

**INTEGRATED SAFEGUARDS DATA SHEET
ADDITIONAL FINANCING**

Report No.: ISDSA6017

Date ISDS Prepared/Updated: 18-Nov-2013

Date ISDS Approved/Disclosed: 06-Dec-2013

I. BASIC INFORMATION

1. Basic Project Data

Country:	Africa	Project ID:	P146036
		Parent Project ID:	P112600
Project Name:	Association for Strengthening Agricultural Research in East and Central Africa Multi Donor Trust Fund (P146036)		
Parent Project Name:	Association for Strengthening Agricultural Research in Eastern and Central Africa (ASARECA) Trust Fund (P112600)		
Task Team Leader:	Assaye Legesse		
Estimated Appraisal Date:	16-Sep-2013	Estimated Board Date:	31-Oct-2013
Managing Unit:	AFTA1	Lending Instrument:	Investment Project Financing
Sector(s):	Agricultural extension and research (60%), Tertiary education (25%), Public administration- Agriculture, fishing and forestry (15%)		
Theme(s):	Rural policies and institutions (50%), Rural services and infrastructure (50%)		
Is this project processed under OP 8.50 (Emergency Recovery) or OP 8.00 (Rapid Response to Crises and Emergencies)?			No
Financing (In USD Million)			
Total Project Cost:	30.00	Total Bank Financing:	0.00
Financing Gap:	0.00		
Financing Source			Amount
Borrower			0.00
CAADP Pillar 4 institutions			30.00
Total			30.00
Environmental Category:	B - Partial Assessment		
Is this a Repeater project?	Yes		

2. Project Development Objective(s)

A. Original Project Development Objectives – Parent

To support a program of integrated agricultural research for development (IAR4D) as described in ASARECA's Operational Plan. This will contribute to more effective use of resources devoted to agricultural research among the member countries and wider access to the results of research in the regional agricultural systems of Eastern and Central Africa.

B. Current Project Development Objectives – Parent

C. Proposed Project Development Objectives – Additional Financing (AF)

The objective of the ASARECA MDTF is to “to enhance access and utilization of agricultural research technologies and innovations in the regional agricultural systems of Eastern & Central Africa”.

3. Project Description

This is proposed additional financing to the ongoing ASARECA MDTF to support continued investments in integrated agricultural research for development (IAR4D) in the East and Central Africa (ECA) Region.

The original MDTF has four components, three of which are recipient-executed and one is Bank-executed:

Component 1: Support to Research for Development;

Component 2: Support to ASARECA's Governance Structures;

Component 3: Support to ASARECA's Management; and Administration Structures; and

Component 4: World Bank MDTF Administration and Supervision.

Major activities under the first three components include agricultural research, dissemination and adoption/adaptation of technologies; agricultural policy analysis and dissemination; strengthening of national agricultural research systems, agricultural extension systems, agricultural education systems; and institutional strengthening of the ASARECA Secretariat.

For purposes of this additional financing, the bulk of the funds will be allocated primarily to sub-grants to support the scale-up, dissemination, adoption, and adaptation of existing technologies, innovations and best practices generated under the original MDTF, which are expected to have immediate positive economic impact for the intended beneficiaries. A portion of the funds would also support continued generation of new technologies.

The funds will also support activities under a proposed new component: "Support to the establishment of ASARECA as a sub-regional knowledge and information hub". The goal of the Knowledge and Information Hub (KI-hub) is to increase the competitiveness of the agricultural sector in the East and Central Africa region through influencing the uptake and up-scaling of agricultural technologies, innovations and management practices (TIMPs); and policy and information among stakeholders. The KI-hub will be a focal point for the generation and exchange of knowledge, networking and development of new ideas. Among other things, it will mainstream new scientific concepts in technology innovation, management practices and policies in the region. It will serve to facilitate learning and increase the capabilities of ASARECA's stakeholders which include

farmers, policy makers, national agricultural extension, research and academic institutions, relevant government institutions, private sector, NGOs, the CGIAR, RECs and the media amongst others.

A portion of the funds will also finance the associated ASARECA M&E activities; ASARECA's operational costs; and World Bank costs for continued grant oversight and administration.

4. Project location and salient physical characteristics relevant to the safeguard analysis (if known)

Sub-grants approved for financing are designed as regional projects and will be implemented in all the ASARECA member countries; Burundi, Democratic Republic of Congo, Eritrea, Ethiopia, Kenya, Madagascar, Rwanda, South Sudan, Sudan, Tanzania, and Uganda. Specific sites where the sub-projects will be implemented are not known at this stage. However, it is anticipated that most of the research will be carried out in laboratories, on research stations or in identified farmer fields. Scaling up activities will be carried out with identified farmers. Therefore, the Environmental and Social Management Framework (ESMF) will be used to ensure environmental and social sustainability. Overall the proposed AF is beneficial in supporting research activities that will help boost agricultural production and productivity. It will also help in establishing an effective knowledge and information hub coupled with building on lessons learned through a robust monitoring, evaluation and learning system. The AF will also strengthen the existing mechanisms for environmental and social safeguards (ESS). Sub-projects involved with exchange of genetic materials and use of pesticides can cause adverse impacts on the environment if appropriate mitigation measures are not implemented. As such, in line with the provisions of the ESMF, such sub-projects will be required to prepare integrated pest management plans (IPMP) or environmental management plan (EMP) to guide the implementation of mitigation measures.

5. Environmental and Social Safeguards Specialists

Asferachew Abate Abebe (AFTN3)

Herbert Oule (AFTN3)

Constance Nekessa-Ouma (AFTCS)

6. Safeguard Policies	Triggered?	Explanation (Optional)
Environmental Assessment OP/ BP 4.01	Yes	The AF is a category B, since the potential environmental and social impacts are expected to be minor, noncumulative, and site-specific, and can be easily managed to an acceptable level. At preparation of the parent MDTF, ASARECA prepared an ESMF which provides guidelines for addressing identified potential negative environmental and social impacts and mitigation measures. A screening and environmental categorization process and criteria for monitoring compliance are also provided. For the proposed AF operation, the current ESMF has been updated in a consultative manner and shall be disclosed both by ASARECA and at the Infoshop after approval. Where necessary (as determined through screening) ESMPs and IPMPs shall be

		developed before implementation of the relevant sub-projects.
Natural Habitats OP/BP 4.04	No	Per the ESMF ASARECA funded projects cannot be implemented inside protected areas or other critical habitats. In addition, ASARECA resources cannot be used for activities that involve a significant conversion or degradation of critical natural habitats either directly or indirectly.
Forests OP/BP 4.36	Yes	The Forests Policy is triggered as ASARECA's eight programs include some aspects of Forestry. However ASARECA does not intend to change the management, protection, or utilization of forests. ASARECA's ESMF includes measures to ensure that relevant requirements of this policy are met, including: (i) preference for the siting of plantations on unforested sites or lands already converted; and (ii) measures to prevent the introduction of invasive species that threaten biodiversity.
Pest Management OP 4.09	Yes	The policy is triggered. The generation and adoption of improved agricultural technologies by ASARECA funded sub-projects could potentially and indirectly result in the increased use of pesticides and agrochemicals by farmers, but the scale of this indirect impact is not known. Basing on the experience gained during OP1 and as per the provisions of the ESMF, such sub-projects must include a project specific pest management plan that includes the application of integrated pest management (IPM) practices, incorporating the promotion of biological and environmental control methods over chemical pesticides where possible; and the application and promotion of pesticide management practices outlined in the guidelines of the International Code of Conduct on the Distribution and Use of Pesticides.
Physical Cultural Resources OP/ BP 4.11	No	Per the ESMF ASARECA cannot fund activities that would damage physical cultural property. ASARECA sub-project activities will not expand technology generation and dissemination activities to research areas or on-farm demonstration plots that include physical cultural resources. The ASARECA research projects are conducted either in laboratories, research stations

		or on farmland identified and offered by the farmers themselves.
Indigenous Peoples OP/BP 4.10	No	There are no Indigenous Peoples in any of the anticipated project areas.
Involuntary Resettlement OP/BP 4.12	No	No physical resettlement is anticipated due to the nature of ASARECA's anticipated research activities under the proposed AF. Furthermore, per the stipulations of ASARECA's ESMF, ASARECA resources cannot be used for any activity that would require involuntary resettlement. Any change of land use to agriculture will be the decision of the farmers themselves.
Safety of Dams OP/BP 4.37	No	ASARECA sub-projects will not fund any large dams, as defined by OP 4.37. However in the event, some projects fund simple diversion weirs and other small-scale water control structures, they cannot per the ESMF guidelines, exceed ten meters in height. Mitigation measures for any identified impacts shall be well highlighted in an EMP.
Projects on International Waterways OP/BP 7.50	No	ASARECA funded sub-projects will not invest in any large-scale irrigation works in general, and more specifically, any that would adversely affect the quality or quantity of water flow within shared international waterways. Small-scale irrigation within the context of technology demonstration or research may potentially be included in some of the sub-projects, however, this would be within the context of relatively small research facilities.
Projects in Disputed Areas OP/BP 7.60	No	Anticipated project areas are not known to include any disputed areas.

II. Key Safeguard Policy Issues and Their Management

A. Summary of Key Safeguard Issues

<p>1. Describe any safeguard issues and impacts associated with the proposed project. Identify and describe any potential large scale, significant and/or irreversible impacts:</p> <p>Anticipated Additional Financing sub-project activities will fall under category B, (partial assessment). The safeguards policies that are triggered are Environmental Assessment (OP/BP 4.01) Pest Management (OP/BP 4.09) and Forests (OP/BP 4.36). As a result, there will be no change in the current MDTF's environmental B categorization or safeguards implementation arrangements, and as such the MDTF's safeguards categorization for the additional financing is also a category B. No significant and/or irreversible impacts are anticipated.</p>
<p>2. Describe any potential indirect and/or long term impacts due to anticipated future activities in the project area:</p>

The bulk of the AF resources will be used to validate and scale up available agricultural technologies generated under the original grant financing and are rated an environmental category B. No irreversible environmental and social impacts from technologies generated under the original grant have been recorded thus far. Consequently, the anticipated AF project activities are not expected to have any significant adverse effect on the environment nor trigger major safeguards issues.

The proposed activities could however potentially induce indirect but manageable impacts associated with handling and use of agricultural chemicals. These are expected to be minor, of low intensity, and site specific. While the new AF sub-projects have not yet been identified, based on ongoing and past experience and the nature of ASARECA's research activities, these activities are not expected to have any significant negative social impacts. They will not involve any land acquisition or resettlement and implementation will take place within existing research stations, other implementing institutions or on farmland of interested farmers. The beneficiaries are predominantly small-scale farmers who dominate African agriculture in which women play a pivotal role. ASARECA's project vetting process ensures that sub-grantees approved for funding also take into consideration the critical role of gender and youth, and respond to their specific circumstances.

Overall, the net environmental and social impacts of the funded activities are expected to be positive since they will support the up-scaling of environmentally and socially sound agricultural technologies along with improvement of livelihoods.

3. Describe any project alternatives (if relevant) considered to help avoid or minimize adverse impacts.

The possible alternative considered here is that of no project support which may lead to a no research or drastically reduced research scenario. This is not a desirable situation for ASARECA and for the ECA region as a whole.

4. Describe measures taken by the borrower to address safeguard policy issues. Provide an assessment of borrower capacity to plan and implement the measures described.

ASARECA has an ESMF which was approved by the Bank in 2008 at the time of preparation of the parent MDTF and disclosed to the public through the Bank's infoShop and in-country by ASARECA. It has been updated for purposes of the Additional Financing. The ESMF incorporates the necessary requirements to ensure that the applicable safeguard policies are applied to all activities supported by the MDTF, as appropriate. All proposals for sub-projects are subject to environmental and social screening to identify potential negative impacts, covering both those directly pertaining to the research to be undertaken, as well as those associated with the application on a larger scale of the results of research. They are then subsequently categorized to ensure that the appropriate assessment level is determined. Projects that involve land acquisition or resettlement will not be allowed. Where applicable, ESMPs and IPMPs will be prepared for the new sub-projects. Since 2008 many environmental management plans have been prepared based on an EMP prepared by ASARECA. For example, the EMPs prepared for the Projects "Validation and Dissemination of Quality Fruit Trees in Ethiopia and Uganda" and "Validating and scaling out Banana juice Processing Technology in Rwanda" are worth mentioning. Similarly an IPMP was prepared as deemed necessary. For example the IPMP prepared for the project "Upscaling ticks and tick borne diseases control in ECA" is worth mentioning. In addition, ASARECA has established a rigorous competitive grant system to select activities for funding.

<p>Over the course of implementation of the original grant, ASARECA made significant improvements in its management of ESS. As per the Bank's recommendation ASARECA now has a full time environmental and social safeguards specialist on board to provide guidance, technical support and ensure rigorous follow-up of all safeguards in ASARECA's interventions. As such, ASARECA has made significant improvements in its management of environmental and social safeguards, including the streamlining of a screening and categorization process to ensure adherence to the safeguards requirements for sub-project preparation and implementation by both ASARECA and implementing partners. In addition, increased capacity building efforts for implementing institutions and partners over the past one year have led to improvement in the level of ESS compliance by project implementers. Based on the experiences gained over the last five years of grant implementation, the ESMF has been revised and updated so as to offer more effective guidance to project implementers.</p> <p>For the purposes of implementation of the proposed activities, ASARECA will conduct training workshops on safeguards for relevant implementing agencies during the launching of project activities. Training of affected small holder farmers, the direct beneficiaries, will be done during the early stages of project implementation.</p>
<p>5. Identify the key stakeholders and describe the mechanisms for consultation and disclosure on safeguard policies, with an emphasis on potentially affected people.</p>
<p>ASARECA's stakeholders include farmers, policy makers, national agricultural extension, research and academic institutions, the private sector, relevant government institutions of the 11 member countries which ASARECA serves, and COMESA, the Regional Economic Community. Stakeholders consulted during preparation of the ESMF under the parent MDTF and during its review and update include the National Agricultural Research Systems (NARs) and the environmental agencies of the ASARECA member countries. As such, the preparation of the ESMF drew on inputs from these stakeholder consultations.</p> <p>The ESMF has been updated for purposes of the AF. It will be re-disclosed in the region through ASARECA's website and the World Bank's intranet.</p>

B. Disclosure Requirements

Environmental Assessment/Audit/Management Plan/Other	
Date of receipt by the Bank	23-Sep-2008
Date of submission to InfoShop	25-Sep-2008
For category A projects, date of distributing the Executive Summary of the EA to the Executive Directors	
"In country" Disclosure	
Uganda	08-Sep-2008
<p><i>Comments:</i> The National Agricultural Research Systems (NARs) of the member countries which ASARECA serves were consulted during preparation of the ESMF in 2008. The ESMF was disclosed on the ASARECA website which is accessible to all the member countries and other key stakeholders.</p>	
Pest Management Plan	
Was the document disclosed prior to appraisal?	NA
Date of receipt by the Bank	NA
Date of submission to InfoShop	NA

"In country" Disclosure	
<i>Comments:</i>	
If the project triggers the Pest Management and/or Physical Cultural Resources policies, the respective issues are to be addressed and disclosed as part of the Environmental Assessment/Audit/or EMP.	
If in-country disclosure of any of the above documents is not expected, please explain why:	

C. Compliance Monitoring Indicators at the Corporate Level

OP/BP/GP 4.01 - Environment Assessment	
Does the project require a stand-alone EA (including EMP) report?	Yes [<input type="checkbox"/>] No [<input checked="" type="checkbox"/>] NA [<input type="checkbox"/>]
OP 4.09 - Pest Management	
Does the EA adequately address the pest management issues?	Yes [<input type="checkbox"/>] No [<input type="checkbox"/>] NA [<input checked="" type="checkbox"/>]
Is a separate PMP required?	Yes [<input type="checkbox"/>] No [<input checked="" type="checkbox"/>] NA [<input type="checkbox"/>]
If yes, has the PMP been reviewed and approved by a safeguards specialist or SM? Are PMP requirements included in project design? If yes, does the project team include a Pest Management Specialist?	Yes [<input type="checkbox"/>] No [<input type="checkbox"/>] NA [<input checked="" type="checkbox"/>]
OP/BP 4.36 - Forests	
Has the sector-wide analysis of policy and institutional issues and constraints been carried out?	Yes [<input type="checkbox"/>] No [<input checked="" type="checkbox"/>] NA [<input type="checkbox"/>]
Does the project design include satisfactory measures to overcome these constraints?	Yes [<input type="checkbox"/>] No [<input type="checkbox"/>] NA [<input checked="" type="checkbox"/>]
Does the project finance commercial harvesting, and if so, does it include provisions for certification system?	Yes [<input type="checkbox"/>] No [<input checked="" type="checkbox"/>] NA [<input type="checkbox"/>]
The World Bank Policy on Disclosure of Information	
Have relevant safeguard policies documents been sent to the World Bank's Infoshop?	Yes [<input checked="" type="checkbox"/>] No [<input type="checkbox"/>] NA [<input type="checkbox"/>]
Have relevant documents been disclosed in-country in a public place in a form and language that are understandable and accessible to project-affected groups and local NGOs?	Yes [<input checked="" type="checkbox"/>] No [<input type="checkbox"/>] NA [<input type="checkbox"/>]
All Safeguard Policies	
Have satisfactory calendar, budget and clear institutional responsibilities been prepared for the implementation of measures related to safeguard policies?	Yes [<input checked="" type="checkbox"/>] No [<input type="checkbox"/>] NA [<input type="checkbox"/>]
Have costs related to safeguard policy measures been included in the project cost?	Yes [<input checked="" type="checkbox"/>] No [<input type="checkbox"/>] NA [<input type="checkbox"/>]
Does the Monitoring and Evaluation system of the project include the monitoring of safeguard impacts and measures related to safeguard policies?	Yes [<input checked="" type="checkbox"/>] No [<input type="checkbox"/>] NA [<input type="checkbox"/>]

Have satisfactory implementation arrangements been agreed with the borrower and the same been adequately reflected in the project legal documents?	Yes [<input checked="" type="checkbox"/>] No [<input type="checkbox"/>] NA [<input type="checkbox"/>]
--	---

III. APPROVALS

Task Team Leader:	Name: Assaye Legesse	
<i>Approved By</i>		
Regional Safeguards Advisor:	Name: Alexandra C. Bezeredi (RSA)	Date: 06-Dec-2013
Sector Manager:	Name: Tijan M. Sallah (SM)	Date: 06-Dec-2013