



Food and Agriculture Organization  
of the United Nations

## Annex 7

# Summary of consultations and stakeholder engagement plan<sup>1</sup>

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*For the GCF-FAO Project “Ecosystems-based Adaptation for resilient Watersheds and Communities in Malawi (EbAM)”*

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<sup>1</sup> This portion has been redacted in accordance with the GCF Information Disclosure Policy, as the portion is confidential under the disclosure policy of the Accredited Entity.

## Table of Contents

<b>1. INTRODUCTION .....</b>	<b>3</b>
<b>2. OVERVIEW OF COMPLETED STAKEHOLDER CONSULTATIONS .....</b>	<b>4</b>
2.1 STAKEHOLDER IDENTIFICATION/ANALYSIS.....	4
2.2 STAKEHOLDER CONSULTATIONS AT CONCEPT STAGE.....	6
2.3 PROJECT PREPARATION (FUNDING PROPOSAL) STAGE: INSTITUTIONAL STAKEHOLDER CONSULTATIONS.....	7
2.3.1 <i>First Funding Proposal Design Mission: June 5<sup>th</sup> – 11<sup>th</sup>, 2022</i> .....	9
2.3.2 <i>Second Funding Proposal Design Mission: September 25<sup>th</sup> – October 8<sup>th</sup>, 2022</i> .....	10
PROJECT PREPARATION (FUNDING PROPOSAL) STAGE: COMMUNITY STAKEHOLDER CONSULTATIONS .....	26
PROJECT PREPARATION (FUNDING PROPOSAL) STAGE: GENDER ASSESSMENT CONSULTATIONS .....	27
<b>3. STAKEHOLDER ENGAGEMENT PLAN .....</b>	<b>32</b>
3.1 PRINCIPLES AND PROCEDURES FOR STAKEHOLDER CONSULTATIONS.....	32
3.1.1 <i>General Principles and Procedures</i> .....	32
3.1.2 <i>Accommodations for Marginalised Groups</i> .....	32
3.2 COMMUNICATION AND INFORMATION DISCLOSURE .....	33
3.3 INSTITUTIONAL CONSULTATIONS.....	34
3.4 COMMUNITY CONSULTATIONS .....	34
3.4.1 <i>Overview</i> .....	34
3.4.2 <i>Target Areas for Community Consultations</i> .....	35
3.4.3 <i>Women's and Youth Group Consultations</i> .....	35
3.4.4 <i>Indigenous Group Consultations</i> .....	37
3.5 STAKEHOLDER ENGAGEMENT PLAN .....	38
3.6 MONITORING AND REPORTING .....	42
<b>4. GRIEVANCE REDRESS MECHANISM .....</b>	<b>43</b>
4.1 INTRODUCTION .....	43
4.2 COMMUNITY-BASED SYSTEM .....	43
4.3 FORMAL PROJECT-SPECIFIC GRM.....	44
4.4 FAO'S APPROACH TO THE GRM (FAO-LEVEL GRM) .....	46
4.5 GCF GRIEVANCE MECHANISM.....	48
<b>APPENDIX 1: INSTITUTIONAL STAKEHOLDER CONSULTATION DOCUMENTS .....</b>	<b>50</b>
A1.1 SECOND DESIGN MISSION PLANNING DOCUMENTS (SEPTEMBER – OCTOBER 2022): RECORD OF MEETINGS .....	50
A1.2 STAKEHOLDERS MEETING (CSA ALLIANCE) ATTENDANCE LIST .....	ERROR! BOOKMARK NOT DEFINED.
A1.3 NTCHU DISTRICT OFFICE CONSULTATION ATTENDANCE LIST .....	ERROR! BOOKMARK NOT DEFINED.
A1.4 MBS AND FAO MEETING ATTENDANCE LIST .....	ERROR! BOOKMARK NOT DEFINED.
A1.5 NSANJE DISTRICT OFFICE CONSULTATION ATTENDANCE LIST.....	ERROR! BOOKMARK NOT DEFINED.
A1.6 NENO DISTRICT OFFICE CONSULTATION ATTENDANCE SHEET .....	ERROR! BOOKMARK NOT DEFINED.
A1.7 STAKEHOLDER MEETINGS (AND WORKSHOP) ATTENDANCE SHEET .....	ERROR! BOOKMARK NOT DEFINED.
<b>APPENDIX 2: COMMUNITY STAKEHOLDER CONSULTATION DOCUMENTS .....</b>	<b>ERROR! BOOKMARK NOT DEFINED.</b>
A2.1 NTCHU COMMUNITY STAKEHOLDER CONSULTATION ATTENDANCE LIST.....	ERROR! BOOKMARK NOT DEFINED.
A2.1.1 <i>Bemvu Hill</i> .....	Error! Bookmark not defined.
A2.1.2 <i>Chipusire</i> .....	Error! Bookmark not defined.
A2.1.3 <i>Kachimanga</i> .....	Error! Bookmark not defined.
A2.2 MANGOCHI COMMUNITY STAKEHOLDER CONSULTATION ATTENDANCE LISTS.....	ERROR! BOOKMARK NOT DEFINED.
A2.2.1 <i>Mangochi District Fisheries Office</i> .....	Error! Bookmark not defined.

A2.2.2	<i>Monkey Bay Masasa</i> .....	<b>Error! Bookmark not defined.</b>
A2.2.3	<i>Mwalija Village</i> .....	<b>Error! Bookmark not defined.</b>
A2.3	NSANJE COMMUNITY STAKEHOLDER CONSULTATION ATTENDANCE LISTS .....	<b>ERROR! BOOKMARK NOT DEFINED.</b>
A2.4	NENO COMMUNITY STAKEHOLDER CONSULTATION ATTENDANCE LISTS .....	<b>ERROR! BOOKMARK NOT DEFINED.</b>
A2.4.1	<i>Lisungwi Primary School Youth Group Consultation</i> .....	<b>Error! Bookmark not defined.</b>
A2.4.2	<i>Lisungwi Primary School Consultation</i> .....	<b>Error! Bookmark not defined.</b>
<b>APPENDIX 3: OTHER STAKEHOLDER CONSULTATION DOCUMENTS .....</b>		<b>ERROR! BOOKMARK NOT DEFINED.</b>
A3.1	NTCHEU STAKEHOLDER CONSULTATION ATTENDANCE SHEET .....	<b>ERROR! BOOKMARK NOT DEFINED.</b>
A3.2	MANGOCHI (CHIMWALA) STAKEHOLDER CONSULTATION ATTENDANCE SHEET .....	<b>ERROR! BOOKMARK NOT DEFINED.</b>
A3.3	DOWA STAKEHOLDER CONSULTATION ATTENDANCE SHEET .....	<b>ERROR! BOOKMARK NOT DEFINED.</b>

## 1. Introduction

1. According to the FAO's Environmental & Social (E&S) standards (as outlined in the Environmental and Social Management Guidelines – ESMG), a Stakeholder Engagement Plan (SEP) describes a project's strategy and program for engaging with stakeholders in a culturally appropriate manner, ensuring the timely provision of relevant and understandable information, and creating a process that provides opportunities for stakeholders to express their views and concerns, and allows the entities to consider and respond to them.
2. Stakeholder engagement is a key component and investment criteria of Green Climate Fund's Revised Environmental and Social Policy. With this requirement, the GCF's commitment to improving the well-being of vulnerable people that may be affected by GCF-financed activities is prioritized.
3. The project objective is to increase the climate-change resilience of the most vulnerable rural communities at watershed level in Malawi. It will target about 83,240 hectares over 6 years and generate mitigation benefits of -2,577,998 tCO<sub>2</sub>eq. These impacts will be achieved through the implementation of three interlinked components: (i) Integrated landscape management, (ii) Resilient livelihoods and food systems, and (iii) Enabling institutional and financial environment.
4. From the outset, the formulation, design, and preparation of the Ecosystems-based Adaptation for Resilient Watersheds and Communities in Malawi (EbAM) project have been conducted in a participatory, consultative, and inclusive fashion.
5. This document summarizes stakeholder consultations and includes SEP, which serves to ensure compliance with FAO and GCF standards as well as to ensure the project adheres to international best practice in the engagement of stakeholders. Chapter 2 contains an overview of the project preparation stakeholder consultations that have been conducted involving institutional and community stakeholders during the concept and project preparation stages.
6. Chapter 3 of the SEP seeks to provide a summary of the principles and procedures that are to be applied to all consultations undertaken in respect of this project. This chapter also contains details on the project's target districts, the residents of (and institutions working within) which will form the majority of the stakeholder base for the project. This chapter also provides details on the principles and procedures to be applied during the implementation of this SEP. The SEP Table 12 in section 3.5 lists the specific requirements for engaging with relevant stakeholders. The monitoring and reporting requirements for SEP implementation are also contained in Chapter 3.
7. Chapter 4 details the Grievance Redress Mechanism that will ensure that project affected people have their concerns about the project and the associated risks afforded due respect and action.
8. Finally, the appendices attached to this SEP include attendance sheets from the stakeholder consultations undertaken during project preparation.

## 2. Overview of Completed Stakeholder Consultations

### 2.1 Stakeholder Identification/Analysis

9. Stakeholders were initially identified through discussions between the Nationally Designated Authority (NDA) (in this case the Environmental Affairs Department, MoCCNR) and the Ministry of Agriculture (MoA) during the design of the preliminary project concept. These discussions identified the ministries, departments, and partners that would likely be involved.

10. This project has also been the subject of a broad consultation process since inception, with involvement of various stakeholders ranging from governmental officials to members of local communities with a vested interest in the subject matter of the project. Table 1 provides a list of key internal stakeholders who have executive roles in respect of the project. In addition to these internal stakeholders, there are a variety of external stakeholders with a vested interest in the project. Detail in respect of the identification of and consultation with these external stakeholders is provided in section 2.4 below and in the annexed consultation attendance lists.

Table 1 - Summary List of Executive/Internal Stakeholders

Stakeholder	Role/Responsibilities
<b>Executing Entities (EE)</b>	
<b>Food and Agriculture Organization of the UN (FAO)</b>	<p>Accredited Entity (AE) and Executing Entity (EE).</p> <p>FAO will serve as the Accredited Entity (AE) for this project. As such, FAO will be responsible for the overall management of the project, including: (i) all aspects of project appraisal; (ii) administrative, financial and technical oversight and supervision throughout project implementation; (iii) ensuring funds are effectively managed to deliver results and achieve objectives; (iv) ensuring the quality of project monitoring, as well as the timeliness and quality of reporting to the GCF; and (v) project closure and evaluation. FAO will ensure these responsibilities in accordance with the detailed provisions outlined in the Accreditation Master Agreement (AMA) between FAO and GCF.</p> <p>FAO's role as AE will be attributed to the relevant offices and divisions in FAO Headquarters located in Rome, Italy (HQ), Sub-Regional Office for Southern Africa located in Harare, Zimbabwe and the Country Representation Office for Malawi (FAO-Malawi).</p> <p>In order to fulfil the AE functions, FAO will set up a dedicated Project Task Force (PTF) in line with FAO project cycle guidelines. The PTF will be composed by the Budget Holder (BH), the Lead Technical Officer (LTO), Funding Liaison Officer (FLO), HQ Technical Officer and other officers, as appropriate.</p> <p>The PTF will remain independent from the Executing Entity functions also performed by FAO (see Project execution section below). In line with the GCF policy on fees adopted through GCF Board Decision B.19/09, the above-mentioned segregation of responsibilities within FAO will ensure that the Organization can independently and effectively perform the AE functions listed in the GCF <i>General principles and indicative list of eligible costs covered under GCF fees and project management costs</i>.</p>
<b>Ministry of Agriculture (MoA):</b> (Director of the Department of Land Resources Conservation, Department of Planning Services, Department of Crop Development, Department of Animal Health and Livestock Development, Department of	Tasked with implementing technical activities at district-level in association with all the actors of the decentralized local government system.

Stakeholder	Role/Responsibilities
Research and Technical Services, Department of Water Resources, Department of Irrigation, Department of Climate Change and Meteorological Services - DCCMS, Department of Fisheries and Department of Forestry, Gene Bank)	
National Local Government Finance Committee (NLGFC)	Tasked with provision of procurement services to the project on behalf of the districts.
<b>Ministry of Finance and Economic Affairs (MoF)</b> Financial Access for Rural Markets, Smallholders and Enterprise Programme under the Pension and Financial Inclusion Division, Directorate of Debt and Aid) and NLGFC (Executive and Deputy Executive Directors)	Tasked with execution of component 2.3 on access to finance through FARMSE.
<b>Project Governance</b>	
Environmental Affairs Department (EAD) of the Ministry of Climate Change and Natural Resources (MoCCNR)	National Designated Authority (NDA) and co-chair of the Project Steering Committee (PSC)
Project Steering Committee (PSC)	<p>The PSC will be co-chaired by the NDA (Environmental Affairs Department, MoCCNR), and co-chaired by the Secretary of the MoA and FAO Representative to Malawi. It will also include the Secretary of Ministry of Climate Change and Natural Resources (MoCCNR). The National Project Coordinator of the PIU will serve as Rapporteur to the PSC. The PSC will include representatives of other key government departments and agencies, private sector and civil society organizations. These partners will include MoA Departments for Land Resources Conservation, Crop Development, Agriculture Extension Services, Agriculture Planning Services, Animal Health and Livestock Development, and respectively. The MoNRCC will also be engaged through the Departments of Forestry (DoF), Climate Change and Meteorological Services (DCCMS), Fisheries (DoF), respectively. It will also engage the NLGFC, the Ministry of Finance and Economic Affairs (MoF, Pensions and Financial Sector Division which is overseeing FARMSE), the Ministry of Community Development and Social Welfare, the Ministry of Lands, the Ministry of Industry, as well as other key entities such as Lilongwe University of Agriculture and Natural Resources (LUANAR), the National Smallholder Farmers' Association of Malawi (NASFAM), the National Water Resources Authority (NWRA), CSOs (Civil Society Network on Climate Change) and NGOs (MCSAA). Representatives of (i) the Development Cooperation Group on Environment, Resilience and Climate change (DCERCC) of the Environmental Affairs Department and (ii), the Joint Technical Committee on Climate Change and Disaster Risk Management, the Donor Committee in Agriculture and Food Security (DCAFS) will also sit in the PSC.</p> <p>The role of the PSC will be to: (i) provide overall guidance and direction to the project, ensuring it remains within any specified constraints; (ii) address project issues as raised by the national project coordinator; (iii) monitor project risks and the effectiveness of mitigation measures, and provide guidance on new project risks, and agree on possible countermeasures and management actions to address specific risks; (iv) review the project progress, and provide direction and recommendations to ensure that the agreed deliverables are produced satisfactorily according to plans; (v) review and agree with annual work plan and</p>

Stakeholder	Role/Responsibilities
	provide necessary strategic guidance for its implementation; (vi) appraise the annual project implementation report, including the quality assessment rating report; (vii) make recommendations for subsequent work plans to build on achievements and address any shortcomings; and (viii) provide ad hoc direction and advice for exceptional situations when the project coordinator's tolerances are exceeded.
Project Technical Committee (PTC)	<p>The PTC will be co-chaired by the NDA, the Department of Land Resources Conservation and FAO Representation in Malawi, which will be the Secretariat for both the PSC and the PTC. Other members of the PTC will include MoA Departments for Crop Development, Agriculture Extension Services, Agriculture Planning Services, Animal Health and Livestock Development, and Agriculture Research Services (including the Gene Bank), MoF (FARMSE) and the MoCCNR Departments of Irrigation, Forestry, and Fisheries respectively, and NASFAM, Farmers Union of Malawi (FUM), National Water Resources Authority (NWRA), and relevant CSOs and NGOs.</p> <p>The PTC will: (i) technically oversee activities in their sector; (ii) ensure a fluid two-way exchange of information and knowledge between their agency and the project; (iii) facilitate coordination and links between the project activities and the work plan of their agency; and (iv) facilitate the provision of co-financing to the project.</p>
Project Implementation Unit (PIU)	<p>The PIU will be led and managed by a project-recruited National Project Coordinator (NPC). The NPC will be appointed by FAO and will be responsible for overall project management and coordination with project stakeholders. The PIU will also include (part time) a finance officer (50%), operation officer (50%), Human resources &amp; admin officer (50%), contracts management officer, and procurement &amp; contracting officer (75%). In addition, the project PIU will include the following technical specialists: (i) 6 technical advisors for components 1 and 2, with a team of 2 specialists in each project office (central and regional): EbA &amp; Agroecology specialist, NRM specialist, (ii) Agribusiness &amp; Finance specialist (at central level), (iii) Gender and social inclusion specialist (at central level), (iv) Part time Environmental and social safeguards international technical assistance (E&amp;S) – 50%, (v) M&amp;E / GIS; and (iv) part time Knowledge Management specialist (50%).</p> <p>The main functions of the PIU, following the guidance of the PSC and project technical committee (PTC), are to ensure overall efficient management, coordination, implementation and monitoring of the project through the effective implementation of the annual work plans and budgets (AWPBs).</p> <p>The CPIU will coordinate closely with the two RPIUs (see below).</p>
Regional Project Implementation Units (RPIUs) – one for Blantyre and Mzuzu respectively	RPIUs will supervise the day-to-day project operations in each districts, liaising with the Focal Points (appointed by the EE) in each district. The regional PIU will be composed of the two technical specialists (EbA/ Agroecology specialist, NRM specialist) mentioned above, together with an M&E associate and an Administrative & Finance Associate (30%).
National Task Team (NTT)	<p>The NTT is tasked with participating in design missions, including technical meetings, field visits, workshops and courtesy calls. The NTT is comprised of:</p> <ul style="list-style-type: none"> <li>• Machpherson Nthara – DLRC (MoA);</li> <li>• Mihla Phiri – DLRC (MoA);</li> <li>• Tuntufye Ndovu – Forestry Department (MoCCNR);</li> <li>• Chimwemwe Yonasi – EAD (NDA);</li> <li>• Caesar Kachale – Catholic Relief Services (CRS, from Malawi Climate Smart Agriculture Alliance – MCSAA, working with MoA).</li> </ul>

## 2.2 Stakeholder Consultations at Concept Stage

11. Key stakeholder involvement began at the Concept Note development stage through stakeholder engagement workshops and meetings over 2020 and 2021. A stakeholder engagement workshop was organised in June 2021 to present the Concept Note. The NDA (Environmental Affairs Department) has been directly involved in the project concept preparation, in collaboration with the FAO Country Office.

Through the NDA, FAO was informed in 2020 that there were a number of organisations and institutions that had expressed interest in developing interventions for possible financial support from the GCF.

12. Through stakeholders engagement workshops and meetings over 2020 and 2021, the preparation of the CN involved a large range of stakeholders, which included: (i) the Director of the NDA, (ii) Government Departments (Director of the Department of Land Resources Conservation, Department of Planning Services, Department of Crop Development, Department of Animal Health and Livestock Development, Department of Research and Technical Services, Department of Water Resources, Department of Irrigation, Department of Climate Change and Meteorological Services, Department of Fisheries and Department of Forestry); (iii) NGOs (CARE, CRS, TLC, DF Norway, FYF, SFHC), (iv) CSO (CISONEC), (v) international research Institutions (International Centre for Research in Agroforestry - ICRAF), (vi) academia (LUANAR); (vii) the private sector (NASFAM), (viii) trusts (Malawi Environment Endowment Trust - MEET, Mulanje Mountain Conservation Trust – MMCT), (ix) Banks (National Bank of Malawi – Development Bank) and, (x) parastatal (National Water Resources Authority).

13. The Project Concept was discussed with the Development Cooperation Group on Environment, Resilience and Climate change (DCERCC) of the Environmental Affairs Department, the Joint Technical Committee on Climate Change and Disaster Risk Management, the Donor Committee in Agriculture and Food Security (DCAFS) and other UN systems entities (UNDP). The CN preparation team also met with the Development Bank of Southern Africa (DBSA – a GCF RAE) to learn about their operations in agriculture as a GCF DAE, more particularly under their Climate Finance Facility (CFF).

14. FAO had numerous meetings with the Country Management team of IFAD and the FARMSE Project Management Unit, and was invited (by IFAD and FARMSE) to participate in the entire mid-term review (MTR) of the IFAD-funded FARMSE (October/ November 2021) to identify possible co-financing arrangements and synergies between the two projects. FAO also met with the World Bank in charge of Malawi's Social Action Fund (MASAF), to discuss the Bank's experience on linking social protection programs with climate-change resilience in Malawi. FAO also presented the CN to an Impact Investment Fund (Acumen Funds – a regional GCF Accredited Entity) to explore potential co-financing.

### 2.3 Project Preparation (Funding Proposal) Stage: Institutional Stakeholder Consultations

15. Table 2 provides a broad summary of key stakeholders (both internal and external) met during the two design missions undertaken in 2022. More detail regarding the various consultations undertaken and the parties in attendance will be provided in sub-sections 2.3.1 and 2.3.2 below. Detailed attendance lists from all consultations undertaken in respect of the project (including community-level and youth-focused consultations) can also be found in the annexes attached to this Stakeholder Engagement Plan (SEP).

16. Sections 2.4 and 2.5 of this SEP then focus on consultations undertaken with local community members and gender assessment consultations respectively.

*Table 2 - Summary of Institutional Stakeholders Met During Project Preparation (Funding Proposal) Stage*

<b>Institution</b>
<b>Government and International Institutions</b>
Food and Agriculture Organisation (FAO)
Malawi Bureau of Standards (MBS)
Ministry of Finance and Economic Affairs
Ministry of Agriculture
Ministry of Finance and Economic Affairs
Ministry of Lands
Ministry of Gender, Community Development and Social Welfare
Ministry of Lands
Ministry of Natural Resources and Climate Change
National Local Government Finance Committee (NLGFC)
National Task Team (NTT)

<b>Institution</b>
Reserve Bank of Malawi
World Food Programme (WFP)
<b>Financial institutions</b>
<b>Commercial banks</b>
FDH Bank
My Bucks Bank
NBS Bank
Standard Bank
<b>Microfinance Institutions</b>
CUMO
Vision Fund
Malawi Microfinance Network (MAMN)
Malawi Investment and Trade Centre
<b>SACCOs</b>
MUSSCO
<b>Development Finance Institutions</b>
Malawi Agricultural and Industrial Investment Corporation plc (MAIIC)
<b>International Finance Institutions</b>
International Fund for Agricultural Development (IFAD)
<b>Insurance companies</b>
NICO
<b>Projects</b>
Financial Access for Rural Markets Smallholders and Enterprise Programme (FARMSE)
Promotion of Agricultural Finance for Agri-based Enterprises in Rural Areas (GIZ Agfin)
United in Building and Advancing Life Expectations (UBALE) Project
ERAP GEF-6
<b>Agricultural Associations, NGOs and Private Sector</b>
AFRIBAM
Agricultural Suppliers and Services Ltd
CARE
Catholic Development Commission in Malawi (CADECOM)
Catholic Relief Services (CRS)
Chipiku Plus Supermarkets
Climate Smart Agriculture Alliance
Development Fund of Norway
Environmental Industries
Farmers Union of Malawi
Farming Field Schools (FFS)
Find Your Feet (FYF)
Genebank
Green Innovation Centre for the Agriculture and Food Sector (GIAE)

<b>Institution</b>
Honey Products Ltd
International Potato Centre (CIP)
Invegrow Industrial Hemp
Kusamala Institute
Kwithu Kitchens
Malawi Federation of Cooperatives
Mangochi Orphan Education and Training (MOET)
Moringa Miracles
National Climate Change Fund (NCCF)
National Smallholder Farmers' Association of Malawi (NASFAM)
Naturals Ltd
Nutcellers Ltd
Satemwa Tea & Coffee
Schools and Colleges Permaculture Programme Malawi (SCOPE)
SeedCo
Shoprite Blantyre Branch
Soils, Food and Healthy Communities (SFHC)
Thanthwe Farm
Total LandCare (TLC)
TRADE
<b>Academia/International Research Institutions</b>
International Centre for Research in Agroforestry (ICRAF)
International Crops Research Institute for the Semi-Arid Tropics (ICRISAT)
Lilongwe University of Agriculture and Natural Resources (LUANAR)
Permaculture Paradise Institute

17. Detailed attendance sheets for the institutional stakeholder consultations described below can be found in Appendix 1 attached to this SEP.

### 2.3.1 First Funding Proposal Design Mission: June 5<sup>th</sup> – 11<sup>th</sup>, 2022

18. An initial FP design mission was undertaken from June 5<sup>th</sup> to June 11<sup>th</sup>, 2022. Three international members of the FAO project preparation team were joined by Malawi office FAO staff and the National Task Team (NTT). Meetings were held with the stakeholders listed in Table 3.

*Table 3 - Summary of Stakeholders Involved in First Funding Proposal Design Mission*

<b>Stakeholders Met During June 2022 Mission</b>
AFRIBAM (bamboo)
CMCs, VNRMC, FFS (farmers adopting climate resilient/agroecology practices), SMEs/ Cooperatives, Farmers Organisations: field visits
CMCS/ VNRMCs/ farmers adopting climate resilient/agroecology practices / SMEs/ Farmers Organisations in around Dedza
Commercial Banks (Standard Bank, NBS, CUMP, FINCA, Vision Fund, Bankers Association of Malawi, Malawi Microfinance Network, Reserve Bank of Malawi)
Department of Water Resources
Director of the Environmental Affairs Department
Environmental Affairs Department to discuss the National Climate Change Fund
Ministry of Gender, Community Development and Social Welfare: Women's Economic Empowerment Unit
Honey Products Ltd
MoF/FARMSE coordination team
Invegrow Industrial Hemp
Malawi Environment Endowment Trust (MEET) BEST/ MMCT
Malawi Revenue Authority for info about taxes and duties (e.g., import/export, VAT by cost category)
Ministry of Finance and Economic Affairs
NASFAM
National UNFCCC gender and climate change focal point

Naturals Ltd
Technical Directors from the Ministry of Agriculture
TransGlobe/ ETG/ Rab Processors

### 2.3.2 Second Funding Proposal Design Mission: September 25th – October 8th, 2022

19. The second design mission involved activities with a variety of stakeholders from September 25th to October 8th, 2022. A detailed schedule and list of stakeholders involved in this consultation is included in Table 4 below as well as in Appendix 1, section 2 attached to this SEP. The paragraphs below (sub-sections A-D) and the tables contained therein describe some of the key meetings undertaken during this mission. These consultations were attended by FAO staff as well as members of the National Task Team (NTT).

Table 4 - Summary List of Stakeholders Involved in Second Design Mission and Final Stakeholder Meeting

Consultation	Stakeholder
<b>Second Design Mission Planning (September 25<sup>th</sup> – October 8<sup>th</sup>, 2022)</b>	AFRIBAM (bamboo)
	AgDiv - Permaculture
	Agricultural Suppliers and Services Ltd
	Agroecology Hub Malawi: LUANAR - Lead Organisation
	Apexes (Bankers association, MUSSCO Microfinance network)
	CADECOM (Catholic Development Commission in Malawi) Chikwawa (for Southern)/Dedza (for Central Malawi)/Mangochi (for Mangochi, Balaka and Machinga)
	CMCs, VNRM, FFS (farmers adopting climate resilient/agroecology practices), SMEs/ Cooperatives, Farmers Organisations
	Environmental Industries
	ERAP GEF-6
	Extension Services and some EPA based officers (or ADD)
	FAO decentralized experts in ADDs
	Farming Field Schools (FFS)
	GeneBank
	Green Innovation Centre for the Agriculture and Food Sector (GIAE): Manager
	ICRAF Malawi
	–MoF/FARMSE PMU
	International Potato Center (CIP), implementing the DeSIRA project (dec 2019-dec 2024) i DeSIRA complements the KULIMA* project
	Kusamala institute ONG. Sites to be possibly visited include: <i>Dowa district “Climate Smart Agriculture for Rural Smallholders in Malawi”</i> <i>Dowa, JANEEMO project (takes its name from the trees used: Jatropha, Moringa and Neem).</i> <i>Mangochi &amp; Dedza districts ‘Multisectoral Food and Nutrition Security for Young Smallholders in Malawi.’</i> <i>Mangochi, African Moringa and Permaculture Project (AMPP)</i>
	Leasing Trees for Honey Production (Mitundu Extension Planning Area (EPA) under Khubwi Section)
	Malawi Agricultural and Industrial Investment Corporation Ltd (MAIIC)
	Malawi Bureau of Standards (MBS): Director of Quality Assurance
	Malawi Federation of Cooperatives: Executive Director
	Malawi Investment and Trade Centre: Director of Investment Promotion and Facilitation, Director of Finance and Administration, Director of Planning and Research, CEO
	Mangochi Orphan Education and Training (MOET)
	Ministry of Agriculture: Department of Land Resources Conservation (DLRC), Department of Agricultural Planning Services (DAPS), Agriculture research services, Crop Development
	Ministry of Finance and Economic Affairs - Pensions and Financial Sector Division (governing FARMSE): Director and Debt and Aid Management Officer, Deputy Director of the Pension and Financial Inclusion Division and Principal Debt and Aid Management Officer
	Ministry of Gender, Community Development and Social Welfare: Women’s Economic Empowerment Unit
	Ministry of Lands
	Ministry of Local Government
	Ministry of Natural Resources and Climate Change: Environmental Affairs Department, DCCMS, Department of Forestry, Department of Water Resources, Department of Fisheries

Consultation	Stakeholder
	Moringa Miracles: Director
	National Climate Change Fund (NCCF)
	National Local Government Finance Committee (NLGFC): Executive Director and Deputy Executive Director
	National Smallholder Farmer Association of Malawi (NASFAM) and Farmers Union Malawi (Malawi): Head of Programmes, Research and M&E
	Permaculture Paradise Institute
	Reserve Bank of Malawi (RBM)
	Schools and Colleges Permaculture Programme Malawi (SCOPE)
	Seed sector stakeholders (research institute producing seeds- Farmers organisations multiplying, etc.)
	Selected financial institutions (FDH, NBS, Standard bank, one SACCO (FINCOOP), NICO, CIC). MFIs
	SFHC Farmer Research and Training Centre
	Shoprite Blantyre Branch
	Shire-BEST
	TRADE: Agribusiness Officer, Community Specialist and Honey VC Expert, Environment and Climate Change Specialist
	Trusts: Shire BEST and MEET and visit some sites (for the field visits) having implemented Payment for Environmental Services
	UBALE Project: Project Manager
	VSLAs
	VNRMC
	World Bank: Social Protection team and MAWSIP team
<b>Final Stakeholder Meeting (and Workshop) (October 7<sup>th</sup>, 2022)</b>	Catholic Relief Services (CRS)
	CUMO
	Department of Animal Health and Livestock Development (DAHLD)
	Department of Land Resources Conservation (DLRC)
	EU (as chair of the Development Cooperation Group on Environment, Resilience and Climate Change (DCERCC))
	FINCA
	Food and Agriculture Organisation (FAO)
	Ministry of Finance and Economic Affairs, Financial Access for Rural Markets, Smallholders and Enterprise Programme (MoF/FARMSE)
	Land Resources Conservation Department (LRCD): Director and Deputy Director
	Ministry of Agriculture, Department of Agricultural Research Services (DARS)
	Ministry of Agriculture, Department of Fisheries
	Ministry of Climate Change and Natural Resources, Department of Forestry
	National Local Governance Finance Committee (NLGFC)
	Standard Bank
	World Food Programme (WFP)

#### A. Stakeholder Meetings September 25<sup>th</sup> – 30<sup>th</sup>, 2022

Table 5 - Summary of Institutional Stakeholder Consultations September 25<sup>th</sup> – 30<sup>th</sup>

Date and Time of Consultation	Stakeholder Group	Issues Raised/Points discussed
26 <sup>th</sup> Sept 09h00 – 10h00	Ministry of Natural Resources and Climate Change - Environmental Affairs Department (NDA)	<ul style="list-style-type: none"> <li>Need to elaborate the GCF coordinating structures</li> <li>Identify institutions and build institutional capacity through, for example, i) develop a country program and roadmap to strengthen capacity (e.g. Environmental Affairs) and ii) become accredited entities for direct access to funds</li> <li>MoA well positioned to be one of the key executing entity for the GCF EbAM project</li> </ul>
26 <sup>th</sup> Sept 10h30 – 12h00	Ministry of Agriculture (PS level): Department of Land Resources	<ul style="list-style-type: none"> <li>The project was introduced by FAO Representative and was well received</li> <li>The main comment was that the GCF EbAM project shall contribute towards agricultural outcomes and priorities</li> </ul>

	Conservation (DLRC), Department of Agricultural Planning Services (DAPS), Agriculture research services, Crop Development	<p>(production) and engage with other partners ("Productive Resilient Landscapes")</p> <ul style="list-style-type: none"> <li>DLRC was confirmed as the focal department in MoA for the project</li> <li>National Task Team (NTT) to continue supporting the Project formulation</li> </ul>
26 <sup>th</sup> Sept 14h00 – 15h00	Ministry of Natural Resources and Climate Change: DCCMS, Department of Forestry, Department of Water Resources, Department of Fisheries	<p><b>Forestry:</b></p> <ul style="list-style-type: none"> <li>The project entry point shall be the VNRMC with elected members.</li> <li>Training programs shall focus on building the VNRMC capacity as well as farmers to co-manage the natural resources.</li> <li>Non-timber enterprises shall be promoted (e.g. beehives)</li> <li>District forest officers monitor permit holders and harvesting activities.</li> <li>Bamboo plantations can be regulated through licenses and mitigate the illegal production of charcoal production in order to address the energy shortage. Bamboo can also be used for weaving and construction. But bamboo can be invasive</li> <li>CMCs are established at sub-catchment level and the VNRMC report to the CMCs. CMCs are composed by ADC, village representatives, NGOs and influential people. The VNRMC implement activities as per VLAPs (e.g. forestry, agriculture, land restoration)</li> <li>Invasive Alien Plants (IAP) are currently negatively affecting the grasslands and pastures in Malawi with particularly Black Wattle</li> </ul>
27 <sup>th</sup> Sept 08h00 – 09h30	Ministry of National Local Government Finance Committee (Executive Director level)	<ul style="list-style-type: none"> <li>The project was (re)introduced by FAO Representative and was well received (the team had already met NLGFC in June 2022)</li> <li>Proposal to engage NLGFC, like under the GEF-7 DSLP (FAO implemented), has Executing Entity to support Malawi's decentralization effort was welcome.</li> <li>Local Councils head implementation at district level, therefore councils need to accept and endorse the project activities during implementation. Project activities shall be incorporated in the Local Development Plans. Plans are approved by all Council Committees.</li> </ul>
27 <sup>th</sup> Sept 10h30 – 12h00	GeneBank	<ul style="list-style-type: none"> <li>A few community seed banks exist in Malawi. Capacity is needed to establish structures and principles.</li> <li>Promotion of intercropping as complementary cropping systems through demonstrations on community gardens managed by lead farmers/extension/researchers.</li> <li>Work with Farmer Field Schools</li> </ul>
27 <sup>th</sup> Sept 12h30 – 14h00	ICRAF	<ul style="list-style-type: none"> <li>Honey production is widespread at individual and group beekeepers. The production system needs access to trees and water. They have proven to be very successful in both conservation of forest and income generation.</li> <li>Integration of water conservation practices and rainwater harvesting (e.g. swales).</li> <li>ICRAF is one of the key partner of the Restore Africa Project. Studies (baseline analysis) on-going in selected districts</li> </ul>
27 <sup>th</sup> Sept 15h00 – 17h00	Biodigester producer/seller - Environmental Industries – Mr. Phiri	<ul style="list-style-type: none"> <li>Discussion of the background, production process, and business model of Environmental Industries, which produces organic fertilizer from human waste.</li> </ul>
28 <sup>th</sup> Sept 08h30 – 10h00	World Bank: MWASIP team	<ul style="list-style-type: none"> <li>Catchment Management Committees (CMC) = Catchment Management Plans (CMPs) for Mangochi, Balaka and Machinga. CMCs aligns with Water Resource Areas as per Water Resources Act. Although some work done at WRA in terms of strategic CMPs, the project mainly focuses on establishing "sub-catchment committees" at a smaller scale as well as VNRMC = VLAPs. Sub-catchments tend to be small sectors of the districts</li> </ul>

		<p>and shall be integrated into the DDPs (District Development Plans). If crossing over two districts, activities will be split.</p> <ul style="list-style-type: none"> <li>• The National Water Resources Authority intends to develop a fund to support resources for catchment restoration.</li> <li>• The two WB-financed projects are conflicting with each other as they promote different approaches. MWASIP is not taking the Public Works Project approach. MWASIP is based on performance-based grants as “incentives” for landscape restoration work.</li> <li>• MWASIP also provides matching grants for livelihoods for groups based on submission of business plans as well as for off-takers or agripreneurs.</li> <li>• Interventions include 15m high wall dams for irrigation purposes, establishment of market centers and access roads.</li> <li>• MWASIP will support community land management practices and livestock management (north) through FFS</li> <li>• EbAM and MWASIP both target Mangochi, creating opportunities to work in parallel or integrating activities.</li> </ul>
28 <sup>th</sup> Sept 13h00 – 14h30	SCOPE	<ul style="list-style-type: none"> <li>• This meeting involved visiting a primary school and discussion around the permaculture activities undertaken at this school with the support of SCOPE</li> </ul> <p><b>Activities:</b></p> <ul style="list-style-type: none"> <li>• Permaculture activities at the school started in 2014.</li> <li>• Vegetable production at school and outreach to learners’ homes (whole-school community approach)</li> <li>• Planting indigenous fruit trees and vegetables</li> <li>• Beekeeping was established to manage bees</li> <li>• Making organic manure or “bio-fertilizer” such as “bokachi” (fermented manure, yeast and sugar, charcoal, ash, etc.)</li> <li>• Established a seed bank – learners bring their own seeds.</li> <li>• Water harvesting – rooftop water tank. Water not well managed by learners.</li> </ul>
28 <sup>th</sup> Sept 15h30 – 17h30	Leasing Trees for Honey Production (Mitundu Extension Planning Area (EPA) under Khubwi Section)	<ul style="list-style-type: none"> <li>• Owns 2,000 beehives.</li> <li>• Produced 10 tons of honey in 2021 and 12 tons in 2022.</li> <li>• He employs 20 people to construct beehives and harvest honey.</li> <li>• LUANAR provided initial support and researchers still visit the site.</li> <li>• Establishes and supports beehives clubs of 20 youth (men and women). Each youth is responsible for 2 beehives which are paid back in instalments over time. Each beehive cost MK35,000. They are made with wood (Muimbi) harvested from local woodlot.</li> <li>• The initiative is now integrated into other districts and overseen by the local chiefs.</li> <li>• Every 6 months harvesting is done with protected gear.</li> <li>• He processes, packages (in 250ml or 500ml jars) and sells honey to local markets. High demand from established customers such as retailers and individuals. Some buyers request 3000kg at a time.</li> <li>• Sold at MK6,000/kg in 2021 and MK7,000/kg in 2022. He produces about 30 – 40kg per harvest.</li> <li>• Positive cost benefit analysis shared with communities over the monetary benefits of cutting down trees.</li> </ul>
28 <sup>th</sup> Sept 19h00 – 20h00	Enhancing the Resilience of Agro-Ecological Systems (ERASP GEF-6 funded)	<p><b>Landscape conservation activities:</b></p> <ul style="list-style-type: none"> <li>• Community Forests – natural regeneration of trees, beekeeping.</li> <li>• Gully reclamation, check dams, contour ridging, swales and water retention pits</li> <li>• Activities incorporated in VLAPs</li> </ul>

		<ul style="list-style-type: none"> <li>Incentives for upland users is in the form of goats (1 male and 4 females) which the project provides to graze in forest during the wet season and in marginal lands during dry season.</li> </ul> <p><b>Ecological/ GHG Monitoring Tools:</b></p> <ul style="list-style-type: none"> <li>EX-ACT (Carbon Monitoring)</li> <li>DATAR</li> <li>EMPAT</li> </ul>
29 <sup>th</sup> , Sept 08h00 – 09h30	Director DLRC (MoA), Department of Crop Development (MoA), Malawi CSA Alliance	<p>This 2-hour consultation meeting aimed at continuing engaging the Director and technical staff of the Department of Land Resources Conservation (DLRC) of MoA. The meeting was also attended by representatives of other MoA Departments (Department of Crop Development, DARS), and by MoA's partners from the Malawi Climate Smart Agriculture Alliance – MCSAA – who regularly collaborate with DLRC on Land Restoration activities in Malawi. Stakeholders from MCSAA included NGOs and CGIAR partners such as: (i) Catholic Relief Services (CRS), (ii) Total Land Care (TLC), (iii) CARE Malawi, (iv) Find your Feet (FYF), (v) World Agroforestry Centre (ICRAF), (vi) Irish Aid and (vii) Development Fund of Norway.</p> <p>The meeting allowed an opportunity to update stakeholders on the latest project developments, explain mission outcomes, detail design and stakeholder engagement timelines, inform about the national stakeholder engagement workshop to be organised on 7 October 2022, collect feedback/ suggestions/ recommendations, and get strategic insights from the Director of DLRC.</p> <p>The questions/ issues raised and discussed included: (i) more timeline details on Project preparation and GCF project approval processes, (ii) how EbAM will ensure synergies with other Projects investing in climate-change adaptation and land restoration, (iii) explanations on how MoA/DLRC partners with MCSAA members at national and district levels, (iv) what are the main specialities/ areas of expertise of each MCSAA partner (a template was circulated for each partner to describe its areas of work and where it operates in Malawi), (v) some information about the EverGreening Alliance Project (Restore Africa) that CRS is developing in Malawi (with financing from the Climate Asset Management – CAM), and (vi) how project preparation is funded.</p> <p>The Meeting was very positively received by all Stakeholders, more particularly the Director of DLRC who re-emphasized the importance of EbAM for the country, and her enthusiasm about the Project.</p>
29 <sup>th</sup> Sept 10h00 – 11h30	Ministry of Lands	<p><b>Background:</b></p> <ul style="list-style-type: none"> <li>Land Reform policies have been in place since 1996</li> <li>Revised National Land Policy approved in 2016 for land management and administration</li> <li>The new policy of 2016 is enacted and addresses land security issues which affects the whole country</li> <li>Previously, land was inherited from generation to generation</li> <li>Customary land falls under the new law and is managed by the Customary Land Committees at Group Village Headman level (GVH). Committees are formed by 3 men and 3 women and lead by the chief</li> <li>"Communal areas" are determined by land uses (e.g. grazing) and left as "communal"</li> <li>The land adjudication process issues land "ownership certificates". The land can be sub-leased for a period of time but not sold</li> <li>A maximum of 50-year lease can be issued to investors. The Malawi Trading Investment Centre oversees leases to international investors</li> </ul>

		<ul style="list-style-type: none"> <li>• The new land administration policy is being piloted in a few districts. Households have been issued “ownership certificates” and registered at district level</li> <li>• MoL representation at district level is not yet completed but there is representation at regional level. This includes representation from the Dept. of Surveying, physical planning and lands. Some districts have physical planners</li> <li>• National Land Use policy still needed as well as the National Resettlement Policy also needs to be formulated</li> </ul> <p><b>Implications to women’s access to land under the new legislation:</b></p> <ul style="list-style-type: none"> <li>• Households are registered as a family, not as an individual (e.g. male as head of household)</li> <li>• Sub-divisions are now possible among family members</li> <li>• Access to new land is also possible for both men and women equally through the Customary Land Committees. However, capacity needs to be built in terms of, for instance, traditional leaders’ land use planning and environmental sustainability</li> <li>• Women groups and cooperatives can apply for land</li> <li>• The MoL does the surveying, planning and final registration. No need for consultants.</li> </ul>
29 <sup>th</sup> Sept 16h30 – 18h00	World Bank – E&S Manager	<ul style="list-style-type: none"> <li>• Public Works program (PWP, approved in June 2022) for social safety-net will be implemented on a cash transfer approach – cash-on-hand for contracted labour (targeting ultra-poor communities included in social registries). Work is labour intensive and includes the construction of check dams and other run-off control measures or techniques.</li> <li>• PWP approach is different from the other World Bank funded MWASIP</li> <li>• Guided by the National Forestry Act and the National Water Resources Act.</li> <li>• Delineation of the catchments follows the Malawi Catchment Guidelines. Detailed plans are developed at sub-catchment level and VLAPs.</li> <li>• The project will be implemented in all districts.</li> <li>• SLM training is provided as well as technical and planning support and some equipment.</li> <li>• Coordination of land resource planning and GIS is needed.</li> <li>• Water resource protection for ground water management also needed.</li> <li>• Forestry, Water Resources, DLRC and Environmental Affairs need to work together.</li> </ul>



**Visit to SCOPE Primary School in Lilongwe on September 28<sup>th</sup>, 2022**



**Visit to Facility for Leasing Trees for Honey Production in Mitundu on September 28<sup>th</sup>, 2022**

### *B. Stakeholder Meetings October 2<sup>nd</sup> – 5<sup>th</sup>, 2022*

*Table 6 - Summary of Institutional Stakeholder Consultations October 2<sup>nd</sup> – 5<sup>th</sup>*

<b>Date and Time of Consultation</b>	<b>Stakeholder Group</b>	<b>Issues Raised/Points discussed</b>
2 <sup>nd</sup> Oct 13h00 - 14h15	Agroforestry – Lead Farmer (Nchilamwela area)	<ul style="list-style-type: none"> <li>Started Agroforestry in 2010 with support from ICRAF</li> <li>Initially 5 farmers and over time increased to 75 farmers</li> <li>Started with 870 Gliciridia trees in 0,1Ha and lost about 20 seedlings during the establishment. He has refilled in the second season with seedlings</li> <li>Land preparation took about 14 days and planning of trees about 1 week to plant (2 x people)</li> <li>Maize seed mainly subsidized but not secured. Depends if farmer has managed to get onto the government list</li> </ul>
3 <sup>rd</sup> Oct	Malawi Bureau of Standards (MBS) and FAO	N/a
3 <sup>rd</sup> Oct (Nsanje District Office)	CAENRO, District Environmental Officer, District Gender Officer, AGRESSO, Assistant District Officer, Principal Agriculture Officer, District	N/a

	Forestry Officer and Land Resources Officer.	
3 <sup>rd</sup> Oct 09h00 - 11h00	Shire-BEST and MEET Trusts	<p><b>Malawi Environmental Endowment Trust (MEET)</b>  <b>MEET Resource Mobilization Strategy and Pipeline:</b></p> <ul style="list-style-type: none"> <li>• National trust focusing on climate change adaptation issues</li> <li>• Need to become an accredited entity to be able to access Adaptation Fund and GCF as well as strengthening institutional capacity</li> <li>• The Adaptation Funds accreditation (which is on-going for MEET) requires a focus on gender issues.</li> </ul> <p><b>Wetlands and Landscape restoration:</b></p> <ul style="list-style-type: none"> <li>• Revolving and Sinking Funds have been channeled through partner organizations to address Ecosystems in Malawi for a period of five or more years.</li> <li>• Implementation partners are NGOs and CBOs</li> <li>• Used to support micro-projects at CBO level but need to scale up to landscape level to be able to monitor impact</li> <li>• Monitoring of projects is done by Implementation Partners and oversee by MEET to trigger disbursements</li> </ul> <p><b>Areas for support by EbAM:</b></p> <ul style="list-style-type: none"> <li>• Impact monitoring and knowledge management such as GIS mapping, in-house monitoring system and linking to national strategies and policy making.</li> <li>• Road map to improve capacity of institutions</li> </ul> <p><b>SHIRE BEST</b>  <b>Background:</b></p> <ul style="list-style-type: none"> <li>• Trust established to enable funds flow with focus on land restoration</li> <li>• Geographical area – most of the southern region of Malawi with the exception of Phalombe (approx. 3 million ha)</li> </ul> <p><b>PES models to attract funding:</b></p> <ul style="list-style-type: none"> <li>• Government: NRWA collects funds from EGENCO hydrological power station K800M/year but no contribution to catchment restoration. EGENCO started a catchment restoration pilot initiative (20ha) through a CBO and based on natural regeneration and introduction of bee hives. However, EGENCO not inclined to continue PES at the moment due to high payback to NRWA.</li> <li>• Private Sector: Illovo's flood management and biomass harvesting (from bamboo) to contribute to electricity generation (more information in notes below)</li> <li>• Community-based: Members of community develop their own PES model (e.g. beehives and rental of trees)</li> </ul> <p><b>Potential VC:</b></p> <ul style="list-style-type: none"> <li>• Beehives and honey production</li> <li>• Lemon grass as grass hedges and essential oil extraction</li> </ul> <p><b>EbAM potential areas of support:</b></p> <ul style="list-style-type: none"> <li>• Technical assistance to develop feasibility PES studies</li> </ul>
3 <sup>rd</sup> Oct 13h00 - 15h00	Field visits (sites next to Illovo)	<p><b>Meeting with Bamboo planting committee:</b></p> <ul style="list-style-type: none"> <li>• 41 people in the committee</li> <li>• Total 5 committees</li> </ul>

		<ul style="list-style-type: none"> <li>• If successful, plans to phase out initiative to other problematic areas up stream.</li> <li>• Replicate similar initiative with local bamboo species</li> <li>• Past riverbank rehabilitation interventions in villages but trees washed away (CADECOM 2016 – 2019). Initiative was overseen by VNRMC.</li> <li>• Currently the VNRMC is weak. There is support from extension to strengthen institution and engage in planting of trees on croplands adjacent/long riverbanks.</li> <li>• Current agricultural practices contribute flooding problem. No buffer zones.</li> <li>• See value of bamboo as charcoal</li> </ul>
4 <sup>th</sup> Oct (Neno District Office)	DPD, DFO, SSO, ADPO, AGRESSO, EDO, DGC and AEDO.	N/a
4 <sup>th</sup> Oct 09h00 - 12h00	FFS and VNRMC	<ul style="list-style-type: none"> <li>• Discussed the background and general activities undertaken and challenges faced by FFS and VNRMC including activities and challenges in respect of agroforestry, fire management, and cropland plots</li> </ul>
5 <sup>th</sup> Oct 11h00 - 13h00	CADECOM	<ul style="list-style-type: none"> <li>• Discussed the background, approach and activities undertaken by CADECOM which include agroecology, non-timber products, VC and market linkages and village saving and loan groups.</li> </ul>
5 <sup>th</sup> Oct 13h45 - 15h00	MOET – Mangochi Orphan Education and Training	<ul style="list-style-type: none"> <li>• Discussed the background of this NGO and its school permaculture system and outreach program.</li> </ul>



**Meeting with communities next to Illovo Sugarcane Plantation in Chikwawa on October 3<sup>rd</sup>, 2022**



**Meeting with FFS and VNRMC in Phalombe on October 4<sup>th</sup>, 2022**



**Visit to Mangochi Orphan Education and Training (MOET) on October 5<sup>th</sup>, 2022**

### *C. Financial Stakeholder Meetings September 27<sup>th</sup> – October 6<sup>th</sup>, 2022*

20. Table 7 below provides a summary of consultations undertaken with financial institutions and other technical stakeholders of various types. These consultations largely related to activities under Output 2.3, nonetheless, a brief description of the objectives and results of each of these meetings is provided in Table 7.

*Table 7 - Summary of Financial Stakeholder Meetings*

<b>Date of Consultation</b>	<b>Stakeholder Group</b>	<b>Issues Raised, points discussed and Team Response (if any)</b>
Sept 27 <sup>th</sup> , 2022	Standard Bank Head of Agribusiness Unit Head of customer channels	<p>Objectives of the meeting were:</p> <ul style="list-style-type: none"> <li>(i) to present EbAM more specifically on Sub-component 2.3 on access to finance,</li> <li>(ii) to get information on experience of the bank in agricultural finance and climate adaption finance, especially for smallholder farmers and agri SMEs,</li> <li>(iii) assess interest of the bank to partner with the Project, and,</li> <li>(iv) what would be the support and incentives that the project could provide to the bank.</li> </ul> <p>The bank confirmed its interest to finance both smallholder farmers and agri MSMEs for climate adaptation financing, and expressed needs mostly for guarantee for the loans, and to a lesser extent access to concessional</p>

Date of Consultation	Stakeholder Group	Issues Raised, points discussed and Team Response (if any)
		<p>resources, and technical assistance (TA) in various areas, since the bank does not have experience in climate adaptation financing, including product development, training of the staff, development of their Unayo digital platform and development of insurance products.</p> <p>Response was that TA could be provided through FARMSE Innovation and outreach component, and that FARMSE could also link the bank to financial instruments (guarantee, concessional credit line).</p>
Sept 28 <sup>th</sup> , 2022	<p>Malawi Microfinance Network (MAMN)</p> <p>Professional Association of MicroFinance Institutions (MFIs)</p> <p>Executive director</p>	<p>Objectives of the meeting were:</p> <ul style="list-style-type: none"> <li>(i) to present EbAM more specifically on Sub-component on access to finance,</li> <li>(ii) to get information on experience of the MFIs in agricultural finance and climate adaption finance, especially for smallholder farmers and agri SMEs,</li> <li>(iii) assess interest of the MFIs to partner with the Project, and;</li> <li>(iv) what would be the support and incentives that the project could provide to the MFIs.</li> </ul> <p>The executive director confirmed interest in principle of six of its member MFIs to finance smallholder farmers, and expressed needs to access concessional resources, and technical assistance (TA) in various areas, since the MFIs do not have experience in climate adaptation financing, including product development and training of the staff.</p> <p>Response was that TA could be provided through FARMSE Innovation and outreach component, and that FARMSE could also link the MFIs to financial instruments, including concessional credit lines.</p>
Sept 28 <sup>th</sup> , 2022	<p>Malawi Agriculture and Industrial Investment Corporation (MAIIC)</p> <p>Chief Projects Development Officer</p>	<p>Objective of the meeting was to confirm whether MAIIC could mobilize its financial instruments (debt and guarantee) for the financial institutions that will be engaged by the Project through FARMSE. MAIIC agreed that it would be feasible in principle, depending on the quality and compliance of the applications by the financial institutions.</p> <p>MAIIC confirmed that this partnership would enable it to comply with one of its mandates that is to promote climate adaptation.</p>
Sept 29 <sup>th</sup> , 2022	<p>Malawi Union of Savings and Credit Cooperatives</p> <p>Head, Cooperatives Development and Projects</p> <p>Head of finance, human resource and administration</p>	<p>Objectives of the meeting were:</p> <ul style="list-style-type: none"> <li>(i) to present EbAM more specifically on Sub-component on access to finance,</li> <li>(ii) to get information on experience of the SACCO sector in agricultural finance and climate adaption finance, especially for smallholder farmers and agri SMEs,</li> <li>(iii) assess interest of the SACCO sector to partner with the Project, and;</li> <li>(iv) what would be the support and incentives that the project could provide to the SACCO sector.</li> </ul> <p>MUSSCO confirmed interest of the sector to finance climate adaptation for smallholder farmers and small enterprises, and expressed needs for access to concessional resources and to a lesser extent for guarantee for the loans, and technical assistance (TA) in various areas, since the SACCO do not have experience in climate adaptation financing, including product development and training of the staff.</p> <p>Response was that TA could be provided through FARMSE Innovation and outreach component (MUSSCO applying together with selected members), and that FARMSE could also link MUSSCO Central Finance Facility to financial instruments (guarantee, concessional credit line).</p>
Sept 29 <sup>th</sup> , 2022	NBS Bank	<p>Objectives of the meeting were:</p>

Date of Consultation	Stakeholder Group	Issues Raised, points discussed and Team Response (if any)
	Senior SME Banker Agribusiness manager Agency Banking Manager	<p>(i) to present EbAM more specifically on Sub-component on access to finance,</p> <p>(ii) to get information on experience of the bank in agricultural finance and climate adaption finance, especially for smallholder farmers and agri SMEs,</p> <p>(iii) assess interest of the bank to partner with the Project, and;</p> <p>(iv) what would be the support and incentives that the project could provide to the bank.</p> <p>The bank confirmed its interest to finance both smallholder farmers and agri MSMEs for climate adaptation financing and expressed needs for guarantee for the loans, access to concessional resources, and technical assistance (TA) in various areas, since the bank does not have experience in climate adaptation financing, including product development and training of the staff.</p> <p>Response was that TA could be provided through FARMSE Innovation and outreach component, and that FARMSE could also link the bank to financial instruments (guarantee, concessional credit line).</p>
Sept 29 <sup>th</sup> and October 3 <sup>rd</sup> , 2022	FARMSE PMU coordinator and Technical advisor	<p>Two meetings were organized with FARMSE PMU, building on previous discussions, to specify activities that would be implemented by MoF/FARMSE as co executing entity of FARMSE for EbAM sub component on access to finance, and the corresponding co-financing amount by the MoF through FARMSE.</p> <p>Activities were identified as part of component 2 of FARMSE, for support to CBFOs and support to formal financial institutions to develop and deliver products to finance EbA investments for EbAM target groups.</p>
October 3 <sup>rd</sup> , 2022	MyBucks Bank Deputy Managing Director Strategic partnerships manager	<p>Objectives of the meeting were:</p> <p>(i) to present EbAM more specifically on Sub-component on access to finance,</p> <p>(ii) to get information on experience of the bank in agricultural finance and climate adaption finance, especially for smallholder farmers and agri SMEs,</p> <p>(iii) assess interest of the bank to partner with the Project, and;</p> <p>(iv) what would be the support and incentives that the project could provide to the bank.</p> <p>The bank confirmed its interest to finance both smallholder farmers (through offtakers) and agri MSMEs for climate adaptation financing and expressed needs for guarantee for the loans, access to concessional resources, and technical assistance (TA) in various areas, since the bank does not have experience in climate adaptation financing, including product development and training of the staff.</p> <p>Response was that TA could be provided through FARMSE Innovation and outreach component, and that FARMSE could also link the bank to financial instruments (guarantee, concessional credit line).</p>
October 5 <sup>th</sup> , 2022	FDH Bank Agribusiness manager Head Personnel and business banking Head Digital Financial Services Agency Banking Manager	<p>Objectives of the meeting were:</p> <p>(i) to present EbAM more specifically on Sub-component on access to finance,</p> <p>(ii) to get information on experience of the bank in agricultural finance and climate adaption finance, especially for smallholder farmers and agri SMEs,</p> <p>(iii) assess interest of the bank to partner with the Project, and;</p> <p>(iv) what would be the support and incentives that the project could provide to the bank.</p> <p>The bank confirmed its interest to finance both smallholder farmers and agri MSMEs for climate adaptation financing and expressed needs for</p>

Date of Consultation	Stakeholder Group	Issues Raised, points discussed and Team Response (if any)
		<p>guarantee for the loans, access to concessional resources, and technical assistance (TA) in various areas, since the bank does not have experience in climate adaptation financing, including product development and training of the staff, and digitization of the credit processes.</p> <p>Response was that TA could be provided through FARMSE Innovation and outreach component, and that FARMSE could also link the bank to financial instruments (guarantee, concessional credit line).</p>
Oct 6 <sup>th</sup> , 2022	IFAD Senior Regional Technical Specialist	<p>Outcomes of the discussions with FARMSE PMU were presented, and IFAD, as funder of FARMSE, concurred with orientations and activities proposed, under component 2 of FARMSE, for support to CBFOs and support to formal financial institutions to develop and deliver products to finance EbA investments for EbAM target groups.</p> <p>Opportunities to seek synergies with ARCAFIM (Africa Rural Climate Adaptation Finance Mechanism), for which IFAD is developing a funding proposal for GCF, have also been discussed. Both concessional resources and guarantee could be a source of synergies with the partner financial institutions through this mechanism.</p>

#### *D. Final Stakeholders Meeting (and Workshop): October 7<sup>th</sup>, 2022*

21. This event consisted of a stakeholder workshop and two stakeholder meetings conducted on October 7<sup>th</sup>, 2022 at the Crossroads Hotel. The stakeholder workshop had 35 participants. Institutions represented in this event are listed in Table 4 above.

22. The FAO team leading the formulation of the Ecosystem-based Adaptation for resilient watersheds and communities in Malawi conducted a final consultation with heads of government departments, seed and banking sector representatives, development partners and NGOs. The team conducted the consultations through a meeting held on 7 October 2022 at Crossroads Hotel in Lilongwe.

23. The formulation team-leader presented the overall project as well as specific project components over which the team conducted consultations and started formulating the project components. Later the team requested the participants to form four groups with each group focusing on one component to provide feedback. The groups presented their feedback at the end of the discussions. The feedback is provided in Table 8 below.

*Table 8 - October 7th Stakeholder Meeting Feedback*

Group number	Discussion
<b>Group 1: Component 1</b>	<ul style="list-style-type: none"> <li>- Avoid overlaps with existing and similar projects whilst making sure that potential beneficiaries are not left out. Therefore, do a proper mapping to find out existing implementers and target areas</li> <li>- Need to harmonise structures as different ministries have different and sometimes antagonistic policies</li> <li>- Need proper donor coordination to take advantage of the synergies – supporters of different initiatives</li> <li>- Different agencies at the council level to be involved in the planning stage for common understanding</li> <li>- Council-level structures should understand clearly the intentions of the particular project as they assist in the implementation at the lower level like the CMC, VNRMC, and VDCs that are connected to the district-level structures</li> <li>- Ensure proper communication channels or bring every key stakeholder to the same level of understanding</li> <li>- Relevance of livestock production, as well as fisheries, aquatic ecosystems</li> </ul>

Group number	Discussion
	<ul style="list-style-type: none"> <li>- Raise awareness among stakeholders/partners about the project to ensure project ownership of the implementation process</li> </ul>
<b>Group 2: Component 2</b>	<ul style="list-style-type: none"> <li>- Similar activities with adaptation fund hence the need to ensure complementarity and avoid duplication in site selection and the PSC for the existing project should include FAO as a member for common understanding</li> <li>- To learn from other projects on complexities of executing arrangements for learning</li> <li>- Relevance of fisheries/aquaculture activities/elements</li> <li>- Institutionalization of FFS in the ministry is not happening as this is only a project concept. Therefore, the Ministry should be decisive on the matter</li> </ul>
<b>Group 3: Component 3</b>	<ul style="list-style-type: none"> <li>- When developing policies engage the Ministry of Finance to get support for implementation to enhance local financing/co-financing</li> <li>- Develop alternative sources of energy to reduce reliance on forestry-based energy</li> <li>- Targeting should consider both the rural and urban poor</li> <li>- Government long-term investment in hydropower should diversify energy sources</li> <li>- Engage the private sector - training the farmers to comply easily with requirements for the banks</li> </ul>
<b>Group 4: Gender, Environmental and Social Safeguards</b>	<ul style="list-style-type: none"> <li>- Clearly define the difference between the youth and children to avoid misunderstanding child labour issues</li> <li>- Youth should be taken as a key in all the project components as we know that in Malawi youth comprise a large percentage of the population</li> <li>- To increase access to land by the youth, the project should consider piloting new models of land accessibility</li> <li>- Mindset change and social marketing should be part of the project to effect behaviour change in the farmers and community members</li> <li>- Considering that banks are interested in those who are in profitable businesses, the project should consider enhancing access to startup capital to the youth and women.</li> </ul>

#### *A. Stakeholder engagement workshop: April 19<sup>th</sup> 2023*

24. The stakeholders' engagement workshop held on 19 April 2023 served as a platform to provide feedback on the EbAM proposal. Attendees included representatives from government agencies, international organizations, research institutions, and civil society groups (see Appendix A3.4). The workshop, conducted in a hybrid format with both physical and virtual participation, allowed for extensive discussions on different aspects of the proposal.

25. The workshop commenced with opening remarks from FAO representatives, acknowledging the valuable contributions of stakeholders and emphasizing the significance of their continued involvement. Subsequent presentations by FAO team members covered various components of the proposal, including its outline, climate impact assessment, theory of change, implementation arrangements, and financing. These presentations provided stakeholders with detailed insights into the project's objectives, strategies, and expected outcomes.

26. During the deliberations, stakeholders actively participated providing valuable feedback on specific components of the proposal. Discussions covered a wide range of topics, including crop production, market

development, research integration, gender considerations, and implementation modalities. The FAO team responded to each query, offering clarifications and addressing questions raised by stakeholders.

27. As the workshop concluded, participants agreed to remain engaged throughout the proposal refinement process, ensuring alignment with stakeholder expectations and priorities. The collaborative spirit exhibited during the workshop underscored the shared commitment to addressing climate change challenges and building resilient communities in Malawi.

28. In closing, stakeholders expressed gratitude for the opportunity to contribute to the proposal's development and pledged continued support for subsequent processes and project implementation. The workshop served as a testament to the collective efforts aimed at safeguarding Malawi's ecosystems and empowering local communities to adapt to the impacts of climate change.

*Table 9 – April 19<sup>th</sup> Stakeholder Engagement Workshop*

Component	Discussion	Source	Response
Component 1	The increase in groundnut production despite climate change impacts is noteworthy.	Department of Crops Development	Groundnut is resilient to climate change, with some studies suggesting it may perform better under changing conditions. Climate models may not fully capture Malawi's climate complexity.
	Integrated landscape management should include beach village committees, considering aquatic ecosystem services.	Senior Deputy Director of Fisheries	The funding proposal mentions integrated mixed-farming systems, inclusive of small livestock and fisheries, promoting biodiversity beyond crop fields. EbA considers all organisms for climate adaptation.
	Wetland conservation should be part of the biodiversity promotion strategy.	Grants Officer at the Malawi Environmental Endowment Trust	Project interventions guided by VLAP planning may include wetland restoration if locally prioritized.
Component 2	The proposal should address incorporating adaptive research and actual research for better understanding.	Department of Agriculture Research Services	The project plans to utilize the Farmer Field School (FFS) approach for participatory research and knowledge sharing, promoting ongoing research activities.
	Was the Ministry of Trade, to assess market trends and preferences, consulted?	Department of Crops Development	Extensive consultations with both public and private sector stakeholders were conducted, including the Ministry of Trade, to assess market trends and preferences.
	Farmer field school training plans should include Assistant Veterinary Officers for comprehensive coverage.	Chief Livestock and Animal Health Officer, Department of Animal Health and Livestock Development	Livestock production will be considered under FFS practices, particularly in the north, based on farmer needs identification during group creation.
Component 3	The project aims to assist with derisking arrangements for beneficiaries accessing finance, potentially decreasing loan costs.	Shire Basin and Environmental Support Trust	The project aims to support Financial Service Providers in developing adapted and affordable products, which could decrease loan costs for borrowers. The use of partial grants for investment costs is not considered sustainable.

	Private sector engagement in restorative activities will involve a multi-pronged approach to generate funds.	Senior Deputy Director of Fisheries	The project proposal envisions a multi-pronged approach involving various private sector players and local environmental trusts to mobilize funds for conservation and restoration activities.
Implementation Modality	Clarity on the institutions involved in the project's technical/steering committee is crucial for effective implementation.	Senior Deputy Director of Fisheries	Implementation arrangements are detailed in the Funding Proposal (FP), section B.4.
	Understanding government co-financing and its nature (cash or in-kind) is essential for budget planning.	Senior Deputy Director of Fisheries	The percentage of government co-financing (in kind) is indicated in the Funding Proposal (FP) section C.
Gender Discussion	Adequate attention to gender issues in the proposal is commendable and should continue during implementation.	Ministry of Gender, Community Development, and Social Welfare	Gender-related concerns such as sexual exploitation, abuse, and harassment (SEAH), gender analysis, and sex-disaggregated data are well articulated. The Ministry commended and encouraged continued emphasis on gender during implementation.

## Project Preparation (Funding Proposal) Stage: Community Stakeholder Consultations

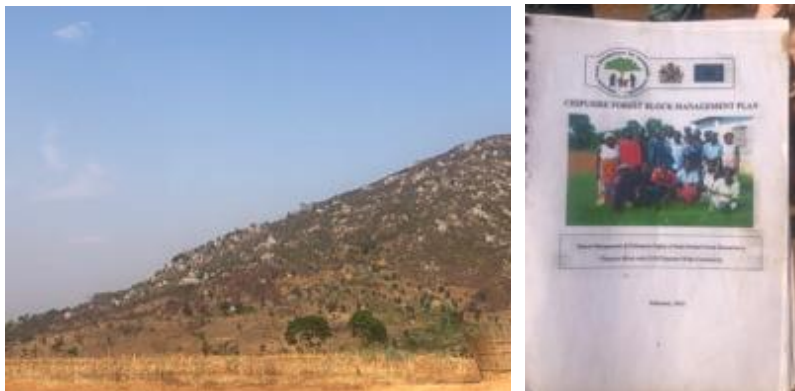
29. Table 9 below provides an overview of community consultations conducted during the FP stage. Detailed attendance sheets for the community stakeholder consultations described below can be found in Appendix 2 to this SEP.

*Table 9 – Summary of FP Stage Community Consultations*

District	Location	Date	Total Attendance	% Female Participants
Ntcheu (visit to four landscape restoration projects implemented by village committees)	Bemvu Hill	September 30 <sup>th</sup> , 2022	13 (9 community members and 4 traditional leaders)	54%
	Chipusire	September 30 <sup>th</sup> , 2022	9 (8 community members and 1 traditional leader)	56%
	Katchimanga	September 30 <sup>th</sup> , 2022	19 (17 community members and 2 traditional leaders)	100%
	Gongolo	September 30 <sup>th</sup> , 2022	29 (including 26 including the following affiliations: GVH, VNRMC, Bee Keepers and VSL)	56%
Mangochi	Mangochi District Fisheries Office (Gender Assessment consultation)	October 1 <sup>st</sup> , 2022	4	50%
	Monkey Bay, Masasa	October 1 <sup>st</sup> , 2022	17 (12 members of Kacheta Womens' Cooperative and 5 Fish Land Ladies)	94%
	Mwalija Village	October 1 <sup>st</sup> , 2022	30 (including members of the Beach Village Committee (BVC), VNRMC, VAC, youth and female fish traders)	47%
	Chimwala	October 2 <sup>nd</sup> , 2022	12 (including representatives of VNRMC, DIMITRA, VAC, VSL, FFS, Community Leaders and Fish Traders)	77% (of those who listed their gender)
Nsanje		October 3 <sup>rd</sup> , 2022	15 (12 community members, 2 traditional leaders and 1 local authority) (groups represented in this consultation include VDC, VNRMC, AEDC, AEDO, VAC and GVH)	21%
Neno	Lisungwi Primary School	October 5 <sup>th</sup> , 2022	29 (28 community members and 1 traditional leader)	75%
	Lisungwi Primary School (Youth Group Consultation)	October 5 <sup>th</sup> , 2022	10 (all members of Uyele Youth Club)	60%
Dowa	Madisi	October 6 <sup>th</sup> , 2022	7	Information not available



**Community Forest Project in Ntcheu District Visited on September 30<sup>th</sup>, 2022**



**Community Forest Reserve (Co-Management) Project in Ntcheu District Visited on September 30<sup>th</sup>, 2022**

### **Project Preparation (Funding Proposal) Stage: Gender Assessment Consultations**

30. This section provides an overview of consultations undertaken with a particular focus on gender and youth-specific issues and awareness of gender/youth issues including legislation, regulations and international conventions. More detail on the questions posed during these consultations can be found in the Gender Assessment and Action Plan in Annex 8 to the Funding Proposal.

Table 10 – Summary of Gender Assessment Consultations

District	Location	Date	Type of Stakeholders	Female Participants	Male Participants	Issues Raised/Points discussed
N/a	N/a	September 29 <sup>th</sup> and October 6 <sup>th</sup> , 2022	Ministry of Gender	N/a	N/a	<ul style="list-style-type: none"> <li>- Women's household burden and time constraints</li> <li>- Targeting of women and young generation</li> <li>- How to support women on land issues: sensitization on the land policy</li> <li>- Gender based violence</li> <li>- Use of the Household and Dimitra approaches in EbAM</li> <li>- Experience of the Gender, Climate Change and Agriculture Support Project</li> <li>- GRM: existence of multiple GRM for the various project to be avoided</li> <li>- Any innovative gender strategy?</li> </ul>
	Mzuzu	October 11 <sup>th</sup> , 2022	Mzuzu ADD	N/a	N/a	<ul style="list-style-type: none"> <li>- Gender and land resource conservation</li> <li>- Crop production</li> <li>- Agricultural extension support services, research and technical services</li> </ul>

District	Location	Date	Type of Stakeholders	Female Participants	Male Participants	Issues Raised/Points discussed
Nkhata-bay	Mpamba	October 12 <sup>th</sup> , 2022	Chinganya VNRM and VSL	4	3	
		October 12 <sup>th</sup> , 2022	District Agriculture CAENRO Office	N/a	N/a	<ul style="list-style-type: none"> <li>- Gender issues and natural resource management</li> <li>- Past and ongoing experience</li> <li>- Roles and scope of interventions of the various stakeholders: <i>The Chief Agriculture Environmental and Natural Resources Office is responsible for organizing, planning and implementation of agricultural extension programs. The extension program has 6 technical offices. The extension services, crops development, animal health&amp; livestock development, research, planning services, land resource conservation and irrigation. The CAENRO coordinates and collaborates with officers from other key sectors within the District.</i></li> <li>- Agriculture extension service delivery</li> <li>- Household methodology approach</li> <li>- Roles in programme/project implementation</li> </ul>
	Mpamba	October 12 <sup>th</sup> , 2022	Mbwadu cooperative	3	4	See annex 8
	Mpamba	October 12 <sup>th</sup> , 2022	Mpamba community maize mill representatives	2	3	See annex 8
	Kapalapata Village Makwezu	October 13 <sup>th</sup> , 2022	Makwezu Youth club representatives	4	3	See annex 8
	Kapalapata Village Makwezu	October 13 <sup>th</sup> , 2022	Makwezu Kuja-Nkujaliana women's soap making group	12	0	See annex 8
	Kapalapata Village Makwezu	October 13 <sup>th</sup> , 2022	Makwezu community leaders	5	6	See annex 8
Rumphi	Mungoti	October 14 <sup>th</sup> , 2022	Mungoti Local Leaders	0	5	

		October 14 <sup>th</sup> , 2022	District Agriculture CAENRO Office	N/a	N/a	<ul style="list-style-type: none"> <li>- Gender issues and natural resource management</li> <li>- Past and ongoing experience</li> <li>- Roles and scope of interventions of the various stakeholders: <i>The Chief Agriculture Environmental and Natural Resources Office is responsible for organizing, planning and implementation of agricultural extension programs. The extension program has 6 technical offices. The extension services, crops development, animal health&amp; livestock development, research, planning services, land resource conservation and irrigation. The CAENRO coordinates and collaborates with officers from other key sectors within the District.</i></li> <li>- Agriculture extension service delivery</li> <li>- Household approach</li> <li>- Roles in programme/project implementation</li> </ul>
	Mungoti	October 14 <sup>th</sup> , 2022	Goat farming club, VSLA, LEAD Farmers, Paprika& pepper farming, VNRMCs, bee keeping group	12	14	<ul style="list-style-type: none"> <li>- Goat farming club activities</li> <li>- VSLA activities</li> <li>- Paprika &amp; pepper farming</li> <li>- VNRMC activities</li> <li>- Bee keeping</li> <li>- See annex 8 for detail</li> </ul>
	Lundu-Bolero	October 14 <sup>th</sup> , 2022	Lundu farmers	30	13	See annex 8
	Lundu-Bolero	October 14 <sup>th</sup> , 2022	Lundu community leaders	0	4	See annex 8
Dedza	Mpalale	October 17 <sup>th</sup> , 2022	Ngwere farmers	9	2	See annex 8

		October 27 <sup>th</sup>	District Agriculture CAENRO Office	N/a	N/a	<ul style="list-style-type: none"> <li>- Gender issues and natural resource management</li> <li>- Past and ongoing experience</li> <li>- Roles and scope of interventions of the various stakeholders: <i>The Chief Agriculture Environmental and Natural Resources Office is responsible for organizing, planning and implementation of agricultural extension programs. The extension program has 6 technical offices. The extension services, crops development, animal health&amp; livestock development, research, planning services, land resource conservation and irrigation. The CAENRO coordinates and collaborates with officers from other key sectors within the District.</i></li> <li>- Agriculture extension service delivery</li> <li>- Household approach</li> <li>- Roles in programme/project implementation</li> </ul>
	Mpalale	October 17 <sup>th</sup> , 2022	Youth Fish farmers	3	0	See annex 8
	Ngwere Model Village	October 17 <sup>th</sup> , 2022	Lead farmers	9	2	See annex 8

### 3. Stakeholder Engagement Plan

#### 3.1 Principles and Procedures for Stakeholder Consultations

31. This section will outline general principles and procedures that must be adhered to in all consultations undertaken throughout the lifecycle of the project as well as particular accommodations for marginalised groups that must be implemented where deemed necessary in the Stakeholder Engagement Plan Table 12 in section 3.5 of this SEP.

##### 3.1.1 General Principles and Procedures

###### *A. Freedom from manipulation, interference, coercion and intimidation*

32. All consultations held throughout the project's lifecycle must be conducted in a manner that promotes the safety of participants but prevents potential perceptions of intimidation. Timelines for consultations (particularly community consultations) must be respectful of stakeholder decision-making processes, preferences, and livelihoods. As such, scheduling of consultations must avoid periods of increased work for local farmers (i.e. harvest periods) to ensure that they are able to attend if they so wish.

33. No acts of intimidation or violence, provision of bribes, gifts or unregulated patronage are permissible during consultations in respect of the project. Consultations must be conducted free-of-charge.

###### *B. Culturally appropriate*

34. Information disclosed directly to stakeholders or made publicly available must be tailored to the languages spoken in the regions in which the material is disclosed. Local project staff are best placed to determine when such translation is necessary. A summary translation into Chichewa, national language, will be done. Given potential literacy challenges, the significant role that FPIC facilitators and ILM facilitators can play in effectively communicating project information to local stakeholders in their native languages to ensure that they are adequately informed and consulted throughout the project implementation process (sub-activities 1.1.1.2 and 1.1.3.1). More detail on information disclosure is provided in section 3.2 below.

###### *C. Based on prior disclosure of information*

35. Information on the project's purpose, nature, scale, duration and potential risks must be provided in a timely and accessible manner. This includes ensuring that draft social and environmental assessments and management plans are disclosed and that stakeholder feedback on them is considered during consultations. More information regarding the communication and disclosure of information is provided in section 3.2 below.

##### 3.1.2 Accommodations for Marginalised Groups

36. In addition to these accommodations that will be embedded in relevant consultations, requirements for women's and youth group-targeted consultations are provided in 3.4.3 below. Where the Stakeholder Engagement Plan Table 12 (in section 3.5) states that specific approaches for marginalised groups are necessary at a consultation, the following principles and procedures must be applied.

37. Community consultations undertaken in respect of the project will aim for a female participation rate of no less than 50%. Project staff should be aware that male and female stakeholders may have different interests in and abilities to influence the outcome of the project. For example, the literacy rate for the female population in Malawi is notably lower than that of the male population. To address this issue (particularly regarding consultations for which the Stakeholder Engagement Plan Table 12 indicates specific approaches for marginalised people are required), project information should be disseminated

through various media including announcements in community forums, market days, picture-based texts and through radio and television broadcasts where possible. To facilitate the meaningful participation of women and youth community members, consultations should be planned with consideration of the daily routines of these groups. Where possible, consultations should be held in locations that are accessible for participants with disabilities.

### 3.2 Communication and Information Disclosure

38. Disclosure of relevant information related to the project is an integral part of ensuring full, effective and meaningful stakeholder engagement. As such, the project will ensure communication and information disclosure in a culturally appropriate manner and in accordance with the national framework, FAO/GCF standards and international best practice.

39. The FAO Country Office and PIU will disclose all relevant information concerning the project's social and environmental risks, the progress of risk management actions and the methods for raising a project-related grievance by establishing a dedicated information portal and, through other mediums, meeting the specific beneficiaries' needs. These information disclosure channels will also be made available and accessible through the project's co-EEs' (the government of Malawi acting through MoA/DLRC, NLGFC and MoF/FARMSE) web portals and other communication channels.

40. To address potential issues of unequal access, project information should also be disseminated in the relevant languages listed in section 3.1.1(b) above and through various media including announcements in community forums, market days, picture-based texts and through radio and television broadcasts where possible. Given potential literacy challenges, the significant role that FPIC facilitators and ILM facilitators can play in effectively communicating project information to local stakeholders in their native languages to ensure that they are adequately informed and consulted throughout the project implementation process (sub-activities 1.1.1.2 and 1.1.3.1).

41. After the completion of each consultation, a summary will be circulated to participants for feedback and will be publicly disclosed through the web portals and other methods of communication mentioned above. Monitoring and evaluation reports (described in section 3.6 of this SEP) and information on how to access the project's Grievance Redress Mechanism (described in chapter 4 of this SEP) will also be disclosed through these web portals and alternative communication methods.

*Table 11 – Main Communication and Information Disclosure Methods*

Method of Communication/Disclosure	Tools to be Used	Responsibility
Information on project social and environmental risks and the progress of risk management actions	<ul style="list-style-type: none"> <li>Publication on FAO and relevant co-EE web portals</li> <li>Radio and television broadcasts</li> <li>Announcements in community forums</li> </ul>	FAO
Information on methods for raising a grievance	<ul style="list-style-type: none"> <li>Publication on FAO and relevant co-EE web portals</li> <li>Announcements in community forums and market days</li> <li>Provision of picture-based texts</li> </ul>	FAO
Details of proposed stakeholder consultations	<ul style="list-style-type: none"> <li>Publication on FAO and relevant co-EE web portals</li> <li>Announcements in community forums and market days</li> <li>Provision of picture-based texts</li> <li>Direct e-mail and letter invitations where necessary (particularly to be sent to Dimitra clubs)</li> </ul>	FAO
Summary/feedback from completed consultations	<ul style="list-style-type: none"> <li>Publication on FAO and relevant co-EE web portals</li> </ul>	FAO

	<ul style="list-style-type: none"> <li>• Announcements in community forums and market days</li> <li>• Provision of picture-based texts</li> </ul>	
Monitoring and evaluation reports	<ul style="list-style-type: none"> <li>• Publication on FAO and relevant co-EE web portals</li> <li>• Radio and television broadcasts</li> <li>• Announcements in community forums</li> </ul>	FAO

### 3.3 Institutional Consultations

42. “Institutional Stakeholders” for the current purposes refers to: (i) institutions and staff established by the project; (ii) government institutions; (iii) financial institutions (including commercial banks, microfinance institutions, SACCOs, development finance institutions, international finance institutions and insurance companies); (iv) representatives from other past/existing projects; (v) agricultural associations and private sector entities; and (vi) NGOs.

43. During the formulation phase, a variety of consultations were undertaken with institutional stakeholders (details regarding these consultations can be found in section 2.3 of this SEP. Similar institutional stakeholder meetings are to be held throughout implementation in accordance with the timelines/frequency levels listed in the Stakeholder Engagement Plan Table 12 provided in section 3.5 of this SEP.

44. Consultations with institutional stakeholders are to be completed in the format of meetings, with focus group discussions during these meetings where necessary (similar to those undertaken in the final stakeholder consultation on October 7<sup>th</sup>, 2022 (see 2.3.2(d) above). These consultations shall be conducted in Lilongwe, Blantyre and Mzuzu as deemed most appropriate considering the parties proposed to attend. Where possible, remote access should be offered to increase accessibility. The frequency and proposed parties for such institutional stakeholder consultations will be carried out in accordance with the Stakeholder Engagement Plan chapter of this SEP.

45. Reasonable notice shall be provided to relevant institutional stakeholders prior to a proposed consultation. This notice will provide details on the timing, location (including details for remote access where possible) and proposed subject matter of the consultation. Such notice shall be posted on the FAO Country Office and other Executing Entity (EE) web portals and otherwise disclosed using the other methods stipulated in section 3.2 above. Direct notice sent to particular institutional stakeholders in the form of emails or letters may also be necessary pending assessment of attendance rates of early implementation consultations.

### 3.4 Community Consultations

#### 3.4.1 Overview

46. During the preparation phase, a variety of consultations were undertaken with community stakeholders (details regarding these consultations can be found in section 2.4 of this SEP). The previous consultations largely took the form of public meetings. However, community consultations throughout implementation may take the following forms: (i) public hearings or meetings; (ii) workshops or seminars; (iii) focus groups; (iv) round tables; (v) discussions as part of conducting surveys or census studies; (vi) consultations using electronic media; and, (vii) awareness and outreach campaigns.

47. The project will also rely on the use of the Dimitra Clubs and the Household approach (HHA), two methodologies that have proven being effective in terms of community engagement, social mobilization and inclusion, collective action, gender equality and equitable sharing of decision-making power both at household and community levels.

48. The frequency, proposed locations and formats for such community stakeholder consultations will be carried out in accordance with the Stakeholder Engagement Plan Table 12 provided in section 3.5 of this SEP.

49. Reasonable notice shall be provided to relevant community stakeholders prior to a proposed consultation. This notice will provide details on the timing, location (including details for remote access where possible) and proposed subject matter of the consultation. Such notice shall be posted on the FAO Country Office and other Executing Entity (EE) web portals and otherwise disclosed using the other methods stipulated in section 3.2 above.

### 3.4.2 Target Areas for Community Consultations

50. This section aims to provide an overview of the methods used to identify target districts and demographics for the project. The target districts identified through these methodologies will be the areas (and groups within these areas) for which community consultations (as prescribed by the SEP Table 12 in section 3.5) are to take place. EbAM recognizes the rights of peasants and other people working in the rural areas (as in the United Nations Declaration on the Rights of Peasants and Other People Working in Rural Areas, or UNDROP) and its concerns which are similar to those of the IPs specified by UNDRIP; EbAM applies FPIC to all local residents who are potential beneficiaries.

#### *D. Direct Targeting and Self-Targeting*

51. EbAM's **direct targeting** will orient project supports to specific groups (e.g. poor, young women who dropped out of school due to teenage pregnancy/early marriage, young men candidates for immigration, etc.) based on vulnerability criteria and technical criteria specific for each activity. The setting of quotas will also help in this regard, notably the project ambition to reach 60% of women among direct beneficiaries.

52. In line with the community-based natural resource management approach, the project will also rely on **community-based targeting mechanism**. This approach implies consultations with the relevant communities and other local stakeholders (community leaders, etc.) in the selection of project potential beneficiaries. The use of the Dimitra Clubs' approach (see 3.4.3 below) will support the project community-based targeting.

53. The project will also consider **self-targeting** approach which include the provision of goods and services that are aligned with the priorities, needs, assets, capacities and livelihood strategies of identified target groups. Self-targeting relies on the knowledge of project areas of intervention and allows individuals, producer organizations and entrepreneurs to decide for themselves whether to participate in the various project activities or request support from the project. The following points relate to some self-targeting elements identified during design field missions and gender assessment consultations: interest of women, men and community members in climate change adaptation activities; women and young people's will to run their own business/income generating activities; micro and small enterprises' interest in receiving technical and financial support from the project; producer/women organizations 'will to participate and create commercial relationships with other market players; small entrepreneurs who show interest in developing opportunities and services that can contribute to local pro-poor economic and social development dynamics, etc.

#### *E. Geographic Targeting*

54. Geographic targeting for the project is best described in the feasibility study. See Annex 2.

### 3.4.3 Women's and Youth Group Consultations

55. For particular project activities (indicated in the Stakeholder Engagement Plan Table 12 in section 3.5 of this SEP) women and/or youth-only consultations are required. These consultations can take various forms: (i) gender or age specific focus groups and group consultations; (ii) separate meetings with women's cooperatives and youth organisations; (iii) reserved seating in steering committees; and, (iv) tailored capacity-building sessions. The information provided in section 3.1.2 of this SEP will apply to all such targeted consultations; namely that the timing, location, subject matter, and other targeted

accommodations to support participation of marginalised groups are implemented into the consultation design. Further detail on gender-related questions and considerations to be embedded into all project consultations can be found in section 7.2 of the Annex 8 Gender Assessment and Action Plan.

56. In addition to embedding gender and youth-related considerations into all consultations, the project will also rely on the use of the Dimitra Clubs and the Household approach (HHA), two methodologies that have proven being effective in terms of community engagement, social mobilization and inclusion, collective action, gender equality and equitable sharing of decision-making power both at household and community levels.

57. Described as voluntary and informal groups of rural women, men, young women and young men which discuss common problems and seek solutions by acting together and using their own locally available resources/capacities, the Dimitra Clubs<sup>2</sup> appear to be an appropriate entry point to mobilize and engage all community members (women, men, female and male youth) in the entire catchment management process. Set-up and operationalized at village level, the Clubs stimulate active and voluntary participation of the whole community, whether it concerns discussions, decision-making or actions; and will allow each community member to become an agent of change. They will provide a space for consultation between the various technical committees existing at village level (Village Natural Resource Management Committee, Village Agriculture Committee, Village Development Committee, etc.), which will be a good starting point for the development of integrated VLAPs. The Clubs enable members to discuss any subject and access relevant information that responds to their needs. The approach contributes to improving ownership, autonomy and sustainability of the clubs' initiatives, and strengthens the willingness to make change and take actions. Indeed, the Clubs belong to their members, and it is they who manage them and decide how they should be run (e.g., subject to be discussed, frequency of meetings, types of monitoring, etc.). Since communication, interaction and networking are at the core of the approach, the Clubs will amplify the impact of capacity development, particularly those related to the adoption of EbA solutions in the EbAM context, whether carried out through the FFS or other channels. As the development and implementation of VLAPs advance, the Clubs will also give a space for redressing any grievance that may arise.

58. The household approach<sup>3</sup> will be implemented within households engaged in farming for home consumption and income generation. The approach aims at empowering all household members (male and female, adults and youth) to have better gender or power relations that will enable equitable access to and control over resources, assets and benefits. In the Malawian context, the approach will also enable household members to identify and address HIV issues<sup>4</sup> which results in improved livelihood of all household members. The purpose is to guide women, men and youth household members in participatory dialogues that help them understand their household livelihoods, needs, challenges, roles, gender norms and their connection to poverty. Family members develop a common vision that takes into account the aspirations of all as a family and whose implementation is carried out in a participatory manner. Since the methodology facilitates reflection, behavioural change and household planning through gender-sensitive participation; it is expected to particularly lead to the improvement of gender and power relations in the household, and also to the increase of household incomes and food security as well as openness on HIV and AIDS and any other issues due to increased knowledge and skills for both women and men, and assertiveness of women and youth. HHA will promote the sustainable use of natural resources and the importance of adaptation to climate change in the household participatory need assessments, vision setting and planning. Lead families and male champions will promote gender equality through action learning.

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<sup>2</sup> Dimitra Clubs: a unique approach, FAO, 2015

<sup>3</sup> Household Approach Implementation Manual for Extension Workers and Local Facilitators, Ministry of Agriculture, Irrigation and Water Development, Department of Agriculture Extension Services, 2016

<sup>4</sup> HIV and AIDS issues are at the core of the HH approach promoted and institutionalized by the Ministry of Agriculture at country level

59. Apart from climate change adaptation issues which are at the core of the project, the use of the clubs and the household approach will make it possible to address other themes of interest such as gender inequalities, gender-based violence, youth participation, teenage pregnancy/marriage and school dropout, HIV and AIDS, as well as other communicable diseases in the targeted communities.

#### 3.4.4 Indigenous Group Consultations

60. Some of the Malawi's social groups may face socio-economic challenges specific to their groups compounded by climate change, threatening their livelihoods. FPIC is usually applied only to IPs - it is a specific right recognized in the United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP) - but EbAM recognizes the rights of peasants and other people working in the rural areas (as in the United Nations Declaration on the Rights of Peasants and Other People Working in Rural Areas, or UNDROP) and its concerns which are similar to those of UNDRIP; EbAM applies FPIC to all local residents who are potential beneficiaries. The IPs under EbAM will be identified during the FPIC process according to the pre-defined criteria. This ensures their participation in decision-making processes and protection of their rights. Mitigation measures include integrating traditional knowledge and establishing dedicated consultation processes.

61. Implementation arrangements for the Indigenous Groups Consultation section involve establishing dedicated structures and processes to ensure the meaningful participation of indigenous communities throughout the project lifecycle. The FAO will set up a Project Task Force (PTF) following its guidelines, comprising key stakeholders such as the Budget Holder, Lead Technical Officer, and Funding Liaison Officer, alongside technical experts. Additionally, a Central Project Implementation Unit (CPIU) will be formed, including a national project coordinator and support staff, to oversee project implementation.

62. Prior to project activities, each sub-activity will undergo a thorough assessment to identify potential impacts on indigenous peoples and determine the need for Free, Prior, and Informed Consent (FPIC) and an Indigenous Peoples Plan (IPP). This screening process, supervised by Environmental and Social Specialists within the CPIU, ensures compliance with FPIC requirements and mitigation measures.

63. Implementation of the IPPF (Indigenous Peoples Planning Framework) and related documents will be led by FAO and CPIU Technical Specialists in collaboration with county offices and executing entities. All project staff, partners, and contractors will undergo capacity-building activities to ensure culturally appropriate engagement with indigenous communities and adherence to mitigation measures.

64. The FPIC process will prioritize the inclusion of all community members, including women, youth, elders, and Persons Living with Disabilities (PLWD), ensuring equitable participation. In communities with distinct governance structures, strategies will be employed to ensure inclusive consultation processes.

65. No project activities affecting indigenous peoples will proceed without completing the FPIC process, which includes documenting consultations in writing and audio-visual recordings while respecting cultural protocols. Dissemination of project information and consultation processes will be conducted through preferred communication channels in accessible formats and locations.

66. Monitoring and reporting mechanisms will be established, with Terms of Reference prepared for relevant personnel outlining their responsibilities for implementing FPIC and related plans and reporting on their status. Regular on-ground monitoring and independent evaluations will ensure compliance and identify any necessary adjustments.

67. The development of an IPP will follow the FPIC process, integrating baseline information, impact analyses, mitigation measures, and consultation results. Participatory and transparent monitoring arrangements with affected communities, alongside accessible grievance mechanisms, will ensure accountability and address any concerns in a timely and culturally appropriate manner.

### 3.5 Stakeholder Engagement Plan

68. All consultations described in the Table 12 below will be conducted in compliance with the principles and processes provided in section 3.1 of this SEP.

Table 12 – Stakeholder Engagement Plan Outline

<b>Stakeholder</b>	<b>Level</b>	<b>Area of influence</b>	<b>Relevant Activities</b>	<b>Engagement Methods</b>	<b>Frequency</b>
FAO	Manage closely	Technical	All (with particular interest in activities for which FAO is the listed EE in the FP: 1.1.2, 1.2.1, 2.1.1, 2.1.2, 2.1.3, 2.2.1, 2.2.2, 2.2.3, and all activities under outputs 3.1 and 3.2)	Attendance/participation in Institutional Stakeholder Meetings. Attendance/participation in public meeting targeted to consideration of FFS initiatives.  Project Oversight, Management and Coordination through PIU.	Twice per annum during the implementation of relevant activities.  Once per annum (year 1, quarter 1 through year 6, quarter 2) for targeted FFS meetings.
Ministry of Agriculture	Manage closely	Technical, implementation through delegated/decentralized staff	and most All project activities, specifically activities and sub-activities for which MoA/DLRC is the listed EE in the FP: 1.1.1, 1.2.1.2, and 1.2.2.2, and sub-activity financed by MoA: 2.1.1.3	Attendance/participation in Institutional Stakeholder Meetings. Attendance/participation in public meeting targeted to consideration of FFS initiatives.	Twice per annum during the implementation of relevant activities.  Once per annum during implementation of relevant activities (i.e., year 1, quarter 1 through year 6, quarter 2) for targeted FFS meetings.
Ministry of Finance and Economic Affairs Representatives of FARMSE Programme	Manage closely	Technical, implementation and support for enhancing financial inclusion of smallholder farmers	All activities under output 2.3	Attendance/participation in Institutional Stakeholder Meetings.	Twice per annum during the implementation of relevant activities (i.e., year 1, quarter 2 onwards).
National Local Governance Finance Committee (NLGFC)	Manage closely	Technical, procurement services	Sub-activity 1.2.2.1	Attendance/participation in Institutional Stakeholder Meetings.	Twice per annum during the implementation of relevant activity (i.e., year 2, quarter 4 through year 6, quarter 2).
Project Steering Committee (PSC) and Project Technical Committee (PTC)	Manage closely	Technical, provision of strategic guidance	All	Attendance/participation in Institutional Stakeholder Meetings. Attendance/participation in public meeting targeted to consideration of FFS initiatives.	Twice per annum throughout the lifecycle of the project (for Institutional Stakeholder Meetings).

<b>Stakeholder</b>	<b>Level</b>	<b>Area of influence</b>	<b>Relevant Activities</b>	<b>Engagement Methods</b>	<b>Frequency</b>
					Once per annum (year 1, quarter 1 through year 6, quarter 2) for targeted FFS meetings.
<i>Project Implementation Unit (PIU)</i>	Manage closely	Project Coordination & Management	All	Attendance/participation in Institutional Stakeholder Meetings.	Twice per annum throughout the lifecycle of the project.
<i>EAD (as NDA)</i>	Manage closely	Project Coordination & Management	All	Attendance/participation in Institutional Stakeholder Meetings.  Project oversight, management and coordination through the PSC.	Twice per annum throughout the lifecycle of the project.
<i>National Committee on Climate Change and Disaster Risk Management (NCCC&amp;DRM)</i>	Keep satisfied	Technical, provision of strategic guidance and inter-ministerial coordination	3.2.2 and 3.2.3	Attendance/participation in Institutional Stakeholder Meetings.	Once per annum during implementation of relevant activities (i.e., year 2, quarter 1 through year 6, quarter 2).
<i>Village Natural Resources Management Committees (VNRMCs) and Sub-Catchment Management Committees (SCMCs)</i>	Keep informed	Delegated implementation	All activities under output 1.1	Attendance/participation in Institutional Stakeholder Meetings.  Attendance at public community meetings.	Twice per annum during implementation of relevant activities (i.e., year 1, quarter 2 through year 5, quarter 2) (for both Institutional Stakeholder Meetings and public community meetings).
<i>Area Development Committees (ADCs) and District Executive Committees (DECs)</i>	Keep informed	Delegated implementation	1.1.3	Attendance/participation in Institutional Stakeholder Meetings.  Attendance at public community meetings.	Twice per annum during implementation of relevant activities (i.e., year 1, quarter 2 through year 5, quarter 2) (for both Institutional Stakeholder Meetings and public community meetings).
<i>Financial/Investment Institutions and Business Development Consultants (including commercial banks, MFIs, SACCOs and insurance companies)</i>	Keep satisfied	Recipients of technical assistance for the development and delivery of climate adaptation financial services/instruments	All activities under output 2.3	Attendance/participation in Institutional Stakeholder Meetings.	Twice per annum during implementation of relevant activities (i.e., year 1, quarter 2 through year 6, quarter 4).
<i>National Climate Change Fund (NCCF)</i>	Keep informed	Recipient of technical support for the mobilization of climate finance	All activities under output 3.1	Attendance/participation in Institutional Stakeholder Meetings.	Twice per annum during implementation of relevant activities (i.e., year 1, quarter 3 through year 5, quarter 4).

<b>Stakeholder</b>	<b>Level</b>	<b>Area of influence</b>	<b>Relevant Activities</b>	<b>Engagement Methods</b>	<b>Frequency</b>
<i>Malawi Environment Endowment Trust (MEET) and Shire BEST</i>	Keep informed	Recipient of technical support for the mobilization of climate finance	All activities under output 3.1	Attendance/participation in Institutional Stakeholder Meetings.	Twice per annum during implementation of relevant activities (i.e., year 1, quarter 3 through year 5, quarter 4).
<i>Representatives of Farming Field Schools (FFS)</i>	Keep informed	Recipient of support for roll out of MTC, ToF and FFS implementation	2.1.1, 2.1.2	Attendance/participation in public meeting targeted to consideration of FFS initiatives.  Attendance at focus groups (conducted through Dimitra).	Once per annum during implementation of relevant activities (i.e., year 1, quarter 1 through year 6, quarter 2) (for both targeted FFS meetings and community focus groups).
<i>Seed Bank Associations</i>	Keep informed	Recipients of support to facilitate roll out of 30 community seedbanks	2.1.3	Attendance/participation in public meeting targeted to consideration of FFS initiatives.	Once per annum during implementation of relevant activities (i.e., year 1, quarter 1 through year 6, quarter 2).
<i>VSLA Members</i>	Keep informed	Recipients of technical assistance	2.3.1	Attendance/participation in Institutional Stakeholder Meetings.	Once per annum during implementation of relevant activities (i.e., year 1, quarter 2 through year 6, quarter 4).
<i>Local Communities in Target Districts Women and Women's Groups (Dimitra) Youth and Youth Groups Low-income/impoverished individuals Farmers</i>	Keep informed	Potentially affected people, provision of perspectives/information to inform the design and implementation of project activities	All	FPIC  Attendance/participation in public meetings.  Focus groups (through Dimitra).  Implementation of Household Approach (HHA).  Targeted surveys.	Engagement of at least one of the proposed methods at minimum twice per annum in each target district throughout the lifecycle of the project. All engagements with these groups are to take account of the accommodations for marginalised people provided in sections 3.1.2 and 3.4.3 of the SEP as well as in the Annex 8 Gender Assessment and Action Plan.
<i>Indigenous Communities in Target Districts</i>	Manage closely	Provision of perspectives/information to inform the design and implementation of project activities	All	FPIC  Attendance/participation in public meetings.  Focus groups (through Dimitra Clubs).  Implementation of Household Approach (HHA).	All engagement/activities to be in accordance with the IPPF and IPP. Engagement of at least one of the proposed methods at minimum four times per annum in each target district throughout the lifecycle of the project. All engagements with these groups are also to take account of the accommodations for

<b>Stakeholder</b>	<b>Level</b>	<b>Area of influence</b>	<b>Relevant Activities</b>	<b>Engagement Methods</b>	<b>Frequency</b>
				Targeted surveys.	marginalised people provided in sections 3.1.2 and 3.4.3 of the SEP as well as in the Annex 8 Gender Assessment and Action Plan.
<i>International and Local NGO Co-Facilitators (e.g. Climate Malawi Smart Agriculture Alliance (MCSAA), CRS, Restore Africa Program etc.),</i>	Manage closely	Technical	All activities under component 1, and activities 1.2.1, 2.1.2, 2.3.1, 3.1.3, 3.2.2	Attendance/participation in Institutional Stakeholder Meetings.	Once per annum during implementation of relevant activities (i.e., year 1, quarter 1 through year 6, quarter 4).

### 3.6 Monitoring and Reporting

69. Successful stakeholder engagement plans include a proper monitoring process to understand not only how well engagement activities are working and why, but also to respond to unexpected events that may introduce new environmental and social risks and impacts or elevate the level of risks and impacts.

70. Project evaluation shall be included as part of the overall engagement strategy, with monitoring activities being undertaken at regular intervals involving communities and stakeholders through participatory processes throughout the project life. The approach of the monitoring of stakeholder engagement should align with key provisions of the GCF Environmental and Social Policy, Gender Policy, FAO's ESGM and the ESMF of the project.

71. An annual reporting of the SEP implementation will be integrated into the project's annual report. These reports shall be used to assess the efficacy and appropriateness of stakeholder engagement efforts as well as providing baselines for updating the SEP accordingly to priorities emerging from the implementation.

72. Reporting will include the indicative implementation indicators (provided in Table 13 below) as well as the explanation of each stakeholder engagement activity undertaken during the year, barriers and opportunities to orientation following year project implementation. Gender and age-disaggregated data for all consultations and meetings should also be included in these reports in accordance with the requirements of the Gender Assessment and Action Plan provided in Annex 8.

*Table 13 – Indicators for Monitoring SEP Implementation*

Aspect(s)	Indicator(s)	Critical Limit	Actors	Frequency
Stakeholders engaged	% of Stakeholders involved according to the SEP by type (i.e., Manage closely, Keep satisfied, Keep informed, Monitor)	Under 90% for each group	FAO	Annual
	# of stakeholders involved in consultations of all types	None	FAO	Annual
Gender and youth consultation	% of the amount of Female and youth-only consultations required by the SEP actually held	Under 90%	FAO, Project Gender Specialist	Annual
	% female attendance at public community consultations	Under 50%	FAO, Project Gender Specialist	Annual
	% of consultations held at which gender/youth-related issues are raised (in accordance with Annex 8)	Under 75%	FAO, Project Gender Specialist	Annual
Communication/Disclosure	Number of documents disclosed on web-portals and instances of communication through other mediums outlined in section 3.2 of the SEP	None	FAO	Regular (prior, during and post activities)
Grievances	Number of grievances raised using the project GRM	None	FAO	Annual

## 4. Grievance Redress Mechanism

### 4.1 Introduction

73. The project is required to establish a grievance redress mechanism (GRM) to address any complaints that may arise during implementation

74. The GRM will be a system by which queries or clarifications about the programme will be responded to, problems with implementation will be resolved, and complaints and grievances will be addressed efficiently and effectively. The purpose of the grievance redress mechanism is to:

- be responsive to the needs of beneficiaries and to address and resolve their grievances;
- serve as a conduit for soliciting inquiries, inviting suggestions, and increasing community participation;
- collect information that can be used to improve operational performance;
- enhance the programme's legitimacy among stakeholders;
- promote transparency and accountability; and
- deter fraud and corruption and mitigate programme risks.

75. The GRM will consist of four parallel systems. These systems are: (i) a community-based system; (ii) a formal system designed specifically for the project (project-level GRM); and, (iii) the FAO's approach to the GRM (FAO-level GRM), and (iv) GCF independent Redress Mechanism (IRM). When an aggrieved person declares a grievance, they may elect to take the community-based route or the more formal one.

### 4.2 Community-based System

76. This will be a stand-alone GRM built on existing Malawian conflict resolution processes, and where the communication mechanism involves only community members and will tend to be site-specific. This will be used to facilitate agreements among community members but also to solve disagreements where these might occur. The Community Based Grievance Redress Mechanism, aims to use the existing traditional structures and facilitate grievance resolution at higher levels (including the court of law, where necessary).

77. Communities tend to rely substantially on their own internal social regulatory systems including mechanisms to deal with grievances that work in parallel with the formal systems. These internal social regulatory systems will be used to the extent possible at community level. Recourse where necessary will be facilitated by the project.

78. In solving problems, negotiation and agreement by consensus will provide the first avenue to resolve any grievances expressed by project-affected individuals. The grievance redress channels will have to be in line with the norms of the communities, as well as laws of the country. The process will involve informal courts handled by traditional leaders (village headmen, Chiefs, Senior Chiefs, etc.), as outlined in Figure 1.

79. The first entry point is the Group Village Grievance Redress Committee (GVGRC) which operates at Group Village Headman level. When one party is not satisfied with the decision at Group Village Headman level, the complaint can be taken up to the Area Grievance Redress Committee (AGRC). The AGRC operates at Traditional Authority Level. In most cases such complaints get sorted out at the Senior Chief level. However, those who are not satisfied will be allowed to appeal to the District Commissioner (DC). At this level the District Grievance Redress Committee will preside over the case. However, if the aggrieved party is still not satisfied, then they can ultimately take the formal, project-specific route.

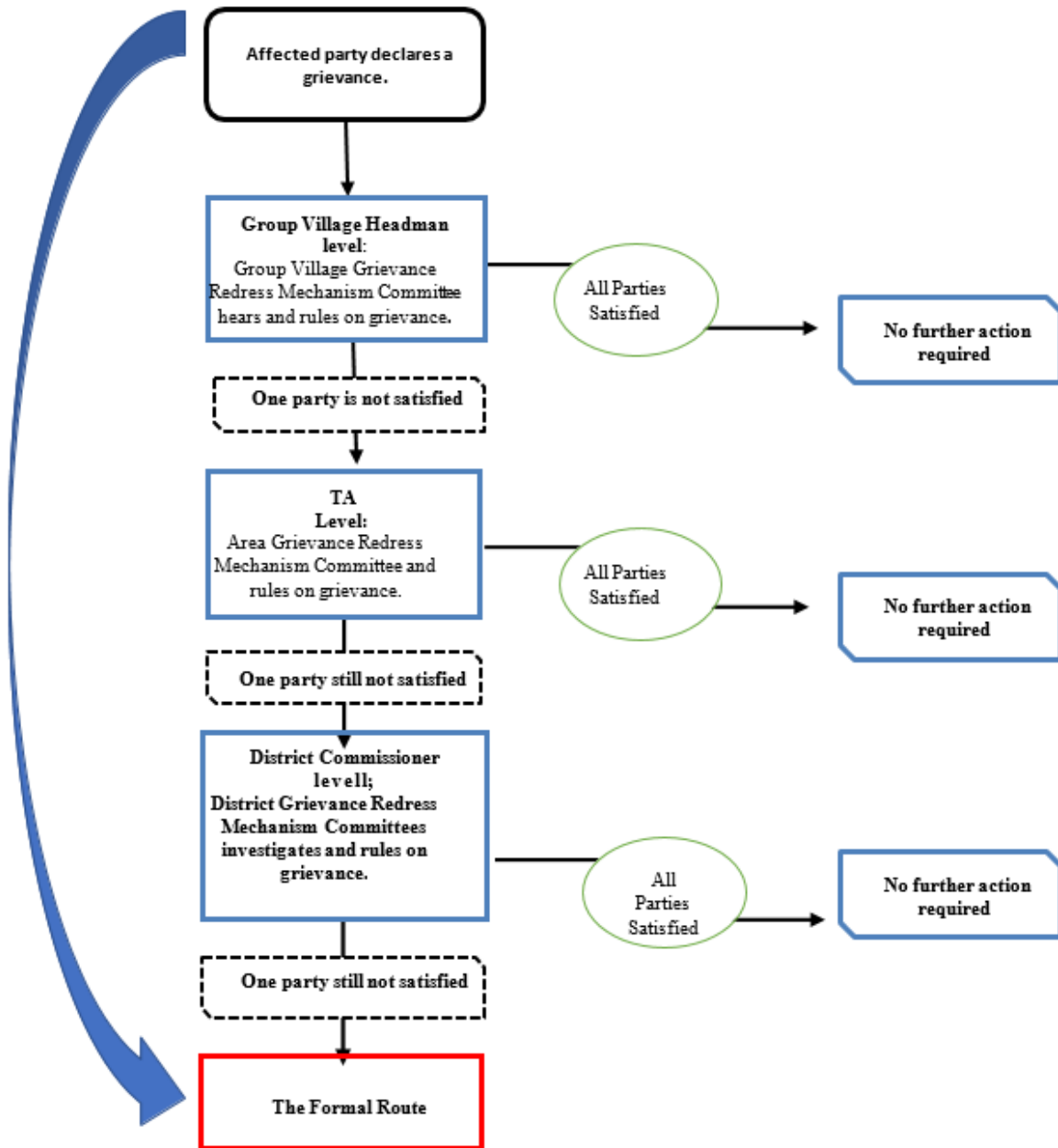


Figure 1 – The Community-based Grievance Mechanism

#### 4.3 Formal Project-Specific GRM

80. The EbAM project will establish a formal, project-specific GRM in parallel with the Community-based system.

81. **The mandate** of the project-level GRM will be to:

- (07) receive and address any concerns, complaints, notices of emerging conflicts, or grievances alleging actual or potential harm to affected person(s) (the “*Claimant(s)*”) arising from Project.

(ii) assist in resolution of grievances between and among project stakeholders; as well as the various government ministries, agencies, and commissions, CSOs and NGOs, and others (collectively, the “*Stakeholders*”) in the context of the Project.

(iii) Conduct itself at all times in a flexible, collaborative, and transparent manner aimed at problem solving and consensus building.

82. **The functions** of the GRM will be to:

(07) Receive, Log and Track all Grievances received.

(ii) Provide regular status updates on Grievances to Claimants, Project Steering Committee members and other relevant stakeholders, as applicable.

(iii) Engage the PSC members, Government institutions and other relevant stakeholders in grievance resolution.

(iv) Process and propose solutions and ways forward related to specific Grievances *within a period not to exceed sixty (60) days* from receipt of the Grievance.

(v) Identify growing trends in Grievances and recommend possible measures to avoid the same.

(vi) Receive and service requests for, and suggest the use of, mediation or facilitation.

(vii) Elaborate bi-annual reports, make said reports available to the public, and more generally work to maximize the disclosure of its work (including its reports, findings, and outcomes).

(viii) Ensure increased awareness, accessibility, predictability, transparency, legitimacy, and credibility of the GRM process.

(ix) Collaborate with Partner Institutions and other NGOs, CSOs and other entities to conduct outreach initiatives to increase awareness among Stakeholders as to the existence of the GRM and how its services can be accessed.

(x) Ensure continuing education of PSC members and their respective institutions about the relevant laws and policies that they will need to be aware of to participate in the development of effective resolutions to Grievances likely to come before the GRM.

(xi) Monitor follow up to Grievance resolutions, as appropriate.

83. The **process** for dealing with complaints through the project-level GRM will be as follows:

After the complainant files a complaint, this complaint will be registered by the Safeguards Specialist or Gender and Social Inclusion Specialist in the PIU and sent to the PIU Project Coordinator to confirm that the complaint is eligible. The confidentiality of the complaint must be preserved during the process.

(ii) Eligible complaints will be addressed by the PIU. The PIU Project Coordinator will be responsible for recording the grievance and how it has been addressed, if a resolution was agreed.

(iii) If the situation is too complex, or the complainant does not accept the resolution, the complaint must be sent to a higher level, until a solution or acceptance is reached.

(iv) For every complaint received, a written proof will be sent within ten (10) working days; afterwards, a resolution proposal will be made within thirty (30) working days.

(v) In compliance with the resolution, the person in charge of dealing with the complaint, may interact with the complainant, or may call for interviews and meetings, to better understand the reasons.

(vi) All complaints received, its response and resolutions, must be duly registered.

84. **Responsible roles** within the project-level GRM are as follows:

(07) *Safeguards Specialist or Gender and Social Inclusion Specialist*. The complaint could come in writing or orally (including over the phone) to the Safeguards Specialist or

Gender and Social Inclusion Specialist within the PIU. At this level, received complaints will be registered and screened by one of these officers for eligibility. Screened complaints will then be sent to the Project Coordinator in the PIU.

- (ii) *Project Implementation Units.* The complaint should come in writing from the Safeguards Specialist or Gender and Social Inclusion Specialist within the central or regional PIUs to the Project Coordinator in the Central PIU directly. The Project Coordinator will provide final confirmation of eligibility and proceed to investigate and resolve the complaint.
- (iii) *Project Steering Committee (PSC).* If the complaint has not been solved and could not be solved with the PIU, then the chair of the PSC must address the complaint. If this still cannot be resolved, then the complaint is sent to the next level (FAO Representative).
- (iv) *FAO Representative.* The assistance of the FAO Representative is requested if a resolution was not agreed in the first two levels (PIU and PSC).
- (v) *FAO Regional Office for Africa.* The FAO Representative will request, if necessary, the advice of the Regional Office to resolve a grievance, or will transfer the resolution of the grievance entirely to the regional office, if the problem is highly complex.
- (vi) *The FAO Regional Representative* will request – only on very specific situations or complex problems – the assistance on the FAO Inspector General, who would then pursue procedures of the Office of the Inspector General (OiG) to solve the problem.

85. In addition, there will be zero tolerance of sexual exploitation, abuse, and harassment (SEAH), and the project's ESMF and consequent ESMP as well as implementation safeguards documents will mainstream SEAH risk mitigation, in accordance with the FAO ESMG. The project will support gender sensitization and trainings for project staff and beneficiaries on gender equality and social inclusion and SEAH as part of the trainings on the Household Methodology, and will elaborate a code of conduct for the implementation of the project. Specific procedures to minimize SEAH risk will be developed for the project GRM, to ensure the mechanism is survivor-centered and gender-responsive (including confidential reporting), and to facilitate linkages to related services and redress for anyone affected by SEAH.

#### 4.4 FAO's approach to the GRM (FAO-level GRM)

86. In addition to the abovementioned approaches, aggrieved people can also employ additional channels to air their complaints. These include the FAO Complaints procedure, as outlined in the 2015 *FAO Guidelines for Compliance Reviews Following Complaints Related to the Organization's Environmental and Social Standards*. The objective of the FAO Complaints Procedure is to ensure that appropriate mechanisms are in place to allow individuals and communities to contact FAO directly and file a complaint if they believe they are or might be adversely affected by an FAO-funded project not complying with FAO's ESMG.

87. FAO is committed to ensuring that its programs are implemented in accordance with the Organization's environmental and social obligations, and therefore supports the establishment and implementation of **Grievance Redress Mechanism** as a crucial process to ensure that parties involved in and affected by the activities of FAO programmes and projects have access to fair, transparent, inclusive and no-cost process and mechanisms to redress grievances and resolve conflict. FAO programs have access to an effective and timely mechanism to address their concerns about non-compliance with E&S obligations (including SEAH and GBV), the Organization, in order to supplement measures for receiving, reviewing and acting as appropriate on these concerns at the program management level, has entrusted the Office of the Inspector-General with the mandate to independently review the complaints that cannot be resolved at that level. FAO grievance, feedback and complaint mechanisms should be:

- **Legitimate:** They should be trusted by the intended stakeholder groups for whose use they are intended and be accountable for the fair conduct of grievance processes.
- **Accessible:** They should be known to all stakeholder groups for whose use they are intended and provide adequate assistance for those who may face barriers to access (such as language and

mobility). They should be age- and gender-inclusive; address access barriers for different groups, including marginalized, vulnerable and disadvantaged and persons with disabilities; and deal with concerns promptly and effectively in a transparent manner that is culturally appropriate at no cost and without retribution.

- **Predictable:** Provide entry points for communicating concerns and clarity on the mechanism's procedures, and keep the parties with grievances informed about progress by providing sufficient information about the mechanism's performance. A grievance mechanism requires that the involved and affected stakeholders know about it, trust it and are able to use it. It is important to maintain a record of responses to all grievances received and make this available where appropriate; inform the involved and affected parties on how to access the mechanism during stakeholder engagement activities; and indicate the appeals process to which complainants may be referred when resolution has not been achieved.
- **Rights-compatible:** They should ensure that outcomes and remedies are in line with internationally recognized human rights. The mechanism should not prevent access to judicial or administrative remedies. Where feasible and suitable, utilize other existing formal or informal mechanisms as a supplement to the grievance mechanism, if needed, to ensure conformity with internationally recognized human rights.
- **Open to continuous learning:** They should incorporate measures to identify lessons learned that can improve the mechanism, and prevent future grievances and harm.
- **Confidential:** The safety of the complainant should be a primary consideration at all times during reporting, investigation, and thereafter. Complaint mechanisms must consider potential dangers and risks to all parties, including survivors of GBV and abuse and incorporate ways to prevent additional harm. This should include the availability of confidential complaint mechanism systems.

In this regard, FAO-level GRM is designed and established to voice concerns and grievances from people who believe that they have been harmed/affected by the projects or programmes implemented or financed by the Organization; and to identify agreeable solutions within a reasonable timeframe. Special efforts will be made to ensure the grievance redress mechanism is available for all people, and that women, indigenous, marginalized, and other vulnerable and or socially excluded groups have equal access and bear no negative repercussions for filing any complaints or grievances. Any cost that may be associated with the preparation or issuance of a legitimate complaint or grievance (e.g. engaging a qualified person to assist the complainant) will be covered by the grievance mechanism.

FAO will facilitate the resolution of concerns of beneficiaries of FAO programs regarding alleged or potential violations of FAO's social and environmental commitments which includes SEAH and GBV. All concerns and/or incidents related to sexual exploitation and abuse must be addressed to the PSEA Focal Point in the country and to the Office of the Inspector General (OIG) as appropriate.

The FAO will facilitate the resolution of concerns of beneficiaries of FAO programs regarding alleged or potential violations of FAO's social and environmental commitments. For this purpose, concerns may be communicated in accordance with the eligibility criteria of the Guidelines for Compliance Reviews Following Complaints Related to the Organization's Environmental and Social Standards, which applies to all FAO programs and projects (Guidelines for Compliance Reviews Following Complaints Related to the Organization's Environmental and Social Standards). The principles to be followed during the complaint resolution process include impartiality, respect for human rights, including those pertaining to indigenous peoples, compliance of national norms, and coherence with the norms, equality, transparency, honesty, and mutual respect.

Concerns must be addressed at the closest appropriate level, i.e., at the project management/technical level, and if necessary, at the Regional Office level. If a concern or grievance cannot be resolved through consultations and measures at the project management level, a complaint requesting a Compliance

Review may be filed with the OIG in accordance with the Guidelines. Program and project managers will have the responsibility to address concerns brought to the attention of the focal point.

88. Any project stakeholder can file a grievance through at least 3 channels (Figure 2): the project GRM, the Country Office GRM (which may be the same as the project GRM), and Office of Inspector General (OIG). GRM shall receive and address complaints related to the implementation of activities in a timely and culturally appropriate manner.

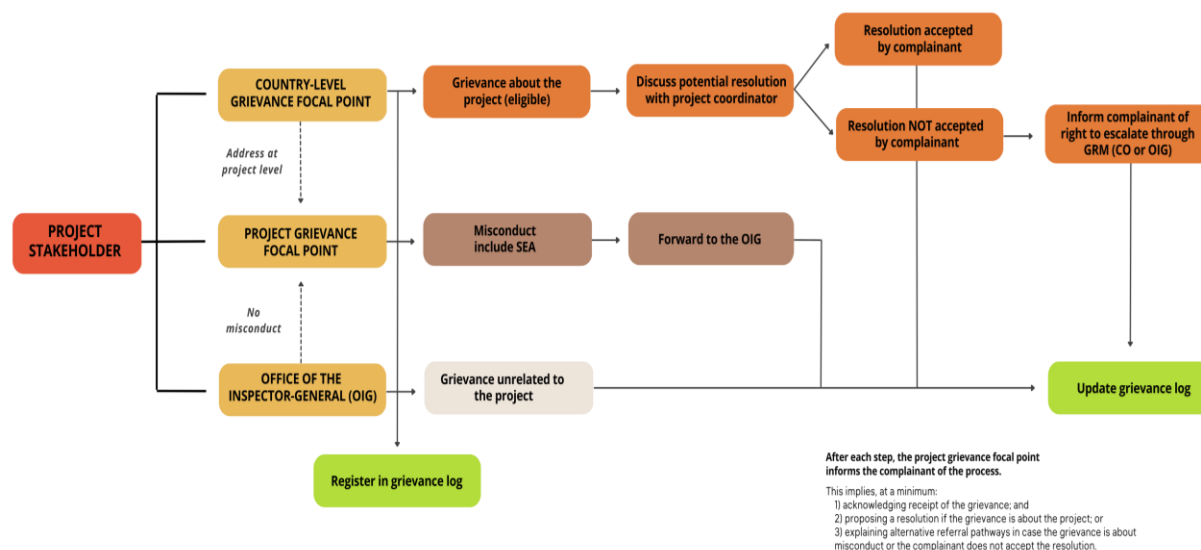


Figure 2 FAO GRM Referral Pathway

89. FAO prohibits and prevents retaliation against workers and other stakeholders who seek to be informed about and participate in activities that are supported or implemented by the Organization; express their concerns about them; or gain access to the processes and mechanisms of FAO programmes and projects for redressing grievances. The Organization neither tolerates nor contributes to threats, intimidation, retaliation or physical and legal attacks against human rights defenders and stakeholders who are involved in and affected by FAO programmes and projects. Respect should always be given to request for confidentiality with regards to the identities of complainant and disclosure of information provided to these mechanisms.

#### 4.5 GCF Grievance Mechanism

90. GCF established an [Independent Redress Mechanism \(IRM\)](#) that reports directly to the Board<sup>56</sup>. The IRM's mission is to address complaints from affected people and provide recourse in a way that is fair, effective and transparent, and enhance the performance of GCF's climate funding. The IRM also accepts requests from Developing Countries seeking reconsideration of funding proposals that were denied by the GCF Board. To deliver its mandate, the IRM is guided by a number of GCF policies pertinent to GCF's general operations and its projects and programmes: Revised E&S Policy, Interim E&S Safeguards, Indigenous People Policy, Updated Gender Policy and Information Disclosure Policy of the GCF. In relation to Indigenous Peoples project-related concerns, the GCF independent Redress Mechanism and the Secretariat's Indigenous Peoples focal point were available for assistance at any stage, including before a claim has been made.
91. As per the Procedures and Guidelines of the IRM, the main function of the IRM include among others: address grievances or complaints by a person, group of persons or community who/which have been or may be adversely impacted by a GCF funded project or programme through problem solving and/or compliance review, as appropriate; initiate proceedings on its own to investigate grievances of a person,

group of persons or community who/which have been or may be adversely impacted by a GCF funded project or programme; monitor whether decisions taken by the Board based on recommendations made by the IRM, or agreements reached in connection with grievances or complaints through problem solving, have been implemented, and report on that monitoring to the Board.

92. Regardless of the different E&S mitigation measures and procedures in place, climate adaptation and mitigation projects can inadvertently people can be adversely impact communities. Taking this into consideration GCF provides a platform where communities, indigenous people and civil society can present complaints regarding a specific GCF financed project and seek remedy (redress harm) and improve project performance in the long run. There are no formal requirements for filing a complaint. A complaint should generally include: i) the complainant's name, address and contact information; ii) If the complaint is being filed by a representative of the complainant, the name and contact information of the representative, as well as evidence that the representative is authorized to act on the behalf of the complainant; iii) A description of the project or programme that has caused or may cause adverse impacts to the complainant; iv) A description of how the complainants have been or may be adversely impacted by the project or programme; v) Whether confidentiality is being requested and the reasons for it.
93. Some exclusions apply, as indicate in the IRM guidelines. The complaint can raise issues related to any of GCF's policies and procedures, including those relating to social and environmental issues, indigenous peoples, gender, information disclosure, among others. However, the IRM cannot accept a complaint if it is: i) About a project or programme where the GCF is not directly and/or indirectly involved; ii) About GCF's non-operational housekeeping, such as human resources and finance; iii) Allegations of corruption or procurement issues (these complaints are handled by the Independent Integrity Unit (IIU) and other Units at the GCF); iv) Only about whether the GCF's policies and procedures are adequate; v) About a matter already dealt with by the IRM, unless there is new relevant information that was not available before; or vi) Malicious, frivolous and/or fraudulent or filed to gain a competitive advantage.

## Appendix 1: Institutional Stakeholder Consultation Documents

### A1.1 Second Design Mission Planning Documents (September – October 2022): Record of Meetings

Day	Date	Time	Activity	Venue	Location
Sunday	25-Sep-22				Lilongwe
Monday	26-Sep-22	0800 – 0845	Courtesy Call at FAO – meeting FAOR	FAO office Boardroom	FAO Office
		09:00 – 10:00	NDA – Ministry of Natural Resources and Climate Change – Environmental Affairs Department	EAD Offices	City Centre
		10:20 – 11:45	Ministry of Agriculture: Department of Land Resources Conservation (DLRC), Department of Agricultural Planning Services (DAPS), Agriculture research services, Crop Development	Ministry of Agriculture Conference	Capital Hill
		14:00 – 15:00	Ministry of Natural Resources and Climate Change: DCCMS, Department of Forestry, Department of Water Resources, Department of Fisheries		Capital Hill
		16:00 – 17:00	Working session with FAO team	FAO office Boardroom	Lilongwe
		18:00 – 19:00	Review and replanning	Lilongwe Hotel	Lilongwe
Tuesday	27-Sep-22	08:00 – 09:00	Ministry of Lands	Ministry of Lands	City Centre
			Ministry of Finance – Pensions and Financial Sector Division (governing FARMSE)	Ministry of Finance	Capital Hill
		09:20 – 10:20		Area 14	Area 14
			Ministry of Local Government	Ministry of Local Government	Capital Hill
		09:30 – 10:30	Standard Bank	Standard bank	Lilongwe
		10:30 – 12:00	ICRAF Malawi		Chitedze
			Gene Bank	Chitedze	Chitedze
		13:00 – 14:00	<i>Biodigester producer/seller – Environmental Industries</i>	Area 25 Msungwi	Lilongwe
			SeedCo Mgoni	Seedco	Mgoni Lilongwe
		14:30 – 15:30	Kapani meat products	Kapani Kanengo	Lilongwe

Day	Date	Time	Activity	Venue	Location
			Meeting with UNDP	UNDP Office	Lilongwe
		16:00 – 17:00	World Bank: Social Protection team	World Bank	City Centre
			Naturals Limited	Naturals Limited	Six Miles Bunda Road
Wednesday	28-Sep-22	08:30 – 09:20	World Bank : Social Protection team and MWASIP team		Lilongwe
			IFAD (GEF funded) project: Enhancing the Resilience of Agro-Ecological Systems (ERASP)	IFAD office	Lilongwe
			National Smallholder Farmer Association of Malawi (NASFAM)	NASFAM/NASCOMEX	City Centre
		09:30 – 10:30	Ministry of Industry, Division of Competitive Enhancement	Ministry of Trade	City centre
			Farmers Union Malawi (Malawi)	FUM	Lilongwe
			Linda chinangwa	UNDP	UNDP office
		10:00 – 11:00	Microfinance Network (MAAN)	MAAN	Lilongwe
		11:00 – 12:00	Malawi Innovation Challenge Fund	UNDP	City Centre
			Seed sector stakeholders (research institute producing seeds- Farmers organisations multiplying, etc)	STAM	Old Town
			AgDiv – Permaculture	AgDiv	Old Town
		13:00 – 14:30	Agroecology Hub Malawi: LUANAR – Lead Organisation		Bunda College
			SCOPE		Lilongwe
		13:30 – 15:30	Leasing Trees for Honey Production (Mitundu Extension Planning Area (EPA) under Khubwi Section)		Mitundu
			Malawi Trade and Investment Programme	MTIP Office	City Centre Aquarius House
		14:00 – 15:00	MUSCCO	MUSCCO	Lilongwe
		15:30 – 16:30	MAIIC	MAIIC	Lilongwe

Day	Date	Time	Activity	Venue	Location
		15:30 – 17:00	Green Innovation Centre for Agriculture and Food Sector Country Package		
					Lilongwe (to agree on venue)
Thursday	29-Sep-22	08:00 – 09:30	NGOs – CSA alliance members: CRS, Total Land Care, Concern World Wide		Lilongwe
			Kwithu Kitchens		
			FARMSE	FARMSE	Lilongwe
		8:30 – 10:00	Ministry of Gender, Community Development and Social Welfare	Ministry of Gender	Lilongwe
		10:00 – 12:00	Ministry of Lands	Ministry of Lands	Lilongwe
			International Potato Centre (CIP)	IPC	lilongwe
			Agriculture Commodity Exchange	ACE Kanengo	Lilongwe
			AgDiv – Permaculture	AgDiv	Old Town
		13:00 – 16:00	Permaculture Paradise Institute		Mchinji
			Best Buy Malawi Brand		Lilongwe
			Thanthwe Farms		
		15:00 – 16:30	NBS		Remote
		16:30 – 17:30	Never Ending Food	Chitedze	Lilongwe
		09:00 – 10:00	FARMSE Ministry of Finance		
			Let's Buy Malawi Brand		
		10:30 – 12:00	National Climate Change Fund (NCCF) – Chimwemwe Yonasi	EAD Offices	City Centre
			Travel to Ntcheu after the meeting with the Ministry of Finance – spend the day in Ntcheu, proceed to Blantyre		
		10:30 – 15:00	Ntcheu- landscape restoration		Ntcheu
		13:00 – 17:00	UNDP Ethiopia (consultation on use of ESMF for GEF and GCF agriculture projects in East Africa)	Zoom	Remote

Day	Date	Time	Activity	Venue	Location
		09:30 – 10:30	Nutcellars		Lilongwe
		11:00 – 12:00	Transforming Agriculture through Diversification and Entrepreneurship Programme	TRADE	Lilongwe Area 9
Saturday	01-Oct-22	09.00 – 13.00	Community leaders interview, FGDs with male youths members of catchment management committees/participating in FFS		Mangochi
		14.00 – 17.00	FGD with mixed VSL groups, female youths members of VSL groups/participating in FFS		Mangochi
Sunday	02-Oct-22		Travel to Blantyre		Blantyre
			Thyolo		
Monday	03-Oct-22	08:00 – 09:00	Moringa Miracles	Moringa Miracles	Blantyre
			International Potato Center (CIP), implementing the DeSIRA project (Dec 2019-dec 2024)   DeSIRA complements the KULIMA* project		Thuchila RTC
			Trusts: Shire BEST and MEET		Blantyre
			Gracious Ndalama, ILO	Remote	Lilongwe
		09:30--12:30	FARMSE		Lilongwe
			Meeting with ILO	ILO office	Lilongwe
		09:00--10:00	Environmental Affairs Department: Environmental safeguards	Lilongwe	EAD office
			Malawi Bureau of Standards	MBS Blantyre	MBS Blantyre
		09:30--12:00	Extension Services and some EPA based officers (or ADD) (combined with FAO decentralized experts in ADDs)		Blantyre ADD
		14:00--17:00	Shire Best visit some sites (for the field visits) having implemented Payment for Environmental Services	Blantyre	Chikwawa
			EAD (ESMP requirements)	EAD Office	Lilongwe
		11:00--12:00	Chipiku (replacing the closed Spar)	Chipiku Blantyre	Blantyre
		13:00--14:00	Shoprite Blantyre	Shoprite Blantyre	Blantyre

Day	Date	Time	Activity	Venue	Location
		14:00-- 17:00	CADECOM (Catholic Development Commission in Malawi) Chikwawa (for Southern)		Chikwawa
		15:00-- 16:00	My Bucks bank		Lilongwe
Tuesday	04-Oct-22	09:00-- 11:00	FFS farmers and non FFS farmers Chiradzulu	Chiradzulu	
			Extension Services and some EPA based officers (or ADD) (combined with FAO decentralized experts in ADDs)		Blantyre ADD
			Satemwa Tea&Coffee		
			EAD (EMA 2017 requirements)	EAD	Lilongwe
		08:00-- 12:00	Phalombe – agroforestry, farmer groups, FFSs		Phalombe
Wednesday	05-Oct-22	08:00-- 12:00	CADECOM (Catholic Development Commission in Malawi) Balaka and Machinga		
			CADECOM (Catholic Development Commission in Malawi) Mangochi (for Mangochi)		Mangochi
		13:00-- 14:00	Mangochi, African Moringa and Permaculture Project (AMPP)	Maldeco	Mangochi
		14:30-- 17:00	Travel to Lilongwe		
		10:00-- 11:30	FDH		Remote
		14:30-- 16:00	FARMSE		Lilongwe
		11:00-- 13:00	FARMSE Gender officer	FARMSE office	Lilongwe
		14:00-- 14:30	FARMSE		Lilongwe
		14:00-- 16:00	Ministry of Gender	Ministry of Gender	Lilongwe
		18:00-21:00	Meeting with the Director of Land Resources Conservation	Sunbird	Lilongwe
		18:00-- 19:00	IFAD	Remote	Lilongwe
Thursday	06-Oct-22	10:00-15:00	Visit to 5 farmers implementing permaculture	Dowa Permaculture Project (PPI )	Dowa
			FAO	Remote	Lilongwe

Day	Date	Time	Activity	Venue	Location
Friday	07-Oct-22	08:00--11:00	Stakeholders Workshop		
		11:30--12:00	Meeting with Agriculture PS		
		14:30--18:00	Debriefing with FAOR and Senior Management		Lilongwe
		19:00--21:00	Dinner for CFIA team and FAO Malawi Programme Staff and Management		Capital Hotel
			Agricultural Suppliers and Services Ltd		Lilongwe
			Let's Buy Malawi Brand		City Centre
			Malawi Federation of Cooperatives		
			UBALE Project		

