



Environmental and Social Risk Management (ESRM) Sector Guide on Accelerating Impacts of CGIAR Climate Research for Africa (AICCRA)

Abbreviations

AfDB:	African Development Bank
AFSLD:	Africa Food Security Leadership Dialogue
AUC :	African Union Commission
CCAFS:	Climate Change, Agriculture, and Food Security
CGIAR:	Consultative Group on International Agricultural Research
CIAT:	International Center for Tropical Agriculture (Centro Internacional de Agricultura Tropical)
CIS:	Climate Information Systems
CSA:	Climate Smart Agriculture
DST:	Decision Support Tools
ESMP:	Environmental and Social Management Plan
ESMS:	Environmental and Social Management System
ESRS:	Environmental and Social Review Summary
E&S:	Environmental and Social
FAO:	Food and Agriculture Organization
GBV:	Gender-based Violence
GIIP:	Good International Industry Practice
HH:	Households
HR:	Human Resources
IDA:	International Development Association
IFAD:	International Fund for Agricultural Development
IPPC:	International Plant Protection Convention
MDAs:	Ministries, Departments and Agencies
OHS:	Occupational Health and Safety
PPA:	Partnership Performance Agreement
PPE:	Personal Protective Equipment
SSA:	Sub-Saharan Africa
UN:	United Nations

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1. Introduction

This Environmental and Social Risk Management (ESRM) Sector Guide is prepared for the agricultural research institutions receiving grants from International Center for Tropical Agriculture (CIAT) through the Accelerating Impacts of CGIAR Climate Research for Africa (AICCRA) project. Those institutions involved in financing and supporting innovative agricultural research activities towards greener growth in agriculture in Africa through this project should apply the Guide as a tool to achieve compliance with environmental and social (E&S) risks mitigation measures as well as when assessing research institutions and their capacity to assess and address E&S impacts. The main focus of the Guide is on Environmental and Social Risk Management (ESRM). However, the entities should also consider opportunities for environmental and social performance improvement beyond risk management.

The objective of the guidelines is to help agricultural research institutions to assess the potential E&S risks and opportunities associated with their research activities towards more productive and climate-resilient agriculture. The Guide provides information on what is needed for project Grant recipients to assess the E&S risks, communicate requirements to agricultural research institutions, as well as monitor and report on implementation.

2. Climate-resilient agriculture: Project Development Objectives, Project Components, Scope and Applicability

2.1. PDO Sector description

Proposed Project Development Objective(s)

The Project Development Objective is to strengthen the capacity of targeted CCAFS (CGIAR Research Program on Climate Change, Agriculture and Food Security) partners and stakeholders, and to enhance access to climate information services and validated climate-smart agriculture technologies in IDA-eligible countries in Africa.

Key Results

Achievements by this project will be measured using the following PDO level indicators:

PDO Indicator 1: CCAFS partners and stakeholders in the project area are increasingly accessing enhanced climate information services and/or validated climate-smart agriculture technologies. (number)

PDO Indicator 2: CCAFS beneficiaries in the project area are increasingly accessing enhanced climate information services and/or validated climate-smart agriculture technologies. (number) (disaggregated by gender percent)

2.2. Project Components

A. Component 1: Knowledge Generation and Sharing (US\$ 17.4 million)

2.2.1. Supporting generation and sharing of knowledge products and tools designed to address critical gaps in the design and provision of agricultural climate services, enable climate-informed investment planning, and contribute to the design of policies to promote uptake of climate smart agriculture (CSA) practices at the regional, sub-regional and national levels, in particular:

- Strengthening provision of Africa-wide agro-climatic services by national agricultural and meteorological agencies and CSA investment planning by national Ministries, Departments and Agencies (MDAs) and private firms, through: (i) development and participatory assessment of climate information service (CIS) packages; (ii) development of decision support tools (DSTs) for tailoring adaptation of interventions and innovations; (iii) planning, implementation and monitoring of investments in agricultural adaptation to climate change; (iv) carrying out of regionally coordinated economic analyses of CSA options under different climate and socio-economic scenarios and rolling out of public and private sector driven pilots with a view to prioritizing best-bet CSA options for uptake at scale; (v) development of financing models for rollout of prototype CSA and CIS solutions for farmers with private sector engagement (including, inter alia, identification of commercially viable business models, design of appropriate financing mechanisms and delivery channels for accelerating deployment of private capital

in low-carbon and climate resilient food systems; and (vi) carrying out of Africa-wide climate, agricultural, environmental, gender and social inclusion policy coherence analyses for regional level CIS and CSA promotion, all through the provision of goods, consulting services, non-consulting services, Training and Workshops, Operating Costs and payment of Staff Salaries for the purpose.

- Supporting provision of agro-climate services in West Africa through: (i) development of agricultural data hubs and decision support systems (such as visualization tools, dissemination systems, partnerships for delivery of early warnings and climate services and climate-informed digital agro-advisories among others); and (ii) strengthening digital climate advisory services through integration of tailored CIS and digital agro-advisories into national extension systems that include weather/climate monitoring, forecast information, pest/disease risk assessments among others, all through the provision of goods, consulting services, non-consulting services, Training and Workshops, Operating Costs and payment of Staff Salaries for the purpose.
- Supporting provision of agro-climate services in Eastern and Southern Africa through: (i) development of agricultural data hubs and decision support systems (such as visualization tools, dissemination systems, partnerships for delivery of early warnings and climate services and climate-informed digital agro-advisories among others); and (ii) strengthening digital climate advisory services through integration of tailored CIS and digital agro-advisories into national extension systems that include weather/climate monitoring, forecast information, pest/disease risk assessments among others, all through the provision of goods, consulting services, non-consulting services, Training and Workshops, Operating Costs and payment of Staff Salaries for the purpose.

B. Component 2: Strengthening Partnerships for Delivery (US\$ 13.2 million)

2.2.2. Strengthening the capacities of key regional and national institutions in Sub-Saharan Africa along the research-to-development continuum for anticipating climate effects and accelerating identification, prioritization, and uptake of best-bet adaptive measures, through:

- Strengthening analytical, priority setting and stakeholder engagement capacities of regional and sub-regional institutions through enhancing collaboration among Africa-wide and regional institutions, all through the provision of goods, consulting services, non-consulting services, Training and Workshops, Operating Costs and payment of Staff Salaries for the purpose.
- Strengthening partnerships for sustained delivery and use of agro-climatic services in West Africa, through: (i) strengthening of national meteorological real-time services such as weather monitoring and forecasting, data generation and archiving systems, provision of online high-resolution historical data analyses, downscaling seasonal forecasts and community of early warnings, all with a view to improving reliability of sub-seasonal and seasonal climate predictions and delivery of real-time information; (ii) strengthening the capacity of public institutions and private firms in respective Anchor Countries for development of delivery models for climate services; (iii) strengthening the capacities of public and private sector next users (such as extension officers, input providers, private sector and the media, among others) for effective adoption and implementation of CSA technologies and practices at scale in various value chains; and (iv) strengthening existing or development of new national frameworks for climate services (such as national early warning, climate service and agro-advisory delivery models, among others) in respective Anchor Countries, all through the provision of goods, consulting services, non-consulting services, Training and Workshops, Operating Costs and payment of Staff Salaries for the purpose.
- Strengthening partnerships for sustained delivery and use of agro-climatic services in Eastern and Southern Africa, through: (i) strengthening of national meteorological real-time services such as weather

monitoring and forecasting, data generation and archiving systems, provision of online high-resolution historical data analyses, downscaling seasonal forecasts and community of early warnings, all with a view to improving reliability of sub-seasonal and seasonal climate predictions and delivery of real-time information; (ii) strengthening the capacity of public institutions and private firms in respective Anchor Countries for development of delivery models for climate services; (iii) strengthening the capacities of public and private sector next users (such as extension officers, input providers, private sector and the media, among others) for effective adoption and implementation of CSA technologies and practices at scale in various value chains; and (iv) strengthening existing or development of new national frameworks for climate services (such as national early warning, climate service and agro-advisory delivery models, among others) in respective Anchor Countries, all through the provision of goods, consulting services, non-consulting services, Training and Workshops, Operating Costs and payment of Staff Salaries for the purpose.

C. Component 3: Validating Climate-Smart Agriculture Innovations through Piloting (US\$ 23.7 million)

2.2.3. Supporting testing and validation (including gender and social inclusion) of CSA technologies in research stations and in farmers' fields; linking of validated CSA technology packages to technology transfer systems; and improving access by farmers and other value chain actors to climate-informed agricultural advisory services so as to inform decision-making about choice of technology and enterprise management, in particular:

- Supporting scaling up of validated CSA-CIS investment initiatives Africa-wide, through: (i) facilitating the identification and leveraging of existing CIS and CSA scalable initiatives (such as climate modeling and early warning systems among others) in the region and continent; (ii) promoting dialogue among stakeholders to secure agreement on common standards and protocols for delivery of climate advisory services at scale; (iii) promoting dissemination of climate research results across the region; and (iv) development of approaches to ensure sustainability of regional and continental initiatives, all through the provision of goods, consulting services, non-consulting services, Training and Workshops, Operating Costs and payment of Staff Salaries for the purpose.
- Supporting the update of CSA packages in the respective Anchor Countries in West Africa, through: (i) carrying out of assessments of gender, social inclusion and climate-smartness of existing and proposed CSA packages through dialogues with various stakeholders with a view to informing new investments and identify scaling mechanisms; (ii) dissemination of information on CSA packages and identification of inclusive scaling mechanisms for adoption of best-bet CSA options; (iii) integration of climate-smart options and tailored CSI advisory systems for specific value chains (such as cereals, legumes, livestock and fish value chains) into tailored climate-informed agro-advisory systems for smallholder profiles; and (iv) development and promotion of climate-smart agricultural investment plans including identification of financing options to support scaling of CSA, CSI services and agro-advisories, all through the provision of goods, consulting services, non-consulting services, Training and Workshops, Operating Costs and payment of Staff Salaries for the purpose.
- Supporting the update of CSA packages in the respective Anchor Countries in Eastern and Southern Africa, through: (i) carrying out of assessments of gender, social inclusion and climate-smartness of existing and proposed CSA packages through dialogues with various stakeholders with a view to informing new investments and identify scaling mechanisms; (ii) dissemination of information on CSA packages and identification of inclusive scaling mechanisms for adoption of best-bet CSA options; (iii) integration of climate-smart options and tailored CSI advisory systems for specific value chains (such as cereals, legumes, livestock and fish value chains) into tailored climate-informed agro-advisory systems for smallholder

profiles; and (iv) development and promotion of climate-smart agricultural investment plans including identification of financing options to support scaling of CSA, CSI services and agro-advisories, all through the provision of goods, consulting services, non-consulting services, Training and Workshops, Operating Costs and payment of Staff Salaries for the purpose.

D. Component 4: Project Management (US\$ 5.7 million)

2.2. 4. Supporting day to day implementation, coordination, supervision and overall communication and management (including, procurement, financial management, monitoring and evaluation, carrying out of audits and reporting) of Project activities and results, all through the provision of goods, consulting services, non-consulting services, Training and Workshops, Operating Costs and payment of Staff Salaries for the purpose.

2.3 Scope and Applicability

This Guide is for use by CIAT and all the research institutions receiving Grants under the project. Institutions or entities that carry out sub-contracted activities for the research institutions will also be required to comply with the requirements of this Guide.

3 E&S Due Diligence Process for Grant Recipients

3.1 CIAT's E&S Procedures

Define all the steps that CIAT will implement to comply with the E&S requirements.

3.2 E&S procedures to be implemented by Grant recipients (agricultural research institutes)

All steps relevant for grant recipients should be explained here.

CIAT and Grant recipients shall develop and implement a process that assists them in the identification, assessment, management and on-going monitoring of identified E&S risks associated with climate-resilient agriculture. Through its Environment & Social Management System (ESMS), CIAT shall assess the E&S risk management system and capacity of research institutions receiving grants. This shall be done as part of the overall assessment of the research institutions receiving grants. Each research institution will adopt the ESMS developed by CIAT, per the requirements of the World Bank ESF.

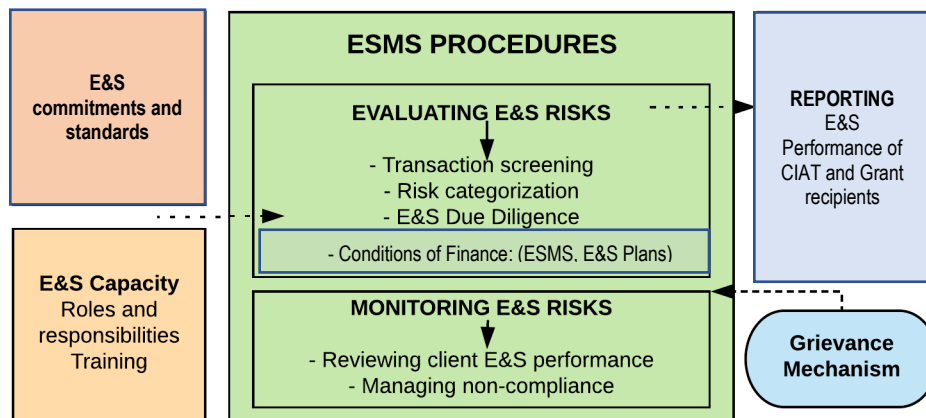
3.3 Environmental and Social Management System for CIAT and Grant Recipients

To identify and manage potential E&S risks associated with the project activities, CIAT shall undertake an E&S due diligence (ESDD) of potential research institutions and the activities for which they are seeking grant. The ESDD shall be conducted prior to client, project or transaction approval. The CIAT ESMS shall also include E&S processes for adequate supervision of the project during the term of the grant.

The Grant recipients implementing the ESMSs should factor E&S risks into the decision-making process before proceeding with a project activity.

The key elements of the ESMS for CIAT and Grant recipients are summarized in **figure 1**. The E&S Procedures are the formal declaration that shows the commitment to manage the E&S performance of the clients. The procedures operationalize this commitment into defined and guided actions. These are part of the evaluating and monitoring E&S risk management steps. A proper and regular reporting system on the E&S performance is necessary to comply with contractual arrangements between CIAT and the Grant recipients, maintain effective working relationships and ensure transparency. Finally, the ESMS will be based both in the management commitment at the institutional level and the existence of a trained and capable capacity among technical staff with defined roles and responsibilities.

Figure 1. Key elements of an ESMS for CIAT and Grant recipients



3.4 Key Applicable E&S Requirements for Agricultural Research Institutions

As part of their ESMS, CIAT and the Grant recipients shall ensure compliance of the Project activities with the following E&S requirements:

3.4.1 E&S exclusion criteria:

- a. Production or activities involving forced labor¹

¹ Forced labor means all work or service not voluntarily performed that is extracted from an individual under threat of force or penalty.

- b. Production or activities involving child labor²
- c. Cross-border trade in pesticide, waste and waste products, unless compliant to the Basel Convention and the underlying regulations³;
- d. Research that may lead to environmentally damaging activities, such as inappropriate use of chemical fertilizers;
- e. Production or trade in any product or activity deemed illegal under host country laws or regulations or international conventions and agreements, or subject to international bans, such as pharmaceuticals, pesticides/herbicides, ozone depleting substances, Polychlorinated Biphenyls (PCBs), wildlife or products regulated under the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES);
- f. Biotechnology application in genetically modified (GM) crops that may involve genetic transformations of the national original crops and/or might generate irreversible environmental impacts;
- g. Activities that could introduce invasive alien species and may impact critical habitats and/or legally protected areas
- h. Activities that may result in discrimination against vulnerable groups, including on the basis of gender and disability
- i. Activities involving land acquisition leading to economic or physical displacement
- j. Activities that affect existing land tenure arrangements or cultural heritage
- k. Activities carried out by institutions with a record of unresolved occupational, health, and safety incidents or accidents⁴
- l. Activities carried out by institutions with a record of unresolved Sexual Exploitation and Abuse/Sexual Harassment incidents⁵
- m. All the other activities excluded under the ESRM Guide of the Project.

3.4.2 Minimum Environmental and Social System Requirements for Agricultural Research Institutions:

CIAT and each Grant recipient shall be required to have an “ESMS” at its level to be comprised at a minimum of:

1. Environmental and Social Management Plan

² Employees may only be hired if they are at least 15 years old, in accordance with the ILO Minimum Age Convention (C138, Art. 2). Children under the age of 18 will not be employed in hazardous work. Children will not be employed in any manner that is economically exploitive, or is likely to be hazardous to, or to interfere with, the child's education, or to be harmful to the child's health, or physical, mental, spiritual, moral, or social development.

³ The Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal, usually known as the Basel Convention, is an international treaty that was designed to reduce the movements of hazardous waste between nations. Under the convention, hazardous waste, as defined under the convention, generally will not be traded cross-border without the consent of the State of import. Under Basel Convention, “hazardous wastes” are defined as (a) Wastes that belong to any category contained in Annex I, unless they do not possess any of the characteristics contained in Annex III; and (b) Wastes that are not covered under paragraph (a) but are defined as, or are considered to be, hazardous wastes by the domestic legislation of the Party of export, import or transit.

⁴ Whether such incidents or accidents have been resolved and an institution is therefore eligible for a sub-grant will be evaluated and decided jointly in writing by CIAT and IDA.

⁵ Whether such incidents have been resolved and an institution is therefore eligible for a sub-grant will be evaluated and decided jointly in writing by CIAT and IDA.

2. E&S procedures for identifying and managing E&S risks in the project activities
3. Human Resource policy (including code of conduct for workers and grievance mechanism for workers)⁶
4. Occupational health and safety policy and procedures
5. Waste management policy and procedures
6. Pest management plan
7. Stakeholder engagement plan and grievance mechanism
8. Plan for E&S management of local farms

Grant recipients shall also be encouraged to put in place an environmental and social policy and follow applicable industry sector WBG Environmental, Health and Safety (EHS) Guidelines and Good International Industry Practice (GIIP).

Implementation of the Project activities should incorporate good practice on energy and water conservation, GMO prohibitions and greenhouse gas emissions management; Integrated Pest Management (IPM) and compliance with a prohibited national list (see Annexes for more details).

3.5 Evaluating E&S Risks and Impacts of Agricultural Research Institutions

The CIAT will undertake an E&S appraisal of client’s grant request. The E&S appraisal procedure shall involve review of the client’s information to identify the project’s E&S potential risks and impacts, and mitigation measures (**Annex 1**). The three main steps as part of the E&S appraisal procedures for each funded activity include: transaction grant activity screening, risk categorization and E&S due diligence. E&S screening questionnaire for Grant recipients is presented in **Annex 2**.

Transaction Grant activity screening

Table 1. Transaction screening when assessing agricultural research institutions

Transaction screening	Description
Type of transaction	- Grants to agricultural research institutions
E&S risk screening <i>(see Annex 2 for E&S screening questionnaire for agricultural research institutions)</i>	<ul style="list-style-type: none"> - Nature of the project’s activities in climate-resilient agricultural research activities - Project work program or plan - Any regulatory licenses/permits <p>Exclusions per the exclusion criteria (see above)</p> <p><i>If evidence is detected of any activities covered under the exclusion criteria, the potential Grant recipient client might not be considered for financing.</i></p>

⁶ The Code of Conduct should include clauses or a separate policy on the prevention of SEA/SH with a separate channel within the grievance mechanism to respond specifically to such cases in a safe, confidential and non-stigmatizing manner.

ESMS of Grant recipients (see section 4)	Does the potential Grant recipient have: <ul style="list-style-type: none"> - An E&S framework or ESMP for climate-resilient agricultural research - Policy, procedure and records on OHS management - Labor Management Procedures (including working conditions and management of worker relationships, measures to protect the workforce, including OHS, SEA/SH policy, codes of conduct for workers and grievance mechanism for workers) - Pesticide and waste management policy or procedures - Stakeholder engagement plan and grievance redress mechanism (such as call centers to respond to users' issues, adapted grievance process for SEA/SH issues) - Existence of a procedure or process to assess E&S risks - Voluntary management systems implemented (ISO 14001, OHSAS 18001 etc.)
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Risk categorization of agricultural research institutions

CIAT shall categorize Grant recipients based on the screening conducted. **Table 2** contains the key suggested considerations for E&S risk categorization when assessing the climate research activities by the agricultural research institutions. No project activity is expected to have Substantial or High E&S risks and impacts, so the table sets out the criteria for Low and Moderate and risks and impacts only.

Table 2. E&S risk categorization when assessing climate-resilient research activities by agricultural research institutions

Risk categorization	Description/Criteria for E&S risks and impacts	Recipient capacity and commitment
Low	<ul style="list-style-type: none"> • minimal or negligible risks to and impacts on human populations and/or the environment • few or no adverse risks and impacts and issues • no further assessment after screening 	
Moderate	<ul style="list-style-type: none"> • risks and impacts not likely to be significant • not complex and/or large • predictable and expected to be temporary and/or reversible; • low in magnitude; • site-specific, without likelihood of impacts beyond the project footprint; • low probability of serious adverse effects to human health and/or the environment • routine safety precautions are expected to be sufficient to prevent accidents 	

	<ul style="list-style-type: none"> easily mitigated in a predictable manner 	
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E&S Due Diligence

Transaction screening and risk categorization are the first steps before a more detailed due diligence process. Following those, the scope of ESDD will be determined by the E&S risk categorization (**Table 3**).

Table 3. ESMS due diligence requirements

E&S Due Diligence	Description
<p>Environmental and Social Plans</p> <p><i>(Annex 3 contains a template for ESP preparation)</i></p>	<p>CIAT should ensure that Grant recipients have agreed to adopt an the ESMS of the project. Grant recipients will be required to prepare, consult upon and disclose appropriate E&S Plans (e.g. Environmental and Social Management Plans, Waste Management Plans, Pest Management Plans, etc.) to identify E&S risks and impacts, and address and mitigate them. CIAT should ensure that the Grant recipients have appropriate procedures with corrective actions to mitigate identified negative E&S impacts and reduce E&S risk levels.</p> <p>CIAT can request Grant recipients to develop a systematic work plan or action plan to improve identified areas of poor or inadequate E&S performance. Also, to communicate the E&S plan, if necessary, with affected communities. The E&S plan should be credible, time-bound and documented.</p> <p>The E&S plan will be reviewed and approved by CIAT. The World Bank will review the first 10 E&S Plans.</p>
<p>E&S Covenants in loan or grant agreements</p>	<p>CIAT shall, where appropriate, include conditions and covenants in the transaction documentation to ensure identified E&S risks are adequately managed and that instances of non-compliance are addressed with the client or treated as events of default. The E&S plan, where one is required, shall be included in the legal covenants for Grant recipients.</p>
<p>Monitoring and Reporting</p>	<p>CIAT shall monitor the E&S performance of the Grant recipients. The monitoring will cover implementation of the ESMS by the Grant recipients and E&S performance of specific activities implemented by the Grant recipients in terms of E&S risks and impacts of the activity.</p> <p>Grant recipients will report on the outcomes of the E&S due diligence for agricultural research institutions to CIAT. (See annex 4)</p>

3.5 Monitoring E&S risks

Where an agricultural research institution has been approved to receive a Grant from CIAT, CIAT will work with the Grant recipients to ensure they implement the agreed E&S plans, or other requirements, that

have been included in the Partnership Performance Agreement (PPA)⁷ to ensure effective E&S risk mitigation. **Annex 5** provides the E&S monitoring form. The monitoring process will provide updates or any changes in exposure for E&S risks and ensure that these risks are properly managed. Non-compliance management situations are presented in table 4.

CIAT shall require all its Grant recipients to report within 48 hours of any incident or accident related to the Project which has, or is likely to have, a significant adverse effect on the environment, the affected communities, the public or workers. CIAT, in turn, will notify the Bank within 48 hours of being informed by the Grant recipient of any such E&S incident or accident related to the Project. The Grant recipient or CIAT will provide within 30 days of the reported incident or accident a report with sufficient detail on the event, indicating immediate measures taken or that are planned to be taken to address it, and any information provided by any contractor and supervising entity, as appropriate. For cases of SEA/SH only non-identifiable information will be shared like type of violence, sex and age of survivor, link to project and whether referral to Gender-Based Violence (GBV) services has been offered. This or a subsequent report will propose any measures (including capacity-building) to prevent its recurrence.

As part of monitoring the activities of the Grant recipient, CIAT might undertake site visit to the research institutions and farms, where applicable, confirm compliance with the E&S requirements.

Table 4. Management of non-compliance situations

<p>Non-compliance situations:</p> <ul style="list-style-type: none"> - Unexpected E&S risk activities with irreversible impacts happening or reported via GRS - Cases of accidents/fatalities; - SEA/SH cases - Grant recipient is not complying with the E&S terms agreed at approval, including the Exceptions List.
<p>Management actions depend on the severity of the situation:</p> <ul style="list-style-type: none"> - Request immediate action, including halting payment or repayment of the prepayment of the grant. - If grant is in several tranches, withhold next tranche until issue is resolved. If repeated business, factor it into next grant decision. - Agree on a timeframe to resolve it.

3.6 Grievance mechanisms

CIAT has a Grievance Mechanism (GM) for labor-related complaints as well as a GM for more general complaints about the project or operations, including environmental and social issues. Each of the Grant recipients will need to set up GMs, including a system/communication channel to receive inquiries from the public and provide responses. These mechanisms allow early warning on potential reputational risks to the institutions. The GMs will also need to be sensitive to SEA/SH complaints with multiple entry points accessible to women and girls, referral to GBV service providers (medical, psychosocial and legal aid

⁷ This is the agreement between CIAT and a Grant recipient.

services are the minimum) and procedures that are confidential and survivor centered. The labor GM for each Grant recipient will be based on the national law of the country in which the Grant recipient is based, the institution's labor policies and the requirements of World Bank Environmental and Social Standard 2 (Labor and Working Conditions)(See **Annex 8**). The project GM for each Grant recipient will include a tiered system for handling complaints (See **Annex 10**).

3.7 Reporting

Grant recipients shall report at least annually about their E&S risk management processes and operations. The reporting should at a minimum include, but is not limited to, the following:

- Number of agricultural research institutions screened
- Number of grants approved
- Portfolio breakdown by activity and E&S risk category
- Compliance of agricultural research institutions with key requirements:
 - o Policy/ procedure and records on occupational health and safety
 - o Labor Management Procedures (including working conditions and management of worker relationships, measures to protect the workforce, including OHS, codes of conduct for workers and grievance mechanism for workers)
 - o SEA/SH policies/clauses in codes of conduct, GM procedures
 - o Pesticide and waste management policy or procedures
 - o Simple ESMP/ESMP Checklist measures
 - o Stakeholder engagement plan and grievance mechanism
 - o E&S management plans for subgrantees/ local farms
 - o Grant recipients shall also be encouraged to put in place environmental and social procedures
- Cases of non-compliance and E&S incidents related to project activities
- Progress in ESMS implementation

Annex 5 provides the E&S reporting form for Grant recipients.

3.8 E&S Capacity

The CIAT and the Grant recipients shall nominate staff who will be responsible for ensuring implementation of the ESMS. Project management commitment is essential to document and implement the E&S requirements of the project. CIAT and the Grant recipients should seek to build their capacity across relevant project activities functions with regard to E&S risk management, including provision of training, as well as recruiting and training specialized staff. Key issues for capacity-building include: (i) environmental and social management, including resource management and waste management; (ii) stakeholder mapping and engagement; (iii) grievance redress; (iv) OHS; (v) SEA/SH; and (vi) community health and safety.

4 ESMS Summary for Agricultural Research Institutions: Components, Responsibilities and Requirements

Table 5. ESMS components, responsibilities and requirements for agricultural research institutions

Component	Responsibilities	Requirements
Identification of E&S risks and impacts (ESMP)	Identification of the potential E&S risks and impacts	Risk identification and assessment process in place. Key risks are related to: solid and liquid waste pollution; use of pesticides and fertilizers, water scarcity/salinity, soil degradation/nutrient loss/erosion; carbon footprint; OHS; biodiversity risks and impacts related to cross-fertilization between experimental crops and local crops or other plant species (including natural habitats); SEA/SH; grievance redress; and, labor risks
Management program	Action plan to avoid, minimize or compensate for the E&S risks and impacts identified	Documented action plan that must necessarily include according to the activity: <ol style="list-style-type: none"> 1. Simple E&S management plan (ESMP checklist) template is found in Annex 3 2. Policy/ procedure and records on occupational health and safety - guidelines on OHS requirements are found in Annex 7 3. Labor Management Procedures (including codes of conduct for workers and grievance mechanism for workers – both with clauses addressing SEA/SH risks) – guidelines on labor requirements are found in Annex 8 4. Pest management guidance is found in Annex 9 5. Stakeholder engagement plan and project grievance mechanism are found in Annex 10
Organizational capacity and competency	Definition of the roles and responsibilities to implement the ESMS	Internal procedures documents on the ESMS implementation, including internal training if necessary. In Annex 7 , indicative occupational health and safety management guidelines for agricultural research institutions can be found
Emergency preparedness and response	To respond effectively to emergency situations	Internal training on first AID to mitigate occupational accidents ⁸

⁸ This would include internal training on safe referral of SEA/SH cases to urgent services with trusted service providers when needed.

Stakeholder engagement and grievance mechanisms	<p>Identification of key stakeholders at the strategic and operating level</p> <p>To establish a way for individuals, groups or communities to contact if they have inquiries, concerns or complaints</p>	<p>Stakeholder engagement plan that includes relevant stakeholders in project design and management, as well as E&S management</p> <p>Establishment of a stakeholder engagement plan and grievance mechanism</p>
Monitoring and review	To monitor compliance with the contractual obligations made with the Financial Institutions	Monitoring plan

5 Reporting system

As indicated in Section 3 above, reporting is a very important element in the ESMS. Grant recipients shall report to CIAT and finally to the World Bank. Each institution will adapt the reporting form presented in **Annex 5**.

Grant recipients should put in place a system for dealing with external communication on E&S matters, for example a point of contact for dealing with public enquiries and concerns.

Different types of E&S information may need to be disclosed to different stakeholders.

- Public reporting – CIAT encourages Grant recipients to publicly disclose information on how they address E&S issues in their operations and project. This may, for example, be in the form of a section in the agricultural research institution’s Annual Report, a dedicated sustainability report, website or other public document, summarizing the Grant recipient’s commitment to, and implementation of, their E&S procedures in lending and investment activities.
- The Grant recipient is required to submit to CIAT annual reports on the implementation of the procedures and the environmental and social performance of its project activities.

6 Capacity building

CIAT will provide Technical Assistance (TA) to the Grant recipients as needed to help them manage E&S risks and impacts. The scope of TA will be based on the capacity building assessment conducted by CIAT, with support from the World Bank. TA will include training and technical tools.

This section should also define the capacity building of sub grantees such as farmers and other entities. All grant recipients who work with subgrantees should ensure that the subgrantees are trained in relevant E&S aspects.

Annexes

Annex 1. General E&S risks and mitigation measures in the project

Based on the nature of the project, key environment and social risks (Table 1-1) include solid and liquid waste pollution; use of pesticides and fertilizers, water scarcity/salinity, soil degradation/nutrient loss/erosion; carbon footprint; natural resource depletion; OHS; biodiversity risks and impacts related to cross-fertilization between experimental crops and local crops or other plant species (including natural habitats); some social exclusion, including gender and other vulnerable groups, SEA/SH; grievance redress; and, labor risks. These are explained in the table below.

Figure 1-1. Key Environmental and Social Risks in the project

Risks	Mitigation Measures
Solid and/or liquid waste pollution	Meeting environmental sustainability criteria such as waste indices (related to waste disposal, waste management and pollution)
Use of fertilizers and pesticides	Training on all aspects of best practice in sustainable pest and disease management programs with focus on compliance (food safety, pesticides residues); comply with synthetic input indices (related to integrated pest management, enforcement of prohibited lists and complete prohibition of synthetics); promote IPM approach; use ICT applications
Water scarcity/salinity	Sustainable use of water resources; ensure that water resources are allocated efficiently and equitably and used to achieve socially, environmentally and economically beneficial outcomes; management of floods, droughts, and drainage; conservation of ecosystems and associated cultural and recreational values
Soil degradation/nutrient loss/erosion	Best practice for minimal soil disturbance, the maintenance of plant cover and diversification of rotations and intercropping; awareness of the effects of inadequate soil management practices; monitor/follow soil indices related for soil conservation and quality maintenance;
Carbon footprint	Employ practices linked to climate change mitigation strategies (biofuel production, bio-production systems with benign or beneficial environmental consequences, carbon sequestration)
Natural Resource Depletion	Use of renewable energies; promote innovative technologies and platforms (effective environmental databases), information technology and biotechnology; promote natural resource management; practice conservation agriculture
Occupational Health and Safety (OHS)	Safe use of fertilizers and pesticides; personal protective equipment (PPE) used according to the Safety Data Sheets (SDS) of the product or according to a risk assessment of the fertilizer product.

Biodiversity Loss	Develop ICT application; promote sustainable; integrated NRM (silvo-pastoral approach); encourage use of voluntary sustainability standards and practices
Labor	Labor Management Procedures for each research institution; no child or forced labor; fair terms of employment; codes of conduct; OHS measures; GM; training
Grievance redress	GM (operational and budgeted); complaints resolved or escalated
Social inclusion of gender (including management of Sexual Exploitation and Abuse/ Sexual Harassment (SEA/SH)), as well as other vulnerable groups	Risk assessment; stakeholder engagement; action plan; codes of conduct; monitoring

The project will not finance: production or activities involving land acquisition leading to economic or physical displacement; or, production or activities that affect existing land tenure arrangements; research on genetically modified or engineered crops outside the research labs/centers and beyond original crops; unsustainable practices that may introduce invasive alien species. Research activities are expected to take place within agricultural research facilities. If project activities are undertaken on local farms (with the owners' and tenant's written consent), CIAT and the Grant recipient will ensure that they adhere to the negative list regarding land acquisition and land tenure arrangements and follow guidelines related to forced and child labor, safe use of fertilizers and pesticides, use of PPE as recommended, and implementation of agricultural practices that do not create significant E&S impacts.

Project financing can also be suspended in cases where there are confirmed cases of: discrimination of vulnerable groups, including gender and disability; occupational, health, and safety incidents or accidents; irreversible effects on biodiversity, and, SEA/SH.

Table 1-1. Summary of Potential E&S Risks and Impacts and possible mitigation measures

Type of risk	Description	Mitigation measures
Waste management	To reduce pollution from waste and raise awareness on proper waste management	<ul style="list-style-type: none"> • Encourage incorporating the cost of the responsible management of waste into the business budgeting and financial projections. Responsibly choose a waste management partner • Encourage common (regional or country) frameworks for recycling materials • Engagement with agricultural industry, regulators, and NGOs to explore practical waste management solutions • Proper waste systems and channel

		<ul style="list-style-type: none"> • Internal training on waste management processes • Promote reuse, recycling or energy recovery • Implementation of voluntary management systems such as ISO 14001⁹
Use of pesticides and fertilizers	Use of PMP; manage reputational risk for use of genetical crops outside the original crops on farmers' land; manage pollution from chemicals and pesticides	<ul style="list-style-type: none"> • Use National Pest Management Plans; • Promote IPM strategy for crop systems; GMO prohibition; • Follow Biosafety and Biosecurity Guidelines for centers; • Capacity building for IPM
Water scarcity/salinity	To reduce water use and pollution	<ul style="list-style-type: none"> • Measures for resource efficiency; • Establish water indices related to water practices, water use management, water reduction criteria and wastewater disposal; • Development of unique agro-technologies and the use of marginal water, such as brackish and reclaimed water; • Strategy/management plans of water transport, rainwater harvesting, and wastewater reuse and desalination, along with a variety of water conservation measures • Improve irrigation practices (drip irrigation); • Communication campaigns and raising awareness on sustainable water management • Training on sustainable water management of productive end users
Soil degradation	Promote soil conservation and soil quality maintenance; reduce/eliminate effects of inadequate soil management practices	<ul style="list-style-type: none"> • Promote silvo-pastoral systems for improvement of water infiltration; soil retention; soil productivity; land rehabilitation, and the reduction of fossil fuel dependence (e.g., substitution of inorganic fertilizer with nitrogen fixing plants);

⁹ ISO 14000 is a family of standards related to environmental management to help companies, organisations, etc. to minimise how their operations negatively affect the environment. ISO 14001 defines criteria for an Environmental Management System. The company, organisation, etc. sets its own targets and performance measures, and the procedures to meet the goals and monitoring and evaluating the situation.

		<ul style="list-style-type: none"> • Training on sustainable soil management practices (e.g., use of suitable weed control alternatives)
Carbon footprint	Relevant to GHG reductions and soil carbon sequestration; reduce transport of agriculture products to distant markets/clients	<ul style="list-style-type: none"> • Employ practices linked to climate change mitigation strategies (biofuel production, bio-production systems with benign or beneficial environmental consequences, carbon sequestration) • Awareness and capacity building programs
Natural resource depletion	Contribute to broader efforts to prevent the loss of soil, water, fuel, plants/animals	<ul style="list-style-type: none"> • Use renewable energy as much as possible • Promote innovative technologies and platforms, such as effective environmental databases, information technology and biotechnology • Promote natural resource management; practice conservation agriculture
Worker/ occupational health and safety	<p>Handling fertilizers and pesticides</p> <p>Slips and trips, falls</p> <p>Manual handling issues</p> <p>Hazards of musculoskeletal disorders Injuries, lack of protective equipment etc.</p>	<ul style="list-style-type: none"> • Workers/ farmers shall wear protective gear and be trained in safe practices • Assessment of workplace hazards. Consult and involve workers/ farmers in the workplace risk assessment as well as in the choice of prevention measures • Internal training on type of risks and suppression measures (safe working procedures) • Supply appropriate Personal Protective Equipment (PPE) and train on its use and ensure that is properly maintained • Maintain a fully stocked and accessible first aid kit
Biodiversity	Cross-fertilization between experimental crops and local crops or other plant species (including natural habitats)	<ul style="list-style-type: none"> • Follow biodiversity indices (related to habitat set-asides, flora densities, and prohibition of high conservation value land); • Introducing invasive alien species is prohibited • Capacity building and awareness to prevent natural resources depletion (e.g., reduce/eliminate agronomic practices such as mono-cropping, destruction of natural habitats, over-exploitation of natural stocks of fish and forests); • Employ relevant ICT applications

<p>Labor and Working Conditions</p>	<p>Child or forced labor</p> <p>Unfair terms of employment</p> <p>Inadequate or unsafe working conditions (OHS, SEA/SH, etc.)</p> <p>Improper grievance redress for workers</p>	<ul style="list-style-type: none"> • Labor Management Procedures for each research institution, based on national requirements and World Bank Environmental and Social Standard 2 (Labor and Working Conditions) • No child or forced labor in the project especially in subgrantees/ local farms that are part of research project • Develop and implement a proper grievance redress mechanism for labor complaints, taking into account existing national labor grievance processes • HR policies with clear and fair terms of employment and working conditions; provisions for no discrimination and equal opportunities • Proper training and records on the employment system and working procedure • Measures to address OHS and SEA/SH risks, including codes of conduct • Employment of women, disabled persons, marginalized community members, etc.
<p>Grievance Mechanism</p>		<ul style="list-style-type: none"> • An accessible, inclusive and free grievance mechanism (GM), which facilitates the resolution of concerns and grievances in a timely way • GM is budgeted for and appropriately staffed; existing formal and informal GM systems to be used and supplemented, as necessary • People can file complaints by various means (face-to-face, mail, email, phone, text, website, suggestion/complaint boxes, etc.) • Clear, impartial and objectives procedures for handling and responding to complaints, including timelines for acknowledgement, decisions and appeals; broad disclosure of the process (website, newspapers, radio, etc.) • Logbook of complaints, with information on the status and outcomes of their handling • Confidential submission process for those complainants who request it; in

		<p>particular, the GMs handling local complaints should include a process for handling SEA/SH complaints confidentially and sensitively, with information on local support to victims</p> <ul style="list-style-type: none"> • Grievance process free of retaliation, abuse or discrimination; if there are allegations of such, the GM includes remedial measures
<p>Social inclusion, such as gender and other vulnerable groups</p>	<p>Opportunities for women to engage in the project</p> <p>Social tension</p> <p>Sexual Exploitation and Abuse/ Sexual Harassment</p>	<ul style="list-style-type: none"> • Stakeholder engagement, communications/outreach which is sensitive to vulnerable groups, including women, disabled, marginalized community members, etc. • Measures to take account of any social conflict that affects or is exacerbated by project activities • Engage women as valuable partners in the agricultural research activities, including, where relevant, women's organizations, farmers' cooperatives, civil society and non-governmental organizations working on gender and energy issues; include other vulnerable community members who could benefit from the project • Train and build the capacities of stakeholders to raise awareness on SEA/SH prevention and mitigation measures, including the content of code of conducts and process for submitting a complaint • Establish a referral pathway for SEA/SH cases: when available, cases can be referred to Gender-based violence (GBV) case management actors/ trusted and capable community mechanisms who will link the individual to a holistic set of services. When such actors cannot be identified, the SEA/SH mechanism should be able to safely link survivors directly to specific services¹⁰ • Establish a code of conduct for agricultural research institutions to prevent SEA/SH, including termination

¹⁰ For example, survivors of rape should be urgently referred to a trusted health service provider for Clinical Management of Rape (CMR) within 72h of the incident. Other critical services include psycho-social support and emergency shelter.

		<p>of employees/contractors engaging in SEA/SH</p> <ul style="list-style-type: none"> • Reinforce capacity building for women agricultural researchers and farmers supporting the research
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More information about the Environmental and Social risks and impacts associated with project activities is presented below:

Environmental Management

Key risks are: solid and liquid waste pollution; use of pesticides and fertilizers, water scarcity/salinity, soil degradation/nutrient loss/erosion; carbon foot print and air pollution; natural resource depletion, Occupational Health and Safety (OHS); biodiversity risks and impacts related to cross-fertilization between experimental crops and local crops or other plant species (including natural habitats). The grant recipients and the relevant implementing agencies will follow throughout the project activities the relevant sectoral WBG Environmental, Health and Safety Guidelines¹¹ and Good International Industry Practice (GIIP) as well as applicable FAO guidelines¹².

A. Solid and Liquid Wastes pollution, including crop residues

In line with ESF and as described in this ESRM Sector Guide, each grant recipient will prepare and follow a simple grant activity ESMP/ESMP Checklist (see **Annex 4**) addressing primarily the ESS3 requirements on Pollution management and Prevention. The simple ESMP will allow users to (i) recognize and screen risks and impacts which might generate solid and liquid waste pollution during the funded activities; (ii) list and follow related mitigation measures for ensuring biosafety and waste management and preventing inadvertent spread of pollution; (iii) propose monitoring activities to ensure measures are efficiently addressed, and (iv) promote capacity building.

B. Pest management including Use of Pesticides and Fertilizers

When sustainable agriculture research activities are launched in each of the 6 identified participating countries¹³, CIAT and relevant grant recipients will need to follow the existing national Pest Management framework and plans as well as other Guidelines such as the Biosafety and Biosecurity Guidelines, which some research centers have developed already. Specific Pest Management Plans will be established during implementation (see guidance in **Annex 9**) once the crops to be researched are known. The E&S exclusion list reflects activities that may pose reputational risk such as possible use of genetically modified or engineered crops that are not linked to original crops. Specific OHS measures while handling treated seeds and applying pesticides are also highlighted in **Annex 9**.

¹¹ For example, the WBG Environmental, Health and Safety Guidelines Annual Crop Production, March 30th, 2016

¹² For example, FAO, *Guidelines and Reference Material on Integrated Soil and Nutrient Management and Conservation for Farmer Field Schools*, (Rome: FAO, 2000) <http://www.fao.org/docs/eims/upload/230157/misc27.pdf>.

¹³ Ethiopia, Kenya, Ghana, Mali, Senegal and Zambia

C. Water Scarcity/Salinity and overall nature resource depletion

As agriculture is a major user of water in general, grant recipients including farmers should be aware of and educated on the need to increase water use efficiency and improve agricultural water management overall in their activities, while preserving aquatic ecosystems including freshwater sources. Capacity building program will be tailored with a strong focus, among others, on water resources efficiency use supporting irrigation sector and to provide lessons to users on how to efficiently manage scarce resources and share international good knowledge on technological innovations in water management. In line with the relevant ESF standards ESS3 and as described in this ESRM sector guide, the grant recipients will acknowledge and follow the WBG's Environmental Health and Safety Guidelines (EHSs) and Good International Industry Practice (GIIP) during the funded activities and screen for possible improper use of water and other natural resources as reflected in the grant activity ESMP or ESMP Checklist.

D. Soil Degradation

It is known that increased pesticide use over the years has contributed to the loss of essential nutrients. If funded research activities do get extended to farmers' plots (in addition to locations hosted within the participating research institutes), it is important to be mindful of possible impacts on soil quality during research trials, which may generate long term soil degradation (including loss of nutrients), erosion and even land-cover change, if mitigation measures are not in place. These measures will be included in the ESMPs before start of activities and followed during project implementation. Specific mitigation measures for soil conservation and nutrient management are listed in the WBG EHS Guidelines for Annual Crop Production, included in this ESRS Guide (annex), which will be followed in addition to the existing national regulations. Equally important is raising awareness to rely on new technologies including satellite images, GPS, and info management tools to monitor land patterns and collect and analyze data for assessment of variations in soil or climate conditions, that will guide the application of sustainable agricultural practices.

E. Air Quality and GHG Emissions

Air quality issues maybe 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 research equipment or during the disposal or destruction of crop residues or processing by-products. In order to comply with ESS3 requirements, mitigation measures addressing pollution prevention and management issues including air quality and GHG emissions will be taken in consideration and reflected in the ESMPs. Specific recommendations to prevent and control air emissions are also guided in the WBG EHS Guidelines for Annual Crop Production (**Annex 6**).

F. OHS

Employers and supervisors Sub-Grant recipients are obliged to implement all reasonable precautions to protect the health and safety of workers and communities/farmers. Under the guidance and oversight of CIAT, sub grant recipients will prepare, adopt, and implement occupational, health and safety (OHS) measures in line with the ESMP and Food and Agriculture Organization (FAO) Preventive Guidelines. Preventive and protective measures should be introduced according to the following order of priority:

- Minimizing the hazard: through design of safe work systems and administrative or institutional control measures. Examples include job rotation, training safe work procedures, lock-out and tag-out, workplace monitoring, limiting exposure or work duration, etc.
- Providing appropriate personal protective equipment (PPE) in conjunction with training, use, and maintenance of the PPE.

OHS issues associated with agriculture related research activities may include physical hazards, including operational and workplace hazards, and exposure to organic dust; risk of fire and explosion; biological hazards, and chemical hazards (see more details in Table 1-2).

Table 1-2. Examples of OHS key areas in agriculture research

OHS identified areas for agricultural research activities¹⁴	General Description and recommendations
Risk of fire and explosion	Recommendations include provision of qualified first aid, appropriately equipped first-aid stations easily accessible and of manual firefighting equipment that should be easily accessible throughout the place of work. Remote sites should have written emergency procedures in place for dealing with cases of trauma or serious illness up to the point at which patient care can be transferred to an appropriate medical facility.
Chemical Hazards	Exposure to hazards products including pesticides and herbicides through inhalation, ingestion or dermal contact (recommendations include use of alternative products with lower OHS risk, adopt means for personal and collective protection such as special boots, water repellent clothes and ventilated systems at work place; train personnel on hazardous product and management storage; ensure hygiene practices are followed in line with FAO guidelines)
Biological Hazards	Contact with venomous animals, such as stinging insects, spiders, scorpions, snakes, disease vectors (e.g., mosquitoes, ticks), and with certain wild animals (mitigation measures include use of insect repellent; wear appropriate protective clothing including PPE, train personnel and have onsite first aid equipment)
Physical Hazards	Slips, trips and falls due to inadequate workplace; Ergonomic hazards from manual handling and repetitive movements; overexposure to noise

¹⁴ Based on IFC, EHS Guidelines, General EHS Guidelines: Occupational Health and Safety; and IFC EHS Guidelines for Crop Production

<i>Operational and workplace hazards</i>	vibrations from hand-held equipment or drastic weather conditions; wounds from equipment or sharp objects (these risks should be managed in line with general EHS guidelines)
<i>Machineries and vehicles</i>	Accidents may occur during use of machines and vehicles, including worker transportation, farm machineries, and a variety of other tools used during research, which may result in personal/fatal injury, damage or loss of asset.
<i>Confined and restricted space entry</i>	Risk of asphyxiation; explosions due to gas, dust, or fumes (e.g., residual petroleum fumes); and entrapment or enclosure within the confined space (restricted areas should be clearly marked and clearly conveyed to personnel and contractors).
<i>Exposure to organic dust</i>	Exposure of workers to dust while handling, and storage of crops/plants/seeds, which generate potentially high concentrations of organic dust, including particles from fungi, and bacteria, as well as inorganic material (recommendations for dust control in line with general EHS guidelines).

OHS Training and communication

A basic occupational training program and specialty courses should be provided, as needed, to ensure that workers are oriented to the specific hazards of individual work assignments. Training should adequately cover aspects such as: knowledge of materials, equipment, and tools; known hazards in the operations and how they are controlled; potential risks to health; precautions to prevent exposure; hygiene requirements; wearing and use of protective equipment and clothing; appropriate response to operation extremes, incidents and accidents.

Personal Protective Equipment (PPE) provides additional protection to workers exposed to workplace hazards. Proper use and maintenance of PPE, as well as their identification and selection based on hazard and risk rating, should be part of the recurrent training programs for workers.

Monitoring of OHS aspects

Occupational health and safety monitoring programs should verify the effectiveness of prevention and control strategies. They should include, among other aspects, safety inspection, testing and calibration;; surveillance of the working environment; surveillance of workers’ health, including accidents and disease monitoring, and dedicated training.

Accidents and Diseases reporting and monitoring

All reported occupational accidents, occupational diseases, dangerous occurrences, and incidents including the near misses should be investigated with the assistance of a person competent in occupational safety. The investigation should, at minimum, establish what happened; determine the cause of what happened; and identify measures necessary to prevent a recurrence.

G. Biodiversity Risks and Impacts

Although introduction of invasive alien species is prohibited, it is important to recognize the possible risk and impacts on biodiversity and ecosystem services from accidental introduction of new seed varieties during research activities. Consequently, there are requirements for preventing risks and impacts related to biodiversity and ecosystem services by introducing new seed varieties that need to be followed to receive adequate funds under this project (as per FAO guidelines: <http://www.fao.org/agriculture/crops/thematicitemap/theme/biodiversity/en/>). In addition, tools such as the Integrated Biodiversity Assessment Tool (IBAT)¹⁵ should be used, as it would facilitate access to key international data sets, which are relevant for the planned research activities. Training measures for grant recipients should focus on following biodiversity indices (related to habitat set-asides, flora densities, and prohibition of high conservation value land) and building awareness about preventing natural resources depletion (e.g., reduce/eliminate agronomic practices such as mono-cropping, destruction of natural habitats, over-exploitation of natural stocks of fish and forests) in line with ESF requirements and the international instruments related to plant and animal genetic resources for food and agriculture (International Plant Protection Convention (IPPC), International Treaty on Plant Genetic Resources for Food and Agriculture, The Global Plan of Action on Sustainable Utilization of Plant Genetic Resources for Food and Agriculture, The Global Plan of Action for Animal Genetic Resources).

H. Social Management

Key issues are: labor and working conditions, Grievance Mechanism and Gender (including Sexual Exploitation and Abuse/Sexual Harassment (SEA/SH)):

Labor and working conditions

The ESMS includes the Labor Management Procedures (LMPs) for the Grant recipient, CIAT, as well as labor management procedure requirements for the Grant recipients (See **Annex 8**). The LMPs prepared by each of the Grant recipients will need to take into account national labor laws of the six African countries (Ethiopia, Ghana, Kenya, Mali, Senegal and Zambia), the existing labor policies of each Grant recipient and the requirements of World Bank Environmental and Social Standard 2 (Labor and Working Conditions). Key issues to be addressed in the LMPs for the Grant recipients include terms and conditions of employment, nondiscrimination and equal opportunity, workers' organizations, OHS measures, including SEA/SH and grievance redress. The project forbids the use of forced labor or child labor.

Grievance Mechanism (GM)

Each Grant Recipient will be required to establish a Grievance Mechanism (GM) to handle complaints about environmental and social issues. The GM will be accessible and inclusive. Where feasible, the GM can use existing formal or informal GMs, supplemented with project-specific arrangements.

The GM will address concerns promptly and effectively, in a transparent manner that is culturally appropriate and readily accessible to all project-affected parties, at no cost and without

¹⁵ <http://www.ibatforbusiness.org>

retribution. The mechanism, process or procedure will not prevent access to judicial or administrative remedies. The Grant recipient will provide information to project-affected parties about the grievance process in the course of its stakeholder engagement and outreach activities, and will make publicly available a record documenting the responses to all grievances received. Grievances will be handled in a culturally appropriate manner and be discreet, objective, sensitive and responsive to the needs and concerns of the project-affected parties. The GM will also allow for anonymous complaints to be raised and addressed. It will also include a channel for SEA/SH complaints. The SEA/SH channel must receive, process and resolve complaints in a safe, confidential and non-stigmatizing manner and be able to link complainants to relevant services in a safe and timely manner.

Annex 10 sets out the requirements for a GM, including guidance on how: complaints can be submitted; records of complaints and their handling/resolution are set up and maintained; the GM's procedures, governing structure and decision-makers operate; and the tiers for considering complaints and appeals. The local GMs will include a first response to a complaint and an appeals process. A second appeal can be sent to CIAT¹⁶. If complainants are still not satisfied with the outcome of the complaints process, they can use the judicial process in their countries.

Gender and Vulnerable Groups Risks

Women play an important role in agriculture in the six countries where project activities are taking place. Opportunities to obtain education and income-generating work can be a challenge, including in the agricultural research sector. Women also face risks with regard to discrimination and SEA/SH. Other vulnerable groups – such as disabled persons or marginalized communities – can also suffer from a lack of education or employment opportunities. Drawing upon feedback through the stakeholder engagement process, the project will include measures to include such vulnerable groups in its activities, including field research, testing and piloting. It will also include measures to deal with SEA/SH risks. To capture the specific concerns of vulnerable groups it is therefore recommended to hold dedicated sessions with them. This is particularly relevant for sensitive issues such as SEA/SH risks where women may feel comfortable in a gender segregated setting. This may also require gender-sensitive training for facilitators of such consultations.

¹⁶ The Stakeholder Engagement Plan sets out how CIAT handles grievances.

Annex 2. Environmental and social screening questionnaire for agricultural research institutions

Date

Section A. Institution details		
Institution name:		
Short description of the institution's core business:		
Institution Address: <i>(Name of the institution / Street, Avenue, etc. name and number / Village / City / State/ Country/ Postal Code)</i>		
Contact person for E&S issues: <i>(Name and title / Phone /E-mail)</i>		
Name and title of the person filling the questionnaire		
Website <i>(if any)</i> :		
Section B. Environmental and Social Risk Management		
What kind of environmental and social risks does the institution currently have to manage?		
Has the institution been found to be involved in activities meeting the E&S exclusion criteria:	Yes	No
Production or activities involving forced labor ¹⁷		
Activities carried out by institutions with a record of unresolved Sexual Exploitation and Abuse/Sexual Harassment incidents ¹⁸		
Research that may lead to environmentally damaging activities, such as inappropriate use of chemical fertilizers		
Production or trade in any product or activity deemed illegal under host country laws or regulations or international conventions and agreements, or subject to international bans, such as pharmaceuticals, pesticides/herbicides, ozone depleting substances, Polychlorinated Biphenyls (PCBs), wildlife or products regulated under the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES)		

¹⁷ Whether such incidents or accidents have been resolved and an institution is therefore eligible for a sub-grant will be evaluated and decided jointly in writing by CIAT and IDA.

¹⁸ Whether such incidents have been resolved and an institution is therefore eligible for a sub-grant will be evaluated and decided jointly in writing by CIAT and IDA.

Biotechnology application in GM crops that may involve genetic transformations of the national original crops and/or might generate irreversible environmental impacts		
Biotechnology application in genetically modified (GM) crops that may involve genetic transformations of the national original crops and/or might generate irreversible environmental impacts		
Activities that could introduce invasive alien species and may impact critical habitats and/or legally protected areas		
Activities that may result in discrimination against vulnerable groups, including on the basis of gender and disability		
Activities involving land acquisition leading to economic or physical displacement		
Activities that affect existing land tenure arrangements or cultural heritage		
Other risks not on the exclusion list - <i>These include risks and impacts that can be mitigated prior to the commencement of sub-project activities</i>	Yes	No
Solid and/or liquid waste pollution?	<input type="checkbox"/>	<input type="checkbox"/>
Use of fertilizers and pesticides?	<input type="checkbox"/>	<input type="checkbox"/>
Water scarcity/salinity?	<input type="checkbox"/>	<input type="checkbox"/>
Soil degradation/nutrient loss/erosion?	<input type="checkbox"/>	<input type="checkbox"/>
Carbon footprint?	<input type="checkbox"/>	<input type="checkbox"/>
Natural resource depletion?	<input type="checkbox"/>	<input type="checkbox"/>
Occupational Health and Safety (OHS)?	<input type="checkbox"/>	<input type="checkbox"/>
Biodiversity loss?	<input type="checkbox"/>	<input type="checkbox"/>
Labor issues?	<input type="checkbox"/>	<input type="checkbox"/>
Grievance redress?	<input type="checkbox"/>	<input type="checkbox"/>
Social inclusion of gender as well as other vulnerable groups?	<input type="checkbox"/>	<input type="checkbox"/>
Measures for addressing SEA/SH risks that meet the requirements of the project?	<input type="checkbox"/>	<input type="checkbox"/>
Other (please describe)?	<input type="checkbox"/>	<input type="checkbox"/>
Environmental and/or Social Management System		
	Yes	No
Does the institution have an Environmental and Social Management System?	<input type="checkbox"/>	<input type="checkbox"/>

<p><i>(If yes, please attach any documents that can serve as evidence of the ESMS; otherwise, the institution will adopt the guidance in the project ESRM Guide)</i></p> <p><i>In particular, does the institution have:</i></p> <ul style="list-style-type: none"> - Any environmental or social policies or procedures - Internal guidance on screening for and managing environmental and social risks - Staff appointed to be responsible for environmental and social issues - Any internal or external reporting on environmental and social issues - Other elements (please specify) 		
Does the institution conduct any environmental, social, gender awareness, vulnerable group, etc. training internally for its staff?	<input type="checkbox"/>	<input type="checkbox"/>
Has the institution mapped and identified relevant GBV/SEA/SH service providers (medical, psychosocial and legal aid at a minimum)?	<input type="checkbox"/>	<input type="checkbox"/>
Does the institution conduct any E&S monitoring?	<input type="checkbox"/>	<input type="checkbox"/>
Labor Policy		
	Yes	No
<p>Does the institution have a Human Resources or Labor Policy?</p> <p><i>If yes, please provide a brief description of key provisions of the HR policy and attach any documents that describe HR policy</i></p>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Does the institution's Human Resources Policy explicitly provide for the following:</i>		
	Yes	No
Compliance with the country's labor laws and regulations?	<input type="checkbox"/>	<input type="checkbox"/>
Clear terms and conditions of employment and worker's rights related to hours of work, wages, overtime, compensation, benefits, etc.?	<input type="checkbox"/>	<input type="checkbox"/>
Workers' organization/union?	<input type="checkbox"/>	<input type="checkbox"/>
Non-discrimination and equal employment opportunities for women and vulnerable groups?	<input type="checkbox"/>	<input type="checkbox"/>

Prohibition of child labor?	<input type="checkbox"/>	<input type="checkbox"/>
Prohibition of forced labor?	<input type="checkbox"/>	<input type="checkbox"/>
Is there a workers' grievance mechanism in place?	<input type="checkbox"/>	<input type="checkbox"/>
Is there SEA/SH Policy/clauses within the code of conduct?	<input type="checkbox"/>	<input type="checkbox"/>
Is there a SEA/SH specific channel within the Grievance Mechanism?	<input type="checkbox"/>	<input type="checkbox"/>
Occupational Health and Safety (OHS)		
	Yes	No
Does the institution have a policy or guidelines on occupational health and safety? <i>If yes, please provide a brief description of key provisions of such policy/ guidelines and attach any documents that describe this</i>	<input type="checkbox"/>	<input type="checkbox"/>
Does the institution have qualified internal designated coordinators, officers, or other staff responsible to oversee OHS issues?	<input type="checkbox"/>	<input type="checkbox"/>
Does the institution provide Personal Protective Equipment (PPE) to its workers?	<input type="checkbox"/>	<input type="checkbox"/>
Does the institution conduct regular OHS training for its workers and employees?	<input type="checkbox"/>	<input type="checkbox"/>
Does the institution have a clear, documented workplace incident and accident tracking system (e.g. providing data on OHS incidents in the last year)?	<input type="checkbox"/>	<input type="checkbox"/>
Does the institution have a Code of Conduct for workers? <i>If yes, attach copy</i>	<input type="checkbox"/>	<input type="checkbox"/>
Does the institution provide internal training on SEA/SH?	<input type="checkbox"/>	<input type="checkbox"/>
Does the institution have a monitoring system for workplace conditions and safety (e.g. regular internal audits, field visits by institution OHS staff/ coordinators etc.?)	<input type="checkbox"/>	<input type="checkbox"/>
Stakeholder engagement and grievance mechanisms		
	Yes	No
Does the institution have a plan for engaging with stakeholders, communities, customers (including a mechanism to receive and address complaints)?	<input type="checkbox"/>	<input type="checkbox"/>

<p><i>If yes, please provide a brief description of key provisions of such policy/ guidelines and attach any documents that describe this</i></p>		
<p>Did the institution identify key external stakeholders for its business?</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Does the institution hold meetings, events or similar actions to engage with stakeholders relevant to its research? (provide documentary evidence of stakeholder consultations in the last 1 year)</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Are stakeholder consultations gender disaggregated?</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Are stakeholders consulted on their preferred grievance mechanism (including for SEA/SH)?</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Is there a written mechanism to receive and address complaints? <i>If yes, please attach a copy of the procedure, website link etc.</i></p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Does the institution publicize its research activities and disclose information about their environmental and social impacts?</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Any other relevant information</p>		
<p>Section E. Environmental and Social Screening Outcome</p>		

<p>Environmental and Social Risk Rating</p> <p><input type="checkbox"/> Low</p> <p><input type="checkbox"/> Moderate</p>	<p>Justification for Environmental and Social Risk Rating:</p>
<p>Action Plan</p>	<p>If necessary, describe measures that the institution will take to address any gaps:</p>
<p>Any ineligible activities?</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p>	<p>Describe any activities that are ineligible for funding or would result in the institution being ineligible for funding:</p>

Date _____

Signature _____ (E&S Coordinator)

Annex 3. Environmental and Social Management Plan Checklist

ESMP Checklist for Agricultural Research Institution Activities

PART A: GENERAL PROJECT AND SITE INFORMATION

INSTITUTIONAL & ADMINISTRATIVE				
Country				
Agricultural Research Institution				
Scope of project and activity				
Institutional arrangements (Name and contacts)	WB (Project Team Leader)	Project Management	Local Counterpart and/or Recipient	
Implementation arrangements: (Name, contacts, key responsibilities)	Environmental and social risk management Supervision	Local Counterpart Supervision	Local Inspectorate Supervision	Contactor(s)
SITE DESCRIPTION				
Name of site				
Describe site location (if multiple sites, attach details for each)			Attachment 1: Site Map []Y [] N	
Excluded activities: Confirm that the project does not involve any excluded activities (Note: Presence of some excluded activities can be determined only after a screening has been completed)				

Land Tenure: Who owns the land? Are there formal or customary rights to the land? Are the farmers tenants? Are there any encroachers or informal users of the land? ¹⁹ What is the previous use of land?	
Description of geographic, physical, biological, geological, hydrographic and socio-economic context	
Locations and distance for material sourcing, especially crops, water, pesticides, fertilizers	
Identify any potential for land-related resilience challenges (e.g. landslides, climate-related issues such as drought)	
SUB GRANTEES/ LOCAL FARMERS	
Are there sub grantees/ local farmers enlisted for agricultural research?	
How many sub grantees/ farmers? How much total land?	
Has land ownership/tenure arrangements been confirmed?	
Will their livelihoods be affected by the project? If so, how?	
Have OHS risks and impacts been explained to the subgrantees/ local farmers?	
Have E&S aspects of research explained to the subgrantees/ local farmers?	
Have subgrantees/ local farmers been told to not engage in forced	

¹⁹ The project will not finance activities that involve land acquisition leading to economic or physical displacement.

labor and explained the legal constraints regarding child labor?	
LEGISLATION	
Identify, where applicable, national & local legislation & permits related to project activities	
STAKEHOLDER ENGAGEMENT/PUBLIC CONSULTATION	
Identify key stakeholders	
Identify when/where the public consultations took place	
Indicate how stakeholders will remain engaged in the project	
Summarize key issues raised in the consultations and how the project is addressing them	
INSTITUTIONAL CAPACITY BUILDING	
Will there be any capacity building?	<input type="checkbox"/> N or <input type="checkbox"/> Y if Yes, Summarize the capacity-building activities:
ENVIRONMENTAL AND SOCIAL RISKS & IMPACTS	
Identify the type of the area the project is being implemented in (modified or natural habitat)? Whether modified or natural, is the potential for the habitat to be critical?	
Identify water sources and whether the project may cause additional stress on community water needs and resources? Does water scarcity exist in the area, and, if yes, does it pose a risk or the project?	

Is the area home to a forest? Is the forest protected or proposed for protection? Is the forest high conservation value forest?	
Does the project use or works with any voluntary sustainability standards systems or certification schemes? If not, why not?	
Will the project have a potential to introduce alien species not native to the area (even if not intended)?	
Does the project have potential for carbon capture and, if so, is this potential being utilized?	
Identify the potential social risks and impacts initiated by the project implementation (vulnerable and/or disadvantaged groups)? Propose the mitigation measures in this regard.	
Identify specific risks that each vulnerable group face (e.g. women, disabled, elderly, youth etc.)	
GRIEVANCE MECHANISM (GM)²⁰	
General description of GM: <ul style="list-style-type: none"> GM budget and staff; use of any existing formal and informal GM systems to be used and supplemented, as 	

²⁰ The Stakeholder Engagement Plan, which will be prepared for each Grant recipient, includes a section detailing the requirements for project GMs. See Annex 9

<p>necessary, including SEA/SH channels</p> <ul style="list-style-type: none"> • Accessibility: face-to-face, mail, email, phone, text, website, suggestion/complaint boxes, etc. • Clear communications that the grievance process will be free of retaliation, abuse or discrimination; if there are allegations of such, explanation of remedial measures in the GM • Transparency about procedures for handling and responding to complaints, including timelines for acknowledgement, decisions and appeals; broad disclosure of the process (website, newspapers, radio, etc.) • Logbook of complaints, with information on the status and outcomes of their handling • Confidential submission process for those complainants who request it, such as for SEA/SH; information on local medical/psychosocial support to victims 	
LABOR AND WORKING CONDITIONS²¹	
Direct Workers (description and number, if applicable)	
Contracted Workers (description and number, if applicable)	
Primary Supply Workers (description and number, if applicable)	

²¹ Details about labor issues will be addressed in the Labor Management Procedures for each agricultural research institution. See Annex 7.

Community Workers (description and number, if applicable)	
Assessment of key labor risks, including child and forced labor, occupational health and safety risks, SEA/SH risks, terms and conditions for work, equality of opportunity, workers' associations	
Key aspects of Grievance Mechanism for Project workers	
Key labor measures to be implemented	

PART B: ENVIRONMENTAL AND SOCIAL RISK INFORMATION

ENVIRONMENTAL /SOCIAL SCREENING			
Will the project activities include/involve any of the following?	Environmental Impacts	Status	Triggered Actions
	A. Solid and/or Liquid Waste Pollution	<input type="checkbox"/> Yes <input type="checkbox"/> No	See Section A below
	B. Use of Fertilizers and Pesticides	<input type="checkbox"/> Yes <input type="checkbox"/> No	See Section B below
	C. Water Scarcity/Salinity	<input type="checkbox"/> Yes <input type="checkbox"/> No	See Section C below
	D. Soil Degradation	<input type="checkbox"/> Yes <input type="checkbox"/> No	See Section D below
	E. Carbon Footprint	<input type="checkbox"/> Yes <input type="checkbox"/> No	See Section E below
	F. Natural Resource Depletion	<input type="checkbox"/> Yes <input type="checkbox"/> No	See Section F below
	G. Occupational Health and Safety (OHS)	<input type="checkbox"/> Yes <input type="checkbox"/> No	See Section G below
	H. Biodiversity Loss	<input type="checkbox"/> Yes <input type="checkbox"/> No	See Section H below
	Social Impacts	Status	Triggered Actions
	I. Labor and working conditions	<input type="checkbox"/> Yes <input type="checkbox"/> No	See Section I below
	J. Participation of vulnerable groups (women, disabled, elderly, youth, poor, etc.)	<input type="checkbox"/> Yes <input type="checkbox"/> No	See Section J below
	K. Sexual Exploitation and Abuse/Sexual Harassment	<input type="checkbox"/> Yes <input type="checkbox"/> No	See Section K below

PART C: MITIGATION MEASURES

DESCRIPTION OF RISK	MITIGATION MEASURES CHECKLIST
A. Waste management – solid and liquid wastes	<ul style="list-style-type: none"> (a) Encourage incorporating the cost of the responsible management of waste into the business budgeting and financial prospectations. Responsibly choose a waste management partner (b) Encourage common (regional or country) frameworks for recycling materials (c) Engage with agricultural industry, regulators, and NGOs to explore practical waste management solutions (d) Establish proper waste systems and channel (e) Provide internal training on waste management processes (f) Promote reuse, recycling or energy recovery (g) Implement voluntary management systems such as ISO 14001²²
B. Use of Pesticides and Fertilizers	<ul style="list-style-type: none"> (a) Use National Pest Management Plans (PMPs); (b) Promote Integrated Pest Management (IPM) strategy for crop systems; Genetically Modified Organisms (GMO) prohibition; (c) Follow Biosafety and Biosecurity Guidelines for centers; (d) Include capacity-building for IPM
C. Water scarcity/salinity	<ul style="list-style-type: none"> (a) Set measures for resource efficiency; (b) Establish water indices related to water practices, water use management, water reduction criteria and wastewater disposal; (c) Include development of unique agro-technologies and the use of marginal water, such as brackish and reclaimed water; (d) Implement strategy/management plans of water transport, rainwater harvesting, and wastewater reuse and desalination, along with a variety of water conservation measures (e) Improve irrigation practices (drip irrigation) (f) Communication campaigns and raising awareness on sustainable water management (especially for communities) (g) Training on sustainable water management of productive end users
D. Soil degradation	<ul style="list-style-type: none"> (a) Promote silvo-pastoral systems for improvement of water infiltration; soil retention; soil productivity; land rehabilitation, and the reduction of fossil fuel dependence (e.g., substitution of inorganic fertilizer with nitrogen fixing plants) (b) Provide training on sustainable soil management practices (e.g., use of suitable weed control alternatives)
E. Carbon footprint	<ul style="list-style-type: none"> (a) Employ practices linked to climate change mitigation strategies (biofuel production, bio-production systems with benign or beneficial environmental consequences, carbon sequestration) (b) Employ practices that explore the options for carbon capture and delivery of negative emissions (c) Provide awareness and capacity building programs
F. Natural Resource Depletion	<ul style="list-style-type: none"> (a) Use renewable energy as much as possible (b) Promote innovative technologies and platforms, such as effective environmental databases, information technology and biotechnology (c) Promote natural resource management; practice conservation agriculture
G. Occupational Health and Safety	<p>The following OHS mitigation measures are focused on risks and impacts in the agricultural sector:</p> <ul style="list-style-type: none"> (a) Risk of Fire and Explosion: Recommendations include provision of qualified first aid, appropriately equipped first-aid stations easily accessible and of manual firefighting equipment that should be easily accessible throughout the place of

²² ISO 14000 is a family of standards related to environmental management to help companies, organisations, etc. to minimise how their operations negatively affect the environment. ISO 14001 defines criteria for an Environmental Management System. The company, organisation, etc. sets its own targets and performance measures, and the procedures to meet the goals and monitoring and evaluating the situation.

	<p>work. Remote sites should have written emergency procedures in place for dealing with cases of trauma or serious illness up to the point at which patient care can be transferred to an appropriate medical facility.</p> <p>(b) Chemical Hazards: Exposure to hazards products including pesticides and herbicides through inhalation, ingestion or dermal contact (recommendations include use of alternative products with lower OHS risk, adopt means for personal and collective protection such as special boots, water repellent clothes and ventilated systems at work place; train personnel on hazardous product and management storage; ensure hygiene practices are followed in line with FAO guidelines)</p> <p>(c) Biological Hazards: Contact with venomous animals, such as stinging insects, spiders, scorpions, snakes, disease vectors (e.g., mosquitoes, ticks), and with certain wild animals (mitigation measures include use of insect repellent; wear appropriate protective clothing including PPE, train personnel and have onsite first aid equipment); HIV/AIDS/STD risks will be managed through periodic outreach sessions, including advice on services by local health clinics</p> <p>(d) Physical Hazards:</p> <ol style="list-style-type: none"> i. <i>Operational and workplace hazards:</i> Slips, trips and falls due to inadequate workplace; Ergonomic hazards from manual handling and repetitive movements; overexposure to noise vibrations from hand-held equipment or drastic weather conditions; wounds from equipment or sharp objects (these risks should be managed in line with general EHS guidelines). ii. <i>Machineries and vehicles:</i> Accidents may occur during use of machines and vehicles, including worker transportation, farm machineries, and a variety of other tools used during research, which may result in personal/fatal injury, damage or loss of asset. iii. <i>Confined and restricted space entry:</i> Risk of asphyxiation; explosions due to gas, dust, or fumes (e.g., residual petroleum fumes); and entrapment or enclosure within the confined space (restricted areas should be clearly marked and clearly conveyed to personnel and contractors). iv. <i>Exposure to organic dust:</i> Exposure of workers to dust while handling, and storage of crops/plants/seeds, which generate potentially high concentrations of organic dust, including particles from fungi, and bacteria, as well as inorganic material (recommendations for dust control in line with general EHS guidelines).
<p>H. Biodiversity loss</p>	<ol style="list-style-type: none"> (a) Follow biodiversity indices (related to habitat set-asides, flora densities, and prohibition of high conservation value land); (b) Prohibition against introducing invasive alien species (c) All recognized natural habitats, wetlands and protected areas in the immediate vicinity of the activity will not be damaged or exploited; adjacent wetlands and streams shall be protected from agricultural run-off with appropriate erosion and sediment control (d) Provision of capacity-building and awareness to prevent natural resources depletion (e.g., reduce/eliminate agronomic practices such as mono-cropping, destruction of natural habitats, over-exploitation of natural stocks of fish and forests); (e) Employment of relevant ICT applications
<p>I. Labor and working conditions</p>	<ol style="list-style-type: none"> (a) Prepare Labor Management Procedures for each research institution, based on national requirements and World Bank Environmental and Social Standard 2 (Labor and Working Conditions) (b) No forced labor in the project; child labor restrictions (c) Develop and implement a proper grievance redress mechanism for labor complaints, taking into account existing national labor grievance processes (d) Prepare HR policies with clear and fair terms of employment and working conditions; provisions for no discrimination and equal opportunities; workers' associations (e) Provide proper training and records on the employment system and working procedure (f) Include measures to address OHS and SEA/SH risks, including codes of conduct (g) Aim to include vulnerable groups (i.e. women, disabled persons, elderly, youth, marginalized communities, etc.) in project stakeholder engagement and activities

<p>J. Participation of vulnerable groups</p>	<ul style="list-style-type: none"> (a) Ensure stakeholder engagement, communications/outreach which is sensitive to vulnerable groups, including women, disabled, marginalized community members, etc. (b) Include measures, as necessary, to take account of any social conflict that affects or is exacerbated by project activities, including on farmers working on sub-projects (c) Engage women as valuable partners in the agricultural research activities, including, where relevant, women's organizations, farmers' cooperatives, civil society and non-governmental organizations working on gender and energy issues; include other vulnerable community members who could benefit from the project (d) Engage other vulnerable groups (e.g. disabled, elderly, youth, marginalized communities) in project activities with a view to strengthening their livelihood capacities and opportunities (e) Reinforce capacity building for women agricultural researchers and farmers supporting the research
<p>K. Sexual Exploitation and Abuse/Sexual Harassment (SEA/SH)</p>	<ul style="list-style-type: none"> (a) Train and build the capacities of stakeholders to raise awareness on Sexual Exploitation and Abuse (SEA)/Sexual Harassment (SH) prevention and mitigation measures (b) Establish a code of conduct for project workers to prevent SEA/SH, including termination of employees/contractors engaging in SEA/SH (c) Map and identify relevant service providers for GBV services (d) Ensure a Grievance Mechanism is sensitive to SEA/SH complaints (include multiple entry points accessible to women, referral to GBV services and confidential, survivor centered procedures).

PART D: MONITORING PLAN

Phase	What risks need to be monitored?	Where are the risks being monitored?	How are the risks being monitored?	When are the risks being monitored? (Define the frequency / or continuous?)	Why are the risks being monitored?	Costs? (if not included in project budget)	Who is responsible for the monitoring?
During activity preparation							
During activity implementation							
During activity supervision							

Annex 4. Environmental and Social Risk Monitoring Form

ENVIRONMENTAL AND SOCIAL RISK MONITORING FORM FOR AGRICULTURAL RESEARCH INSTITUTIONS

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

Name of the agricultural research institution			
Completed by (name):			
Position in the institution:		Date:	
Reporting period	From:	To:	

Environmental & Social Management System (ESMS)

General	Yes/No	
Has the company developed and implemented an ESMP, PMP and any other environmental and social instruments?		<i>If yes, please attach a copy of the environmental and social documents to this report.</i>
Please provide the name and contact information of the main responsible staff who has the overall responsibility for the implementation of the institution's ESMS.		
Please provide current staffing of other core ESMS persons in the organization involved with ESMS implementation.		
Environmental and Social Procedures	Yes/No	
Has the company recently updated: <ul style="list-style-type: none"> - Environmental and Social procedures, including pesticide and waste management - Labor Management Procedures/HR policy 		

<ul style="list-style-type: none"> - OHS procedures - Stakeholder Engagement Plan - Grievance Mechanism - Other voluntary management systems 		
Has management signed off on the required policies/procedures (environmental and social procedures, HR policy, OHS procedures)?		<i>If yes, please provide the date and internal communication indicating the same.</i>
If there is an ESMS already in place, have there been any updates to the ESMS or policy and procedures adopted by the research institution during the reporting period?		<i>If yes, please provide a copy of the updates including dates and reasons for the same.</i>
Please state any difficulties and/or constraints related to the implementation of the Environmental and Social procedures.		
Capacity	<i>Yes/No</i>	
Are the roles and responsibilities of the staff well defined and understood as per the implementation of the ESMP, PMP and other environmental and social instruments?		<p><i>Please provide details about the definition of the roles and responsibilities.</i></p> <p><i>Please describe the training (if any) provided to the ESMS persons and other team members during year.</i></p>
Monitoring	<i>Yes/No</i>	
Do you have an internal monitoring and review plan?		<i>If yes, please describe the plan and its processes, also considering it against the performance and processes indicators</i>
Have you implemented an external communication and grievance mechanism?		<i>If yes, please summarize the operations of the grievance mechanisms for both project issues and labor issues</i>
Reporting	<i>Yes/No</i>	
Is there an internal process to report internally on Environmental and Social issues?		<i>If yes, please explain the process, reporting format and frequency and actions taken if any.</i>

Annex 5. Environmental and Social Reporting Form for Grant Recipients (e.g., Agricultural Research Institutions)

Environmental & Social Report for grant recipients in line with their PPA²³

Background on the Agricultural Research Institution receiving grants	
Name of Institution:	
Address:	
Country:	
Authorized representative: I certify that the data contained in this report completely and accurately represents environmental and social management activities during this reporting period.	
Signature:	
Title:	Date:
Contact Details	
Telephone / Mobile:	
E-mail:	
Date of Report:	Reporting Period:
Contact details of the person responsible for environmental and social due diligence at the Institution	Name: Title: Phone/Mobile: E-mail:
Section 1: Compliance with E&S requirements for grant recipients	
1.1 Who has the primary overall responsibility for environmental and social matters within the Grant recipient/Institution?	
Name:	
Title:	
Phone/mobile:	
E-mail:	

²³ Reports will semi-annual in Year 1 and then annual in Years 2 and 3.

1.2 Institution's project activities and environmental and social risks	
1.2.1 Has the Institution prepared an ESMP, PMP and/or any other E&S instrument(s)?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Environmental and Social Key risks and impacts:	
1.3 Grant recipient/Institution's Environmental and Social due diligence and Monitoring Procedures	
1.3.1 Describe how environmental and social procedures have been integrated into project activities.	
1.3.2 State any difficulties and/or constraints related to the implementation of the ESMP, PMP and/or other E&S instruments	
1.3.3 Confirm compliance with the project's exclusion criteria.	<input type="checkbox"/> We can confirm compliance with the exclusion criteria <input type="checkbox"/> The following project activities were rejected due to conflict with the exclusion criteria: <input type="checkbox"/> Other relevant issues regarding the exclusion criteria:
Monitoring of Grant recipients' and contractors' activities	
1.3.4 Describe how the institution's environmental and social performance is monitored (e.g. site visit by CIAT/sub-grant recipients and/or Bank staff; inspection by environmental/health authorities; copies of updated or renewed permits, third party monitoring, other (please specify).	
1.3.5 Does the institution receive visits by local environment and labor regulatory authorities to monitor their environmental and social performance?	<input type="checkbox"/> Most receive visits at least once per year <input type="checkbox"/> Most receive no visits <input type="checkbox"/> Some receive visits, but not frequently
1.3.6 Give details of any project activity cancellations or issues/incidents due to environmental, health, safety, labor or other social grounds	
1.3.7 Give details of any project activities rejected on environmental, health, safety, labor or other social grounds	

<p>1.3.8 Give details of any environmental and social issues associated with the institution during the reporting period:</p> <p>Any accidents/litigation/complaints²⁴</p>	<input type="checkbox"/> Yes/ No
<p>1.4 Environmental Capacity and Support of the Grant Recipient(s)</p>	
<p>1.4.1 Is the institution familiar with the Environmental and Social Risk Management Guide (ESRM Guide)?</p>	<input type="checkbox"/> Yes, all operating staff are familiar with the ESRM Guide and have access to it when carrying out their work <input type="checkbox"/> The staff to whom environmental and social risk management has been delegated are familiar with the ESRM Guide <input type="checkbox"/> Not familiar
<p>1.4.2 Which aspects of the ESRM Guide are most useful to the institution?</p> <p>Are there any areas in the ESRM Guide that could be supplemented or improved upon?</p> <p>Have there been any problems with the information provided in the ESRM Guide or any technical difficulties in using the Guide?</p>	<input type="checkbox"/> Yes /No - If yes, please describe? <input type="checkbox"/> Yes /No
<p>1.4.3 Did operating staff receive environmental and social training during the reporting period with regard to E&S risk management?</p>	<input type="checkbox"/> Yes, all operating staff received environmental and social training <input type="checkbox"/> Only a few staff, including the person with overall responsibility for environmental and social risk management. <input type="checkbox"/> No training was provided
<p>1.4.4 Who provided the environmental training?</p>	<input type="checkbox"/> World Bank, other Donor organisation or training organisation? Please provide name of organisation. <input type="checkbox"/> In-house training <input type="checkbox"/> When was the last training provided? Please insert dates(s)
<p>1.5 Stakeholder Engagement</p>	
<p>1.5.1 Is there a point of contact for dealing with public enquiries and concerns related to environmental and social matters?</p>	<p>Name:</p> <p>Title:</p> <p>Phone/mobile:</p> <p>E-mail:</p>
<p>1.5.2 How many complaints or grievances did the institution receive from members of the public or civil society organisations during the reporting period specifically with regard to E&S risk management? Summarize any issues raised in the complaints or grievances and explain how they were resolved.</p>	

²⁴ Any incidents of non-compliance with applicable environment, social and health and safety regulations and standards, such as fines, penalties or excess fees for non-compliance; Any incidents of non-compliance by Grant recipients with environmental and social covenants/conditionalities imposed by the Bank

1.5.3. What efforts did the institution make to consult and include vulnerable groups (e.g. women, disabled, elderly, youth, marginalized groups) in project activities?	
1.5.4. What measures are in place to deal with SEA/SH risks? How many SEA/SH complaints have been received by the institution? How many have been resolved in a timely, safe and adequate manner? How many SEA/SH complaints have been referred to GBV service providers?	

Section 2: Compliance of the Agricultural Research Institution with Pest Management Plan

2.1 What is the name of the employee with primary overall responsibility for the Pest Management Plan in the Institution?

Name:

Title:

Phone/Mobile:

E-mail:

2.2.1 Have there been any changes to the following policies or terms and conditions during the reporting period: <ul style="list-style-type: none"> • Pest Management Plan • Use of Integrated Pest Management tools • Pest management compliance with the World Bank’s Environment, Health & Safety Guidelines (EHSGs) • Use of pesticide products that are restricted under applicable international conventions or their protocols or that are listed in, or meeting, the criteria of their annexes • Manufacture, formulation, packaging, labelling, handling, storing, and disposal of pesticide products according to relevant international standards and codes of conduct, as well as the EHSGs • Capacity to handle pesticides, including safety measures 	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please give details:
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2.2.2. Does the institution have: <ul style="list-style-type: none"> • A Pest Management Plan (including procedures for handling, using, storing and disposing of pest products)? • Training for managing pest management products? • Regular accident/safety issue reports? Have there been any accidents/safety issues since the last reporting period? • Procedures for handling spills/leakage, etc., including a first aid kit and medical treatment? 	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please give details:
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Section 3: Compliance of the Agricultural Research Institution with Labour and Working Conditions Requirements

3.1 What is the name of the employee with primary overall responsibility for Human Resource Management in the Institution?

Name:

Title:

Phone/Mobile:

E-mail:

3.2 Labor Issues

<p>3.2.1 Have there been any changes to the following policies or terms and conditions during the reporting period:</p> <ul style="list-style-type: none"> • Non-discrimination and equal opportunity policy • Employment of young persons under age 18 • No forced labor • Wages (wage level, normal and overtime) • Overtime • Working hours • Working conditions • Grievance mechanism for workers • Union/workers’ association recognition or negotiation • Health & safety and SEA/SH measures • Measures to engage vulnerable people (e.g. women, elderly, youth, marginalized communities, etc.) 	<p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>	<p>If yes, please give details:</p>
<p>3.2.2 Does the institution have policies and/or procedures for any of the following:</p> <ul style="list-style-type: none"> • Gender equality • Equal pay for work of equal value • Anti-harassment/bullying; SEA/SH • Promoting family friendly work and the work/life balance 	<p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>	<p>If yes, please give details:</p>
<p>3.2.3 Were there any collective redundancies during the reporting period?</p>	<p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>	<p>If yes, please describe the redundancy plan, including reasons for redundancies, number of workers involved, how they were selected, and consultation undertaken:</p>
<p>3.2.4 Are there any planned redundancies or additions to the workforce in the next year?</p>	<p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>	<p>If yes, please describe the redundancy plan, including reasons for redundancies, number of workers involved, and selection and consultation process:</p>
<p>3.2.5 Have employees raised any grievances with the institution during the reporting period?</p>	<p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>	<p>If yes, please state how many, summarize the issues raised in grievances (disaggregated by gender) and explain how the Institution has addressed them:</p>
<p>3.2.6 Have there been cases of SEA/SH during the reporting period?</p>	<p>Yes <input type="checkbox"/></p>	<p>If yes, please state how many and explain how they were addressed using non-identifiable information.</p>

	No <input type="checkbox"/>	
3.2.6 Have there been any strikes or other collective disputes related to labor and working conditions at the Institution in the reporting period?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please summarize nature of disputes and how they were resolved
3.2.7 Have there been any court cases related to labor issues during the reporting period?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please summarize the issues contested and outcome.

Annex 6. Environmental Health and Safety Guidelines for Annual Crop Production

The EHS Guidelines for Annual Crop Production include information relevant to large-scale, commercial production of the main annual crops, including cereals, pulses, roots and tubers, oil-bearing crops, fiber crops, vegetables, and fodder crops in temperate, subtropical, and tropical regions. Plantation crops are addressed in the EHS Guidelines for Plantation Crop Production. Information applicable to the processing of crops is presented in the EHS Guidelines for Food and Beverage Processing.

The EHS Guidelines for Annual Crop Production can be found at: www.ifc.org/ehsguidelines.

Annex 7. Sample Occupational Health and Safety (OHS) Guidelines Requirements for Grant recipients (e.g., Agricultural Research Institutions)

Under the guidance and oversight of CIAT, sub grant recipients will prepare, adopt, and implement occupational, health and safety (OHS) measures in line with the ESMP, PMP, the EHS Guidelines, GIIP and the Food and Agriculture Organization (FAO) Guidelines. These sample OHS Guidelines should serve as a quick tool for relevant stakeholders benefiting from funds under AICCRA and should meet at minimum the relevant national regulations and requirements.

Occupational Health and Safety guidelines for Agricultural Research Institutions

The grant recipient should follow guidelines and promote measures and actions as relevant to agriculture sector or workplace and to the characteristics of the workforce as specific workers' groups may have specific needs.

The grant recipient should provide a safe and healthy work environment, taking into account inherent risks in agriculture sector relevant to AICCRA objective and specific classes of hazards in the work areas (including accidents and occupational diseases associated with agriculture), as well as specific threats to women or older workers. OHS Guidelines should reflect steps to prevent accidents, injury, and disease arising from, associated with, or occurring in the course of work by minimizing, as far as reasonably practicable, the causes of hazards. OHS Guidelines will also include requirements for HIV/AIDS and SEA/SH prevention.

Issues to be included in the Guidelines:

- Main requirements for policy, procedure and records on occupational health and safety management as follows:
- Procedures for undertaking risk assessments (using for example job hazard analysis) for activities, and for integrating appropriate safety controls into the method statements for the activities
- Training program for staff in health and safety issues
- Incident (including near miss) reporting procedures, and procedures for investigating incidents and identifying remedial actions to prevent recurrence
- Review and monitoring of HS performance (including system performance) in identifying and managing OHS risks.

Grant recipients should be prepared to adapt working conditions to specific conditions or should offer a new, protected workplace if the old one remains dangerous for a worker. Therefore, it is important to educate agricultural workers as well as relevant stakeholders involved in agriculture about occupational risks, early detection of their consequences, the importance of the medical screening and the need for proper protection, including workplace health promotion.

Sample Checklist for managing Occupational Health and Safety Risks

For example:

- Does the hazard exist at the workplace?
- Are the hazards eliminated, and where not possible controlled to minimize negative influences on the safety and health of all people involved?

Answering 'NO' to one of the following questions indicates a need for improvements to be made in the workplace.

The Checklist, which is not an exhaustive list, has been compiled using information provided by industry, EHS Guidelines and FAO Guidelines.

QUESTIONS		Yes	No
1. Agricultural research activities			
Work organization, psychosocial risks			
Is there a health and safety policy on display and is the policy up-to-date?			
1.	Is information on the agricultural research activities, the energy and water systems, building and land areas, noise limits, ventilation systems, etc. which is required to perform the work safely available to the workers?	<input type="checkbox"/>	<input type="checkbox"/>
2.	Are procedures in place to assess the risks of activities and to develop safe working procedures?	<input type="checkbox"/>	<input type="checkbox"/>
3.	Is training provided to workers on the safe working procedures for undertaking each activity they perform?	<input type="checkbox"/>	<input type="checkbox"/>
4.	Is there sufficient cooperation, communication and exchange of information among the different actors involved in an activity in order to allow the safe performance of the work?	<input type="checkbox"/>	<input type="checkbox"/>
5.	Are medical examinations conducted before and during work, to determine whether the worker is "fit for work", to recognize counter-indications; to identify specific symptoms and to adapt or change the workplace?	<input type="checkbox"/>	<input type="checkbox"/>
6.	Are workers involved in undertaking workplace risk assessment?	<input type="checkbox"/>	<input type="checkbox"/>
7.	Is there an emergency response plan and is the plan available to workers? Is a first aid kit maintained and available at known disclosed work locations?	<input type="checkbox"/>	<input type="checkbox"/>
Hazardous substances including chemical exposure			
8.	Is appropriate PPE supplied according to the OHS risks identified, the Material Safety Data Sheet requirements for the chemicals? Are staffs trained in its use and maintenance?	<input type="checkbox"/>	<input type="checkbox"/>
9.	Are protocols in place for handling pesticides and fertilizer and/or other hazardous chemicals?	<input type="checkbox"/>	<input type="checkbox"/>
10.	Are chemicals stored and/or disposed in properly labeled containers in suitable areas (well-ventilated, secured areas, well signaled, etc). Are chemicals labelled in accordance with GHS (Globally Harmonized System of classification and chemical labelling)	<input type="checkbox"/>	<input type="checkbox"/>
Slips and trips, falls			
11.	Are there measures in place to deal with slips, trips and falls?	<input type="checkbox"/>	<input type="checkbox"/>
12.	When ladders are used to reach the place of work at height, has the appropriate ladder been chosen and is it used safely?	<input type="checkbox"/>	<input type="checkbox"/>
13.	When roof work is necessary, has the condition of the roof been assessed to ensure that the roof is dry and free from slipping and tripping hazards?	<input type="checkbox"/>	<input type="checkbox"/>
14.	In the case of skylights or holes/cavities, are they safeguarded?	<input type="checkbox"/>	<input type="checkbox"/>
Electricity-related risks, burns/scalds			
15.	Are only qualified persons allowed to work on electrical equipment?	<input type="checkbox"/>	<input type="checkbox"/>

16	Are workers aware that low voltages can cause surprise shocks and thereby falls?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
17	Are workers provided with suitable PPE when risk reduction measures at source are not sufficient?	<input type="checkbox"/>	<input type="checkbox"/>
18	Are workers accompanied always by at least one colleague when working on electrical systems, thereby eliminating lone working?	<input type="checkbox"/>	<input type="checkbox"/>
19	Respiratory and skin allergies	<input type="checkbox"/>	<input type="checkbox"/>
20	Are good working practices shared and made available via training to workers (e.g., smoking cessation), including promoting the benefits of proper use of personal protective equipment (e.g., adequate respiratory and masks in respiratory exposure, glasses, gloves)?	<input type="checkbox"/>	<input type="checkbox"/>
Hazards of musculoskeletal disorders			
21	Is work arranged so that manual handling operations, such as lifting and carrying are avoided and, where not possible, reduced to the minimum?	<input type="checkbox"/>	<input type="checkbox"/>
22	Is improved lifting training provided as relevant?	<input type="checkbox"/>	<input type="checkbox"/>

Additional questions regarding subgrantees/ local farms that participate in research:

1.	Are subgrantees/ local farmers made aware of OHS risks involved in the research project that they are part of? Have these risks been explained to them?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
2.	Are safety measures and use of PPE explained to the subgrantees/farmers before the undertake the research?	<input type="checkbox"/>	<input type="checkbox"/>
3.	Do you provide PPE to the subgrantees/farmers?	<input type="checkbox"/>	<input type="checkbox"/>
4.	How do you ensure that the subgrantees/farmers use the PPE and undertake all safety measures as explained to them?	<input type="checkbox"/>	<input type="checkbox"/>
5.	Do the subgrantees/local farmers know who to approach in case of an OHS related incident?	<input type="checkbox"/>	<input type="checkbox"/>

Annex 8. Requirements for Labor Management Procedures for Grant Recipients

LABOR MANAGEMENT PROCEDURES

Grant recipients are required to develop labor management procedures (LMP). The purpose of the LMP is to facilitate planning and implementation of the project. The LMP identify the main labor requirements and risks associated with the project, and help the Grant recipient to determine the resources necessary to address project labor issues. The LMP is a living document, which is initiated early in project preparation, and is reviewed and updated throughout development and implementation of the project.

The Template below is designed to help Grant recipients identify key aspects of labor planning and management. The content is indicative: where the issues identified are relevant in a project, Grant recipients should capture them in the LMP. Some issues may not be relevant; some projects may have other issues that need to be captured from a planning perspective. Where national law addresses requirements of the World Bank's Environmental and Social Standard 2 (Labor and Working Conditions) this can be noted in the LMP, and there is no need to duplicate such provisions. The LMP may be prepared as a stand-alone document, or form part of the Environmental and Social Management Plan.

A concise and up to date LMP will enable different project-related parties, for example, staff of the agricultural research institution, contractors and sub-contractors and project workers, to have a clear understanding of what is required on a specific labor issue. The level of detail contained in the LMP will depend on the type of project and information available. Where relevant information is not available, this should be noted and the LMP should be updated as soon as possible.

In preparing and updating the LMP, Grant recipients should refer to the requirements of national law and ESS2. ESS 2 and its Guidance Note can be located at:

<http://documents1.worldbank.org/curated/en/149761530216793411/ESF-Guidance-Note-2-Labor-and-Working-Conditions-English.pdf>

1. OVERVIEW OF LABOR USE ON THE PROJECT

This section describes the following, based on available information:

Number of Project Workers: The total number of workers to be employed on the project, and the different types of workers: direct workers, contracted workers and community workers. Where numbers are not yet firm, an estimate should be provided.

Characteristics of Project Workers: To the extent possible, a broad description and an indication of the likely characteristics of the project workers e.g. local workers, national or international migrants, female workers, workers between the minimum age and 18.

Timing of Labor Requirements: The timing and sequencing of labor requirements in terms of numbers, locations, types of jobs and skills required.

Contracted Workers: The anticipated or known contracting structure for the project, with numbers and types of contractors/subcontractors and the likely number of project workers to be employed or engaged by each contractor/subcontractor. If it is likely that project workers will be engaged through brokers, intermediaries or agents, this should be noted together with an estimate how many workers are expected to be recruited in this way.

Migrant Workers: If it is likely that migrant workers (either domestic or international) are expected to work on the project, this should be noted and details provided.

2. ASSESSMENT OF KEY POTENTIAL LABOR RISKS

This section describes the following, based on available information:

Project activities: The type and location of the project, and the different activities the project workers will carry out.

Key Labor Risks: The key labor risks which may be associated with the project. These could include, for example:

- Risk of fire and explosion
- Chemical Hazards (e.g. pesticides and fertilizers)
- Biological Hazards
- Physical Hazards
- Operational and workplace hazards (e.g. machineries and vehicles, confined and restricted space entry, exposure to organic dust)
- Likely incidents of child labor or forced labor, with reference to the sector or locality
- Likely presence of migrants or seasonal workers
- Risks of labor influx (including labor camps/accommodation)
- Risks of SEA/SH in the workplace
- Working conditions of labor in terms of payment of wages/ salary and overtime work
- Possible accidents or emergencies, with reference to the sector or locality
- General understanding and implementation of occupational health and safety requirements

3. BRIEF OVERVIEW OF LABOR LEGISLATION: TERMS AND CONDITIONS

This section sets out the *key aspects* of national labor legislation with regards to term and conditions of work, and how national legislation applies to different categories of workers identified in Section 1. The overview focuses on legislation which relates to issues, such as wages, deductions and benefits.

4. BRIEF OVERVIEW OF LABOR LEGISLATION: OCCUPATIONAL HEALTH AND SAFETY

This section sets out the *key aspects* of the national labor legislation with regards to occupational health and safety, and how national legislation applies to the different categories of workers identified in Section 1.

5. RESPONSIBLE STAFF

This section identifies the functions and/or individuals within the project responsible for (as relevant):

- engagement and management of project workers
- engagement and management of contractors/subcontractors
- occupational health and safety (OHS)
- training of workers²⁵
- addressing worker grievances

In some cases, this section will identify functions and/or individuals from contractors or subcontractors, particularly in projects where project workers are employed by third parties.

6. POLICIES AND PROCEDURES

This section sets out information on OHS, reporting and monitoring and other general project policies. Where relevant, it identifies applicable national legislation.

Where significant safety risks have been identified as part of Section 2, this section outlines how these will be addressed. Forced labor is not permitted in the project and the LMP should affirm this. Where risks of child labor have been identified, these are addressed in Section 7. The LMP should make reference to SEA/SH policy or clauses in codes of conduct as well as the SEA/SH channel within Grievance Mechanisms.

Where the Grant recipient has stand-alone policies or procedures, these can be referenced or annexed to the LMP, together with any other supporting documentation.

7. AGE OF EMPLOYMENT

This section sets out details regarding:

- The minimum age for employment on the project

²⁵ It is advised to have dedicated resources for SEA/SH training and capacity building as well as management of the SEA/SH mechanism.

- The process that will be followed to verify the age of project workers
- The procedure that will be followed if underage workers are found working on the project
- The procedure for conducting risk assessments for workers aged between the minimum age and 18

8. TERMS AND CONDITIONS

This section sets out details regarding:

- Specific wages, hours and other provisions that apply to the project
- Maximum number of hours that can be worked on the project
- Any collective agreements that apply to the project. When relevant, provide a list of agreements and describe key features and provisions
- Other specific terms and conditions

9. GRIEVANCE MECHANISM

This section sets out details of the grievance mechanism that will be provided for direct and contracted workers, and describes the way in which these workers will be made aware of the mechanism.

Where community workers are engaged in the project, details of the grievance mechanism for these workers is set out in Section 11.

10. CONTRACTOR MANAGEMENT

This section sets out details regarding:

- The selection process for contractors
- The contractual provisions that will put in place relating to contractors for the management of labor issues, including occupational health and safety
- The procedure for managing and monitoring the performance of contractors

11. COMMUNITY WORKERS

Where community workers will be involved in the project, this section sets out details of the terms and conditions of work, and identifies measures to check that community labor is provided on a voluntary basis. It also provides details of the type of agreements that are required and how they will be documented.

This section sets out details of the grievance mechanism for community workers and the roles and responsibilities for monitoring such workers.

12. PRIMARY SUPPLY WORKERS

Where a significant risk of child or forced labor or serious safety issues in relation to primary suppliers has been identified, this section sets out the procedure for monitoring and reporting on primary supply workers.

Annex 9. Pest Management

Background

The objective of the Project is to strengthen the capacity of targeted CCAFS (CGIAR Research Program on Climate Change, Agriculture and Food Security) partners and stakeholders, and to enhance access to climate information services and validated climate-smart agriculture technologies in IDA-eligible countries in Africa. Strengthening the productivity and resilience of African agriculture will require introducing a variety of climate-smart practices that may include pest management practices.

In the past, investment in agricultural intensification and productivity has been associated with an increase in external inputs such as fertilizers and chemical pesticides. Recognizing the importance of the risks associated with the irrational use of very toxic agricultural chemicals, the World Bank put in place standards on pest management to ensure good practice in Bank financed projects. Within this context, the World Bank considers Integrated Pest Management (IPM) and Integrated Crop Management (ICM) to be responsible agricultural practices to improve crop yields, increase farmers' income, foster growth, and improve food security by reducing pest and disease losses while protecting the health of producers, consumers, and the environment.

The management of pests, diseases and weeds is an essential part of agriculture. Chemical pesticides are commonly used to reduce crop losses in agriculture. However, most pesticides are hazardous and if mismanaged, can pose a risk to human health and the environment as well as lead to crop losses.

Taking this into account, all Bank financed projects are required to comply with the requirements of the Environmental and Social Framework, the Environmental Health and Safety Guidelines (EHSG), national laws and the relevant obligations under International Conventions and Treaties.

Requirements under National Laws and Regulations:

The project will comply with all relevant national laws and regulations on Pest Management, Pesticide Management (registration, control, life cycle, etc..), Pesticide risk management and on related occupational health and safety.

In addition, the project should consider promoting best practice in Integrated Crop and Pest Management practices as part of the climate smart agriculture technologies, taking advantage of the great wealth of CGIAR experience in Crop, Disease and Pest Management.

Requirements under the World Bank's Environmental and Social Framework (ESF):

Pest and Pesticide Management are covered under the Environmental and Social Standard on Resource Efficiency and Pollution Prevention and Management (ESS3) that states:

- Where projects involve recourse to pest management measures, the Grant recipient will give preference to integrated pest management (IPM) approaches using combined or multiple tactics;
- In the procurement of any pesticide the Grant recipient will assess the nature and degree of associated risks, taking into account the proposed use and the intended users. The Grant recipient will

not use any pesticides or pesticide products or formulations unless such use is in compliance with the EHSs;

- the Grant recipient will also not use any pesticide products that contain active ingredients that are restricted under applicable international conventions or their protocols or that are listed in, or meeting, the criteria of their annexes.
- For any other pesticide products that poses other potentially serious risk to human health or the environment and that are identified in internationally recognized classification and labelling systems, the Grant recipient will not use pesticide formulations of products if: (a) the country lacks restrictions on their distribution, management and use; or (b) they are likely to be used by, or be accessible to, lay personnel, farmers, or others without training, equipment, and facilities to handle, store, and apply these products properly.
- The following additional criteria apply to the selection and use of such pesticides: (a) they will have negligible adverse human health effects; (b) they will be shown to be effective against the target species; and (c) they will have minimal effect on nontarget species and the natural environment. The methods, timing, and frequency of pesticide application are aimed to minimize damage to natural enemies.
- The Grant recipient will ensure that all pesticides used will be manufactured, formulated, packaged, labeled, handled, stored, disposed of, and applied according to relevant international standards and codes of conduct, as well as the EHSs;
- For any project involving significant pest management issues or any project contemplating activities that may lead to significant pest and pesticide management issues, the Grant recipient will prepare a Pest Management Plan (PMP).

Obligations Under International Conventions and Treaties:

When we refer to International conventions in the context of pesticide procurement, the emphasis is the legally binding restrictions under these conventions. The Grant recipient should check the lists of restricted pesticides under applicable international conventions or their protocols. Specifically, this refers to pesticides listed in Annexes A, B and those meeting the criteria of Annex D of the Stockholm Convention, those listed in Annex III of the Rotterdam Convention, or those restricted under the Montreal Protocol.

To meet the requirements under the World Bank Environmental and Social Framework, national laws and international conventions and treaties on pesticide management, we strongly recommend using the International Code of Conduct on Pesticide Management. This voluntary code, approved by FAO's governing bodies, provides a framework on best practice in managing pesticides throughout their lifecycle.

To promote Integrated Crop and Pest Management to reduce reliance on pesticide use, the CGIAR is well placed to provide project beneficiaries (farmers and other value chain actors) with access to quality seeds and planting material of well adapted resistant/tolerant varieties to pests and diseases as well as to climate-informed agricultural advisory services so as to inform decision-making about the choice of Crop/Pest Management practices.

If the proposed Pest Management approach includes the potential reliance on Living Modified Organisms (LMOs), the Grant recipient should strictly follow the guidance of The Cartagena Protocol on Biosafety to the Convention on Biological Diversity to ensure the safe handling, transport and use of (LMOs).

Process to address pest management for AICCRA

The project activities will comply with national systems for Pest Management . Each grant recipient will prepare, implement and monitor a pest management plan (PMP) once the specific crops and sites are known during project implementation and before the commencement of the activities. The PMP will be done also in accordance with the World Bank's Environmental and Social Framework and respective Standards in addition to the relevant national laws and regulations and the FAO guidelines.

The main goal of the PMP is to enable grant recipients and stakeholders involved in AICCRA to monitor and mitigate possible environmental and social impacts associated with use of pesticides and to manage agriculture pests while providing natural resource protection. The objective is to (i) minimize the environmental and health hazards related to pesticide use, (ii) ensure that pest management activities follow an Integrated Pest Management (IPM) approach and develop national capacity to implement IPM-based crop protection and enforce pesticide regulations in targeted countries.

According to the World Bank's ESF-Resource Efficiency and Pollution Prevention and Management (ESS3), Integrated Pest Management (IPM) refers to a mix of farmer-driven, ecologically based pest control practices that seek to reduce reliance on synthetic chemical pesticides. It involves (a) managing pests (keeping them below economically damaging levels) rather than seeking to eradicate them; (b) integrating multiple methods (relying, to the extent possible, on nonchemical measures) to keep pest populations low; and (c) selecting and applying pesticides, when they have to be used, in a way that minimizes adverse effects on beneficial organisms, humans, and the environment.

Capacity building

Raising awareness on pest and pesticide management has been the focus of donors and other main stakeholders (FAO, the WB, etc.). Relevant support including on strengthening legislation and institutional framework has been reached in several countries in Africa through donors' programs such as the Integrated Production and Pest Management (IPPM) project for Senegal, Mali, Burkina Faso and Benin. Effective implementation of PMP is ensured through capacity building and institutional strengthening supported with adequate budget for AICCRA interventions. AICCRA Project does support capacity building at the level of grant recipients and farmers through workshops, development of IPM posters and brochures; conducting Training of Trainers (ToTs) on best practices of Pesticide management, health and safety aspects (PPE), research and training.

PMP Content

The Pest Management Plan (PMP) should include the following key aspects: (i) Minimizing the environmental and health risks associated with pesticide use, (ii) promoting an IPM approach and (iii) developing national capacity to implement IPM-based crop management and manage pesticides.

The PMP will include procedures for the selection, procurement, and management of pesticides as per the guidelines outlined in the International Code of Conduct on Pesticide Management (FAO/WHO). Once the

specific project activities have been defined and cropping systems designated, The PMP will be prepared, consulted upon and disclosed prior to the commencement of project activities.

- Executive Summary
- Background on the PMP preparation (e.g., PMP objective study; targeted areas; pest management approaches; etc.)
- Specific project objective description including major project activities, baseline project conditions, description of project sites, etc.
- Pest Management relevant Policy, legal and Institutional Framework;
- Environmental and social risks and mitigation measures;
- Monitoring, inspection and reporting arrangements;
- Implementation Strategy, Training and capacity building plan
- Stakeholder engagement and information disclosure (including GM);
- Affiliated budget; and
- Relevant Annexes (including list of possible insecticides for management of pests; site photos; environmental questionnaire, monitoring forms, etc.)

Guidance Materials:

United Nations Economic Commission for Europe. 2013. Globally Harmonized System of Classification and Labelling of Chemicals (GHS). United Nations Economic Commission for Europe, Geneva.

https://www.unece.org/fileadmin/DAM/trans/danger/publi/ghs/ghs_rev04/English/ST-SG-AC10-30-Rev4e.pdf

United Nations Food and Agriculture Organization and World Health Organization, 2014. The International Code of Conduct on Pesticide Management.

http://www.fao.org/fileadmin/templates/agphome/documents/Pests_Pesticides/Code/Code_ENG_2017updated.pdf

The Cartagena Protocol on Biosafety to the Convention on Biological Diversity:

[file:///C:/Users/wb240969/Downloads/cartagena%20protocol%20on%20biosafety%20to%20the%20convention%20on%20biological%20diversity%20-%20text%20and%20annexes%20\(english\).pdf](file:///C:/Users/wb240969/Downloads/cartagena%20protocol%20on%20biosafety%20to%20the%20convention%20on%20biological%20diversity%20-%20text%20and%20annexes%20(english).pdf)

Annex 10. Stakeholder Engagement Plan and Grievance Mechanism for Grant Recipients

This template provides guidance for Grant recipients on Stakeholder Engagement Plan (SEP) and Grievance Mechanism (GM). The template helps to illustrate the requirements of the ESSs and propose sample approaches to fulfilling the requirements; they are meant to be a useful and voluntary tool. Grant recipients should review the SEP prepared for the project.

Stakeholder Engagement Plan (SEP)

The scope and level of detail of the plan should be commensurate and proportionate with the nature and scale, potential risks, and impacts of the project and the concerns of the stakeholders who may be affected by or are interested in the project. Depending on the nature of the scale of the risks and impacts of the project, the elements of an SEP may be included as part of the Environmental and Social Commitment Plan (ESCP), and preparation of a stand-alone SEP may not be necessary.

The SEP should be clear and concise and focus on describing the project and identifying its stakeholders. It is key to identify what information will be in the public domain, in what languages, and where it will be located. It should explain the opportunities for public consultation, provide a deadline for comments, and explain how people will be notified of new information or opportunities for comment. It should explain how comments will be assessed and taken into account. It should also describe the project's grievance mechanism and how to access this mechanism. The SEP should also commit to releasing routine information on the project's environmental and social performance, including opportunities for consultation and how grievances will be managed.

1. Introduction/Project Description

Briefly describe the project, the stage of the project, its purpose, and what decisions are currently under consideration on which public input is sought.

Describe location and, where possible, include a map of the project site(s) and surrounding area, showing communities and proximity to sensitive sites, and including any worker accommodation, lay-down yards, or other temporary activities that also may impact stakeholders. Provide a link to, or attach a nontechnical summary of, the potential social and environmental risks and impacts of the project.

2. Brief Summary of Previous Stakeholder Engagement Activities

If consultation or disclosure activities have been undertaken to date, including information disclosure and informal or formal meetings/or consultation, provide a summary of those activities (no more than half a page), the information disclosed, and where more detailed information on these previous activities can be obtained (for example, a link, or physical location, or make available on request).

3. Stakeholder identification and analysis

Identify key stakeholders who will be informed and consulted about the project, including individuals, groups, or communities that:

- Are affected or likely to be affected by the project (project-affected parties);

- May have an influence over the project and its activities; and
- May have an interest in the project (other interested parties).

Depending on the nature and scope of the project and its potential risks and impacts, examples of other potential stakeholders may include government authorities, local organizations, NGOs, and companies, and nearby communities. Stakeholders may also include politicians, labor unions, academics, religious groups, national social and environmental public-sector agencies, and the media.

3.1. Affected parties

Identify individuals, groups, local communities, and other stakeholders that may be directly or indirectly affected by the project, positively or negatively. The SEP should focus particularly on those directly and adversely affected by project activities. Mapping the impact zones by placing the affected communities within a geographic area can help define or refine the project's area of influence. The SEP should identify others who think they may be affected, and who will need additional information to understand the limits of project impacts.

3.2. Other interested parties

Identify broader stakeholders who may be interested in the project because of its location, its proximity to natural or other resources, or because of the sector or parties involved in the project. These may be local government officials, community leaders, and civil society organizations, particularly those who work in or with the affected communities. While these groups may not be directly affected by the project, they may have a role in the project preparation (for example, government permitting) or be in a community affected by the project and have a broader concern than their individual household.

Moreover, civil society and nongovernmental organizations may have in-depth knowledge about the environmental and social characteristics of the project area and the nearby populations, and can help play a role in identifying risks, potential impacts, and opportunities for the Grant recipient to consider and address in the assessment process. Some groups may be interested in the project because of the sector it is in (for example, mining or health care), and others may wish to have information simply because public finance is being proposed to support the project. It is not important to identify the underlying reasons why people or groups want information about a project—if the information is in the public domain, it should be open to anyone interested.

3.3. Disadvantaged / vulnerable individuals or groups

It is particularly important to understand project impacts and whether they may disproportionately fall on disadvantaged or vulnerable individuals or groups, who often do not have a voice to express their concerns or understand the impacts of a project. The following can help outline an approach to understand the viewpoints of these groups:

- Identify vulnerable or disadvantaged individuals or groups and the limitations they may have in participating and/or in understanding the project information or participating in the consultation process.
- What might prevent these individuals or groups from participating in the planned process? (For example, language differences, lack of transportation to events, accessibility of venues, disability, gender norms, lack of understanding of a consultation process).
- How do they normally get information about the community, projects, activities?
- Do they have limitations about time of day or location for public consultation?

- What additional support or resources might be needed to enable these people to participate in the consultation process? (Examples are providing translation into a minority language, sign language, large print or Braille information; choosing accessible venues for events; providing transportation for people in remote areas to the nearest meeting; organizing childcare services; having small, focused meetings where vulnerable stakeholders are more comfortable asking questions or raising concerns.)
- If there are no organizations active in the project area that work with vulnerable groups, such as persons with disability, contact medical providers, who may be more aware of marginalized groups and how best to communicate with them.
- What recent engagement has the project had with vulnerable stakeholders and their representatives?

3.4. Summary of project stakeholder needs

Example

Community	Stakeholder group	Key characteristics	Language needs	Preferred notification means (e-mail, phone, radio, letter)	Specific needs
Group A	Agricultural researchers	Approximately 100 staff	Official language	Written information, radio	Meeting room, audiovisual support, written materials
Group B	Farmers	50 local farmers (disaggregated by gender)	Language alternative	Meetings; visit with translator and civil society representative	Discussion, Graphics, education on process

1. Stakeholder Engagement Program

4.1 Purpose and timing of stakeholder engagement program

Summarize the main goals of the stakeholder engagement program and the envisaged schedule for the various stakeholder engagement activities: at what stages throughout the project’s life they will take place, with what periodicity, and what decision is being undertaken on which people’s comments and concerns. If decisions on public meetings, locations, and timing of meetings have not yet been made, provide specific information on how people will be made aware of forthcoming opportunities to review information and provide their views.

4.2 Proposed strategy for information disclosure

Briefly describe what information will be disclosed, in what formats, and the types of methods that will be used to communicate this information to each of the stakeholder groups. Methods used may vary according to target audience. For each media example, identify the specific names (for example, *The Daily News* and *The Independent*, *Radio News 100.6*, television *Channel 44*). The selection of disclosure—both for notification and providing information—should be based on how most people in the vicinity of the project routinely get information, and may include a more central information source for national interest. A variety of methods

of communication should be used to reach the majority of stakeholders. The project should select those that are most appropriate and have a clear rationale for their choices. The plan should include a statement welcoming comments on the proposed engagement plan and suggestions for improvement. For remote stakeholders, it may be necessary to provide for an additional newspaper outlet or separate meeting, or additional documents that should be placed in the public domain. The public domain includes:

- Newspapers, posters, radio, television;
- Information centers and exhibitions or other visual displays;
- Brochures, leaflets, posters, nontechnical summary documents and reports;
- Official correspondence, meetings;
- Website, social media.

The strategy should include means to consult with project-affected stakeholders if there are significant changes to the project resulting in additional risks and impacts.

Example

Project stage	List of information to be disclosed	Methods proposed	Timetable: Locations/ dates	Target stakeholders	Percentage reached	Responsibilities
Pilot farming activities	ESMP, PMP	Notification Radio News 100.6 and copy in village hall Poster on community bulletin board	Radio twice daily in weeks of disclosure	Agricultural researchers, local farmers involved with the project	Radio News 100.6 reaches 60% of village Poster on bulletin board reaches another percentage of the population	Social Specialist/ Community Liaison Officer

4.3 Proposed strategy for consultation

Briefly describe the methods that will be used to consult with each of the stakeholder groups. Methods used may vary according to target audience, for example:

- Interviews with stakeholders and relevant organization
- Surveys, polls, and questionnaires
- Public meetings, workshops, and/or focus groups on specific topic
- Participatory methods
- Other traditional mechanisms for consultation and decision making.

Example

Project stage	Topic of consultation	Method used	Timetable: Location and dates	Target stakeholders	Responsibilities
Pilot farming activities	Chemical, biological hazards	Discussion with local farmers and relevant civil society organizations Public meeting	ABC elementary school September 4, 3:00 p.m. Village A town hall September 8, 5:30 p.m.	Farmers and other local stakeholders Community	Social Specialist/Community Liaison Officer (CLO) Agricultural experts/project team

4.4 Proposed strategy to incorporate the view of vulnerable groups

Describe how the views of vulnerable or disadvantaged groups will be sought during the consultation process. Which measures will be used to remove obstacles to participation? This may include separate mechanisms for consultation and grievances, developing measures that allow access to project benefits, and so forth.

4.5 Timelines

Provide information on timelines for project phases and key decisions. Provide deadlines for comments.

4.6 Review of Comments

Explain how comments will be gathered (written and oral comments) and reviewed, and commit to reporting back to stakeholders on the final decision and a summary of how comments were taken into account.

4.7 Future Phases of Project

Explain that people will be kept informed as the project develops, including reporting on project environmental and social performance and implementation of the stakeholder engagement plan and grievance mechanism. Projects should report at least annually to stakeholders, but often will report more frequently during particularly active periods, when the public may experience more impacts or when phases are changing (for example, quarterly reports during construction, then annual reports during implementation).

5. Resources and Responsibilities for implementing stakeholder engagement activities

5.1 Resources

Indicate what resources will be devoted to managing and implementing the Stakeholder Engagement Plan, in particular:

- Who is in charge of the SEP?
- Confirm that an adequate budget has been allocated toward stakeholder engagement
- Provide contact information if people have comments or questions about the project or the consultation process; that is, phone number, address, e-mail address, title of responsible person

(individual names may change).

5.2 Management functions and responsibilities

Describe how stakeholder engagement activities will be incorporated into the project's management system and indicate what staff will be devoted to managing and implementing the Stakeholder Engagement Plan:

- Who will be responsible for carrying out each of the stakeholder engagement activities and what are the qualifications of those responsible?
- How involved will management be in stakeholder engagement?
- How will the process be documented, tracked, and managed (for example, stakeholder database, commitments register, and so forth)?

6. Grievance Mechanism

Each Grant recipient will need to set up a Grievance Mechanism (GM) to handle complaints at the local level according to project requirements (for a checklist on the GM, please see the appendix at the end of this annex). Grant recipient GMs will process complaints and also appeals. A second appeal can be submitted to CIAT for their review (see the project SEP for CIAT's procedures for handling grievances). If complainants are still dissatisfied with the handling of their complaint, they can make use of judicial procedures in the country where the complaint originated.

The GM should describe the process by which people affected by the project can bring their grievances and concerns to the project management's attention, and how they will be considered and addressed, including responses to the following questions/points:

- Is there an existing formal or informal grievance mechanism? Can it be adapted or does something new need to be established?
- Is the grievance mechanism culturally appropriate, that is, is it designed to take into account culturally appropriate ways of handling community concerns? For example, in cultures where men and women have separate meetings, can a woman raise a concern to a woman in the project grievance process?
- Is there a safe and confidential channel for handling SEA/SH complaints? How does it work? Are there referral protocols to GBV service providers?
- What process will be used to document complaints and concerns? Who will receive public grievances? How will they be logged and monitored?
- What time commitments will be made to acknowledge and resolve issues? Will there be ongoing communication with the complainant throughout the process?
- How will the existence of the grievance mechanism be communicated to all stakeholder groups? Are separate processes needed for vulnerable stakeholders?
- If a complaint is not considered appropriate to investigate, will an explanation be provided to the complainant on why it could not be pursued?

- ❑ Will there be an appeals process if the complainant is not satisfied with the proposed resolution of the complaint? Not all projects will necessarily have an appeals process, but it is advisable to include one for more complex projects. In all cases, complainants need to be reassured that they still have all their legal rights under their national judicial process.
- ❑ A summary of implementation of the grievance mechanism should be provided to the public on a regular basis, after removing identifying information on individuals to protect their identities. How often will reports go into the public domain to show that the process is being implemented?

7. Monitoring and Reporting

7.1 Involvement of stakeholders in monitoring activities

Some projects include a role for third parties in monitoring the project or impacts associated with the project. Describe any plans to involve project stakeholders (including affected communities) or third-party monitors in the monitoring of project impacts and mitigation programs. The criteria for selection of third parties should be clear. For further information, see the World Bank's Good Practice Note on Third-Party Monitoring.

7.2 Reporting back to stakeholder groups

Describe how, when, and where the results of stakeholder engagement activities will be reported back to both affected stakeholders and broader stakeholder groups. It is advised that these reports rely on the same sources of communication that were used earlier to notify stakeholders. Stakeholders should always be reminded of the availability of the grievance mechanism.

Appendix 1 – Grievance Mechanism Checklist

Grievance Mechanism (GM) Checklist

The following checklist describes a GM that adheres to good international practice, which may not be necessary for all sub-projects. Nevertheless, this checklist helps to determine whether a grievance mechanism conforms to good international practice.

A. System issues

1. Does the project invite feedback/grievances? Yes___ No___
2. Does the organization have a policy on grievance redress? Yes___ No___
 - a. Is the policy available to all staff, beneficiaries, and potential users? Yes___ No___
 - b. Is the policy written in the local language(s)? Yes___ No___
3. Does the grievance mechanism have the following features?
 - a. A clearly understood procedure for people to provide feedback and/or submit grievances. Yes___ No___
 - b. A statement of who is responsible for dealing with feedback/grievances. Yes___ No___
 - c. Procedures for resolving or mediating and investigating grievances depending on their seriousness and complexity. Yes___ No___
 - d. A system for keeping complainants informed of status updates. Yes___ No___
 - e. A system for recording feedback/grievances and outcomes. Yes___ No___
 - f. Procedures for protecting confidentiality of complainants (including about SEA/SH complaints). Yes___ No___
 - g. Referral procedures to GBV service providers for SEA/SH complaints
Procedures for protecting confidentiality of complainants (including about SEA/SH complaints). Yes___ No___

B. Staff management

1. Is there a grievance manual for staff?
2. Do the grievance policy and/or procedures provide guidance on:
 - a. What is a grievance/feedback? Yes___ No___
 - b. What information to collect from complainants? Yes___ No___
 - c. What remedies can or should be used to resolve grievances? Yes___ No___
3. Are the grievance policy and procedures communicated to all staff? Yes___ No___
4. Are adequate resources allocated for the grievance mechanism to function effectively? Yes___ No___
5. Does the organization provide training on grievance management to staff? Yes___ No___

C. Communication to grievance mechanism users

1. Are users told how to submit grievances/feedback? Yes___ No___
 - a. Is an information brochure on the grievance mechanism available to users? Yes___ No___
 - b. Are feedback/grievance forms available to users? Yes___ No___
 - c. Are grievance forms or signs displayed prominently and readily accessible? Yes___ No___
 - d. Are contact details of staff receiving feedback/grievance published and displayed in public areas? Yes___ No___
 - e. Is information on grievance management available in local languages? Yes___ No___
2. Are users able to submit grievances/feedback:
 - a. In writing Yes___ No___
 - b. By email Yes___ No___
 - c. By fax Yes___ No___
 - d. By telephone Yes___ No___
 - e. In person Yes___ No___
3. Are users provided with assistance to submit feedback/grievances where needed? Yes___ No___
4. Can the grievance mechanism be accessed free of charge? Yes___ No___
5. Are users promised confidentiality? Yes___ No___
6. Are users informed about the appeals process? Yes___ No___

D. Feedback/grievance recording

1. Are all feedback/grievances recorded? Yes___ No___
 - a. Are grievances/feedback logged and documented? Yes___ No___
 - b. Are inquiries/suggestions and recommendations recorded? Yes___ No___
 - c. Are the outcomes and responses to all grievances/feedback recorded? Yes___ No___

E. Business standards

1. Are there business standards in place for the process and timing with which grievances/feedback are dealt with? Yes___ No___
 - a. Is receipt acknowledged within a stipulated time frame? Yes___ No___
 - b. Are the grievances supposed to be resolved within a stipulated time frame? Yes___ No___
2. Is there a quality control system in place to:
 - a. Check if all grievances have been dealt with or acted upon. Yes___ No___
 - b. Check if all aspects of a grievance have been addressed. Yes___ No___
 - c. Check if all necessary follow-up action has been taken. Yes___ No___

F. Analysis and feedback

1. Are regular internal reports on grievances/feedback produced for

- senior management? Yes___ No___
2. Grievances/feedback reports include data on:
- Numbers of grievances/feedback received. Yes___ No___
 - Compliance with business standards. Yes___ No___
 - Issues raised in grievances/feedback. Yes___ No___
 - Trends in grievances/feedback over time. Yes___ No___
 - The causes of grievances/feedback. Yes___ No___
 - Whether remedial action was warranted. Yes___ No___
 - What redress was actually provided? Yes___ No___
 - Recommendations/strategies to prevent or limit future recurrences. Yes___ No___
3. Are reports about grievances/feedback made public, periodically? Yes___ No___