



**ACCELERATING IMPACTS OF CGIAR CLIMATE RESEARCH FOR AFRICA
(AICCRA) PARENT PROJECT (P173398) AND ADDITIONAL FINANCING
(AF – P181150)**

UPDATED STAKEHOLDER ENGAGEMENT PLAN (SEP)

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TABLE OF CONTENTS

- 1.0 INTRODUCTION 9
- 2.0 PROJECT DESCRIPTION 9
 - 2.1 The Focus Areas of AICCRA Additional Financing..... 9
 - 2.2 Project Components10
 - 2.2.1 *Component 1. Knowledge Generation and Sharing*.....10
 - 2.2.2 *Component 2. Strengthening Partnerships for Delivery*.....11
 - 2.2.3 *Component 3. Validating Climate-Smart Agriculture Innovations through Piloting*.....12
- 3.0 SUMMARY OF PROGRESS UNDER PARENT AICCRA PROJECT13
 - 3.1 Brief Description of Key Activities of the AICCRA Parent Project.....13
 - 3.2 Summary of Consultation Activities Undertaken During Project Implementation14
 - 3.3 Summary of grievances received and managed through the AICCRA Grievance Mechanism
15
 - 3.4 AICCRA Activities with Pastoralist15
- 4.0 BRIEF SUMMARY OF CONSULTATION UNDERTAKEN ABOUT THE ADDITIONAL FINANCING16
- 5.0 STAKEHOLDER IDENTIFICATION AND ANALYSIS.....23
 - 5.1 Affected parties.....23
 - 5.2 Other interested parties24
 - 5.3 Disadvantaged/Vulnerable individuals or groups24
 - 5.4 Summary of project stakeholder needs.....25
- 6.0 STAKEHOLDER ENGAGEMENT PROGRAM27
 - 6.1 Proposed strategy for information disclosure and consultations27
 - 6.2 Proposed strategy to incorporate the view of vulnerable groups.28
 - 6.3 Strategy for information disclosure.....29
 - 6.4 Timelines.....32
 - 6.5 Review of Comments.....32
 - 6.6 Future phases of project32
- 7.0 RESOURCES AND RESPONSIBILITIES32
 - 7.1 Resources.....32
 - 7.2 Management functions and responsibilities.....33
- 8.0 GRIEVANCE MECHANISM34
 - 8.1 Objectives34
 - 8.2 Scope of the Grievance Mechanism34
 - 8.3 Key features of the AICCRA-AF GM35
 - 8.3.1 *Principles of the AICCRA-AF GM*35
 - 8.4 Project Stakeholders.....35
 - 8.5 Types of Information Request and Grievances Anticipated35

| | | |
|--------|---|----|
| 8.6 | Internal Management of the GM | 36 |
| 8.7 | Points for Filing Grievances and Information Request | 36 |
| 8.8 | Grievance Resolution Structures | 37 |
| 8.8.1 | <i>In-country Grievance Resolution Committee</i> | 37 |
| 8.8.2 | <i>Project Management GRC</i> | 37 |
| 8.8.3 | <i>Independent Steering Committee</i> | 38 |
| 8.8.4 | <i>Alliance Bioversity-CIAT's Legal Office</i> | 38 |
| 8.9 | The Grievance Resolution Process | 38 |
| 8.9.1 | <i>Registration/Receipts/Acknowledging of complaints</i> | 39 |
| 8.9.2 | <i>Determining and implementing the resolution action</i> | 41 |
| 8.9.3 | <i>Verifying the implementation status of agreed resolution action</i> | 41 |
| 8.9.4 | <i>Recourse or Alternatives</i> | 41 |
| 8.10 | Protocol for Handling Sexual Exploitation and Abuse/Sexual Harassment (SEA/SH) Cases .. | 42 |
| 8.11 | Procedure for Making and Handling Information Request..... | 44 |
| 8.12 | Disclosure and sensitization on the GM | 45 |
| 8.13 | Monitoring and reporting on GM performance | 46 |
| 8.13.1 | <i>GM monitoring</i> | 46 |
| 8.13.2 | <i>GM Documentation and Reporting</i> | 47 |
| 8.14 | GM Auditing | 47 |
| 8.15 | Implementation schedule | 47 |
| 9.0 | MONITORING AND REPORTING | 48 |
| 9.1 | Involvement of stakeholders in monitoring activities: | 48 |
| 9.2 | Reporting back to stakeholder groups | 48 |
| 10.0 | ANNEXE..... | 49 |
| 10.1 | Annex I: Sample complaint form for Non-SEA/SH..... | 49 |
| 10.2 | Annex II: SEA/SH Case Intake Form | 51 |
| 10.3 | Annex III: Sample Complaint Acknowledgement Letter (Non-SEA/SH)..... | 53 |
| 10.4 | Annex IV: Complaint Acknowledgement Letter for SEA/SH | 54 |
| 10.5 | Annex V: Complainant Satisfaction Form | 55 |
| 10.6 | Annex VI: Grievance Log (for non-SEA/SH complaints) | 56 |
| 10.7 | Annex VII: Grievance log for SEA/SH cases | 57 |

List of Tables

Table 1 : Number of direct stakeholder engagements and consultations held.14

Table 2: Summary of grievances received and managed through the AICCRA Grievance Mechanism 15

Table 3 : Summary of consultation undertaken about the additional financing.....16

Table 4: Tailored Stakeholder Engagement measures (Disadvantaged/Vulnerable Individuals or Groups).....25

Table 5: Summary of stakeholders needs from AICCRA-AF26

Table 6: Methods of stakeholder Engagements and consultations27

Table 7: Proposed Strategy for Information Disclosure.....30

Table 8: Estimated Budget33

Table 9: Responsibilities for SEP Implementation33

Table 10: Project Stakeholders35

Table 11: Monitoring matrix.....46

Table 12: Implementation schedule47

List of Figures

Figure 1: Grievance Resolution Structure37

ACRONYMS

| | |
|-------------|--|
| AAS | African Academy of Sciences |
| ABC | Alliance Bioversity and CIAT |
| ACPC | Africa Climate Policy Center |
| ACRA | Association of Rural Cooperation in Africa and Latin America |
| ADID | Dahra integrated Development Association |
| AF | Additional Financing |
| AGN | Africa Group of Negotiators |
| AGNES | African Group of Negotiators Experts Support |
| AICCRA | Accelerating Impact of CGIAR Climate Research for Africa |
| AMACIC | Association Malienne des Conseils en Ingénierie et Consultance |
| AMACIC | Association Malienne des Conseils en Ingénierie et Consultance |
| ANCAR | National Agency for Agricultural and Rural Advisory |
| APAFIL | Association of Professionals and Actors in the Local Milk Sector in the Department of Linguère |
| APS | Association of Seed Producers |
| ARAA | Regional Agency for Agriculture and Food |
| ARISE | African Research Initiative for Scientific Excellence Pilot Programme |
| ASARECA | Association for Strengthening Agricultural Research in Eastern and Central Africa |
| AUDA-NEPAD | African Union Development Agency |
| BAME | Macroeconomic Analysis Office |
| BOAD | West African Development Bank |
| CCARDESA | Centre for Coordination of Agricultural Research and Development for Southern Africa |
| CGIAR | Consultative Group on International Agricultural Research |
| CIAT | International Center for tropical Agriculture |
| CIFOR-ICRAF | Center for International Forestry Research |
| CILSS | Permanent Interstate Committee for Drought Control in the Sahel |
| CIRAD | Agricultural research for the sustainable development of tropical and Mediterranean regions |
| CIS | Climate Information Services |
| COP | Conferences of the Parties |
| CORAF | West and Central African Council for Agricultural Research and Development |
| CPEA | Centre de Promotion de l'Élevage au Sahel |
| CRMAE | Report Climate Risk Management in Agricultural Extension |
| CSA | Climate Smart Agriculture |
| CSIR/CRI | CSIR Crops Research Institute |
| CSOs | Civil Society Organization |
| CSV | Climate-Smart Villages |
| DRA | Regional Delegation for Agriculture |
| DST | Decision Support Tools |
| E&S | Environmental and Social |
| ECOWAS | Economic Community of West African States |

| | |
|---------|---|
| EDRMC | Ethiopian Disaster Risk Management Commission |
| ESF | Environmental and Social Framework |
| ESMF | Environmental and Social Management Framework |
| ESS | Environmental and Social Standard |
| EWS-PD | Systems for Pests and Diseases |
| FM | Financial management |
| FSAD | Semois Agro-Development Foundation |
| GBV | Gender Based Violence |
| GGGI | Global Green Growth Institute |
| GIZ | German Society for International Cooperation |
| GM | Grievance Mechanism |
| GRC | Grievance Resolution Committee |
| GRS | Grievance Redress Service |
| ICPAC | IGAD Climate Prediction and Applications Centre |
| ICRISAT | International Crop Research Institution for the Semi-Arid Tropics |
| IER | National Institute of Rural Economy |
| IFPRI | International Food Policy Research Institute |
| IITA | International Institute of Tropical Agriculture |
| ILRI | International Livestock and Research Institution |
| INSAH | Sahel Institute |
| IRI | International Research Institute for Climate and Society |
| IRRI | International Rice Research Institute |
| ISC | Independent Steering Committee |
| ISRA | Senegalese Institute of Agricultural Research |
| IWMI | International Water Management Institute |
| LMP | Labor Management Procedure |
| M&E | monitoring and evaluation |
| MEL | Monitoring, evaluation, and learning |
| MITA | Market of Innovations and Agricultural Technologies |
| NARS | National Agricultural Research System |
| NGOs | Non-Governmental Organizations |
| NMHS | National Meteorological and Hydrological Services |
| ODRS | Office for Rural Development Support |
| OPIB | Office de la Protection des Cultures et des Infrastructures |
| ORS | Office of Rural Statistics |
| PAI | Project Area of Influence |
| PAP | Person Affected by the Project |
| PDO | Project Development Objective |
| PMC | Project Management Committee |
| PMU | Project Management Unit |
| PWD | Persons With Disabilities |
| R&D | Research and Development |

| | |
|---------|---|
| ROPPA | Réseau des organisations paysannes et de producteurs d’Afrique de l’Ouest |
| RUFORUM | Regional Universities Forum for Capacity Building in Agriculture |
| SASSCAL | Southern African Science Centre for Climate Change and Adaptive Land Management |
| SEA/SH | Sexual Exploitation and Abuse/Sexual Harassment |
| SEP | Stakeholder Engagement Plan |
| SHFs | Smallholder farmers |
| SRI | System of Rice Intensification |
| TVET | Technical and Vocational Education and Training |
| UADB | Alioune Diop Bambey University |
| UDS | University for Development Studies |
| UICN | Union internationale pour la conservation de la nature |
| UN | United Nation |
| UNECA | United Nations Economic Commission for Africa |
| URAC | Union des Radios Communautaires du Sénégal |
| USAID | U.S. Agency for International Development |
| USSEIN | Université du Sine Saloum Elhadj Ibrahima NIASS |
| WASCAL | West African Science Service Centre on Climate Change and Adapted Land Use |
| WB | World Bank |
| WIC | Women’s Investment Club |

GLOSSARY OF KEY TERMS

Consultation - The process of gathering information or advice from stakeholders and taking these views into account when making project decisions and/or setting targets and defining strategies.

Engagement - A process in which a company builds and maintains constructive and sustainable relationships with stakeholders impacted over the life of a project. This is part of a broader “stakeholder engagement” strategy, which also encompasses governments, civil society, employees, suppliers, and others with an interest in the Project.

Grievance Mechanism - a process for receiving, evaluating, and addressing project-related complaints from citizens, stakeholders, and other affected communities.

Stakeholders - Persons or groups who are directly or indirectly affected by a project, as well as those who may have interests in a project and/or the ability to influence its outcome, either positively or negatively; workers, local communities directly affected by the project and other stakeholders not directly affected by the project but that have an interest in it, e.g., local authorities, neighboring projects, and/or nongovernmental organizations, etc.

Stakeholder Engagement Plan - A plan which assists investors with effectively engaging with stakeholders throughout the life of the project and specifying activities that will be implemented to manage or enhance engagement.

Complainant- An individual, group, association, or organization that submits a verbal or written complaint.

Grievance/Complaint - an expression of dissatisfaction that stems from real or perceived issues, typically referring to a specific source of concern and/or seeking a specific solution. For the purpose of

this GRM, real and perceived impacts are treated equally and given the same due process. The term grievance and complaint are used interchangeably in this document.

Sexual exploitation: 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.

Sexual abuse - Any unwelcome sexual advances, request for sexual favors, verbal or physical conduct or gesture of a sexual nature, or any other behavior of a sexual nature that might be reasonably expected or 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.

Sexual harassment- Any unwelcome sexual advances, request for sexual favors, verbal or physical conduct or gesture of a sexual nature, or any other behavior of a sexual nature that might be reasonably expected or 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.

Survivor - A survivor is a person who has experienced the SEA/SH incident in the context of this GM.

Vulnerable Groups- individuals and groups, who by virtue of gender, ethnicity, age, physical or mental disability, economic disadvantage, sexual orientation and gender identity, or social status may be more adversely affected by a Project than others and who may be limited in their ability to claim or take advantage of development benefits.

1.0 INTRODUCTION

This Stakeholder Engagement Plan (SEP) has been updated for the Additional Financing (AF) of the Accelerating Impact of CGIAR Climate Research for Africa (AICCRA) project (P181150). This updated SEP will be used for the Parent Project (P173398) and the AF (P181150). It has been prepared to define information disclosure, establish stakeholder engagement measures, and provide a grievance mechanism (GM). The SEP outlines how, when, and ways in which the project team will inform, communicate, and consult with stakeholders, including vulnerable groups, and a mechanism by which people can raise concerns, provide feedback, or make complaints about the AICCRA-AF and any activities related to the project. The SEP is prepared in accordance with the Environmental and Social Standard 10 (ESS-10) on Stakeholder Engagement and Information Disclosure of the World Bank's Environmental and Social Framework (ESF). It will cover the whole life of the project. This SEP is a living document and might be updated anytime during project implementation to capture issues that could arise due to changing circumstances and uncertainties.

The overall objectives of SEP, as stated in the ESS-10, are to:

- Identify all stakeholders and ensure their participation in all stages of the project cycle.
- Establish a systematic approach to stakeholder and citizen engagements that will help to identify stakeholders and build and maintain a constructive relationship with them, in particular project-affected parties.
- Assess the level of stakeholder interest and support for the project and enable stakeholders' views to be considered in project design and environmental and social performance.
- Promote and provide means for effective and inclusive engagement with the project-affected parties throughout the project cycle on issues that could potentially affect them.
- Ensure that appropriate project information on environmental and social risks and impacts is disclosed to stakeholders, especially to vulnerable individuals and groups, in a timely, understandable, accessible, and appropriate manner and format, taking special consideration for the disadvantaged or vulnerable groups, and addresses their concerns and feedback during subproject activity implementation.
- Provide project-affected parties, including vulnerable persons, with accessible and inclusive means to raise issues and grievances and allow the Project Implementing Entity and its Project Implementation Unit to respond to and manage such grievances, especially those coming from vulnerable persons and groups.

2.0 PROJECT DESCRIPTION

2.1 The Focus Areas of AICCRA Additional Financing

The AICCRA-AF is focused on advancing the World Bank's support for the CGIAR, a consortium of international research centers dedicated to improving food security, reducing poverty and malnutrition, and sustainable natural resource management. The Bank proposes to provide this additional financing to scale-up the ambition of the AICCRA program, aiming to keep up with the increased urgency and magnitude of the need for validated CSA and CIS technologies to increase resilience across Africa. Specific focus areas are as follows:

Large-scale adoption and use of validated CIS and CSA technology bundles: The AF will scale up investments in the validation of CSA technologies and CIS applications and platforms and facilitate their availability through identified “scaling pathways” to stimulate their uptake and use through the development of scaling mechanisms available to policymakers and investors, as well as promote the adoption of those technologies among significant numbers of value- chain actors.

Strengthen the capacities of regional partners: The AF will build on the progress achieved to date on the AICCRA parent project to scale-up capacity building activities related to R&D and the science of scaling within the existing regional partners, such as CORAF, AGRHYMET, ICPAC, ASARECA, CCARDESA, RUFORUM, and others. This work is tracked through the indicator “Partnerships launched/strengthened between AICCRA CGIAR/NARS scientists.” Since the primary partnerships have now been launched, the focus will be on building the capacity of these existing partners, and thus, new partnerships will be limited under the AF.

Expand and strengthen CGIAR collaboration to other World Bank operations and initiatives: The AF aims to expand the impactful and cost-effective collaborations between AICCRA and new World Bank operations, including a dedicated support mechanism for task teams in target countries to accompany WB portfolios. The AF aims to also provide a CGIAR-backed technical assistance platform available to WB task teams throughout the project cycle. This includes work to increase demand-driven policy-relevant science for the design of World Bank operations, including Development Policy Lending.

Support the West Africa Fertilizers and Soil-Health Roadmap. The AICCRA program during this AF will contribute to this 10-year fertilizer and soil-health roadmap, specifically by financing activities with research bodies and strengthening digital soil health monitoring in West Africa. The roadmap contains activities contributing to building the long-term resilience of soils, including a) strengthening the capacity of research bodies to improve soil fertility and soil health in the region and b) strengthening soil health monitoring in West Africa.

Project Development Objective: The Project Development Objective (PDO) is to strengthen the capacity of governments, regional organizations, farmers, and other relevant stakeholders, and enhance access to and use of climate information services and validated climate-smart agriculture technologies in IDA eligible countries in Africa.

2.2 Project Components

The AICCRA-AF will maintain the parent project’s component structure and aim to scale up activities under each component with a focus on three areas: (i) scale-up the validation and use of CSA and CIS technologies, including the validation of more technology bundles and reaching more people; (ii) strengthening the regional organizations to provide direct support to beneficiaries for sustainability; and (iii) expand AICCRA’s support to target governmental and non-governmental programs and priorities, including those financed by the World Bank and other international development partners.

2.2.1 Component 1. Knowledge Generation and Sharing

Component 1 will generate and share tailored knowledge products and tools designed to address critical gaps in the design and provision of gender-responsive agro-climatic services, enable climate-informed investment planning that is inclusive of gender and social inclusion concerns, and contribute

to the development of policies and strategies to promote uptake and use of climate-smart agriculture (CSA) practices and technologies and their bundling with climate information services (CIS), in particular in relation to soil fertility, at the regional, sub-regional and national levels. Activities include:

Strengthening provision of Africa-wide agro-climatic services by national agricultural and meteorological agencies and CSA investment planning by national Ministries, Departments and Agencies (MDAs) and private firms, through: (i) co-development and participatory assessment of CIS packages; (ii) co-development of decision support tools (DSTs) for tailoring bundles of CSA/CIS interventions and innovations; (iii) economic and cost-benefit analyses, including by analyses by gender, of CSA/CIS bundled options under different climate and socio-economic scenarios; (iv) development of financing models for rollout of prototype CSA and CIS solutions for men, women and young farmers and other actors with private sector engagement (including, inter alia, identification of commercially viable business models, design of appropriate financing mechanisms and delivery channels for accelerating deployment of public and private capital, and in climate resilient and low-carbon food systems; (iv) climate, agricultural, environmental, gender and social inclusion policy analyses to understand bottlenecks to regional and national level CIS and CSA implementation, and (v) provision of just-in-time policy-relevant knowledge products based on requests from national partners and key stakeholders, including development of indicators and metrics for tracking adaptation progress as a result of CSA/CIS technologies and practices, all through the provision of goods, consulting services, non-consulting services, training and workshops, operating costs, and payment of staff salaries for the purpose.

Strengthening provision of agro-climatic services in East, South and West Africa through: (i) generation and sharing of tailored knowledge products and tools that support implementation of agricultural data hubs and decision support systems (such as co-development of visualization tools, co-design of dissemination systems for early warnings, climate services and climate-informed digital agro-advisories, among others); (ii) strengthening digital gender-responsive climate agro-advisory services through integration of tailored CIS and digital agro-advisories into national extension systems that include weather/climate monitoring, forecast information, and pest/disease risk assessments, among others; and (iii) investment in a center to strengthen soil health monitoring in West Africa. This subcomponent will finance the provision of goods, consulting services, non-consulting services, training and workshops, operating costs, and payment of staff salaries for the purpose.

Relative to the AICCRA parent project, the following has changed to bring in more focus: There will be greater emphasis in the AF on gender-responsive climate agro-advisory services, just-in-time policy-relevant knowledge products based on requests from national partners and key stakeholders, and tailoring of knowledge products and tools, including those that can help national governments and other stakeholders track adaptation progress related to CSA/CSI implementation.

2.2.2 Component 2. Strengthening Partnerships for Delivery

Component 2 will strengthen the capacities of key regional and national institutions in Sub-Saharan Africa along the research-to-development continuum for anticipating climate effects and accelerating identification, prioritization, access, and use of best-bet adaptive measures, through:

Strengthening analytical, priority setting and stakeholder engagement capacities of regional and sub-regional institutions through enhanced collaboration among Africa-wide and regional institutions to generate relevant and inclusive knowledge products, tools, advisory services, and educational and training curricula through the provision of goods, consulting services, non-consulting services, training and workshops, operating costs, and payment of staff salaries for the purpose.

Strengthening partnerships for sustained delivery and use of inclusive agro-climatic services in East, Count and West Africa, through: (i) technical assistance and capacity building to sub-regional organizations and national meteorological real-time services such as weather monitoring and forecasting, data generation and archiving systems, provision of online high-resolution historical data analyses, seasonal forecasts and early warnings, all with a view to improving reliability of sub-seasonal and seasonal climate predictions and delivery of real-time information; (ii) strengthening capacity of public institutions for decision support tools, and delivery models for climate services that are used in decision-making; (iii) strengthening of public and private sector next users (such as extension officers, input providers, private sector and the media, among others) for effective adoption and implementation of gender -smart CSA technologies and practices at scale in various value chains; (iv) strengthening of existing or development of new national climate services systems (such as national early warning, climate service and agro-advisory delivery models, among others) in the anchor countries; and (v) investing in regional and national research institutions in West Africa to strengthen their capacity to improve soil fertility and soil health. This subcomponent will finance the provision of goods, consulting services, non-consulting services, training and workshops, operating costs, and payment of staff salaries for the purpose.

Relative to the AICCRA parent project, the following has changed to bring in more focus: AICCRA will place greater emphasis on: (i) technical assistance and capacity building to existing partners, especially with key regional institutions; (ii) strengthening established data platforms, particularly with relevant CIS and CSA decision support tools; (iii) promoting use of information in decision making; (iv) training-of-trainer approaches (with support to downstream training efforts); (v) supporting curriculum development in CIS and CSA within university, research and extension networks; and (vi) building partner capacity in gender- and socially-inclusive approaches to identify, integrate, and present advisory information in ways that are accessible, understandable and relevant to different groups of farmers.

2.2.3 Component 3. Validating Climate-Smart Agriculture Innovations through Piloting

This component will support the tailoring, testing, and validation (including gender and social inclusion) of CGIAR and partner CSA/CIS technology bundles in research stations and in demonstration sites on farmers' fields; the development of gender and socially-inclusive scaling strategies for validated CSA/CIS technology bundles; linking of validated CSA/CIS bundled technology packages to technology transfer systems and scaling mechanisms; improving access to and use of validated CSA/CIS bundles that improve farm and enterprise management; and the use of AICCRA knowledge products, engagement, and capacity building to influence policy and investment decision-making, in particular:

Accelerating scale-up of validated CSA/CIS technology bundles Africa-wide, through: (i) facilitating the identification and cataloging of validated gender-smart CSA/CIS technology bundles and strategies for scaling and spillover; (ii) leveraging of existing CIS and CSA scalable initiatives (such as climate information platforms and early warning systems among others) in Africa; (iii) fostering dialogue among stakeholders to promote best practices, common standards and protocols for access and use of CSA/CIS technology bundles at scale, including gender and social inclusion considerations; (iv) promoting dissemination of climate research results across the region, including the use of AICCRA knowledge products and decision support tools to inform policy and provide technical support to investment decisions; (v) development of approaches to ensure sustainability and gender/social inclusion of regional and continental initiatives; and (vi) development of technology bundles that combine soil information and soil fertility practices. This

subcomponent will finance goods, consulting services, non-consulting services, training and workshops, operating costs, and payment of staff salaries for the purpose.

Supporting accelerated access and use at scale of validated CSA/CIS bundles across the anchor countries, through: (i) carrying out assessments of gender, social inclusion and climate-smartness to validate CSA/CIS bundles through scientific evidence brought to dialogues with various stakeholders to inform new investments and identify scaling mechanisms; (ii) identification and implementation of inclusive strategies, mechanisms, and action plans for uptake and use of best-bet gender-smart CSA/CIS bundles at scale; (iii) development and use of public and private business models, investment plans, and financing mechanisms that foster access and use of gender-responsive CSA/CIS bundles at scale; (iv) acceleration and technical assistance provided to SMEs to deliver gender-smart CSA/CIS bundles, soil fertility and soil information bundles, and access finance; and (v) use of AICCRA knowledge products, decision support tools and consolidated soil mapping to inform policies and to provide technical support to investment decisions at the sub-regional and national levels. This subcomponent will finance the provision of goods, consulting services, non-consulting services, training and workshops, operating costs, and the payment of staff salaries for the purpose.

Relative to the AICCRA parent project, the following has changed to bring in more focus: Overall, more focus on component 3 (e.g., with budget), More focus on CSA/CIS bundles than only CIS, More focus on accelerated validation, access, and use of gender-smart CSA/CIS bundles, added cataloging of validated CSA/CIS bundles at the continental scale, added developing and implementing scaling strategies to go beyond validating and piloting the interventions. More focused on informing public and private policy and investment decisions, and less on developing CSA investment plans, More focus on agribusiness acceleration.

2.4 Component 4. Project Management

Component 4 will finance support for day-to-day implementation, coordination, supervision, and overall communication and management (including procurement, financial management (FM), monitoring and evaluation (M&E), environmental and social risk management, carrying out of audits and reporting) of Project activities and results, all through the provision of goods, consulting services, non-consulting services, training and workshops, operating costs, and payment of staff salaries for the purpose of implementing the project.

3.0 SUMMARY OF PROGRESS UNDER PARENT AICCRA PROJECT

3.1 Brief Description of Key Activities of the AICCRA Parent Project

Relative to the AF structure, the AICCRA parent project was focused on knowledge generation on CIS and CSA knowledge generation and sharing, the development of national partnerships for delivery of CIS and CSA packages, regional partnerships for spillover of CIS/CSA innovations, gender sensitive plans and priorities, and support for testing, piloting, and demonstration of CSA technologies. The parent project is being implemented in six focus countries including Senegal, Mali, Ghana, Ethiopia, Kenya, and Zambia, with scale up activities at Western, Eastern, and Southern Africa regional levels.

So far, the project has generated about 80 unique climate relevant knowledge, technologies, and decision-making tools, which has been made available to over 3 million beneficial small-holder farmers as well as medium to large scale farmers. This was made possible through 465 demonstration farms set across various countries, which include 33 project sites in Kenya, 10 in Ethiopia, 189 in Senegal, 13

in Mali, 23 in Ghana, and 197 in Zambia. The project E&S team has continued to conduct screenings and effective mitigation of E&S risks on these sites.

The substantial progress realized on the project is anchored on effective collaboration and capacity building activities fostered through key partnerships, effective stakeholder consultations on project plans, stakeholder engagement on project innovations, and extensive dissemination of project information to stakeholders at the regional, national, and community levels.

3.2 Summary of Consultation Activities Undertaken During Project Implementation

Stakeholder consultations and engagement have been central to the implementation of the parent AICCRA project activities. The project maintained transparent, collaborative, and open consultations and engagements with several stakeholders at the regional, country, and community levels. This broadly involved direct consultation with stakeholders on project implementation tailoring, deep dive engagement with stakeholders on AICCRA-oriented weather forecasting technologies and CSA technologies, and consultations with stakeholders on E&S risks and their impact on project activities. This took the form of workshops, conferences, community meetings, radio discussions, farmer field days, and the use of drama and arts. Further details on the number of stakeholders reached through direct engagement activities are presented in Table 1 below.

Table 1 : Number of direct stakeholder engagements and consultations held.

| Cluster | Ghana | Zambia | Ethiopia | Kenya | Senegal | Mali | E&S Africa | WA |
|---|-------|--------|----------|-------|---------|------|------------|-----|
| Number of stakeholder engagements/ consultations held | 15 | 17 | 36 | 51 | 33 | 37 | 49 | 29 |
| Estimated Number of persons consulted or engaged | 716 | 726 | 532 | 1572 | 1951 | 1320 | 1496 | 965 |
| Number of males | 388 | 346 | 398 | 671 | 1174 | 705 | 915 | 563 |
| Number of females | 328 | 361 | 132 | 880 | 740 | 608 | 579 | 402 |
| Number persons with disabilities reached | 0 | 19 | 2 | 21 | 37 | 17 | 2 | 0 |

In addition, clear and consistent communication of project activities, outputs, and outcomes to stakeholders has been a top priority. Various communication channels, including emails, newsletters, social media, workshops, and seminars, were used to share project updates, milestones, and other relevant information with stakeholders. The AICCRA project website, that contains all relevant project information, has been visited by over 100,000 users since its creation in 2021. The project also has an important social media presence, with 5,222 LinkedIn connections, and a Twitter audience reaching close to 2,000 followers. Moreover, the AICCRA newsletter is now disseminated both as a LinkedIn newsletter ('Climate Smart Africa'), with more than 4,000 subscribers, as well as the established email-based mailing to 5,000 recipients.

3.3 Summary of grievances received and managed through the AICCRA Grievance Mechanism

The parent AICCRA project has institutionalized grievance structures in all six countries and two regional clusters. The Grievance Mechanism (GM) at each of these levels has a grievance committee and a focal person for receiving and handling complaints, concerns, and information requests from workers, partners, and other stakeholders. The project has also carried out extensive sensitization of grant partners, workers, and farmers on the GM. Based on these efforts, the project has so far received 51 complaints, mostly information requests, which have all been appropriately managed through the project GM. So far, no complaints regarding sexual exploitation, and abuse and or sexual harassment have been received.

Table 2: Summary of grievances received and managed through the AICCRA Grievance Mechanism

| Indicator/cluster | East and Southern Africa | Ethiopia | Ghana | Kenya | Mali | Senegal | West Africa | Zambia | Total |
|--|--------------------------|----------|-------|-------|------|---------|-------------|--------|-----------|
| Total inquiries and complaints received | 4 | 3 | 17 | 14 | 2 | 7 | 1 | 3 | 51 |

3.4 AICCRA Activities with Pastoralist

The parent AICCRA project extended the transmission of CIS/CSA technologies to Pastoralists in Arbajahan ward in Wajir County of Kenya, even though this extension was not initially part of the AICCRA project's scope. The decision to introduce CIS/CSA innovations to the Pastoralist community was prompted by the high demand from pastoralists, the Kenyan government's priority considerations on rangeland management, and the project's commitment to inclusive CIS/CSA deliveries.

In light of these factors and subsequent guidance from the World Bank, the AICCRA project chose to concentrate on the provision of technical advisory on participatory rangeland approaches to help maintain the project risk at a moderate level. Following the decision to work with the Pastoralist in Kenya, ESS-7 on Indigenous People/Sub-Saharan Africa Historically Underserved Traditional Local Communities was deemed relevant and applicable to the project.

Based on this, the project diligently conducted extensive information disclosure and consultations with stakeholders and Pastoralists in Wajir County. This helped to secure buy-in and support from the county government, and Free Prior and Informed Consent from the Pastoralist community. The project has also adopted an existing culturally oriented grievance mechanism to receive and manage complaints related to project activities with Pastoralists.

The project will continue to harness the foundation laid and the experiences picked up from this work to manage any potential activities with pastoralist under the AF.

4.0 BRIEF SUMMARY OF CONSULTATION UNDERTAKEN ABOUT THE ADDITIONAL FINANCING

During the preparation of the AF, extensive virtual and in-person consultative dialogues were held with CGIAR and partners, Africa wide stakeholders, and stakeholders at the six focal countries. Key discussions focused on:

- (i) up-to-date information about the AICCRA project, including impact achieved to date.
- (ii) the continuation of AICCRA financing and the rationale for AICCRA’s AF, including new orientations and increased ambitions (i.e., (a) transitioning from “access” to validated CSA and CIS technologies to include “their uptake and use” by beneficiaries and end users, (b) focusing on the strengthening of the regional organizations to provide direct support to beneficiaries for sustainability, and (c) expanding AICCRA support to target government programs and priorities); and
- (iii) inputs and feedback from the stakeholders on challenge, needs and priorities to consolidate into the AICCRA’s AF proposal.

Key stakeholders engaged included CGIAR centers and partners, regional and national government authorities, regional and national agricultural institutions, national universities, Non-Governmental Organizations (NGOs), agribusiness, farmers, and associations representing vulnerable groups. A brief account of these engagements and feedback received from partners are presented in the table below.

Table 3 : Summary of consultation undertaken about the additional financing.

| Region /country | Dates (2023) | Key participants (indicative list) | Total Participants | Key feedback and inputs from stakeholders |
|----------------------------|--|---|-------------------------------|---|
| CGIAR Consultations | | | | |
| CGIAR | September 11, 2023, hybrid (virtual and in-person) | Alliance, ILRI, IITA, IWMI, AfricaRice, IFPRI, WorldFish, IRRI, IWMI, World Bank, AICCRA ISC. | 25 Females- 10 Males 15 | <ul style="list-style-type: none"> • Access and use: Ensuring that farmers have access to climate information and can combine it with agro-advisories. • Technology bundles: We place greater emphasis on CSA technologies and bundling under the AICCRA AF, rather than on CIS technologies alone. We will integrate into the World Bank (WB) portfolio, specifically its linkage to Component 2 under FSRP. The idea is to bundle the validated technologies from CGIAR and partners and transfer them to countries for implementation on-farm. • Taking coordination into account, it makes sense to have Center Contact Points as part of a group that can provide insights and more knowledge to enhance AICCRA coordination with CGIAR projects and initiatives. |
| CGIAR | October 17, 2023, in-person | Alliance, IITA, ILRI, IFPRI, CIP, IRI, IWMI, ISC, World Fish | 15 Female 3 Male 12 | <ul style="list-style-type: none"> • Strengthening the alignment of AICCRA AF with the national and regional policies and priorities • Foster more dialogue between country clusters. • Provide increased support to country clusters. • Explore how AICCRA can inform the next cycle of NDC (Nationally Determined Contributions) submissions. • Establish links between continental, country, and regional policies. • Align AICCRA activities with government strategies for agriculture transformation. • Ensure alignment with government’s strategic visions. • Promote institutionalization and sustainability of AICCRA activities. • Define how AICCRA indicators contribute to policies. • Identify entry points for government strategies such as climate and data strategies. |

| Continental | | | | |
|---------------------|---|--|-------------------------------|---|
| Africa-wide | Friday, 29 September from 10:00am – 1:00pm GMT Zoom meeting | AGNES, UNECA, SASSCAL, ACRA Africa, UN Women, AUDA-NEPAD | 22 Females- 12 Males 10 | <ul style="list-style-type: none"> • AICCRA AF should focus on opportunities such as: Embedded support to African institutes (e.g., secondments). • Engaging policy makers from initial stages of project design to get buy in and support during implementation. • Building on digital or disruptive technologies; making use of CIS to improve uptake of climate smart insurance. • Increase collaboration with existing partners to work in different countries where they have presence. • Leveraging on the Africa Group of Negotiators (AGN) to highlight and present Africa issues on all AICCRA workstreams in upcoming COP |
| | 20 Sept 2023 Bilateral conversation Video call | African Academy of Sciences (AAS) | 1 Male 1 | <ul style="list-style-type: none"> • AAS promotes knowledge generation and capacity building across the continent; they work with UNECA and Africa Climate Policy Center (ACPC) which are partners in common with AICCRA, AAS has a program called the African Research Initiative for Scientific Excellence Pilot Programme (ARISE) that supports researchers with grants to push the innovation agenda and could be a possible entry point for partnership with AICCRA. |
| | 20 Sept 2023 Bilateral conversation In person on ILRI campus in Nairobi | IFPRI, AAS | 1 Female 1 | <ul style="list-style-type: none"> • IFPRI has country offices in most of the AICCRA focus countries with local staff who have in-country networks with the policy community. IFPRI has models that can be used for ex-ante policy analysis and can carry out evaluations on the ground to help with evidence-based decision making. |
| Regional | | | | |
| West Africa Cluster | September 15, 2023 side event during the Market of Innovations and Agricultural Technologies (MITA, Ouagadougou, September 12-15, 2023) | Regional public institutions (e.g., ECOWAS, CILSS) Regional agricultural for development organizations (e.g., CORAF, INSAH, ARAA) Regional meteorological institutions (e.g., AGRHYMET) NGOs (e.g., Tanager, UICN, GGGI) Farmers' organizations (e.g., ROPPA) HIGHER education institutions (e.g., WASCAL) International development partners (e.g., BOAD, World Bank) CG centers (e.g., Alliance Bioversity and CIAT, ILRI, | 39 Females 13 Males 26 | <ul style="list-style-type: none"> • Assessment of differential CIS needs and barriers to CIS uses. • Assessment of CIS uses and collection of feedback on CIS. • Strengthening observation and data collection systems and networks. • Co-developing inclusive and targeted CIS dissemination mechanisms, including public-private partnerships and business models. • Co-production or co-generation of CIS with end-users to enable to large-scale adoption. • Developing Ag-Data Hub in new countries (non-AICCRA countries). • Stocktaking of existing CIS products and their performance/relevance to enable informed choice and decision-making. • Targeted matching of CIS needs to existing CIS products. • Capacity building on understanding and use of CIS. • Scaling CSA technologies and practices through multi-stakeholder platforms and business models. • Stocktaking/Capitalization of evidenced/proven CSA technologies and practices. • Accelerating the use of evidenced/proven CSA technologies and practices. • Testing the effectiveness of agricultural technologies in the new climatic contexts: assessing the climate-smartness of widely claimed adaptation practices. • Participatory selection and Evaluation of the potential of CSA for transformative agriculture and food systems in West Africa. • Promoting small-scale grants to enable spillover effects. • Promoting access and use of bundled CSA and CIS options through Climate-Smart Villages (CSV). |

| | | | | |
|-------------------------------------|---|---|------------------------------|---|
| | | AfricaRice, IITA, CIFOR-ICRAF) | | <ul style="list-style-type: none"> • Recognizing and promoting indigenous knowledge and practices for adaptation. • Stocktaking of CIS scaling mechanisms available with regional institutions (MITA, CSV, Innovation platforms, etc.). • Promoting/Supporting the use of CSA/CIS curricula developed in African universities (degree programs) and vocational/professional training programs (targeting thematic focus program, e.g., Centre of Excellence in Climate Change, Biodiversity and Sustainable Agriculture, AGHRYMET graduate training programs). • Supporting the organization of scientific and academic events on CSA and CIS. • Developing targeted CIS/CSA tool kits for strengthening extension systems. • Graduate fellowship programs on CSA/CIS. • Supporting revision of African university curricula for enabling the mainstreaming of CSA/CIS modules and AICCRA research. • Dissemination of CSA/CIS curricula through digital platform. • Supporting the implementation of NDCs and NAPs, including revision/elaboration when needed. • Strengthening national MEL systems to enable adaptation progress tracking. • Mainstreaming of CSA/CIS into national plans and strategies for climate action (both adaptation and mitigation) and development plans and programs. • Development of Policy briefs/Info notes on CSA/CIS for decision maker. • Foresight analysis to identify scenarios of investment on CSA/CIS at both national and regional levels. • Mainstreaming CIS/CSA into the implementation of regional projects and programs. • Technical assistance and capacity building to national and regional institutions on Gender and social inclusion. • Strengthening South-South learning and partnerships among the cluster's partner institutions. • Better articulate/strengthen the synergies between CSA and agroecology. • Highlight the co-benefits of CSA (in terms of nutrition, gender, etc.). • Support the development and implementation of Gender Climate Action Plan. • Use MEL tools to ensure gender and social inclusion mainstreaming into the implementation. |
| West Africa Cluster | September 28, 2023, in Dakar In person consultation | ACCRA West Africa partners CORAF | 3 Males 3 | |
| West Africa Cluster | September 18-19, 2023, in Ouagadougou In person consultation | AGRHYMET | 2 Males 2 | |
| West Africa Cluster | September 22, 2023, in Abidjan In person consultation | WASCAL | 2 Males 2 | |
| Eastern and Southern Africa Cluster | 08/09/2023 | Representative of the major partners | 60 Females 20 Males 40 | <ul style="list-style-type: none"> • Capacity building of trainers, lecturers, and course convenors through collaboration with RUFORUM, IRI-Columbia University and AICCRA is vital in strengthening course development on CSA and CIS at TVET and university levels. • For optimal knowledge input collection, management and use of CSA and CIS-related learning, developing local and regional hubs at universities is integral to creating awareness and better student outreach. • One way of mainstreaming CSA and CIS-related curriculum is through integrating courses in ongoing, related curricula, including agriculture, environmental management, food security and nutrition programs at BSc, MSc, and Ph.D. levels. • Awareness creation of CSA and CIS concepts from early education programs, especially at the secondary schooling |
| | | Regional Organizations | 18 Females 5 Males 13 | |
| | | National Meteorological Services | 6 Females 3 Males 3 | |
| | | Climate Change and Agriculture Ministries and Commissions | 3 Males 3 | |

| | | | | |
|----------------|----------------------------|---|---|---|
| | | Private Sector | 4 Females 2 Males 2 | <p>level through collaboration with private, public, and international organizations, could attract interest in climate education.</p> <ul style="list-style-type: none"> Climate education and training could benefit from revamping the learning process by integrating concepts such as green and/or agri-entrepreneurship (examples are already implemented in Eswatini University in Southern Africa), in addition to making sure modules can be accessible online or in digital platforms. Adopt models that have worked, University & TVET collaboration to provide experiential learning. Memoranda of Understanding with students' clubs and agricultural professional bodies that help regulate agriculture policy and practice. Link between research, training, and outreach on the ground, facilitate last-mile delivery- co-create solutions with communities. Training of extension workers. Create platforms accessible by different stakeholders and nurture strategic partnerships to enhance uptake and use. Tested partnerships and committed partners existed. Several universities spread in different agro-ecologies to enhance access, uptake, and scaling. |
| | | Development Partners and Transformation Agencies | 4 Females 1 Males 3 | |
| | | Media | 2 Females 2 | |
| | | AICCRA Team | 15 Females 7 Males 8 | |
| Country | | | | |
| Zambia Cluster | 21/09/2023 at Lusaka | Government Institutions, Farmer Associations, Agribusinesses, CGIAR Centers Vulnerable groups association. Agricultural Research Institutions Public Universities Farmer Associations | 100 Females 31 Males 69 Youth 14 | <ul style="list-style-type: none"> Lack of access to digital platforms like TVs or mobile phones, and literacy levels, especially among women and the youth. The CSA landscape is marred by the scant availability of equipment such as solar panels and rippers. There's also a glaring disconnect in extension services, with misinformation rampant and ineffective outreach methods. The need for information on underground water for those using irrigation technologies, limited funding avenues for CIS/CSA innovations, and a non-demand-driven approach to CIS technologies further exacerbate the challenges. The low evidence of on-farm impact and the absence of supportive policies. The necessity of reshaping the mindset and behaviors of smallholder farmers (SHFs) towards CSA/CIS adoption. The development of a collaborative extension service framework and studies into the affordability of CSA/CIS innovation bundles. The need for strengthening educational pathways, emphasizing capacity-building, and facilitating learning exchanges. The ineffective coordination among partners delivering Climate Information Services (CIS) and the fragmented nature of current early warning systems. |
| Ghana cluster | 28 August 2023 | AICCRA Core Team and IRI | 8 Females 2 Males 6 | <ul style="list-style-type: none"> Development of national and regional Early Warning Systems for Pests and Diseases (EWS-PD)— Application of NextGen approach. CRMAE pilots |
| | 01,08 Sept and 06 Oct 2023 | Defining CGIAR role | 15 Females 2 Males 13 | <ul style="list-style-type: none"> Expanding technology access and adapting the accelerator programs concept for Ghana |

| | | | | |
|-----------------|--------------------------------------|--|------------------------------|---|
| | 04 Sept 2023 | AICCRA's ESS Expert | 4 Males 4 | <ul style="list-style-type: none"> IITA-led coordination of improved synergies across WB-funded projects with quarterly meetings |
| | 11-12 September 2023 Accra, Ghana | Government, farmers private sector, NGOs, CSOs | 49 Females 12 Males 37 | <ul style="list-style-type: none"> Two scaling pathways strengthened with CSA Hubs concept: government and private sector |
| | 22 September 2023 | USAID Policy Link | 1 Male 1 | <ul style="list-style-type: none"> Expanding RELCs to involve private CIS providers |
| | 28 September 2023 | CSIR/CRI, UDS | 6 Female 1 Males 5 | <ul style="list-style-type: none"> Government entities to lead the scaling platform |
| Senegal cluster | 3 October 2023 | ADID, Alliance Bioversity CIAT, ANCAR, APAFIL, CIRAD, Dakar agrocosmo, Gie JAMBAR, ICRISAT, MANOBI AFRICA, ILRI, ISRA, BAME, CERAAS, CRZ Dahra, Jokalante, Réseau National des Femmes Rurales du Sénégal, Seed and Crop Knowledge Africa, URAC, USAID/SÉNÉGAL, USSEIN, UADB WIC, SENEGAL, YEESAL AGRIHUB, World Bank | 59 Females 15 Males 44 | <ul style="list-style-type: none"> Support to agro-dealers and agro-business in the supply of inputs (animal feed, health services, OneHealth). Revitalize the synergies between institutions and develop relationships between existing platforms. Build specific and understandable training support – specifically in the mechanization and use of machines, use of renewable energies, preservation techniques, possible outlets through improving self-guided training material in social networks (audiovisuals, manuals). Reinforce the production of CIS-CSA technology and services to fit for context and to the targeted value chains. Development of an interoperability system (platform federation). Setting up business models for access to agro-climatic information. Implement a personal data management policy. Digitization of the input access process. Training community radio hosts in the use of digital tools for large-scale access and use. Promote good agricultural practices in gender-sensitive activities. Advocate the application of evidence- and science-based policies to influence inclusion. Support the development of sustainable and inclusive business models for the provision of AIC services. Communication, awareness-raising and outreach. Incentives for social groups to use CIS and AIC. Start-up incubation and acceleration of small and medium-sized enterprises. Identification of competencies to transfer to beneficiaries, and development of training programs. Make technologies accessible and available. |
| Mali Cluster | 19 – 21 September 2023 | IER (National Institute of Rural Economy) Office du Niger FSAD (Semois Agro-Development Foundation) Mali-Meteo GIZ (German Society for International Cooperation) | 51 Females 9 Males 42 | <ul style="list-style-type: none"> Conduct an inventory of existing climate-smart technologies and services. Explore the potential combination of existing technologies and services to enhance adaptation to climate change in agricultural systems. Develop a decision support tool for horticultural and diversification crops. Design a hydraulic network management tool based on reliable meteorological information. Consolidate existing economic models and develop new ones. Establish a panel to create a practical rice cultivation guide based on climate forecasts. |

| | | | | |
|------------------|--------------------------------|--|-----------------------------|---|
| | | AMACIC (Malian Association of Engineering and Consultancy Councils) CPEA (Sahel Livestock Promotion Center) OPIB (Office for Crop Protection and Infrastructure) ODRS (Office for Rural Development Support) ORS (Office of Rural Statistics) DRA (Regional Delegation for Agriculture) AfricaRice | | <ul style="list-style-type: none"> • Develop a yield prediction tool for rice, considering climate projections for 5 and 10 years. • Identify the needs for climate-smart technology packages to improve vegetable crop yields. • Strengthen existing platforms and identify new ones, such as Faranfasi and APS (Association of Seed Producers). • Provide training to extension service agents on technological packages and climate information services. • Encourage widespread adoption of the System of Rice Intensification (SRI) by combining it with precision seeding and transplanting tools. • Implement awareness campaigns on climate change and technologies/services to mitigate its effects. • Organize radio awareness campaigns. • Promote collaboration between stakeholders and technical government agencies through large-scale communication campaigns on climate-smart technologies and services. • Provide training to women's cooperatives on composting techniques to reduce the use of chemical fertilizers and manage disease development. |
| Kenya Cluster | 21 September 2023 | Mercy Corps, IRLI, Alliance, ICRISAT, RECONCILE, Kenya Meteorological Department, KUZA, World Bank | 17 3 females 14 males | <ul style="list-style-type: none"> • For CSA bundling to be most effective and sustainable, it should be built upon existing platforms and processes, including private sector activities. • close connections between service providers (extension agents, etc.) and farmers would enable near real-time feedback on what was working well and what challenges remained. • collaborative implementation of scaling activities, built on our capacity strengthening workshops and training of trainers, will help support both impact at scale and institutional ownership of promoting bundled CSA technologies as well as generating and disseminating CIS advisories. • Greatest impact will also be supported by improved leveraging of existing partner networks and activities. |
| Ethiopia Cluster | 23 September 2023 In-person | CGIAR Centers, Universities, Government Institutions, Agribusinesses Farmer Associations | 85 (14 females) | <ul style="list-style-type: none"> • Strengthen & expand partnerships (and resources) with national organizations to provide direct support to beneficiaries to accelerate access, uptake & use of CIS and CSA innovations. • Support Ethiopia NMHS and EDRMC on climate change and risk analyses • Human, technical, infrastructure and institutional capacity building of federal and regional level disaster risk entities with knowledge, observations, monitoring, analysis, forecasting, and their communication for PAP communities • Accelerate the co-development of disaster risk profiles, risk mitigation and adaptation and link investment to monitoring forecasting and risk analysis for pastoral communities. • Jointly work on anticipatory action, preparedness, and response capabilities of the PAP. • Strengthen & make available for uptake & use, DST for enhancing water use efficiency. • Develop business models & applications of solar powered small-scale irrigations systems. |

5.0 STAKEHOLDER IDENTIFICATION AND ANALYSIS

Project stakeholders are defined as individuals, groups, or other entities who:

- (i) are impacted or likely to be impacted directly or indirectly, positively, or adversely, by the Project (also known as ‘affected parties’); and
- (ii) may have an interest in the Project (‘interested parties’). They include individuals or groups whose interests may be affected by the Project or may benefit from the project implementation, and those who have the potential to influence the Project outcomes in any way.

For the purposes of effective and tailored engagement, stakeholders of the proposed project(s) can be divided into the following core categories; affected parties, interested parties and disadvantaged /vulnerable individuals or groups.

5.1 Affected parties.

Affected Parties refers to persons, groups, and other entities within the Project Area of Influence (PAI) that are directly influenced (actually or potentially) by the project and/or have been identified as most susceptible to change associated with the project, and who need to be actively engaged in identifying impacts and their significance, as well as in decision-making on mitigation and management measures.

Under the additional financing, very limited field demonstrations will be undertaken with farmers, and given the scope, it is very unlikely that any parties will be adversely affected by the project activities. The CSA technologies and management practices and CIS tools developed by AICCRA and its partners by themselves have no known negative impacts.

However, nearly all partners and collaborators (individuals and institutions) as well as clients and end users will be positively affected in some way. Partners and collaborators will have opportunities to enhance their knowledge and skills, making them more effective in their respective roles. Institutional capacities will be strengthened. Private firms will have greater opportunities to benefit either from sales of equipment and inputs or from more and higher quality produce reaching the market. End users – farmers – will potentially have higher and more stable production and incomes, while consumers will have a more reliable food supply. Governments will benefit from more rapid and predictable agricultural growth, fewer people facing hunger and destitution because of crop failures, and lower levels of migration and conflict. The following are the key project direct beneficiaries:

- Alliance Bioversity-CIAT.
- CGIAR Centers (International Livestock and Research Institution (ILRI), International Crop Research Institution for the Semi-Arid Tropics (ICRISAT), AfricaRice, International Water Management Institute (IWMI), International Institute of Tropical Agriculture (IITA), etc.).
- National Partners (Metrological Departments, Agricultural and Livestock Research Organizations, Agribusinesses).
- Universities with focus on agriculture curriculum.
- Women’s Association.
- Youth Association.
- Private Sector Agribusinesses.
- Farmers.
- Pastoralists.

5.2 Other interested parties

Interested Parties include stakeholders who may not experience direct impacts from the project but who may benefit from the project innovative technology, or who consider or perceive their interests as being affected by the project and/or who could affect the project and the process of its implementation in some way. Specifically, this category of stakeholders will include the following individuals and groups:

- Government of African Countries.
- National Environmental Management Authority.
- The local population, including consumers, benefit indirectly from improved agriculture and food security.
- Financial institutions including agricultural banks and lending institutions.
- International Development Partners e.g., United Nations Food and Agricultural Organization.
- Agricultural Research Institutions.
- Private sector investors in agriculture e.g., commodity marketing companies.
- Farmer groups interested in climate adaptations.
- Organizations promoting farming interest of women and youth.
- Professionals involved in international development or climate change adaptation initiatives.

5.3 Disadvantaged/Vulnerable individuals or groups

Disadvantaged or vulnerable individuals or groups refers to those that may experience disproportional adverse impacts or exclusion, who often do not have the voice to express their concerns or understand benefits of this project at the same level as others and that may require special engagement efforts to ensure their equal representation in the consultation and decision-making process associated with the project. It is therefore important to ensure that information disclosure and engagement process are adapted to consider peculiar cultural and personal sensitivities. Within the scope of AICCA AF project, vulnerable/disadvantaged groups could include:

- Families living in remote locations.
- The poor.
- Marginalized groups.
- Elderly people.
- Women-headed households.
- Youth in farming.
- Pastoralist.
- Illiterate Smallholder farmers.
- Farmers with disability, fewer revenues, etc.

The table 4 below provides outline key limitations and enhancement measures for these stakeholders.

Table 4: Tailored Stakeholder Engagement measures (Disadvantaged/Vulnerable Individuals or Groups)

| Stakeholder groups | Limitations to Engagement | Measures/Resources to facilitate Engagement |
|--|--|--|
| Women farmers and youths | <ul style="list-style-type: none"> • May feel uncomfortable sharing opinions or raising concerns in the presence of men. • Family responsibilities, social and gender norms, need for spousal permission makes it difficult to participate in events that are far from homes or that are scheduled at certain times. | <ul style="list-style-type: none"> • Female facilitators or focal points to conduct workshops, sensitization, and consultation/engagement sessions. • Locations of public consultation are close to the homes of those whose engagement is sought. • The timings of consultations do not interfere with household / family commitments / obligations. • Gender-disaggregated meetings where females are more comfortable asking questions or raising concerns. • Dissemination of project information through multiple channels including radio, social media, word of mouth / community and religious leaders, including audio-visual materials for illiterate people. • Project materials produce in accessible format |
| Beneficiaries who live in remote areas | Challenges associated with transportation to engagement events / Focus Group Discussions / face-to-face meetings / learning sessions, etc. | <ul style="list-style-type: none"> • Transportation costs provided to participants. • Workshops / Focus Group Discussions conducted in targeted communities. • Project materials produce in accessible format |
| Beneficiaries living with disabilities. Elderly people | Challenges related to accessibility of venues for the learning sessions. Format of materials | <ul style="list-style-type: none"> • Accessibility of facilities for consultations / engagement events. • materials produced in an accessible format for all audiences and using a variety of audiovisual approaches (print, radio, television, social media, word of mouth / community and religious leaders, etc.). • Project materials produce in accessible format |
| Marginalized minorities (e.g., pastoralists) | May feel unwelcome to attend events (fear of discrimination). May not be informed about public events because they do not access host community communication channels. | <ul style="list-style-type: none"> • Community and religious leaders usually have a good understanding of the people living in their community and can be engaged to facilitate participation in stakeholder engagement activities. • Conduct targeted communications aimed at marginalized communities to inform them of public consultations. • Organize separate engagement events specifically for marginalized communities to ensure their needs are considered. • Produce project materials into accessible format. |

5.4 Summary of project stakeholder needs

The assessment of stakeholder needs was based on the institutional and stakeholder chain for the implementation of the AICCRA AF project. By this, we distinguished the needs of:

- 1) Direct partners, i.e. CGIAR research institutions (ILRI, AfricaRice, IWMI, IITA, etc.) that will receive funds directly from the project implementing agency (CIAT).
- 2) Indirect partners, i.e. those institutions that will receive funds through sub-contracts from the CGIAR research institutions.
- 3) Collaborating partners, i.e. those institutions receiving technical support, training opportunities, and workshop invitations but not directly funded by AICCRA.
- 4) Clients, i.e. those institutions that will be responsible for making AICCRA solutions and technologies available to.
- 5) End users, i.e. farmers and vulnerable groups.

Table 5 below provides a summary of needs for the following categories of operational stakeholders.

Table 5: Summary of stakeholders needs from AICCRA-AF

| Stakeholder group | Key characteristics | Financing | Language needs | Preferred notification means | Specific Needs |
|--|--|-----------|-------------------------|---|--|
| Direct Partners: including (ILRI, AfricaRice, IWMI, IITA, etc.) Alliance Bioversity-CIAT (ABC) International Center for Research in the Arid and Semi-Arid Tropics (ICRISAT) International Research Institute for Climate and Society (IRI) | CGIAR research institutions that will receive funds directly from the project implementing agency (CIAT) | Yes | English | Emails, Meetings, phone calls | No |
| Indirect partners | Institutions that will receive funds through sub-contracts from the CGIAR Centers. | No | English | Meetings; policy briefs, reports, emails | Sensitization on AICCRA-AF project and its output products and E&S requirements. Financial Support to enable stakeholder engagements |
| Collaborators: Governments or local representatives, Ministry of Agriculture, Livestock, Fisheries, Environment, etc. | Institutions receiving technical support, training opportunities, and workshop invitations but not directly funded by AICCRA. | No | English | Emails, online meetings, virtual workshops, periodic reports. | Knowledge and technology products development skills in CSA, CIS and agro advisories, capacity building for effective implementation and scaling. Sensitization on AICCRA-AF GM |
| Clients: Academia including Universities, Association of Women, Youth Network, private sector, Media, Financial Access | Institutions that will be responsible for making AICCRA solutions and technologies available. | No | English, local language | Emails, Workshops, reports | Sensitization on AICCRA project and its output products including E&S requirements. |
| Marginalized minorities (e.g., pastoralists) | Male and female smallholder famers, agro pastoralists and pastoralists engaged in extensive livestock systems, medium and large-scale farmers. | No | Local language | Community radio, community meetings, In-person visitation | Information and technology delivery mechanisms tailored to their needs and constraints. Information on E&S requirements, especially GM |
| Vulnerable groups | Smallholder women, youth, and PWDs farmers | No | Local languages | Phone calls Community radio announcement, Community meeting In-person visitation | Using facilitators, Cater for transport expenses to attend meetings, when necessary, Organizing meeting in local languages Adjusting meeting schedule to local cultural events. Information on E&S requirements, especially GM |

6.0 STAKEHOLDER ENGAGEMENT PROGRAM

6.1 Proposed strategy for information disclosure and consultations

The stakeholder engagement process during the project preparation was mainly done through in-person consultations and virtual meetings with partners, governments, and other in-country collaborators. AICCRA-AF will use this same strategy for many of the consultations. In addition, emails, blogs, newsletters, and the AICCRA website, YouTube, and X account will also be used to target stakeholders that can easily be reached through these channels. All the knowledge products produced by the parent AICCRA project are in the public domain. AICCRA AF will support upgrading AICCRA parent project communications capacity as the project will produce many new knowledge sharing products. The link to AICCRA website is: <https://aiccra.cgiar.org/>. The website is in English, French, and Spanish.

To ensure that project information disclosure is inclusive, the project will collaborate with trusted farmer-based organizations to hold community level meetings to share project information with farmers in their respective local languages. In so doing, AICCRA will pay particular attention to cultural sensitivities around holding community meetings with both men, women, and youth together during the AF. In some instances, separate focus group meetings will be held with women and youth groups to communicate project information. Furthermore, radio discussions, community meetings, posters, and farmer field days will be employed to reach out to stakeholders at the community level. Table 6 provides the strategies considered for stakeholder engagements and consultations.

Table 6: Methods of stakeholder Engagements and consultations

| With whom | Engagement Technique | Venue | Responsible agencies | Frequency | Purpose |
|---|--|---|-----------------------|-----------|---|
| Direct Partners: including (CIAT, ILRI, AfricaRice, IWMI, IITA, etc.) | Official communications Progress reports Meetings, virtual or in-person Press conferences Emails | CGIAR Centers' Offices, Virtual meeting platforms such Zoom and Teams. Public venues such as Hotels. | CIAT CGIAR Centers | Regularly | Coordination of the project activities. Sharing of updates on project implementation progress. Design of project activities. |
| Indirect partners | Official communications Progress reports Meetings, virtual or in-person Press conferences Emails | ABC or CGIAR Centers' Offices Virtual meeting platforms such Zoom and Teams. Public venues such as Hotels | CIAT CGIAR Centers | Regularly | Sharing of information, reviews, clearance and seeking support Seeking views and opinions. Enable stakeholders to discuss confidential and tailored conversation on project outputs. |
| Collaborators: Governments or local representatives, Ministry of Agriculture, Livestock, Fisheries, Environment, etc. | Official communications Progress reports Meetings, virtual or in-person Conferences and workshops Emails | CGIAR Centers' or partners' offices Virtual meeting platforms such Zoom and Teams Ministries' Offices Public venues such as Hotels | CGIAR Centers | Regularly | Sharing of information, reviews, clearance and seeking support Seeking views and opinions. Enable stakeholders to discuss confidential and tailored conversation on project outputs especially with government and other national institutions. |

| With whom | Engagement Technique | Venue | Responsible agencies | Frequency | Purpose |
|--|--|--|----------------------|-----------|--|
| End users: Academia including Universities, farmers Communities, Association of Women, Youth Network, private sector, Media, Financial Access | Official communications Progress reports Conferences and workshops Meetings, virtual or in-person | CGIAR Centers' Offices Virtual meeting platforms such as Zoom and Teams Public venues such as Hotels | CGIAR Centers | Regularly | Sharing information and progress updates including results. Keep stakeholders informed of climate smart agriculture innovations, models, and technologies. Increasing community support for Project activities |
| Vulnerable groups Marginalized minorities (e.g., pastoralists) | In person consultations and outreach campaigns Social media, leaflets, posters, brochures, and hand-outs GM hotlines | Community premises | CGIAR Centers | Regularly | To ensure their participation in consultations To increase awareness, provide consultations and collect feedback. To assess their needs and priorities. Prevention of sexual exploitation and abuse. |

6.2 Proposed strategy to incorporate the view of vulnerable groups.

Building on the consultation strategies and experiences from the parent AICCRA project, the AF will continue to encourage implementing partners to consider the following measures to deepen the involvement of disadvantaged groups in consultation processes and access to project information.

- **Consultations in local language:** Most smallholder farmers in localities targeted for CSA pilot demonstrations do not speak English, therefore, the Project will hold all meetings with vulnerable groups identified by using the local languages spoken in their community. When necessary, an experienced facilitator with a deep knowledge of the local language and context will be engaged to facilitate the consultation process. The project team will explain printed disclosure material in local language for people who are not literate or have problems in reading and understanding English.
- **Continue with the collaboration with local agencies working with vulnerable groups:** The project has already established partnerships with reliable local partners to reach out to women and youth. The project will continue to work with these partners to facilitate information dissemination and consultations with vulnerable groups.
- **Sustain the use of diversified means of communication:** The AF will rely more on community radio for dissemination of CIS and other project related information as this is highly used by smallholder farmers in the anchor focal countries. Community radio stations in local languages have been highly effective in conveying relevant information to vulnerable groups and allowing them to provide their feedback and suggestions. During these sessions, phone-in segments will be opened for farmers to share their feedback on the regular weather updates offered and on CSA technologies discussed in the local languages.
- **Consultations in an appropriate manner:** While reaching out to these diverse groups, the project will make sure that the timing and location of consultations are appropriate to their needs and sensitive to local cultural dynamics. In addition, the team will make sure that the

vulnerable groups are informed about the consultations at least one week prior to the scheduled dates.

- **Women focused groups:** During the AF, AICCRA will facilitate the formation of focus groups for women during consultation and information disclosure. This will particularly ensure that women farmers and entrepreneurs have the opportunities and safe space to participate in and benefit from the project. When necessary, the project team will hire a woman as the facilitator and will keep records of the discussions in the meetings of such a group. The project and sub-project teams will make maximum efforts to address the genuine concerns of the women group.
- **Focus group discussions with pastoralist and youth:** AICCRA will give priority to tailored consultations with pastoralist and youth groups to ensure that their concerns are factored into the design and selection of farms to benefit from CSA demonstrations.

6.3 Strategy for information disclosure

During project implementation, the implementing agencies will keep disclosing information on the content of the project as well as related processes to targeted stakeholder audiences, as described in Table 7. Key dates for information disclosure are at the start of the project, biannual reporting, mid-term, and at the end of the project. In addition, each year there will be a joint mid-year review organized between the direct implementing agencies (ILRI, IITA, AfricaRice, IWMI, IRI, etc.) and relevant stakeholders. Such a review will serve to take stock, discuss opportunities and challenges, and take corrective action where needed. In areas where physical access is limited, alternative channels of information disclosure will be applied, with the possibility of engaging a third party to support the information disclosure process.

Formats of information disclosure are a combination of face-to-face meetings, where applicable, accompanied by information shared via the available media. Information disclosure formats will be determined in discussion between CIAT, the CGIAR Centers, implementing partners, and the relevant stakeholders, following Project effectiveness.

All project information, including the project SEP with the Grievance Mechanism, E&S risks and mitigation instruments, CSA knowledge products, and innovations produced, will be in the public domain. The proposed information disclosure plan for the AICCRA-AF is presented in table 7 below.

Table 7: Proposed Strategy for Information Disclosure

| Project stage | List of information to be disclosed | Methods proposed | Timetable: Locations/ dates | Target stakeholders | Percentage reached | Responsibilities |
|-------------------------------|--|---|--|--|---|--|
| Project Initiation | Overall AICCRA AF Project: activities, timeline, targeting. Project SEP including Grievance Mechanism E&S risks and mitigation measures considered on demonstration site | Official Meetings and workshops at national, governorate and district levels: Participative workshops where participants will be informed about the project scope, parameters and asked to support the conduct of the project components and communication to relevant beneficiaries. Official Letter: Correspondence to request support and access to location sites. | Within 3 months of effectiveness of the AF | Implementing Partners, collaborators, clients, and others | Expected to reach 100% of implementing partners, collaborators, and key clients. Website will reach other indirect stakeholders – NGOs, CSOs and research institutions. | CGIAR Centers including CIAT, ILRI, ICRISAT, IWMI, WorldFish, IITA, Africa Rice. |
| | | Community Meetings: Face to face, focus group discussions and radio announcements | | Beneficiaries, individuals, and groups (including vulnerable groups) community leaders, NGOs | Expected to reach 100% of farmers | |
| Project Implementation | Biannual and Annual reports | Soft copies of reports through emails Face to face community meetings, focus group discussions | Once every 6 months | Implementing partners Smallholder farmers including vulnerable groups | 100% reach through emails to collaborators and indirect partners Face to face community meetings, focus group discussions will reach 100% of farmers | CGIAR Centers including CIAT, ILRI, ICRISAT, IWMI, WorldFish, IITA, Africa Rice and other implementing partners. |
| | Policy briefs, Discussion papers, journal articles, videos, online platforms, | Virtual meetings, one-on-one meetings, soft copies published through websites, emails, and newsletters | Throughout implementation | Collaborators, clients, and other NGOs | 100% through one-one meeting and emails to collaborators and clients. | |

| Project stage | List of information to be disclosed | Methods proposed | Timetable: Locations/ dates | Target stakeholders | Percentage reached | Responsibilities |
|------------------------|--|--|---|---|---|---|
| | television, and radio broadcasts | | | | | |
| | CSA innovations and information services | Soft copies of reports through emails, information dissemination events Radio discussions, face to face community meetings, focus group discussions | Throughout implementation | Government agencies, NGOs, commercial farmers, investors, Small holder farmers including PWD, youth and women. | At least 80% reach through emails to collaborators and clients Face to face community meetings, focus group discussions will reach 100% of farmers | CGIAR Centers and other implementing partners. |
| | E&S instruments (GM, ESMF, LMP, SEP) | Reports, Posters, Flyers, Banners | Throughout the project whenever the instruments are updated | Communities in the project targeted areas Farmers Community Project's workers | 100% | CGIAR Centers and other implementing partners. |
| Project Closure | Project achievements, lessons learnt, recommendations. | Websites, emails, virtual or in-person meetings | December 2025 | Collaborators, clients, and other NGOs | 100% through meetings and emails to collaborators and clients. | Implementing partners – ABC, ILRI, ICRISAT and IRI. |
| | | Face to face community meetings, focus group discussions | | Small holder farmers including PWD, youth and women | Face to face community meetings, focus group discussions will reach 100% of farmers | |

6.4 Timelines

The AICCRA-AF will involve all stakeholders as and when needed and will continue to engage throughout the implementation stage until the project is eventually closed. The project is planned for a duration of 2 years, information disclosure and consultations are relevant throughout the entire life cycle of the Project. Activities under each sub-component will include further consultations prior to their commencement to ensure broadly inclusive ideas, transparency, and accountability on project modalities, and to allow community voices to form the basis for the concrete design of every intervention.

6.5 Review of Comments

The AICCRA project management unit, the CGIAR Centers, and other implementing partners recognize the feedback of stakeholders as important inputs needed for the successful implementation of the overall project. The implementing partners for various activities will continue to gather relevant input, feedback, and perceptions from stakeholders through meetings, surveys, and the project grievance mechanism. Information gathered through these channels will be analyzed and used to inform project delivery. During engagements, all written and oral comments from stakeholders will be gathered, reviewed, and used to improve the content of documents, design of key project manuals, and climate-smart models. It will be the responsibility of different implementing partners to respond to how comments and inputs are used and to keep open a feedback line to the project stakeholders. A summary of how comments were considered will be shared with stakeholders when reporting back with final the products.

6.6 Future phases of project

The SEP will be periodically revised and updated as necessary during project implementation to ensure that the information presented here is consistent and up-to-date, and that the identified methods of engagement remain appropriate and effective in relation to the project context. Any major changes to the project related activities and to its schedule will be duly reflected in the SEP and communicated to stakeholders.

Information on public engagement activities undertaken by the project during a project year will be conveyed to the stakeholders during biannual and annual progress updates sessions with stakeholders. Information that will be shared includes type of engagement opportunities given to project stakeholders, the nature of participation in terms of gender and involvement of disadvantage groups, the extent to which stakeholder views were considered, and updates on project grievances.

7.0 RESOURCES AND RESPONSIBILITIES

7.1 Resources

There will be a need to cater for the cost of meetings as well as staff costs related to communication and grievance management. The budget for the SEP is included in the project management cost. AICCRA will allocate funds for stakeholder engagement activities during the AF.

Table 8 below gives the estimated budget for the SEP activities.

Table 8: Estimated Budget

| Stakeholder Engagement Plan – Estimated Budget | |
|---|-------------------------|
| Activities | Total Cost (USD) |
| Sensitization | 3,000 |
| Design of flyers | 1,000 |
| Translation of communication materials into local languages for farmers | 8,400 |
| Disclosure of SEP | 500 |
| GM’s channels mainstreaming cost, including cost of printing materials | 2,000 |
| Contingency (10%) | 1,490 |
| Total | 16,390 |

7.2 Management functions and responsibilities

The summary of key institutions concerned about the implementation of this SEP and their responsibilities are as follows.

Table 9: Responsibilities for SEP Implementation

| Institution /Lead Person | RESPONSIBILITY |
|-----------------------------------|--|
| Implementation Steering Committee | <ul style="list-style-type: none"> • Oversight responsibility for entire project implementation • Support in resolution of hard cases of grievances |
| AICCRA Project Management Unit | <ul style="list-style-type: none"> • Provide technical support and funding for the preparation and implementation of this SEP and resolution of grievances |
| AICCRA E&S Specialists | <ul style="list-style-type: none"> • Overall coordination of activities and implementation of this SEP. • Ensure effective implementation of GM. • Document and report on the performance of SEP implementation. |
| Cluster Lead and Activity Leads | <ul style="list-style-type: none"> • Initiate and coordinate stakeholder engagement activities. • Assign staff to keep written records on stakeholder engagement activities and on grievances. • Ensure the involvement of other implementing partners in the monitoring of SEP activities. |

8.0 GRIEVANCE MECHANISM

The AICCRA Project Grievance Mechanism (GM) will continue to be used to manage all potential complaints, feedback, and suggestions that may arise from the project. This GM was prepared to guide the receipt, management, and resolution of complaints and questions from project-affected persons and stakeholders. Indeed, the project sub-activities under components one to three will involve multiple stakeholders with varying degrees of interest, influence, and bearing on project effects. This, in essence, raises the need to create a procedure for receiving and managing the concerns, questions, and complaints of stakeholders. Therefore, this section clarifies and presents an outline of the existing grievance resolution principles, procedures, and organizational arrangements for receiving and resolving complaints, questions, and feedback from stakeholders on the AICCRA project.

8.1 Objectives

This AICCRA GM is intended to:

- Provide multiple and accessible avenues for stakeholders to seek information and ask questions on AICCRA AF project.
- Provide project affected people, including vulnerable and disadvantaged groups and individuals, with multiple and accessible avenues for lodging concerns, complaints and resolving a dispute arising from project activities.
- Ensure that appropriate and mutually acceptable resolution actions are identified and implemented to the satisfaction of complainants.
- Provide avenue for vulnerable groups and victims of sexual exploitation and abuse/ sexual harassment (SEA/SH) to have a confidential, transparent, ethical, safe handling, of grievance related to SEA/SH incidents that also includes a referral pathway for gender-based violence services such as psycho-social support, legal and medical.
- 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.

Although project-affected parties have the right to seek resolution at a court of law, the project recognizes that judicial processes are known to be cumbersome, costly, and time-consuming and therefore can be inaccessible to vulnerable persons. The project, through this guide, proposes an alternative, simple but functional, accessible, responsive, and effective procedure for aggrieved project-affected persons to amicably seek resolution of their complaints. Nonetheless, aggrieved persons would remain free to access the court system without any hindrance or retribution from the project, as provided by the laws of the project focus countries.

8.2 Scope of the Grievance Mechanism

The AICCRA GM principally provides the framework for receiving and managing all grievances from stakeholders and parties affected by project activities. It covers all operational locations and specifically the six focus countries of AICCRA including Ethiopia, Kenya, Zambia, Mali, Senegal, and Ghana. It offers multiple avenues for receiving complaints as well as the protocol for receiving and managing complaints from survivors of SEA/SH in a safe, ethical, confidential, responsive, and non-stigmatizing manner.

8.3 Key features of the AICCRA-AF GM

8.3.1 Principles of the AICCRA-AF GM

The operations of the AICCRA GM are guided by the following principles:

- An accessible, inclusive, transparent, fair, and free GM, broadly disclosed, which facilitates the resolution of concerns and grievances in a safe, confidential, and timely manner.
- A grievance mechanism that allows stakeholders to file complaints by various means (face-to-face, mail, email, phone, text, website, and in person) and when necessary, in an anonymous manner.
- A grievance mechanism that provides clear, impartial, and objective procedures for handling and responding to complaints, including timelines for acknowledgement, decisions, and appeals.
- A grievance process free of retaliation, abuse, or discrimination.
- A GM that provides an avenue for lodging SEA/SH cases in a safe, confidential, and non-stigmatizing manner and with a referral pathway for such cases.

8.4 Project Stakeholders

The key project stakeholder groups are outlined in table 10. From this list, most of the grievances are expected to come from the primary stakeholders whilst secondary stakeholders may take interest in information requests.

Table 10: Project Stakeholders

| AICCRA Primary Stakeholders ¹ | AICCRA Secondary Stakeholders ² |
|---|---|
| <ul style="list-style-type: none"> • CGIAR international research institutions • Project host communities • Project beneficiaries • Project affected persons. • Grantees and sub-grantees • Consultants • Government Agencies in the six focal countries • Academic institutions • Farmer Based Organizations • Regional Economic Communities | <ul style="list-style-type: none"> • Development Partners • Community Based Organization • Civil Society Organization • Consumer Protection Agencies • Media • Private companies and businesses |

8.5 Types of Information Request and Grievances Anticipated

Drawing from the parent AICCRA project and other related projects, grievances anticipated on the AF 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.

¹ Stakeholder with direct interest in AICCRA project activities

² Stakeholders who do not have direct interest in AICCRA project activities but holds a reasonable influence on project activities.

- 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.
- Disruption of project field demonstration activities.
- Sexual Exploitation and Abuse/Sexual Harassment (SEA/SH)

8.6 Internal Management of the GM

The overall management of the GM reside with the AICCRA PMU through the leadership of the project Environmental and Social Safeguard Specialists. The Environmental and Social (E&S) Safeguard Specialists exercises overall oversight on the project GM by ensuring that grievances are resolved at all levels in a timely, responsive, communicative, and amicable manner. For the AF, the AICCRA E&S Safeguard Specialists will specifically be responsible for:

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

In so doing, the AICCRA E&S Safeguard Specialists will continue to work closely with the Cluster Leads and E&S Focal Persons at the county sustain effective and functional operations of the GM. The E&S Focal persons at the country level will continue with the role of maintaining records of all complaints received, assisting affected parties in lodging complaints, escalating cases, and producing biannual reports on grievances from their cluster activities.

8.7 Points for Filing Grievances and Information Request

The AICCRA project has established publicly disclosed emails, contact numbers, and physical addresses as complaints filling point at the PMU and various country levels. These grievance filling points will be maintained and disseminated to new partners and stakeholders to be engaged under the AF.

For project activities that will occur at the community level, the lead research institution will designate two community members, a male and a female, involved in the project activities as focal persons for receiving complaints. When designated, the contact details of such persons shall be disclosed and made available to community members. The community focal persons will be trained in how to receive and promptly lodge complaints with the Safeguard Focal Person. Community members will also be allowed to lodge complaints directly during project meetings sessions with community members.

Alternative submission channel directly to the World Bank via the Grievance Redress Service (GRS)

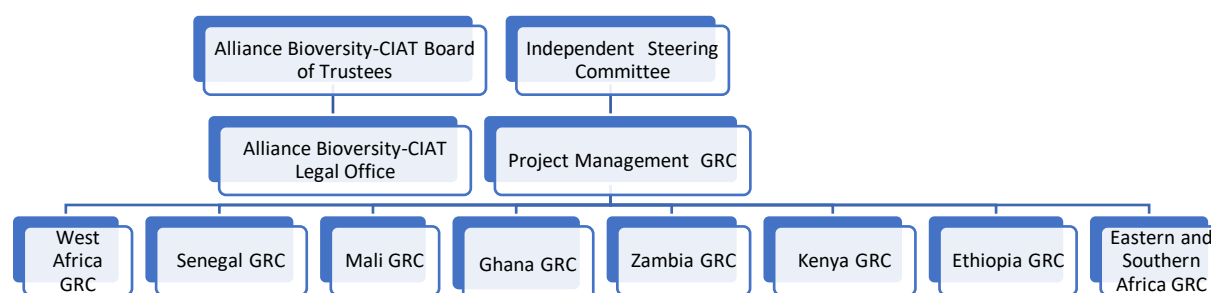
If, for any reason, the submitter is uncomfortable with filing a submission to the AICCRA project directly, a submission can be made to the WB directly via the following channels:

- by email to *grievances@worldbank.org*
- by *online access form*
- by letter or by hand delivery to the World Bank Headquarters in Washington D.C., United States, or any World Bank Country Office.

8.8 Grievance Resolution Structures

Complaints received on AICCRA-AF will be managed through the existing project implementation structures. In so doing, two-tier bottom-up grievance resolution levels will be followed. This will involve regional and in-country Grievance Resolution Committee (GRC), and Project Management GRC. In parallel, the CIAT Legal Office will also use its existing grievance resolution system to receive and manage some complaints in consultation with the PMC GRC. The Project Management GRC will receive and handle complaints on activities of regional partners.

Figure 1: Grievance Resolution Structure



8.8.1 In-country Grievance Resolution Committee

The AICCRA AF project will maintain the GRC set up at each of the six focal countries and two regional clusters as illustrated in figure 1 above. The in-country GRCs are hosted by the lead research institution of the respective countries. In Senegal, Kenya, and Ethiopia, the GRC are hosted by International Livestock Research Institute (ILRI), Mali-AfricaRice, Ghana- International Institute of Tropical Agriculture (IITA), and in Zambia by International Water Management Institute (IWMI). Each Country GRC comprises of a four-member committee made up of AICCRA Country Lead, in-country E&S Focal Person, a representative from project affected persons and Gender, and Social Inclusion expert. For cases involving technicalities and/or a conflict of interest with a GRC member, the committee choose to include one or more project staff or reputable and independent third parties on the committee deliberations. The in-country GRCs handle all grievance on cluster activities in the country, irrespective of the partner implementing AICCRA activities in the country.

The country level GRCs are required to handle complaints and concerns relating to:

- Request for information on how to access project grants, access climate smart information and innovations, collaborate with implementing agencies, and 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 or persons.
- Site of project demonstration farms.

The country level GRCs through the Country Leads are required to immediately notify the AICCRA Senior E&S Specialists on all cases relating to major incidents, accidents, and SEA/SH before considering any resolution measures. Such cases require the active involvement of AICCRA Safeguard Specialists in the resolution process and reporting to the World Bank though none has been recorded so far. In addition, the country level GRC is required to escalate project related grievances that remain unresolved at the Country level within the stipulated time frame to the Project Management GRC for resolution.

8.8.2 Project Management GRC

The Project Management GRC is hosted by AICCRA PMU and comprises of the Project Director, AICCRA Senior E&S Specialists, Regional Project Leads and the Project Gender and Social Inclusion Specialist. The committee is responsible for mediating all unresolved complaints from the country level, complaints from activities of regional partners as well as other complaints that may be received directly at the PMU level through CIAT complaint lodging points. For cases involving technicalities and/or a conflict of interest with a GRC member, the committee may choose to include one or more project staff or reputable and independent third parties on the Panel. This GRC handles complaints about the activities of regional partners. Where the Project Manager GRC determines a complaint to be highly significant, such cases are expected to be referred to the Independent Steering committee for advice.

8.8.3 Independent Steering Committee

Another high-level grievance resolution panel that assists in the resolution of complaints on AICCRA is the Independent Steering Committee (ISC). The ISC is the key governance body for the Project. It consists of seven members who are all independent of the project. It is responsible for oversight of AICCRA program of work, budget, and evaluations. The ISC takes all grievances seriously and investigates all cases referred to it. All grievances referred to will be recorded and discussed in the ISC meetings, bearing in mind requests for confidentiality. The ISC will require the AICCRA project management to prepare a proposed response to each grievance, which after discussion and approval, will be implemented. At subsequent ISC meetings, AICCRA management will report on the progress of implementation. Where ISC deems the grievance as highly significant, the Alliance CIAT Director General and Alliance-CIAT Board of Trustees will also be informed about their discussion and action.

8.8.4 Alliance Bioversity-CIAT's Legal Office

The Alliance Bioversity-CIAT Legal Office manages two existing grievance mechanisms that are available to all stakeholders and contractors to report any type of grievance, including but not limited to fraud and ethical issues. This office will also assist the project to receive and manage some grievance through their grievance channels.

This office shall handle cases in accordance with the following existing policies of the Alliance Bioversity-CIAT:

1. Fraud
2. Grievance
3. Whistle Blower
4. Protection of Human Subjects of Research

Full detailed policies are available in the following [link](#). These documents explain in detail how complaints will be addressed and documented.

The Legal Office will liaise with the AICCRA Project Director to determine complaints on a case-by-case basis complaints that the legal Office can proceed to handle or deferred to Project Management GRC or Country Level GRC. Where the Legal Office deems the grievance as highly significant, the Alliance CIAT Director General and Alliance-CIAT Board of Trustees will also be informed about their discussion and action.

8.9 The Grievance Resolution Process

The general steps of the grievance process comprise:

- Registration/receipt of complaints.
- Acknowledgement of complaints.
- Investigation and determination of solution to the complaints.
- Implementation of resolution action.
- Verification resolution action implementation.

- Recourse or alternative actions.

8.9.1 Registration/Receipts/Acknowledging of complaints.

Under AICCRA-AF, the project will continue to maintain the register for all grievances to aid monitoring of complaint resolution status and reporting on GM performance. Grievance logbooks provided at Annex VI and VII will be used to maintain an electronic and manual database of all grievances received. Complaints can be submitted in any language applicable to the project locations either verbally or in writing to all designated lodging points.

When confidentiality is requested: The complainant may ask for confidentiality in the handling of the request, in which case the Project shall preserve confidentiality in aspects of the complaint where confidentiality is required. However, there could be situations where it will not be possible to resolve the complaint without revealing identity (for example, when evidence needs to be presented in court). In this case, 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 make it more difficult to investigate, protect the position of the complainant, offer, and implement resolution, and give feedback. Feedback to anonymous complainants will be done through the very channel used to raise the anonymous complaint or alternative channel provided by the complainant. All complainants who raise complaints outside the grievance lodging points to project implementing staff would be directed and advised to use the lodging points to officially register their complaint to the Project. For cases brought forward by visually and hearing-impaired persons as well as illiterate persons, the E&S Focal Person 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.

Registration of complaints: The respective E&S Focal Persons shall officially register all complaints received using the proposed complaint registration form at Annex I, and further inform the GRC at the country level within 24 hours of any complaint lodged. The grievance submission should be dated and signed by the complainant or the representative, except when the complaint was made verbally through phone calls from a distant location or required to be anonymous.

At the project management level, the AICCRA E&S Specialists shall also inform the Project Management GRC within 24 hours after lodging any unresolved complaint escalated from the Country Clusters.

The project will acknowledge receipt of the complaint by letter within 3 working days of receipt. Sample acknowledgement letters are provided at Annex III. The acknowledgement letter will specify a contact person within the project and a description of what the complainant can expect next including a timeline.

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

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

- The signature of the complainant.

8.9.2 Determining and implementing the resolution action

When a grievance is recorded as per the above-mentioned registration procedures, the GRC will be called into action to investigate the case and further hold mediation meetings with interested parties to resolve the issue. Minutes of meetings will be recorded.

The GRC will first investigate the foundation of the grievance and then determine the resolution action in consultation with the complainant and concerned parties if necessary. This is expected to be completed within 7 working days after receipt/registration of the grievance. Any redress action considered after the mediation process will also be implemented within 10 working days of receipt of complaints. The Project will implement the resolution either directly or through a third party, which will be done in consultation with the complainant.

8.9.3 Verifying the implementation status of agreed resolution action

The Project will review complaints regularly to ensure progress is being made towards resolution. The Cluster GRC 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 to acknowledge satisfaction using the form provided at Annex III and IV. 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 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 Cluster GRC may decide to escalate the complaint to Project Management GRC. The Cluster GRC may decide to refuse an appeal if they feel the complaint has not been presented in good faith. The decision to refuse an appeal must be reviewed and signed off by the AICCRA E&S Focal Person.

Alternatively, if the complainant is not satisfied with the resolution offered, the complainant may choose to appeal the decision through the E&S Focal Person or seek other recourse.

8.9.4 Recourse or Alternatives

Two alternative or recourse actions are considered, amicable mediation and settlement or appeal to court.

2nd Tier Amicable Mediation and Settlement

If the complainant is not satisfied with the decision of the Cluster GRC, he/she can bring it to the attention of the E&S Focal Person. The Cluster GRC may remediate the case or forward it to the Project Management GRC for further action. For cases involving technicalities and/or conflict of interest with a GRC member, the cluster GRC may decide to appoint an individual mediator or 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 Project Management GRC, the GRC may also decide to resolve the complaint or set up an appropriate mediation team to resolve the issue in consultation with the Country Lead Person and the complainant. The Project Management GRC will be required to resolve the issue within 2 weeks of the date of receipt of such deferred cases. If such a timeline is not possible, the AICCRA E&S Safeguard Specialist will inform the complainant through the in-country Safeguard Focal Person by giving reasons and a possible 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 mediation effort of AICCRA Project Management GRC, the complainant has the option to pursue appropriate recourse via judicial process in the respective country. AICCRA will allow any aggrieved person the right of access to Court of law. Courts of law will be a “last resort” option, in view of the above mechanism.

8.10 Protocol for Handling Sexual Exploitation and Abuse/Sexual Harassment (SEA/SH) Cases

The AICCRA project at various levels will follow this establish process in handling and resolving SEA/SH cases.

A Survivor-Centered Approach

The AICCRA project is committed to pursuing a survivor-centered approach for responding to SEA/SH cases through this SEA/SH specific GM. In seeking a resolution of SEA/SH cases, the survivor’s needs, wishes, and rights will be central to the processes. This will be done with a view to empower them and facilitating their healing and recovery. To this end, the project through this GM will ensure that:

- The survivor will be treated with dignity and respect. Their needs, rights, and choices will always be taken into consideration through all processes and decisions. Assistance will not be imposed on a survivor if they are not ready to proceed with a matter. However, support will be given to survivors who choose to seek resolution or those who change their mind about whether they wish to take action or not.
- The survivor’s choice and the agency will be respected in all decisions. However, where the survivor is a minor (under 18 years of age) the project will follow the legal requirements for reporting abuse to the police or authorities in respective countries, irrespective of their consent or choice.
- The welfare principle of *the Best Interest* of the child will be upheld in all cases where minors are concerned.
- The safety and security of the survivor is of utmost consideration in all the processes. Every effort will be made to eliminate or minimize the risk of further traumatization or abuse to a survivor who reports a case.
- To address security, retaliation, and safety of survivors, the project, and the Gender Based Violence (GBV) service providers will ensure confidential handling of all data and information relating to survivors, and confidentiality in all processes leading to support for survivors and the resolution of each case. Sharing the story of the survivor with another agency or person will only be done with the informed consent of the survivor.
- Survivors will be provided with all the information needed for them to make informed decisions.
- Assumptions will not be made about the survivor’s feelings, thoughts, and experiences. All persons who will handle cases and the processes leading to resolution will be trained in how to handle complaints with cultural and social sensitivity, non-judgementalism, confidentiality and tact.

Uptake of SEA/SH cases: All grievance lodging points will be open for uptake of SEA/SH complaints. When a survivor comes forward to report a case of SEA/SH, the recipient will record the survivors' account of the incident. This is expected to be conducted in a private setting and ensures that any specific vulnerabilities are taken into consideration. To maintain confidentiality and minimize stigmatization, below is the list of elements that will be recorded on complaint forms of SEA/SH survivors. Sample SEA/SH intake form is provided at Annex II.

- Age and sex of survivor.
- Type of alleged incident (as reported).
- Whether the alleged perpetrator relates to the Project, as indicated by the survivor.
- Whether the survivor was referred to a service provider.

Where the complainant is not the survivor, the E&S Focal person will encourage the complainant to reach out to the survivor and explain the potential benefit of coming forward alone or with the person reporting the case. All SEA/SH cases will be reported to the World Bank within 24 hours through the AICCRA Senior E&S Specialist and recorded in the SEA/SH grievance logbook at Annex VII. Recording of SEA/SH cases into the SEA/SH logbook must be done confidentially and in private settings. In this regard, only the E&S Persons are allowed to record SEA/SH cases into the logbook. In addition, the SEA/SH logbook must be kept in a lock cabinet that is accessible only to the E&S Persons.

Referral of SEA/SH Survivors: All survivors that come forward to report SEA/SH shall be referred to appropriate institutions for support services. This will be done with full consent of the survivor or guardian in the case of children and persons with intellectual disability. Depending on the case reported, the support services may include one or two of the following services. The E&S Focal Person will examine the case and seek the consent of the survivor to refer the case to AICCRA In-country GRC or depending on the case, refer to any of the external GBV service providers in the following support categories.

- Health – examination or treatment, collection of forensic evidence, provision of post-exposure prophylaxis/ abortion services.
- Legal/Justice – Legal advice/support to survivors and witnesses to understand benefits/barriers of taking care through legal process; support to ensure that prosecution and case closure happens with few or no delays.
- Psychosocial Support – Emotional support/crisis counseling; Social/community reintegration.
- Safety/Security – protection of survivors and witnesses, investigation of the case, arrest of alleged perpetrator.

In this regard, the Country Clusters have identified and linked their respective GM to SEA/SH service providers in each of the focal countries.

The service providers will be:

- Required to use their respective GBV case management procedures to provide the essential services required by the survivor.
- Required to maintain confidentiality, safety, and security of survivors in accordance with best practices, in particular ensuring survivor centeredness through the processes and seeking the consent of the survivor when personal data must be shared.
- Required to inform the Safeguard Focal person when a case is resolved so it is recorded in the grievance logbook.

The GBV service providers will not be paid any basic fee for being linked to the project GM. However, some of the service providers may be financially supported by the project to provide the essential services required by survivors. For cases where the project may need to make payment, the Project will seek the advice and approval of the World Bank on the maximum expense cost that can be absorbed by the project for survivors. When necessary, the project may provide immediate financial assistance to enable the survivor access basic support services whilst approval is being sought from the World Bank.

Consistent with other international practices, this GM does not recommend mandatory reporting of SEA/SH cases to the police but if a country's legislation requires mandatory reporting, the E&S Focal Person would need to inform the survivor of this obligation.

Acknowledgment and Follow-up: After registering the case, the respective E&S Focal Persons will inform in-country GRC and the AICCRA Senior E&S Specialist within 24 hours of receipt and send an acknowledgment letter to the complaint or survivor within 3 working days of receipt. A sample acknowledgement letter is provided at Annex IV.

Fact Analysis: After receiving the case, the AICCRA GRC will analyze the facts of the allegation by determining whether (i) the allegation falls within the definition of SEA/SH; and (ii) the alleged perpetrator is an individual associated with the AICCRA project. If the GRC confirms these two elements, it shall proceed to handle the case or otherwise discontinue the case and write to inform the survivor or complainant. Only SEA/SH complaints allegedly committed by any individual associated with the AICCRA project may be considered by the Project after referring to GBV service providers.

If the survivor does not wish to pursue disciplinary action against the alleged perpetrator the case will be closed after providing referral assistance. The E&S Focal person shall record the survivor's preference and indicate that in the acknowledgement letter as well. However, irrespective of the survivor's choice, if the alleged perpetrator is a staff of AICCRA implementing partner, the AICCRA GRC will address the case according to the implementing partner's code of conduct, sanction regime, and national legislations.

Determine course of action: The GRC will review all cases referred to it to determine and agree upon a course of action for handling and resolving the case. The appropriate institution that employs the perpetrator takes the agreed disciplinary action in accordance with the employer's code of conduct and national legislation. Disciplinary actions may include informal warning; formal warning; additional training, loss of salary, suspension, or termination of employment. A survivor may continue to receive support from the appropriate GBV service providers while the case is being handled by the AICCRA GRC.

As and when necessary, a representative of the survivor or an independent reputable third party may be invited to serve on the resolution panel. To avoid conflict of interest, the composition of the GRC may also change depending on the nature and source of the allegation. The E&S Focal Person shall write to inform the survivor about the course of action and disciplinary action taken against the perpetrator.

Instances where the case is being handled by a service provider, the Service Provider will work with the survivor or guardian to develop a comprehensive plan that identifies what the survivor needs and how these needs may be met. The survivor may be referred to connecting with a range of service providers which correspond to their needs. The E&S Focal Person shall continue to track, monitor, and collaborate with service providers on all such cases until they are resolved.

Closing SEA/SH cases: Closing of SEA/SH cases will occur at these instances.

- If the survivor does not wish to place an official complaint with employer.
- If after investigation, the GRC determines that the allegation does not fall within the definition of SEA/SH and the alleged perpetrator is not associated with the Project.
- If when the case is pursued, and the GRC confirms that the disciplinary action taken is appropriate and has been implemented conclusively.
- If a Service Provider follows its internal procedure to meet the needs of the survivor on the case.

In all these instances, the E&S Focal Person may require the survivor or its representative to sign a statement to acknowledge satisfaction using the form provided at Annex V.

8.11 Procedure for Making and Handling Information Request

This section sets out the procedure for making and handling information requests from stakeholders on the AICCRA project. The basic steps are as follows:

Filling an information access request: All stakeholders willing to request information on AICCRA project can do so through information request points outlined in the document. Requests can be made written or verbally, and in any language applicable to the project locations. The E&S Focal Persons will open a file to keep records of all information requested. Stakeholders who request information directly from staff of project implementing agencies should be advised and assisted to officially make their request through the information request points.

Acknowledgement of receipt: An acknowledgement letter will be sent to the requester and the request referred to the appropriate project lead. At the in-country level, all information requests shall be referred to the AICCRA Cluster Lead of that country, whilst all information request received at the Alliance-Bioversity and CIAT or the PMU level will be directed to the AICCRA Project Director for determination. Information requests on regional operations will also be handled by AICCRA Regional Leads.

Determination of response: The Country Leads or the Project Director will review the request to determine its applicability to the project, the appropriate response needed, and the right person to be consulted whilst considering the appropriate response to the request made. Where applicable, such requests may be escalated from country level to PMU level for determination or from the Project Director level to the Independent Steering Committee for advice.

Preparation and release of information requested: After the Project Director or the Country Leads reviews the request and determines the appropriate response, the Safeguard Focal Person will prepare and transmit the approved response to the requester. The transmission will be done in a language and in a manner (verbally, written, in-person, email, phone, etc.) suitable to the context of the requester. Irrespective of the medium of transmission, a written record shall be kept of all information released. Where applicable, the response may indicate why the information requested or aspects of it cannot be provided or released.

Deadlines and extension: After receipt of information request, the E&S Focal Person will relay the information to the appropriate project lead within a maximum of 24 hours. The Country Leads or the Project Director will generally be required to decide whether to disclose information within 30 consecutive days. The 30-day period begins to run on the date the Country Leads or the Director receives the written information request. The Director or the Country Leads may in appropriate circumstances extend the 30-day deadline and shall notify the requester in writing of such extension through the Safeguard Focal Person and by stating the reasons for extension and the new deadline.

Other considerations

- Information requests will be free, and no fees will be charged for the processing of information to be provided to the requester.
- The Project Director or Country Cluster Lead may deny access to requests which in the Director's views may constitute frivolous or vexatious. In such cases, the requester shall be given a written notification of the reason for which the information requested is considered frivolous or vexatious.
- The Project Director or the country leader may ask for clarification on the identity of the third-party requesting information if it is not clear.
- If the scope of information requested is not sufficiently clear or is so broad in scope that it makes it difficult to generate, the Project Director or the Country Leads may write to the requester seeking clarification before taking further steps. The requester shall have 30 consecutive days from the date of this letter to clarify the request made. If there is no response, the request will be considered abandoned, and the case closed.

8.12 Disclosure and sensitization on the GM

This GM will be publicly re-disclosed at AICCRA project website prior to the start of the AF. Following this the AICCRA E&S Specialists together with the in-country E&S Focal Persons will proactively

introduce and create the awareness of project stakeholders about the GM. The information to be shared will include the eligibility criteria to make a complaint, the procedure to make a complain (where, when, and how), the investigation process, the time framework for responding to complaints, the principle of confidentiality, right to make anonymous complaints, and the right to seek further resolution at the World Bank and/or via judicial system. The awareness creation will also focus on protocol for reporting and managing SEA/SH cases. An electronic brochure with the above salient information will be designed to aid the dissemination effort.

Given the diversity of the project locations, the project will use varieties of medium to convey messages to project communities. This may include social media, newspapers, radio announcements, face to face meetings, and in various local languages of project communities.

Prior to the initiation of the grievance resolution process, all key project staff that will be involved in grievance management will be trained in all aspects of this GM. New staff will receive training during the on-boarding process. The training will include all aspects of the GM set out in this document. The orientation will strongly emphasis on the principle of accountability to the complainant and the shift from informal complaint resolution to formal resolution and documentation, monitoring, and reporting.

8.13 Monitoring and reporting on GM performance

The objective of monitoring of the GM is to provide stakeholders with feedback and progress on GM implementation and to identify challenges and success to inform relevant adaptations on project implementation. It is also to provide accurate recording and reporting to the World Bank on grievance performance including but not limited to the number and status of grievances received. Three activities are envisaged: regular monitoring, reporting, and periodic auditing of the GM process.

8.13.1 GM monitoring

Monitoring will focus on establishing progress on GM implementation, documenting feedback from affected persons, and providing implementation support when needed. The monitoring exercise will be led by the AICCRA Senior E&S Specialists at the PMU with support from E&S Focal Persons at the in-country research institutions.

The monitoring exercise will be guided by the following matrix.

Table 11: Monitoring matrix

| Period | Objectives | Suggested Indicators |
|---|--|---|
| Quarterly | <ul style="list-style-type: none"> Assess whether grievances are correctly screened and classified. Ensure grievances are being addressed. | <ul style="list-style-type: none"> Total number of grievances received by level and type. Total number of grievances received and accepted. Timeframe for closure of grievances; by level and type. Repeat of grievances. Number of appeals. Total number of grievances resolved within the acceptable timeframe. <p>Number of grievances resolved and un-resolved cases.</p> |
| Annual Review of grievance Resolution process | <ul style="list-style-type: none"> Assess the project compliance with the GM. | <ul style="list-style-type: none"> Compliance with the grievance mechanism. Total number of grievances received by level and type. Total number of grievances resolved. |

| Period | Objectives | Suggested Indicators |
|--------|---|--|
| | <ul style="list-style-type: none"> Evaluate progress in documenting and resolving complaints. Identify improvements and update grievance handling and resolution procedures | <ul style="list-style-type: none"> Total number of appeals received. Total number of appeals resolved. |

During field monitoring, the AICCRA E&S Specialist and E&S Focal Persons will randomly interview some complainants and community members to ascertain their level of awareness and satisfaction with the GM process.

8.13.2 GM Documentation and Reporting

All grievances at the different levels shall be documented with clear and accurate records maintained. Documentation will include complaint forms, acknowledgement forms, minutes of all committee meetings, monitoring reports, response letters and pictures.

Reporting

The respective E&S Focal Persons shall be responsible for reporting project-related grievance and complaints to the GRCs at their respective levels. A biannual grievance report will be generated and shared with the World Bank. At a minimum, the report will include the following indicators:

- i. Number of open cases at the beginning of the reporting period.
- ii. Number of new cases recorded during the period.
- iii. Number of resolved cases by the end of the reporting period.
- iv. Open cases by the end of the reporting period.
- v. Grievances by category of complaints.
- vi. Average response time from the lodging of complaint to the agreement on solutions with complainant.
- vii. Average response time from the lodging of complaint to the implementation of the agreed solution.
- viii. Number of grievances referred to formal court system.

8.14 GM Auditing

As part of efforts to improve learning and performance of the GM, the project will institutionalize annual reviews of the GM. AICCRA E&S Specialists will review and establish the appropriateness of the grievance resolution processes, complaints received, resolution actions taken and implemented, and the level of complainant satisfaction. The review is expected to draw lessons to inform proper management of the GM. This task will be carried out in parallel with other evaluation activities under the project.

8.15 Implementation schedule

Implementation schedule for key actions anticipated on the project are provided in table 12 below.

Table 12: Implementation schedule

| Key Action | Responsibility | Timeline |
|---|--|------------------------------|
| Publicize the GM among project stakeholders | AICCRA Safeguard Specialists, In-Country Safeguard Focal Persons | December 2023 – January 2024 |

| Key Action | Responsibility | Timeline |
|---|--|-----------------------------------|
| Sensitive AICCRA project Team on GM | AICCRA Safeguard Specialists | January - February 2024 |
| Monitor performance of the Grievance Resolution Mechanism | AICCRA Safeguard Specialists, In-country Safeguard Focal Persons | All year rounds |
| Audit the performance of the Grievance Resolution Mechanism | AICCRA Safeguard Specialists, In-Country Safeguard Focal Persons | At the end of project fiscal year |

9.0 MONITORING AND REPORTING

9.1 Involvement of stakeholders in monitoring activities:

AICCRA will work closely with the CGIAR centers leading the project to organize stakeholder engagements. All these partners will also be actively involved in the monitoring of engagement activities and impacts associated with the Project. Stakeholders will have the opportunity to monitor project performance and provide feedback through three project performance indicators on stakeholder feedback. They are:

IPI 1.3: Satisfaction with the quality and usefulness of climate–relevant knowledge products, decision-making tools and services received under AICCRA expressed by surveyed partners and stakeholders (Percentage).

IPI 2.6: Satisfaction with the effectiveness of the partnerships under AICCRA expressed by surveyed partners and stakeholders.

IPI 3.3: Use or adaptation of AICCRA-funded climate-relevant knowledge products, decision-making (Percentage).

Monitoring process during the project implementation will also include key informant interviews with some selected vulnerable group members to establish their feedback on the consultation process and their level of satisfaction.

9.2 Reporting back to stakeholder groups

Information on public engagement activities undertaken by the Project during the year will be conveyed to the stakeholders during biannual progress updates sessions with stakeholders. Any necessary changes made in this SEP during its implementation will be communicated to stakeholders. Biannual summaries and internal reports on public grievances, and enquiries together with the status of implementation will be collected and reported to AICCRA Program Management Unit and included in regular reporting summaries.

10.0 ANNEXE

10.1 Annex I: Sample complaint form for Non-SEA/SH

| AICCRA GRIEVANCE/COMPLAINT FORM | |
|--|--|
| Section 1: Complaint | |
| 1. What harm do you believe AICCRA caused or is likely to cause to you or your community? Please describe in as much detail as possible. | |
| 2. What location is concerned with your submission? (Please include country/county name) | |
| 3. Do you live in the project area? | |
| 4. Have you previously reported your concerns to AICCRA management? If yes, please provide the details about those communications and explain why you are not satisfied with the action in response. | |
| 5. If known, please list the operational procedures you believe have been violated by AICCRA. | |
| 6. Do you expect any form of retaliation or threats for filing this complaint to the AICCRA? | |
| Section 2: contact information | |
| 7. Are you filing an individual submission or representing a community? | |

Individual: Representing a community:

8. Would you like your name and contact details to be kept confidential? *(AICCRA will not disclose your identities to anyone without your prior consent.)* Yes No

9. Submitter's Name & contact information:

Name:

Address:

Email:

Phone:

Preferred Method of Contact:

10. I, the undersigned, request the AICCRA Independent Steering Committee to investigate the issues described above.

11. Signature/Thumbprint

Name:

Date

NOTES:

- Please attach supporting documents, if available.

Section 3: Office Use Only

Grievance ID Number

Recorded by:

Date

Place/Method grievance was received

10.2 Annex II: SEA/SH Case Intake Form

| 1- Administrative Information | | |
|---|--|----------|
| Case ID No: | Survivor Code: | |
| Date of Interview: | Date of Incident | |
| <input type="checkbox"/> Reported by the survivor or by survivor’s escort and survivor is present at reporting. | | |
| <input type="checkbox"/> Reported by someone other than the survivor and survivor is not present at reporting | | |
| 2- Survivor’s Details | | |
| Date of Birth (approximate if necessary) | Sex <input type="checkbox"/> Female <input type="checkbox"/> Male | Location |
| Current civil/marital status <input type="checkbox"/> Single <input type="checkbox"/> Divorced/Separated <input type="checkbox"/> Married/Cohabiting <input type="checkbox"/> Widowed | | |
| Is the survivor a Person with Disability? <input type="checkbox"/> No <input type="checkbox"/> Widowed <input type="checkbox"/> Mental Disability | | |
| Is the survivor a Child? <input type="checkbox"/> Yes <input type="checkbox"/> No | | |
| 3 –Details of the Incident | | |
| Account of the incident/description of the incident (Summarize the details of the incident in client’s own words) | | |
| Type of Incident | | |

Defilement: sexual intercourse with children (as defined by the country laws), whether with or without consent.

Rape: Sexual penetration against a person without their consent.

Physical Assault (includes hitting, slapping, kicking, shoving, etc. that are not sexual in nature)

Denial of Resources, Opportunities or Services

Psychological/Emotional Abuse

Non-GBV (specify)

Were project benefits, goods, money and/or services exchanged in relation to this incident?

Yes

No

Has the Survivor reported this incident anywhere else? (If yes, select the type of service provider and write the name of the provider where the client reported; select all that apply)

NO

Health/Medical Services _____

Psychosocial/Counselling Services _____

Police/Other Security Actor _____

Legal Assistance Service _____

Other (specify) _____

10.3 Annex III: Sample Complaint Acknowledgement Letter (Non-SEA/SH)

[Your contact information here]

[Date]

[Complainant's name or the name of the organization submitting the complaint if the complainant wishes to remain anonymous]

[Complainant's address or "No physical address"]

Submitted _____ [in person or by mail/e-mail/telephone]

Dear Mr./Mrs./Ms. [family name of complainant]:

Re: Complaint regarding [describe briefly]

The AICCRA Project acknowledges that we received your complaint dated _____ [date]. The Project takes stakeholders concerns seriously, and we thank you for submitting your complaint. We will make every effort to ensure that your complaint is considered quickly and fairly.

The Project has a grievance mechanism process that we follow to consider and resolve complaints. Attached is a description of the process, so you can learn more about it. In accordance with our grievance mechanism procedures, we will determine whether your complaint is eligible for our grievance resolution process and consider next steps, as relevant. We will contact you during this period should we need more information.

You can expect to hear from us within [xx] business days from the date of this letter.

Please refer to the attached grievance mechanism procedures for more information on what you can expect as we address your complaint, including timeframes, responsibilities, and your rights throughout the process.

Sincerely,

[Name of Safeguard Focal Person]

[Research Institution]

Enclosure: (The relevant procedures on submitting grievances)

10.4 Annex IV: Complaint Acknowledgement Letter for SEA/SH

[Your contact information here]

[Date]

Submitted _____ [in person or by mail/e-mail/telephone]

Re: Complaint regarding [describe briefly]

The AICCRA Project acknowledges that we received your complaint dated _____ [date]. The Project takes stakeholders' concerns seriously, and we thank you for submitting your complaint. We will make every effort to ensure that your complaint is considered quickly and fairly.

The information provided to us will be handled confidentially, it will only be revealed to immediate staff involved in the handling of your case. Care will be taken to ensure that unauthorized individuals do not overhear any discussion of your case, and access documents containing confidential information on your case.

Regarding the referrals made, you have every right to refuse or access the support or services recommended. Refusal to access them will not in any way affect your right to request or access that services at some time in the future.

The Project has a grievance mechanism process that we follow to consider and resolve complaints. Attached is a description of the process, so you can learn more about it. In accordance with our grievance mechanism procedures, we will determine whether your complaint is eligible for our grievance resolution process and consider the next steps, as relevant. We will contact you during this period should we need more information. Please refer to the attached grievance mechanism procedures for more information on what you can expect as we address your complaint, including timeframes, responsibilities, and your rights throughout the process.

You can expect to hear from us within [xx] business days from the date of this letter.

Sincerely,

[Name of Safeguard Focal Person]

[Research Institution]

10.5 Annex V: Complainant Satisfaction Form

| | |
|---|-------------------------------------|
| Grievance ID Number: | Date Received: |
| Recorded by: | Place/Method Grievance was Received |
| Proposed Action (s) | |
| | |
| The claimant has ACCEPTED/SATISFIED the proposed action? YES/NO | |
| Further Action Required? YES/NO | |
| Complainant Acknowledgement | |
| I, the undersigned, hereby confirms my satisfaction/acceptance of resolution actions implemented to address my complaint. | |
| Signature/Thumbprint | |
| Name: | Date |

10.7 Annex VII: Grievance log for SEA/SH cases

| Case N°. | Date Claim Received | Name of Person Receiving Complaint | Where/how the complaint was received | Ref number of the complainant | Type of Incident | Was Receipt of Complaint Acknowledged to the Complainant? (Y/N – if yes, include date, method of communication & by | Referral(s) provided | Did the survivor give consent to share their non-identifiable information? | Expected Decision Date | Decision Outcome (by GBV services providers and relevant services) | Was Decision communicated to complainant? Y/N If yes, state when, by whom and | Was the complainant satisfied with the decision? Y/N State the decision. | Any follow up action (and by whom, by what date)? |
|----------|---------------------|------------------------------------|--------------------------------------|-------------------------------|------------------|--|----------------------|--|------------------------|---|--|---|---|
| | | | | | | | | | | | | | |
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