

Terms of Reference for Consultancy Services for Environmental and Social
Risk Management Capacity Assessment, Conducting Capacity Building
Training and Activities, Monitoring and Mentoring, and Recommending an
Optimal E&S Organizational Structure for Key Implementing Agencies on
P159330 Improved Rural Connectivity Project (IRCP) and
P180801 Transport Corridors for Economic Resilience (TRACER)

1. Background

1.1 Country Context

The World Bank is supporting developmental efforts in the road transport sector in Zambia under two (2) major projects. The first project, the Improved Rural Connectivity Project (IRCP) is already under implementation covering all 10 provinces. The main objective of the IRCP is to improve the rural road accessibility for communities in selected areas; strengthen institutional capacity for sustainable management of rural roads; and respond promptly and effectively to an Eligible Crisis or Emergency. IRCP is implemented by the National Road Fund Agency (NRFA), in coordination with the Ministry of Housing and Urban Development (MHUD), The Road Development Agency (RDA), Local Roads Agencies (LRAs), Ministry of Local Government (MLG), National Council for Construction (NCC), and Road Transport and Safety Agency (RTSA). The coordination arrangements are summarized in the figure under Section 1.2 below. The second project is still in the preparation stage, and this is the Transport Corridors for Economic Resilience (TRACER) Project. This project is targeting three (3) regional corridors: Serenje to Mpika, Kazungula to Katima Mulilo and the Lusaka to Luangwa Roads. The Bank is engaging with the Zambian Government as part of the preparatory process to determine the appropriate implementation measures. The main objective of the TRACER project is to strengthen the economic resilience of selected countries in Eastern and Southern Africa by increasing the efficiency of regional transport corridors. Under IRCP, allocation of US\$20 million for institutional capacity building will ensure that the road sector is equipped with the necessary skills and resources to effectively manage and maintain the newly developed infrastructure. **1.2 Improved Rural Connectivity Project (IRCP)**

The Government of the Republic of Zambia (GRZ) received financing from the World Bank's International Development Association (IDA) in the form of US\$200 million credit for the implementation of a road sector project called the Improved Rural Connectivity Project (IRCP). The World Bank Board approved the project on 4 May 2017, and implementation started in February 2018. The project will be implemented for a period of 8 years from 2018 to 2025 using the Output and Performance Road Contracts (OPRC). The project ties in with the Government's policy to enhance agricultural productivity which is the most viable economic activity in rural Zambia, thus impacting positively on the rural poor. In addition to agriculture, improved connectivity is expected to enhance accessibility to other socio-economic opportunities such as education, health, business activities, etc., in rural areas. The IRCP assumes that improved road transport translates into reducing transport costs. A good rural road network also leads to better delivery of agricultural inputs and outputs to and from rural areas of the country resulting in improved wellbeing. The main objectives of the IRCP are to improve the rural road accessibility for communities in selected areas; strengthen institutional capacity for sustainable management of rural roads; and respond promptly and effectively to an Eligible Crisis or Emergency.

Under the IRCP Project, the Bank was expected to finance about 4,300km of rural roads in six (6) provinces: Central, Eastern, Northern, Luapula, Southern, and Muchinga at an estimated US\$180 million. The target districts under each province are as highlighted in Table 1. GRZ was then expected to reciprocate by financing the rehabilitation of selected rural roads in the remaining four (4) provinces: North-Western, Copperbelt, Lusaka and Western.

Table 1. Prioritization of Provinces and Districts (Financed by World Bank)

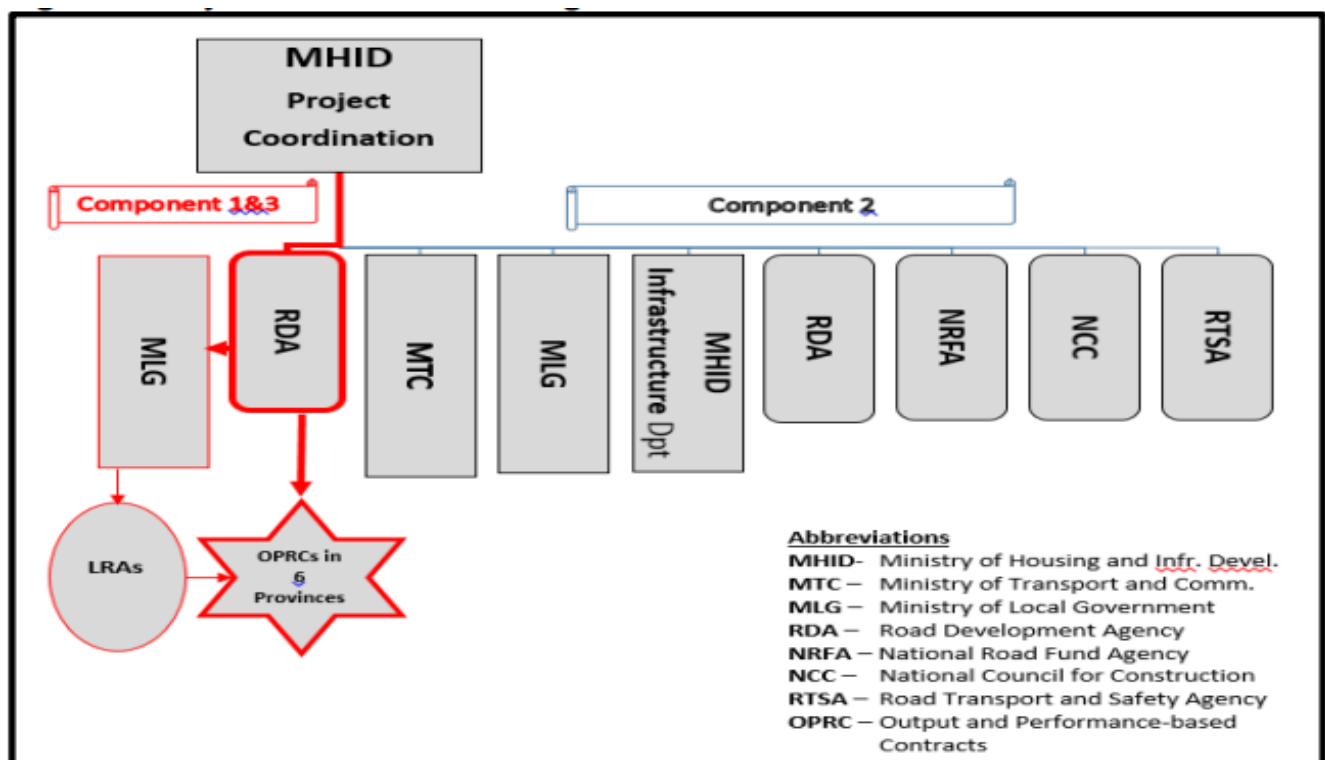
Provinces	Target District
Central	Mkushi, Chibombo
Eastern	Nyimba, Petauke, Sinda, Chadiza, Vubwi, Lundazi, Chipata, Katete
Northern	Mbala, Mungwi, Luwingu,

Luapula	Kawambwa, Samfya, Milenge, Nchelenge, Chiengi, Mwense, Mansa
Southern	Kalomo, Choma, Mazabuka
Muchinga	Chinsali, Shiwangandu, Mpika, Mafinga, Nakonde, Chama

However, owing to financial constraints, the Zambian Government requested to incorporate the other four (4) provinces, which were to be financed by Government. The Bank has now incorporated the four (4) provinces under the same basket financing of US\$180 million. The roads were repackaged to accommodate all the 10 provinces. US\$20 million was allocated for institutional capacity building within the road sector to address capacity constraints. This additional funding will greatly benefit the road infrastructure development in Zambia as it will allow for the improvement of transportation networks in all provinces. Overall, this expansion of funding demonstrates the government's commitment to enhancing transportation accessibility and promoting economic growth in the country.

The National Road Fund Agency (NRFA) is the primary implementing entity for this project. However, the nature of the project outputs requires the inputs of a multiplicity of stakeholders in the implementation. Hence, the MHUD, NRFA, RDA, MLG, the Local Road Authorities (LRA), the MTC, RTSA) and the NCC are the involved stakeholders.

IRCP Project Coordination Arrangements *(Source: IRCP PAD, April 2017)*



The NRFA manages the credit on behalf of GRZ. Its core function is to manage and administer the road fund in Zambia.

MHUD: Project component activities are performed by the respective government ministries and agencies under the primary coordination of the MHUD. A decision was taken to hub project coordination in this ministry, being the government policy body on road infrastructure, provided that the necessary institutional capacity support

was availed through the project. Its role includes monitoring of the performance of all actors, enforcing the adherence to the project implementation schedule, performing project M&E function, administering the utilization of the pooled human resource development budget, and quality assurance on Component 2 outputs.

RDA leads Component 1 (Improvement of feeder roads) activities through a dedicated Project Management Unit (PMU). It takes full responsibility for the preparation of the component, procurement of services related to the component, implementation, quality control, road contracts cost, reporting and timely completion of the component activities. The legislation also empowers RDA to delegate some road functions to the LRAs. For the purpose of implementing the project and also as part of developing their internal capacities, RDA will involve LRAs in the planning and project implementation process.

MLG leads coordination work of the LRAs where the project is active and also perform Component 2 functions. Several LRAs (determined by the number of participating districts) are actively involved in the project implementation. The LRAs will keep themselves and MLG well informed of the road improvement and maintenance works in their districts, will attend site meetings and have full access to the contract documents. LRAs will prepare separate reports to MLG on the progress of the work in their districts and also certify the adherence of the contractor to the agreed road service levels.

MTC will manage the adoption and implementation of the recently formulated transport sector policy.

RTSA will enhance road safety aspects within the project areas and endeavor to improve road safety in rural Zambia in general. For the project areas, RTSA will carry out a safety audit of selected roads in each province. It will also audit all OPRC conceptual designs and assess their compliance with the safety requirements.

The NCC will manage activities leading to better institutionalization of government employment creation through implementation of the labor-based policy. It will also oversee activities leading to the improvement of the NCC's training school. NCC will also perform a special function of overseeing the implementation of social and environmental safeguards, including contractor's adherence to the conditions of contract with regard to social and environmental compliance.

1.3 Transport Corridors for Economic Resilience (TRACER) Project

GRZ sought assistance from the World Bank to consider financing a regional connectivity project to alleviate the impediments to the efficient operation of three (3) key regional transport corridors. These being the: Serenje to Mpika, Kazungula to Katima Mulilo and the Lusaka to Luangwa Roads. In response to GRZ's transport corridor developmental needs, the Bank intends to adopt a proposed Series of Projects (SOP) approach. From a regional perspective, the proposed SOP constitutes a number of individual projects in Zambia, Tanzania, and potentially other countries to achieve an overarching single long-term development objective. The Proposed Project Development Objective (PDO) of the SOP is to strengthen the economic resilience of selected countries in Eastern and Southern Africa by increasing the efficiency of regional transport corridors. The SOP would follow a consistent approach in terms of PDO and project design to ensure maximum synergy and cross learning for all stakeholders involved.

The first project in the SOP (SOP1) will focus on improvements along the North South/Dar es Salaam Corridor between Zambia and Dar es Salaam Port and support preparatory studies for future SOPs. Future SOPs in Zambia could include physical and institutional improvements along the Nacala Corridor and the Trans Caprivi/Walvis Bay-Ndola-Lubumbashi corridor including the rehabilitation of its poor sections (notably the 207-m Kazungula-Katima Mulilo section). The Bank has therefore, accelerated engagements with the Zambian Government through a series of preparatory missions to get the first project under SOP 1 up and running.

SOP1 will support resilient trade and transport connectivity along the North-South/Dar es Salaam Corridor. It will implement a combination of physical, institutional, and regulatory measures to improve transport and trade facilitation interventions between Dar es Salaam port and Lusaka in Zambia, and also finance preparatory studies for ensuing SOPs as well as the development of a ‘smart’ corridor between Lusaka and Nakonde and will support economic activities along the corridor. SOP1 components are organized under three (3) key pillars: transport and trade facilitation, corridor-oriented development; and institutional and sectoral development.

The major components under SOP1 will include:

1.3.1 Component 1: Resilient transport and trade facilitation along the North-South/Dar es Salaam Corridor and preparatory studies for ensuing corridors under the SOP

- a. Development of climate resilient transport systems along North-South/Dar es Salaam Corridor:
- b. Upgrade of the One Stop Border Post (OSBP) at Nakonde
- c. Development and implementation of the smart corridor concept on the Lusaka – Nakonde section of the North-South Dar es Salaam corridor:
- d. Preparatory studies for key sections along the corridors. This will include preparation of:
 - (i) Feasibility studies,
 - (ii) Detailed engineering designs, and
 - (iii) ESIA for identified sections in need of rehabilitation and upgrade along key corridors, namely the Trans Caprivi/Walvis Bay-Ndola-Lubumbashi corridor and the Nacala corridor. Designs will be upgraded to reflect climate resilience needs.

1.3.2 Component 2: Corridor-oriented development

- a. Assessment of socio-economic development opportunities along the corridor
- b. Development of identified SMEs businesses:

1.3.3 Component 3: Institutional and sectoral capacity development

- a. Developing the Zambia Transport & Logistics Policy and Strategy:
- b. Developing a strategy and action plan for enhancing the operational efficiency and financial sustainability of Zambia Railways Company (ZRL)
- c. Supporting the domestic construction industry in Zambia
- d. Building institutional capacities
- e. Project Management, Monitoring and Evaluation

RDA, under the MIHUD are expected to implement the physical infrastructure, including preparation of studies and designs. The Transport and Logistics Services component will be implemented by the Ministry of Transport & Logistics (MTL) in Zambia, in consultation and coordination with the respective ministries in Tanzania and Malawi. Due to the multidisciplinary nature of the activities, a PIU will be established under RDA to manage the projects day-to-day.

- 2. The need for the Capacity Assessment.

- a. The capacity assessment is for RDA to effectively manage the Safeguards and ESF aspects of both TRACER and IRCP. Under IRCP, RDA uses in-house E&S staff to manage the safeguards aspects of the project. The staff are not dedicated to IRCP, despite the requirements of the Financial Agreement, but instead, conduct their other RDA daily duties and supervise the project. The PIU should be headed by full-time project directors and staffed with full-time technical experts and specialists in, inter alia, project management; procurement; financial management; environmental, health and social aspects who are all independent of any other external duties and responsibilities.
- b. All three entities -RDA, MIHUD and MTL- are actively involved in Bank-financed operations but their E&S capacities and capabilities for overseeing implementation of different project activities are limited. The RDA's E&S performance and implementation of E&S mitigation measures and plans on IRCP has been challenging and the performance rating has been recently downgraded to MU. During implementation of IRCP the PIU have encountered various challenges including; (i) the poor enforcement of the Health Safety Management Plan (HSMP) by the contractors and a lack of oversight by the Supervising Consultants; (ii) ZEMA Environmental Project Brief approval delays; (iii) unfilled OHS/E&S Specialists positions within the Consulting Engineers and contractor's organization resulting in selected E&S compliance at project sites. In addition, the PIU have not enforced any contractual remedies for non E&S and OHS compliance. In short, there are significant E&S implementation issues within IRCP. Substantial technical capacity support will be required during project preparation and implementation to assist the RDA, MIHUD, and MTL, as well as the PIU in designing and implementing the project in a manner which meets the ESF requirements.
- c. RDA's current plan for TRACER is to use its own Environmental and Social Management Unit (ESMU) in an oversight role to ensure the project complies with the environmental and social requirements. The Unit is currently staffed with four specialists who will be adequate to prepare the project but during implementation, separate and dedicated environmental, social and OHS specialists are required. The current RDA specialists are dual tasked with other RDA duties. All ESMU Staff in the Unit will require some short-term specialized training in areas such as: World Bank ESF and OHS. The E&S management capacity during implementation should be strengthened through recruitment of suitably qualified environmental and social specialists, gender and GBV specialist OHS specialists, third-party monitoring consultants, etc.
- d. There is a clear need to enhance coordination arrangements of the various implementing agencies both at National and Local levels, including with the Statutory Agencies such as ZEMA, not only during conduct of environmental and social assessments but also during implementation of the ESMPs and management of contractors.

3.Objectives and Scope of the Assessment

The objectives of this assignment are;

- a. Perform a Client Capacity Needs Assessment of RDA/PIU's management oversight of E&S and Occupational Health and Safety risks and impacts of WB funded projects;, paying attention to the required institutional structures, arrangements and coordination, both at National and Local (District & Regional) levels.

- b. Propose concrete recommendations and measures to fill the identified management capacity gaps (which may include e.g. E&S and OHS organizational structure, workflows, job/position descriptions, specialists' required skills sets, targeted training and/or accreditations);.
- c. Deliver tailored training and mentorship on E&S and/or OHS management to RDA/PIU specialists, other implementing and/ or participating agencies, for a period of time to be agreed with the client. **2.1**

Scope of services and Indicative Tasks (covering both IRCP & TRACER Projects)

- a. Review all relevant background documents including current TRACER disclosable E&S instruments, relevant IRCP documents including accident root cause analysis and combination with the relevant IRCP activities and available institutional assessments including the World Bank Environmental and Social Standards, WBG Environmental, Health and Safety Guidelines against the National requirements.
- b. Undertake a kick-off meeting with the World Bank in-country Environment and Social Development Specialists and other relevant staff and engage relevant government ministries, departments and agencies, , environmental practitioners, civil society, development partners and any other relevant stakeholders.
- c. Review the client's safeguard staffing structure, roles, and responsibilities, and reporting lines.
- d. Assess the extent to which OHS, environmental and social risks and impacts are currently managed during the current IRCP project life cycle, highlight existing gaps and recommend appropriate concrete measures for addressing the identified gaps for TRACER. This assessment should include review and evaluation of root cause analysis from all IRCP Environment and Social Incident Reports and build a summary picture of RDA E&S capacity challenges and management of Monitoring Consultants (MCs), Supervising Engineers (SEs) and Contractors.
- e. Assess the knowledge, skills, and experience of the client's safeguard staff in environmental and social safeguards. For IRCP, this should be based on the actual activities conducted plus the Job Description. During implementation if it emerges that there are discrepancies between the JDs and the actual activities, then these discrepancies should also be highlighted.
- f. For IRCP, provide an assessment of current workload vs staffing and provide graphical comparison of "required effort (man-hours)" vs "available resources. If outcomes show a staffing deficiency, then describe the impact of this on the project's implementation. In addition, identify a suitable methodology to determine the effort required (and actual) for each of the different activities and split this by province. This methodology should be discussed and agreed to with RDA and MHID.
- g. Review proposed Institutional Implementation arrangements for the TRACER project, outline what E&S risk management functions need to be carried out and accordingly identify gaps and recommend appropriate measures to address the gaps.
- h. Review the OHS and Environmental and Social risk management processes, procedures within RDA and relevant government agencies/ structures supporting the project and its implementation.
- i. Review the project implementation agencies institutional structures, arrangements, capacity, roles, responsibilities and resources to support implementation and enforcement of approved E&S and OHS instruments including qualifications, staffing levels, risk assessments and plans, and associated corrective management plans including improvement notices and orders, and implementation of Safeguards Corrective Action Plans; identifying any gaps or challenges and provide recommendations for improvement.
- j. Review the adequacy of management of OHS and E&S throughout the project cycle,

- k. The review of key supervisory and monitoring consultants or engineers' institutions that they have:
 - (i) the experience in the management of OHS, environmental and social risks
 - (ii) qualified staff responsible for the assessment, approval, permitting, monitoring, supervision
 - (iii) track record in the implementation of projects in compliance with environmental and social requirements (previous experience in the implementation of both domestic projects and projects supported by the Bank or other multilateral or bilateral financing agencies)
- e. Identify concrete measures that could be adopted to strengthen and build environmental and social risk capacity;
- f. Review the capacity of the RDA to manage and implement resettlement, including the grievance redress systems, monitoring, evaluation, and reporting on the implementation of resettlement action plans.
- g. Prepare and organize trainings on the OHS, safeguards and Environmental and Social Framework (ESF) requirements to the implementing agencies including a pool of environmental professionals and selected private firms consulting on E&S risk management;
- h. Develop and implement an Action Plan to address existing gaps to robustly manage OHS, E&S risks and impacts during implementation of TRACER.
- i. Hold an in-country wrap-up meeting/workshop at the end of the mission to discuss interim findings to management RDA, MIHUD and other relevant stakeholders
- j. Prepare a technical report and PowerPoint presentation and respond to World Bank and client comments.

The assessment should include close consultations with RDA and MIHUD including system managers and practitioners to determine and reach consensus on key strengths and weaknesses.

The consultant will closely liaise with the World Bank's in-country Environmental and Social Development Specialists who will provide relevant technical documentation, facilitate introductions to key staff and institutions and participate in kick-off and wrap-up meetings.

3. Deliverables. The assignment will have four deliverables:

3.1 Deliverable 1: Capacity assessment report

This will clearly:

- a. Describe the existing capacity of RDA and the PIU of IRCP to manage government and World Bank projects respectively.
- b. SWOT Analysis - Assess the Strengths, Weaknesses, Opportunities and Threats (SWOT) of RDAs and IRCPs environmental and social management system and capacity to effectively comply with the

institutional framework, legal, policy and regulatory instruments, safeguards instruments and the Environmental Social Framework (not IRCP) and the capacity to implement and monitor its projects.

- c. Identify concrete recommendations including institutional coordination, personnel, leadership and management aspects that will improve the capacity and performance of RDA and the IRCP PIU to effectively manage World Bank projects and comply with the institutional framework, legal, policy and regulatory instruments, safeguards instruments and the Environmental Social Framework (not IRCP) and the capacity to implement and monitor its projects.
- d. Provide a detailed list of the typical activities (detailed job description) conducted by i. social safeguards specialist, ii. environmental safeguards specialist, and iii. OHS expert within IRCP
- e. Identify priority training and capacity-building needs for RDA, MIHUD, IRCP and other stakeholders.
- f. An annex should set-out the methodology and summarize the highlights and key discussion points emerging from the assessment workshop, including a list of participants.
- g. Develop Terms of References (ToRs) for Environmental, Social and Health and Safety (H&S) Specialists for IRCP and TRACER

3.2 Deliverable 2: Validation workshop and PowerPoint presentation:

The findings from literature review, consultation with national stakeholders contained in the Capacity assessment report will need to be validated at national level and comments incorporated into the final report. This validation process will involve engaging with key experts and stakeholders at the national level to gather their input and feedback on the findings and recommendations. Their insights and perspectives will ensure that the final report accurately reflects the capacity needs of RDA and IRCP PIU and higher. Once the comments and suggestions have been incorporated, the final report will be ready for dissemination and implementation, contributing to evidence-based decision-making to the World Bank. PowerPoint presentations shall be used to facilitate discussions in the validation workshop and this should also be revised and finalized based on the final report, to be used during follow-on report dissemination activities. The PowerPoints should communicate the objectives, methodology and key points of the assessment – including high level recommendations, in a visually compelling and concise manner.

3.3 Deliverable 3: Action plan: Following the incorporation of World Bank comments on the capacity assessment report, prepare an action plan that communicates the outcomes of the capacity enhancement key points in a manner that is accessible to a broader, non-technical audience, including World Bank in-country management, task teams from ‘non-ENR’ sectors such as transport - who will be looking for guidance on RDAs capacity needs assessment for day-to-day ESF implementation (TRACER), safeguards implementation (IRCP). The Action Plan will provide Key Action Points to be implemented, in the Short Term, Medium Term and Long Term, including Responsible Institution/s.

3.4 Deliverable 4: Provision and Delivery of ESHS Conducting Capacity Building Training and Activities, Monitoring and Mentoring: . Develop a Training and Mentoring Program for all the Key Actors involved in implementation of IRCP and TRACER projects, to be implemented over a period (to be determined jointly with GoZ) during the validation workshop, based on the gaps and scope of issues.

4. Inputs

30 days

5. Consulting Team Qualifications

A Senior International Environmental Consultant and a Senior International Social Consultant and National E&S Consultants will be hired to lead this work, dividing tasks among other Team members and organizing Team meetings and activities as necessary. The Lead International Consultants are expected to possess the following minimum requirements:

- a. The Consultant should have solid knowledge and experience of Bank-financed operations throughout the project cycle and the principles of both the current Safeguards System and ESF (including completion of World Bank ESF training);
- b. A PhD or Masters in the Social Sciences, environmental Sciences or Engineering, Occupational Health and Safety.
- c. At least ten (10) years' experience in environment and social safeguards work, including policy application, assessment and development, institutional and capacity assessment, analysis and management of social risks.
- d. Knowledge of and experience in government institutional regulatory and policy capacity, public management and accountability, and capacity development in national contexts.
- e. Knowledge of and experience with the implementation of Environment and Social Risk Management policies.
- f. Practical experience in the preparation of analytical reports.
- g. Excellent analytical, research, writing, and communication skills; and
- h. Excellent spoken and written English, confident and persuasive to influence policymakers.
- i. The lead consultants will be required to work with national consultant(s) hired to support this consultancy.
- j. Experience on large road infrastructure projects
- k. Ability to write concisely in English.

The National Consultants should have the following qualifications:

- The Consultants should have solid knowledge and experience of Bank-financed operations, the project cycle, the principles of both the Safeguards System and the ESF (including completion of World Bank ESF training online);
- The proposed E&S specialists shall have as a minimum Master's Degree in the Social Sciences and/or Environmental sciences/engineering degrees;
- At least eight (08) years' experience in environment and social risk management and safeguards work, including policy application, assessment and development, institutional and capacity assessment, analysis and management of social risks;
- Knowledge of and experience in government institutional regulatory and policy capacity, public management and accountability, and capacity development in national contexts;
- Knowledge of and experience with the implementation of Environment and Social Risk Management policies;
- Practical experience in the preparation of analytical reports;
- Excellent analytical, research, writing, and communication skills;
- Excellent spoken and written English, confident and persuasive to influence policymakers; and
- The National consultants will be required to work with the Lead International consultant(s) hired to support this consultancy.

6. Reporting Arrangements

The Consultants will report directly to the Task Team Leader (TTL) of the overall assignment in Zambia. The Consultant's work will be integrated into the Project Team with a direct reporting line to the designated Social and Environment Specialists. Regular coordination with the ESF Implementation Team will be required and coordination with certain functions of the CMU may be required.

7. Payment

The Consultants will receive competitive compensation according to World Bank International and National STC daily rates, based on the number of actual days agreed on with the TTL and worked, as documented in time sheets approved by the Senior Social Development Specialist overseeing this project.

8. Justification for Single Sourcing

The Consultant's considerable previous experience with Government institutions, multi and bi lateral agencies, training development and training delivery, a credible track record in capacity assessments and reviews that lead to positive performance improvements, understanding of World Bank and Zambian Government project context and its challenges, a relevant and extended multi disciplined network of practioners within the region, , and experience in leading teams in a short timeframe justify a single source hiring.

9. References

WB General EHS Guidelines

IRCP Aide Memoires

IRCP Environmental Social Incident Response Toolkit (ESIRT) and aide memoires