



**AfricaRice**



**ACCELERATING IMPACTS OF CGIAR CLIMATE RESEARCH FOR AFRICA (AICCRA)  
(P173398)**

**STAKEHOLDER ENGAGEMENT PLAN (SEP)**

*FOR*

**MALI CLUSTER ACTIVITIES**

*PREPARED BY*

**AFRICARICE**

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## ACRONYMS

ADESAH	Association pour le Développement Endogène au Sahel
AICCRA	Accelerating Impacts of CGIAR Climate Research for Africa
AJAC	Association of Young Farmers
ARCOM	Alliance des Radios Communautaires du Mali
CCAFS	Climate Change, Agriculture, and Food Security
CIAT	Center for International Tropical Agriculture
CIS	Climate Information Service
CSA	Climate smart agriculture
CVNVAF	National Convergence Network for the promotion of Women's Activities
E&S	Environmental and Social
ESF	Environmental and Social Framework
ESS	Environmental and Social Standards
FBOs	Farmer Based Organizations
FP4	CCAFS Gender and Social Inclusion Flagship Program
GBV	Gender Based Violence
GC	Grievance Committee
GM	Grievance Mechanism
ICRAF	World Agroforestry Center
IDA	International Development Assistance
IER	Institut d'Economie Rurale
IFPRI	International Food Policy Research Institute
IRI	International Research Institute for Climate and Society
IRRI	International Rice Research Institute
ISC	Independent Steering Committee
ISC	Independent Steering Committee
Mali-Meteo	National Meteorological Agency, Mali
NFCS	National Frameworks for Climate Services
ORTM	Office de Radio et Television du Mali
PAI	Project Area Influence
PMU	Project Management Unit
PWDs	People with Disability
PWDs	Persons with Disabilities
RNFRS	National Network of Rural Women in Mali
SEA/SH	Sexual Exploitation and Abuse/Sexual Harassment
SEP	Stakeholder Engagement Plan
WASCAL	West Africa Science Service Center on Climate Change and Adapted Land Use

## GLOSSARY OF KEY TERMS

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

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

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

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

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

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

**Grievance/Complaint** - an expression of dissatisfaction that stems from real or perceived issues, typically referring to a specific source of concern and/or seeking a specific solution. For the purpose of this GRM, real and perceived impacts are treated equally and given the same due process. The term grievance and complaint are used interchangeably in this document.

**Sexual exploitation:** any actual or attempted abuse of a position of vulnerability, differential power, or trust for sexual purposes, including, but not limited to, profiting monetarily, socially, or politically from the sexual exploitation of another.

**Sexual abuse** - actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions.

**Sexual harassment**- Any unwelcome sexual advances, request for sexual favors, verbal or physical conduct or gesture of a sexual nature, or any other behavior of a sexual nature that might be reasonably expected or perceived to cause offense or humiliation to another when such conduct interferes with work; is made a condition of employment; or creates an intimidating, hostile, or offensive work environment.

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

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

INTRODUCTION/Project DESCRIPTION

## Introduction

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

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

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

## The Project and its Components

The World Bank-funded project AICCRA supports the Consortium of International Agricultural Research Centers (CGIAR) Climate Change, Agriculture and Food Security (CCAFS) programs and activities that are targeted specifically to Africa and aims to help taking to scale the most strategic and impactful CCAFS-Africa programs, promoting resilience to climate change and improved food security in target countries. The Project Development Objective is to strengthen the capacity of participating CCAFS partners and stakeholders, and to enhance access to climate information services and validated climate-smart agriculture technologies in the World Bank's International Development Association (IDA)-eligible countries in Africa. AICCRA will fill a critical gap by making cutting-edge CGIAR research and innovation available to national agricultural research systems (NARS) and other key stakeholders in Africa. It will support knowledge creation and capacity building activities to enable regional and national-level stakeholders to take Climate-smart Agriculture (CSA)

innovations to scale. It will achieve that by fostering partnerships between CGIAR and local research institutes, universities, civil society organizations, farmer organizations, and private firms. AICCRA will facilitate the development of Climate Information Services (CIS) and promote the adoption of CSA solutions across sub-regions within Africa that are extremely vulnerable to climate change. The project will also support on-the-ground activities in selected countries where CGIAR science has the greatest chance of success in delivering catalytic results, which can be adopted by other countries in the region.

**The Project Development Objective** is to strengthen the technical, institutional, and human capacity needed to enhance transfer of climate-relevant information, decision-making tools, and technologies in support of scaling efforts in IDA-eligible countries in Africa. Based on this overall objective the project is structured into four components:

**Component 1. Knowledge generation and sharing:** Supporting generation and sharing of knowledge products and tools designed to address critical gaps in the design and provision of agricultural climate services, enable climate-informed investment planning, and contribute to the design of policies to promote uptake of CSA practices at the regional, sub-regional and national levels.

**Component 2. Strengthen partnership for delivery:** Strengthening the capacities of key regional and national institutions in Sub-Saharan Africa along the research-to-development continuum for anticipating climate effects and accelerating identification, prioritization, and uptake of best-bet adaptive measures.

**Component 3. Validating Climate-Smart Agriculture Innovations through Piloting:** Supporting testing and validation (including gender and social inclusion) of CSA technologies in research stations and in farmers' fields; linking of validated CSA technology packages to technology transfer systems; and improving access by farmers and other value chain actors to climate-informed agricultural advisory services to inform decision-making about choice of technology and enterprise management.

**Component 4. Project Management:** Supporting day to day implementation, coordination, supervision and overall communication and management (including, procurement, financial management, monitoring, and evaluation, carrying out of audits and reporting) of Project activities and results, all through the provision of goods, consulting services, non-consulting services, Training and Workshops, Operating Costs, and payment of Staff Salaries for the purpose.

#### Mali Cluster Activities

Mali is a rice basket in West Africa, providing a substantial amount of the region's rice supply, but is also highly vulnerable to climate variability and change. AICCRA-Mali aims to strengthen the technical, institutional, and human capacity required to accelerate the wide-scale adoption of climate-smart agriculture and climate information services packages by hundreds of thousands of men and women farmers in Mali. The project focuses on rice and associated crops and animals (legume, vegetable, tuber, fish, and tree) value chains and pursues to enhance resilience to drought and flooding in rain-fed systems and cold and water scarcity in irrigated systems. Led by AfricaRice and with CGIAR partners, and national public and private stakeholders, AICCRA-Mali addresses the current data limitation for both on-farm decision support and research investment and policy decision making via climate risk mapping and near-real-time rice crop monitoring and climate change impact assessment; improves access to demand-driven, cost-effective, and timely climate services; and strengthens capacities of the National Meteorological Agency (Mali-Meteo) in real-time services. AICCRA-Mali builds on existing work that introduced and validated CSA technologies in



Mali and will deploy well-established frameworks to prioritize gender and social inclusive packages that best fit local biophysical and socio-economic contexts.

Sustainable financing mechanisms including business models will be piloted and policy briefs developed for integrating best fit and gender-inclusive options into advisory services. Local capacity will also be strengthened in improved water and irrigation systems management, climate-resilient storage facilities, and processing technologies, while promoting gender and nature-based solutions, community-based measures, governance, and organization. The activities cover the three main components of AICCRA project and contribute specifically to:

### **Component 1: Knowledge and Services**

**Activity 1.2.1: Development of ag-data hubs and decision support systems:** Development of a monitoring and forecasting system for rice area and yield, map rooms for web-accessible climate information, location-specific weather prediction, ag-data hubs, iterative climate-related risk areas maps, and cropping calendar tools to escape drought and flooding in rainfed rice systems and water scarcity and cold in irrigated rice systems.

**Activity 1.2.2: Strengthening digital climate advisory services:** Enhancement of the capacity of agro-meteorology services and agro-climatic systems based on needs assessment.

### **Component 2: Partnerships for Delivery**

**Activity 2.2.1: Support strengthening of national meteorological real-time services:** Development of online-high resolution historical weather data analyses, Next Generations (NextGen) climate forecast system, and an interactive online information portal for high-resolution real-time information provision. Capacity building of national meteorological systems in the effective deployment of the tools.

**Activity 2.2.3: Build capacity of public and private sectors next users to support implementation of CSA technology packages:** Capacity building of rice and associated crops and animals (which are produced in rice growing environments either as intercropping or in rotation) value actors in the deployment of gender and socially inclusive bundled CSA and CIS technologies (improved management of water and irrigation systems, small scale agribusiness, climate-resilient storage facilities and processing technologies).

**Activity 2.2.4: Develop existing or strengthen new National Frameworks for Climate Services (NFCS):** Baseline assessment for climate services; National stakeholder consultation workshop on climate services; Development of national strategic plan and action plan, and launch of NFCS.

### **Component 3: Supporting the Uptake of Climate-Smart Agriculture Innovations through Piloting**

**Activity 3.2.1: Identify and prioritize climate- and gender and social inclusion-smartness of CSA packages:** Development of a gender and climate change action plan; Assessment of climate and vulnerability risks; Prioritization of location specific bundled CSA and CIS technologies; Strengthening mechanisms for promoting innovations in climate-resilient practices and nature-based solutions.

**Activity 3.2.2: Create awareness and identify scaling mechanisms for best-bet CSA options:** Dissemination of bundled CSA and CIS technologies; Identification and promotion of gender-specific sustainable financing mechanisms.

**Activity 3.2.3: Integrate climate-smart options and tailored CSI advisory systems for specific value chains:**

Policy briefs for integration of bundled CSA and CIS technologies into national advisory systems; Factsheets and publications to share experiences and lessons learned with public and private partners.

#### BRIEF SUMMARY OF PREVIOUS STAKEHOLDER ENGAGEMENT ACTIVITIES

During the project preparation CCAFS held virtual consultative dialogues with Africa wide stakeholders and other stakeholders in West Africa and Mali. These discussions focused on the broad visioning and goals of AICCRA as well as the specific activities of AICCRA in Mali. Stakeholders engaged on Mali Cluster included important international partners such as International Food Policy Research Institute (IFPRI), International Rice Research Institute (IRRI), World Agroforestry Centre (ICRAF), WorldFish as well as the national partners (Institut d’Economie Rurale, Mali-Meteo, and Office du Niger), private sector players (Syngenta Foundation for Sustainable Agriculture) in the delivery of climate services and advisories.

Additionally, as part of the efforts to foster good grounds for the implementation of activities in Mali Cluster, AfricaRice and other partners have organized the following consultations summarized in the table below.

Table 1: Summary of Previous Stakeholder Engagements

Implementing Partner	Stakeholder Name	Method of Consultation	Date of Consultation	Purpose of Consultation
AfricaRice	National Agricultural Research System - Institut d’Economie Rurale (IER)	Online meeting	July 2020 – November 2021	<ul style="list-style-type: none"> <li>Collaboration opportunities</li> <li>Planning of 2021 and 2022 activities and budget</li> <li>Identification of project intervention sites</li> <li>Prioritization of CSA and CIS technologies</li> <li>Calibration of rice area and yield estimation tool</li> <li>Discussion of project institutional framework</li> </ul>
AfricaRice	Office du Niger	Online meeting	June 2020 – November 2021	<ul style="list-style-type: none"> <li>Collaboration opportunities</li> <li>Planning of 2021 and 2022 activities and budget</li> <li>Prioritization of CSA and CIS technologies</li> <li>Financing actors mapping</li> </ul>
AfricaRice	National Meteorological Agency (Mali-Meteo)	Online meeting	August 2020 – November 2021	<ul style="list-style-type: none"> <li>Collaboration opportunities</li> <li>Planning of 2021 and 2022 activities and budget</li> <li>Prioritization of CSA and CIS technologies</li> <li>Alignment of IRI and Mali-Meteo activities</li> </ul>

Implementing Partner	Stakeholder Name	Method of Consultation	Date of Consultation	Purpose of Consultation
				Organization of training by IRI
AfricaRice	Syngenta Foundation for Sustainable Agriculture	Online meeting	June 2020 – November 2021	<p>Collaboration opportunities</p> <p>Planning of 2021 and 2022 activities and budget</p> <p>Prioritization of CSA and CIS technologies</p> <p>Sustainable finance instrument</p>
AfricaRice	International Food Policy Research Institute (IFPRI)	Online meeting	June 2020 – November 2021	<p>Collaboration opportunities</p> <p>Planning of 2021 and 2022 activities and budget</p> <p>Prioritization of CSA and CIS technologies</p> <p>Gender and Social Inclusion activities</p>
AfricaRice	WorldFish	Online meeting	June 2020 – November 2021	<p>Collaboration opportunities</p> <p>Planning of 2021 and 2022 activities and budget</p> <p>Prioritization of CSA and CIS technologies</p> <p>Integrated rice-fish system testing, and scaling</p>
AfricaRice	CIAT-Bioversity	Online meeting	June 2020 – November 2021	<p>Collaboration opportunities</p> <p>Planning of 2021 and 2022 activities and budget</p> <p>Prioritization of CSA and CIS technologies</p> <p>Sustainable financing mechanisms</p>
AfricaRice	University of Columbia, CCAFS Gender and Social Inclusion Flagship Program (FP4)	Online meeting	June 2020 – November 2021	<p>Collaboration opportunities</p> <p>Planning of 2021 and 2022 activities and budget</p> <p>Organization of training to Mali-Meteo</p>
AfricaRice	World Agroforestry Centre	Online meeting	June 2020 – November 2021	<p>Collaboration opportunities</p> <p>Planning of 2021 and 2022 activities and budget</p> <p>Prioritization of CSA and CIS technologies</p> <p>ICRAF inception workshop</p>

Implementing Partner	Stakeholder Name	Method of Consultation	Date of Consultation	Purpose of Consultation
AfricaRice	Green Innovation Center funded by GIZ	Online meeting	04.02.2021	Collaboration opportunities between AICCRA Mali and GIC interventions
AfricaRice	Ministry of Agriculture of Mali	Online meeting	14 June 2021	Alignment of project interventions with the priorities of the Ministry of Agriculture
AfricaRice	Seed companies Faso Kaba	Online meeting	June- August 2021	Identification of high market value and climate-smart rice varieties
AfricaRice	The University of Energy and Natural Resources of Ghana	Online meeting	July – October 2021	Collaboration opportunities for mapping suitable inland valleys for rice-based systems
AfricaRice	West Africa Science Service Center on Climate Change and Adapted Land Use (WASCAL) Agriculture and Climate Change Program	Online meeting	07, July 2021	Collaboration opportunities for co-supervising Ph.D. students

## STAKEHOLDER IDENTIFICATION AND ANALYSIS

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

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

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

### Affected Parties

Affected Parties refers to persons, groups, and other entities within the Project Area of Influence (PAI) that are directly influenced (actually or potentially) by the project and/or have been identified as most susceptible to change associated with the project. Affected parties need to be closely engaged to identify impacts and assess their significance, as well as participate in decision-making on mitigation and management measures. Activities under Mali Cluster will involve pilot of CSA and CIS technologies with some selected farmers. These on-farm activities are not expected to have any adverse impacts on the environment, people, and any groups because the proposed CSA and CIS innovations to be piloted with farmers have no known negative impacts. Besides, project activities are designed in such a way that there will not be any risk of excluding vulnerable or disadvantaged groups from accessing and benefiting from the CSA and CIS innovations. Rather, the project

will pay attention to the interest of the vulnerable groups, and aims to strengthen their capacity of adaptation to environmental risks including climate variability and change. Some specific activities are therefore planned to identify the specific constraints of the vulnerable groups and support them in stepping up.

All partners and collaborators as well as clients and end users will be positively affected in some way. Partners and collaborators will have opportunities to enhance their knowledge and skills, making them more effective in their respective roles. Institutional capacities will be strengthened. Private firms will have greater opportunities to benefit either from sales of equipment and inputs or from more and higher quality produce reaching the market, or providing services to farmers. End users (farmers) will potentially have higher and more stable production and incomes, while consumers will have a more reliable food supply of better quality. Governments will benefit from more rapid and predictable agricultural growth, fewer people facing hunger and destitution because of crop failures, and lower levels of migration and conflict over resource use.

The stakeholders that are expected to directly benefit from the AICCRA Mali project include:

3. International Food Policy Research Institute (IFPRI);
4. International Rice Research Institute (IRRI);
5. World Agroforestry Centre (ICRAF);
6. WorldFish;
7. National Meteorological Agency (Mali-Meteo);
8. National Agricultural Research System (Institut d’Economie Rurale)/ Regional Center for Excellence in Rice;
9. Niger Office;
10. Syngenta Foundation for Sustainable Agriculture;
11. Coordination of women association and NGOs;
12. Center for Mechanized Agriculture;
13. National Coordination for Farmers Organization in Mali;
14. Farmers’ Hub;
15. Seed companies (Faso Kaba);
16. Green Innovation Center;
17. Youth association;
18. Ministry of Agriculture;
19. Ministry for the promotion of women, children and family;
1. Microfinance institutions.

### **1. Other Interested Parties**

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

This category will include the following individuals and groups:

2. Academic institutions: University of Bamako, University of IPR/IFRA Katiboukou;
3. Policy makers;

4. Government Ministries, Department and Agencies;
5. Investors in the agricultural sector;
6. (Solidarites Internationales (SOLIDARITE INTERNATIONAL);
7. Association pour le Développement Endogène au Sahel (ADESAH);
8. National network of rural women in Mali (RNFRS);
9. National Convergence Network for the Promotion of Women's Activities (CVNVAF);
10. Association of Young Farmers (AJAC);
11. Centers for Mechanized Agriculture of Sikasso, Segou, Niono, San, Mopti, Baguineda, Selingue;
12. Media, civil society and other NGOs interested in agricultural productivity, food security and climate adaptations;
13. Farmer groups interested in climate adaptations;
14. Professionals involved in international development or climate change adaptation initiatives.

### **1. Disadvantaged/Vulnerable Individuals or Groups**

Disadvantaged or vulnerable individuals or groups refers to those who may experience disproportional adverse impacts or exclusion, who often do not have voice to express their concerns or understand and benefit from this project at the same level as others, thus exacerbating social and economic inequality.

Given the digital divide between rural and urban areas in Mali, using digital platforms to disseminate climate information services will likely disadvantage women farmers, and illiterate smallholder farmers that are unable to use digital technology including mobile phones. Existing gender inequalities in access to and control over resources could also exclude women, youth, and persons with disability (PWDs) from being consulted and accessing information on CSA. Gender norms, traditional power structure, and division of labor in traditional households could also prevent women farmers and youth from meaningfully participating in stakeholder consultations at the community level. Women and youth are less able than men to participate in decisions that affect their lives and livelihoods because women and youth are brought up to respect and submit to the leadership of men.

In Mali, women traditionally have indirect access to land in most areas. They may, for their farming activities, have access to the use of small areas of land through a third party, usually a man (husband or relative). They can produce on a plot but rarely have the power to control the land resource. Yet women play a central role among actors in the rural world. Strategic Framework for Growth and Poverty Reduction (CSCR 2007), they constitute about 78% of the rural agricultural workforce and contribute to about 70% of Mali's food production (INSTAT, 2015). Women face a precarious status under customary law and are the first to be affected by land tenure insecurity. In addition, they often occupy marginal and unprofitable land that they cannot develop sufficiently due to lack of means. These traditional practices can also exclude women from participating in the project in many areas.

Therefore, the disadvantaged/vulnerable groups on Mali AICCRA cluster will include:

15. Women farmers especially Women-headed households or single mothers with underage children;
16. Illiterate Smallholder farmers;
17. Youth in farming;

18. Farmers with physical disabilities;
19. Seriously ill or elderly people, especially when they live alone;
20. Households with very few resources;
21. Pastoralists women with few resources.

To address these specific constraints faced by disadvantaged and vulnerable groups, the AICCRA project structure include Gender and Social Inclusion Thematic areas that focuses on collaborating with all implementing partners to develop gender-responsive CSA, and CIS and promoting women entry and advancement in agriculture. AICCRA Mali project aims to provide gender responsive rural climate services by using communication channels and working with local community-based organizations that respond to the needs of women farmers, smallholder farmers, PWDs and youth.

AICCRA Mali will work closely with some groups and associations such as the Groups of women farmers, associations of young farmers and the others, to strength consultations and dissemination of information on CSA and CIS to disadvantaged groups identified. Description of the specific methods of engagement with disability groups is provided in section 4.4.

AICCRA Mali will collaborate with an organization focused on advancement of vulnerable groups, to convert information on CSA, and CIS into both written local languages, and video documentaries. The video documentaries in particularly will be used to highlight CSA and CIS innovations in local languages during knowledge sharing and learning events. Mali also has activities that focuses on working with local community radio stations to disseminate climate-smart information on selected value chains and other project related information. AICCRA Mali will work or support partners to work with several local radio stations to offer free weather information at peak times of the day in various local languages to all citizens including the disadvantage groups identified. During these sessions, phone-in segment will be opened for farmers to share their feedback on the regular weather updates, climate smart management practices offered in local languages.

Organization of meetings will also be sensitive to local culture. Meetings will not be organized in market and funeral days as most women will not be available to attend meetings in these days. Separate consultation sessions will be held with women, youth, and person with disabilities as a way of creating an assured atmosphere to embolden frank conversations with these vulnerable groups. Relevant pictures and illustrations on climate change and other project activities will be used to facilitate understanding of the illiterate farmers.

Farmer field school approach<sup>1</sup> was also embedded in the design of AICCRA Mali project activities. Farmer field school approach is the established practice in Mali for transmitting farming skills and knowledge to rural farmers that are mostly illiterate. In this regard, AfricaRice is collaborating with a range of farmer-based organizations that works directly with rural farmers including women, youth, and farmers with disability to set up farmer demonstration fields. These fields are expected to provide avenues for disadvantage groups identified to access project benefits and information in their local language, and through engagement practices and locations suitable to their context. Detailed methods of engagement with vulnerable groups are provided in section 4.2.

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<sup>1</sup> A participatory learning method where a group of farmers meets regularly in a local field setting to learn under a trained facilitator.

Potential vulnerable groups that may be affected by the project activities are not known at this stage. They will be confirmed through screening and consulted through dedicated means as appropriate.

#### Summary of Stakeholder Needs at the Cluster Level

The assessment of stakeholder needs was based on the institutional design and stakeholder chain for the implementation of the AICCRA project Mali. By this, we distinguished the needs of: 1) direct partners, i.e. CGIAR research institutions that will receive funds directly from the project implementing agency (CIAT); 2) indirect partners, i.e. those institutions that will receive funds through sub-contracts from AfricaRice 3) collaborating partners, i.e. those institutions receiving technical support, training opportunities, and workshop invitations but not directly funded by AICCRA; 4) clients, i.e. those institutions that will be responsible for making AICCRA solutions and technologies available to 5) end users, i.e. farmers and vulnerable groups. The table below provides the summary of engagement needs for the following categories of operational stakeholders.

Table 2: Stakeholder Needs

Stakeholder group	Key characteristics	Financing	Language needs	Preferred notification means	Specific Needs
Direct implement Partners including AfricaRice, Alliance Bioversity-CIAT, IFPRI, WorldFish, IRRI, ICRAF, CCAFS FP4 University of Columbia, Syngenta Foundation for Sustainable Agriculture	CGIAR research institutions that will receive funds directly from the project implementing agency (CIAT)	Yes	English	Emails, Meetings, phone calls	Financial support to enable engagement with stakeholders
Indirect partners including Mali-Meteo, IER, Office du Niger.	Institutions that will receive funds through sub-contracts from ILRI	Yes	English, French	Email, workshops	Financial support to enable consultations with stakeholders
Clients/interested parties Policy Makers, technical, Administrative and local services, Farmer Based organization, Commercial farmers, agricultural investors, financial institutions, Women, and vulnerable groups focused organizations, Radio Stations, Agricultural commodity traders including women traders.	Institutions that will be responsible for making AICCRA solutions and technologies available to.	No	English, French, local language	Emails, Workshops, reports	Sensitization on AICCRA project and its output products including CSA innovations
Collaborators (privates' entities)	Country level partners AICCRA Mali will collaborate with to implement project activities	Some	English, French	Email, workshops	
Farmers (M&F)	Small scale rural farmers farming to	No	Local	Intermediators (extension officers or	Cater for transport



Stakeholder group	Key characteristics	Financing	Language needs	Preferred notification means	Specific Needs
	feed the family and selling the surplus farm products, including men and women farmers.		language	Farmers organization (representation), radios, digital com Phone Calls In-person visitation	expenses to attend meetings, when necessary, Organize meeting in local language Adjusting meeting schedule to local cultural events.
Vulnerable groups	Smallholder women, youth, and PWDs farmers	Yes	Local language	Phone calls Community radio announcement In-person visitation	Using female facilitators, Cater for transport expenses to attend meetings, when necessary, Organize meeting in local languages Adjusting meeting schedule to local cultural events.

**STAKEHOLDER Engagement PROGRAM**

**Proposed Strategy for Information Disclosure and Consultations**

The stakeholder engagement process during the project preparation phase was mainly done through virtual meetings and a few in-person consultations with government and other in-country collaborators. AICCRA Mali will use this same strategy for many of the consultations with implementing partners and collaborators. CGIAR centers (CIAT, AfricaRice, IRRI, WorldFish, IPFRI), national partners (including Mali-Meteo, IER, Office du Niger), and other advanced institutes partners (CCAFS FP4 University of Columbia and Syngenta Foundation for Sustainable Agriculture) use a wide variety of media to share results. These include but are not limited to refereed journal articles, books, technical reports, technical and policy briefs, websites, dashboards, mobile applications, electronic newsletters, workshops, training manuals, and SMS vocal messages. The Core-Team of AICCRA has a dedicated website through which all communication materials will be posted. The Coordinator of AICCRA-Mali and the M&E specialist will make sure any relevant material is posted to the website. Essentially, the table provides an overview of the strategy for disclosing key project documents and deliverables.

Going forward, it will be important to ensure that the different consultation and information disclosure activities are inclusive and culturally sensitive, thereby ensuring that the disadvantaged and marginalized

groups identified at section 3.3 will have the chance to participate and benefit from the project. AICCRA Mali will have different strategies for reaching out to disadvantaged/vulnerable groups, which will include use of local language, tailored focus groups discussions, use of community radios, and in-person visitations. Subsection 4.2 provides further details on these strategies.

Table 3: Methods of Stakeholder Engagements and Consultations

Engagement Technique	Ways technique will be used
Correspondence (Phone, Emails)	<ol style="list-style-type: none"> <li>1. Invite stakeholders to meetings and follow up</li> <li>2. Distribute information to implementing partners, government officials, academic, and national research institutions</li> </ol>
One-on-One meetings	<ol style="list-style-type: none"> <li>1. Seeking views and opinions</li> <li>2. Enable stakeholders to discuss confidential and tailored conversation on project outputs especially with government and other national institutions</li> <li>3. Record meeting discussions</li> </ol>
Virtual meetings	<ol style="list-style-type: none"> <li>1. Explore for public meetings in light of COVID-19 related restrictions on public meetings.</li> <li>2. Present project information to larger group of stakeholders</li> <li>3. Build relationships with stakeholders</li> <li>4. Allow stakeholders to share their views and provide feedback</li> <li>5. Record discussions, comments, and questions.</li> </ol>
Periodic reports, blogs, newsletters, flyers, technical briefs	<ol style="list-style-type: none"> <li>1. Present project information and progress updates including results</li> <li>2. Keep stakeholders informed of climate smart agriculture innovations, models, and technologies</li> </ol>
Project website	<ol style="list-style-type: none"> <li>1. Present project information and progress updates</li> <li>2. Disclose SEP, grievance redress mechanism and other relevant project documentation</li> <li>3. Seeking feedback, information request and complaints</li> </ol>
National Newspaper	<ol style="list-style-type: none"> <li>4. "Journal du Mali", "Les Echos", "Le Républicain", "L'Essor" and "Nouvel horizon" will be used to disclose key project outputs and documents including SEP, Grievance Mechanism (GM) and Environmental and Social Management Plan (ESMP).</li> </ol>
Focus Group Discussion	<ol style="list-style-type: none"> <li>5. Follow this approach to create safe space and hold group focused engagements with women farmers, youth and PWDs.</li> </ol>
Community Radio	<ol style="list-style-type: none"> <li>6. Use to host local language discussions on CSA innovations and elicit feedback and questions in local languages</li> </ol>

Engagement Technique	Ways technique will be used
7.	Use to disclose key project documents and provide daily updates on climatic weather conditions to farmers.
8.	Key radio stations considered include “Office de Radio et Television du Mali (ORTM)”, and “Alliance des Radios Communautaires du Mali (ARCOM)”

### Proposed Strategy to incorporate Views of Vulnerable Groups

The principle of inclusiveness will guide stakeholder engagements in Mali Cluster, particularly with respect to vulnerable groups identified at subsection 3.3. AfricaRice and other implementing partners of AICCRA Mali have considered the following measures to ensure equal representation of vulnerable groups in the consultation and decision-making process associated with the project.

1. **Consultations in local language:** Most smallholder farmers in localities targeted for CSA and CIS pilot demonstrations do not speak French or English, therefore, the project will hold all meetings with vulnerable groups identified by using the local languages spoken in their communities. When necessary, an experienced facilitator with a deep knowledge of the local language and context will be engaged to facilitate the consultation process. The project team will explain printed disclosure material in local language for people who are not literate or have problem in reading and understanding French.
2. **Maintain sensitivity to local culture during consultations:** Meetings will not be organized in market and funeral days as most women will not be available to attend meetings in these days. Separate consultation sessions will be held with women, youth, and person with disabilities as a way of creating assured atmosphere to embolden frank conversations with these vulnerable groups. In addition, the team will make sure that the vulnerable groups are informed about the consultations at least one week prior to the scheduled date.
3. **Identify and connect with local agencies working with vulnerable groups:** AICCRA Mali has identified some groups and associations as the Group of women farmers (Solidarites Internationales (SOLIDARITE INTERNATIONAL), Association pour le Développement Endogène au Sahel (ADESAH), National network of rural women in Mali (RNFRS), the National Convergence Network for the promotion of women's activities (CVNVAF), Association of young farmers (AJAC) and the others, the cluster will work with to reach-out and organize consultations with women farmers, youth, persons with disabilities, and widow farmers. AICCRA will work with an agency to convert information on CSA into both written local languages and video documentaries.
4. **Diversify means of communication and rely more on community radio:** Community Radio Stations in local languages are highly used by farmers in Mali and are highly effective in conveying relevant information to vulnerable groups and allowing them to provide their feedback and suggestions. AICCRA Mali will collaborate with ARCOM to work with local radio stations to offer free weather information at peak times of the day in various local languages to all citizens including the disadvantage groups identified. During these sessions, phone in segment will be opened for farmers to share their feedback on the regular weather updates, and climate smart farming practices offered in local language.
5. **Women focused groups:** AICCRA Mali will facilitate formation of focus groups for women during consultation and information disclosure (Facilitated by a woman). This will particularly ensure that women farmers have the opportunities and safe space to participate in and benefit from the project.

When necessary, the project team will hire a woman as the facilitator and will keep record of issues discussed and ensure that genuine concerns are addressed.

6. **Focus group discussions with youth and PWDs:** AICCRA Mali will give priority to tailored consultations with youth groups, and PWD to ensure that their concerns are factored into the design and selection of farms to benefit from CSA demonstrations.
7. **In-person meeting invitation visits to peasant farmers including women, youth and PWDs:** Given the peculiar challenges of reaching out to this group through formal letters and sometimes through phone calls. AICCRA Mali will consider using a community facilitator to send in-person invitations to these groups.
8. **Knowledge sharing and learning events:** Such events will be organized to highlight CSA innovations in local languages. During such events relevant pictures and illustrations on climate change and other project activities will be used to facilitate understanding of the illiterate farmers.

AICCRA Mali Safeguard Focal Person will closely monitor the consultation process to ensure vulnerable groups access and awareness of the equal access to the consultation process and to guarantee that their voice is taken into account in order to find and implement solutions to some specific situations or issues.

#### Proposed Strategy for Information Disclosure

All CSA knowledge products and innovations produced by the Mali Cluster will be in the public domain. The table below provides the information disclosure plan of AICCRA Mali.

Table 4: Information Disclosure Plan

Project stage	List of information to be disclosed	Methods proposed	Timetable: Locations/ dates	Target stakeholders	Percentage reached	Responsibilities
<b>Project Preparation</b>	Project SEP including Grievance Mechanism (and SEA/SH complaints handling)	AICCRA Emails, virtual meetings, face to face meetings & AfricaRice website.  Face to face community meetings, focus group discussions and radio announcements	November / December 2021	Implementing Partners, collaborators, clients	Emails, virtual and face to face meetings will reach 100% of implementing partners, collaborators, and key clients  Website will reach other indirect stakeholders - NGOs, CSOs and research institutions  Face to face community	Implementing partners - AfricaRice

				Farmers at the rural areas include women, youth, and persons with disability	meetings, focus group discussions and radio announcements are expected to reach 100 of farmers	
<b>Project Implementation</b>	Biannual and Annual reports	Soft copies of reports through emails  Face to face community meetings, focus group discussions	Once every 6 months	Implementing partners  Farmers including vulnerable groups	100% reach through emails to collaborators and indirect partners  Face to face community meetings, focus group discussions will reach 100% of farmers	AfricaRice, country partners.
	Policy briefs, Discussion papers, journal articles	Virtual meetings, one-on-one meetings, soft copies published through website, emails, and newsletter	Throughout implementation	Collaborators, clients, and other NGOs	100% through one-one meeting and emails to collaborators and clients.	Implementing partners - AfricaRice, ILRI
	CSA innovations and information services	Soft copies of reports through emails, information dissemination events	Throughout implementation	Implementing Partners, collaborators, clients	100% reach through emails and face to face meetings with collaborators	Implementing partners - AfricaRice, ILRI

<b>Project Closure</b>		Face to face community meetings, focus group discussions		Farmers including vulnerable groups	and indirect partners  Face to face community meetings,  Learning and sharing events, focus group discussions will reach 100% of farmers	
	Project achievements, lessons learnt, recommendations.	Websites, emails, virtual or in-person meetings  Face to face community meetings, focus group discussions	July/August 2023	Collaborators, clients, and other NGOs  Farmers including vulnerable groups	100% through meetings and emails to collaborators and clients.  Face to face community meetings, focus group discussions will reach 100% of farmers	Implementing partners - AfricaRice, ILRI

#### Proposed Strategy for Consultations

The design of AICCRA Mali cluster activities involves considerable number of planned consultations to facilitate implementations. The table below provides a summary of all planned consultations with stakeholders. During face-to-face consultations, precautionary approach will be taken to mitigate risk of COVID-19. Detail protocol consistent with national requirements is provided at annex I. Other stakeholder consultations with incomplete details are also provided at annex VII.

Table 5: Stakeholder Consultation Plan

Implementing Partner	Stakeholder Name	Method of Consultation	Date of Consultation	Purpose of Consultation
AfricaRice	National Agricultural Research System - Institut d'Economie Rurale (IER)	Online meeting	December 2021 – December 2023 Regular (as required)	Prioritization of best-bet CSA packages, integration of tailored CIS and digital agro-advisories into national digital extension systems, dissemination of best-bet CSA packages to tackle the challenges of rice production in the West African region
AfricaRice	Office du Niger	Online meeting	December 2021 – December 2023 Regular (as required)	Awareness creation and scaling of best bet CSA and CIS packages in the Office du Niger
AfricaRice	National Meteorological Agency (Mali-Meteo)	Online meeting	December 2021 – December 2023 Regular (as required)	Deployment of climate information services, real-time weather monitoring, NextGen weather forecasting, online high-resolution historical data analyses
AfricaRice	Syngenta Foundation for Sustainable Agriculture	Online meeting	December 2021 – December 2023 Regular (as required)	Business models piloting for a sustainable scaling of best-bet CSA and CSI packages
AfricaRice	International Food Policy Research Institute (IFPRI)	Online meeting	December 2021 – December 2023 Regular (as required)	Assessment of gender and social inclusion smartness of the CSA and CIS packages. Policy options to support the scaling of inclusive CSA and CIS packages
AfricaRice	WorldFish	Online meeting	December 2021 – December 2023 Regular (as required)	Capacity building of awareness-raising enabling factors and policy options for the scaling of the rice-fish systems
AfricaRice	CIAT-Bioversity	Online meeting	December 2021 – December 2023 Regular (as required)	Strengthening national partners capacity in CSA prioritization, investment planning, and sustainable finance
AfricaRice	CCAFS FP4 University of Columbia	Online meeting	December 2021 – December 2023	Strengthening Mali-Meteo capacity in the generation of location-specific climate data time series, Next Generation

Implementing Partner	Stakeholder Name	Method of Consultation	Date of Consultation	Purpose of Consultation
			Regular (as required)	(NextGen) Climate Forecast System, and interactive online climate information
AfricaRice	World Agroforestry Centre	Online meeting	December 2021 – December 2023 Regular (as required)	Capacity building, validation, policy options for scaling agroforestry systems
AfricaRice	Green Innovation Center funded by GIZ	Online meeting	February, May, August, November 2022 Regular (as required)	Updates and feedback on project achievements. Alignment of activities with GIC activities
AfricaRice	Ministry of Agriculture of Mali	Online meeting	February, May, August, November 2022 Regular (as required)	Updates and feedback on project achievements. Alignment of activities with national priorities
AfricaRice	Seed companies Faso Kaba	Online meeting	January – December 2022 Regular (as required)	Validation and scaling of climate smart rice varieties
AfricaRice	The University of Energy and Natural Resources of Ghana	Online meeting	January – December 2022 Regular (as required)	Development of lowland suitability mapping tool for rice-based systems in Mali
AfricaRice	WASCAL Agriculture and Climate Change Program	Online meeting	January 2022 – December 2023 Regular (as required)	Co-supervision of Ph.D. students

## Timelines

Stakeholder engagements for the Mali cluster has been a continuous process from the project design and preparatory stage until present. As per table 4 and 5, AfricaRice and other implementing partners will continue to engage all relevant stakeholders throughout the project implementation process until the project closure.

## Review of Comments



AfricaRice and other implementing partners recognizes feedback of stakeholders as important inputs needed for the successful implementation of the overall project. During engagements, all written and oral comments from stakeholders will be gathered, reviewed, and used to improve content of documents, design of key project manuals and climate smart models. A summary of how comments are considered will be shared with stakeholder when reporting back with final products.

#### Future Phase of Project

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

Project stakeholders and individuals who may be affected by sites identified and screened for pilot of CSA technologies will be informed about the outcome of the screening, key risks identified and mitigation measures considered to respond to risks identified.

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

#### Resources and Responsibilities

##### Resources

Costs related to implementation to this plan include expenses for in-person meetings, transport, logistics, as well as staff cost related to communication and grievance management. The budget for the SEP is included in the project implementation budget. AICCRA through implementing partners will allocate funds for stakeholder engagement activities.

The table below gives the approximate budget for the SEP activities.

Table 6: Estimated Budget

Stakeholder Engagement Plan – Estimated Budget	
Activities	Total Cost (USD)
Sensitization	3000
Design of flyers	1000
Translation of communication materials into local languages for farmers	8400
Disclosure of SEP	500

GM's channels mainstreaming cost, including cost of printing materials	2000
Contingency (10%)	1490
<b>Total</b>	<b>16390</b>

### Management Functions and Responsibilities

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

Table 7: Responsibility Table

Institution /Lead Person	RESPONSIBILITY
Implementation Steering Committee	1. Oversight responsibility for entire project implementation
AICCRA Project Management Unit	2. Provide technical support for the preparation implementation of this SEP and resolution of grievances
AfricaRice	3. Overall coordination of Mali Cluster activities and implementation of this SEP.
	4. Ensure effective implementation of GM
	5. Document the performance of SEP implementation
Implementing partners (AfricaRice, ILRI, Mali meteo, etc.)	6. Initiate and coordinate stakeholder engagement activities
	7. Assign staff to keep written records on stakeholder engagement activities and on grievances.
	8. Ensure the involvement of other implementing partners in the monitoring of SEP activities.

### Name and Contact Details of Person Responsible

For any comment, question of feedback on the stakeholder engagement process, the following persons can be contacted. (1) Elliott Dossou-Yovo; Email: e.dossou-yovo@cgiar.org (2) Blaise Tchetan, E-mail: b.tchetan@cgiar.org

### GRIEVANCE MECHANISM

AfricaRice will establish and maintain a functional grievance mechanism (GM) to guide the receipt, and mediation of complaints and questions from project affected persons and stakeholders including cases linked to Sexual Exploitation and Abuse/ Sexual Harassment (SEA/SH).

## Objectives

The GM is intended to:

9. Provide avenues for stakeholders to seek information and ask questions on AICCRA project;
10. Provide project affected people with avenues for lodging concerns, complaints and resolving a dispute arising from project activities;
11. Ensure that appropriate and mutually acceptable redress actions are identified and implemented to the satisfaction of complainants;
12. Provide avenue for vulnerable groups and victims of SEA/SH to have equal access to grievance redress process and support;
13. Avoid project-community conflicts and improve community support for the project activities.

Although project affected parties have the right to seek redress at court, the project recognizes that court cases are known to be cumbersome and time consuming. Therefore, the project, through this guide intend to propose an alternative simple but functional first point procedure for aggrieved project affected persons to amicably seek redress to their complaints. Nonetheless, aggrieved persons would remain free to access the court system without any hindrance or retribution from the project as provided by the laws of Mali.

## Principles of the GM

The operationalization of this GM shall be guided by the following principles;

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

## Types of Information Request and Grievances Anticipated

Drawing from past related projects, the grievances anticipated on this project could fall into the following categories.

1. Request for information on how to;
  1. access project grant;
  2. access climate smart information and innovations;
  3. collaborate with implementing agencies, and;
  4. participate in project activities and meetings.
2. Community health and safety related risks and impacts;
3. Selection of farmers for participation in project activities;
4. Exclusion of vulnerable groups;

5. Siting of project demonstration farms;
6. Sexual Exploitation and Abuse/ Sexual Harassment (SEA/SH).

#### Internal Management of the GM

The overall management of the GM will reside with the AfricaRice Safeguard Focal Person and Country Cluster Lead with support of the AICCRA Environmental and Social (E&S) Safeguard Specialists. The Safeguard Focal Person will specifically be responsible for:

7. The disclosure of the GM to project stakeholders;
8. Sensitization of implementing partners and staff on the GM;
9. Keeping records of all complaints received, updating, and closing complaints;
10. Pre-empting and facilitating activities of Grievance Committees (GC);
11. Checking if all grievances have been addressed and follow up actions have been taken;
12. Escalating cases to AICCRA PMU;
13. Referring survivors of SEA/SH cases to Gender Based Violence (GBV) service providers;
14. Monitoring and producing biannual performance report on the GM.

#### Points for Lodging Grievances and Information Request

Complaints and information request can be made via multiple communication channels. The following compliant lodging points would be provided at the overall project level, in country, and when applicable at the project host community level.

#### ***AICCRA Project Level***

1. Via a web submission form (Annex II) accessible via the AICCRA website, when it is fully developed;
2. Via email to the AICCRA project (aiccra@cgiar.org), or AICCRA Safeguard Specialist (Serigne Omar SENE, S.Sene@cgiar.org)
3. Via the following phone number (Serigne Omar SENE, AICCRA Safeguard Specialist +221774410498).

#### ***Country Level***

1. **Phone calls to** (Elliott Dossou-Yovo, +225 0586913715);
2. **Emails to** AICCRA Country Leader (Elliott Dossou-Yovo : e.dossou-yovo@cgiar.org );
3. **Letters and Walk-in to** AfricaRice office to register complaint at AfricaRice@cgiar.org

#### ***Community Level***

For project activities that will occur at the community level, two community members/farmers (one man and one woman) involved in the project activities will be designated as a focal person for receiving complaints. When designated, the contact details of such persons shall be disclosed and made available to community members. The community focal person will be trained on how to receive and promptly lodge complaints with the Safeguard Focal Person. Community members will also be allowed to lodge complaints directly during project meetings and consultation sessions with community members.

#### Grievance Redress Structures

Complaints received on AICCRA Mali cluster activities will be managed through the existing project implementation structures. In so doing, three tier bottom up grievance redress levels will be followed. This will involve in-country grievance committee, Project Management grievance committee, and Independent Steering Committee.

Figure 1 Grievance Redress Structure



#### AICCRA Mali Grievance Committee

The AICCRA Mali Grievance Committee will comprise of a four-member committee made up of AICCRA Mali Country Lead, Safeguard Focal Person, Gender and Social Inclusion Expert, a representative from project implementing partners. In some cases, the committee may also choose to include one or more project staff or reputable and independent third parties on the committee deliberations. The country level grievance committee (GC) is expected to handle all grievance on AICCRA Mali activities.

The GC through the Safeguard Focal Person will notify the AICCRA E&S Safeguard Specialists on all cases relating to major incidents and accidents within 48 hours, and SEA/SH cases within 24 hours. Such cases would require the active involvement of AICCRA Safeguard Specialist in the resolution process and reporting to the World Bank. In addition, the country level GC will escalate project related grievances that remain unresolved at the Country level within the stipulated period to the Project Management GC for redress.

#### ***Project Management Grievance Committee***

The Project Management GC will be hosted by AICCRA PMU and will comprise of the Project Director, AICCRA E&S Safeguard Specialists, Regional Project Leads and Project Gender and Social Inclusion Specialist. This committee shall mediate all unresolved complaints from the country level as well as complaints from activities of regional partners and other complaints that may be received directly at the PMU level through CIAT complaint lodging points. In some cases, the committee may choose to include one or more project staff or reputable and independent third parties on the Panel. Where the Project Management GC determines a complaint to be highly significant, such cases shall be referred to the Independent Steering committee for advice.

#### ***Independent Steering Committee***

Another high-level grievance redress panel that will assist in the resolution of complaints on AICCRA would be the Independent Steering Committee (ISC). The ISC is the key governance body for the project. It consists of seven members who are all independent of the project. It is responsible for oversight of AICCRA program of work, budget, and evaluations. The ISC takes all grievances seriously and will investigate all cases referred to it. All grievances referred will be recorded and discussed in ISC meetings, bearing in mind requests for

confidentiality. The ISC will require the AICCRA project management to prepare a proposed response to each grievance, which after discussion and approval, will be implemented. At subsequent ISC meetings, AICCRA management will report on the progress of implementation. Where ISC deems the grievance as highly significant, the Alliance CIAT Director General and Alliance-CIAT Board of Trustees will also be informed for their discussion and action.

#### The Grievance Redress Process

The general steps of the grievance process comprise:

4. Registration/receipt of complaints;
5. Acknowledging the complaints;
6. Investigate and determine solution to the complaint;
7. Implement the Redress Action;
8. Verifying the Redress Action;
9. Recourse or alternatives.

#### ***Registration/Receipts/Acknowledging of complaints***

AICCRA Mali will establish a register of all grievances received through the lodging points at section 6.5 to aid monitoring of complaint resolution status and reporting on GM performance. A grievance lodging template provided at Annex VII will be used to maintain an electronic and manual database of all grievances received. Complaints can be submitted in any language applicable to the project locations either verbally or in writing to all designated lodging points.

The complainant may ask for confidentiality in the handling of the request, in which case the project shall preserve confidentiality on aspects of the complaint where confidentiality is required. However, there could be situations where it will not be possible to resolve the complaint without revealing identity (for example, when evidence needs to be presented in court). In this case, the Project will discuss with the complainant whether and how best to proceed.

Complaints can also be raised anonymously and in such cases, complainants may be required to provide sufficient facts and data to enable the GC to investigate the matter without assistance. The GC will make every effort to evaluate anonymous complaints; however, anonymity may make it more difficult to investigate, protect the position of the complainant, offer, and implement resolution, and give feedback. All complainants who raise complaints outside the grievance lodging points to project implementing staff would be directed and advised to use the lodging points to officially register their complaint to the project.

The Safeguard Focal Persons shall officially register all complaints received using the proposed complaint registration form at Annex II, and further inform the GC at the country level within 24 hours of any complaint lodged. The grievance submission should be dated and signed by the complainant or the representative, except when the complaint was done verbally through phone calls from a distant location or required to be anonymous. At the project management level, the AICCRA Safeguard Specialist shall also inform the Project Management GC within 24 hours after lodging any unresolved complaint escalated from the Mali cluster.

The project will acknowledge receipt of the complaint by letter within 3 working days of receipt. Sample acknowledgement letter is provided at Annex IV. The acknowledgement letter will specify a contact person within the project and a description of what complainant can expect next including timeline. All SEA/SH cases shall be received with the guideline provided at section 6.9.

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

10. Detail explanation of the complaint or information requested relating to AICCRA;
11. Location related to the submission;
12. Whether the complainant lives in the project area;
13. Whether a similar submission has been previously filed to AICCRA;
14. If known, the operational procedures that have been violated by AICCRA;
15. Whether the submission concerns an individual submission or on behalf of a community;
16. Whether the submission is requested to be kept confidential;
17. Contact details of the complainant;
18. A signature of the complainant.

#### ***Determining and implementing the redress action***

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

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

#### ***Verifying the redress action***

The Project will review complaints regularly to ensure progress is being made towards resolution. The AICCRA Mali GC will get in touch with the complainant or visit the affected site to confirm that the redress action is carried out. If the complainant is satisfied with the resolution implemented, the Safeguard Focal Person will close the case and require the complainant to sign a statement to acknowledge satisfaction using the form provided at Annex VI. However, signing the statement does not preclude the complainant from raising the issue again, or seeking other avenues for redress should the resolution not result in a permanent fix or the issue recurs. The Project may re-open the complaint if the complainant provides new information, and may also contact the complainant after closure to ensure no other problems have arisen.

Verification would be completed within 7 days of execution of the redress action. If the complainant is dissatisfied with the outcome of the redress proposal or action, additional steps may be taken to resolve the issues or the AICCRA Mali GC may decide to escalate the complaint to Project Management GC. The committee may decide to refuse an appeal if they feel the complaint has not been presented in good faith. The decision to refuse an appeal must be reviewed and signed off by the AICCRA E&S Specialist.

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

#### ***Recourse or Alternatives***

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

##### ***2<sup>nd</sup> Tier Amicable Mediation and Settlement***

If the complainant is not satisfied with the decision of the AICCRA-Mali GC, he/she can bring it to the attention of the Safeguard Focal Person. The AICCRA Mali GC may remediate on the case or forward it to the Project Management GC for further action. In certain circumstances, the AICCRA Mali GC may decide to appoint an individual mediator or Independent Appeals Panel that is neutral and independent of the Project. The selection of the mediator or individuals comprising the Independent Appeals Panel will be conducted in consultation with the complainant and other key stakeholders to ensure trustworthiness of the process.

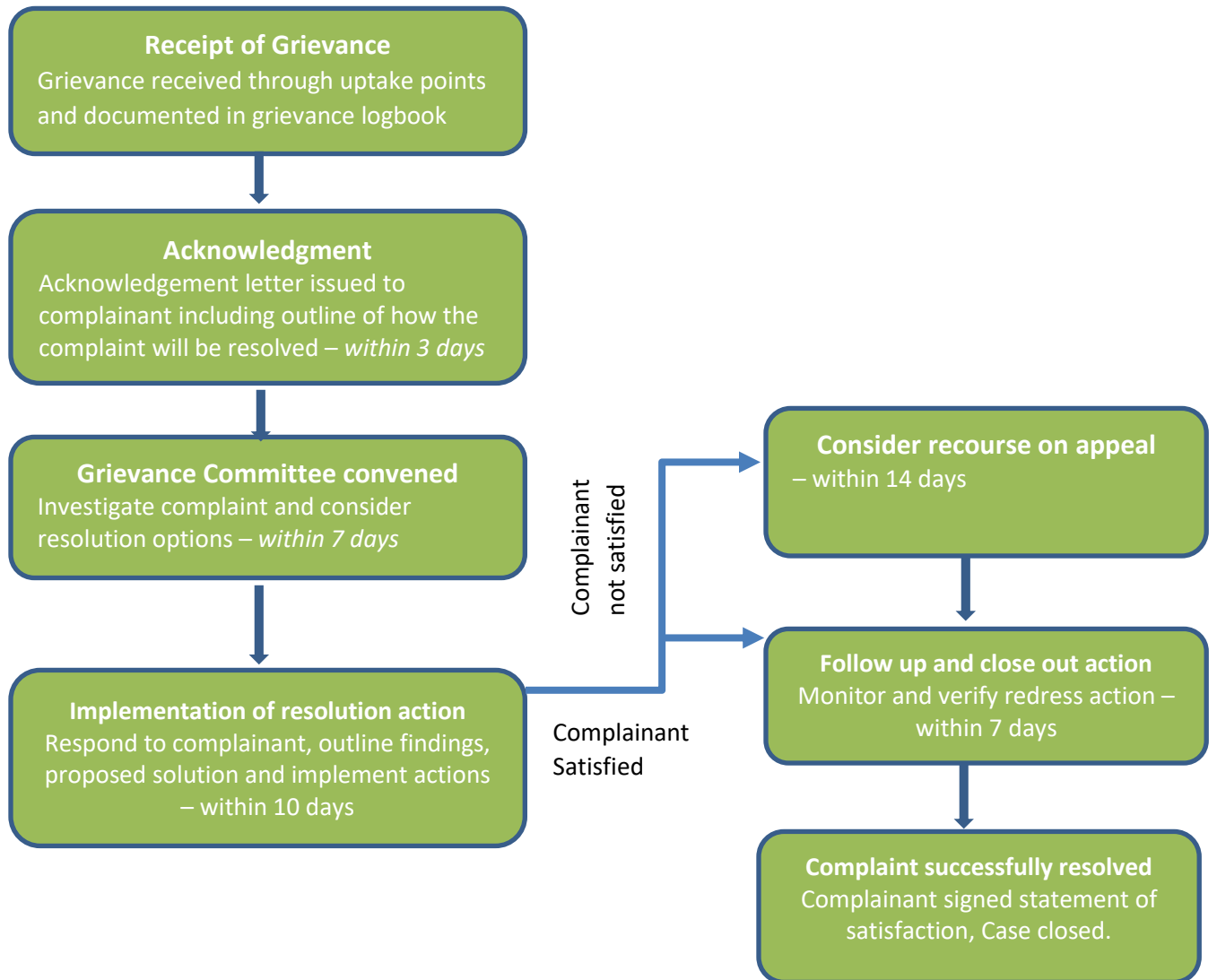
For cases escalated to the Project Management GC, the GC may also decide to resolve the complaint or set up an appropriate mediation team to resolve the issue in consultation with the Country Lead Person and the complainant. The Project Management GC will be required to resolve the issue within 2 weeks from the date of receipt of such deferred case. If such a time line is not possible, the AICCRA E&S Safeguard Specialist would inform the complainant through the in-country Safeguard Focal Person by giving reasons and possible new date. When new resolution measures are considered, the implementation and verification process outlined above shall be followed to close the case or determined the next line of action.

#### *Appeal to Court*

If the complainant remains dissatisfied with the mediation effort of the project grievance committee, the complainant has the option to pursue appropriate recourse via judicial process of choice. The AICCRA project will allow any aggrieved person the right of access to Court of law. Courts of law will be a “last resort” option, in view of the above mechanism.



Figure 2: AICCRA Mali Grievance Procedure



### Protocol for Handling SEA/SH Cases

The AICCRA Mali Cluster led by AfricaRice will follow the following procedure in handling SEA/SH related complaints.

**Uptake of SEA/SH cases:** All grievance lodging points outlined at section 6.5 will be opened for uptake of SEA/SH complaints. When a survivor comes forward to report a case of SEA/SH, the recipient will record the survivors' account of the incident. This is expected to be conducted in a private setting and ensure that any specific vulnerabilities are taken into consideration. To maintain confidentiality and minimize stigmatization, below is the list of elements that will be recorded on complaint forms of SEA/SH survivors. Sample SEA/SH intake form is provided at Annex III.

19. Age and Sex of survivor;
20. Type of alleged incident (as reported);
21. Location/place where the incident occurred;
22. The date and time when the incident occurred;
23. Whether the alleged perpetrator relates to the project, as indicated by the survivor;
24. Whether the survivor was referred to a service provider;
25. The need of the survivor/what that the survivor wants to be/regarding the case.

Where the complainant is not the survivor, the Safeguard Focal person will encourage the complainant to reach out to the survivor and explain the potential benefit of coming forward alone or with the person reporting the case. All SEA/SH cases will be reported to the World Bank within 24 hours through the AICCRA E&S Safeguard Specialist and recorded in the SEA/SH grievance logbook at Annex VIII.

**Referral of SEA/SH Survivors:** The Safeguard focal person will examine the case and seek the consent of the survivor to refer the case to AICCRA Mali GC or depending on the case, refer to any of the external GBV service providers specified in table 7 below. In the case of children and people with intellectual disability, this will be done with full consent of the survivor’s guardian. Depending on the case reported, the support services may include one or two of the following services.

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

The list of GBV service providers identified for referred cases are presented in the table below.

Table 8: SEA/SH Service Providers

Health Care Service Providers	
<b>1. Santé Sud Mali (SSM)</b>	<b>2. Marie Stopes Mali (MSM)</b>
<b>Type of Organization:</b> NGO	<b>Type of Organization:</b> NGO
<b>Primary Service:</b> Health Care	<b>Primary Service:</b> Health Care
<b>Geographical coverage:</b> Mali	<b>Geographical coverage:</b> Mali
<b>Services provided:</b> Improve access to basic health and social services for all	<b>Contact Number:</b> 8000 11 88 (toll-free); 20 706 706
<b>Contact Numbers:</b> Tél : +223 20 28 02	<b>Working hours:</b> from 08am to 20pm
<b>Email:</b> contact.mali@santesud.org	<b>Other Services:</b> Monitoring (follow ups)
	<b>Address:</b> J2F4+FXR, Bamako, Mali

**Address of headquarters:** Bacodjicoroni ACI Rue 627,  
porte 1782 - BP E6 Bamako – Mali

**Other services:** We support associations specializing in the care of orphans and abandoned children, single mothers, or children with physical or mental disabilities in their progress initiatives.

### Psychosocial Service Providers

#### 3. Psychiatric service of the University Hospital Center of Point G

+223 20 22 50 02

**Sikasso Reference Health Center care unit**

**Support unit of the Bougouni Reference Health Center**

**One stop center of national police in Bamako (N'Tominkorobougou)**

**One stop center of Mopti (Sévaré)**

**Type of Organizations:** Public Agencies

**Cabinet PSY2A à Bamako**

**Type of Organization:** Private structure

**Primary Service:** Organization of psychosocial services and care

**Contact:**

**Psychiatric service of the University Hospital Center of Point G**

Phone : +223 20 22 50 02

**Cabinet PSY2A à Bamako**

**WhatsApp:** +223 71 11 70 60

Website: [contact@psy2a.ml](mailto:contact@psy2a.ml)

**Address:** Rue 535 Porte 33 Niaréla, Mali

### Legal/Justice Service Providers

**5. Association of Malian Jurists (AJM), the Association for the Progress and Defense of Malian Women (APDF), the Observatory for the Rights of the Child and the Woman (ODEF), the Research and Study Group, de formation femme-action (GREFFA), Women in Law and Development-Mali (WILDAF), Malian Human Rights Association (AMDH)**

**GREFFA**

**Alliance for Justice and Development for Women (AJM; ODEF)**

**Type of Organization:** NGO

Missions :

**Services provided:**

1. supports women survivors of sexual violence and other attacks.
2. help women access legal, medical and psychological support
3. advocates for access to better health services for women and to end FGMs and child marriage.

4. Help women in their legal and administrative procedures
5. Popularize the legal texts among women to make them aware of their rights
6. Organize the re-reading of discriminatory texts with regard to international texts, to make Malian law evolve in the direction of greater equality between men and women...

**APDF**

**WILDAF**

**Address:** Hamdallaye ACI 2000 Immeuble DJIRE Avenue Cheick Zayed

**Primary service:** protection and promotion of the rights of women and children.

**BP** 1740 Bamako Mali

**Address:** Avenue OUA Immeuble SOBATO Appartement A4 Bamako

**Phone:** (223) 229 10 28; (223) 229 10 28

**Phone :** 00 (223) 223 67 08 Télécopie : 00(223) 229 68 47

**apdf@datatech.toolnet.org**

**http://www.apdf.org.ml**

**Missions:**

7. Training and information for women on their rights and on national and international legal texts that concern them.
8. Fight against the various forms of violence against women and in particular against female genital mutilation.
9. Encourages women to become aware of and assume their role in the socio-economic and political development of the country.

## 7. Security: Mali Police Services

**Type of Organization:** Government Agency

**Primary Service:** Security

**Geographical Coverage:** National, with offices across the country

**Helpline:** 80331 - 80333 – 800011 Toll free

**Working hours:** 24 hours

**Other Services:** Legal, and referral support system.

These service providers will be:

10. Provided with financial support to cater for expenses in the mediation process and essential services provided to the survivors;
11. Required to use their respective GBV case management procedures;
12. Required to maintain confidentiality, safety, and security of survivors in accordance with best practices, in particular ensuring survivor centeredness through the processes and seeking the consent of the survivor when personal data must be shared;
13. Required to inform the Safeguard Focal person when a case is resolved so it is recorded in the grievance logbook.

**Acknowledgment and Follow-up:** After registering the case, the Safeguard Focal Person will inform the AICCRA Mali GC and the AICCRA E&S Safeguard Specialist within 24 hours of receipt and send an acknowledgment letter to the complainant or survivor within 3 working days of receipt. A sample acknowledgement letter is provided at Annex IV for -SEA/SH cases.

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

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

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

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

Instances where the case is being handled by a service provider, the Service Provider will work with the survivor or guardian to develop a comprehensive plan that identifies what the survivor needs and how these needs may be met. The survivor may be referred to connect with a range of service providers which

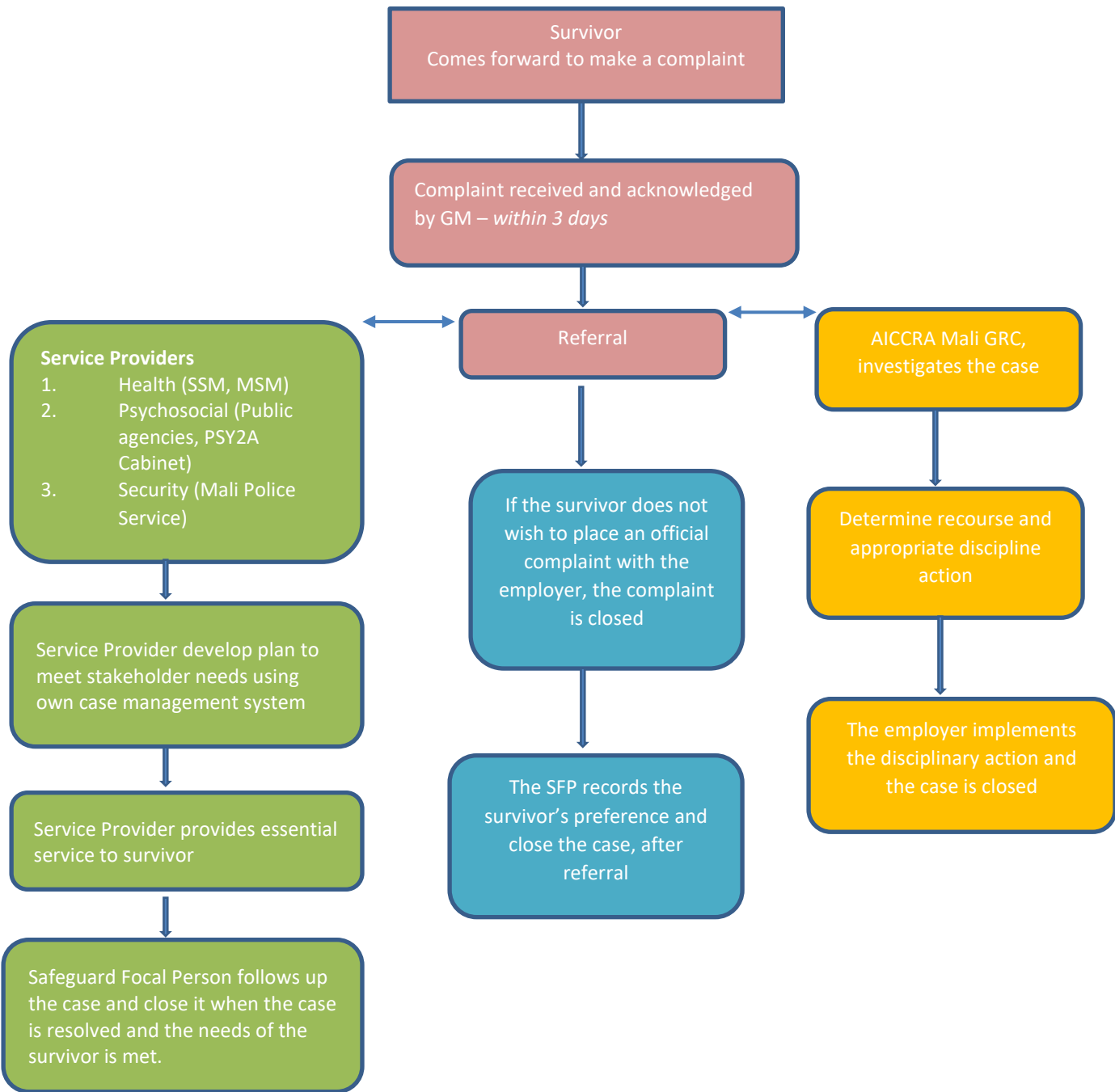
correspond to their needs. The Safeguard Focal Person shall continue to track, monitor, and collaborate with service providers on all such cases until they are resolved.

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

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

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

Figure 3: Case Management Procedure for SEA/SH cases



#### Procedure for Making and Handling Information Request

This section set out the procedure AICCRA Mali will follow to receive and handle information request from stakeholders on the AICCRA project. The basic steps are as follows:

**Filling an information access request:** All stakeholders willing to request information on AICCRA project can do so through information request points outlined at section 6.5. Requests can be made in written or verbally, and in any language applicable to the project locations. The Safeguard Focal Person will open a file to keep records of all information requested. Stakeholders who request information directly from staff of project implementing agencies should be advised and assisted to officially make their request through the information request points at section 6.5.

**Acknowledgement of receipt:** Upon receipt, an acknowledge letter will be sent to the requester, whilst the request is being referred to the appropriate project lead. All information request shall be referred to the Country Lead.

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

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

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

#### **Other considerations.**

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

Disclosure and Sensitization of the GM



The Mali Safeguard Focal Person will proactively work with in-country project partners to introduce and create the awareness of project stakeholders about the GM. The information that will be shared will include the procedure to make a complain (where, when, and how), the investigation process, the time framework for responding to complaints, the principle of confidentiality, right to make anonymous complaints and the right to seek further redress at the Court. The awareness creation will also focus on protocol for reporting and managing SEA/SH cases. An electronic brochure with the above salient information will be designed to aid the dissemination effort.

Given the diversity of the project locations, the project will use varieties of medium to convey messages to project communities. This may include social media, newspapers, radio announcement, face to face meetings, and through community information centers.

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

#### Reporting on the GM Performance

The Safeguard Focal Persons shall be responsible for reporting on project-related grievance and complaints to the grievance committee. Biannual grievance report will be generated and shared with the PMU. At the minimum, the report will include the following indicators:

1. Number of open cases at the beginning of the reporting period;
2. Number of new cases during the period;
3. Number of resolved cases by the end of the reporting period;
4. Open cases by the end of the reporting period;
5. Grievances by category of complaints;
6. Average response time from the lodging of complaint to the agreement on solutions with complainant;
7. Average response time from the lodging of complaint to the implementation of the agreed solution;
8. % Of true and false claims;
9. Number of grievances resolved by order of mechanisms.

#### Monitoring and Reporting

##### Involvement of Stakeholders

AfricaRice will facilitate the involvement of Stakeholders on AICCRA Mali Cluster in the monitoring of project activities and impacts associated with the project. Stakeholder in Mali will have the opportunity to monitor project performance and provide feedback through three project performance indicators on stakeholder feedback. They are:

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

IPI 2.4: Satisfaction with the effectiveness of the partnerships under AICCRA expressed by surveyed partners and stakeholders (Percentage);

IPI 3.3: Use or adaptation of AICCRA-funded climate-relevant knowledge products, decision-making tools and services stated and confirmed by surveyed partners and stakeholders (Percentage).

In addition, AfricaRice will conduct regular feedback survey for local farmers including vulnerable groups on demonstration farms to be set up to pilot CSA innovations. Such surveys will be conducted in local languages and in a manner that allows the farmers to share their learning progress on the CSA innovations being piloted.

#### Reporting back to Stakeholders

Information on public engagement activities undertaken by the project during a project year will be conveyed to the stakeholders during biannual progress updates sessions with stakeholders. These reports will rely on the same sources of communication that were used earlier to notify stakeholders. Stakeholders will also always be reminded of the availability of the grievance mechanism. Any necessary changes made in this SEP in course of implementation will be communicated to stakeholders. Biannual summaries and internal reports on public grievances, and enquiries together with the status of implementation will be collated and reported to AICCRA Program Management Unit and included in regular reporting summaries.

## ANNEX

### Annex I: COVID-19 Response Protocols for In-person Consultations

Consistent with the requirements of Mali's COVID-19 protocol for public events, AfricaRice has considered the following precautionary protocols that must be observed to mitigate the risk of COVID-19 transmission during face-to-face consultations for the Mali AICCRA Cluster.

#### **1. Before coming to In-person Consultations**

1. AfricaRice will ensure that nobody on the staff is suffering from any health symptoms associated with COVID 19. Daily temperature measurements will be taken.
2. Persons in close contact with individual confirmed as COVID 19 positive or are under any quarantine / self-quarantine orders will not participate to in-person Consultations.
3. AfricaRice and other partners' representatives must present proof of any vaccine recognized by national government of Mali or negative polymerase chain reaction (PCR) test taken within the previous 72 hours before the assignment.
4. Organizers will ensure that people suffering from any health issues stay at home.
5. Vulnerable person (aged person, person with chronic diseases, etc.) will be consulted separately.

#### **6. On site COVID-19 measures**

7. Face masks will be required at all times. AfricaRice will provide face masks to attendees if they don't have one.
8. Social distancing regulations of at least 2 meters between people will be applied.
9. In person consultations will be held in ventilated room or in open air with respect of barrier measures.
10. All venues and common areas will be regularly cleaned and sanitized.
11. Hand sanitizer stations will be positioned on site.

#### **12. Actions to be undertaken when dealing with a sick person:**

In the presence of a symptomatic person (especially fever and / or cough, difficulty in breathing, speaking or swallowing, loss of taste and smell), management is based on:

13. People who fall ill during the in-person consultations should be isolated.
14. If travelers exhibit symptoms suggesting acute respiratory illness before, during or after travel, they should be encouraged to seek medical attention and communicate their travel history to the healthcare provider.
15. Organizers should forecast the likelihood of people falling ill with fever and other symptoms typical of COVID-19 infection during the in-person consultations.

16. Obtain person's details (name / organization / contact person / immediate family member details including a phone number).
17. Inform the person that they will be separated / isolated due to symptoms.
18. Isolate the symptomatic person in a dedicated and ventilated room by immediately applying barrier gestures, keep a reasonable distance from them (at least one meter) while wearing a surgical mask.
19. People who are sick may be fitted with a mask to help contain respiratory droplets generated by coughing and sneezing.
20. In addition, medical personnel caring for sick people should wear a mask, remove it immediately after coming into contact with a sick person, and wash their hands thoroughly afterwards.
21. Organizers must call 36061 toll free or link up with local district health authorities for immediate evacuation or medical help.
22. If the Covid case is confirmed, the identification and handling of contacts will be organized by the actors.

Annex II: Sample complaint form

### **AICCRA GRIEVANCE/COMPLAINT FORM**

#### **Section 1: Complaint**

1. What harm do you believe AICCRA caused or is likely to cause to you or your community? Please describe in as much detail as possible.

2. What location is concerned with your submission? (Please include country/county name)

3. Do you live in the project area?

4. Have you previously reported your concerns to AICCRA management? If yes, please provide the details about those communications and explain why you are not satisfied with the action in response.

5. If known, please list the operational procedures you believe have been violated by AICCRA.

6. Do you expect any form of retaliation or threats for filing this complaint to the AICCRA?

## Section 2: contact information

7. Are you filing an individual submission or representing a community?

Individual:  Representing a community:

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

9. Submitter's Name & contact information:

**Name:**

**Address:**

**Email:**

**Phone:**

Preferred Method of Contact:

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

11. Signature/Thumbprint

Name:

Date

NOTES:

1. Please attach supporting documents, if available.

**Section 3: Office Use Only**

Grievance ID Number

Recorded by:

Date

Place/Method grievance was received

Annex III SEA/SH Cases Intake Form

**1- Administrative Information**

Case ID No:

Survivor Code:

Date of Interview:

Date of Incident

Reported by the survivor or by survivor's escort and survivor is present at reporting

Reported by someone other than the survivor and survivor is not present at reporting

**2- Survivor's Details**

Date of Birth (approximate if necessary)

Sex

Female

Location

Male

Current civil/marital status

Single

Divorced/Separated

Married/Cohabiting

Widowed

Is the survivor a Person with Disability?

No

Widowed

Mental Disability

Is the survivor a Child?

Yes

No

**3 -Details of the Incident**

Account of the incident/description of the incident (Summarize the details of the incident in client's own words)

**Type of Incident**

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

Rape: Sexual penetration against a person without their consent.

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

Denial of Resources, Opportunities or Services

Psychological/Emotional Abuse

Non-GBV (specify)

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

Yes                       No

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

NO

Health/Medical Services \_\_\_\_\_

Psychosocial/Counselling Services \_\_\_\_\_

Police/Other Security Actor \_\_\_\_\_



Legal Assistance Service \_\_\_\_\_

Other (specify) \_\_\_\_\_

#### Annex IV: Sample Complaint Acknowledge Letter

[Your contact information here]

[Date]

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

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

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

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

Re: Complaint regarding [describe briefly]

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

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

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

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

Sincerely,

[Name of Safeguard Focal Person]

[Research Institution]

Enclosure: (The relevant procedures for submitting grievances)

Annex V: Sample complaint acknowledgement letter for SEA/SH

[Your contact information here]

[Date]

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

Re: Complaint regarding [describe briefly]

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

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

Regarding the referrals made, you have every right to refuse or access the support or services recommended. Refusal to access them will not in any way affect your right to request or access that services at some time in the future. We also acknowledge your consent to (pursue/ not pursue) disciplinary action against the alleged perpetrator. This will be taken into consideration as we review and pursue the case further.

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

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

Sincerely,

[Name of Safeguard Focal Person]  
[Research Institution]

Annex VI: Complainant Satisfaction Form

Grievance ID Number:

Date Received:

Recorded by:

Place/Method Grievance was Received

Proposed Action (s)

The claimant has ACCEPTED/SATISFIED the proposed action? YES/NO

Further Action Required? YES/NO

Complainant Acknowledgement

I, the undersigned, hereby confirm my satisfaction/acceptance of resolution actions implemented to address my complaint.

Signature/Thumbprint

Name:

Date



Annex VII: Grievance Log (for non-SEA/SH complaints)

Case no.	Date Claim Received	Name of Person Receiving Complaint	Where/how the complaint was received	Name & contact details of complainant (if known)	Type of Claim  Add content of the claim (include all grievances, suggestions, inquiries)	Was Receipt of Complaint Acknowledged to the Complainant?  (Y/N – if yes, include date, method of communication & by whom)	Expected Decision Date	Decision Outcome  (include names of participants and date of decision)	Was Decision communicated to complainant? Y/N  If yes, state when, by whom and via what method of communication	Was the complainant satisfied with the decision? Y/N  State the decision.  If no, explain	Any follow up action (and by whom, by what date) ?
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Annex VIII: Grievance log for SEA/SH cases

Case N°.	Date Claim Received	Name of Person Receiving Complaint	Where/how the complaint was received	Ref number of complainant	Type of Incident	Was Receipt of Complaint Acknowledged to the Complainant?  (Y/N – if yes, include date, method of communication & by whom)	Referral(s) provided	Did the survival give consent to share their non-identifiable information?	Expected Decision Date	Decision Outcome  (by GBV services providers and relevant services)	Was Decision communicated to complainant? Y/N  If yes, state when, by whom and via what method of communication	Was the complainant satisfied with the decision? Y/N  State the decision.  If no, explain	Any follow up action (and by whom, by what date)?
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