

**International Center for Tropical Agriculture
(CIAT)**

**Accelerating Impacts of CGIAR Climate Research
for Africa (AICCRA)
(P173398)**

Draft

**ENVIRONMENTAL and SOCIAL
COMMITMENT PLAN (ESCP)**

October 22, 2020

ENVIRONMENTAL AND SOCIAL COMMITMENT PLAN

1. The International Center for Tropical Research (CIAT) will implement the Accelerating Impacts of CGIAR Climate Research for Africa (AICCRA) Project (the **Project**), with the involvement of International Crops Research Institute for the Semi-Arid Tropics (ICRISAT), International Livestock Research Institute (ILRI), both being main counterparts with CIAT, several CGIAR research institutes and other regional and national partners. The International Development Association (the Association) has agreed to provide financing for the Project.
2. CIAT will implement material measures and actions so that the Project is implemented in accordance with the Environmental and Social Standards (**ESSs**). This Environmental and Social Commitment Plan (**ESCP**) sets out material measures and actions, any specific documents or plans, as well as the timing for each of these.
3. CIAT will comply and will ensure that ICRISAT, ILRI, specific CGIAR research institutes and the regional and national partner institutions implementing Project activities utilizing the Grant under the Project also comply with the provisions of any other E&S documents required under the ESF and referred to in this ESCP, such as Environmental and Social Management Plans (ESMP), Pest Management Plans, and Stakeholder Engagement Plans (SEP), and the timelines specified in these E&S documents.
4. CIAT is responsible for oversight of the ESCP and overall supervision of the project's environmental and social management aspects. CIAT is responsible for compliance with all requirements of the ESCP even when implementation of specific measures and actions is conducted by the entities referenced in 1. above.
5. Implementation of the material measures and actions set out in this ESCP will be monitored and reported to the Association by CIAT as required by the ESCP and the conditions of the legal agreement, and the Association will monitor and assess progress and completion of the material measures and actions throughout implementation of the Project.
6. As agreed by the Association and CIAT, this ESCP may be revised from time to time during Project implementation, to reflect adaptive management of Project changes and unforeseen circumstances or in response to assessment of Project performance conducted under the ESCP itself. In such circumstances, CIAT will agree to the changes with the Association and will update the ESCP to reflect such changes. Agreement on changes to the ESCP will be documented through the exchange of letters signed between the Association and CIAT. CIAT will promptly disclose the updated ESCP.
7. Where Project changes, unforeseen circumstances, or Project performance result in changes to the risks and impacts during Project implementation, CIAT shall provide additional funds, if needed, to implement actions and measures to address such risks and impacts.

MATERIAL MEASURES AND ACTIONS		TIMEFRAME	RESPONSIBLE ENTITY/AUTHORITY
MONITORING AND REPORTING			
A	<p>REGULAR REPORTING</p> <p>Prepare and submit to the Association regular monitoring reports on the environmental, social, health and safety (ESHS) performance of the Project, including but not limited to the implementation of the ESCP, status of preparation and implementation of E&S documents required under the ESCP, stakeholder engagement activities, functioning of the grievance mechanism(s).</p>	Semi- Annual reports in first year of operations; then, Annual reports thereafter.	CIAT, with input collected by ICRISAT and ILRI as well as from other sub-grant recipients (such as other CGIAR research institutes or regional institutions or national institutions) in accordance with the terms and conditions of the Program Participation Agreements under the Project
B	<p>INCIDENTS AND ACCIDENTS</p> <p>Promptly notify the Association 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. Provide sufficient detail regarding the incident or accident, 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. Subsequently, as per the Association’s request, prepare a report on the incident or accident and propose any measures to prevent its recurrence.</p>	Notify the Association within 48 hours after learning of the incident or accident. A report must be provided within 30 days of the occurrence of the incident or accident.	CIAT
C	<p>SUB-GRANT RECIPIENTS’ ENVIRONMENTAL AND SOCIAL MONITORING REPORTS</p> <p>All sub-grant recipients must be required to provide to CIAT reports on the ESMPs’ implementation, PMPs’ implementation, Labor and Occupational Health and Safety, and GRM implementation. Such reports must be submitted to the Association by CIAT upon request.</p>	Reports by sub-grant recipients to CIAT every six months.	Sub-grant recipients CIAT - upon request of the Bank
ESS 1: ASSESSMENT AND MANAGEMENT OF ENVIRONMENTAL AND SOCIAL RISKS AND IMPACTS			
1.1	<p>ORGANIZATIONAL STRUCTURE:</p> <p>Establish and maintain an organizational structure with qualified staff and resources to support the Project management of E&S risks. One environmental specialist and one social specialist, with support from consultants, as necessary, will be recruited by CIAT and based in ICRISAT and ILRI.</p>	The staff will be in place within 60 days after Project effectiveness and before any grants are approved to implementing partners. The organizational structure, including the specialists, will be maintained throughout Project implementation.	CIAT

MATERIAL MEASURES AND ACTIONS		TIMEFRAME	RESPONSIBLE ENTITY/AUTHORITY
1.2	<p>ENVIRONMENTAL AND SOCIAL ASSESSMENT:</p> <p>Prepare, adopt, and implement an Environmental and Social Risk Management Guide (ESRM Guide) consistent with ESS1 that is acceptable to the Association.</p>	<p>The ESRM Guide will be prepared prior to Board approval of the Project and publicly disclosed. It will be implemented throughout the life of the Project.</p>	<p>CIAT</p>
1.3	<p>MANAGEMENT TOOLS AND INSTRUMENTS:</p> <p>a. Screen any proposed Project activity in accordance with the ESRM Guide prepared for the Project, and, thereafter, draft, adopt, and implement Environmental and Social Management Plans (ESMPs) and Pest Management Plans (PMPs), as required by the ESRM Guide, in line with the EHSGs, and other relevant Good International Industry Practice (GIIP), in a manner acceptable to the Association.</p> <p>CIAT will assist Sub-grant recipients (pursuant to the PPAs) in preparing the ESMPs and PMPs for their sub-project activities. The first 10 ESMPs and PMPs will require the Association’s prior approval before they are finalized and disclosed. Once prepared, cleared and disclosed, the ESMPs and PMPs will be carried out throughout Project implementation.</p> <p>b. Ensure that grant recipients are following ESMPs, PMPs, and LMPs, comply and report on them in line with the ESCP requirements</p>	<p>a. ESMPs and PMPs will be prepared, consulted upon and disclosed prior to the commencement of Project activities. The ESMPs and PMPs will be implemented throughout the life of the Project.</p> <p>b. Throughout Project implementation.</p>	<p>a. CIAT, and all Sub-grant recipients pursuant to the PPAs under the guidance and oversight of CIAT</p> <p>b. CIAT</p>

<p>1.4</p>	<p>EXCLUSIONS:</p> <p>The following type of activities are ineligible for financing under the Project. The ESRM Guide will reflect these prohibitions:</p> <ul style="list-style-type: none"> a. Production or activities involving forced labor¹ 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. 	<p>Exclude activities during the assessment process conducted under action 1.3 above. Exclusions remain in effect throughout Project implementation.</p>	<p>CIAT, Sub-grant recipients (pursuant to the terms and conditions of the PPAs)</p>
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MATERIAL MEASURES AND ACTIONS	TIMEFRAME	RESPONSIBLE ENTITY/AUTHORITY
ESS 2: LABOR AND WORKING CONDITIONS		

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

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 the Association.

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 the Association.

MATERIAL MEASURES AND ACTIONS		TIMEFRAME	RESPONSIBLE ENTITY/AUTHORITY
2.1	<p>LABOR MANAGEMENT PROCEDURES:</p> <p>a. Adopt and implement the Labor Management Procedures (LMP) that have been developed for the Project. These LMPs will be consistent with ESS2 and contain sections dedicated to the national legislation of each of the relevant countries.</p> <p>b. The ESRM Guide must include labor requirements for the sub-grant recipients which have been prepared in a manner acceptable to the Association. The ESRM Guide must require that subprojects be completed in accordance with the LMP, including applicable national legislation.</p> <p>c. Conduct training for sub-grant recipients, and regular monitoring, to ensure that no unpaid, forced, or child labor is used on any activity related to Project implementation.</p>	<p>a. CIAT will prepare and disclose its LMP before Board approval of the Project. LMP to be carried out throughout Project implementation.</p> <p>b. LMP for each of the sub-grant recipients will be prepared prior to the commencement of Project activities. LMP will be carried out during Project implementation.</p> <p>c. Throughout Project implementation</p>	<p>a. CIAT</p> <p>b. Sub-grant recipients, under the guidance and oversight of CIAT</p> <p>c. CIAT</p>
2.2	<p>GRIEVANCE MECHANISM FOR PROJECT WORKERS:</p> <p>a. Establish, maintain, and operate a grievance mechanism for Project workers, as described in the LMP for each of the sub-grant recipients and consistent with ESS2 and applicable national legislation.</p> <p>b. The ESRM Guide must specify measures for establishing and maintaining labor grievance mechanisms consistent with ESS2 and applicable national legislation.</p>	<p>a. Grievance mechanism for workers to be operational before engaging Project workers, and to be maintained throughout Project implementation.</p> <p>b. Labor grievance procedures for each of the sub-grant recipients will be prepared and operationalized prior to the commencement of Project activities.</p>	<p>a. CIAT</p> <p>b. Sub-grant recipients, under the guidance and oversight of CIAT</p>
2.3	<p>OCCUPATIONAL HEALTH AND SAFETY (OHS) MEASURES:</p> <p>Prepare, adopt, and implement occupational, health and safety (OHS) measures in line with the ESMP and Food and Agriculture Organization (FAO) Guidelines.</p>	<p>The ESMPs will be prepared, consulted upon and disclosed prior to the commencement of Project activities. They will be carried out throughout Project implementation.</p>	<p>Sub-grant recipients, under the guidance and oversight of CIAT</p>
<p>ESS 3: RESOURCE EFFICIENCY AND POLLUTION PREVENTION AND MANAGEMENT</p>			

MATERIAL MEASURES AND ACTIONS		TIMEFRAME	RESPONSIBLE ENTITY/AUTHORITY
3.1	<p>RESOURCE EFFICIENCY AND POLLUTION PREVENTION AND MANAGEMENT:</p> <p>Assess impacts from waste generation, emission and discharge expected from agriculture research, application of agrichemicals and pesticides, and other project-supported activities, and require relevant mitigation measures as part of the ESMPs to be prepared under action 1.3 above. Ensure adherence of conducted activities with ESMPs.</p>	The ESMPs will be prepared, consulted upon and disclosed prior to the commencement of Project activities. They will be carried out throughout Project implementation.	Sub-grant recipients, under the guidance and oversight of CIAT (pursuant to the terms and conditions of the PPAs)
3.2	For each sub-grant, update, adopt, disclose and implement a Pest Management Plan (PMP) consistent with national guidelines and regulations and in a manner acceptable to the Association, including the national Pest Management Plan and any Biosafety and Biosecurity Guidelines, if they exist.	PMP to be prepared, consulted upon, adopted, and disclosed prior to disbursement of the sub-grant and the commencement of sub-grant activities. PMP to be carried out throughout sub-grant implementation.	Sub-grant recipients, under the guidance and oversight of CIAT (pursuant to the terms and conditions of the PPAs)
ESS 4: COMMUNITY HEALTH AND SAFETY			
4.1	<p>COMMUNITY HEALTH AND SAFETY:</p> <p>Prepare, adopt, and implement measures and actions to assess and manage specific risks and impacts to the community arising from Project activities, and require these measures and actions in the ESMPs and PMPs to be prepared, in a manner acceptable to the Association.</p>	The ESMPs and PMPs will be prepared, consulted upon and disclosed prior to the commencement of Project activities. They will be carried out throughout Project implementation.	Sub-grant recipients, under the guidance and oversight of CIAT, pursuant to the terms and conditions of the PPAs.
4.3	<p>SEXUAL EXPLOITATION AND ABUSE/SEXUAL HARASSMENT (SEA/SH) RISKS:</p> <p>a. Prepare, adopt, and implement a SEA/SH Action Plan to assess and manage the risks of SEA/SH.</p> <p>b. The ESRM Guide must include measures, including Codes of Conduct for project workers, for managing SEA/SH risk in a manner acceptable to the Association. The Guide will further ensure that such measures are consistent with ESS4 and applicable national legislation.</p>	<p>a. The SEA/SH Action Plan will be completed within 60 days of Project effectiveness.</p> <p>b. SEA/SH risk management measures to be adopted as part of the ESRM Guide on the timeframe specified in section 1.2 of this ESCP.</p>	<p>a. CIAT</p> <p>b. Sub-grant recipients, under the guidance and oversight of CIAT, pursuant to the terms and conditions of the PPAs.</p>

4.4	<p>SECURITY PERSONNEL:</p> <p>a. Prepare, adopt, and implement a stand-alone Security Personnel Management Plan consistent with the requirements of ESS4, in a manner acceptable to the Association.</p> <p>b. Adopt corresponding measures regarding security personnel in the relevant ESMPs.</p>	<p>a. Before engaging any public or private security personnel on the Project.</p> <p>b. The ESMPs will be prepared, consulted upon and disclosed prior to the commencement of Project activities. They will be carried out throughout Project implementation.</p>	<p>Grant recipients, under the guidance and oversight of CIAT, pursuant to the terms and conditions of the PPAs.</p>
<p>ESS 5: LAND ACQUISITION, RESTRICTIONS ON LAND USE AND INVOLUNTARY RESETTLEMENT Consistent with the exclusions in section 1.4 of this ESCP, no Project activities may be financed that would involve land acquisition leading to economic or physical displacement.</p>			
<p>ESS 6: BIODIVERSITY CONSERVATION AND SUSTAINABLE MANAGEMENT OF LIVING NATURAL RESOURCES</p>			
6.1	<p>BIODIVERSITY RISKS AND IMPACTS:</p> <p>a. As per ESRM Guide requirements, conduct a preliminary screening and assess each activity proposed for financing in terms of its risks and impacts on biodiversity and ensure all activities with such impacts and/or located within important and/or critical natural habitats will be excluded from the Project financing. These requirements must be applied for all Project activities.</p> <p>b. Ensure (i) that handling, transport and use of new variety of seeds do not have adverse effects on biological diversity and/or pose risks to human health as per FAO and Cartagena Protocol requirements on handling hybrid seeds; and (ii) no Genetically Modified Organisms (GMOs) seeds are to be allowed within the Project activities.</p>	<p>a. Prior to commencing Project activities and throughout the Project implementation.</p> <p>b. Prior to commencing Project activities and throughout the Project implementation.</p>	<p>a. CIAT, Sub-grant recipients</p> <p>b. CIAT, Sub-grant recipients; seed providers</p>
<p>ESS 7: INDIGENOUS PEOPLES/SUB-SAHARAN AFRICAN HISTORICALLY UNDERSERVED TRADITIONAL LOCAL COMMUNITIES</p>			

7.1	<p>INDIGENOUS PEOPLES PLAN: There are no known Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities (IP/SSAHUTLCs) in the Project area. Should the social screening indicate that IP/SSAHUTLCs are present in the Project area, Indigenous Peoples Plans (IPPs) will be prepared, adopted, disclosed, and implemented in a manner acceptable to the Association.</p>	<p>Where required, IPPs will be prepared, consulted upon and disclosed prior to the commencement of Project activities. They will be carried out throughout Project implementation.</p>	<p>CIAT, Sub-grant recipients, under the guidance and oversight of CIAT (pursuant to the terms and conditions of the PPAs).</p>
<p>ESS 8: CULTURAL HERITAGE</p>			
8.1	<p>CHANCE FINDS: There is no known cultural heritage in the Project area. Each ESMP will include a chance finds procedure.</p>	<p>The ESMPs will be prepared, consulted upon and disclosed prior to the commencement of Project activities. They will be carried out throughout Project implementation.</p>	<p>CIAT, Sub-grant recipients, under the guidance and oversight of CIAT, pursuant to the terms and conditions of the PPAs.</p>
<p>ESS 9: FINANCIAL INTERMEDIARIES This ESS is Not Relevant for Project activities</p>			
<p>ESS 10: STAKEHOLDER ENGAGEMENT AND INFORMATION DISCLOSURE</p>			
10.1	<p>STAKEHOLDER ENGAGEMENT PLAN PREPARATION AND IMPLEMENTATION:</p> <p>a. A draft SEP for the Project will be prepared, consulted upon, adopted, and disclosed before Project Appraisal. It will be updated during Appraisal, disclosed and thereafter implemented during Project implementation.</p> <p>b. Each sub-grantee must prepare, consult upon, adopt, and disclose a SEP specific to the activities of that sub-grant. The ESRM Guide must specify the scope and content of those Sub-Grant SEPs to ensure that they are consistent with the Project SEP and ESS10.</p>	<p>a. The draft Project SEP will be completed before Appraisal. A final version of the Project SEP will be completed during Appraisal and thereafter disclosed. The Project SEP will be carried out throughout Project Implementation.</p> <p>b. Sub-grant SEPs to be consulted upon, adopted, and disclosed before commencement of sub-grant activities. Each sub-grant SEP will be carried out throughout sub-grant implementation.</p>	<p>a. CIAT</p> <p>b. Sub-grant recipients, under the guidance and oversight of CIAT, pursuant to the terms and conditions of the PPAs.</p>

<p>10.2</p>	<p>PROJECT GRIEVANCE MECHANISM:</p> <p>a. Prepare, adopt, maintain and operate a grievance mechanism for the Project, as described in the SEP.</p> <p>b. In accordance with the provisions of the ESRM Guide, each sub-grant recipient must establish and maintain a grievance mechanism consistent with the Project and sub-grant SEP and ESS10. These sub-grant recipient grievance mechanisms will review complaints and initial appeals related to activities financed by that sub-grant and allow the complainant to submit a second appeal to the Project-level grievance mechanism.</p>	<p>a. The Project grievance mechanism has already been established. It will be maintained throughout Project implementation.</p> <p>b. Each grievance mechanism for the sub-grant recipient will be established prior to the commencement of sub-grant activities. It will be maintained throughout sub-grant implementation.</p>	<p>a. CIAT</p> <p>b. Sub-grant recipients, under the guidance and oversight of CIAT.</p>
<p>CAPACITY SUPPORT (TRAINING)</p>			
<p>CS1</p>	<p>Provide training on the measures in Environmental and Social Risk Management Guide to CIAT staff and grant recipient institutions, including:</p> <ul style="list-style-type: none"> • environmental and social management, including resource management and waste management • stakeholder mapping and engagement • grievance redress • OHS • SEA/SH • community health and safety 	<p>Project staff to complete training within 60 days of hire, throughout Project implementation</p>	<p>CIAT, with support from the Association</p>