

Concept Note for Grant Proposals

1. Grant Sponsoring Division: Operation, Policy and Results (OPR)	2. Co-sponsoring Division(s): Environment, Climate Gender and Social Inclusion (ECG)
3. Technical Grant Manager : Sheila Mwanundu	
4. Title of the Grant: Strengthening Borrowers' Capacity on Environmental, Social and Climate Best Practices (SUSTAIN)	
5. Value of IFAD Grant: (in US\$) US\$ 2 million	6. Co-financing: (in US\$) in kind co-financing from the respective Recipient
7. Implementation period: (Months) 36 months	8. GRIPS ID: 2000003735
9. Selected Strategic Priority¹: 6. Strategic Priority Endorsed by EMC	
10. Window: Indicate Global/Regional <input checked="" type="checkbox"/> Country <input type="checkbox"/>	11. Country/Countries: All Low Income Countries (LICs) and Low Middle Income Countries (LMICs) (including fragile countries). The three participating IFAD regions are East and Southern Africa (ESA), West and Central Africa (WCA) and Asia and the Pacific (APR).
12. Recipient²: Select <u>one</u> of the following options <ul style="list-style-type: none"> • Competitive selection at CN stage <input type="checkbox"/> and name of recipient • To be selected competitively at design stage <input checked="" type="checkbox"/> • Direct selection <input type="checkbox"/> and name of recipient: 	
13. Rationale for recipient selection and recipient capacity: A widely advertised, open prequalification will be conducted and the recipient will be selected through competitive selection during the Grant design stage. The selection criteria are: <ol style="list-style-type: none"> (i) Proven record of developing and delivering sound environmental, social and climate change (ESC) capacity building services for governments, development partners and the private sector especially in emerging issues in the areas of agricultural and rural development; and (ii) Partners, and/or ESC affiliates, in IFAD regions will be considered an asset. 	
14. Background/relevance: The vulnerability of ecosystems and of rural communities is increasing in the face of various economic, social and climate phenomena. The people most affected by this situation generally include indigenous communities, women, persons with disability and youth who are most reliant on these resources to sustain their livelihoods. There is a growing recognition that inadequate integration of ESC provisions ³ in rural development programmes and projects can: (i) present adverse impacts on the environment and people's lives; (ii) create reputational, litigation and/or financial risks for development partners; and (iii) jeopardise achievement of the Sustainable Development Goals (SDGs). For many Borrowers, the major implementation challenges in identifying and managing ESC risks and maximising development outcomes are: <ol style="list-style-type: none"> i. Insufficient technical capacity of Project Management Units (PMUs) including the relevant national line ministries and regulatory agencies to manage risks and implement ESC best practices, particularly of emerging areas such as inclusion, non-discrimination, gender-based violence, sexual exploitation and abuse, labour and working conditions, grievance redress, stakeholder engagement, climate mitigation, security, procurement, and pandemics; 	

¹ The indication of a strategic priority **only applies to Global/Regional Grants**.

² The selection of the recipient will be done in collaboration with ECG, FMD and LEG.

³ Goes beyond risk management (standards) to maximizing development gains (mainstreaming priorities i.e. gender transformational, youth and nutrition sensitive and climate finance)

- ii. Weak enforcement of Borrower ESC policies including recognised excluded activities leading to failure in promoting sound development practices;
- iii. Weak engagement of PMUs in knowledge networks across IFAD projects; and
- iv. Currently available ESC training modules are not adequately tailored to serve the typology of issues associated with IFAD-supported projects.

The efforts being made by Borrowers focusing on sector policies, regulatory frameworks and the most vulnerable populations are important steps forward. However, the capacity building efforts of the different governments involved in agricultural and rural development do not effectively integrate environmental and social considerations, as well as, mainstreaming priorities such as gender transformation, youth, climate change and nutrition in their programmes. In addition, they do not promote innovative digital technologies and platforms to inform the design and implementation of projects and programmes. Efforts in these areas could strengthen capacity development services better suited to promote learning and cross-fertilisation of knowledge within and across IFAD regions.

With the finalisation of the updated SECAP⁴, IFAD has an opportunity to support a comprehensive capacity-building programme designed to improve ESC service delivery and ensure better development outcomes of its existing and future agriculture sector programmes and projects. This is consistent with current global thinking that goes beyond 'do no harm' to maximizing development gains. In addition, supporting Communities of Practice dedicated to contractors and project management units offers promise for scaling up sound ESC practices, while reducing potential reputation and litigation risks.

This Grant (also referred to as SUSTAIN) will focus on bolstering Borrower ESC frameworks and systems in LICs and LMICs to optimize risk-taking and mitigation and integrate mainstreaming priorities fundamental to delivering IFAD11 and 12 priorities. It will: (i) implement a sustained training and learning programme (practical, progressive and shared) in three regions to enable the target audience to upgrade existing skills, learn new skills, and adapt behaviours to accommodate an approach based on internationally recognised ESC practices (see section 15 below); (ii) enable IFAD to further support Borrowers in meeting their respective national commitments under the SDGs; (iii) facilitate Borrowers to mobilise resources from co-financiers; and (iv) facilitate open dialogue among Borrowers to identify strategic initiatives that are materially consistent with national ESC needs, where appropriate, as part of the learning and knowledge sharing between participating regions.

Three IFAD regions (APR, ESA and WCA) have been selected based on the percentage of LICs, LMICs and Fragile States, as well as total rural population, in line with IFAD12 priorities. The participating Project PMUs will be identified based on the ESC sensitivity, fragility status, low rating ESC performance, sector risk⁵, and the national capacity to assess and effectively manage ESC risks and impacts. Based on a gap and needs assessment⁶ of Borrower ESC frameworks and systems, learning and capturing knowledge will be intrinsic to the ESC training. While the focus of SUSTAIN is on three IFAD regions, the Grant's e-learning modules, web-based toolkits and lessons generated from the proposed Communities of Practice will be made freely available for professional development to other IFAD regions and development partners that are active in agriculture and rural development, even after Grant completion.

The impact of this global Grant goes beyond a single country of operation as it is unique in its targeting of IFAD partner countries. SUSTAIN is being delivered by a Recipient that has a network of affiliates and local partner institutions, overcoming language and regional barriers that may otherwise exist if the training were to be provided in a centralized way. The specificities of the roll out of the training and

⁴ "Responds to IFAD's corporate goal of aligning its practises to those of multilateral development banks".

⁵ As seen in IFAD portfolio as an indicator to risk in sector in our countries of operations.

⁶ This will also capitalize on existing information on Rural Sector Performance Assessment (RSPA), SECAP background studies (COSOPs), and SECAP Review Notes. In addition, a survey for targeted groups will be conducted to receive feedbacks on required needs.

Communities of Practice also encourage cross regional learning, south-south cooperation and interaction through the face-to-face and virtual events.

Theory of Change: The TOC is based on the following assumptions:

- (i) The political will at the national level to strengthen institutional capacities and the allocation of support for sound ESC practices in ongoing and future agricultural and rural development programmes remain in place;
- (ii) the mainstreaming and implementation of ESC best practices in Borrower's programmes and projects will benefit the most vulnerable populations (particularly women, youth and indigenous communities);
- (iii) Other ongoing efforts to improve ESC best practices by the Borrower are implemented concurrently to strengthen country ESC systems.
- (iv) Target groups agree to participate in training and knowledge sharing due to the ESC challenges they face which impact the sustainability of expected outcomes of projects and programmes.
- (v) The modules developed are directly applicable to the work done by direct and indirect target groups.
- (vi) Target groups who attend the ESC training are involved in ESC management.
- (vii) Certification of ESC training is seen as beneficial by Borrower agencies and participants.
- (viii) Target group attendees maintain their ESC roles in their respective organisations throughout the duration of the training and Grant implementation

SUSTAIN will promote a paradigm shift which will transform current environmental, social and climate practices in the three IFAD regions and beyond. It will develop training modules, deliver capacity building services and promote learning and sharing of knowledge to strengthen integration of ESC risk management in development opportunities in agricultural and rural development programmes and projects. Thus, the Grant seeks to secure the long-term future of ecosystems, ensure social equity and inclusion, and increase shared prosperity in a sustainable manner in order to end poverty. Annex 1 provides the detailed representation of the Theory of Change.

15. Direct and indirect target groups:

1. Direct target groups: PMUs; senior government officials assigned to project oversight; national staff from ministries of agriculture, environment and other relevant sectors; and ESC regulatory bodies; and
2. Indirect target groups: ESC consultants accredited by national environmental agencies, contractors and non-sovereign operations (NSOs).

16. Goal, objectives and expected outcomes:

Goal: Position IFAD to better promote equitable, socially inclusive and environmentally sustainable rural transformation in LICs and LMICs (including fragile countries) by strengthening Borrower frameworks and capacity through ESC best practices for greater beneficial development impact and results.

Immediate objectives to: (i) strengthen the ability of Borrowers to meet ESC standards, and commensurately manage reputational and financial risks of the IFAD-supported portfolio; (ii) bridge skills gaps of direct and indirect target groups involved in ESC mainstreaming and compliance; and (iii) share knowledge on the value and purpose of ESC mainstreaming and compliance to promote behavioural change.

Outcomes:

- Strengthened Borrowers' ESC institutional frameworks and implementation capacities which embrace and enforce international good practices;

- Improved ESC skills of direct and indirect target groups for effective project preparation and implementation; and
- Enhanced partnerships and knowledge sharing between and within regions to nurture environmental and social sustainability.

Key outputs:

- Three gap analyses and training needs assessments carried out covering three regions;
- Seven tailored e-learning modules⁷ developed in English, French, Spanish and Arabic;
- Up to 400 government staff from PMUs, key sector ministries and ESC regulatory bodies, trained and IFAD-certified⁸;
- Up to 200 consultants, contractors and NSOs trained and IFAD-certified;
- Online platform to share web-based toolkit (learning modules, lessons learned and knowledge products) established;
- Skills built in integrated three GIS, mapping and monitoring technologies (poverty/resource mapping, GIS and risk screening) to help design and implement projects in 3 regions;
- ESC consultants roster established in each participating country;
- E-learning modules, web toolkit and lessons learned accessible to participants from the two non-participating regions;
- Two self-sustaining Communities of Practice established for PMUs and contractors;
- Three intra-regional learning visits conducted;
- One strategy paper highlighting ESC provisions and actions for Borrowers developed; and
- Three joint learning events conducted with other Multilateral Financial Institutions⁹ and UN Workstream on ESC.

17. Key activities by component:

To achieve this goal the Grant is structured into four interlinked components.

Component 1 – Development of Capacity Building Programme on ESC requirements:

1. Develop criteria to identify the initial priority Project PMUs in one IFAD region before advancing¹⁰ to two additional regions;
2. Establish gaps and needs in Borrower ESC frameworks;
3. Build on the SECAP e-learning¹¹, tailor content and learning modules/methodology to be relevant to the regional context and the target audience of each training; and
4. Refine Knowledge Management Plan and develop Communication Plan to guide Grant activities.

The modules will provide: (i) fundamental knowledge and understanding of ESC best practices including new emerging safeguard areas; (ii) content of the updated SECAP, including the key responsibilities and obligations of IFAD and Borrowers; and (iii) objectives and key requirements of each of the nine standards. A toolkit will be developed on good practice guidelines, drawing from good international industry practice notes, relevant IFAD mainstreaming courses and How To Notes¹².

⁷ For: Senior officials assigned to project oversight, national staff from ministries of agriculture, environment and other relevant sectors; ESC regulatory bodies; PMUs; consultants; contractors; and NSOs

⁸ Aligning to industry standards that would allow accreditation of the training— especially for the longer more in depth training – will be explored during the design stage.

⁹ World Bank, Regional Development Banks.

¹⁰ Milestones will be developed to enable activities to advance in the second and third regions.

¹¹ Under development by the International training centre (ILO). To be finalized by June 2021.

¹² Grievance redress, stakeholder engagement, Free Prior and Informed Consent, among others.

Component 2 – Delivery of Capacity Building:

1. Training will be delivered through a blend of live and virtual sessions, e-learning modules and online tests, in all official IFAD languages.
2. Expanded use of integrated assessment, mapping/monitoring and technological tools/techniques will be promoted. Training will range¹³ from 0.5 days to 5 days depending on the content and target group, and will be determined by the Recipient.
3. A trainer of trainers¹⁴ (TOT) approach will be adopted to initially focus on one region before subsequently being rolled out in other two regions. TOTs will be trained on skills (including facilitation and managing difficult audiences) they need to deliver training using adult training techniques.

The complete course will be offered again in subsequent years for additional cohorts of sponsored participants as well as on a self-paying basis, following the approach tested under PRiME and the Financial Management capacity building initiative. The web-based toolkit and consultants' roster (by region and topic) will facilitate application of ESC requirements by Borrowers, design teams and PMUs. IFAD staff will participate in specific training sessions to build capacity on operationalization of SECAP requirements.

Component 3 – Knowledge Management and Communities of Practice¹⁵

Building on earlier ESC training to the target groups, focus will be on continuous information exchange, documenting and disseminating of best practices between projects in the countries or the regions. Three intra-regional learning visits¹⁶ to provide ESC field-impact realities will be organised for PMUs and contractors. Links to access institutional partner resources will be provided. Opportunities for joint training and implementation support will be actively pursued with MFIs and UN agencies.

The Knowledge Management Plan of SUSTAIN adopts a two-pronged approach: (i) content dissemination to enhance visibility, and (ii) targeted outreach – with participants, Borrowers and other partners. In line with these, a main focus of the Plan is to gain broader visibility for engaging with future potential participants and sponsors, which includes identifying target audiences to inform about the Grant's activities and outputs.

The Grant will create, manage and develop content for social media platforms to be determined by the Recipient. The approach for these channels will be focused on documenting and informing the activities and happenings during the delivered courses with three main objectives in mind: (i) engaging with participants; (ii) promoting a space for dialogue among participants and trainers; and (iii) gaining visibility of SUSTAIN for engagement with future potential participants and stakeholders.

Following the development of the material under Component 1, the KM Plan will outline the outreach and dissemination activities for the knowledge products and dissemination will be undertaken as part of the enhancing communications and visibility of SUSTAIN. This will include: participation at training workshops, dedicated blogs focusing on various aspects of the Grant, expanding the social media reach and impact by crafting and curating content related with rural development, monitoring and evaluation by establishing reciprocal relationships with allied social media partners. Once the knowledge products have been developed, target outreach will be done with development partners to attract them to SUSTAIN for its longer term sustainability. Governments' commitment to monitor application of the training and lessons learned will be critical to achieve the long term goal of the Grant.

¹³ Ensures clear differentiation between the broader awareness type events and more in-depth training for how best to use and apply ESC.

¹⁴ To be nominated by the respective national sector ministries.

¹⁵ A communication strategy for the dissemination of experience and lessons learnt generated by this component and for raising awareness will be developed during the design stage.

¹⁶ To relevant projects and initiatives under implementation.

Component 4 - Programme Management¹⁷

This component is cross-cutting and covers all activities related to managing, administering and monitoring of SUSTAIN. The Recipient will implement the Grant and will be responsible for all financial management, procurement, compliance and reporting requirements to IFAD. Affirmative action promoting the equitable participation of men and women will be a crosscutting concern running through all components. The Recipient will put in place a live and automated system to track learning and progress of SUSTAIN. A dedicated Knowledge Management expert will be engaged to further refine and implement the KM Plan and Communication Plan, as well as consolidate a list of potential development partners and their level of interest in SUSTAIN.

18. Project cost:

The total Grant cost is US\$ [.....] of which IFAD will contribute US\$2,000,000 as a Grant, whereas the Recipient will provide an in-kind contribution of US\$ [to be determined by the Recipient] representing [...] % of the total value. The Recipient has extensive experience in working with other IFIs and will engage other IFIs working in ESC to explore possible co-financing for the training activities. Due to its unique focus, the Recipient will explore the potential to leverage additional resources from other partners to help scale up the outcomes and outputs of the Grant.

The table below shows the estimated cost breakdown, excluding the in-kind contribution by the Recipient.

Category of expenditure	Grant Budget US\$	Category distribution%
1. Component 1	500,000	25%
2. Component 2	1,000,000	50.0%
3. Component 3	260,000	13%
4. Component 4	240,000	12%
Grand Total	2,000,000	100%

19. Risks:

Risk	Rating	Mitigation measures
Weak Borrower commitment due to misalignment of IFAD and Borrowers safeguard requirements	M	Minimized by conducting a gap and needs assessment in the Borrowers frameworks ¹⁸ vis-à-vis ESC best practices. Building capacity to meet international good practice and demonstrating the related benefits (public-private partnership, financiers), and the strategy paper will incentivise commitment.
Staff turnover because of the knowledge the Grant imparts.	M	Capacity development will be a continued and progressive learning process rather than a one-off ad-hoc initiative. The e-learning modules and web-based toolkits will be made freely available for professional development even after Grant completion. The transferable ESC skills obtained through SUSTAIN will serve as an incentive for target groups to complete the training once enrolled. It would also serve as an incentive to Borrowers to have their staff benefit from such a training to show their commitment to strengthening ESC, which has increasingly become a priority amongst all development partners. Moreover, this contributes to the public good aspect of SUSTAIN as the skills generated remain in the country and can be applied to other development contexts with the overall aim at improving development effectiveness to further contribute to the SDGs. Efforts will be made during the

		nomination phase to ensure commitment from the Borrower/NSO/Contractors and the participant to retain their positions.
COVID-19	H	Online activities will be fully utilised. Where face-to-face ¹⁹ contact is necessary, WHO preventive protocols will apply and support the Government's response efforts. IFAD's COVID-19 Travel Procedures will apply, as applicable.

20. Monitoring & Evaluation, KM and Learning:

The Recipient will be responsible for collecting data and reporting to IFAD on progress. IFAD's OPR and ECG will conduct quality checks on the implementation of SUSTAIN, and monitor results using a tracking tool. Feedback will be collected on real time basis from course participants and trainers, and the lessons learned from SUSTAIN and similar partner practices will be used to refine the capacity-building programme for subsequent regions.

Monitoring and assessing the impact of the activities in terms of Grant performance will begin as soon as SUSTAIN enters into force, through IFAD's monitoring and tracking tool. In addition, measuring results and learning from experience will be key principles applied during implementation of Components 2 and 3. A mid-term review will be conducted to make modifications to ensure the achievement of the objectives within the lifetime of SUSTAIN. A completion evaluation will be conducted at the end of the Grant period in order to inform new designs.

SUSTAIN is the first of its kind training program for ESC mainstreaming and risk management in agriculture and rural development, and is an effort to professionalize ESC in rural development and develop a cadre of certified ESC staff in LICs, LMICS and fragile countries. The comprehensive approach to training and certification in agriculture and rural development at the various national levels is innovative in itself. While in the past, development partners as well as IFAD have undertaken isolated initiatives to build capacity for ESC, there has been a lack of coherence in their approaches. Furthermore six aspects make SUSTAIN particularly innovative:

1. Training of NSOs and contractors in ESC is under-explored by many organizations;
2. The certification framework under SUSTAIN would be unique, given that there are currently few ESC accessible and/or affordable certification schemes in agriculture and rural development;
3. The geographic and linguistic spread of this training distinguishes it from other similar available courses that offer courses at a cost but without the targeted approach to participant groups in LICs and LMICs and fragile countries. SUSTAIN will support a platform to automatically translates texts into IFAD's official languages. The Grant would therefore minimize geographic and linguistic barriers to ESC skills development.
4. Focus on agriculture and rural development will ensure that the training, lessons shared and all the case studies are from practical examples of agricultural projects. In the past, capacity building efforts

¹⁷ An implementation plan providing the Grant's schedule of activities will be formulated during the design stage.

¹⁸ Policy, legal and institutional framework, including implementation capacity, which are relevant to the environmental, social and climate risks and impacts of agricultural and rural development.

¹⁹ In the event of COVID-19 outbreaks, postponement or remote undertaking of the inter-regional visits or change of venues will be ensured.

in ESC have been generic and have covered mainly environmental sectors. There are few specific tailored courses on ESC mainstreaming and risk management in agriculture rural development.

5. The target groups can be considered the frontline in ESC risk management; that is the Government appointed officers working in PIU/PMUs key sector ministries, and ESC regulatory bodies and NSOs and contractors staff working on ESC-related issues. Other available programmes in capacity building tend to target an audience that is not necessarily at the same capacity level as the Grant target groups.
6. The delivery model of the training is innovative unlike other capacity building initiatives that have not had the same intensity and have been one-off workshops/events. The fundamentals of ESC modules including duration of training will be decided by the Recipient. This duration should not only ensure that a continued commitment from participants and their Government but also to allow them time to internalize some of the learning generated from the first module and apply it to their project and return to present it and gather feedback on it during the second module. Furthermore, the course is delivered in countries with IFAD-support operations adding to the South South Cooperation angle of the programme. The establishment of CoPs dedicated to contractors (links to procurement) and PMU staff are considered an innovative feature of SUSTAIN offering promise for scaling up by partners. They will also reduce potential reputation and litigation risks.

21. Supervision modalities:

There are no deviations from the standard procedures for financial reporting and audits. The Recipient will be responsible for technical, financial and fiduciary supervision functions and will submit quarterly progress reports and a final completion report to IFAD. OPR will manage the Grant and carry out oversight while the IFAD's regional climate and environmental specialists will be responsible for ensuring effective implementation of Grant activities in their respective regions. OPR and ECG will allocate sufficient resources for involvement of staff in supervision support.

22. Linkages:

SUSTAIN complements key priority areas/commitments of IFAD 11 and 12, and supports IFAD's efforts to progressively transform Borrowers' capability to deliver better and sustainable results. It is closely linked to IFAD's decentralisation, scaling up, adaptive management and South-South Cooperation priorities and is part of efforts deployed over the last two years for building national capacities²⁰ in related areas of M&E (PRIME, AVANTI), the Delivery Units and Financial Management using IFAD Grants. Synergies will be fostered with these existing IFAD grants in order to strengthen transformational impacts on ability of IFAD projects to deliver better results. SUSTAIN's activities and expected outcomes will focus on ESC provisions and will aid the implementation²¹ of the ECG Grant, which focusses entirely on enabling countries to access to climate finance. By emphasizing the branding and the visibility of the capacity development services, it is expected that SUSTAIN will improve the enabling environment for policy discussion on ESC mainstreaming and risk management between IFAD and partner countries. This opens opportunities to further refine IFAD's support to ESC capacity development through country strategies and projects.

23. Partnerships:

SUSTAIN will foster multi-partnerships between governments, PMUs and IFAD co-financiers. The established networks and contacts will also be tapped for sharing ESC lessons and experiences. This may include the International Association for Impact Assessment (IAIA), UN Model Approach to Environmental and Social Standards, MFI Working Group on ESS and DFIs Social Expert's Meeting on Social Safeguards (see section 17).

24. Scaling up:

SUSTAIN will strengthen Borrower ESC frameworks, learning, knowledge management and communications, leading to the successful scaling up of the capacity building programme. Knowledge

²⁰ This Grant is similar both in terms of the activities and the Grant amounts. These initiatives are part of the broader goals in the Grants policy on improving in country capacities.

²¹ Training modules, web-based toolkits, gap analysis and learning events, will be made readily available

and lessons will inform ESC risk management and mainstreaming approaches across IFAD's²² portfolio including NSOs, and the further revision²³ of the SECAP screening tool and guidance notes, as required. Not only is SUSTAIN designed to expand ESC knowledge and skills among the target groups in IFAD's counterpart countries, but it is also expected to advance international knowledge and experience on how to design and implement ESC best practices. The long-term vision for SUSTAIN is that ESC capacity building becomes increasingly demand-driven across all IFAD regions.

25. Sustainability:

SUSTAIN's exit strategy will ensure that Borrower capacity and partnerships are strengthened, and trainers are capacitated so that ESC issues are embedded into agricultural and rural transformation interventions, and that learning across regions through collaboration between national environmental, agricultural and other relevant agencies will continue. The TOTs and consultants' roster will ensure a team of certified national/regional ESC experts to support policy dialogue, project preparation and implementation (See section 17). An important aspect in the longer term sustainability of SUSTAIN will be the results of the mid-term review which will form a sound basis to concretely demonstrate the value of the Grant to Governments, partners and internally at IFAD.

26. Other aspects:

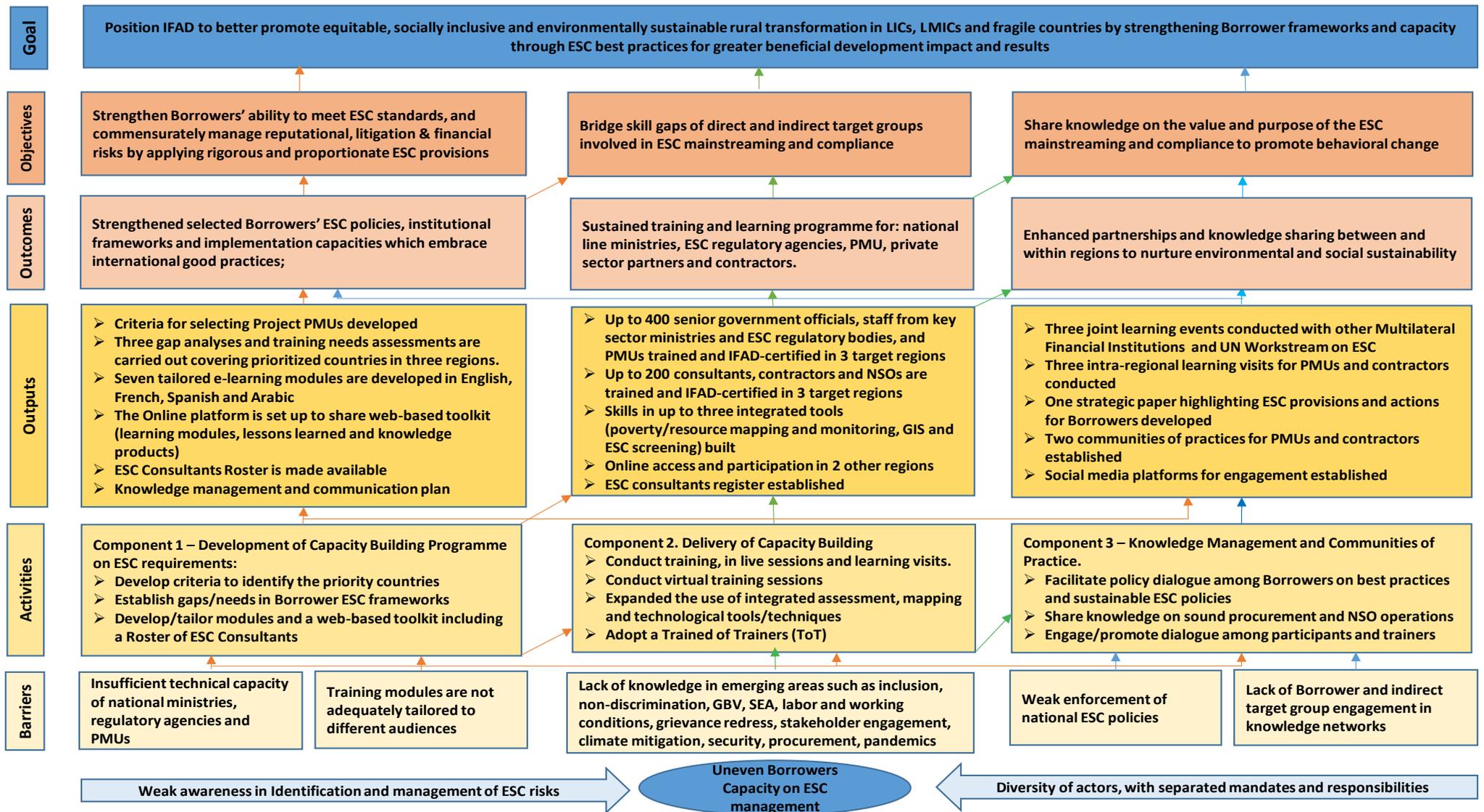
Strengthening capacity of the different target groups ensures that ESC mainstreaming and risk management becomes integral to IFAD's programming in line with IFAD12 business model principles of adaptive management and proximity. It also primes contractors and NSOs to requirements for working better with IFAD.

COVID-19 contingency planning. The training is envisaged to begin in Q1 2022 and it might be necessary to deliver all parts of the training fully online given the evolving pandemic. This would entail additional efforts in curriculum adaptation and translation but would result in net savings due to the absence of travel costs. Given the dynamic situation, the implementation schedule will be adjusted depending on the worldwide COVID-19 situation. Any potential savings and engagement of new activities will be subject to IFAD's approval. In order to cover this scenario, the Recipient will also provide a detailed financial breakdown of the cost of such transition.

²² IFAD will ensure that knowledge is disseminated within and beyond the participating countries and projects and globally.

²³ The existing SECAP Review Group will serve as a sounding board for the Grant. Based on Management's guidance, the Group was established in October 2019 and comprises representatives from COM, ECG, ETH, FMD, LEG, PMD and PMI. The meetings are co-chaired by directors OPR and ECG.

Annex 1 - Theory of Change



Annex 2 – Results-based Logical Framework (to be further refined by Recipient)

Objectives-hierarchy	Objectively verifiable indicators	Means of verification	Assumptions
<p>Goal</p>	<p>Position IFAD to better promote equitable, socially inclusive and environmentally sustainable rural transformation in LICs and LMICs (including fragile countries) by strengthening Borrower frameworks and capacity through ESC best practices for greater beneficial development impact and results.</p>	<p>Improvement in quality of ESC compliance and mainstreaming in projects</p>	<p>Independent assessment to monitor and assess impacts of SUSTAIN by IFAD</p> <p>The political will at the national level to strengthen institutional capacities and the allocation of support for sound ESC practices in ongoing and future agricultural and rural development programmes remain in place.</p>
<p>Objectives</p>	<ul style="list-style-type: none"> i. Strengthen the ability of Borrowers to meet ESC standards, and commensurately manage reputational and financial risks of the IFAD-supported portfolio; ii. Bridge skills gaps of direct and indirect target groups involved in ESC mainstreaming and compliance; and iii. Share knowledge on the value and purpose of ESC mainstreaming and compliance to promote behavioural change. 	<p>Up to 600 persons trained in sustainable ESC practices in 3 regions</p> <p>Modules and web-based toolkits made freely available to all IFAD regions</p> <p>Two Community of Practice established</p>	<p>Quarterly reports</p> <p>The mainstreaming and implementation of ESC best practices in Borrower’s programmes and projects will benefit the most vulnerable populations (particularly women, youth and indigenous communities)</p> <p>Other ongoing efforts to improve ESC best practices by the Borrower are implemented concurrently to strengthen country ESC systems.</p>
<p>Outcomes and Outputs</p>	<p>Outcome 1: Strengthened Borrowers’ ESC institutional frameworks and implementation capacities which embrace and enforce international good practices;</p>	<p>Indicators to measure whether and to what extent the expected outputs and outcomes will be achieved</p>	<p>Quarterly reports</p> <p>Target groups agree to participate in training and knowledge sharing due to the ESC challenges they face which impact the sustainability of expected</p>

	Objectives-hierarchy	Objectively verifiable indicators	Means of verification	Assumptions
	<p>Outcome 2: Improved ESC skills of direct and indirect target groups for effective project preparation and implementation; and</p> <p>Outcome 3: Enhanced partnerships and knowledge sharing between and within regions to nurture environmental and social sustainability.</p>			outcomes of projects and programmes;
Components and Activities				
Component 1: Development of Capacity Building Programme on ESC requirements	<p>1.1 Develop criteria to identify the initial priority Project PMUs;</p> <p>1.2 Establish gaps and needs in Borrower ESC frameworks and technological tools;</p> <p>1.3 Develop/tailor content and learning modules, and a web-based toolkit;</p> <p>1.4 Refine/develop Knowledge Management and Communication Plan to guide grant activities.</p>	<ul style="list-style-type: none"> • Criteria developed to identify target countries in three regions; • Three gap analyses and training needs assessments carried out covering three regions; • Seven tailored e-learning modules developed in English, French, Spanish and Arabic; • Integrated GIS and mapping and monitoring technologies developed • Online platform to share web-based toolkit (learning modules, lessons learned and knowledge products) established; • Knowledge Management and Communication Plan prepared 	<ul style="list-style-type: none"> • Gap assessment reports indicating criteria for country selection • Training manual containing all modules in 4 languages; • URL links to online web-based toolkit. 	The modules are directly applicable to the work done by direct and indirect target groups.
Component 2: Delivery of Capacity Building	2.1 Conduct training through of live and virtual sessions, e-learning modules and online tests.	<ul style="list-style-type: none"> • Up to 400 government staff from PMUs, key sector ministries and ESC regulatory bodies, trained and IFAD-certified • Up to 200 consultants, contractors and NSOs trained and IFAD-certified 	<ul style="list-style-type: none"> • Participant registration for each training session. • Training certificates issued. • TOT training certificates issued 	Target groups who attend the ESC training are involved in ESC management

	Objectives-hierarchy	Objectively verifiable indicators	Means of verification	Assumptions
	<p>2.2 Expand use of integrated assessment, mapping and technological tools/techniques</p> <p>2.3 Adopt a trainer of trainers (TOT) approach.</p>	<ul style="list-style-type: none"> • Skills built in three integrated GIS and mapping and monitoring technologies (poverty/resource mapping, GIS and risk screening) to help design and implement projects in 3 regions • ESC consultants roster established in each participating country • Number of participants from the 2 other regions accessing e-learning modules and web toolkit • TOTs nominated by national sector ministries and contractors 		<p>Certification of ESC training is seen as beneficial by Borrower agencies and participants.</p> <p>Target group attendees maintain their ESC roles in their respective organisations throughout the duration of the training and grant implementation.</p>
Component 3: Knowledge Management and Communities of Practice	<p>3.1 Facilitate policy dialogue among borrowers on best practices and sustainable ESC policies</p> <p>3.2 Share knowledge on sound procurement and NSO operations</p> <p>3.3 Engage with and promote dialogue among participants and trainers; while enhancing SUSTAIN's visibility</p>	<ul style="list-style-type: none"> • Three joint learning events conducted with other Multilateral Financial Institutions and UN Workstream on ESC. • Three intra-regional learning visits conducted • One strategy paper highlighting ESC provisions and actions for Borrowers developed • Two communities of practice established • Social media platforms created to disseminate knowledge and enhance SUSTAIN's visibility 	<ul style="list-style-type: none"> • Participant registration for each joint learning event. • Participant registration for each inter-regional learning event • Strategy paper disclosed on relevant Borrower agency website. • URL Links to social media platforms established 	

Annex 3 – Knowledge Management and Communication Plan (to be further refined by Recipient)

Project objectives	Specific Objectives for KM and Communications	Activities	Target audience and dissemination plan	Indicators	Budget
<ol style="list-style-type: none"> 1. Strengthen the ability of Borrowers to meet ESC standards, and commensurately manage reputational and financial risks of the IFAD-supported portfolio; 2. Bridge skills gaps of direct and indirect target groups involved in ESC mainstreaming and compliance; and 3. Share knowledge on the value and purpose of ESC mainstreaming and compliance to promote behavioural change. 	<p>Set up Two Communities of Practice to:</p> <ol style="list-style-type: none"> 1. Facilitate policy dialogue among borrowers on best practices and sustainable ESC policies 2. Share knowledge on sound procurement and NSO operations 3. Engage with participants; promote dialogue among participants and trainers; and enhance visibility of SUSTAIN 	<ul style="list-style-type: none"> • Continuous information exchange, documenting and disseminating of best practices between projects in the countries or the regions. • Intra-regional learning visits to provide ESC field-impact realities will be organised for PMUs and contractors. • Provision of links to access institutional partner resources. Conduct joint training and implementation support in collaboration with MFIs and UN agencies. • Create, manage and develop content for social media platforms for enhancing dissemination of grant products, simultaneously gaining SUSTAIN’s visibility 	<p>PMUs; senior government officials assigned to project oversight; national staff from ministries of agriculture, environment and other relevant sectors; and ESC regulatory bodies;</p> <p>ESC consultants, contractors and non-sovereign operations (NSOs).</p>	<p>Three joint learning events conducted with other Multilateral Financial Institutions and UN Workstream on ESC.</p> <p>Three intra-regional learning visits conducted</p> <p>One strategy paper highlighting ESC provisions and actions for Borrowers developed</p> <p>Links to social media platforms</p>	<p>To be developed by Recipient</p>

Annex 4 – Implementation Plan (to be further refined by Recipient)

Component	Key Activities	2021		2022				2023				2024				Indicator	Responsibility	Co-Financing Resources
		Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4			
Component 1: Development of Capacity Building Programme on ESC requirements	1.1 Develop criteria to identify the initial priority Project PMUs		■													Criteria developed to identify target PMUs in three IFAD regions (ESA, WCA, APR)	Grant Recipient	
	1.2 Establish gaps and needs in Borrower ESC frameworks and integrated technological tools		■													Three gap analyses and training needs assessments carried out covering three regions	Grant Recipient	
	1.3 Develop/tailor content and learning modules, and a web-based toolkit; and		■	■	■	■	■	■	■	■	■	■	■	■	■	Seven tailored e-learning modules developed in English, French, Spanish and Arabic; Integrated GIS and mapping and monitoring technologies developed; Online platform to share modules and web-based toolkit	Grant Recipient	
	1.4 Refine/develop Knowledge Management and Communication Plan to guide grant activities.		■													Knowledge Management and Communication Plan prepared	Grant Recipient	
Component 2: Delivery of Capacity Building	2.1 Conduct training through live and virtual sessions, e-learning modules and online tests.			■	■	■	■	■	■	■	■	■	■	■	■	i) Up to 400 government staff from PMUs, key sector ministries and ESC regulatory bodies, and up to 200 consultants, contractors and NSOs trained and IFAD-certified; ii) ESC Consultants roster available iii) Number of participants from the 2 other regions accessing e-learning modules and web toolkit	Grant Recipient	
	2.2 Expand use of integrated assessment, mapping and technological tools/techniques			■	■	■	■	■	■	■	■	■	■	■	■	i) Skills in three integrated GIS and mapping and monitoring technologies to help design and supervise projects built for PMUs in 3 regions; ii) Number of participants from the 2 other regions accessing e-learning modules and web toolkit	Grant Recipient	
	2.3 Adopt a trainer of trainers (TOT) approach			■	■	■	■	■	■	■	■	■	■	■	■	TOTs nominated by national sector ministries and contractors	Grant Recipient	
Component 3: Knowledge Management and Communities of Practice	3.1 Facilitate policy dialogue among borrowers on best practices and sustainable ESC policies			■	■	■	■	■	■	■	■	■	■	■	■	i) Three joint learning events conducted with other Multilateral Financial Institutions and UN Workstream on ESC; ii) One strategy paper highlighting ESC provisions and actions for Borrowers developed	Grant Recipient	
	3.2 Share knowledge on sound procurement and NSO operations				■	■	■	■	■	■	■	■	■	■	■	Three intra-regional learning visits conducted	Grant Recipient	
	3.3 Engage/promote dialogue among participants and trainers while enhancing grant visibility			■	■	■	■	■	■	■	■	■	■	■	■	i) Two Communities of Practice established ii) Social media platforms set up	Grant Recipient	
Component 4: Project Management	4.1 Grant administration and management		■	■	■	■	■	■	■	■	■	■	■	■	■	Progress Reports, Financial reports	Grant Recipient	
	4.2 Grant monitoring		■	■	■	■	■	■	■	■	■	■	■	■	■	SECAP ESC tracking tool	Grant Recipient/IFAD	