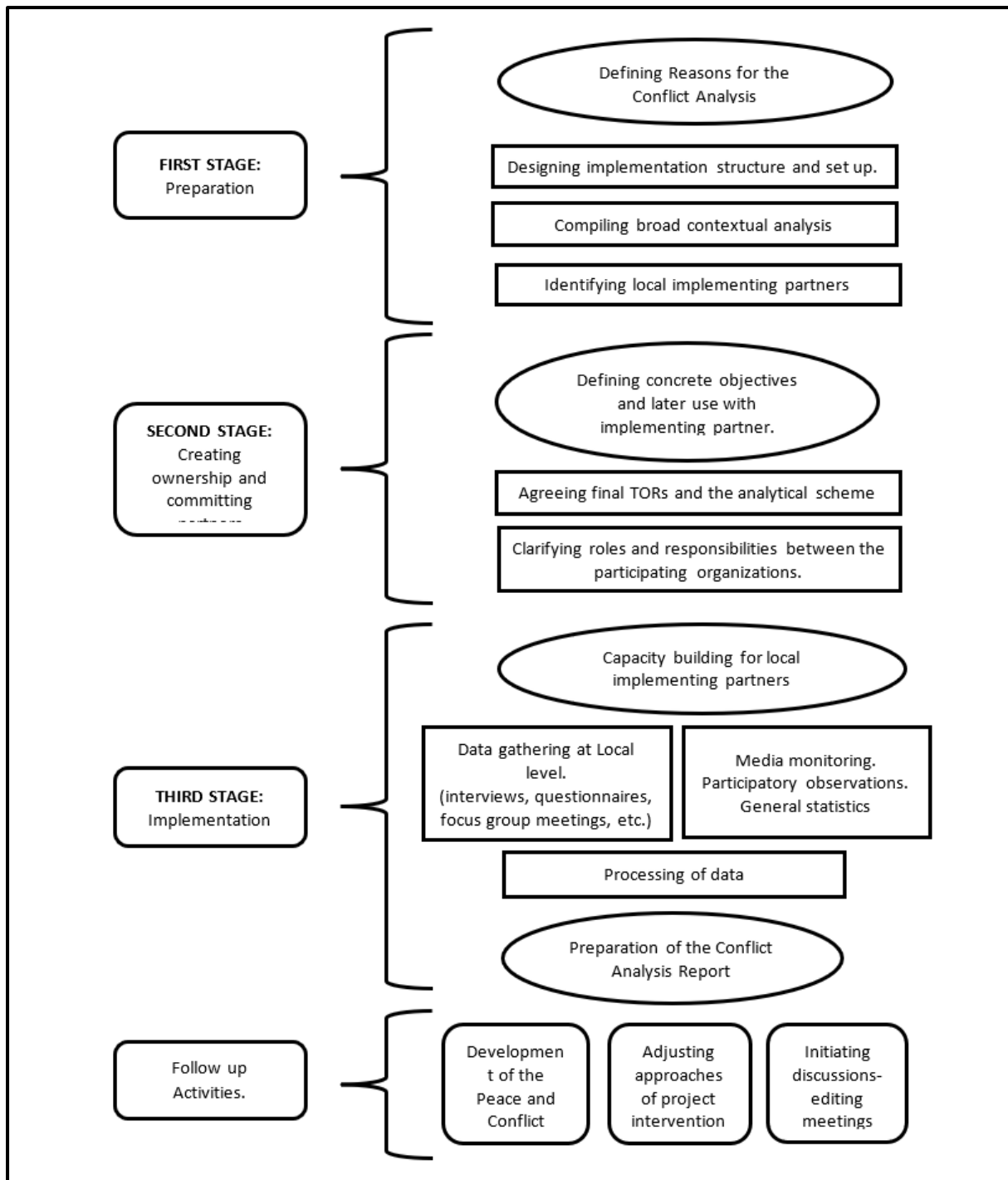
These are defined by convening a meeting involving major representatives from the project area and crafting the objectives, benefits, and eventual outcome of the Conflict Analysis together.

DaIMA will have to hire an external consultant to assure quality analysis and impartial guidance for the Conflict Analysis. The main responsibilities of the consultant will include:

- Preparation of background study,
- Leading the process of selection and discussion with the teams that will carry out the study.
- Developing and finalising the terms of reference and methodology to be used by the teams that will carry out the study.
- Backstopping the study teams during the collection of data
- Revising the methodology where necessary

The consultant must be well versed with conflict resolution approaches in East Africa, have good methodological and practical knowledge of the tools used in conflict analysis, and must be familiar with the institutional set-up in the project area. Further the consultant should work intensively on the Conflict Analysis process and gradually assume a monitoring and supervision role of the study teams.





**Figure 1** The Conflict Analysis Process

## 2.2 OVERALL CONTEXTUAL ANALYSIS

The consultant must conduct a literature review prior to the main data collection exercise, to obtain a more focussed understanding of the main conflict-lines in the region. This will also streamline the subsequent data collection process and helps define more precise terms of reference for the study teams who will be collecting and analysing the data. The main areas for the contextual analysis will include:

- Brainstorming on possible issues for conflict
- Research on conflict history in the region,
- Review of secondary literature

- Determination of key issues

## **2.3 SELECTION OF LOCAL STUDY TEAMS**

To come up with competent teams, local personnel will be paired with competent NGOs. The local personnel will ensure that their local knowledge is made use of whilst the NGO will provide the necessary analytical skills. The criteria for selecting the study teams includes the following:

- Proof that the organisation understood what local conflict analysis is all about.
- Proof of current capacity to conduct Conflict Analysis.
- People or organisations which are well accepted by the local community.
- Evidence of what follow-up steps the organisation will undertake after completion of the Conflict Analysis.

The local study teams/organisation will conduct seminars and meetings with focus groups, undertake media monitoring, collect statistics, process, and analyse the primary data, and finally draft the main conflict analysis report.

## **2.4 DESIGNING THE CONFLICT ANALYSIS IMPLEMENTATION APPROACH.**

Inclusive meetings should be held between DaIMA PMU, Partner country teams, Local NGOs, representatives of End-beneficiaries, etc to design and agree on the Conflict Analysis approach to be taken. The TORs should contain a detailed implementation or action plan. The inclusive meetings should be held regularly to synchronise the approach among the teams and exchange any information and experience.

## **3.0 CREATING OWNERSHIP**

The main objectives of the second stage of the Conflict Analysis process (Figure 2) is to develop a team who will have the same vision, approach and understanding necessary to successfully implement the conflict analysis.

### **3.1 CONCRETE OBJECTIVES AND LATER USE**

Prior to conducting an “in the field” conflict analysis, clear and concise objectives must be agreed upon with the local stakeholders. This should include potential areas of intervention and related follow-on activities. This should emphasise the goals of the conflict analysis and the future use of the insights gained from the analysis. The objectives may include the following:

- Identify the main areas of conflict.
- Gain an understanding of the conflicts.
- Include a base for further activities directed at strengthening local capacities for conflict transformation.
- Develop an awareness of conflict dynamics.
- Monitor future developments and the impact of programme activities on the conflict dynamics.

The further use of the Conflict analysis results must be agreed upon at the start of the process because the publication of such information can lead to or even escalate conflicts. Generally, it can be agreed that the results would be used to:

- Initiate discussions/editing group meetings on specific issues identified and analysed in the Conflict Analysis.
- Develop together with all partners a peace and conflict impact assessment tool.
- Reflect and adjust DaIMA’ approaches.

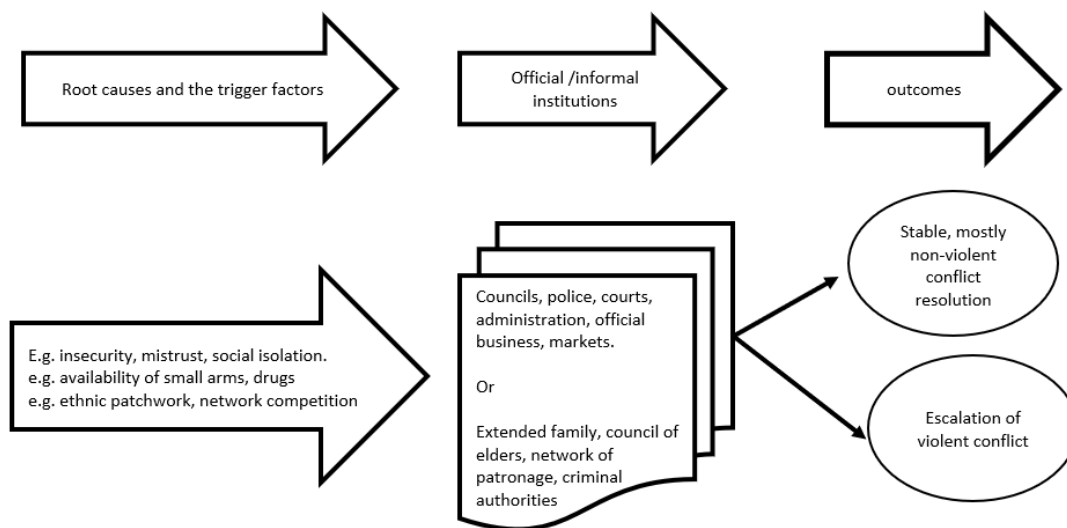
### **3.2 AGREEING FINAL TORS AND THE ANALYTICAL SCHEME**

At this stage, the final TORs are agreed upon. Some issue to include are:

- Conflict source analysis, which identifies the “root causes” and the trigger factors.

- Developing stakeholder analysis and detailing the “who is who” in the conflict. Who are the conflict actors? How are they related to each other? What are their roles in the conflict? What is their desired outcome of the conflict?
- Conflict trend and scenario analysis, which detail the development of the conflict and the actions that could mitigate conflicts and tensions.
- Developing conflict profiles, the, what, where and when of the conflict. What is the conflict about, what is its extent, and what are its impacts? When and how did it start? How did it develop? Where exactly is it taking place and what are the main demographic and geographic indicators of conflict?
- Analysis of conflict processing institutions at the official and social level, analysing the way in which stakeholders deal with the conflict, their formal. Informal and traditional ways as well as the implications of the process used to manage conflicts on further developments.

The analytical scheme is as follows:



**Figure 2** The analytical scheme

### 3.3 ROLES AND RESPONSIBILITIES OF PARTICIPATING ORGANIZATIONS.

DaIMA will have to work with several local organisations (NGOs) to carry out such an analysis. In view of this and the spatial dimensions of the Conflict Analysis, the project must make sure that all organisations clearly understand their roles and responsibilities, e.g., collection of primary data whilst DaIMA PMU supervises the process. The different local organisations who will be involved in primary data collection require a lot of training so that they will conduct the data collection in a standard way.

## 4.0 IMPLEMENTATION

This stage will involve the actual field work which will be implemented by the local organisations. DaIMA’s role will be capacity building, advising, and monitoring.

### 4.1 CAPACITY BUILDING FOR LOCAL PARTNERS

The local partners will require extensive training in:

- General concepts of conflict analysis
- Interview and survey techniques,
- Identifying key stakeholders
- Topics to be addressed during interviews,

- Group discussion approaches,
- Methodologies,
- Training in conflict transformation
- Structuring of questions, to be short and precise

A careful appraisal should be taken of the questions to be asked to avert any possible negative sentiments, mistrust or fear being created.

## **4.2 DATA GATHERING**

A variety of data gathering methods can be used. These can be grouped into quantitative and qualitative methods. The qualitative methods can focus primarily on the way in which the stakeholders deal with conflicts, their perceptions of others and trends.

### **4.2.1 Quantitative methods.**

These can include:

- General statistical information from official national and local sources.
- Administering a focused questionnaire

### **4.2.2 Qualitative methods.**

These can include:

- Focus Group meetings
- Individual native interviews with representatives of focus groups.
- Guideline interviews with local key stakeholders.
- Professional interviews with local experts.

The data gathering will be complemented by physical observations and monitoring of local and national media and other sources of public opinion.

## **4.3 PROCESSING OF DATA**

All the data collected by the local partners can be brought to one central place for processing. The data can be analysed using various qualitative and quantitative methods, ranging from statistical calculations to sociological interview analysis.

## **4.4 PREPARING THE CONFLICT ANALYSIS REPORT.**

Experts can then draft the first draft report structured in line with the various conflict aspects defined in the second stage of the process and reflecting the findings of the analysis. This should include the general information about the conflict parties and stakeholders as well as specific information on conflict fields.

The draft can go through various review stages together with all stakeholders.