



### Integrated Safeguards Data Sheet (Initial)

Date ISDS Prepared/Updated: 03/24/2003

#### Section I - Basic Information

##### A. Basic Project Data

Country: MALI	Project ID: P040653
Project: Community Based Rural Development Project	Task Team Leader: Abdelkrim Oka
Authorized to Appraise Date: May 30, 2003	IBRD Amount (\$m):
Bank Approval: November 11, 2003	IDA Amount (\$m): 50.00
Managing Unit: AFTR2	Sector: General agriculture; fishing and forestry sector (45%); Other social services (20%); Vocational training (20%); Agricultural marketing and trade (10%); Sanitation (5%) Theme: Land management (P); Rural services and infrastructure (P); Other rural development (S); Other environment and natural resources management (S); Decentralization (S)
Lending Instrument: Specific Investment Loan (SIL)	
Status: Lending	

##### I.A.2. Project Objectives:

The development objective of the Mali Community-Based Rural Development project (CBRD) is to reduce rural poverty and improve the living conditions of people in rural areas through community empowerment and social, economic and environmental investments.

The proposed project will be part of a long-term national Rural Development Strategy also aiming at eradicating poverty and hunger and improving living conditions in rural Mali where 80% of the population lives. This would be achieved by increasing rural (agricultural and non-agricultural) production and income in a sustainable way and ensuring a rational use of the natural resources that constitute the base for agricultural production and growth. Such challenge can only be met if there is good governance and if communities are empowered and acquire the skills to conceive, plan and manage their own development.

The CBRD will come in support of Mali's decentralization policy and program, principally by assisting rural communities and their emerging elected bodies (communes) to (a) develop technical and management capacities; (b) establish long and medium term Sustainable Community Development and Investment Plans (SCDIP) and annual Program of Work and Budget; (c) create social and economic public and private infrastructures; obtain benefits and generate incomes from these infrastructures and (d) operate and maintain the said infrastructures

in a sustainable manner. The project will be implemented in six regions of Mali (to be discussed with borrower) and priority will be given to areas with greater poverty, as well as those where similar work has been initiated through two IDA-funded projects and on which the proposed project will build upon: the NRM project completed on December 31, 2000 and the GRIP/PAIB project completing January 31, 2004. The project duration will be six years to allow enough time for the first targeted communes to design and implement two Community Development Plans of three years each.

#### I.A.3. Project Description:

The project components will be:

- (i) community empowerment and capacity building;
- (ii) capacity building for community-support institutions;
- (iii) design and implementation of Sustainable Community Development and Investment Plans; and
- (iv) project management, monitoring and evaluation.

The project will be implemented in six regions (Kayes, Koulikoro, Mopti, Tombouctou, Ségou and Sikasso) and will cover 200 (PGRN+PAIB) communes located in 20 districts (*cercles*). In addition the CBRD project will cover the 18 communes where the IDA-funded Arid Rangeland Biodiversity Conservation Project will be implemented in the regions of Mopti (Douentza district), Tombouctou (Rharous district) and Gao (N'Tillit district). Among the (2500) villages to be selected, about 1000 have been initially involved in the PGRN and the PAIB projects but have only received partial support. The remaining villages will be selected in the same communes in order to cover all the villages of these communes and carry out comprehensive communal development plans. Under the NRM Project, interventions were in the regions of Kayes, Koulikoro and Mopti while the GRIP Project intervened in the Mopti and Tombouctou regions. Two new regions are being considered: Ségou and Sikasso.

#### A. Community Empowerment and Capacity Building

Community empowerment and capacity building is required for different community groups and for different purposes.

- Communal Councils. The elected members of the Communal Council, as well as the administrative and technical staff of the communal administration will get capacity building, including the community capacity for review and screening of micro-projects for environmental and social issues. Such a capacity building effort is key to community empowerment as it will provide an indication of project potential environmental and social impacts. A rural commune regroups 5 to 20 villages and has a total population of 5,000 to 50,000. The members of the Communal Council are elected by the residents of the commune. The number of elected members in each commune varies according to the population of the commune. Each Communal Council member serves a term of five years. The responsibilities of the Communal Councils are to deliberate on issues pertaining to the economic, social and cultural development of the commune. For

example, the council will deliberate on communal budgets, environmental protection, management of communal space, local public infrastructure, public transport, etc. Before deliberation on these matters, the Communal Councils have to take advice of the villages and village chiefs concerning such things as land registration, public transport, creation of boreholes and other water sources, etc. Many of the elected members of the Communal Councils are illiterate, and don't have the management skills required. The same is also true for key administrative and technical staff such as the "Secrétaires Généraux" and the "régisseurs" of the communes. Some donors are already providing support for such capacity building but this does not amount to the full need of these communes nor does it cover all communes of the country. Support from this project will therefore complement the ongoing efforts and will focus on the following three priority areas:

1. *Communes Budgets.* Budget preparation and approval in the new communes encounter many difficulties due to the lack of properly trained staff. This in turn has deterred both central authorities and the donors from transferring investments funds to them. Removing this constraint would first help of the communes better manage and control their resources; secondly, it also ensure the transparency of the commune financial system, a prerequisite for restoring donor confidence.
  2. *Local Resources Mobilization.* In addition to budgetary discipline, the second area is the improvement of the communes capacity to better mobilize their own resources (from both traditional local taxes and duties). Although this alone would not be enough in view of the limited resources base in most rural areas of Mali, there is still room for improvement. This, however, will require better and close institutional relationships with the de-concentrated Treasury and Tax services at the district level. Much of the financial life of the communes depends on the latter who manage the communes revenues, shared upwards with state funds.
  3. *Sectors Resources Mobilization.* Both of the above capacity building efforts under this component will, with time, enable elected communes councils and managers better understand the financial situation of their communes and program multi-year local investment, improve their capacity to effectively lobby de-concentrated sector services on behalf of their communities for sectors funds for social services.
- *Village Councils.* Villages of the same commune are very isolated and distant from each other with very little communication means. While getting all villages to work together in the framework of the commune is very important, the need to have these isolated villages internally well organized is essential. Although they are not formal decentralized bodies, elected Village Councils have played an important role in helping village communities get organized and carry out several initiatives. With the implementation of the decentralization policy, they became the building blocks for the communal structures and have produced a large number of Communal Council members. However, as with Communal Councils, most of Village Council members are illiterate and have no management skills. Similar capacity building efforts are therefore needed and will be

provided under this project.

- *Professional and Socioeconomic Groups.* Investments made at the village or commune level (social public infrastructure or private productive investments) will be managed by interest groups that will need to acquire proper skills. Capacity building will be provided to these groups as a package tied to the investments.
- *Village/Commune Populations.* Illiteracy is one of the main causes of poverty. Another cause is the lack of basic knowledge about basic environmental issues such as natural resource degradation, desertification, health and sanitation. These issues will be addressed under this project.

#### B. Capacity Building for Project Support Institution/Agencies

*Agencies Providing Direct Support to Communities.* Institutions and agencies expected to provide direct support to communities for capacity building and for the design and implementation of their Community Development Plans need to upgrade or reinforce their own capacities. This is particularly true when a project calls for new skills, or for more staff with similar skills (increase in their volume of work). Some of these institutions are government services. Other agencies are the newly created *Centres de Conseils Communaux (CCC)*, or advisory units established by the MATCL at district level (*cercles*) in 49 districts and expected to provide technical support to communes and communal councils. These CCC are temporary (until the Communes develop their own skills). During preparation, coordination and cooperation with the CCCs as well as eventual support to these units will be discussed.

*Poverty Monitoring.* Under the GRIP project, support was provided to the Sustainable Human Development Observatory (*Observatoire du développement humain durable - ODHD*) and to the National Department of Statistics (*Direction Nationale de la Statistique et de l'Informatique - DNSI*) to help improve decision making in the area of poverty alleviation and to carry out the population census and a household survey. The ODHD is now operation and is being supported by UNDP. Under the CBRD project, support will extended to the DNSI to enable them to monitor the evolution of poverty in rural areas and evaluate the impact of the CBRD and other projects on poverty reduction.

*Environmental Information System.* Under the NRM project, support was provided for the establishment of an EIS aimed at (i) a better understanding of the evolution and causes of natural resources degradation in order to devise and implement appropriate policies and mitigation measures; and (ii) an evaluation of the impact of NRM investments on the replenishment of these natural resources and on the production base. As a result of the NRM project, several national agencies were networked, received capacity building, had their environmental monitoring data harmonized, their members trained, environmental and natural resources data bases set up, reference manuals on methodology for environmental information management produced and a web site created. Unfortunately, the NRM project closed before all these agencies and the network could reach the point where they could operate without project support. Under the CBRD project, these capacity building activities will be re-introduced and the network will be

made operational and autonomous by providing paid environmental information and services to its users. Assistance will be provided to the "*Secrétariat Technique Permanent du Cadre Institutionnel de la Gestion des Questions Environnementales (STP/CIGQE)*" and to the network members.

### C. Design and Implementation of Community Development Plans

After having received support in enhancing their capacities, villages and communes will be assisted in preparing and implementing Community Development and Investment Plans. These plans have been defined as three-year plans. The different steps of the process are (i) broad long-term Community Development Strategy - CDS (*Schéma d'aménagement communautaire -SAC*); (ii) three-year Community Development Plan - CDP (*Plan d'aménagement/développement communautaire – PAC*); and (iii) three-year Community Investment Plan - CIP (*Plan d'investissement communautaire – PIC*). CDPs and CIPs may be merged into one activity and document: the CDIP. Community members and representatives will play a central role and must acquire a sense of ownership and responsibility. It is expected that the CDSs, CDPs and CIPs at the village and those at the commune level will be complementary.

The design of the CDS, CDP and CIP will take into consideration all aspects and sectors, will address all issues concerning the targeted communities and will not be limited to agricultural sector matters. These plans will integrate all possible actions that could contribute to a successful and sustainable development of the community. For that purpose, all relevant public services are to be involved (health, water and sanitation, education, handicraft , agriculture and livestock, environment, etc.). The process will start with a participatory comprehensive baseline analysis and diagnostic that will identify community human, financial and natural resources assets, needs and constraints; and problems and opportunities. The investments to be considered under such plans are for:

1. public socioeconomic infrastructure (e.g., small road works, water supply, schools, health posts, markets, inter-village roads);
2. private income-generating infrastructure/activities (e.g., small scale irrigation, handicraft cottage industries, agroforestry, grain milling processors, poultry farming, etc.); and
3. natural resource management and environmental protection (e.g., erosion control, flood control, agroforestry, soil conservation, etc)

The funding and implementation of CDPs and CIPs will also call for a multi-sector approach. Some sector projects and programs are already being implemented and only coordination will be required between those projects and the CBRD project in order to make them complementary. In the cases where sector projects do not cover the CBRD project areas or do not address some of the key the issues of the sector, resources will be provided under the CBRD project in cooperation with the concerned sectors in order to complement the actions carried out by the sector projects.

### D. Project Management and Monitoring & Evaluation

This does not constitute a component per se but the overall project management activities including project coordination, financial management, procurement and project monitoring and evaluation. The two concerned bodies will be the CBRD Unit in the Rural Development and Environment Ministry (MDRE) and the AIB, under the umbrella of the Social Development Ministry (MDSSPA). Further discussions will determine which ministry will have the overall responsibility for project implementation.

Components:

- A. Community Empowerment and Capacity Building
- B. Capacity Building for Support Services/Agencies
  - B1 Agencies Providing Direct Support to Communities
  - B2. Poverty Monitoring
  - B3. Environmental Information System
- C. Community Development Plans
- D. Project Management, Monitoring and Evaluation

I.A.4. Project Location: (Geographic location, information about the key environmental and social characteristics of the area and population likely to be affected, and proximity to any protected areas, or sites or critical natural habitats, or any other culturally or socially sensitive areas.)

The project will be implemented in six regions (Kayes, Koulikoro, Mopti, Tombouctou, Segou and Sikasso) and will cover 200 (PGRN and PAIB) communes located in 20 circles. Eighteen communes located in the districts of Douentza, Rharous and N'tillit will be added as a cooperative effort between this project (CBRD) and the GEF-funded Arid Rangeland Biodiversity Conservation Project, currently under preparation. The exact location of the villages chosen and their complementary productive investments is not known at this time. Detailed information on environmental characteristics will be obtained during preparation. However, the project will exclude any protected areas.

Although there are culturally sensitive areas in Mali such as ancient burial sites and sacred groves, the proposed activities of the project will not impact on cultural property. Where there is a possibility that project activities will encroach on these areas, project activities will be diverted to ensure that these culturally and socially sensitive areas are avoided.

***B. Check Environmental Classification:*** B (Partial Assessment)

*Comments.* The project will finance (i) the design and implementation of Community Development and Investment Plans; (ii) community empowerment and capacity building ; and (iii) institutional capacity building for services and agencies providing support to the communities. The project will help alleviate rural suffering and poverty in a sustainable way. While this will be done through agricultural production growth and income generation, it is definitely done with a very strong focus on the fact that no sustainable production and growth can be achieved unless the natural resource base (Soil, water, vegetation) on which this production relies is preserved and restored wherever it is being depleted. In fact it is the actual condition of degradation of these resources that is partly responsible for poverty and one of the priorities of this project is to help communities restore these resources. As a proof of that is the fact that the precedent project was called the Natural Resource Management Project. It is therefore expected that the program will have a globally positive environmental impact. This said, mechanisms will be put in place to monitor of the environment

and its evolution in general and with/without project. An Environmental Information System and a social observatory will be supported under the project.

### ***C. Safeguard Policies Triggered***

<b>Policy</b>	<b>Applicability</b>
Environmental Assessment (OP/BP/GP 4.01)	<input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> TBD
Natural Habitats (OP/BP/GP 4.04)	<input type="radio"/> Yes <input type="radio"/> No <input checked="" type="radio"/> TBD
Forestry (OP/GP 4.36)	<input type="radio"/> Yes <input type="radio"/> No <input checked="" type="radio"/> TBD
Pest Management (OP 4.09)	<input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> TBD
Cultural Property (OPN 11.03)	<input type="radio"/> Yes <input type="radio"/> No <input checked="" type="radio"/> TBD
Indigenous Peoples (OD 4.20)	<input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> TBD
Involuntary Resettlement (OP/BP 4.12)	<input type="radio"/> Yes <input type="radio"/> No <input checked="" type="radio"/> TBD
Safety of Dams (OP/BP 4.37)	<input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> TBD
Projects in International Waterways (OP/BP/GP 7.50)	<input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> TBD
Projects in Disputed Areas (OP/BP/GP 7.60)*	<input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> TBD

*\*By supporting the proposed project, the Bank does not intend to prejudice the final determination of the parties' claims on the disputed areas*

## **Section II - Key Safeguard Issues and Their Management**

***D. Summary of Key Safeguard Issues.*** Please fill in all relevant questions. If information is not available, describe steps to be taken to obtain necessary data.

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

The net social and environmental effect of this project is expected to be positive since it will significantly reduce poverty in the target areas and is therefore likely to discourage encroachment on fragile lands. In addition, natural resource investments will improve environmental management with a consequential decrease in soil erosion and surface run-off. However, it is possible that certain environmental safeguards may be triggered from micro-projects (e.g., micro-irrigation, road rehabilitation and school and health post construction) if they are not adequately screened prior to funding agreements with communities. To ensure that any environmental impact will be mitigated, an environment management framework will be prepared, approved and disclosed before project appraisal.

OP 4.04, Natural Habitats, may be triggered if minor road construction and agricultural expansion impinges on natural habitats. This will be examined in the environmental assessment. As part of the mitigation plan, the EA will use checklists to identify cumulative environmental impacts. Questions might include whether various types of habitats are impacted and how severely ecosystems may be degraded. Mitigation measures will be presented. Any potential negative impact that might occur will be handled by the project consistent with Bank policies.

OP 4.12, Involuntary Resettlement may be triggered because land acquired for public and other project activities may cause individuals or community groups loss of assets or access to assets. To ensure that this is mitigated, a Resettlement Policy Framework (RPF) will be prepared, cleared and disclosed prior to appraisal. This RPF will provide the framework to thoroughly investigate all land acquisitions and handle all issues related to OP 4.12 and to determine the framework for compensation for loss of assets or access to assets were this to occur during project implementation.

OP 4.09, Pest Management, may be triggered for several reasons. For example, if the project allows for the creation of a water body that would increase the number of pests and therefore disease such as malaria

or bilharzia, or if the project funds pesticides for improved agricultural production. Since it is possible that this project will fund micro-projects that aim to increase agricultural productivity through the use of inputs such as fertilizers, pesticides and small-scale irrigation, a Pest Management Plan (PMP) will be prepared, approved and disclosed prior to appraisal. This plan will include (i) the establishment of linkages between this project and the Government agency responsible for pest management; (ii) the training of input suppliers and users in the use of pesticides and integrated pest management. The plan will also encourage ecologically based pest control practices designed to minimize the reliance on synthetic agricultural inputs.

II.D.1b. Describe any potential cumulative impacts due to application of more than one safeguard policy or due to multiple project component.

No cumulative impacts are foreseen.

II.D.1c Describe any potential long term impacts due to anticipated future activities in the project area.

No negative long-term impacts are foreseen.

II.D.2. In light of 1, describe the proposed treatment of alternatives (if required)

Not applicable

II.D.3. Describe arrangement for the borrower to address safeguard issues

Given the small scale and dispersed nature of the community-initiated investments under the project, it is not expected that a comprehensive environmental analysis will be needed. Instead, an environmental and social management framework, as well as a resettlement management framework and an integrated and pest management plan, will be prepared and included as an integral part of the Project Operation Manual. It would specify a clear and systematic process for the effective assessment of any potential environmental or social impacts that result from project-funded activities. It would also establish sound environmental and social review and screening, monitoring, evaluating and supervision mechanisms at the national and district levels to prevent certain types of productive or infrastructure micro-projects from producing irreversible negative environmental effects. Guidelines for Integrated Pest Management will be incorporated as part of the technical manuals for community investments micro-projects.

II.D.4. Identify the key stakeholders and describe the mechanisms for consultation and disclosure on safeguard policies, with an emphasis on potentially affected people.

On the demand side, the community (at village and commune level), is the key stakeholder and, at the same time the main executing agency for the design and implementation of their own Community Development and Investment Plans (CDIPs). The preparation of these plans will be made by the community with the assistance of community support services (publics services, NGOs and/or private organizations) selected in consultation with the community. Most investments will be small (micro-projects) and will be handled by the communities who will therefore manage implementation, including procurement of goods, services, and works. For more complex investments, detailed planning, design, and execution may be contracted out. The monitoring and evaluation of the CDIPs' output and outcome will be carried out by the community who will use the findings to correct and improve their program. Other stakeholders will be professional and socio-economic groups inside the villages and communes as well as



individuals. As beneficiaries, they will also be involved in the design and implementation of the CDIPs but more specifically in particular components that are most relevant to them.

On the supply side, the main stakeholders are the government services (at field and central levels), the NGOs and the private sector (consulting firms, enterprises, etc.) who will be providing assistance and support to the communities in different sectors. These services will be fully involved. Details about their specific roles will be worked out during preparation.

The process will be fully participatory, transparent and formally defined. It will consist of a comprehensive baseline analysis that will assess the situation before project start, the adverse effects that may occur as a result of project intervention, the mitigation measures that need to be taken and the formal and voluntary commitment of the stakeholders to implement these measures or to discard these interventions. All actions and decisions will have to be formally endorsed by all the stakeholders. The EA, RPF and PMP will be disclosed in country and to the Infoshop prior to appraisal.

**E. Safeguards Classification.** Category is determined by the highest impact in any policy. Or on basis of cumulative impacts from multiple safeguards. Whenever an individual safeguard policy is triggered the provisions of that policy apply.

- S1. – Significant, cumulative and/or irreversible impacts; or significant technical and institutional risks in management of one or more safeguard areas
- S2. – One or more safeguard policies are triggered, but effects are limited in their impact and are technically and institutionally manageable
- S3. – No safeguard issues
- SF. – Financial intermediary projects, social development funds, community driven development or similar projects which require a safeguard framework or programmatic approach to address safeguard issues.

**F. Disclosure Requirements**

<i>Environmental Assessment/Analysis/Management Plan:</i>	<u>Expected</u>	<u>Actual</u>
Date of receipt by the Bank	5/28/2003	
Date of “in-country” disclosure	6/27/2003	
Date of submission to InfoShop	6/27/2003	
Date of distributing the Exec. Summary of the EA to the ED (For category A projects)	Not Applicable	Not Applicable
<i>Resettlement Action Plan/Framework:</i>	<u>Expected</u>	<u>Actual</u>
Date of receipt by the Bank	5/28/2003	
Date of “in-country” disclosure	6/27/2003	
Date of submission to InfoShop	6/27/2003	
<i>Indigenous Peoples Development Plan/Framework:</i>	<u>Expected</u>	<u>Actual</u>
Date of receipt by the Bank	Not Applicable	Not Applicable
Date of “in-country” disclosure	Not Applicable	Not Applicable
Date of submission to InfoShop	Not Applicable	Not Applicable
<i>Pest Management Plan:</i>	<u>Expected</u>	<u>Actual</u>
Date of receipt by the Bank	5/28/2003	

Date of "in-country" disclosure	6/27/2003	
Date of submission to InfoShop	6/27/2003	
<i>Dam Safety Management Plan:</i>	<i>Expected</i>	<i>Actual</i>
Date of receipt by the Bank	Not Applicable	Not Applicable
Date of "in-country" disclosure	Not Applicable	Not Applicable
Date of submission to InfoShop	Not Applicable	Not Applicable

If in-country disclosure of any of the above documents is not expected, please explain why.

<b><u>Signed and submitted by</u></b>	<b><u>Name</u></b>	<b><u>Date</u></b>
Task Team Leader:	Abdelkrim Oka	02/06/2003
Project Safeguards Specialists 1:	TBD	
Project Safeguards Specialists 2:		
Project Safeguards Specialists 3:		

<b><u>Approved by:</u></b>	<b><u>Name</u></b>	<b><u>Date</u></b>
Regional Safeguards Coordinator:	Serigne Omar Fye	02/25/2003
Sector Manager/Director:	Joseph Baah-Dwomoh	02/06/2003

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