

**INTEGRATED SAFEGUARDS DATA SHEET
APPRAISAL STAGE**

Report No.: ISDSA1091

Date ISDS Prepared/Updated: 04-Mar-2015

Date ISDS Approved/Disclosed: 22-Apr-2015

I. BASIC INFORMATION

1. Basic Project Data

Country:	Yemen, Republic of	Project ID:	P148747
Project Name:	Yemen Smallholder Agricultural Productivity Enhancement Project (SAPEP) (P148747)		
Task Team Leader(s):	Garry Charlier		
Estimated Appraisal Date:	15-Jul-2015	Estimated Board Date:	27-May-2016
Managing Unit:	GFADR	Lending Instrument:	Investment Project Financing
Sector(s):	Crops (30%), Animal production (30%), Agricultural extension and research (20%), Irrigation and drainage (20%)		
Theme(s):	Rural services and infrastructure (80%), Rural non-farm income generation (20%)		
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:	41.30	Total Bank Financing:	0.00
Financing Gap:	0.00		
Financing Source			Amount
Borrower			5.30
Global Agriculture and Food Security Program			36.00
Total			41.30
Environmental Category:	B - Partial Assessment		
Is this a Repeater project?	No		

2. Project Development Objective(s)

The project development objective is to increase the use of productivity and nutrition-enhancing crop and livestock practices by smallholders in targeted project areas.

3. Project Description

The SAPEP initial proposal and detailed design have been prepared by the Government of Yemen through the leadership of the Ministry of Agriculture and Irrigation (MAI) with active participation, contribution and strong ownership from a broad spectrum of stakeholders in Yemen. The implementation approach adopted is highly participatory with strong engagement from local communities that fits with the Ministry's transition from a top-down approach in the past, in which MAI sought to undertake implementation functions at all levels, towards a more effective approach with MAI as a facilitator that engages with NGOs, CBOs, donors, and other service providers to undertake field-level implementation of agriculture operations. The project design's focus on local participation gives flexibility to adapt to the overall decentralization agenda as it develops. Below are the project components:

Community Sub-Projects and Investments (US\$30 million): This component will finance priority sub-projects and investments to increase smallholders' productivity, income and nutrition through; (i) strengthening of the terrace agriculture system in the Highlands and improving spate irrigated agriculture in the lowlands; (ii) protecting livestock assets and increase productivity and income from livestock; (iii) increasing agriculture and livestock productivity and nutrition value; and (iv) increasing the smallholder farmers' share of the value-added for key value chains. The component will finance civil works (mostly community work), goods, consulting services, training and capacity building. Subprojects and investments will be selected and implemented through a community-based and participatory approach and in accordance with the Project Implementation Manual. The targeted communities will develop proposals for subprojects and activities with support from MAI Branch Offices in the following areas:

(a) Community land and water management: (i) rehabilitation of existing terraces (associated with existing or new water storage); (ii) construction and rehabilitation of water harvesting structures; (iii) wadi bank protection; (iv) check dikes in wadi beds, (v) vegetative measures; (vi) roof-top rainwater harvesting; (vii) small scale spate using traditional techniques; (viii) canal structures; and (ix) improved supplemental irrigation from rainwater harvesting as part of qat substitution initiative successfully experimented under previous projects;

(b) Livestock production: (i) improved veterinary services; (ii) systematic vaccination campaigns; (iii) expanding the availability of male and female community health workers, (iv) improving animal nutrition; (v) improving animal husbandry and breeding; and (vi) grants for livestock income-generating micro-projects for poor women, such as beekeeping, small ruminant fattening and backyard poultry;

(c) Community-based research and extension: (i) research, development and extension on high value rainfed crops, including for qat substitution; (ii) applied-research and community-based research on drought-tolerant and high-nutritional value food and fodder crops; (iii) testing and possibly introducing the Farmer Field Schools (FFS) approach in Yemen; (iv) multiplication and dissemination of improved landrace seeds through Rural Seed Banks (RSB); (v) enhanced access for women to inputs and extension, and promotion of nutrition awareness on nutrition-sensitive agriculture and linkage to community nutrition programs; and (vi) plant protection with focus on Integrated Pest Management (IPM); and

(d) Adding value to agriculture: (i) activities increasing the smallholder farmers' share of high value crops (coffee, honey, livestock products) through: formation of community and multi-community producer associations and groups, which will get startup equipment as well as technical and business training (under component 2.1); development of quality control processes; promoting partnership with traders and exporters; reducing the cost of animal feed through production of animal rations from local material; (ii) activities increasing the farm-gate value and nutritional content of

agricultural products through: introduction of high value crops (coffee, almonds, and possibly quinoa); and improving honey quality through improved beekeeping and processing and plantation of Ziziphus Spina Christi trees; (iii) supporting income generating initiatives proposed by existing cooperatives, associations, community based organizations (CBO) such as village level micro-enterprises with particular emphasis on youth and women's initiatives (wool and food processing, processing of vegetable oils and herbs, rural festival and agricultural fairs, input sales, etc.).

Component 2: Capacity Building and Institutional Strengthening (US\$4 million): This component will finance capacity building activities (consultant services, training and capacity building, and study tours -South-South exchanges) for community based organization, local and central government and key stakeholders involved in service provision in the project areas. These activities include:

- (a) Community organization, capacity building and participatory planning: (i) capacity building for producer groups, CBOs (cooperatives, community land and water management associations, community development committees) involved in land and water management, livestock production, value adding activities directly involved and supported in Component 1; (ii) capacity building of CBOs on community-based planning to prioritize investments, as well as subproject implementation and management; and (iii) capacity building of CBOs involved technical and policy discussions on food security. Capacity building activities will offer opportunities to expand and to broaden the dialogue about nutrition with beneficiaries and stakeholders (including public education and outreach activities to promote the improvement of nutrition, etc.). Training will also include topics related to climate change related impacts on water resources, and on integrated pest management practices.
- (b) Capacity building and institutional strengthening for Government agencies, CBOs, and key stakeholders. Support under this subcomponent will strengthen the capacity of services providers involved in implementing Component 1. This will include: (i) strengthening capacity of MAI and AREA staff at all levels, for applied research, demonstration and training, through: refresher courses, on the job training and consulting services; (ii) develop MAI governorate and district level staff capacity for community-based extension and Farmer Field Schools, through training of trainers and exchanges with other countries; (iii) strengthen capacity of MAI and General Seeds Multiplication Corporation (GSMC) in developing systems and capacity for multiplication and dissemination of improved landrace seeds; (iv) develop capacity for public, NGO, academia and private services to provide support to community-based groups through short term consultancies and training. In addition, capacity building activities under SAPEP will also aim at facilitating, operationalizing, strengthening and promoting the role of the Ministry of Agriculture and Irrigation (MAI) in key areas such as the effective coordination of various investments in the sector as part of the implementation of the National Agriculture Sector Strategy (NASS), and the establishment whenever feasible of proper linkages with the private sector especially in the areas of relevant value chains being developed or strengthened (coffee, honey, etc. as a way to reduce poverty and better ensure sustainability).

Component 3: Program Administration, Monitoring and Evaluation (US\$2 million): This component will support to the Agriculture Improvement Program (AIP) of MAI as implementing agency of SAPEP through financing of goods, consultant services, training, non-consultant services, and incremental operating costs associated with the coordination, project management, implementation, monitoring and evaluation and audits of the project. Incremental costs to be financed include office equipment, software, consultants (including M&E officer, Social Mobilizers and Environmental safeguard specialist), financial audits, baseline study, mid-term review, independent impact evaluation, and recurrent costs (office utilities, transportation, and performance-based staff allowances).

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

The Project will target poor households, and particularly women, in selected villages and communities in twenty targeted districts among the poorest across four selected governorates (five per governorate). The selected governorates are: (i) Hajjah, (ii) Sana'a, (iii) Shabwa and (iv) Abyan (with Hadramout as a possible replacement for in case of security concern). Together, they account for 19 percent of Yemen's population. The GOY selected districts where poverty is severe and where institutional structures are in place for rapid scaling up of delivery of services to the poor. Final project sites will be selected at the District-level based on clear and transparent criteria including poverty levels, population density, opportunities, vulnerability to climate impacts, and implementation capacity.

5. Environmental and Social Safeguards Specialists

Banu Setlur (GENDR)

Chaogang Wang (GSURR)

6. Safeguard Policies	Triggered?	Explanation (Optional)
Environmental Assessment OP/BP 4.01	Yes	Policy is triggered as the project will include activities such as construction and rehabilitation of water harvesting structures (cisterns), rehabilitation of terraces, and other small scale works relating to soil and water conservation (spate irrigation). Since the location of the sub-projects (activities) is not known at this stage, an Environmental and Social Management Framework (ESMF) including a checklist for sub-project selection criteria and impacts has been prepared and disclosed both in-country and at the Bank's Infoshop. No major adverse or irreversible environmental impacts are anticipated under the project. Sub-projects will be screened for potential environmental impacts, and mitigation measures for any likely negative impacts will be included during implementation. Sub-project specific Environmental and Social Management Plan (ESMP) will be prepared during implementation and before implementation of sub-projects as necessary. The ESMF sets out responsibilities for both implementation and monitoring of mitigation measures. Project will not include activities that could be of environmental category A in nature.
Natural Habitats OP/BP 4.04	No	Policy is not triggered as the project will not result in loss, conversion or degradation of natural habitats or critical natural habitats as defined by the policy
Forests OP/BP 4.36	No	Policy is not triggered as the project will not be implemented in any forested areas.
Pest Management OP 4.09	Yes	Procurement of pesticides is not envisaged under the project. However, farming is expected to both improve and to change cropping patterns to help better adapt to

		climatic changes. These activities are not expected to increase the use of agricultural chemicals, fertilizers and pesticides, as the project design stressing and on encouraging traditional and local practices in using organic fertilizers. However, some negligence and improper storage of seeds, or importing new infected crops would require some remedies and precautions. Precautions to avoid excessive and improper pesticide use are required. A mechanism would be put in place to demonstrate Integrated Pest Management procedures and to develop a farmer education program that stresses good and safe practices for storage and application of pesticides. Training on IPM practices will be included under component 2 of the Project.
Physical Cultural Resources OP/BP 4.11	No	Policy is not triggered as the project will not be implemented in areas of cultural heritage sites.
Indigenous Peoples OP/BP 4.10	No	Policy is not triggered as indigenous people as defined in the policy are not present in project areas.
Involuntary Resettlement OP/BP 4.12	No	Policy is not triggered. No involuntary resettlement is anticipated by the project. The project will not finance any activities which involve involuntary taking of land and involuntary restriction of legally designated parks and protected areas. It is expected that lands needed for any subprojects will be in small scale and owned by the government. In case of private owned land, the project will obtain the land through voluntary donation by local communities. The guidelines for safeguards screening, voluntary land donation and negative project list will be developed and included in the Operational Manual and the PAD. The client will conduct due diligence to ensure that no involuntary resettlement takes place.
Safety of Dams OP/BP 4.37	No	Policy is not triggered as the project will not include construction of dams as defined by the policy
Projects on International Waterways OP/BP 7.50	No	Policy is not triggered as the project will not undertake any activities in the catchment areas of international waterways and shared aquifers.
Projects in Disputed Areas OP/BP 7.60	No	Policy is not triggered as project activities will not be implemented in any disputed areas.

II. Key Safeguard Policy Issues and Their Management

A. Summary of Key Safeguard Issues

1. Describe any safeguard issues and impacts associated with the proposed project. Identify and describe any potential large scale, significant and/or irreversible impacts:

The Project is expected to result in positive impacts on the environment and living conditions of targeted beneficiaries. However, minor negative impacts could result from subprojects under component 1 relating to small-scale infrastructure for soil and water management, and spate

<p>irrigation. The project is thus classified as environmental category B and the safeguard policies on Environmental Assessment OP 4.01 and Pest management OP 4.09 are triggered. Accordingly, an Environmental and Social Management Framework (ESMF) has been prepared by the client that has assessed the potential negative environmental impacts and recommended mitigation measures to manage risks.</p> <p>The project is expected to generate positive social impacts through its efforts to improve the resilience of the natural resource base on which rural communities build their livelihoods, and through the implementation of a community-based, participatory approach to prioritizing development sub-projects. No involuntary resettlement is anticipated by the project. The project will not finance any activities which involve involuntary taking of land and involuntary restriction of legally designated parks and protected areas. Land for the construction of water storage tanks will be obtained through voluntary donation by local communities.</p>
<p>2. Describe any potential indirect and/or long term impacts due to anticipated future activities in the project area:</p>
<p>The project triggers OP4.01 Environmental Assessment and is classified as environmental Category B. Minor, temporary and reversible impacts on the environment are expected relating to some small-scale infrastructure for soil and water management, and spate irrigation. Potential indirect, irreversible and/or long term negative impacts are not anticipated.</p>
<p>3. Describe any project alternatives (if relevant) considered to help avoid or minimize adverse impacts.</p>
<p>n/a</p>
<p>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.</p>
<p>The Ministry of Agriculture and Irrigation (MAI) will implement the project. MAI will be responsible for project preparation, coordination, and implementation. The MAI is planning to establish an Agriculture Improvement Program (AIP), similar to the National Irrigation Program (NIP), and supported by a Project Coordination Unit (AIP/PCU) with adequate staff (technical and subject specialists from the ministry) and administrative and fiduciary capacity (financial management, procurement, environmental and social safeguards, etc.) at both central and governorate levels. The AIP/PCU will be responsible for the day-to-day coordination and implementation of the proposed SAPEP project. At governorate level the AIP/PCU will implement the project activities through the Agricultural Offices or already existing Field Units (FUs) such as the ones established under NIP.</p> <p>MAI has been the implementing agency for past and ongoing Bank-supported operations, including the Groundwater and Soil Conservation Project (GSCP), the Rainfed Agriculture and Livestock Project (RALP), and the Agro-biodiversity and Climate Adaptation Project (ACAP). Thus, MAI and its existing PCU has had experience in safeguards implementation from previous and ongoing Bank-supported operations, including the preparation of environmental impact assessments and management plans, and MAI has demonstrated capacity to manage the application of the Bank's safeguard policies.</p> <p>An Environmental and Social Management Framework (ESMF) has been developed by the Client, and will be implemented under the supervision of MAI.</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>

Consultations have been an ongoing process with key stakeholders and other beneficiaries. The project design including the environmental/social aspects were shared and consulted with key stakeholders during consultations that were held during June 2014. Participants included government officials from central and local levels, and representatives of NGOs, empowerment committees, and local communities. The ESMF includes a detailed annex on the results of stakeholder consultations.

B. Disclosure Requirements

Environmental Assessment/Audit/Management Plan/Other	
Date of receipt by the Bank	12-Jan-2015
Date of submission to InfoShop	26-Jan-2015
For category A projects, date of distributing the Executive Summary of the EA to the Executive Directors	////
"In country" Disclosure	
Yemen, Republic of	13-Jan-2015
<i>Comments:</i>	
Pest Management Plan	
Was the document disclosed prior to appraisal?	NA
Date of receipt by the Bank	////
Date of submission to InfoShop	////
"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:	
SAPEP triggers the Pest Management Policy, however aspects of OP4.09 are addressed within the scope of the ESMF, which has been disclosed in-country and at the Bank's Infoshop as indicated above.	

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 checked="" type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]
If yes, then did the Regional Environment Unit or Practice Manager (PM) review and approve the EA report?	Yes [<input checked="" type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]
Are the cost and the accountabilities for the EMP incorporated in the credit/loan?	Yes [<input checked="" type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]
OP 4.09 - Pest Management			
Does the EA adequately address the pest management issues?	Yes [<input checked="" type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input 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 PM? Are PMP requirements included in project design? If yes, does the project team include a Pest Management Specialist?	Yes [] No [] NA [×]
The World Bank Policy on Disclosure of Information	
Have relevant safeguard policies documents been sent to the World Bank's Infoshop?	Yes [×] No [] NA []
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 [×] No [] NA []
All Safeguard Policies	
Have satisfactory calendar, budget and clear institutional responsibilities been prepared for the implementation of measures related to safeguard policies?	Yes [×] No [] NA []
Have costs related to safeguard policy measures been included in the project cost?	Yes [×] No [] NA []
Does the Monitoring and Evaluation system of the project include the monitoring of safeguard impacts and measures related to safeguard policies?	Yes [×] No [] NA []
Have satisfactory implementation arrangements been agreed with the borrower and the same been adequately reflected in the project legal documents?	Yes [×] No [] NA []

III. APPROVALS

Task Team Leader(s):	Name: Garry Charlier	
<i>Approved By</i>		
Practice Manager/ Manager:	Name: Steven N. Schonberger (PMGR)	Date: 22-Apr-2015