



# Project Information Document/ Integrated Safeguards Data Sheet (PID/ISDS)

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Concept Stage | Date Prepared/Updated: 09-Aug-2018 | Report No: PIDISDSC23065



**BASIC INFORMATION**

**A. Basic Project Data**

Country Zambia	Project ID P164764	Parent Project ID (if any)	Project Name Transforming landscapes for resilience and development in Zambia (P164764)
Region AFRICA	Estimated Appraisal Date Oct 08, 2018	Estimated Board Date Mar 18, 2019	Practice Area (Lead) Environment & Natural Resources
Financing Instrument Investment Project Financing	Borrower(s) Ministry of National Development Planning	Implementing Agency Luapula Provincial Administrative office	

**Proposed Development Objective(s)**

To improve natural resource management in the northern region of Zambia to support sustainable livelihoods, and in the event of an eligible crisis or emergency, to provide immediate and effective response to the eligible crisis or emergency.

**PROJECT FINANCING DATA (US\$, Millions)**

**SUMMARY**

<b>Total Project Cost</b>	75.00
<b>Total Financing</b>	75.00
<b>of which IBRD/IDA</b>	75.00
<b>Financing Gap</b>	0.00

**DETAILS**

**World Bank Group Financing**

International Development Association (IDA)	75.00
IDA Credit	75.00



Environmental Assessment Category

B - Partial Assessment

Concept Review Decision

Track II-The review did authorize the preparation to continue

Other Decision (as needed)

## B. Introduction and Context

### Country Context

1. Zambia is a landlocked country in Southern Africa, surrounded by Malawi, Tanzania, Democratic Republic of Congo, Namibia, Angola, Botswana, Zimbabwe and Mozambique. It has a surface area of 752,614 km<sup>2</sup> and population estimated at 17.6 million people that is growing at an annual rate of 3.2%. The country is endowed with rich natural resources including minerals, freshwater, forests, wildlife and fertile land. Nearly 56% or 42 million hectares of the total land area is arable. The country is also home to globally significant ecosystems and biodiversity. About 40% of freshwater resources in the southern African region are found in Zambia alone. Zambia is characterized as a service-oriented economy with the tertiary sector at 53.7%; Mining (principally copper, emeralds, zinc, lead and cobalt) at 12.9%; Agriculture; Forestry and Fisheries at 9.9%; and Manufacturing at 7.9%. The 2017 World Bank Zambia Economic Brief indicates that Zambia's national economy experienced domestic pressures in 2015. Economic growth fell to 2.9 percent in 2015 and contributed to increased poverty in rural communities. Among the main factors are the reduction in the price of copper, El Nino induced lower seasonal harvest, political uncertainty and the power crisis which impacted local business operations of all sectors. Economic growth increased to 3.8 percent in 2016 and to 3.5 percent in 2017. Economic growth is expected to continue rising with a projected GDP growth of 4.1 percent in 2018 and 4.7 percent in 2019.
2. **Zambia's economy is heavily dependent on natural resources, particularly mining and increasingly forestry resources.** Agriculture is largely rain-fed. Rural economies and livelihoods depend almost entirely on renewable natural resources i.e. biodiversity, forests, wetlands, fisheries, water, etc. The productive capacity of landscapes nation-wide is compromised by various drivers across agriculture, infrastructure development, unsustainable use of forest resources, land use, energy and mining activities. These drivers solely or in combination reduce productive capacity and resilience of landscapes and undermine ecosystem services, particularly due to the impacts of climate variability and climate change.
3. **Zambia is endowed with vast forests. These productive landscapes support rural livelihoods and investment opportunities that hold potential for national socio-economic development.** About 65% of land is covered by forests, of which 40% constitutes miombo woodland. The country has an array of protected areas that include 20 National Parks; 39 Game Management Areas; 432 Forest Reserve; 59 Botanical Reserves; 42 Important Bird Areas; and 2 Bird Sanctuaries. The forest lands, therefore, represent the life-line of rural economies and daily subsistence. For example, the forest sector currently contributes about 5.2% to the nation's GDP, and provides formal and informal employment to about 1.1 million people in the country. The forest sector is also the greatest contributor to carbon emissions (61% of total emissions in 2011). It is a sector, therefore, that holds opportunity to contribute to



national reductions in greenhouse gas emissions and for equitable sharing of both carbon and non-carbon benefits among stakeholders. However, the forest sector is under increasing pressure. From 2001 to 2017, Zambia lost 2.5 million hectares or about 6% of total tree cover. This led to the release of 252Mt of carbon into the atmosphere<sup>1</sup>. According to FAO, current annual deforestation in Zambia is 160 000 hectares, which is approximately twice the size of New York City. Zambia is among the top ten deforested country's in the world.

#### Sectoral and Institutional Context

4. Zambia has been implementing the World Bank led Pilot Program for Climate Resilience (PPCR) aimed at strengthening Zambia 's institutional framework for climate resilience (while) improving the adaptive capacity of vulnerable communities in selected sub-basins. Investments supported by the Zambia PPCR on the ground include participatory adaptation, climate-resilient infrastructure and strategic program support in agriculture, water, livestock, fisheries and natural resources and climate information services. Adaptation to climate change is one of the nation's development priorities because the Zambian economy, particularly the rural economy, is highly vulnerable to the impacts and effects of climate change. This has become very important because the country has already been experiencing frequent droughts, extreme temperatures and dry spells in some parts, and seasonal and flash floods in others. Floods and droughts have increased in frequency over the past three decades, costing the nation an estimated 0.4% in annual economic growth. These trends are expected to intensify in the future. Based on records from 1960 to 2003, the mean annual temperature has increased by 1.3°C. This gives an average of 0.3°C per decade. Within the same period, mean rainfall has decreased by an average of 1.9mm/month (2.3%) per decade since 1960.
5. **Through different land and forest-related policies, the Government seeks to manage productive landscapes to enhance forest products and services for improved income generation, poverty reduction, job creation and protection and maintenance of biodiversity, and contribute to mitigation of climate change.** In the Forest Act 2015, the Government has given direction on the new configurations of forests to increase people's participation in the management of forests and forest resources and in their ownership of forest benefits at micro-level. This therefore, forms basis for a firm socio-economic and legal engagement in the collective management, including the private sector to transform landscapes for resilience and development in Zambia.
6. **Zambia is a Party to a number of global Multilateral Environmental Agreements.** It is a Party to the three Rio Conventions: the UN Framework Convention on Climate Change; the UN Convention on Biological Diversity (UNCBD); and the UN Convention to Combat Desertification (UNCCD). In 2015, Zambia joined the Paris Agreement and submitted its Intended Nationally Determined Contribution (INDC). As a Party, Zambia is mandated to respond to the policy directions and obligations of these Conventions. In this regard, the Government continues to pursue development goals that complement efforts from other development partners for socio-economic and environmental benefits. To realize the international as well as national development priorities, the Government has continued to pursue efforts to establish conducive policy and legislative instruments as well as strategic plans to address climate change and other sectoral development challenges. Among the pieces of legislation, the following

<sup>1</sup> Global Forest Watch 2018: <https://www.globalforestwatch.org/map/7/-11.09/31.05/ZMB/grayscale/loss,forestgain?tab=analysis-tab&begin=2001-01-01&end=2018-01-01&threshold=10>



constitute a set of important policies that can anchor the development objective of TRALARD to increase the ecosystem resilience and productivity within vulnerable landscapes and enhance the disaster related preparedness of Zambia: Vision 2030; Seventh National Development Plan (7NDP, 2017); Second National Biodiversity Strategy and Action Plan (NBSAP2, 2015); National Policy on Environment (NPE, 2007); National Policy on Climate Change (NPCC, 2017); National Climate Change Response Strategy (NCCRS, 2012); Zambia National Forest Policy (ZNFP, 2014) and Forest Act (2015); National Agriculture Policy (NAP, 2016); Environmental Management Act (EMA, 2011); and the National Energy Policy (NEP, 2008)

#### Relationship to CPF

7. The proposed TRALARD project is aligned with the draft Zambia Country Partnership Framework (CPF) for the period FY18-FY21 which puts forward an integrated World Bank, IFC, and MIGA strategy to support Zambia's development through the Seventh National Development Plan (7NDP). The project contributes to the CPF Objective Two on *Increased resilience to hydrological, climate and environmental shocks* and to associated outcomes: a) Local level community infrastructure and natural resources management practices reduce impact of hydrological shocks (droughts, floods) on livelihoods; b) Climate adaptation support to communities harmonized, institutionalized and decentralized; and c) Institutions for environmental governance strengthened.
8. The Government has embraced an integrated approach to development investments at landscape level. This project builds on this vision, the CPF and Bank's experience on climate resilience, particularly through the implementation of projects on resilience and adaptation priorities, including i) Zambia Strengthening Climate Resilience (PPCR Phase II); ii) Livestock Development Animal and Health Project (LDAHP); iii) Zambia Water Resources Development Project; iv) Irrigation Sector Development Project (ISDP); and v) Zambia Integrated Forest Landscape Project (ZIFLP).

#### C. Proposed Development Objective(s)

9. ***To improve natural resource management in the northern region of Zambia to support sustainable livelihoods, and in the event of an eligible crisis or emergency, to provide immediate and effective response to the eligible crisis or emergency.***
10. The PDO will be achieved through activities under the following components: (a) Institutional Development and Capacity Building for Landscape Restoration and Resilience, (b) Sustainable Landscape Management Practices, (c) Infrastructure for Resilience and Market Access, and (d) Project Management, Coordination, and Monitoring. Through these components, TRALARD will offer a selection of interrelated activities that can be tailored to the needs of participating areas. The project also includes standard Contingency Emergency Response component.

#### Project beneficiaries and expected outcomes

11. Project beneficiaries include communities increasingly reliant on the exploitation of natural resources due to the absence of alternative sources of livelihoods and energy, partially resulting from the lack of sound management and planning. Rural communities, including women and children, will have an opportunity to take advantage of diversified



selection of livelihood options based on prudent, environmentally sound natural resource management. Local authorities will gain from strengthened institutions and policies and capacity to manage, plan, operate, and enforce regulations to achieve both environmental improvement and poverty reduction. Rural and urban communities will benefit from reliable and environmentally sound infrastructure that will improve market access and in a broader context will promote the creation of new economic opportunities for the region.

#### Key Results (From PCN)

12. Project activities will be designed to advance and develop three dimensions of the resilience capacity of the vulnerable communities: absorptive capacity, adaptive capacity, and transformative capacity. This approach will facilitate measuring resilience at project level with Results Framework (RF) indicators being connected to these three capacities. In addition, RF will include Predictive Proxy Indicators (PPI) to evaluate the effectiveness of forest related interventions, as suggested in the Forest Action Plan<sup>2</sup>.

#### 13. Key outcome indicators

1. Land area under sustainable landscape management practices (CRI) (ha)
2. Forest area brought under management plans (CRI) (ha) (intermediate)
3. Fisheries management plans implemented (CRI) (count of water bodies and/or area)
4. Diversified livelihoods activities adopted by households (count), of which households headed by women (percent)
5. Number of households using resilience infrastructure supported by the project (count)
6. Small scale farmers/producers with improved market access (count), of which households headed by women (percent)
7. Protected Areas approved management plans (count) (intermediate)

Project level and intermediate indicators will be defined in the Project Appraisal Document.

#### D. Concept Description

14. In the 7<sup>th</sup> National Development Plan of Zambia for 2017-2021, the Government of Zambia recognizes the need to implement measures to reduce poverty through harnessing the potential of Luapula, Muchinga and Northern Province in agriculture, forestry, and tourism among other areas, and addressing the challenge of poor infrastructure.

15. Given the complexity of socio-economic, environmental and climate change induced challenges facing the NRZ, TRALARD is proposed to bring the northern region to a new level of sustainable management of natural resources with expanded options for non natural resource based livelihoods and improved market access. The implementation of the program aims to transform the region into a vibrant ecological and socio-economic system preserving the environment, resilient to climate change consequences, and offering communities broader development opportunities.

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<sup>2</sup> <http://documents.worldbank.org/curated/en/240231467291388831/pdf/106467-REVISED-v1-PUBLIC.pdf>



16. TRALARD is focused on addressing the main drivers of environmental degradation, natural resource exploitation and persistent poverty. The project aims to contribute to improving the sustainability of poor rural community livelihoods in an environment already stressed by climate change impacts and rapid population growth. TRALARD will build on the lessons learnt from the successful PPCR currently under implementation in Zambia. For example, PPCR has worked with local structures and implementation partners to improve and mainstream climate risk into livelihood option decisions, local development planning, and implementation capacity and has gained experience in conducting microprojects in the intervention area. This experience informs the design of TRALARD.
17. The examination of economic realities during the fact-finding mission to the NRZ reveals closely interconnected and mutually determined processes of natural resources degradation and deepening poverty. For example, declining fish stock in Lake Tanganyika and other water bodies forced some fisherman to switch to charcoal burning as an alternative source of income. While fish stock still continues to decline due to climate change impacts and increasing consumption by the growing population, forests are under increased pressure from the population whose economic options are severely limited and alternative sources of energy are absent. Unchecked access to natural resources and the lack of enforcement to protect them by authorities invite their unsustainable exploitation. As a result, the poverty level in the region is increasing while the natural resource base that those communities rely on is being destroyed.
18. Funding and implementation capacity constraints mean that not all 26 districts will participate in TRALARD in the first phase. The selection criteria for districts that will be included in the first phase will include: (i) most vulnerable districts based on assessment of poverty and vulnerability maps; (ii) proximity to protected areas; (iii) districts bordering Lake Tanganyika; (iv) preparedness and commitment of districts and capacity of implementing stakeholders. The number of districts will be determined during preparation.
19. TRALARD aims to improve value chains through greater community and private sector engagement, better market information and priority infrastructure. Sustainable resource management requires that environmental benefits are strongly linked to improved livelihoods and poverty reduction. The project design promotes greater community and private sector participation in sustainable natural resources management as the most direct path to fostering this linkage.
20. Contributing to the sustainability aspect of the project, TRALARD intends to facilitate establishing robust mechanisms to monitor key environmental, climate and weather parameters, model longer-term challenges, including climate change and population growth, and develop measures to address issues in a long-term perspective.
21. The project places emphasis on the adoption of advanced technologies in the natural resource management practices and in the measurement, monitoring, and reporting of project impacts. The application of innovative and disruptive technologies such as remote sensing, drones, mobile phone and online apps, biotech, water and energy saving technologies, will be examined during the preparation stage.
22. The following areas of activities have been determined at the initial preparation stage of the project. These components are defined with a view of (a), (b) tackling immediate tasks of reversing degradation through adaptation



and alternative livelihoods measures, and (c) improving infrastructure for resilience and facilitating creation of new opportunities through more developed market access.

**23. Component 1. Institutional Development and Capacity Building for Landscape Restoration and Resilience (indicative amount US\$8 million)**

The aim of this component is to strengthen government institutions at the national, local and community level to develop and implement new approaches for sustainable natural resource management. This will be achieved by reviewing and updating certain policies, providing better information, and improving the development planning and budget process by mainstreaming climate risk and environmental considerations into development plans. This component will finance policy and regulatory reviews, province, district and ward level development planning, technical assistance (TA), workshops, and trainings.

*1.1. Policy and Institutional strengthening and capacity building:* This component will support the review of key natural resource policies and regulations relating to the forestry and fisheries sector. It will support the government to implement the Statutory Instrument NO 11 of 2018 which allows for community management for forests. In addition, this component will support policy analysis on the options and alternatives for charcoal production, enforcement, and government regulation to license charcoal production. The activities will also help development and disseminate a manual on community participatory co-management; as well as the establishment of effective interdepartmental structures to organize collaboration at the ecosystem level to enhance integrated approaches to natural resource management and coordinated land use planning and management. The outputs will focus on: integrated approaches for community mobilization, partnerships for sustainable forest landscape restoration (FLR), and targeted studies, for example, on models, resource mobilization for sustainable PA management. This will enhance the ability of the government to determine sectors that hold greater promise to transform landscapes for resilience and development and scale up interventions.

*1.2. Advance the beneficial use of hydro-meteorological information:* The project will finance the improvement of early warning systems and related institutional systems to improve the resilience of communities to climate change impacts. This will include technical assistance to develop a long term strategic plan to strengthen the institutions i.e. Zambia Meteorology Department (ZMD), Disaster Management and Mitigation unit(DMMU), Water Resources Management Authority (WARMA) etc. responsible for delivering meteorological and hydrological information, data management and forecasting systems. This sub-component will introduce the concept of using hydro-met information for better decision making and delivery that information to local governments and primary producers: (for water resources, landscape management, disaster management, agriculture, environment, hydropower utilities, PAs.); (c) priority infrastructure rehabilitation identified in the Hydromet Master Plan developed under the World Bank Water Resource project (including hydromet infrastructure and related office refurbishment and equipment); and (d) community training, awareness campaigns, knowledge on improved climate information use and dissemination to end-users nationally, with specific focus in the Chambeshi-Luapula catchment area.





**24. Component 2. Sustainable Landscape Management Practices (indicative amount US\$32.5 million)**

The component aims to improve the livelihoods and resilience of rural communities by improving the management of the rich natural resources base that rural communities are dependent upon through: (a) ecosystem based integrated natural resource management planning; (b) improved management of protected areas and protection of environmental services; and (c) diversification and increased sustainability of rural livelihoods.

*2.1. Investment in ecosystem based Integrated Natural Resource Management Planning (INRMP):* This activity will support the preparation and implementation of INRMP plans in the project targeted area. These plans will be based on the assessment of the available natural resources and their conditions, as well as the sustainable levels of production. The plans will be done in year one. They will be developed and implemented with the involvement of relevant stakeholders, including communities, cooperatives, and local government, and will be based on physical, ecological, and socio-economic baseline data.

*2.2. Improved Management of Protected Areas (PA) and Reserves:* This activity will support the effective and sustainable development of the three PA systems in the northern region of Zambia – Lavushi Manda National Park, Lusenga Plain National Park and Nsumbu National Park – to preserve the biodiversity and ecosystem services for the well-being of people with focus on forest dependent communities and potential to develop tourism opportunities. This support will include: (1) preparation of protected areas management plans; (2) capacity assessment of the staff and analysis of the financial resources required to fully protect the protected areas; (3) priority park infrastructure such as staff offices and housing nearer to the park; (4) equipment including vehicles, GPS, computers; disruptive technology for monitoring animal populations, poaching activities; (5) training.

*2.3 Strengthen opportunities for primary producers to transform their livelihoods into market based enterprises:* The main aim of the activity is to identify key challenges, risks and opportunities for transforming livelihoods of producers into market based enterprises. The project will provide resources to conduct value chain studies (including secondary sources of information) to identify key challenges to market entry and design interventions to incentivize smallholder producers to initiate viable enterprises for increasing productivity, incomes and resilience to climate change. This component will draw from the lessons learnt during the pilot to support primary producers and small business operators under the Zambia PPCR private sector approach.

*2.4. Sustainable livelihoods:* Rural populations in the north are dependent on subsistence agriculture and fishing, both of which have seen severe declines in productivity and have increased risk due to climate variability. This activity aims to: increase smallholder production and productivity of diversified value chains; reduce farmers risk through insurance and prudent and informed risk taking strategies; improving access to markets; and diversifying into alternative livelihoods that are non resource based enterprises. This will be done through a program of support which encourages farmers to adopt conservation agriculture practices, promotes savings, provides technologies to reduce post harvest loss, establishes rural aggregation centers and linkages to buyers and advanced purchase contracts, and pursue alternative livelihoods that are non natural resource based businesses. The alternative livelihood activities will target women and youths to lifting up the socio-economic situation particularly of women who use natural resources with inferior financial value compared



to men. The roster of alternative livelihoods will include increased rearing of livestock, agroforestry, agroprocessing, aqua culture, fingerlings production, fish processing, feed making for fisheries, bee keeping, caterpillars and mushrooms production, and other service industries such as tailoring, hair dressing etc.

**25. Component 3: Infrastructure for Resilience and Market Access (indicative amount US\$27 million IDA)**

Activities under this component aim at supporting and improving NRZ infrastructure in vulnerable areas that suffers from the lack of investments and is additionally adversely impacted by climatic changes. Such impacts include drastic changes in rain patterns resulting in floods and droughts, shortages in water, changes in wind patterns, lack of passable roads and damaged bridges leaving entire communities cut off from the basic services and goods during floods where durations are becoming extended. This increases the likelihood of lack of water and nutrition, diseases, livestock loss etc. In addition, this component will help identify ways to improve market access for primary producers who often lack opportunities and/or knowledge on the ways to make their produce accessible to the market.

3.1. *Investments in resilience strengthening infrastructure*: identify in concert with stakeholders the most sensitive pieces of small-scale infrastructure in the most vulnerable areas that require prompt investments. Infrastructure is the backbone of well-being and safety of people and its reliability and even presence in such poorly serviced regions is central to communities' resilience. Potentially, they include (a) feeder roads, bridges, culverts, (b) water harvesting structures (check and sand dams, earthen bunds, solar-powered irrigation), and (c) traditional and alternative energy sources.

3.2. *Examining opportunities for restoration of traditional canals*: conduct feasibility study on possible restoration of traditional canals in the North. Traditional canals in Zambia play multiple roles: transportation, water body, fish harvesting, and traditional ceremonies. The canals in the North are in a state of disrepair after decades of no investment or maintenance, yet their potential for transportation and commerce remains high. This sub-component will draw from the experience acquired from similar successful operations under the PPCR in the Barotse sub-region.

3.3. *Facilitated access to markets*: determine ways and forms to support producers in establishing access to markets. Jointly with stakeholders, including producers, authorities, private companies and consumers, the project will examine constraints and bottlenecks in establishing connection between products and markets and suggest measures to address them. It is not an uncommon situation when farmers' produce – mangos, oranges – goes to waste because farmers have no ability to deliver their products to potential consumers. This inability undermines income and negatively affects resilience of producers.

**26. Component 4: Contingency Emergency Response Component (CERC) (Standardized)**

This contingency component can be triggered by a joint Government and World Bank agreement in case of an emergency. This component had been embedded in the project to finance early recovery and/or specific emergency works, goods, and services, in case of eligible emergencies/crises/disaster caused by natural or man-made hazard including public health crisis. The mechanism is designed to support enhancement of preparedness, early recovery activities, and provision of rapid response to disaster that can be implemented in a relatively short period. This component was considered necessary because of the inherent in Zambia's current socioeconomic and climate related



hazards (unexpected flooding or drought, an aggravation of the state of fragility, as a result of influx of large groups of displaced people ( cross boarder and internal displacements) could potentially shift priorities. Reallocation of funds to CERC can only be done when there is a serious disruption of the functioning of a community or society causing widespread human, economic, or environmental losses that exceed the ability of the affected community or society to cope using its own resources. Following such a disaster event where both the region and national resources cannot sufficiently and adequately address the situation, the Government of the Republic of Zambia (GRZ) may trigger activation of CERC according to national law and subject to the World Bank’s activation policy.

## **27. Component 5: Project Management, Coordination, and Monitoring (US\$7.5 million IDA)**

This component will finance TA, works, goods, workshops, and operational costs to support the project’s day-to-day implementation and management, including procurement, FM, environmental and social safeguards, and preparation of annual work plans and organization of audit reports. The component also includes the design and implementation of a communication strategy to report on the project results and to raise awareness about land degradation, restoration and climate change impacts, vulnerability, and adaptation. It also supports the M&E system to report on the expected project’s results (disaggregating by gender, where appropriate) and systematizes the project’s lessons learned. The component also finances impact evaluation to assess project’s impacts on specific elements such as adopted livelihoods.

## **SAFEGUARDS**

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

The project covers the Northern region of Zambia (NRZ), which includes Luapula, Northern, and Muchinga provinces. This area has vast coverage of pristine Miombo forest, four national parks, four lakes, water falls and many rivers. They lie in the third agro ecological zone with the annual rainfall of about 1200 mm. NRZ encompasses over 35% of managed lands which contribute to protecting and maintaining large intact natural landscapes. The region is endowed with natural resources that include rich biodiversity and half of the wetlands of international importance listed under the Ramsar Convention. These wetlands contain habitats for several important fauna and flora species, are a natural flood controller and important for groundwater recharge. The natural resources in the area also represent a life-line for rural economies and daily subsistence.

The provinces are home to over 3.5 million people with record high levels of poverty 81% (Luapula), 79% (Northern) and 69% (Muchinga). The main economic stay for the people of this area is agriculture due to the availability of arable land, abundant water bodies and good annual rainfall. The area has experienced vulnerabilities due to climate variability and human related activities posing a challenge to conserving natural resources. Factors contributing to vulnerabilities include forest lands under threat from human encroachment for settlement and growing food insecurities due to population growth. Increased mining activities result in growing demand for energy met through heightened production of charcoal and logging. An estimated 16,000,000 hectares out of 21,423,600 hectares total land (75%) is under threat of degradation from these activities..

### **B. Borrower’s Institutional Capacity for Safeguard Policies**

The PPCR PIU under Ministry of National Planning and Development has implemented and monitored safeguard



compliance in accordance with Bank policies. The project performance has been rated satisfactory, while the risk has been moderate. The PIU has a dedicated Safeguard Specialist who is supported by Community Adaptation Specialists in each district. The PIU has gained substantial experience with Bank funded projects through their active participation in the design and preparation of the Forest Investment Project, Displaced Person's and Border Communities, and the Zambia Integrated Forest Landscape Project (ZIFLP). The PIU played a pivotal role in setting up the ZIFLP PIU which is now operational.

Given the PIU's involvement in design, preparation and implementation of climate resilient projects, the PIU is being transformed into a national coordinating unit that will assume a supervisory role in monitoring implementation of the TRALARD project at the national level. To fulfill this new role, more experts (including Environmental and Social) will be recruited to strengthen their capacity to manage environmental and social risks.

For the implementation of the TRALARD project, three PIUs will be established at provincial level (i.e. one for each target province). The staffing structure will include Environmental and Social experts as key personnel. These will collaborate with District officials that will be assigned to the project. Working through existing district structures will enhance project ownership and contribute to sustaining project investment. However, this being the initial engagement with Provincial and District counterparts in the 3 provinces, a capacity assessment will be undertaken as part of project preparation. Results on the assessment will feed into the a capacity building plan that will be developed for the project.

**C. Environmental and Social Safeguards Specialists on the Team**

Tito Joel Kodiaga, Environmental Safeguards Specialist  
Njavwa Namposya Chilufya, Social Safeguards Specialist

**D. Policies that might apply**

Safeguard Policies	Triggered?	Explanation (Optional)
Environmental Assessment OP/BP 4.01	Yes	The policy on environmental assessment has been triggered as the proposed TRALARD project will involve infrastructural works. The infrastructural works are envisaged to be undertaken under component 2 and 3 of the project. Component 2: of the project will involve the promotion of sustainable landscape management practices and this will incorporate the improved management of protected areas and reserves. Lavushi Manda , Lusenga Plain and Nsumbu National Parks and their buffer Game Management Areas (GMA's) have been identified as potential beneficiary parks. The project will support the construction and rehabilitation of infrastructure such as, park structures, staff offices and their housing in the vicinity of the parks. Component 3: of the project will involve the investment in infrastructure for resilience and market access. Investments will focus on the sensitive pieces of small-scale infrastructure in the most vulnerable areas that require urgent



attention. These will include the periodic maintenance of feeder roads (existing dirt or gravel roads) and support structures such as small access bridges and placement of culvert, water harvesting structures (check and sand dams, earthen bunds, solar-powered irrigation), and the restoration of existing traditional canals.

Since the project is at concept stage, the scope and beneficiary areas have not yet been fully defined, an ESMF and associated RPF is currently under preparation to assess potential safeguards risks/impacts associated with project activities and subprojects. In addition, in line with the Bank's guidance on Contingent Emergency Response Components (CERC); Component 4 (CERC): This Component requires that the ESMF includes specific section (or a CERC-specific ESMF) describing the potential emergencies and the types of activities likely to be financed, and provide a preliminary evaluation of potential risks and mitigation measures associated with them. The ESMF will ensure to include a section addressing the CERC guideline. Once finalized, ESMF will be formally cleared by the Bank and disclosed at national level and on the Bank's website.

Furthermore, a Strategic Environmental and Social Assessment (SESA) covering 4 out of 10 provinces was conducted under a similar project, PPCR in 2013. Since the proposed TRALARD beneficiary areas were excluded in the initial assessment. The SESA will be updated to include Northern, Luapula and Muchinga provinces. For the benefit of future project, expanding the scope to cover the entire country will be considered. It is anticipated that TRALARD project will benefit from the findings of the SESA which will be incorporated in the development of INRM Plans and PA Management Plan.

Performance Standards for Private Sector Activities OP/BP 4.03	No	
Natural Habitats OP/BP 4.04	Yes	The policy on natural habitat has been triggered as the project will be implemented in ecologically sensitive



		areas and habitats such as wetlands and national parks.
Forests OP/BP 4.36	Yes	The Bank policy on forest has been triggered as the TRALARD will involve afforestation activities to improve forest health. The project will provide incentives to communities in beneficiary areas to protect vegetation cover in the existing forests and regenerate deforested areas
Pest Management OP 4.09	Yes	The policy on pest management has been triggered as the project will involve livelihood activities that may directly or indirectly support the use of pesticides. A Pest Management Plan (PMP) will be included in the ESMF.
Physical Cultural Resources OP/BP 4.11	Yes	The policy on physical culture resources has been precautionary triggered as the project will be implemented across three provinces and the works may unearth artefacts of cultural and heritage value. A chance find procedure will be included in the ESMF to guide, should a chance find occur. It will further layout the process for notifying the National Heritage Conservation Commission (NHCC) in case of an occurrence.
Indigenous Peoples OP/BP 4.10	No	The policy on Indigenous Peoples has not been triggered as the project will be implemented in Luapula, Northern and Muchinga Provinces where there is no presence of Indigenous Peoples as defined by Bank Policy.
Involuntary Resettlement OP/BP 4.12	Yes	Policy on Involuntary Resettlement has been triggered. This will apply to selected project activities which may result in land acquisition for the establishment of priority infrastructure to support local tourist operators. A RPF will be prepared in consultation with key stakeholders. The RPF will guide preparation of the RAP to address physical and economic impacts that may arise from project implementation. Luapula, Muchinga and Northern provinces are endowed with forests and national parks where communities derive natural resources for livelihood activities. Possible restrictions to natural resources arising from project implementation will be managed through preparation of a Process Framework.
Safety of Dams OP/BP 4.37	Yes	The policy on dam safety has been triggered as the project will support the construction of small water



harvesting structures such as check and sand dams and earthen bunds. These will be small dams as defined by Bank policy and a generic safety guidelines for small dams will be incorporated in the ESMF.

In compliance with the requirements of the policy, generic dam safety measures designed by qualified engineers will be included in the design and implementation/rehabilitation of small dams; with respective requirements outlined in the ESMF.”.

The policy has been triggered as it will be implemented in a catchment area that feeds into the Luapula River which falls within an international waterway. This will require the notification of riparian states in which the waterways falls.

The policy has not been triggered as it will not be implemented in any disputed area as defined by Bank policy.

Projects on International Waterways  
OP/BP 7.50

Yes

Projects in Disputed Areas OP/BP 7.60

No

**E. Safeguard Preparation Plan**

Tentative target date for preparing the Appraisal Stage PID/ISDS

Oct 01, 2018

Time frame for launching and completing the safeguard-related studies that may be needed. The specific studies and their timing should be specified in the Appraisal Stage PID/ISDS

Studies launched September 30, 2017. Draft ESMF is currently being finalized. An RPF and PF are under preparation as part of the safeguards requirement.

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**APPROVAL**

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**Approved By**

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