

**African Union Commission
Department of Agriculture, Rural Development, Blue Economy, and
Sustainable Environment (AUC-DARBE)**

**Eastern and Southern Africa Food Systems Resilience Program
(Phase 3) (P177816)**

**Draft
ENVIRONMENTAL AND SOCIAL
COMMITMENT PLAN (ESCP)**

March 2023

ENVIRONMENTAL AND SOCIAL COMMITMENT PLAN

1. The African Union Commission – Department of Agriculture, Rural Development, Blue Economy, and Sustainable Environment (AUC-DARBE) will implement the Eastern and Southern Africa Food Systems Resilience Program (Phase 3) (P177816) Project (the Project), with the involvement of the African Union Development Agency (AUDA-NEPAD) and the Regional Economic Communities (RECs), as set out in Financing Agreement. The International Development Association (the Association), has agreed to provide financing for the Project, as set out in the referred agreement.
2. AUC-DARBE shall ensure that the Project is carried out in accordance with the Environmental and Social Standards (ESSs) and this Environmental and Social Commitment Plan (ESCP), in a manner acceptable to the Association. The ESCP is a part of the Financing Agreement. Unless otherwise defined in this ESCP, capitalized terms used in this ESCP have the meanings ascribed to them in the referred agreement(s).
3. Without limitation to the foregoing, this ESCP sets out material measures and actions that AUC-DARBE shall carry out or cause to be carried out, including, as applicable, the timeframes of the actions and measures, institutional, staffing, training, monitoring and reporting arrangements, and grievance management. The ESCP also sets out the environmental and social (E&S) instruments that shall be adopted and implemented under the Project, all of which shall be subject to prior consultation and disclosure, consistent with the ESS, and in form and substance, and in a manner acceptable to the Association. Once adopted, said E&S instruments may be revised from time to time with prior written agreement by the Association.
4. As agreed by the Association and the Recipient, this ESCP will be revised from time to time if necessary, during Project implementation, to reflect adaptive management of Project changes and unforeseen circumstances or in response to Project performance. In such circumstances, the African Union Commission – Department of Agriculture, Rural Development, Blue Economy, and Sustainable Environment (AUC-DARBE) and the Association agree to update the ESCP to reflect these changes through an exchange of letters signed between the Association and the AUC, Department of Agriculture, Rural Development, Blue Economy and Sustainable Environment. The AUC shall promptly disclose the updated ESCP.

| MATERIAL MEASURES AND ACTIONS | | TIMEFRAME | RESPONSIBLE ENTITY |
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| MONITORING AND REPORTING | | | |
| A | <p>REGULAR REPORTING</p> <p>As part of general reporting, prepare and submit to the World Bank monitoring reports, when deemed necessary, on the environmental, social, health and safety (ESHS) performance of the Project, including but not limited to the implementation of the ESCP, status of preparation and implementation of E&S instruments required under the ESCP, stakeholder engagement activities, and functioning of the grievance mechanism(s)</p> | <p>Submit biannual and annual reports to the Association throughout Project implementation, commencing after the Effective Date. Submit each report to the Association no later than 30 days after the end of each reporting period and annual reports no later than 2 months after the anniversary of the Project.</p> | AUC-DARBE |
| B | <p>INCIDENTS AND ACCIDENTS</p> <p>Promptly notify the World Bank of any incident or accident related to the Project which has, or is likely to have, a significant adverse effect on the environment, the affected communities, the public or workers, including, inter alia, cases of sexual exploitation and abuse (SEA), sexual harassment (SH), and accidents that result in death, serious or multiple injury related with project activities. Provide sufficient detail regarding the scope, severity, and possible causes of the incident or accident, indicating immediate measures taken or that are planned to be taken to address it, and any information provided by any contractor and/or supervising firm, as appropriate.</p> <p>Subsequently, at the World Bank’s request, prepare a report on the incident or accident and propose any measures to address it and prevent its recurrence.</p> | <p>Notify the World Bank no later than 48 hours after learning of the incident or accident.</p> <p>Provide subsequent report to the World Bank within a timeframe jointly agreed with the World Bank</p> | AUC-DARBE |
| C | <p>NOTIFICATIONS RELATING TO DAAB COMPLIANCE REVIEW OF CONTRACTOR COMPLIANCE WITH SEA/SH PREVENTION AND RESPONSE OBLIGATIONS</p> <p>Notify the World Bank of any referral submitted to the Dispute Avoidance and Adjudication Board (DAAB) to initiate a process of compliance review in relation to a contractor’s obligations to prevent and respond to sexual exploitation and abuse (SEA), and/or sexual harassment (SH) specified in the respective works contract with such contractor; and, in the event of any such referral, notify the World Bank of: (i) the DAAB’s decision on such referral; (ii) the contractor’s Notice of Dissatisfaction, if any, with such DAAB decision; (iii) any notification received on the commencement of an emergency arbitration proceeding or full arbitration proceeding in relation to the DAAB’s</p> | <p>No later than 7 days after the issuance or receipt, as applicable, of the relevant document (i.e., referral to the DAAB, issuance of DAAB decision, Notice of Dissatisfaction, notice of commencement of emergency/full arbitration, emergency/full arbitration order, as applicable).</p> | AUC-DARBE |

| MATERIAL MEASURES AND ACTIONS | | TIMEFRAME | RESPONSIBLE ENTITY |
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| | decision; and (iv) the resulting emergency arbitration order and/or full arbitration order, if any. | | |
| ESS 1: ASSESSMENT AND MANAGEMENT OF ENVIRONMENTAL AND SOCIAL RISKS AND IMPACTS | | | |
| 1.1 | <p>ORGANIZATIONAL STRUCTURE</p> <p>AUC shall identify, manage, and monitor environmental, social, and health and safety risks and impacts related to the project. It is anticipated that the AUC shall adopt/establish and maintain a Project Implementation Unit (PIU) with qualified staff and resources to support management of ESHS risks and impacts of the Project, including a Project Coordinator, a Monitoring and Evaluation Specialist and Environment and Social focal person.</p> | Establish/adopt and maintain a PIU throughout the Project life and assign qualified E&S staff prior to project effectiveness. | AUC-DARBE |
| 1.2 | <p>ENVIRONMENTAL AND SOCIAL INSTRUMENTS</p> <p>Adopt and implement any ESS-related rules, and requirements specified under this ESCP including requirements of a Stakeholder Engagement Plan (SEP) and Labor Management (LMP) for the part of the Project that would be implemented by AUC, consistent with ESS10 and ESS2 respectively.</p> | Implement the ESCP, Labor management and stakeholder engagement activities throughout the implementation and any ESS-related rules be adopted by AUC prior to the RFP for the first TA activities. | |
| 1.3 | <p>TECHNICAL ASSISTANCE</p> <p>Ensure that the consultancies, studies (including feasibility studies, if applicable), capacity building, training, and any other technical assistance activities under the Project are carried out in accordance with terms of reference acceptable to the Association, that are consistent with the ESSs. Thereafter ensure that the outputs of such activities comply with the terms of reference.</p> | Throughout Project implementation. | AUC-DARBE |
| ESS 2: LABOR AND WORKING CONDITIONS | | | |
| 2.1 | <p>LABOR MANAGEMENT PROCEDURES</p> | The rules and regulations shall be operational prior to engaging the Project workers and shall be maintained throughout the Project implementation. | AUC-DARBE |

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| <p>Adopt and implement the Labor Management requirements for the Project, including, inter alia, provisions on working conditions, management of workers relationships, occupational health and safety (including personal protective equipment, and emergency preparedness and response), code of conduct (including relating to SEA and SH), forced labor, child labor, grievance arrangements for Project workers, applicable requirements for contractors, subcontractors, and supervising firms and measures of protection and assistance to address the vulnerabilities of Project workers, including specific groups of workers, such as women, people with disabilities, and any other disadvantaged groups in accordance with the WB’s ESF ESS2 and AUC’s Staff Policy Manual.</p> <p>AUC shall ensure that relevant aspects of ESS2 considerations are included in any TOR, studies, technical assistance activities, etc. in accordance with action 1.2 above.</p> <p>AUC shall ensure a non-discriminatory, decent work environment consistent with ESS2 and African Union Commission (AUC) Staff Rules and Regulations; including ensuring that the Project staff and Consultants adhere to the AUC Core Values developed as part of the Staff Rules and Regulations and that such rules are included in all Project contracts.</p> <p>Project staff to be governed by rules and regulations in force at AUC as detailed in the Staff Policy Manual.</p> <p>To this end, the AUC will ensure that the following measures are carried out:</p> <ul style="list-style-type: none"> a) Provide workers with information and documentation that is clear and understandable regarding their terms and conditions of employment through written contracts setting out their rights, including, inter alia, rights related to hours of work, wages, overtime, compensation, and benefits, as well as written notice of termination of employment, and details of severance payments, as applicable; b) Implement occupational health and safety (including personal protective equipment, and emergency preparedness and response) measures taking into account the General Environmental, Health and Safety Guidelines (WBG EHSs), and other relevant Good International Industry Practice (GIIP) and, as appropriate, the industry specific WBG EHSs and other GIIP. c) Implement measures, as applicable, to, inter alia: (i) prevent the use of all forms of forced labor and child labor; (ii) enable workers to benefit from, inter alia, access to grievance and redress mechanisms without fear of retaliation; and effective freedom to form and join workers organizations or alternative mechanisms for expressing their concerns and protect their rights related to labor and working conditions. d) Develop a code of conduct for workers, which shall include measures to prevent and respond to SEA and SH cases; and | | |

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| | e) Incorporate the relevant requirements above in the ESHS specifications of the institutional frameworks, key policy documents, agricultural investment plans and contracts, etc. with third parties that engage workers in the implementation of the Activities. | | |
| 2.2 | <p>GRIEVANCE MECHANISM FOR PROJECT WORKERS</p> <p>Adopt and operate a workers’ grievance mechanism where workplace concerns shall be addressed in line with the provisions of the AUC Staff Rules and Regulations, provisions of ILO and relevant state labor laws, and in a manner consistent with ESS2 for Project workers.</p> <p>The AUC Human Resource Management employment relationship shall operate a separate grievance mechanism for Program workers consistent with AUC policies and ESS2.</p> | <p>The worker’s workers’ GRM as per existing AUC Staff Policy shall be operational prior to engaging the Project workers and shall be maintained throughout Project implementation.</p> <p>The workers’ GRM shall be reviewed annually and updated as needed.</p> | AUC-DARBE |
| ESS 3: RESOURCE EFFICIENCY AND POLLUTION PREVENTION AND MANAGEMENT | | | |
| 3.1 | <p>RESOURCE EFFICIENCY AND POLLUTION PREVENTION AND MANAGEMENT</p> <p>ensure that relevant aspects of ESS3 considerations are included in any TOR, studies, technical assistance activities, etc. in accordance with action 1.3 above. Including measures to promote the efficient use of natural resources and measures to prevent, mitigate and reduce waste and pollution. Thereafter, ensure that the outputs of such activities comply with the terms of reference.</p> | Incorporate relevant aspects of ESS3 into technical assistance activities throughout Project implementation. | AUC-DARBE |
| ESS 4: COMMUNITY HEALTH AND SAFETY | | | |
| 4.1 | <p>COMMUNITY HEALTH AND SAFETY</p> <p>Ensure that relevant aspects of ESS4 are included in any Terms of Reference and outputs for TA activities and will be prepared in accordance with action 1.33 above. Thereafter ensure that the outputs of such activities comply with the terms of reference.</p> <p>Proportionate to the potential risks of SEA/SH, the project implementer will be expected to ensure preventive measures are in place to address related risks during implementation. Specifically,</p> | Throughout Project Implementation. | AUC-DARBE |

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| | <ul style="list-style-type: none"> requirements of labor-management and behavioral standards or code of conduct will be provided in all the contract documents; tailored grievance mechanism for the project workers with a confidential venue of accountability to address issues related to SEA/SH need to be availed and operationalized during project implementation. | | |
| 4.2 | <p>SECURITY MANAGEMENT</p> <p>Ensure that relevant aspects of ESS4 are included in any Terms of Reference and outputs for TA activities and will be prepared in accordance with action 1.3 above., including in the context of providing any security personnel for enabling the undertaking of technical assistance activities. Thereafter ensure that the outputs of such activities comply with the terms of reference.</p> | Throughout Project Implementation | AUC-DARBE |
| ESS 5: LAND ACQUISITION, RESTRICTIONS ON LAND USE AND INVOLUNTARY RESETTLEMENT | | | |
| 5.1 | <p>LAND ACQUISITION</p> <p>Ensure that relevant aspects of this standard are included in any Terms of Reference, studies, technical assistance activities, etc. as relevant, in accordance with action 1.33 above. Thereafter ensure that the outputs of such activities comply with the terms of reference.</p> | Throughout Project Implementation. | AUC-DARBE |
| ESS 6: BIODIVERSITY CONSERVATION AND SUSTAINABLE MANAGEMENT OF LIVING NATURAL RESOURCES | | | |
| 6.1 | <p>BIODIVERSITY RISKS AND IMPACTS</p> <p>Ensure that relevant aspects of this standard are included in any Terms of Reference and outputs for TA activities will be prepared and reviewed in accordance with action 1.3. Thereafter ensure that the outputs of such activities comply with the terms of reference</p> | Throughout Project Implementation. | AUC-DARBE |
| ESS 7: INDIGENOUS PEOPLES/SUB-SAHARAN AFRICAN HISTORICALLY UNDERSERVED TRADITIONAL LOCAL COMMUNITIES | | | |
| 7.1 | <p>SUB-SAHARAN AFRICAN HISTORICALLY UNDERSERVED TRADITIONAL LOCAL COMMUNITIES (SSAHUTLCs)</p> <p>Ensure that relevant aspects of this standard are included in any Terms of Reference, studies, technical assistance activities, etc. as relevant, in accordance with action 1.3 above.</p> | Throughout Project Implementation. | AUC-DARBE |
| ESS 8: CULTURAL HERITAGE | | | |
| 8.1 | <p>CULTURAL HERITAGE RISKS AND IMPACTS</p> | Throughout Project Implementation | AUC-DARBE |

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| | Ensure that relevant aspects of this standard are included in any Terms of Reference and outputs for TA activities will be prepared and reviewed in accordance with action 1.3. | | |
| ESS 9: FINANCIAL INTERMEDIARIES [This standard is not relevant]. | | | |
| ESS 10: STAKEHOLDER ENGAGEMENT AND INFORMATION DISCLOSURE | | | |
| 10.1 | <p>STAKEHOLDER ENGAGEMENT PLAN PREPARATION AND IMPLEMENTATION</p> <p>AUC among other issues shall identify all relevant stakeholders and define a suitable plan for engaging, disseminating information, and managing concerns and expectations of stakeholders throughout the Project. As the TA activities focus on institutional reforms, there will be no or limited probability for having activities that require any direct interaction with wider communities. Thus, the categories of stakeholders include the various implementing and beneficiary institutions and member countries as well as other interested groups. The engagement also describes the range of information to be provided to and sought from stakeholders, main characteristics, and interests of stakeholders, as well as different levels of engagement and appropriate consultation that shall be considered.</p> <p>The implementation of stakeholder engagement actions are requirements and must be designed and carried out in a way that achieves the stated objectives in</p> <ol style="list-style-type: none"> Ensuring effective information dissemination and consultations on all aspects of the Project, including emergency preparedness and response, Implementing measures to train local officials and key players as needed to implement the project, establishing appropriate channels of communication to maintain ongoing engagement and communicating additional information, and any specific issues identified as of concern to stakeholders. Informing stakeholders about any material changes to the Project that result in additional risks and impacts of concern, specifying how those risks and impacts are being addressed and disclose an update. <p>Ensure that relevant aspects of this standard are included in any Terms of Reference and outputs for TA activities per section 1.3 will be prepared and reviewed in accordance with the requirements of ESS10d SEP.</p> | The requirements of stakeholder engagement included in this ESCP shall be implemented throughout project implementation | AUC-DARBE |
| 10.2 | <p>PROJECT GRIEVANCE MECHANISM</p> | Establish the grievance mechanism prior to the project effectiveness, and thereafter maintain and operate it throughout Project implementation. | AUC-DARBE |

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| | <p>Establish, publicize, maintain, and operate an accessible grievance mechanism, to receive and facilitate resolution of concerns and grievances in relation to the Project, promptly and effectively, in a transparent manner that is culturally appropriate and readily accessible to all Project-affected parties, at no cost and without retribution, including concerns and grievances filed anonymously, in a manner consistent with ESS10.</p> <p>The grievance mechanism shall be equipped to receive, register, and facilitate the resolution of SEA/SH complaints, including through the referral of survivors to relevant gender-based violence service providers, all in a safe, confidential, and survivor-centered manner.</p> | | |
| CAPACITY SUPPORT | | | |
| CS1 | <p>AUC shall ensure that its staff is adequately trained on an ongoing basis with regard to the application of the ESSs. The PIU under the AUC in coordination with the WB E&S team is expected to organize</p> <p>Provide initial and refresher tailored ESF trainings for the E&S focal persons and other relevant implementing stakeholders.</p> <p>Provide a refresher training on existing AUC policy and WB ESF, including on:</p> <ul style="list-style-type: none"> • stakeholder mapping and engagement • labor management requirements • specific aspects of Strategic Environmental and Social Assessment • emergency preparedness and response. • Occupational health and safety and WBG EHS Guidelines • community health and safety. • Grievance mechanism. • Prevention and management of risks related to GBV or SEA/SH • ESF and WBG EHS Guidelines • Specific requirements for SESA development | <p><i>During the first year of the project, after completion of the recruitment of Project Staff and continue as necessary</i></p> | AUC-DARBE-PIU |