

Alliance for a Green Revolution in Africa

Environmental & Social Management System Manual

For and on behalf of
Environmental Resources Management

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Position: Partner

Signed:

Date: 21 February 2019

Prepared for KfW and Alliance for a Green Revolution in Africa (AGRA)

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BACKGROUND AND CONTEXT TO THIS DOCUMENT

In 2017, the German Federal Ministry for Economic Cooperation and Development (BMZ) entered into a strategic partnership with the Alliance for Green Revolution in Africa (AGRA). The Partnership includes a financial contribution to AGRA to fulfil its statutory purpose and to co-finance AGRA's interventions in two out of AGRA's 11 focal countries prioritized in its "Strategy Overview for 2017-2021": Burkina Faso and Ghana. The purpose of the Partnership is to catalyse and sustain an inclusive agricultural transformation to increase incomes of farmers and improve food security in selected regions of Burkina Faso and Ghana. Target groups are smallholder farmers and small and medium enterprises (SME) in selected value chains of agricultural products.

To deliver this purpose, AGRA has prioritized the following target regions:

- Burkina Faso: Boucle du Mouhoun, Hauts-Bassins, Centre-Est, Centre-Ouest and Cascades;
- Ghana: Brong Ahafo Region and Northern Region.

Within these, AGRA will focus on the following primary crops value chains:

- Burkina Faso: Maize, Rice, Cowpeas and Sorghum;
- Ghana: Maize, Rice, Soybean, Cassava

The funding volume of 10 million Euro will be allocated through the *Kreditanstalt für Wiederaufbau* (KfW) bank. KfW requests an Environmental and Social Management System (ESMS) to assess and manage the environmental and social (E&S¹) impacts of AGRA's activities funded through the BMZ partnership. This ESMS Manual provides a description of processes of the ESMS to ensure that E&S topics are duly addressed as part of the AGRA's interventions in line with the Performance Standards (PS) of the International Finance Corporation (IFC) and the Sustainability Guidelines of KfW Development Bank (2016). Successful implementation of this ESMS will therefore facilitate sound E&S management in line with the requirement of other International Finance Institutions requirements.

¹ For the sake of simplicity, the acronym E&S is used throughout this document, but in the context of the E&S Management System refers to all aspects of "sustainability" as encompassed by the IFC Performance Standards, i.e. environment, social, health and safety, human rights and labour aspects.

This ESMS is designed to impact AGRA's interventions in all focus countries that AGRA operates. Burkina Faso and Ghana have been taken as the implementation rollout test case as per agreement of the funding agreement with KfW. The ESMS is designed for the whole institutional portfolio of AGRA interventions under its new strategy. The ESMS includes all operations in countries of operation. Country-specific amendments will be made to reflect risks and their management in line with the national institutional and regulatory framework and this ESMS. *Note to readers: This report has been prepared in ERM format. For the integration within AGRA's operational procedures it is recommended to integrate this report in the format of the organisation. Blue boxes have been included throughout the document and should also be considered as guidance points for AGRA to assist in integration into the Grant Manual. The boxes provide additional notes on how the ESMS has been prepared or how this could be amended into the AGRA format, and should be removed as the ESMS is adopted.*

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GLOSSARY OF ACRONYMS & TERMS

<i>Acronym</i>	<i>Term</i>
AGRA	Alliance for a Green Revolution in Africa
APO	Associate Project Officer
BMGF	Bill and Melinda Gates Foundation
BMZ	Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung (German Federal Ministry for Economic Cooperation and Development)
EHS	Environment Health and Safety
E&S	Environment and Social
ESAP	Environmental & Social Action Plan
ESDD	Environmental & Social Due Diligence
ESIA	Environmental and Social Impact Assessment
ESMS	Environmental & Social Management System
ESMP	Environmental & Social Management Plan
GC	Grant Committee
GHG	Greenhouse Gas
GMO	Genetically Modified Organism
GRC	Grant Review Committee
H&S	Health and Safety
HR	Human Resources
IFC	International Finance Corporation
ILO	International Labour Organisation
KfW	Kreditanstalt für Wiederaufbau (German Credit Institute for Reconstruction)
KPI	Key Performance Indicator
LRP	Livelihood Restoration Plan
PO	Project Officer
PS	Performance Standard of IFC
PS1	Performance Standard 1
RAP	Resettlement Action Plan
RF	Rockefeller Foundation
RFCN	Request for Concept Notes
RFDP	Reference framework for development partnerships in the agri-food sector
SEP	Stakeholder Engagement Plan
SME	Small and Medium Enterprise
VBO	Village-Based Associate
VP	Vice President
WBG	World Bank Group

DEFINITIONS

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

1 INTRODUCTION

1.1 OVERVIEW OF AGRA

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

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

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

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

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

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

1.2 ESMS STRUCTURE

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

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

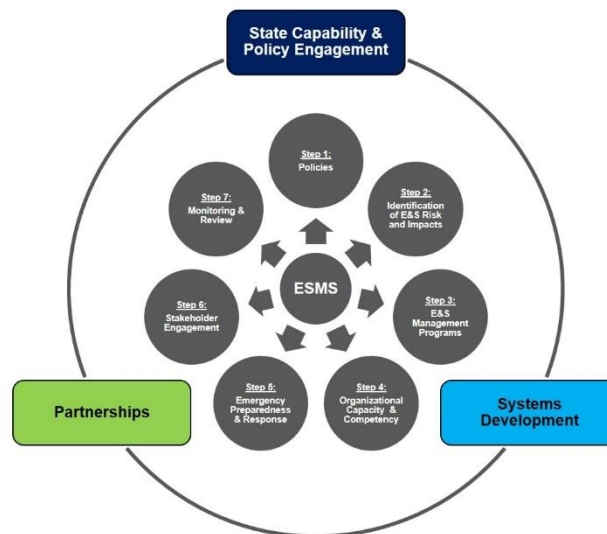


Figure 1-1 ESMS Structure within AGRA’s three main areas of intervention

1.3 APPLICABLE ENVIRONMENTAL AND SOCIAL STANDARDS AND GUIDELINES

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

- National environment, health, safety and labor laws and standards in the host countries of AGRA projects, including requirements for public disclosure and engagement established therein;

- International Law including conventions and treaties adopted by host countries and applicable to AGRA projects;
- Sustainability Guidelines of KfW Development Bank (April 2016);
- IFC Environmental and Social Performance Standards (2012);
- World Bank Group's General Environmental and Health and Safety Guidelines (WBG EHS Guidelines);
- WBG Industry Specific Guidelines, as applicable (i.e. EHS Guidelines for Annual Crop Production, EHS Guidelines for Perennial Crop Production);
- Core Labour Standards of the International Labour Organisation (ILO);
- UN Basic Principles and Guidelines on Development-based Evictions and Displacement;
- IFC Exclusion List for Financial Intermediaries of KfW;
- Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security (VGGT; FAO 2012); and
- BMZ "Reference framework for development partnerships in the agri-food sector (RFDP)".
- USAID – Pesticide Evaluation Report & Safer Use Action Plan (PERSUAP)

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

1.4 AGRA E&S POLICY

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

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

2 IDENTIFICATION OF E&S RISK AND IMPACTS

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Key risk areas	Description
Overall E&S Management	
E&S Governance and Management Systems	Inadequacy of the approach and experience/ competency of the grantee/consortium to managing and budgeting for E&S-related issues can have an impact on the regulatory compliance and E&S performance.
Environment	
Soil Conservation and Management	Physical and chemical degradation of soils (may result from unsuitable management techniques, such as use of inappropriate machinery, etc.). Chemical degradation of soils (may result from insufficient or inappropriate use of mineral fertilizers, etc.).

Key risk areas	Description
	Soil erosion and generation of sediments can be a significant pollutant dependant on the physical and chemical properties.
Water Management	Inadequate water management for crop production could decrease water availability.
Pesticides Use and Management	Pesticide use and potential contamination of soils, wildlife, groundwater, or surface water resources caused by accidental spills during the transfer, mixing, storage, and application of pesticides.
Biodiversity	Key direct impacts on biodiversity relate to habitat conversion or degradation, water usage, pollution through agrochemicals and fertilizers, introduction of invasive species, inappropriate cultivation techniques, and reduced quality and or availability of priority ecosystem services.
Air emissions	<p>Atmospheric emissions are primarily associated with emissions of combustion by-products – including carbon dioxide (CO₂), sulfur dioxide (SO₂), nitrogen oxide (NO_x), and particulate matter (PM) – resulting from the operation of mechanized equipment or from the disposal or destruction of crop residues or processing.</p> <p>Annual crop production produces greenhouse gas emissions (GHG), including methane, nitrous oxide, and carbon dioxide at different stages of the production cycle.</p>
Occupational Health and Safety and labour condition	
Physical hazards	<p>Operational and workplace hazards (Slips, trips, and falls).</p> <p>Machinery and vehicles accidents i.e. vehicle collisions; vehicle and machinery roll-overs, etc.).</p> <p>Confined and restricted space i.e. entry for processing bins and silos, product storage bins, areas treated with pesticide, etc.</p> <p>Exposure to organic dust: threshing, handling, and storage of grain generate potentially high concentrations of organic dust including particles from grain, fungi, and bacteria, as well as inorganic material.</p>
Risk of fire and explosion	Fires resulting from the combustion of stored oil or crop residues, which can lead to a loss of property or cause possible injury to or fatality people.
Biological hazards	Contact with venomous animals, such as stinging insects, spiders, scorpions, snakes, disease vectors (e.g., mosquitoes, ticks), and with certain wild mammals.
Chemical hazards	Potential exposures to pesticides - the effect of such impacts may increase due to climatic conditions, such as wind (which may increase the chance of contaminant drift), elevated temperatures, or high humidity.
Child and forced labour	<p>Child labour, i.e. when someone (a member of the family of the outgrower, or small-business owner) under the legal working age is employed, is harmful if it deprives the child of an education, is economically exploitative or is damaging to physical and mental development.</p> <p>Forced labour, i.e. any work or service not voluntarily performed that is exacted from an individual under threat of force or penalty.</p>
Hybrid crops	The use of hybrid crops may force the smallholder farmer into dependencies with seed developers as yields will substantially decrease when using the following generations of hybrid seeds.
Genetically modified crops (GM)	The use of plants, which DNA has been modified using genetic engineering methods, can lead to possible cross-breeding with related crops, giving them advantages over naturally occurring varieties and thus creating the possibility of long-term ecosystem damage by GM crop usage.

Key risk areas	Description
Community Health and Safety	
Health and Safety (H&S) Management	<p>Land use changes or to the loss of natural buffer areas/ecosystem services (such as wetlands, mangroves, and upland forests that mitigate the effects of natural hazards, such as flooding, landslides, and fire) due to expansion of agricultural land into natural areas and/ or land degradation through poor farming practice.</p> <p>Potential exposure to pesticides.</p> <p>Increased risk of vehicle or machinery injuries on roads.</p>
Land acquisition	
Land acquisition and Involuntary resettlement	<p>Involuntary resettlement refers both to physical displacement (relocation or loss of shelter) and to economic displacement (access to resources for income generation or means of livelihood) due to land acquisition (including rights-of-way) associated with a project's operations.</p> <p>Inadequacy and appropriateness of the grantees' approach to land acquisition and to the extent relevant, stakeholder engagement (including grievance management) on this issue, livelihood restoration and compensation may result in long-term hardship and impoverishment for Affected Communities and persons, as well as environmental damage and adverse socio-economic impacts in areas to which they have been displaced.</p>
Stakeholder Engagement	
Stakeholder Engagement at corporate level grievance management	<p>Stakeholder engagement is the basis for building strong, constructive, and responsive relationships that are essential for the successful management of a project's E&S impacts. If grievances are not recorded as part of the grantees stakeholder engagement activities these grievances could be related to issues that could escalate into legal claims if unresolved.</p>

3 **ESMS MANAGEMENT & ORGANISATION**

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

3.1 **OVERVIEW OF AGRA'S E&S ORGANISATIONAL STRUCTURE**

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

HIGH-LEVEL ORGANIZATION CHART

AGRA - Management Structure – January, 2019

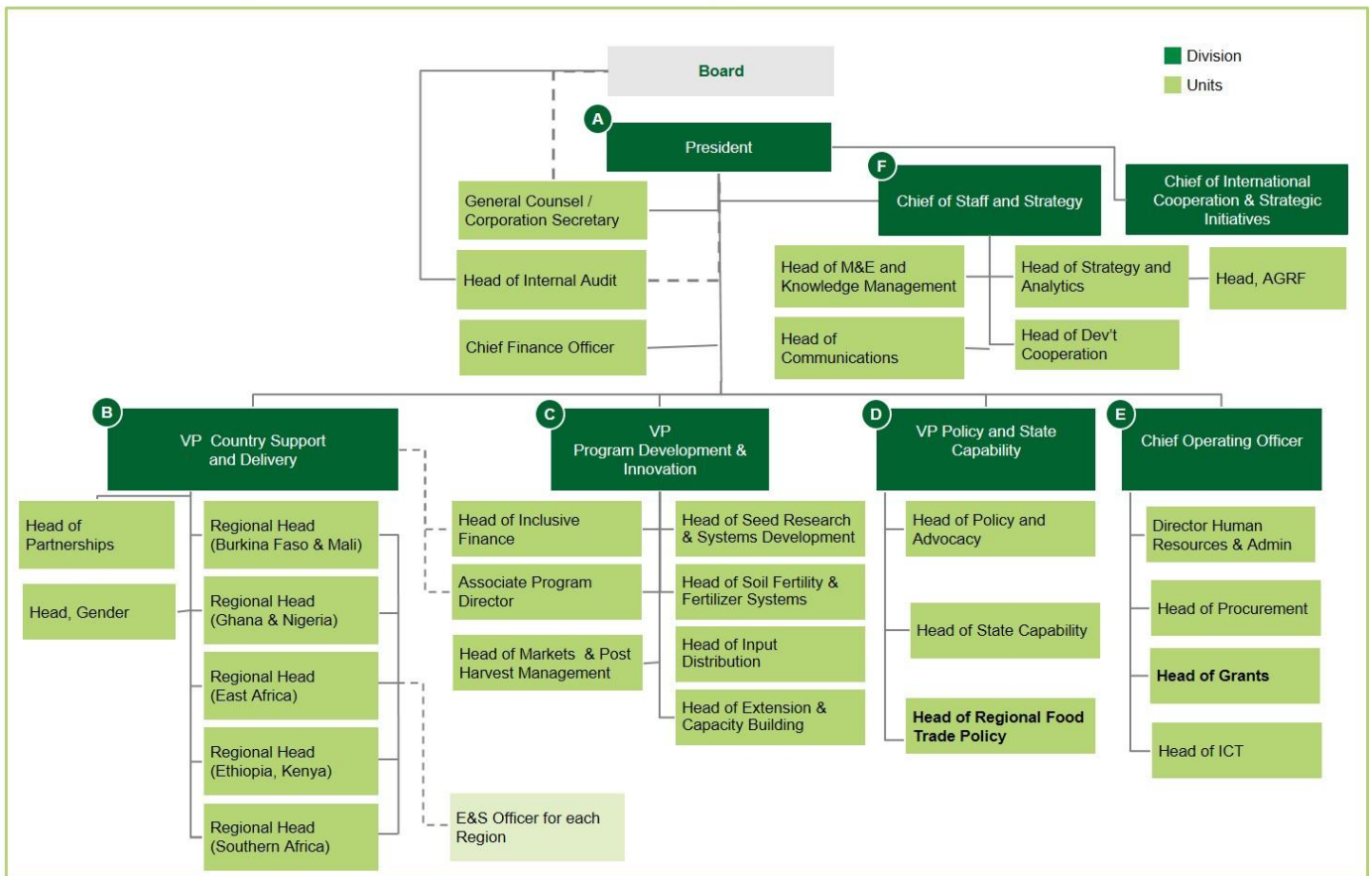


Figure 3-1 **AGRA Management Structure (01.2019)**

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

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

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

Figure 3-2 and

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

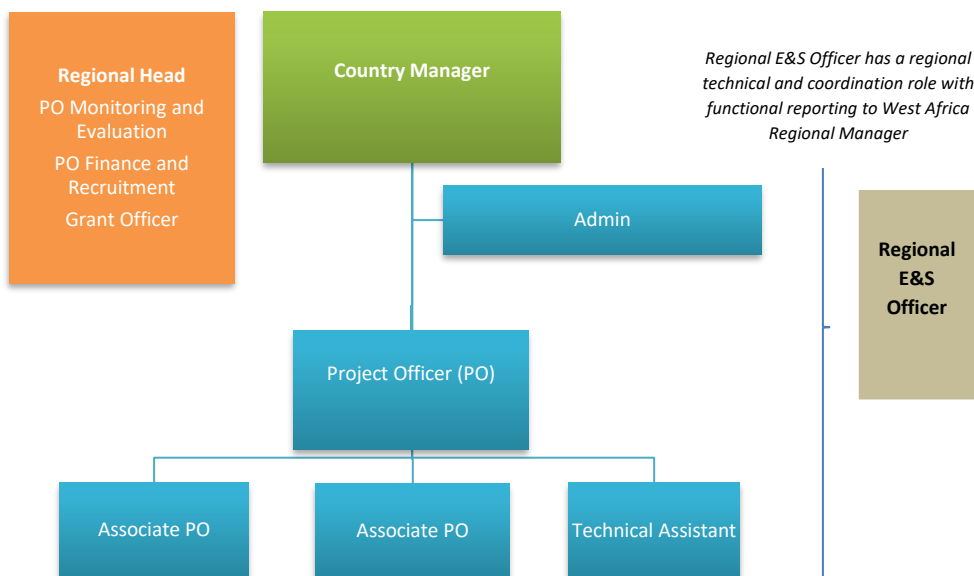


Figure 3-2 Burkina Faso Country and Regional Team

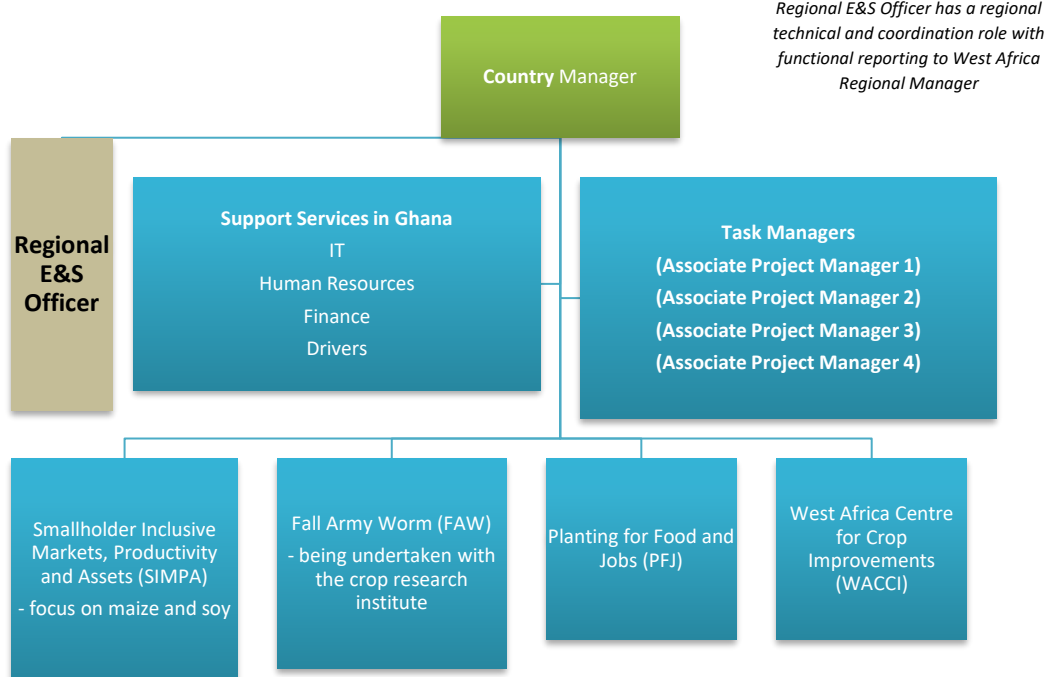


Figure 3-3 Ghana Country Team

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

3.2 E&S ROLES AND RESPONSIBILITIES

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

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

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

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

Table 3-1 E&S Core Roles and Responsibilities

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

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

Table 3-2

AGRA Staff Roles and Responsibilities for the Implementation of the ESMS

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

<i>Role/Title</i>	<i>Responsibility related to E&S Management</i>
Head of Resource Management	Responsible for formal designation of roles and responsibilities and adjustment of any additional HR documents in line with the ESMS. Responsible for managing the training schedules of AGRA personnel associated with the ESMS.
Monitoring and Evaluation	
Head of M&E Unit	Ensures that M&E is being carried out in relation to E&S.
Regional Monitoring and Evaluation Unit (M&E Unit)	Responsible for ensuring that monitoring of E&S is being carried out by E&S team and programme / project officers.

3.3 TRAINING REQUIREMENTS FOR DEVELOPING E&S CAPACITY WITHIN AGRA

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

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

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

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

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

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

4 E&S MANAGEMENT AND MONITORING

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

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

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

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

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

4.2 MANAGEMENT OF E&S RISKS AT THE GRANT LEVEL

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

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

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

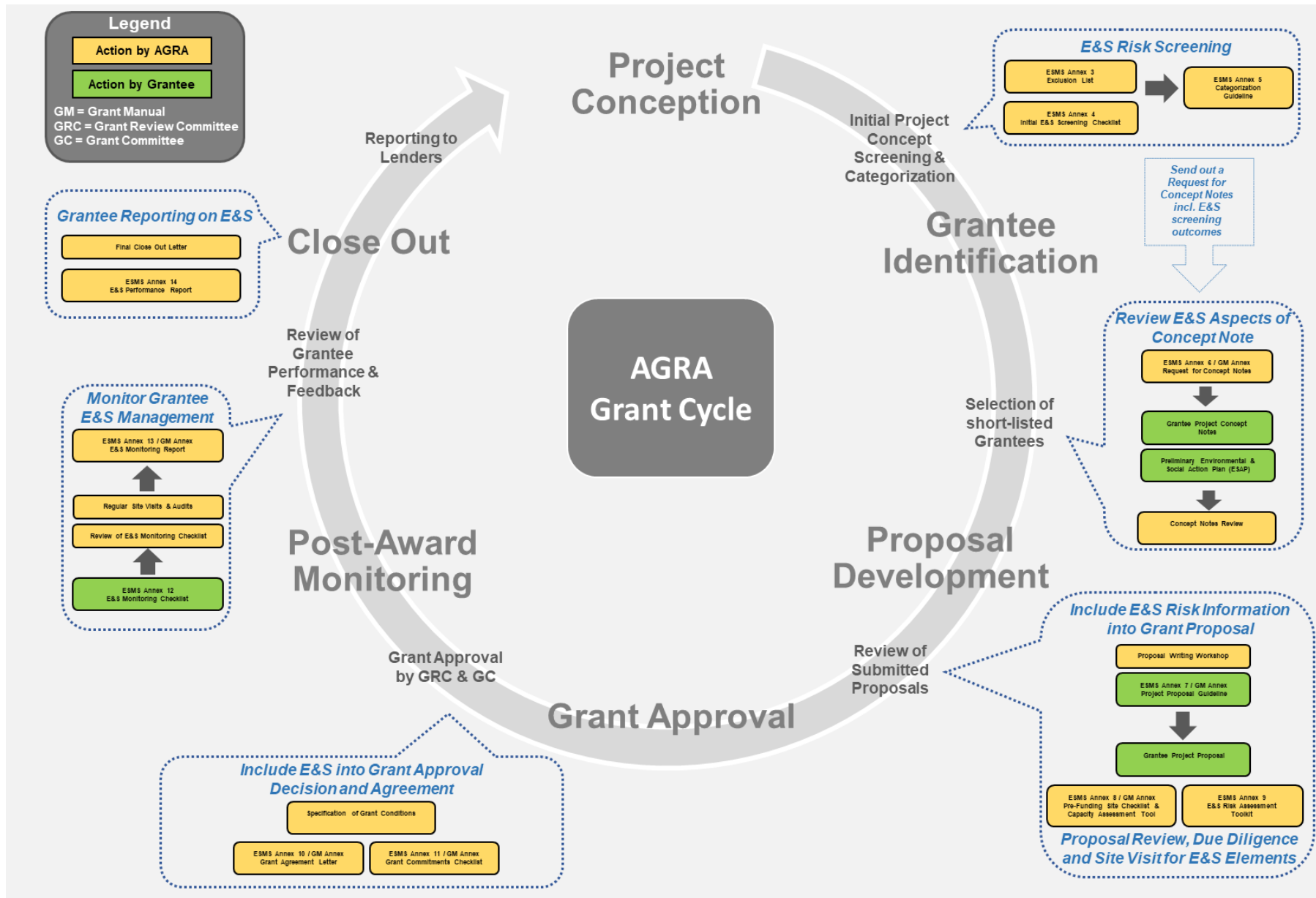


Figure 4-1 E&S Management throughout the AGRA Grant Lifecycle

4.2.1 *Project Conception*

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

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

Pre-Screening and Categorisation of the Proposed Project

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

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

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

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

Preliminary Categorisation of the Proposed Project

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

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

Category A	Category B	Category C
of the location of the project or the impacts and risks are irreversible or unprecedented.	most cases reversible and are easier to mitigate through appropriate measures.	

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

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

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

4.2.2 *Grantee Identification and Concept Development*

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

Project Launch and Demand Creation

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

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

Concept Note and Shortlisted Grantees

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

The RFCN must include all information from the preliminary E&S screening and categorisation process and a commitment on the sustainable management of E&S risks during project implementation. The RFCN

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

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

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

4.2.3 Proposal development

Request for Application and submission of project proposal

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

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

Review of Applications and Due Diligence of Shortlisted Grantees

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

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

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

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

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

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

Additional E&S Studies

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

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

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

Box 1 - Project Categories and subsequent E&S studies

Category A Projects: In addition to ensure applicable E&S legislation (for a template of a Legal Register see Annex 9) are complied with, Category A projects require additional relevant E&S studies to be conducted

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

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

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

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

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

Depending on the project, additional mitigation and management measures may be necessary and need to be implemented by the grantee/consortium in order to obtain the grant approval. The decision on which Management Plans apply may differ between the types of projects and will be defined in the final project ESAP².

² Typical Management Plans might include Waste Management Plan, Traffic Management Plan, Pesticides Management Plan and others.

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

4.2.4 Grant Award

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

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

4.2.5 Post-Award Monitoring and Implementation

Monitoring and Reporting

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

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

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

Audits

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

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

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

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

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

4.2.6 *Grant Close Out*

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

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

5 *STAKEHOLDER ENGAGEMENT*

5.1 *STAKEHOLDER ENGAGEMENT PLAN*

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

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

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

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

5.2 *GRIEVANCE MECHANISM*

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

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

AGRA's will also implement and maintain a grievance mechanism at an organisational and country level in line with the guidance provided in Annex 9.

5.1 *AGRICULTURAL EXTENSION OFFICERS AND VILLAGE BASED ASSOCIATES (VBAs)*

5.1.1 *Agricultural Extension Officers (EOs)*

Among the range of project partners, extension services provided by national and regional governments (through extension officers) and/or by private agro-dealers play a key role for the implementation of

AGRA's projects on the ground. Farmers are dependent on the support provided by extension services for the choice of seeds, fertilizers and pesticides and their combined application.

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

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

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

5.1.2 *Village-based Advisors*

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

6 *ESMS MONITORING AND REPORTING*

6.1 *TIMELINE AND ACTION PLAN*

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

6.2 *REPORTING TO LENDERS*

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

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

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

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

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

ANNEXES

ERM has offices across the following countries worldwide

Argentina	Netherlands
Australia	New Zealand
Belgium	Panama
Brazil	Peru
Canada	Poland
China	Portugal
Colombia	Puerto Rico
France	Romania
Germany	Russia
Hong Kong	Singapore
India	South Africa
Indonesia	Spain
Ireland	Sweden
Italy	Switzerland
Japan	Taiwan
Kazakhstan	Thailand
Kenya	United Arab Emirates
Korea	United Kingdom
Malaysia	United States
Mexico	Vietnam
Mozambique	