

## ESMS - Annex 12

### E&S Monitoring Checklist

#### Alliance for a Green Revolution in Africa (AGRA)

### *E&S Monitoring Checklist*

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

*To be filled out by the responsible person of the grantee/consortium.*

*Please return the filled out questionnaire to the AGRA E&S Officer.*

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

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

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

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

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

PS 1 - Assessment and Management of Environmental and Social Risks and Impacts		
E&S Action and Monitoring / Management System		
Is Environmental and Social Management System (ESMS) documented for the project?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
If an ESMS exists, have there been any changes in the Management System or the Management Plans?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please describe:
Have there been any updates to the Environmental and Social Policies adopted by any of the organizations involved in the project?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please provide a copy of the updated policies, including date when it was issued and reasons for the same.
Please summarize any staff training concerning this project (including number of staff trained) during the reporting period. Please provide a copy of the training plans and training records.		
Have there been any changes in the Environmental and Social Action Plan (ESAP)?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please provide ESAP change log and copy of new ESAP.
Have there been any accidents or <b>environmental or social</b> incidents (during this reporting period) that have caused damage, brought about injuries or fatalities, affected project labour or local communities, affected cultural property, or created liabilities for the project?  Please provide incident logs.	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please describe, including details of actions to repair and prevent reoccurrence:
Is the project materially compliant with all applicable <b>environmental and social</b> laws and regulations?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If no, please provide details of any material non-compliances:
How many inspections did the project receive from the local <b>environmental</b> authorities during the reporting period?	Number:	Please provide details of these visits:
How many inspections did the project receive from the local <b>health and safety</b> authorities during the reporting period?	Number:	Please provide details of these visits:

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

## PS 2 - Labor and Working Conditions

### Human Resources Management

Number of permanent employees for this project at the current reporting period:	Number of temporary employees for this project at the current reporting period:	If applicable, number of contractor staff working for the project at the current reporting period:
Have there been any changes to policies or terms and conditions concerning non-discrimination and equal opportunity within the organisations involved in the project during the reporting period?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please give details:

Have there been any changes to policies or terms and conditions concerning under age (18) employment within the organisations involved in the project during the reporting period?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please give details:	
Have there been any changes to policies or terms and conditions concerning wages (wage level, normal, overtime etc.) or working hours within the organisations involved in the project during the reporting period?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please give details:	
Have there been any changes to policies or terms and conditions concerning union recognition or negotiation within the organisations involved in the project during the reporting period?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please give details:	
Have there been any changes to the health and safety policies within the organisations involved in the project during the reporting period?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please give details:	
<b><u>In case the project involves construction of facilities:</u></b> How many complaints or grievances did the project receive from workers during the reporting period? Summarise any issues raised in the complaints or grievances and explain how they were resolved. Please also provide copies of the grievance log and received grievances.			
Were there any collective redundancies during the reporting period?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please describe including number of workers involved, reasons, consultation undertaken and how they were selected:	
Are there any planned redundancies or additions to the workforce in the next year?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please provide redundancy plan, including number of workers involved and consultation process:	
Have there been any disputes related to labour and working conditions in the reporting period?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please summarize below and provide copies of lodged disputes.	
Have there been any other significant labour issues or grievances raised during the reporting period (including court cases or complaints from trade unions or non-governmental organizations)?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please describe:	
<b>Health and Safety Data</b>			
In addition to the data filled in below, please provide H&S incidence log, including follow up investigations and corrective action implementation for the current reporting period.			
Fatalities <sup>1</sup> :	Number:	Total Lost Time Accidents (including vehicular) <sup>2</sup> :	Number:

<sup>1</sup> If you have not already done so, please provide a separate report detailing the circumstances of each fatality.

<sup>2</sup> Incapacity to work for at least one full workday beyond the day on which the accident or illness occurred.

Total number of lost workdays <sup>3</sup> resulting from incidents:	Number:	Total man-hours worked this reporting period:	Number:
Incidence <sup>4</sup> during this reporting period:	Number:	Incidence during the previous reporting period:	Number:
Please summarise any health and safety training that has been provided for project personnel during the report period. Please provide the training records.			
Please summarise any emergency prevention and response training that has been provided for company personnel during the report period. Please provide the training records.			

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

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

<sup>3</sup> Lost workdays are the number of workdays (consecutive or not) beyond the date of injury or onset of illness that the employee was away from work or limited to restricted work activity because of an occupational injury or illness.

<sup>4</sup> Incidence = total lost workdays / total hours worked

**PS 5 - Land Acquisition and Involuntary Resettlement**

*If Applicable*, please summarize any progress made during the reporting period in the implementation of the Resettlement Action Plan (RAP) or Livelihood Restoration Framework (LRF). Please provide copy of updated RAF/LRF.

Have all the affected persons been fully compensated for their physical displacement and, if applicable, any economic losses resulting from the project?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If no, specify how many compensation payments are still outstanding (in terms of number and percentage of recipients and payment amounts) and state when these payment will be made:
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Please provide a status update of the implementation of livelihood restoration activities as stipulated within the RAP.

Has there been any new land acquired during the reporting period for this project?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, explain the extent of the land acquisition and any due diligence conducted.  Please provide copy of RAF/LRF, including compensation summary and details on compensation rates.
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**PS 6 - Biodiversity Conservation and Sustainable Management of Living Natural Resources**

Has there been any vegetation clearing during this reporting period?	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	If yes, please give details:
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If there has been vegetation clearing during this reporting period, has any clearing occurred during the breeding season of the affected fauna type?	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	If yes, please give details:
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Has site clearing been minimised in accordance with the Construction Site Management Plan?	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	If no, please explain and give reasons:
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Is soil erosion or landslides visible within the project area?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please describe measures for mitigation:
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**PS 7 - Indigenous Peoples**

Have there been any changes to the Indigenous Peoples Plan (IPP) or Framework (IPF)?	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	If yes, please summarize and provide a copy of the updated IPP or IPF.
Please highlight which stakeholder engagement activities detailed above related specifically to indigenous peoples.		

**PS 8 - Cultural Heritage**

Has there been a chance find during the report period?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please give details. Please provide reports/records and follow on actions.
Please summarise any training on chance find that has been provided for personnel during the report period:		