

***Accelerating Innovation and Catalyzing
Capacity for Resilience in Africa as
Phase 4 of the West Africa Food System
Resilience Program (AICCRA-FSRP IV)
(P508689)***

**ENVIRONMENTAL AND SOCIAL RISK
MANAGEMENT (ESRM) GUIDE**

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Table of Contents

1.0	BACKGROUND.....	4
1.1	Introduction	4
1.2	Scope and Applicability	4
1.3	Project Description	4
2.0	ENVIRONMENTAL AND SOCIAL RISKS MANAGEMENT PROCEDURES	5
2.1	Commitment to Environmental and Social Risk Management	5
2.2	E&S Oversight Team	6
2.3	E&S Coordination and Collaborative Governance Arrangements.....	6
2.4	Capacity Building Training	7
2.5	Screening of Partners and Sub-project Activities	8
2.6	Project Negative List	8
2.7	Site-Specific Screening	10
2.8	Selection of Demonstration Plot.....	10
2.9	Procedure for ESMP preparation, Approval, Disclosure and Implementation .	11
3.0	STAKEHOLDER ENGAGEMENT AND INFORMATION DISCLOSURE	12
4.0	GRIEVANCE REDRESS MECHANISM (GRM).....	12
4.1	Types of Grievances and Information Request Anticipated	14
4.2	Establishment Timeline	15
4.3	Complaint Intake and Resolution Procedure.....	15
4.4	Complaint Redress Procedure	15
4.5	Linkage to World Bank GRS	18
5.0	LABOR AND WORKING CONDITIONS	19
5.1	Labor and Working Conditions Requirements and Actions	19
5.2	Code of Conduct	20
5.3	SEA/SH Prevention and Response.....	20
6.0	ENVIRONMENTAL AND SOCIAL MONITORING AND REPORTING	21
6.1	Environmental and Social Monitoring.....	21
6.2	Managing Non-compliance	21

6.2.1	Non-compliance Situations	22
6.2.2	Management of Non-compliance Situations	22
6.3	Environmental and Social Reporting	22
ANNEXES		24
Annex I: E&S Screening Checklist.....		24
Annex II: Temporary land use agreement.....		29
Annex III: ESMP Template		31
Annex IV: Code of Conduct		33
Annex V: Checklist for Monitoring of E&S Measures at Demonstration Sites		36
Annex VI: Environmental & Social Reporting Template for Service Provider		37
Annex VII: Grievance Log		44
Annex VIII: TOR for Service Providers' Environmental and Social Expert		45
Annex IX: AICCRA-FSRP IV Environmental and Social Screening Form for Institutions		47
Annex X: Key E&S Provision for Service Providers Contract Agreement		51

List of Tables

Table 1: E&S risk categorization scale	7
Table 2 Key labor and working condition requirements and actions	16

1.0 BACKGROUND

1.1 Introduction

This Environmental and Social Risk Management (ESRM) Guide has been developed for the Accelerating Innovation and Catalyzing Capacity for Resilience in Africa under Phase IV of the West Africa Food System Resilience Program (AICCRA-FSRP IV). It is intended for service providers and entities implementing subcontracted activities and serves as a practical tool to ensure compliance with environmental and social (E&S) risk-mitigation requirements. The Guide translates the commitments outlined in the project's Environmental and Social Commitment Plan (ESCP) into actionable procedures for handling E&S risk assessment and management, monitoring and reporting.

1.2 Scope and Applicability

This Guide is intended for use by *icipe* and all service providers implementing project activities under the AICCRA-FSRP IV project. It also applies to any institutions or entities carrying out subcontracted activities on behalf of service providers. Compliance with this Guide is a mandatory requirement for all service providers and associated entities prior to entering into contractual agreements.

1.3 Project Description

The Accelerating Innovation and Catalyzing Capacity for Resilience in Africa as phase 4 of the West Africa Food System Resilience Program (AICCRA-FSRP IV)) aims to scale agricultural innovations for increased food system resilience in Africa.

The International Centre of Insect Physiology and Ecology (*icipe*) will serve as the primary implementing agency for AICCRA-FSRP IV. *icipe* brings extensive experience in research and development on climate-smart agriculture, capacity building, and stakeholder engagement across sub-Saharan Africa. The project implementation will be supported by a dedicated Environmental and Social (E&S) team comprising Environmental and Social Specialists in the program management unit, and E&S Safeguard Focal Points based at both the regional and country levels. These personnel will ensure effective oversight and implementation of the project's environmental and social safeguards, including the Stakeholder Engagement Plan (SEP) and the Grievance Mechanism (GM). Cluster Leads, with the assistance of country-specific E&S focal persons, will be responsible for adapting and executing stakeholder engagement activities in line with the local context.

The AICCRA-FSRP IV project is being implemented in six focus countries: Senegal, Mali, Ghana, Ethiopia, Kenya, and Zambia, with scale-up activities at the Western, Eastern and Southern Africa regions. It comprises two integrated and mutually reinforcing technical components and one component for project management.

Component 1: Strengthening agricultural information systems and institutional capacity: This component aims to strengthen agricultural information systems and institutional capabilities required to accelerate the scaling of agricultural innovations in the target countries. Building on AICCRA's progress in developing data platforms and strengthening regional agricultural knowledge systems, the component will enhance the quality, accessibility, and integration of

agriculture and climate information datasets and digital infrastructure, while supporting institutions to manage and use these systems. Based on specific country needs, the data systems and tools will provide information on issues such as climate forecasts, soil nutrients, pests and diseases, market prices, and agro advisories, among others. This component will also strengthen the capacity of selected regional and national institutions involved in agriculture innovation to use data effectively, manage innovation pipelines (also including actions for promoting gender inclusion in innovation management), and support knowledge transfer across countries. This support will reinforce the enabling environment for innovation by improving the flow of reliable information across regional and national actors, enhancing institutional readiness to manage agricultural innovation processes, and ensuring that knowledge generated through the Project is systematically captured, curated, and shared. It has two sub-components which comprise Subcomponent 1.1: Agricultural information systems and digital infrastructure and Sub-component 1.2: Strengthening institutional capacity for agricultural innovation.

Component 2; Scaling the use of agriculture innovation: **This component will support the sustained use of agriculture innovations by farmers.** Component 2 will ensure that last-mile users (particularly smallholder farmers, women, youth, and marginalized groups) can benefit from current and future agriculture innovations that can drive improved climate resilience, mitigation, and food and nutrition security. This will also entail enhancing skills to advance agricultural innovation, enabling the next generation of agriculture innovators and agripreneurs to access better jobs and entrepreneurial opportunities and continue innovating. The work under this component will build on the ongoing process to promote the uptake of innovations under AICCRA, which has piloted various scaling models in collaboration with public and private partners (Box 4). AICCRA-FSRP IV will build on that system of established partnerships to expand the uptake of innovation among last-mile, vulnerable users and beneficiaries (especially youth) to strengthen their technical and entrepreneurial skills. It comprises the following two sub-components: Sub-component 2.1: Delivering agricultural innovation to farmers; and Sub-component 2.2: Boosting skills for jobs in agricultural innovation.

2.0 ENVIRONMENTAL AND SOCIAL RISKS MANAGEMENT PROCEDURES

2.1 Commitment to Environmental and Social Risk Management

icipe will ensure that all service providers engaged to implement project activities comply with the provisions of the ESCP and any other E&S document referred to in the ESCP, such as environmental management plans (ESMPs), ESS3 requirements related to pesticide use and management, and the Stakeholder Engagement Plan (SEP), as well as the timelines specified in these E&S documents. In pursuance of this enforcement, *icipe* shall set out, as in Annex X, the specific E&S requirements that will be included in service providers' service agreements.

2.2 E&S Oversight Team

icipe will hire two E&S Specialists by the project's effective date and maintain them throughout the project to oversee and monitor the implementation of the ESCP across all project activities.

To ensure on-the-ground oversight of E&S activities and grievance management across the six focal countries, each Country Technical Team will include an E&S expert. In line with the institutional arrangements for managing these teams, ILRI will hire and retain E&S experts for Kenya, Ethiopia and Senegal; IITA for Ghana and Soil Hub activities; AfricaRice for Mali and PHRD activities; and icipe for Zambia activities.

Regional partners engaged as service providers may also employ E&S experts, depending on the scope of their activities and the advice of the PIU E&S Specialists. E&S experts in the six countries and among regional partners will maintain a parallel reporting line through their Technical Leads to the PIU E&S Specialists.

The terms of reference for the Service Providers' E&S expert is provided in VIII. This team will maintain adherence to and implementation of the ESRM guide.

E&S Expert Reporting Arrangement



2.3 E&S Coordination and Collaborative Governance Arrangements.

To ensure rigorous compliance and seamless implementation of the ESCP, the following governance arrangements are considered to foster coordination between the PIU E&S Specialists and E&S Experts of Service Providers.

The International E&S Specialist in the PIU will maintain overall strategic leadership, oversight and accountability for all environmental and social risk management across the project footprint. The candidate will act as the primary technical authority, leading work planning, assigning specific oversight tasks, monitoring routines and E&S duties to the National E&S Specialist and E&S experts of service providers. Further organise and chair formal, routine coordination platforms and technical review sessions with E&S Experts embedded within partner service providers.

The International E&S Specialist and the National E&S Specialist in the PIU will fulfil their respective terms of reference agree on shared responsibilities in the spirit of fairness, competence, and complementarity, with the International E&S Specialist leading routine task allocation and providing overall coordination and leadership on E&S activities. Under these arrangements, the National E&S Specialist will carry out tasks assigned by the International

E&S Specialist to ensure effective implementation of the ESCP requirements. The International E&S Specialist will primarily focus on coordinating delivering E&S activities in Mali, Senegal, Ghana, and the broader West Africa regional activities, while the National E&S Specialist will focus on project activities in Kenya, Ethiopia, Zambia, and the broader Eastern and Southern Africa activities under the leadership of the International E&S Specialist

The E&S experts of service providers are directly responsible for field-level implementation and day-to-day compliance with E&S requirements across their organisation's project activities and subcontractors. They will maintain a parallel functional reporting line through their Technical Leads to the PIU E&S Specialist. In doing so, they will provide rapid, data-backed responses to technical inquiries, information requests, and other activities initiated by the PIU E&S Specialists. They are required to attend and actively participate in E&S coordination meetings and training sessions organised by the PIU E&S Specialists.

Non-compliance or systemic delays by service providers' E&S experts in attending mandatory E&S coordination meetings, or failure to fulfil reporting requests from the PIU Specialist, will trigger contractual performance warnings.

2.4 Capacity Building Training

Capacity-building training will be conducted throughout the project's implementation. Within six months of project effectiveness, the E&S Specialist shall conduct the following training.

- Sensitize the PIU Staff and the Technical Implementation Team on the material measures and actions in the ESCP.
- Provide orientation for E&S experts at the service provider level on the
 - ESCP requirements.
 - stakeholder engagement and information disclosure plan.
 - Grievance Redress Mechanism, including receipt and management of complaints.
 - Labor and working conditions in particular related to child and family labor.
 - Site-specific E&S screening tools and mitigation measures.
 - Preparation, implementation and monitoring of Environmental and Social Management Plans (ESMPs).
 - Preparation and submission of biannual reports.
 - Sexual Exploitation and Abuse (SEA) and Sexual Harassment (SH)
 - Code of conduct

The E&S experts of service providers will also provide the following training to their team and to the farmers they may work with.

- Occupational health and safety
- SEA/SH
- Code of conduct
- Pesticide management, storage and disposal training to lead farmers and other requirements of ESS3.

- Awareness raising on child and family labor restrictions to lead farmers.
- Emergency preparedness and response.
- Farming health and safety risks to lead farmers.

2.5 Screening of Partners and Sub-project Activities

All implementing entities, service providers, and sub-project activities supported by AICCRA FSRP-IV will be screened. The first-tier screening, which will be carried out by the E&S Specialists at the PIU, will aim to ensure conformity of partners and project activities to the project negative list provided at sub-section 2.4 and determine the E&S risk level of project activities. This first-level screening will be carried out using the template provided in Annex IX.

Table 1 contains the key suggested considerations for E&S risk categorization when assessing sub-project activities. 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 risks and impacts only.

Table 1: E&S risk categorization scale

Risk categorization	Description/Criteria for E&S risks and impacts
Low	• 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	• 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 • easily mitigated in a predictable manner

In line with ESRM guidelines, the E&S Specialist in the PIU will approve sub-projects classified as low risk to proceed without further assessment, while those identified as moderate risk will undergo additional site-specific screening and onward approval by the World Bank.

2.6 Project Negative List

The following types of activities are ineligible for financing under the Project. Any activity or partner on this list will be screened out.

- a. Civil works – except for minor civil works, such as boreholes or greenhouses

- b. Production or activities involving forced labor¹.
- c. Production or activities involving child labor².
- d. Cross-border trade in pesticide, waste and waste products, unless compliant to the Basel Convention and the underlying regulations³.
- e. Research that may lead to environmentally damaging activities,
- f. such as inappropriate use of chemical fertilizers.
- g. 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).
- h. Biotechnology application in genetically modified (GM) crops that may involve genetic transformations of the national original crops and/or might generate irreversible environmental impacts.
- i. Activities that could introduce invasive alien species and may impact critical habitats, recognized biodiversity areas and/or legally protected areas.
- j. Activities that may result in discrimination against vulnerable groups, including on the basis of gender and disability.
- k. Activities involving land acquisition leading to economic or physical displacement.
- l. Activities that affect existing land tenure arrangements or cultural heritage.
- m. Activities carried out by institutions with a record of demonstrated occupational, health, and safety incidents or accidents, as well as child or forced labor use.⁴
- n. Activities carried out by institutions with a record of unresolved Sexual Exploitation and Abuse/Sexual Harassment incidents.⁵
- o. All the other activities excluded under the ESRM Guide of the Project.
- p. Any activity in areas that pose security risk to project workers or requires the use of security personnel.

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 ICIPE 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 ICIPE and the Association.

2.7 Site-Specific Screening

The purpose of the site-specific environmental and social screening is to assess on-farm activities in order to identify potential environmental risks and impacts during implementation and within the defined area of influence. The extent of the sub-project's area of influence will be determined based on the nature of the activities undertaken.

The methodology for site-specific screening will include consultations with key stakeholders, a review of the relevant county regulatory and legal framework to ensure compliance, and the collection of primary and secondary data to establish baselines, site descriptions and potential E&S risks and impacts.

The service provider shall liaise with the E&S Specialist at the PIU to agree on a date and schedule for site-specific screening. Prior to this date, the service provider shall conduct stakeholder engagement to share project-related information with field officers and farmers directly involved in implementing the site-specific activities.

The site-specific screening shall be carried out by the service provider's E&S expert and with technical backstopping from the E&S Specialist in the PIU. The screening exercise will aim to identify potential E&S risks associated with the project activities and implementation process, as well as contextual risks or hazards that can amplify project-related risks or impact project activities. The site-specific screening checklist is provided as Annex I.

2.8 Selection of Demonstration Plot

There will be no land acquisition (and thus no transfer of land ownership) under the project; only an official agreement to temporarily use the plot of land for demonstration activities is permitted. Therefore, as a guide, the following protocol should be followed to select farmer fields or plots for temporary demonstration activities.

1. The national or matching grant partner will first collaborate with the government agricultural directorate and extension officers to identify project ecological zones, project counties/regions/provinces, and communities that align with the project objective. At this stage, the project will present its gender and social inclusion (GESI) preferences, including the participation of influential farmers, youth farmers, a mix of male- and female-led farmers, and farmers with disabilities. The project will also discuss E&S requirements and procedures.
2. For each community considered, community meetings will be organized with local farmers. During these meetings, farmers will be informed about the objectives of the scaling activities, key innovations to be showcased, E&S requirements and procedures, and GESI expectations.
3. After stage 2, the project will allow the extension officers to discuss with the farmers who are willing to voluntarily offer a piece of their farmland for consideration and selection.
4. With the land options provided, the E&S team and extension officers will select the final lead farmers based on the following considerations.

- a. Ensure that there is a voluntary willingness to offer the land free of charge or for a temporary rental fee.
 - b. Ensure that the plot will be available to host demonstration activities on the plot throughout the demonstration periods without hindrance or interference.
 - c. Ensure that the plot is easily accessible to both males, females, and persons with disability (PWD) for learning.
 - d. Ensure that the plot is not located within or near sensitive sites.
 - e. Ensure that the farmer offering the plot is the true owner of the plot, and the plot is free from rental transfers, other ownership claims, and squatters or encroachers.
 - f. Ensure that each renter has other land for farming and that renting it out will not affect their ability to farm and sustain their livelihood.
5. Agree on temporary rental fees based on negotiations and a local land market comparison.
 6. Sensitize the landowner to the project's grievance mechanism and complaint channels.
 7. Offer the plot owner the option to lead and coordinate the demonstration activities on the plot or delegate the leadership of the community farmer group to lead and coordinate activities on the plot.
 8. Ensure that the landowner agreeing to be a lead farmer is willing to comply with the project labor and working condition requirements, SEA/SH code and others.
 9. Complete an official voluntary land agreement with the aid of the template provided in Annex II

2.9 Procedure for ESMP preparation, Approval, Disclosure and Implementation

The preparation of each Environmental and Social Management Plan (ESMP) will begin with site-specific environmental and social screening. The screening process will identify the nature, scale and significance of potential risks and impacts associated with proposed project activities, including risks linked to implementation arrangements, site conditions, community health and safety, labour and working conditions, biodiversity, pollution, land access, vulnerable groups, stakeholder engagement and grievance management. It will also consider contextual risks or hazards that may increase project-related impacts or affect implementation. The site-specific screening checklist is provided in Annex I.

The results of the screening will determine the level of risk and the type of environmental and social instrument required. For activities or sub-projects classified as moderate risk by the PIU, the service provider's E&S specialist will prepare a site-specific ESMP before implementation. The ESMP will translate the screening findings into practical mitigation and management measures by identifying each risk or impact, the action required to avoid, minimise, reduce, mitigate or offset it, the responsible party, the implementation timeline, the monitoring indicator, the frequency of monitoring, the reporting arrangement and the estimated budget or resources required.

The draft ESMP will include, at a minimum, a description of the activity and site context; the key environmental and social risks and impacts identified through screening; mitigation and

management measures; occupational health and safety requirements; stakeholder engagement and grievance management arrangements; capacity-building needs; roles and responsibilities; implementation timelines; monitoring and supervision requirements; reporting procedures; and a budget for implementing the agreed measures. The simplified ESMP template in Annex III will guide the format and level of detail.

The service provider will submit the draft ESMP to the PIU E&S Specialists for technical review and quality assurance. The PIU will confirm that the ESMP addresses the screening findings, includes proportionate mitigation and monitoring measures, assigns clear responsibilities, and provides realistic timelines and budgets. After PIU review, the ESMP will be revised as needed and submitted to the World Bank for review and approval as required under the ESCP.

After the World approval of the ESMP the document will be publicly disclosed. Disclosure means making the ESMP accessible to stakeholders in a timely, understandable and culturally appropriate manner before the relevant activities begin. Once cleared for disclosure, the ESMP should be shared at locations and through channels accessible to affected communities, project workers, implementing partners and other relevant stakeholders. This may include posting the document on the project or implementing partner website, making hard copies available at project sites or local offices, and sharing summaries during stakeholder engagement meetings. The disclosed version should explain the main risks, mitigation measures, roles, timelines, grievance channels and contact points in language and formats suitable for the intended audience.

Site-specific activities may proceed only after the ESMP has been approved, disclosed and communicated to the project staff, service providers, farmers and other stakeholders involved in implementation. Before activities start, the responsible service provider will ensure that relevant staff and workers are trained on the ESMP requirements, mitigation measures, reporting obligations and grievance procedures. During implementation, the service provider's E&S specialist will monitor compliance with the ESMP, document progress against the agreed indicators and timelines, report performance to the PIU E&S Specialists, and update or strengthen mitigation measures where monitoring results, incidents, stakeholder feedback or changes in site conditions show that additional action is required.

3.0 STAKEHOLDER ENGAGEMENT AND INFORMATION DISCLOSURE

The Project has prepared a stakeholder engagement plan (SEP) to define a programme for stakeholder engagement, including public information disclosure and consultation throughout the entire project cycle. The SEP maps the range of stakeholders for the project and assesses their roles and interests. The SEP outlines how the project team will communicate with stakeholders and includes a mechanism for people to raise concerns, provide feedback, or lodge complaints about project interventions or related activities. The SEP also includes measures to encourage the participation of women, youth and other persons at risk of exclusion. It will cover the entire life of the project and may be updated at any time during implementation to capture issues arising from changing circumstances and uncertainties. Service providers must implement the SEP together with this ESRM Guide and adapt

stakeholder engagement activities to the scope, location, risks and affected groups associated with their specific assignments.

Service providers are expected to consult and disclose information at key stages of activity preparation and implementation. This includes informing partners, participating communities, farmers, workers, local authorities and other relevant stakeholders about planned project activities, expected benefits, potential environmental and social risks, mitigation measures, implementation arrangements, grievance channels and stakeholder responsibilities.

Consultations should be conducted in accessible locations, in appropriate local languages and in formats that allow stakeholders to ask questions, raise concerns and provide feedback before activities proceed.

- **Project launch and matching grant activities:** disclose relevant project information, eligibility requirements, selection processes, expected activities, E&S obligations, labour requirements, grievance channels and measures for preventing exclusion, discrimination or retaliation.
- **Site-specific screening:** consult affected communities, land users, farmers, workers, local authorities and vulnerable or at-risk groups to identify site conditions, potential E&S risks, contextual concerns, land access issues, health and safety risks, grievance trends and practical mitigation options.
- **ESMP preparation and implementation:** use screening and consultation findings to confirm risks, define mitigation measures, agree responsibilities, explain monitoring arrangements and communicate timelines, budgets and reporting requirements before implementation begins.
- **Consultation on sub-project activities** such PHRD, Ag Data Hubs and others. Service providers must consult potential users, host institutions, data managers, farmers and relevant public or private partners on access arrangements, data governance, privacy, inclusion, responsible use, feedback channels and any E&S risks associated with data collection, management or dissemination.
- **Demonstration of resilient innovations:** engage farmers, extension actors, workers and community representatives before and during demonstration activities to explain the technology or practice, site requirements, occupational and community health and safety measures, resource-use implications, waste management, grievance channels and any restrictions or precautions required.
- **Awareness raising:** provide clear information on identified E&S risks, agreed mitigation measures, codes of conduct, SEA/SH prevention where relevant, occupational health and safety, safe use of inputs or equipment, incident reporting and the project grievance mechanism.
- **Inclusion measures:** identify and address barriers that may limit the participation of women, youth, persons with disabilities, minority groups, poorer households, remote communities and other persons at risk of exclusion. Measures may include targeted outreach, accessible venues, convenient meeting times, translation into local languages, separate consultations where appropriate, reasonable accommodation and safe channels for confidential feedback.

- **Documentation and reporting:** record consultation dates, locations, participants, key issues raised, responses provided, agreed actions, disclosure materials used, grievances received and measures taken to include vulnerable or excluded groups. These details must be submitted to the PIU E&S Specialists and reflected in the service provider's biannual E&S reports.

4.0 GRIEVANCE REDRESS MECHANISM (GRM)

icipe has developed a grievance redress mechanism (GRM) as part of the project stakeholder engagement plan to assist in receiving and resolving complaints in a timely, effective, and efficient manner, satisfying all parties involved. Specifically, the GRM is expected to:

- Provide multiple and accessible avenues for stakeholders to seek information and ask questions on the AICCRA-FSRP project.
- Ensure that appropriate and mutually acceptable resolution actions are identified and implemented to the satisfaction of complainants.
- Provide an avenue for vulnerable groups and victims of sexual exploitation and abuse/sexual harassment (SEA/SH) to have their grievances related to SEA/SH incidents handled confidentially, transparently, ethically and safely, and to include a referral pathway to gender-based violence services, such as psycho-social support, legal and medical services.
- Avoid project-community conflicts and improve community support for the project activities.
- Provide a way for community members to consistently engage with the project, enhance relationships, reduce social and environmental risks, and enable more responsive and responsible management of the project.

4.1 Types of Grievances and Information Request Anticipated

Drawing on past related projects, the anticipated grievances for this project could fall into the following categories.

- Request for information on how to:
 - access project grant.
 - access climate-smart information and innovations.
 - collaborate with implementing agencies.
 - participate in project activities and meetings.
- Community health and safety-related risks and impacts
- Selection of farmers for participation in project activities
- Exclusion of vulnerable groups
- Sitting of project demonstration farms
- Sexual Exploitation and Abuse/Sexual Harassment (SEA/SH)

Overall management of the GRM will rest with the AICCRA-FSRP IV project's PIU, led by the project's Environmental and Social Specialists. The E&S Specialists will exercise overall oversight on the project GM by ensuring that grievances are resolved at all levels in a timely, responsive, communicative, and amicable manner. The AICCRA E&S Safeguard Specialists will specifically be responsible for:

- The disclosure and sensitization of implementing partners, staff, and project stakeholders on the GRM.
- Maintaining a database to monitor all complaints received, updating, and closing complaints.
- Prompting and facilitating activities of Grievance Redress Committees (GRC).
- Checking if all grievances have been addressed and follow-up actions have been taken.
- Monitoring and producing biannual performance reports on the GRM.

In doing so, the PIU E&S Specialists will work closely with the E&S Specialist at the service providers' level to ensure parallel and effective delivery of the GRM at that level. The E&S Specialist at the service providers' level will maintain records of all complaints received, assist affected parties in lodging complaints, escalate hard-to-resolve cases to the PIU, and produce biannual reports on grievances from their operations to the PIU. They will also take the lead in sensitizing their grant recipients and farmers to the project's GRM.

4.2 Establishment Timeline

The deployment of the GM will be done in two phases. During the first phase, the PIU E&S Specialists will establish complaint-receipt channels (email addresses, phone numbers, only entry form) and a grievance redress committee at the PIU level within 6 months of the project becoming effective. In the second phase, the GM will be decentralized to service providers within 3 months of their service agreements being signed. The PIU E&S specialist will assist the service providers in establishing complaint-receipt channels and a redress committee, and in designing posters for downstream sensitization.

4.3 Complaint Intake and Resolution Procedure

Complaint intake

icipe will establish publicly disclosed email addresses, contact numbers, and physical addresses as complaint-filing points at the PIU, at the service providers' level and in the six project focal countries. Flyers and posters will be designed to facilitate dissemination to stakeholders.

For project activities that will occur at the community level, the lead research institution will designate two community members, one male and one female, involved in the project activities as focal persons for receiving complaints. When designated, the contact details of these persons shall be disclosed and made available to community members. The community focal persons will be trained to receive complaints and lodge them promptly with the service provider's E&S specialist. Community members will also be allowed to lodge complaints directly during project meetings.

4.4 Complaint Redress Procedure.

The general steps for the grievance resolution process comprise:

- Registering receipt of complaints.
- Acknowledging receipt of complaints.
- Investigating and determining a solution to the complaints.
- Implementing the resolution action.
- Verifying resolution action implementation.
- Opening the complaint to recourse or alternative actions.

Registration of complaints: The respective E&S Specialist receiving the complaint shall officially register all complaints using the proposed complaint registration form in Annex VII and inform the GRC within 24 hours of any complaint lodged. The grievance submission should be dated and signed by the complainant or their representative, except when the complaint was made verbally over the phone from a remote location or is required to be anonymous. At the PIU level, the E&S Specialists shall also inform the PIU GRC within 24 hours after lodging any unresolved complaint escalated from the country or service providers' level.

For each submission, the complainant is expected to at least include the following:

- Detailed explanation of the complaint relating to the AICCRA-FSRP IV project.
- Location related to the submission.
- Whether the complainant lives in the project area.
- Whether a similar submission has been previously filed with the project.
- If known, the operational procedures that have been violated by the AICCRA-FSRP IV project.
- Whether the submission concerns an individual submission or is made on behalf of a community.
- Whether the submission is requested to be kept confidential.
- Contact details of the complainant.
- The signature of the complainant.

The project will acknowledge receipt of the complaint by letter within 3 working days. The letter of acknowledgement will specify a contact person for the project and describe what the complainant can expect next, including a timeline.

Maintaining confidentiality: The complainant may request that their complaint be handled confidentially. In such cases, the Project shall maintain confidentiality of aspects of the complaint as required. However, there may be situations in which it may not be possible to resolve the complaint without revealing the identity (for example, when evidence needs to be presented in court). In such cases, the Project will discuss with the complainant whether and how best to proceed.

Anonymous complaint: Complaints can also be raised anonymously, and in such cases, complainants may be required to provide sufficient facts and data to enable the GRC to investigate the matter without assistance. The GRC will make every effort to evaluate anonymous complaints; however, anonymity may sometimes make it more difficult to investigate, protect the complainant's position, offer and implement a resolution, and provide feedback. Nonetheless, feedback to anonymous complainants will be provided through the very

channel used to raise the anonymous complaint or an alternative channel provided by the complainant. All complainants who raise complaints outside the grievance lodging points will be directed and advised using the lodging points to officially register their complaint with the Project. For cases brought forward by visually and hearing-impaired persons as well as illiterate persons, the E&S Specialist should orally translate the content of the grievance registration form and the acknowledgement letter to them in their preferred local languages and provide access to sign language interpretations, and where necessary, through a trusted representative nominated by the complainant. These people assisting should also be listed on the form and signed by them.

Determining and investigating the complaint: When a grievance is recorded in accordance with the above-mentioned registration procedures, the GRC will be called into action to investigate the case and hold mediation meetings with interested parties to resolve the issue. Minutes of the meetings will be recorded. The GRC will first assess the grievance to determine whether it is project-related and to identify the type of harm caused and the parties involved. It will then, if necessary, consult with the complainant and relevant parties to decide on the appropriate resolution. The case resolution is expected to be completed within 7 working days of receipt or registration of the grievance, but this may be extended depending on the nature of the case submitted.

Implement resolution action: Any redress action considered after the mediation process will also be implemented within 10 working days of receipt of the complaint. The Project will implement the resolution either directly or through a third party, in consultation with the complainant.

Verifying the implementation status of the agreed resolution action: The Project will review complaints regularly to ensure progress is being made towards resolution. The E&S Specialist in charge of the case will contact the complainant or visit the affected site to confirm that the resolution action is carried out. If the complainant is satisfied with the resolution implemented, the Safeguard Focal Person will close the case and require the complainant to sign a statement acknowledging this. However, signing the statement does not preclude the complainant from raising the issue again or seeking other avenues for resolution should the resolution not result in a permanent fix or if the issue recurs. The Project may re-open the complaint if the complainant provides new information and may also contact the complainant after closure to ensure no other problems have arisen.

Verification would be completed within 7 days of execution of the resolution action. If the complainant is dissatisfied with the outcome of the resolution proposal or action, additional steps may be taken to resolve the issues, or the service provider may escalate the complaint to the PIU GRC. Alternatively, if the complainant is not satisfied with the resolution offered, they may appeal against the decision through the E&S Specialist in charge or seek other recourse.

Recourse or Alternatives: Three alternative or recourse actions are considered: amicable mediation and settlement, appeal to the court, or escalation of the case to the World Bank's external Grievance Redress Services.

2nd Tier Amicable Mediation and Settlement

If the complainant is not satisfied with the GRC's decision at the service provider level, the service provider's E&S specialist will forward the case to the PIU E&S specialist for further action. For cases involving technicalities and/or conflicts of interest with a GRC member, the service provider GRC may appoint an individual mediator or an Independent Appeals Panel that is neutral and independent of the Project. The selection of the mediator or individuals comprising the Independent Appeals Panel will be conducted in consultation with the complainant and other key stakeholders to ensure trustworthiness of the process.

For cases escalated to the PIU GRC, the GRC may also decide to resolve the complaint or establish an appropriate mediation team to address the issue, in consultation with the service provider's Technical Lead and the complainant. *icipe* Legal Office will also assist in grievance management in coordination with the PIU-GRC.

The Project Management GRC will be required to resolve the issue within 2 weeks of receipt of the deferred cases. If such a timeline is not possible, the PIU E&S Specialist will inform the complainant of the reasons and propose a new date. When new resolution measures are considered, the implementation and verification process outlined above shall be followed to close the case or determine the next line of action.

Appeal to Court

If the complainant remains dissatisfied with the PIU GRC's mediation efforts, they may pursue appropriate recourse through the judicial process in their respective country. The project will allow any aggrieved person the right of access.

4.5 Linkage to World Bank GRS

icipe and service providers will also include avenues within the project's GRS channels for communities and individuals who believe they are adversely affected by the AICCRA-FSRP IV project to submit complaints to the World Bank's Grievance Redress Service (GRS). The World Bank GRS ensures that complaints are promptly reviewed to address project-related concerns. Project-affected communities and individuals may submit their complaints to the Bank's GRS or to the independent Inspection Panel, which determines whether harm has occurred or could occur as a result of World Bank non-compliance with its policies and procedures.

However, the project will emphasize that before a request is submitted to the World Bank GRS, the complainant is generally expected to raise the concerns directly with the AICCRA-FSRP project team. Similarly, before a complaint is escalated to the inspection panel, the complainant is expected to have raised it with both the AICCRA-FSRP IV project GRS and the Bank's external GRS. The complainant may submit a request to the inspection panel only after being dissatisfied with the project or the Bank's external GRS. For information on how to submit complaints to the World Bank's corporate Grievance Redress Service (GRS), please visit https://www.worldbank.org/en/projects-operations/products-and-services/grievance-redress-service#file_products-and-services/grievance-redress-service.

For information on how to submit complaints to the World Bank Inspection Panel, please visit <https://www.inspectionpanel.org/how-to-file-complaint>

5.0 LABOR AND WORKING CONDITIONS

In accordance with the World Bank Environmental and Social Framework (ESF), particularly Environmental and Social Standards 2 (Labour and Working Conditions) and 4 (Community Health and Safety), *icipe* will implement measures to manage risks related to working conditions and occupational health and safety. These measures aim to protect both workers and community members during the implementation of the AICCRA-FSRP IV project.

5.1 Labor and Working Conditions Requirements and Actions

In summary, the key labour risks associated with the AICCRA-FSRP IV project include occupational health and safety (OHS) hazards such as pesticide exposure, workplace accidents, improper use of personal protective equipment (PPE), dust, fumes, excessive working hours, traffic incidents, and the potential for family labor. Additionally, community health and safety risks include exposure to hazardous materials, the spread of communicable diseases through interactions between workers and local communities, and risks of sexual exploitation and abuse/sexual harassment (SEA/SH).

To mitigate these risks, *icipe* and all service providers will implement a comprehensive set of labour, occupational health and safety (OHS), and community protection measures as presented in Table 2.

Table 2 Key labor and working condition requirements and actions

Compliance Area	Relevant ESS Requirement	Mitigation Measures / Actions	Responsible Party
Training & Awareness	ESS2 (OHS)	Provide health and safety training to all staff and consultants; ensure awareness of workplace risks and responsibilities	<i>icipe</i> , Service Providers
Code of Conduct & SEA/SH Prevention	ESS2, ESS4	Adopt and enforce a Code of Conduct; require all workers to sign; include sanctions for SEA/SH and misconduct	<i>icipe</i> , Service Providers
Fair Labour Practices	ESS2 (Working Conditions)	Ensure fair remuneration, non-discrimination, equal opportunity, and compliance with national labour laws	<i>icipe</i> , Service Providers
Prohibition of forced, child and family labor	ESS2,	Enforce prohibition on use of family labor and persons under 18 years providing labor services on project activities.	<i>Icipe</i> , Service Providers.
Leave & Worker Welfare	ESS2	Provide adequate rest periods, annual and sick leave, maternity and family leave	<i>icipe</i> , Service Providers

Workplace Conduct & Protection	ESS2	Establish measures to prevent harassment, bullying, and exploitation in the workplace	icipe, Service Providers
Occupational Health & Safety (OHS)	ESS2 (OHS)	Provide appropriate PPE (boots, gloves, masks, goggles, coveralls); conduct regular site risk screening	icipe, Service Providers
Hazardous Materials Management	ESS2, ESS4	Ensure safe handling, storage, and disposal of pesticides and chemicals in line with guidelines	icipe, Service Providers
Emergency Preparedness	ESS2, ESS4	Provide first aid kits and emergency contact information at all sites	icipe, Service Providers
Worker Reporting Mechanisms	ESS2	Establish procedures for reporting unsafe conditions; allow workers to withdraw from dangerous situations without retaliation	icipe, Service Providers
Grievance Redress Mechanism (GRM)	ESS2, ESS4	Establish and maintain GRM; ensure accessibility; record grievances; report SEA/SH cases within 24 hours	icipe, Service Providers
Incident Reporting	ESS2, ESS4	Document all incidents; report serious incidents to World Bank within 48 hours; submit detailed reports and conduct root cause analysis	icipe, Service Providers
Community Health & Safety	ESS4	Implement measures to minimise disease transmission; manage community exposure to hazards	icipe, Service Providers
Site Monitoring & Risk Screening	ESS2, ESS4	Regularly screen project sites for hazards and implement corrective actions	icipe, Service Providers
Protective Equipment Provision	ESS2	Procure and distribute appropriate PPE for all field and site staff as needed	icipe, Service Providers

5.2 Code of Conduct

To ensure compliance with occupational health and safety requirements, *icipe* and service providers will ensure that all project workers under the AICCRA-FSRP IV project sign a code of conduct consistent with the individual code of conduct outlined in Annex IV.

5.3 SEA/SH Prevention and Response

The World Bank has classified the SEA/SH risk of the AICCRA-FSRP Project IV as low. Nonetheless, *icipe* has considered several measures to mitigate and respond to the identified SEA/SH risks. Key elements of these measures include:

- Integrate SEA/SH risk assessment into the project's environmental and social assessment and risk management instrument, such as SEPs and Environmental and Social Management Plans (ESMPs).
- Develop GM with specific SEA/SH procedure, and referral pathways linked to SEA/SH service providers.
- Carry out a continuous awareness creation of project team members and sub-grantees on the mitigation and response measures considered by the AICCRA project on SEA and further include SEA/SH sessions in all E&S-related training and other regular meetings with project team members.
- Based on the project SEPs, sensitise project stakeholders, including farmers at the community level, on the reporting channels for SEA/SH cases and the procedure for seeking redress, and ensure that those channels are confirmed as accessible and safe by the farmers (and specifically by women). These consultations will be done in sex segregated groups with a facilitator of the same sex.
- Clearly define SEA/SH requirements and expectations in contract documents with grant partners.
- Require project workers to sign the Code of Conduct in the project ESRM guide in Annex IV.
- Provide safe and secure means of mobility for women to visit project demonstration sites.
- Ensure that separate toilet and hygiene facilities are available, functional and lockable from the inside for men and women at all venues where project activities are being carried out.
- Institute biannual reporting and feedback between project service providers and the PIU.
- Conduct regular monitoring of partners' compliance with SEA/SH requirements and provide feedback for improvement.
- Prepare and submit biannual reports to the World Bank, including data on SEA/SH cases and progress made to resolve these cases to the satisfaction of survivors.

6.0 ENVIRONMENTAL AND SOCIAL MONITORING AND REPORTING

6.1 Environmental and Social Monitoring

In accordance with the ESCP, the E&S Specialist at the PIU will be responsible for monitoring the implementation of agreed environmental and social measures and reporting progress to the Association. The Association will, in turn, oversee and assess progress throughout the project lifecycle. As part of monitoring activities, the E&S Specialist at the PIU will conduct visits to partners' operational and demonstration sites to support partners and ensure compliance with E&S requirements. Such visits will be guided by the monitoring matrix outlined in Annex V.

6.2 Managing Non-compliance

Given the complexity of ESF requirements and the range of stakeholders involved, non-compliance can arise during implementation.

6.2.1 Non-compliance Situations

Non-compliance arises when *icipe*, service providers, subcontractors, or staff fail to comply with the provisions of the ESCP and ESRM Guide as required by the contract. Specific situations include, but are not limited to:

- Not complying with any of the terms agreed in service agreements.
- Not complying with any of the project's negative list.
- Violation of any of the code of conduct set out in the ESRM guide.
- Cases of accidents/fatalities.
- SEA/SH cases.

6.2.2 Management of Non-compliance Situations

Management actions depend on the severity of the situation:

- Issue formal notice of non-compliance.
- Conduct root-cause analysis to identify underlying issues.
- Apply contractual remedies, including halting project activities, payment or repayment of the prepaid service fees.
- Escalate to the World Bank for resolution support.
- Agree on time-bound corrective action measures.

Managing incidents and accidents

If an incident or accident occurs, *icipe* and all service providers must follow the procedure and timelines below.

- Report to the PIU E&S Specialists incidents involving death or serious injury; violence, discrimination or protest; impacts on cultural heritage or biodiversity; pollution; forced or child labour; forced eviction; SEA/SH allegations; or disease outbreaks.
- *icipe* should notify the Association not later than 48 hours after becoming aware of the incident or accident and thereafter provide further details upon request.
- Service providers must also notify the E&S Specialist within 24 hours after becoming aware of the incident or accident.
- Arrange an appropriate review to establish the immediate, underlying and root causes.
- Prepare, agree with the Association, and implement a Corrective Action Plan to address the incident or accident and prevent recurrence.
- Submit the review report and Corrective Action Plan within 10 days of the initial notice, unless a different timeframe is agreed with the Association in writing.

6.3 Environmental and Social Reporting

To support the reporting process, *icipe* will require all service providers to submit biannual reports on environmental and social risk management activities, including information

disclosure, stakeholder consultations, screening outcomes, grievances, training, and field monitoring. An E&S reporting template, provided in Annex IV, is provided to standardise reporting across all entities. The PIU's E&S Specialist will consolidate these submissions for biannual reporting to the World Bank.

ANNEXES

Annex I: E&S Screening Checklist

Site-Specific Environmental & Social (E&S) Screening Checklist for AICCRA-FSRP IV Project.

Project Information

- Sub-project name:
- Type of agricultural activity (e.g. irrigation, crop production, livestock):
- Location (Region/District/GPS):
- Screening date:
- Screening conducted by:
- Lead Farmer: _____ Contact No. _____

Description of site: Provide a detailed description of the site, including location, site ownership, site usage pattern, geophysical characteristics and any other relevant information for establishing a baseline.

A. Environmental Risks (ESS1, ESS3, ESS6)

Screening Question	Yes	No	Provide details on the risk envisaged
Will the activity involve land clearing or expansion of farmland?	☐	☐	
Is the site located near rivers, wetlands, forests, or protected areas?	☐	☐	
Could the activity lead to soil erosion or land degradation?	☐	☐	
Will pesticides, herbicides, or fertilizers be used?	☐	☐	
Is there a risk of contamination of soil or water bodies?	☐	☐	

Will crop residues or agricultural waste be generated?	☐	☐	
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B. Water Use & Resource Efficiency (ESS3)

Screening Question	Yes	No	Provide details on the risk envisaged
Will irrigation or significant water abstraction be required?	☐	☐	
Could water use affect local water availability for communities?	☐	☐	
Is there a risk of waterlogging or salinization?	☐	☐	
Are water conservation or efficient irrigation practices in place?	☐	☐	
Are measures in place for safe storage and use of agrochemicals?	☐	☐	

C. Labour & Working Conditions (ESS2)

Screening Question	Yes	No	Provide details on the risk envisaged
Will workers handle pesticides, machinery, or livestock?	☐	☐	
Are workers provided with appropriate PPE (gloves, masks, boots)?	☐	☐	
Are workers trained on safe pesticide handling and application?	☐	☐	
Is there any risk of child labour on farms?	☐	☐	
Are working hours and wages compliant with labour laws?	☐	☐	
Is a grievance mechanism available for farm workers?	☐	☐	

D. Community Health & Safety (ESS4)

Screening Question	Yes	No	Provide details on the risk envisaged
Could pesticide use expose nearby communities?	☐	☐	

Is there a risk of contamination of drinking water sources?	☐	☐	
Could livestock activities pose zoonotic disease risks?	☐	☐	
Will transport of inputs/products increase traffic risks?	☐	☐	
Is there a risk of SEA/SH linked to project workers?	☐	☐	
Are emergency response and first aid measures in place?	☐	☐	

E. Land Use & Livelihoods (ESS5)

Screening Question	Yes	No	Provide details on the risk envisaged
Has the lead farmer agreed to temporarily offer the land for demonstration activities?	☐	☐	
Does the lead farmer hold ownership over the land?	☐	☐	
Does the lead farmer have any other plots for farming?	☐	☐	
Will the release of the plot negatively affect the livelihoods of the lead farmer?	☐	☐	

F. Biodiversity & Ecosystems (ESS6)

Screening Question	Yes	No	Provide details on the risk envisaged
Will the activity affect natural habitats or wildlife?	☐	☐	
Are monocropping or unsustainable practices likely to reduce biodiversity?	☐	☐	
Are sustainable agricultural practices (e.g. agroforestry, crop rotation) applied?	☐	☐	

G. Cultural Heritage (ESS8)

Screening Question	Yes	No	Provide details on the risk envisaged

Are there sacred sites, burial grounds, or heritage areas near the farm?	☐	☐	
Could farming activities disturb cultural or historical sites?	☐	☐	
Is a chance-finds procedure in place?	☐	☐	

H. Stakeholder Engagement (ESS10)

Screening Question	Yes	No	Provide details on the risk envisaged
Have local farmers and community members been consulted?	☐	☐	
Are vulnerable groups (e.g. women, youth) included in consultations?	☐	☐	
Is there a functioning grievance mechanism for communities?	☐	☐	
Has project information been disclosed to stakeholders? including government authorities and agricultural institutions?	☐	☐	

I. Risk Classification

- ☐ Low Risk
- ☐ Moderate Risk
- ☐ Exceeds Moderate Risk
- ☐ Does not conform to the project exclusion list

Justification:

.....

J. Recommended Actions

- ☐ Reject the site
- ☐ Prepare site-specific ESMP
- ☐ Strengthen training and capacity building
- ☐ Implement mitigation measures (specify):
.....

K. Approval

- Screened by:
- Reviewed by:

- Approved by:
- Date:

Annex II: Temporary land use agreement.

RELEASE OF LAND FOR DEMONSTRATION OF CLIMATE SMART AGRICULTURAL TECHNOLOGIES WITH AICCRA-FSRP IV

I/We being the owner(s) of the parcel of land located in area of the Community have agreed to release the said land measuring m2 as shown on the sketch (see attached) to the in support of

This document and the process leading to the release of this land were read and explained to me in a language that I/We understand. I/We therefore agree to release the said land under the following conditions:

1. Duration of release: .
2. Take xx% ownership of all produce from the AICCRA-FSRP IV-supported demonstration farm.

Responsibilities of the lead farming household are to [*amend where necessary*]:

1. Manage activities that will include- planting, fertilizer or insecticide applications as needed, weeding, and harvesting on the demonstration farm with technical assistance from the AICCRA project.
2. Monitor and ensure that fencing is adequate so that livestock may not enter the demo plot.
3. Support inclusive learning of household and community members in farmer field days.

Responsibilities of the project:

1. Provide technical support and guidance on demo plot activities
2. Finance activities that include land preparation, ploughing, soil and water conservation practices and necessary improvements, such as fencing to keep out livestock.

Out of my (our) own free will, without any compensation consideration whatsoever, and under no circumstance will I/We claim back the land, so long as the purpose for which the land was taken still holds.

LAND OWNER(S)

Signed

Signed.....

Name

Name.....

Date.....

Date

Tel

Tel

WITNESS FOR LANDOWNER(S)

Signed Tel Name

Relationship with landowner(s)..... Date.....

Project Lead on AICCRA-FSRP IV

Signed Tel

Name

Position..... Date.....

WITNESS (Project Lead on AICCRA-FSRP-IV)

Signed Tel Name

Position..... Date.....

Annex III: ESMP Template

1.0 BACKGROUND

This section describes the following based on available information:

Introduction: Outline a brief description of the project, sub-project activities, and the rationale for preparing the ESMP. Allude to the potential E&S risks identified through the site-specific assessment.

Scope of work: Describe the specific activities, innovations and technologies whose implementation at the site is leading to the preparation of this ESP. Outline the detailed activities that will be carried out.

Purpose and objectives of ESMP: Outline the ESMP's main objectives as set out under ESS1.

2.0 ENVIRONMENTAL AND SOCIAL BASELINE CONDITION

This section describes the following based on available information and their E&S implications for the site-specific activities.

Location: Geographical and administrative location of the sites where the activities will be carried out, and their E&S implications for the site activities.

Topography: Topographic conditions of the sites (such as soil condition, plot landscape, etc.) where the activities will be carried out and their E&S implications for the site-specific activities.

Climatic Conditions: Climatic conditions of the project area (such as rainfall pattern, temperature, etc.) and their implications for site activities.

Key Environmental and Social Issues: Contextual and pre-existing environmental and social issues (such as child labour, drought, etc.) in the project area that could amplify project risk or impact on the project, and their implications for site-specific activities.

Socio-economic groups: socio-economic variables (such as population, percentage in agriculture, major food crops, etc.) of the project area and their implications for project decisions and risks.

3.0 DESCRIPTION AND ASSESSMENT OF ENVIRONMENTAL AND SOCIAL RISKS AT PROJECT SITES

The section describes the following based on the available information:

Stakeholder Consultations prior to Site-Specific Screening: A brief description of the information dissemination and consultation activities conducted with intended project beneficiaries, communities and other stakeholders before the site-specific assessment. This should include photos, the number of participants engaged, feedback received and how the feedback was considered.

Description of Project Sites and Assessment of E&S Risks and Impacts: A brief description of each project site includes the lead farmer's gender, historical farming activities on the plot, the lead farmer's labour and agro-cultural practices, and potential E&S risks and hazards associated with the site. This should also include photos of the sites as at the time of screening.

Summary of E&S Risks Identified and Mitigation Measures: Summary of the key E&S risks across all project sites and the mitigation measures considered for each risk.

4.0 ENVIRONMENTAL AND SOCIAL RISKS AND IMPACT MANAGEMENT PROCEDURES

This section describes the following based on available information.

Environmental and Social Risk Management plan summary: This section presents a matrix that expands on the summary of key E&S risks by including potential impacts, risk level, proposed mitigation measures, responsibility, and estimated budget.

Calendar of Activities for Demonstration Sites: This provides a Gantt chart of key activities and implementation timelines.

Chance find procedure: The section outlines the procedure for handling potential chance finds that may be encountered during field activities.

Pest Management Plan: This section outlines the pests and diseases expected on the selected crops, along with management strategies for each. It also sets out the precautionary measures on pesticide use.

Institutional Arrangements and Responsibilities for Implementing the ESMP: This section identifies the key staff and functions supporting the ESMP's implementation.

Institutional Strengthening and Capacity Building for ESMP Implementation: Outline the key capacity training that may be needed for the effective implementation of the ESMP, including who will deliver it and how it will be carried out.

Grievance Mechanism: This section outlines the grievance mechanism available to stakeholders, particularly farmers, for raising complaints and making information requests.

Public Consultation Participation and Information Disclosure: This section summarises consultations held prior to and during site-specific screening, consultations on the ESMP, and additional consultations and information disclosure that will be carried out during project implementation.

Environmental and Social Monitoring and Reporting: This section outlines how the implementation of the ESMP will be monitored and reported.

Indicative Budget for Implementation of ESMP: This section provides the budget for implementing all activities associated with this ESMP, including disclosure, implementation of mitigation measures, training, stakeholder consultation and monitoring.

5.0 CONCLUSION

Offers a statement that emphasises the commitment of the entities involved to implement the ESMP's key mitigation measures.

Annex IV: Code of Conduct

Individual Code of Conduct (AICCRA-FSRP IV Sample)

I, _____, acknowledge that it is important adhering to AICCRA-FSRP IV Project environmental, social, health and safety (ESHS) standards, requirements, and preventing sexual exploitation and abuse (SEA), sexual harassment (SH), and violence against children (VAC).

AICCRA-FSRP IV considers that failure to follow ESHS standards, or to commit acts of SEA/SH or VAC —be it on the work site, the work site surroundings, or the surrounding communities— constitute acts of gross misconduct and are therefore grounds for sanctions, penalties, or potential termination of employment. Prosecution of those who commit SEA/SH or VAC by law enforcement authorities may be pursued if appropriate, and only upon informed survivor consent, or in the case of a minor, with appropriate caregiver consent.

I agree that while working on the project I will:

Regarding Occupational Health and Safety

- Comply with legislation and other applicable requirements relating to occupational health and safety risks.
- Attend occupational health and safety training as requested by the employer or the project.
- Identify the potential risks associated with each activity and workstation.
- Make recommendations regarding safety and health issues affecting employees
- Always wear prescribed and appropriate personal protective equipment (PPE) on the project site.
- Take proper care of working tools and PPE.
- Ensure safe disposal of used pesticide containers in accordance with the project pest management plan.
- Prevent avoidable accidents and report conditions or practices that pose a safety hazard or threaten the environment.
- Report any violations of this code of conduct to the workers' representative, HR, or the grievance redress committee. No employee who reports a violation of this code of conduct in good faith will be punished in any way.

Regarding Sexual Exploitation and Abuse/ Sexual Harassment

- Attend and actively partake in training courses related to SEA/SH and VAC as requested by the project.
- Treat women, children (persons under the age of 18), and men with respect regardless of race, color, language, religion, political or other affiliation, nationality, ethnicity, or social origin, property, disability, birth or nationality, sexual orientation, gender identity, or other status.
- Not use language or behavior towards women, children or men that is inappropriate, harassing, abusive, sexually provocative, demeaning or culturally inappropriate.

- Not engage in sexual exploitation, which is defined as any actual or attempted abuse of a position of vulnerability, differential power, or trust, for sexual purposes, including, but not limited to, profiting monetarily, socially, or politically from the sexual exploitation of another.
- Not engage in sexual abuse, which is defined as the actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions.
- Not engage in sexual harassment, which is defined as any unwelcome sexual advance, request for sexual favor, verbal or physical conduct or gesture of a sexual nature, or any other behavior of a sexual nature that might reasonably be expected or be perceived to cause offense or humiliation to another, when such conduct interferes with work, is made a condition of employment, or creates an intimidating, hostile or offensive work environment.
- Not participate in sexual contact or activity with children—including grooming or contact through digital media (community members married to minors, even if legally done, will not be hired). Mistaken belief regarding the age of a child is not a defense. Consent from the child is also not a defense or excuse.
- Not having sexual interactions with members of the host communities (NB: an exception applies to a locally hired worker already married to an adult member of the community). This includes relationships involving the withholding or promise of actual provision of benefit (monetary or non-monetary) to community members in exchange for sex—such sexual activity is considered “non-consensual” within the scope of this Code.
- Consider reporting through the Grievance Mechanism or to my manager any suspected or actual SEA/SH or VAC by a fellow worker, whether employed by my company or not, or any breaches of this Code of Conduct.

Regarding children under the age of 18:

- Wherever possible, ensure that another adult is present when working in the proximity of children.
- Not inviting unaccompanied children unrelated to my family into my home unless they are at immediate risk of injury or in physical danger.
- Not use any computers, mobile phones, video, digital cameras or any other medium to exploit or harass children or to access child pornography (see also “Use of children's images for work-related purposes” below).
- Refrain from physical punishment or discipline of children.
- Refrain from hiring children for domestic or other labor below the minimum age of 14 unless national law specifies a higher age or which places them at significant risk of injury.
- Comply with all relevant local legislation, including labor laws in relation to child labor and World Bank’s E&S standards on child labor and minimum age.
- Take appropriate caution when photographing or filming children (see details below).

Use of children's images for work related purposes. When photographing or filming a child for work related purposes, I must:

- Before photographing or filming a child, assess and endeavor to comply with local traditions or restrictions for reproducing personal images.

- Before photographing or filming a child, obtain informed consent from the child and a parent or guardian of the child. As part of this, I must explain how the photograph or film will be used.
- Ensure photographs, films, and videos present children in a dignified and respectful manner and not in a vulnerable or submissive manner. Children should be adequately clothed and not in poses that could be seen as sexually suggestive.
- Ensure images are honest representations of the context and the facts.
- Ensure file labels do not reveal identifying information about a child when sending images electronically.

Sanctions

I understand that if I breach this Individual Code of Conduct, the grant partner will take disciplinary action which could include:

- Informal warning.
- Formal warning.
- Additional Training.
- Loss of up to one week's salary.
- Suspension of employment (without payment of salary/contract fees), for a minimum period of 1 month up to a maximum of 6 months.
- Termination of employment.
- Reporting to the police if warranted.

I understand that it is my responsibility to ensure that the environmental, social, health and safety standards are met. I will adhere to the occupational health and safety management requirements and avoid actions or behaviors that could be construed as SEA/SH or VAC. Any such actions will be a breach of this Individual Code of Conduct. I do hereby acknowledge that I have read the foregoing Individual Code of Conduct, agree to comply with the standards contained therein, and understand my roles and responsibilities in preventing and responding to OHS, SEA/SH, and VAC issues. I understand that any action inconsistent with this Individual Code of Conduct, or failure to act as mandated by it, may result in disciplinary action and affect my ongoing employment.

Signature: _____

Printed Name: _____

Title: _____

Date: _____

Annex V: Checklist for Monitoring of E&S Measures at Demonstration Sites

Key Activities	Description/Remarks
Review the status of CSA demonstration activities at each site, including farmers' concerns about the technical delivery approach.	Check and document the implementation stage of each demonstration plot. Explore reasons for both successfully established demo plots as well as reasons behind struggling ones.
Review the extent of farmers' access to AICCRA climate information services (CIS)	Check whether their farming decisions and activities are informed by weather advisories, and where they usually obtain them. Specifically asked whether they have received weather advisories from the AICCRA project.
Review status of E&S risk and mitigation measures considered for each plot	Check compliance of farmers to key occupational health and safety measures and ways project activities may be harming the environment.
Review and document measures to deepen inclusion, including numbers achieved.	Review measures put in place to deepen inclusion of women, youth, persons with disabilities, and other vulnerable/minority groups. Take records of the numbers reached
Review and document grievances, including SEA/SH cases.	Discuss with project stakeholders and farmers any concerns and complaints they may have that have not been reported to the project. Share and emphasize the project grievance contact channels.
Review farmers' perspectives on the sustainability of CSA/CIS uptake.	Explore with the farmers additional measures the project may need to take to sustain the CSA/ CIS innovations introduced to them. Gently touched on other technical support they may need to help improve their resilience to climate change and the productivity of their farming activities.

Annex VI: Environmental & Social Reporting Template for Service Provider

Institutional Details	
Lead Research Institution:	
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: _____	
Date of Report:	Reporting Period:

1.0 Capacity for Environmental and Social Risk Management	
1.1 Does the cluster have a focal person responsible for environmental and social due diligence and risk management for the AICCRA-FSRP IV Project?	☐ Yes /No - If yes, kindly provide contact details as specified below? If no, provide reason(s). Name: _____ Telephone / Mobile: _____ E-mail: _____
1.2 Is the institution familiar with the Environmental and Social Risk Management Guide (ESRM Guide)?	☐ Yes, all operating staff are familiar with the ESRM Guide and have access to it when carrying out their work. ☐ The staff to whom environmental and social risk management has been delegated are familiar with the ESRM Guide. ☐ Not familiar
1.3 Which aspects of the ESRM Guide are most useful to the institution? 1.4 Are there any areas of the ESRM Guide that could be supplemented or improved? 1.5 Have there been any problems with the information provided in the ESRM Guide or any technical difficulties when using the Guide?	☐ Yes /No - If yes, please describe? ☐ Yes /No
1.6 Did workers on the AICCRA-FRSP IV project receive environmental and social training during the reporting period?	☐ Yes, all operating staff received environmental and social training ☐ Only a few staff, including the person with overall responsibility for environmental and social risk management. ☐ No training was provided
1.7 Who provided the environmental and social training?	☐ Provide the name of the person, institution, and date
2.0 Environmental and Social Screening on Project Activities and Sub-contractors	

2.1 Provide the list of activities carried out during the reporting period and specify any newly started activities within this period.																																											
2.2 Provide the names of subcontractors working under the service provider.																																											
2.3 Provide the names of new subcontractors engaged during this reporting period																																											
2.4 Provide details of the environmental and social due diligence/screening conducted for grant partners and activities.																																											
2.5 Provide details of the environmental and social screening conducted on farm sites (i.e., number of plots and locations - town/ward/district/region/county)																																											
2.6 Provide a summary list of key environmental and social risks identified from the site-specific assessment.																																											
2.7 Provide the list of E&S risk mitigation instruments prepared during this reporting period.																																											
2.8 Confirm compliance with the project's exclusion criteria.	☐ We can confirm compliance with the exclusion criteria ☐ The following project activities were rejected due to conflict with the exclusion criteria: ☐ Other relevant issues regarding the exclusion criteria:																																										
3.0 information disclosure, stakeholder engagement, and grievance management procedures																																											
Provide a summary of stakeholder engagements and consultations held over the reporting period																																											
<table border="1"> <thead> <tr> <th>Stakeholder Consultation/ Engagement</th> <th>Purpose</th> <th>Total Participants</th> <th>No. of Male</th> <th>No. of Female</th> <th>No. PWDs</th> </tr> </thead> <tbody> <tr><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td><td></td><td></td><td></td></tr> </tbody> </table>		Stakeholder Consultation/ Engagement	Purpose	Total Participants	No. of Male	No. of Female	No. PWDs																																				
Stakeholder Consultation/ Engagement	Purpose	Total Participants	No. of Male	No. of Female	No. PWDs																																						
3.1 Provide a summary of stakeholders' views from consultations and how they were considered during project implementation.																																											
Summary of stakeholders grievance management																																											
3.2 Number of open cases at the end of the reporting period.																																											
3.3 Number of new grievances received during the period.																																											

3.4 Number of grievances resolved during the reporting period.	
3.5 Have you submitted a grievance register to the PIU in a confidential manner as part of this report?	Yes /No
3.6 Average response time from lodging a complaint to agreement on solutions with the complainant.	
3.7 Average response time from lodging the complaint to the implementation of the agreed solution.	
3.8 Number of SEA/SH complaints received	
3.9 Number of SEA/SH complaints referred to Gender Based Violence (GBV) service providers?	
3.10 Number of SEA/SH cases resolved in a timely, safe and adequate manner	
3.11 Number of open SEA/SH complaints at the end of the reporting period.	
3.12 Number of false claims	
3.13 Number of grievances referred to the formal court system.	
4.0 Compliance with labor and working conditions, occupational health and safety requirements	
4.1 Number of sensitization sessions held for partners and workers on labour management procedures	
4.2 Number of workers, males and females sensitized on labor management procedures	
4.3 Number of new staff and consultants engaged on AICCRA over the reporting period	
4.4 Number of new staff and consultants with signed code of conduct.	
Summary of accidents and incidents	
4.5 Number of accidents and incidents recorded.	
4.6 Summary of the nature and category of accidents and incidents recorded.	
4.7 Number of accidents and incidents escalated to the World Bank	
Summary of workers grievance management	
4.8 Number of grievances received during the period.	

4.9 Number of grievances resolved during the reporting period.	
4.10 Number of open cases at the end of the reporting period.	
4.11 Provide a summary of issues raised in the complaints or grievances and explain how they were resolved	
4.12 Number of SEA/SH complaints received	
4.13 Number of SEA/SH complaints referred to Gender Based Violence (GBV) service providers?	
4.14 Number of SEA/SH cases resolved in a timely, safe and adequate manner	
4.15 Number of open SEA/SH complaints at the end of the reporting period	
4.16 State the difficulty and/or constraints faced in the implementation of the labor management procedures	
5.0 Compliance with Environmental and Social Management Plan (ESMP)	
5.1 Does the service provider have an Environmental and Social Management Plan (ESMP) to guide risk mitigation on scaling activities?	If yes, kindly provide details?
5.2 Have there been any sensitizations for project workers on risk mitigation measures contained in the ESMP?	If yes, kindly provide details?
5.3 State any difficulties and/or constraints related to the implementation of the ESMP	
6.0 Compliance with Pest Management Plan (PMP)	
6.1 Does the cluster have a pest management plan (including procedures for handling, using, storing and disposing of pest products)?	If yes, kindly provide details?
6.2 Have there been any sensitizations for project workers on the pest management plan?	If yes, kindly provide details?
6.3 Have there been any accidents/safety issues relating to the use of pesticides since the last reporting period?	If yes, kindly provide details?
6.4 State any difficulties and/or constraints related to the implementation of the PMP	
7.0 Monitoring of E&S Measures on Project Activities	

7.1 Describe how the institution's environmental and social performance is monitored (e.g. site visits by the E&S expert, monitoring visits by the PIU Team or the World Bank Team).	
7.2 Give details of any project activity cancellations or rejections, or of issues or incidents due to environmental, health, safety, labour or other social grounds	

PROGRESS UPDATES ON SITE-SPECIFIC PROJECT ACTIVITIES⁶

Name of CSA demonstration site	Size of demo site	Number of people working at demo site	Status of Field activities	E&S Risks and Impacts Identified	Status of E&S risk management

⁶ Kindly use the table to provide site-specific progress update on activities and E&S measures pertaining to all site selected for demonstration innovations and as contain in the ESMP.

Annex 1: Photos of E&S Activities⁷

⁷ Kindly include photos of E&S activities over the reporting period.

Annex VII: Grievance Log

[illegible]

Annex VIII: TOR for Service Providers' Environmental and Social Expert

TERMS OF REFERENCE

Environmental and Social (E&S) Expert of Service Providers

2. Objective of the Position

The E&S Expert will provide day-to-day technical and operational support to the Service Provider to ensure that all project activities are planned and implemented in full compliance with the World Bank Environmental and Social Standards and the AICCRA-FSRP IV Environmental and Social Commitment Plan (ESCP), Stakeholder Engagement Plan (SEP), and Environmental and Social Risk Management Plan. Routine activities include supporting the application of E&S procedures to service providers' project activities, advising technical teams on E&S risk mitigation measures, providing training on mitigation measures, and reporting on E&S activities to the AICCRA-FSRP IV PIU.

4. Key Responsibilities

1. Design a program of action for service providers' information disclosure and stakeholder engagement activities.
2. Coordinate the implementation of the Service Provider stakeholder engagement program and maintain records relating to Service Providers' information disclosure and stakeholder engagement activities.
3. Establish, operate and maintain the Service Providers' Grievance Redress Mechanism in accordance with the World Bank ESS10 and AICCRA-FSRP Stakeholder Engagement Plan.
4. Conduct site-specific screening of project activities to identify potential E&S risks and impacts, in line with the World Bank ESF and AICCRA-FSRP IV ESRM Guide.
5. Prepare and implement an Environmental and Social Management Plan in accordance with the provisions of the AICCRA-FSRP ESRM Guide.
6. Lead training and awareness-raising activities relating to the implementation of the AICCRA-FSRP ESRM Guide and Service Providers ESMP.
7. Promote the inclusive participation of women, youth, persons with disabilities, and other vulnerable or underserved groups.
8. Prepare biannual reports on environmental and social risk management, consistent with the template and requirements in the AICCRA-FSRP ESRM guide.

6. Required Qualifications and Experience

The position requires a suitably qualified and experienced professional with at least an undergraduate degree in Environmental Sciences, Natural Resources Management, Social Sciences, or a closely related discipline. The candidate should have at least five (5) years of professional experience in environmental and social risk assessment and management for development projects, preferably within the agriculture, natural resources, or rural development sectors.

Demonstrated familiarity with the World Bank Environmental and Social Framework is required, including experience implementing it. Experience working on multi-stakeholder projects and in collaboration with international development partners will be an advantage.

The candidate must be fluent in English and French, with strong written and oral communication skills in both languages. Possession of relevant professional certifications or qualifications in

environmental and/or social safeguards, as well as evidence of similar assignments successfully undertaken, will be considered an asset.

Annex IX: AICCRA-FSRP IV Environmental and Social Screening Form for Institutions

Date

Section A. Institution details		
Institution/ Organisation name:		
Institution Address: <i>(Name of the institution / Street, Avenue, etc. name and number / Village / City / State/ Country/ Postal Code)</i>		
Website (if any):		
Contact person for E&S issues: <i>(Name and title / Phone /E-mail)</i>		
Name of E&S Expert completing the form:		
Description of project scope and key activities. (provide full details)		
Section B. Conformity with E&S Exclusion List	Yes	No
Has the institution engaged in activities that meet the E&S exclusion criteria, or could the proposed project activities lead to any such exclusion situations?		
Production or activities involving forced labor ⁸		
Activities carried out by institutions with a record of unresolved Sexual Exploitation and Abuse/Sexual Harassment incidents ⁹		

⁸ [1] 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.

⁹ 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.

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)		
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		
Activities carried out by institutions with a record of unresolved OHS incidents, accidents, child labour or forced labour use.		
Activities in areas that pose security risks to project workers or require the use of security personnel.		
Section C: Other Environmental Risks Envisaged	Yes	No
Will pesticides, herbicides, fertilizers or other agrochemicals be used during project activities?		
Could the activity generate pesticide containers, crop residues or other agricultural waste?		
Could the activity cause soil erosion, land degradation or localised pollution of soil or water?		
Will activities take place near rivers, wetlands, forests, protected areas or other sensitive habitats?		
Will the activity require irrigation or significant water abstraction?		
Are water conservation and safe agrochemical storage practices required?		

Could project activities introduce invasive alien species or affect biodiversity?		
Will activities involve land clearing, expansion of farmland or physical works beyond minor works?		
Section D: Other Social Risks Envisaged	Yes	No
Will workers, field officers or farmers handle pesticides, fertilizers, machinery, livestock or other project-related hazards?		
Are workers required to use appropriate PPE and receive OHS training?		
Is there a risk of child labour or forced labour in project-supported activities?		
Are written terms, fair labour practices and grievance channels required for project workers?		
Could disadvantaged or vulnerable groups, including women, youth or persons with disabilities, be excluded from project benefits?		
Is SEA/SH prevention and response required through the code of conduct and grievance mechanism?		
Are incident and accident reporting procedures required?		
Could project activities affect community health and safety through agrochemical exposure, demonstration activities or waste handling?		
Will stakeholder engagement and information disclosure be required before and during implementation?		
Any other relevant information		
Section E. Environmental and Social Screening Outcome		
Environmental and Social Risk Rating <i>(refer to the table below)</i> ☐ Low ☐ Moderate	Justification for Environmental and Social Risk Rating:	

Action Plan	If necessary, describe measures that the institution will take to address any gaps:
Any ineligible activities? ☐ Yes ☐ No	Describe any activities that are ineligible for funding or would result in the institution being ineligible for funding:

Date _____

Signature _____ (E&S Expert Completing)

Project type, location, sensitivity, scale	Nature & magnitude of ES risks & impacts, available mitigation
Moderate Risk Classification	
- No activities with high potential for harming people or the environment. - Located away from sensitive areas.	- 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. - easily mitigated in a predictable manner
Low Risk Classification	
	- Minimal or negligible risks to and impacts on human populations and/or the environment - Few or no adverse risks and impacts and issues

[2] 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 *icipe* and IDA.

Annex X: Key E&S Provision for Service Providers Contract Agreement

Environmental and Social Risk Management, Monitoring and Reporting

1. The Contracted Party agrees to carry out the AICCRA-FSRP IV Project activities in accordance with the Environmental and Social Standards of the World Bank Environmental and Social Framework (ESF), Environmental and Social Commitment Plan (ESCP), Environmental and Social Risk Management (ESRM) Guide, and Stakeholder Engagement Plan (SEP) of the project.
2. The environmental and social (E&S) risks of the Project are assessed as Moderate, given the small-scale, low-complexity nature of the activities, which are not expected to result in significant adverse impacts on the environment, human health, or safety. Based on this assessment and in accordance with the project ESCP, the Environmental and Social Standards (ESSs) presented herein are relevant to the project: ESS1: Assessment and Management of Environmental and Social Risks and Impacts; ESS2: Labor and Working Conditions; ESS3: Resource Efficiency and Pollution Prevention and Management; ESS4: Community Health and Safety; ESS10: Stakeholder Engagement and Information Disclosure. The contracted party agrees to adhere to the key requirements of these ESSs set out in the ESCP and presented herein:
3. Consistent with the ESCP, the following ESSs are not currently relevant to the AICCRA-FSRP IV project. Contracted Party shall design and implement project activities in a manner consistent with these limitations. ESS 5: Land Acquisition, Restrictions on Land Use and Involuntary Resettlement; ESS6: Biodiversity Conservation and Sustainable Management of Living Natural Resources; ESS7: Indigenous Peoples/Sub-Saharan Historically Underserved Traditional Local Communities; ESS8: Cultural Heritage; and ESS9: Financial Intermediaries.
4. In accordance with the ESCP and ESRM Guide, the following types of activities are ineligible for financing under the AICCRA-FSRP IV Project. The Contracted Party's project shall be prepared and implemented consistently with these prohibitions:
 - a. Civil works – except for minor civil works, such as boreholes or greenhouses
 - b. Production or activities involving forced labor¹⁰.
 - c. Production or activities involving child labor¹¹.

¹⁰ Forced labor means all work or service not voluntarily performed that is extracted from an individual under threat of force or penalty.

¹¹ 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.

- d. Cross-border trade in pesticide, waste and waste products, unless compliant to the Basel Convention and the underlying regulations¹².
 - e. Research that may lead to environmentally damaging activities, such as inappropriate use of chemical fertilizers.
 - f. 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).
 - g. Biotechnology application in genetically modified (GM) crops that may involve genetic transformations of the national original crops and/or might generate irreversible environmental impacts.
 - h. Activities that could introduce invasive alien species and may impact critical habitats, recognized biodiversity areas and/or legally protected areas.
 - i. Activities that may result in discrimination against vulnerable groups, including on the basis of gender and disability.
 - j. Activities involving land acquisition leading to economic or physical displacement.
 - k. Activities that affect existing land tenure arrangements or cultural heritage.
 - l. Activities carried out by institutions with a record of demonstrated occupational, health, and safety incidents or accidents, as well as child or forced labor use.¹³
 - m. Activities carried out by institutions with a record of unresolved Sexual Exploitation and Abuse/Sexual Harassment incidents.¹⁴
 - n. All the other activities excluded under the ESRM Guide of the Project.
 - o. Any activity in areas that pose security risk to project workers or requires the use of security personnel.
5. The Contracted Party agrees to define a programme for stakeholder engagement, including public information disclosure and consultation proportionate to the scope of project activities, and to implement it throughout the entire project cycle. For purposes of this Agreement, “stakeholder” refers to individuals who (a) are affected or likely to be affected by the AICCRA-FSRP IV Project, and (b) may have an interest in the AICCRA-FSRP IV Project. This includes all personnel involved in implementing the AICCRA-FSRP IV Project, from *icipe*, the recipient organization, to service providers, subcontractors, consultants, and farmers.
6. The contract party agrees to recruit part-time or full-time E&S experts, depending on the scope of work, and as advised by the PIU Environmental and Social Specialists. Such recruitment shall be conducted within one month of signing the contracts and thereafter maintained until project closure. The E&S expert will ensure adherence to and implementation of the ESRM guide. The specific scope of work is provided in the ESRM Guide.

¹² 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.

¹³ 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 *icipe* and the Association.

¹⁴ 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 ICPIE and the Association.

7. The contract party agrees to conduct site-specific screening for project activities classified as moderate by the PIU's E&S specialist and prepare an Environmental and Social Management Plan (ESMP) in accordance with the procedures and templates provided in the ESRM Guide.
8. The Contracted Party shall establish and maintain a Grievance Redress Mechanism (GRM) for its activities throughout the implementation of the AICCRA-FSRP IV Project. The Contracted party agrees to operate the GRM to receive and facilitate resolution of concerns and grievances in relation to the Project, promptly and effectively, in a transparent manner that is culturally appropriate for the country context and readily accessible to all Project-affected Parties, at no cost and without retribution, including concerns and grievances filed anonymously, in a manner consistent with ESS10. The grievance mechanism shall be equipped to receive, register, and facilitate the resolution of SEA/SH complaints, including through the referral of survivors to relevant gender-based violence service providers, all in a safe, confidential, and survivor-centered manner. Annex xx includes the Stakeholder Engagement Plan (SEP) for *icipe*, which contains a section on the Grievance Mechanism (GM). The Contracted Party's GRM shall be consistent with ESS10 and with the GRM provided in *icipe*'s SEP in **Annex xx**. The GM shall allow complaints reviewed by the Contracted Party's GRM – including appeals – to be escalated to *icipe*'s Grievance Mechanism as a subsequent appeal. The GRM shall serve both project stakeholders and workers employed by the Contracted Party or otherwise working on the AICCRA-FSRP IV Project. Stakeholders' access to the GRM shall be without prejudice to their right to legal recourse in the country where the AICCRA-FSRP IV Project is being implemented.
9. The Contracted Party shall notify *icipe* as soon as possible and no later than 48 hours after learning of any incident or accident related to the AICCRA-FSRP IV Project which has, or is likely to have, a significant adverse effect on the environment, the affected communities, the public or workers. These incidents includes but not limited to those resulting in death or significant injury to workers or the public; acts of violence, discrimination or protest; unforeseen impacts to cultural heritage or biodiversity resources; pollution of the environment; forced or child labor; displacement without due process (forced eviction); allegations of sexual exploitation or abuse (SEA), or sexual harassment (SH); or disease outbreaks. In addition, a review report and corrective action plan shall be provided to *icipe*'s within 10 days following the submission of the initial notice, unless a different timeframe is agreed to in writing by the *icipe*.
10. The contracted Party agrees to adhere to and implement the labor management policies and code of conduct provided in the ESRM Guide.
11. The Contracted Party agrees to provide to *icipe* an environmental and social risk management report based on the formats stated in the ESRM guide. The Contracted Party shall report to *icipe* on its implementation of the AICCRA Project's environmental and social management requirements every six months. The following reporting schedule is

the deadline for the Contracted Party to report on Environmental and Social Risk Management following the reporting format in the ESRM guide:

Item	Due Date	Reporting Period	Report name
1	January 31, 2026	July 1, 2026 – December 31, 2026	E&S Monitoring Report 2026 – B1
2	July 31, 2027	January 1, 2027 – June 30, 2027	E&S Monitoring Report 2021 – B2
3	January 31, 2027	July 1, 2027 – December 31, 2027	E&S Monitoring Report 2027 – B1
4	July 31, 2028	January 1, 2028 – June 30, 2028	E&S Monitoring Report 2028 – B2
5	January 28, 2029	July 1, 2028 – December 31, 2028	E&S Monitoring Report 2028 – B1
6	July 31, 2029	January 1, 2029 – June 30, 2029	E&S Monitoring Report 2023 – B2

Notes: B1 = Bi-Annual 1; B2 = Bi-Annual 2.