Combined Project Information Documents / Integrated Safeguards Datasheet (PID/ISDS)

Appraisal Stage | Date Prepared/Updated: 08-Apr-2018 | Report No: PIDISDSA23696

BASIC INFORMATION

A. Basic Project Data

Country	Project ID	Project Name	Parent Project ID (if any)
Zambia	P165442	Additional Financing for Zambia Strengthening Climate Resilience (PPCR Phase II)	P127254
Parent Project Name	**Region**	**Estimated Appraisal Date**	**Estimated Board Date**
Zambia Strengthening Climate Resilience (PPCR Phase II)	AFRICA	29-Jan-2018	26-Apr-2018
Practice Area (Lead)	**Financing Instrument**	**Borrower(s)**	**Implementing Agency**
Environment & Natural Resources	Investment Project Financing	Republic of Zambia	Ministry of Finance, Ministry of National Development Planning

Proposed Development Objective(s) Parent

The development objective of the project is to strengthen Zambia's institutional framework for climate resilience and improve the adaptive capacity of vulnerable communities in the Barotse sub-basin. The project involves three components:

1. Strategic NationalProgram Support, aiming to strengthen the national institutional and financial framework for climate resilience, by (a) providing institutional support to the national climate change program; and (b) strengthening climate information.
2. Support to ParticipatoryAdaptation, through strengthening of the adaptive capacity of vulnerable rural communities in the Barotse sub-basin.
3. Pilot Participatory Adaptation, through the funding of actual participatory adaptation investments in the Barotse sub-basin, including (a) community adaptation sub-grants; (b) establishment and operation of an adaptation contingency fund; and (c) rehabilitation and strengthened management of traditional canals.

Components

Strategic National Programme Support
Support to Participatory Adaptation
Pilot Participatory Adaptation

Financing (in US$, millions)

SUMMARY

Total Project Cost	14.60

Total Financing	14.60
Financing Gap	0.00

DETAILS

Environmental Assessment Category

Partial Assessment (B)

Decision

Other Decision (as needed)

B. Introduction and Context

Country Context

1. Zambia is a landlocked country of 752,600 km2 located in southern Sub-Saharan Africa, of which approximately 56 percent is arable land (42 million hectares). The vegetation is largely miombo woodlands and savanna grassland with three fairly distinct seasons; the cool and dry season, the hot and dry season and the hot and wet season. Nearly 40 percent of the freshwater bodies in the Southern African region are found in Zambia. The country is drained by five major rivers, the Zambezi, Kafue, Luangwa, Luapula and Chambeshi; the Zambezi forms a natural riverine boundary with Zimbabwe; Lake Kariba on the Zambia-Zimbabwe border forms the world's largest reservoir by volume (180 cu km). Others include the lakes Tanganyika, Mweru, Mweru Wantipa, Bangweulu and Itezhi Tezhi. The country is also endowed with wildlife and game reserves that hold great promise for tourism to improve earnings through foreign exchange. Rural communities and their livelihoods hinge on these resources through fishing and hunting. Other endowments include various minerals and precious stones such as copper, emeralds, zinc, lead and cobalt.

2. Zambia is a lower-middle income country with close to 16 million inhabitants. It had a gross domestic product (GDP) of US$27.1 billion in 2015, equating to a per capita income of about US$1,300. Zambia has made significant socioeconomic progress over the past two decades and achieved average growth of 6.3 percent between 2004 and 2014. However, since mid-2015, economic growth has slowed down considerably to 2.9 percent in 2015 as external headwinds and domestic pressures have intensified. Economic growth increased to 3.4 percent in 2016 and to 4.1 percent in 2017. It is expected to continue rising with a promising GDP growth of 4.5 percent in 2018 and 4.7 percent in 2019. Zambia has 60 percent of the population living below the poverty line and 42 percent considered to be in extreme poverty.

3. Zambia's economy is heavily dependent on natural resources, particularly mining and increasingly forestry resources. Agriculture is largely rain fed and dependence on renewable natural resources i.e. biodiversity, forest, wetlands, forest, water etc. is the main source of rural livelihood. Overall poverty remains high, based on the 2015 Living Conditions Monitoring Survey Report of the Government’s Central Statistical Office, an estimated 54.4% of Zambians live

in extreme poverty (below US$1.90 per day, purchasing power parity terms) and poverty is higher among women. Rural poverty (at 76.6%) is more than three times the 23.4% rate of urban poverty. Up to 80% of Zambia's poor (and 90% of the extreme poor) live in rural areas. Zambia is vulnerable to impact of climate change. The rural poor are particularly vulnerable to climate change impacts due to their heavy reliance on climate-sensitive sectors. In other to sustain the benefits of growth that have accrued in the early 2000 to 2014 in the thee of impact of climate change on the economy and especially the rural poor; efforts are needed to not only restore the economy and ensure a faster growth, but also ensure implementation of a well-planned pro-poor policies and investments in a more inclusive manner. This is to ensure reduction of inequality which has remained high and ensure wealth distribution.

Sectoral and Institutional Context

4. Zambia's *climate is highly variable, with frequent droughts, seasonal and flash floods, extreme temperatures and dry spells.* 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: projected temperatures are expected to increase by 3-50 C by 2100, with average precipitation declining during the early rainy season (October to December) and intensifying thereafter. Without adaptation, rainfall variability alone could keep A large population especially in the rural areas below the poverty line over the next decade, and reduce annual GDP growth by 0.9%.

5. *The poor are particularly vulnerable to climate change impacts due to their heavy reliance on climate-sensitive sectors.* Zambia includes two major river catchments, the Zambezi and the Congo. The rural population along the Zambezi basin (particularly along the southern and western zones) is amongst the poorest and most vulnerable in Zambia, due to recurrent floods and droughts and socio-economic isolation. The elderly, female-headed households and single or divorced male-headed households are the most vulnerable. Their food and income sources are heavily reliant on subsistence crops, sales of livestock and natural resources, and casual labor (mostly paid for in food), making them vulnerable to climate-induced crop failure during droughts and floods, when excessive and unpredictable rainfall leads to water logging. Frost and heat stress are also increasing and as climate patterns become more erratic, water and energy resources, infrastructure and housing, and animal and human health are increasingly affected. Traditional early warning systems (such as fruiting of trees or animal behavior) are no longer sufficient to predict and manage these trends.

6. *To* address *these challenges, under the Ministry of Finance (MoF), the Secretariat helped the Government mainstream climate change into Zambia's Sixth National Development Plan (2011-2015)* and recently into *the Seventh National Development Plan (2016-2020)* under the *Ministry of National Development Planning (MoNDP).* Zambia also developed a National Climate Change Policy (2016); and a National Climate Change Response Strategy, based on the 2007 National Adaptation Programme of Action (NAPA), all of which provides the institutional basis for its National Climate Change and Low Carbon Development Program.

7. *The* number *of institutions directly involved in climate change activities in Zambia has steadily grown over the past four years.* At the Government level, climate change activities have been led by four key Ministries/agencies (Finance; Planning, Lands, Natural Resources and Environmental Protection; and the National Disaster Management and Mitigation Unit under the Office of the Vice President). Over the past Four years, however, a growing number of line Ministries, donors, civil society organizations and private sector organizations have been supporting Zambia in building a climate-resilient economy.

8. *Recognizing the need to ensure high-level coordination, the Government of Zambia established an Inter-ministerial* National *Climate Change Secretariat*[1]*, with staff attached from various sectoral Ministries.* The Secretariat was responsible

[1] Also, referred as "National Climate Change Secretariat" or simply "Secretariat" in this project related documents

for coordinating climate change initiatives in Zambia, leaving implementation to line Ministries. With the approval of the new climate change policy, the secretariat architecture is expected to metamorphosis into a more permanent structure as the policy implementation progress and is much clear. Also, climate resilience and disaster risk management are also increasingly being promoted at both provincial and district council levels.

9. *The Pilot Program for Climate Resilience (PPCR) is an integral part of Zambia's effort to respond to climate change.* The PPCR is a multi-donor Trust Fund, one of three programs under the Strategic Climate Fund of the Climate Investment Funds (CIF). Phase 1 of the PPCR (2010-2013) supported the Inter-ministerial National Climate Change Secretariat in mainstreaming, capacity building and information sharing at the national level. It also assisted in preparing and facilitated implementation of Phase II, following the design outlined in the Strategic Program for Climate Resilience (SPCR), which was endorsed by the PPCR sub-committee in June 2011. All the current PPCR related projects supporting the are highly complementary and, together with other program partners, are assisting the Government in actualizing its capacity building to implementation of climate resilience priorities.

10. *The* Zambian *PPCR is both strategic and transformational.* It is ***strategic*** because *it* supports the backbone of Zambia's National Climate Change Program, which is geared towards leveraging a much larger financing pool for its climate resilience program**.** Through the Strategic National Support, the PPCR is assisting to make climate change an intrinsic part of economic development, while adopting a participatory, learning-by-doing approach to Zambia's most vulnerable area. This approach is allowing national institutional capacity to be informed by lessons from the field. Lastly, it recognizes that effective adaptation requires behavioral change, through better and targeted climate information and awareness.

11. *The Zambian PPCR is also* ***transformational****.* By integrating climate risk management into national and sub-national planning, it has also helped to chart the path way to transform the long-term resilience of vulnerable *populations, exposed assets* and natural *systems* to climate stresses. It introduces *new approaches and technologies,* including innovations generated by local champions (who will be directly supported by the project). The approach adopted by pilot districts follows the Government's decentralization and social protection agenda, allowing for replication and scaling up under the AF and further proposed "Transforming Landscape for Resilience and Development" (TRALARD) project. Lastly, the design recognizes that promoting climate-resilient livelihoods amongst the most vulnerable provides the best option for them to adapt to both present and future climate.

C. Proposed Development Objective(s)

Original PDO

12. The development objective of the project is to strengthen Zambia's institutional framework for climate resilience and improve the adaptive capacity of vulnerable communities in the Barotse sub-basin. The project involves three components:

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2. Support to Participatory Adaptation, through strengthening of the adaptive capacity of vulnerable rural communities in the Barotse sub-basin.
3. Pilot Participatory Adaptation, through the funding of actual participatory adaptation investments in the Barotse sub-basin, including (a) community adaptation sub-grants; (b) establishment and operation of an adaptation contingency fund; and (c) rehabilitation and strengthened management of traditional canals.

Current PDO

13. The development objective of the project is to strengthen Zambia's institutional framework for climate resilience and improve the adaptive capacity of vulnerable communities in the Barotse sub-basin.

Key Results

D. Project Description

14. The proposed additional investment activities provide opportunities to support investments in improved climate resilient technologies through funding for technical cooperation activities, offering incentive payments and small grants to private businesses, farmers and households. Having a robust participatory process (CRAFTs) which could facilitate continued support/training for the private sector and the climate information services, provides the required enabling environment and a basis to bring about climate resilience at scale through private-sector and market based approaches. The overall concept is to build a national widespread presence and network in the country of public and private actors that will facilitate widespread diffusion of climate resilient technologies and farming practices to improve yields and sustain livelihoods. In addition, the project would contribute to the achievement of the World Bank Cascade Objective, with the aim to build climate resilience in the sub-basins by mobilizing/catalyzing private sector investments in economic sectors such as agriculture and natural capital and by providing technical support to relevant private sector players in Zambia. The AF proposed activities will be an addition to the current existing activities under the ongoing project. The additional proposed activities are:

a) ***AF Activity 1 (US$2.876): Identify the challenges, risks and opportunities for 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. Key sub-sectors include rice, fish, livestock, cassava, irrigated horticultural crops, mangoes, cashew nuts and others (e.g., essential oils, sesame that may be identified by the reviews, producer groups, the Climate Risk Facilitating Teams (CRAFTs). In addition, the project will: 1) develop templates and guidelines for business plans and enterprise grants; 2) build capacity of producer groups to develop and implement business plans for targeted enterprises; and 3) assist in screening and selecting best enterprise grant proposals to be supported. Implementation of Activity 1 will have many spinoffs that could have application far beyond the Barotse sub region. Examples include: 1) attracting private sector investment in providing goods and services, 2) aggregating produce from out-grower schemes; 3) conducting reviews of value chains, 4) producing templates and guidelines for business plans and enterprise grants for application with other initiatives elsewhere in the country; 5) emergence of a nation-wide network of public and private actors that will facilitate widespread diffusion of market-driven enterprises.

b) ***Activity 2 (US$1.295): Develop Service delivery system for an information platform to facilitate the dissemination and accessibility of information for producer groups and other users / stakeholders.*** The main objective of Activity 2 is to provide credible and time bound weather, market, climate smart practices and other relevant types of information to smallholder producers and other users to enable more informed decision making about their livelihoods and production enterprises. The information may take different forms for different users, e.g., agro-meteorological; weather forecasts including

possibilities of floods or drought; markets; commodity prices; climate smart practices, disease/pest outbreaks, etc. All forms of information are key in helping producers and other users to make better choices about managing their operations in response to changing conditions. Key milestones for Activity 2 include evaluating existing platforms and mechanisms for generating and disseminating information; strengthening an existing agency of government mandated to secure and coordinate the dissemination of information; building the capacity of government agencies to improve information generation and dissemination; engaging one or more competent firms or agencies to package climate smart practices tailored for disseminating using different media depending on target audience, end users taking into consideration communication accessibility. The key element of this activity is its national scope of impact.

c) ***Activity 3 (US$7.640): Support livelihood diversification / enterprises (e.g. crops, fisheries, livestock, irrigated high vale crops etc.) under targeted value chains linked to strong markets.*** The aim of activity 3 is to transform rural livelihoods in the Barotse sub basin of Western Province from subsistence to prosperous market-driven enterprises through enterprise grants to producer groups and individuals. The central focus is to build the capacity of producers, individually or in organized groups, through targeted enterprise financing and specialized support to develop technical, business and marketing skills in managing the targeted enterprises. Choices of best enterprises will be based on the results of the participatory analysis of key value chains from Activity 1. This will be combined with initiatives under activity 2 to improve access to a wide variety of information, knowledge and technology. This will be a competitive process. The ultimate objective will be to increase productivity, profitability and sustainability with enhanced resilience to climate change; supporting producers to move up the socio-economic ladder

E. Implementation

Institutional and Implementation Arrangements

15. No major changes are envisioned under the AF. The same current structure that governs the implementation of the parent project will remain. The Ministry of National Development Planning (MONDP) tasked with overall coordination and oversight of all climate change investment will continue with this role. Implementation and the supervision of the project will remain with the National Project Coordination Unit (NPCU) of the Zambia PPCR Project, relevant line ministry and the Provincial administration through the PIU. Participating communities will continue to have the leadership for all the initiatives, with backstopping by the Provincial Planning units. The MoNDP will ensure coherence between the AF activities and other similar World Bank-supported operations. The AF will not require additional staff in the new geographic area(s); in line with the decentralization implementation arrangement used in the parent project i.e. provincial planning unit playing the role of project implementation unit supported with technical backstopping by the CRAFT and the NPCU.

Implementation progress for the Zambia PPCR project remains firmly Moderately Satisfactory. Among all project activities, continued progress has been demonstrated in strengthened government capacity and coordination mechanisms for climate resilience. The component on the Support to Participatory Adaptation has shown progress in such activities as facilitation and community organization, developing draft policy for traditional canals and local adaptation contingency fund criteria developed, district level IDPs and ward level ADPs, as well as climate risk assessment for sub-basin. Integrated Development Plan (IDP) climate risk mainstreaming process has commenced and almost completed.

The Pilot Participatory Adaptation component demonstrates strong progress on the work plan, including indicators such as community grants, ward level grants, rehabilitation of local and major canals, individual champions. The component continues is moving from community sub-projects to wards and district level projects being identified. The Climate Information component activities also advances in such activities as social marketing campaign, two-way early warning system, open data platform. At the same time, there is need to the implementation of screening of climate resilient programs and policies in vulnerable sectors as part of component one of the project objective.

The project is fared well in terms of overall implementation and progress towards achievement of its PDO. The Zambia PPCR Project has established a successful model for implementing climate adaptation measures. However, the project is not yet reaching areas at scale, which has prompted the government to request to scale up the project in Luapula, Muchinga and Northern Provinces, where poverty rates are high and environmental fragility is deep.

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F. Project location and Salient physical characteristics relevant to the safeguard analysis (if known)

The project will be implemented at the national level for Component 1 (Strategic National Program), and in the Barotse sub-basin of the Zambezi for Components 2 and 3. The Barotse sub-basin is home to 1.1 million people and one of the most vulnerable areas in Zambia. A designated Ramsar site and Zambia's second largest wetland, it is currently proposed as a World Heritage Site. This vast flood plain is critical for livelihoods and culture of the Lozi people, who developed intricate systems of traditional resource management under their King (Litunga) and the Barotse Royal Establishment (BRE). Having learned to live with floods for centuries, the Lozi rely on a complex system of traditional earth lined canals for transport, drainage, irrigation, fisheries, and cultural ceremonies. Component 2 and 3 are expected to be implemented in 14 districts of the Barotse sub- Basin of the Zambezi, of which are in Kazungula (Southern Province), Kalabo, Kaoma, Limulunga, Lukulu, Luampa, Mitete, Mwandi, Mongu, Nalolo, Senanga, Sesheke, Shangombo and Sioma (all in Western Province). Specific location and type of interventions (whether mechanized, labor based, or carried out through self-help mechanisms) will require further consultations with water users and traditional authorities, and are therefore not known in advance.

G. Environmental and Social Safeguards Specialists on the Team

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

SAFEGUARD POLICIES THAT MIGHT APPLY

Safeguard Policies	Triggered?	Explanation (Optional)
Environmental Assessment OP/BP 4.01	Yes	The still remains triggered because the project is rated as a Category B and triggers OP/BP 4.01 (Environmental Assessment)
Natural Habitats OP/BP 4.04	Yes	This policies was triggered due to the sensitive nature of the Barotse floodplain - a Ramsar site, a proposed World Heritage Site and a critical area for the livelihoods and culture of the Lozi people
Forests OP/BP 4.36	Yes	The policy is being triggered because some of the AF project will focus on two thematic areas: (i) increased farm productivity, diversification and incomes; and, (ii) strengthened climate resilience of small holder farming systems. And thematic Area 1 will involve among others, agroforestry and farmer-managed natural regeneration .
Pest Management OP 4.09	Yes	The policy still remains triggered because the specific investments will focus on participatory adaptation. Hence an Environmental and Social Management Framework (ESMF) was prepared and complemented with a Strategic Environmental and Social Assessment (SESA) which is being applied to the national program, policies and strategies likely to promote climate resilience, and a simplified Pest Management Plan (PMP) to prevent the use of harmful pesticides and promote their safe handling and storage. The PMP for the parent project has since been disclosed. And this is also applicable to the AF.
Physical Cultural Resources OP/BP 4.11	Yes	The policy was triggered due to the sensitive nature of the Barotse floodplain -a Ramsar site, a proposed World Heritage Site and a critical area for the livelihoods and culture of the Lozi people
Indigenous Peoples OP/BP 4.10	No	This was not triggered because Zambia does not have indigenous people.
Involuntary Resettlement OP/BP 4.12	Yes	Because some target beneficiary investments at communities be linked to productive infrastructure that may require minor land acquisition. This policy was trig erred. However, land acquisition would be minimized by specifying that, save for exceptional cases, such should apply to existing structures and where this is not possible, it should be installed in public land.

Safety of Dams OP/BP 4.37	No	This was not triggered because the project is not supporting construction of dams.
Projects on International Waterways OP/BP 7.50	Yes	Since the Barotse floodplain is a sub-basin of the Zambezi (an international waterway), it triggers OP/BP 7.50. However, the project complies with the exception to notification of riparians defined on paragraph 7(a) of the policy since (a) it will not adversely change the quality or quantity of water flows to other riparians; and (b) it will not be adversely affected by the other riparians' possible water use.
Projects in Disputed Areas OP/BP 7.60	No	The project location is not located nor has any dispute prior, during the parent project and none envisage in the future.

KEY SAFEGUARD POLICY ISSUES AND THEIR MANAGEMENT

A. Summary of Key Safeguard Issues

1. Describe any safeguard issues and impacts associated with the proposed project. Identify and describe any potential large scale, significant and/or irreversible impacts:

The AF will basically support the same sets of activities as the parent project with the addition of new activities under the current components of the parent project: The AF activities are: Activity 1 - Identify the challenges, risks and opportunities for producers to transform their livelihoods into market based enterprises; Activity 2 - Develop service delivery system for an information platform to facilitate the dissemination and accessibility of information for producer groups and other users/stakeholders; Activity 3 - Support livelihood diversification / enterprises (e.g. crops, fisheries, livestock, irrigated high vale crops etc.) under targeted value chains linked to strong markets.

As the AF is supporting the same activities as the parent project, potential impacts of the AF will be similar to that of the parent project. For example, all sub-grant funded under the parent project had undergone prescreen as described in the ESMF before approval and implementation and the same process will be adopted under the AF. Also to date there have been no negative environmental and social impacts from all the sub-grant implemented projects under the parent project. Also with the parent project implementation, which will also be similar to the A,F environmental and social impacts are likely to be short-term, site specific, non-sensitive or reversible. Hence adequate mitigation measures can be incorporated to reduce the negative impacts. Therefore as with the parent project, impacts are considered localized, short term and manageable. On resettlement, It is unlikely that actual relocation of households will result from sub-project activities because beneficiaries are utilizing their own land assets..

Prototype grants under the parent project and to be funded under the enterprise grants(AF) under Component 3 may include: (i) upgrading and retrofitting (to climate resilient standards) social or small-scale productive infrastructure such as feeder roads, markets, etc.; (ii) conservation agriculture or diversification into climate-resilient crops or livestock; (iii) management of natural resources such as reeds and grasses for craft making; (iv) community based canal management (de-silting and cleaning, minor dredging, aligning slopes to prevent erosion, and vegetative lining);

(v) improved drainage and water management; (iv) community preparedness support, including better access to climate information, strengthened early warning systems; (v) elevation of settlement mounds on the floodplain; (vi) floating platforms for evacuation of people and livestock; (vii) crop storage facilities; and (viii) disease control.

Associated short term impacts for upgrading and retrofitting e.g canals might include air pollution from dust, noise from construction activities, occupational health risks, localized disposal of construction materials, and temporary sand displacement due to potential heightening of settlement mounts. For the infrastructure rehabilitation e.g canals carried out, an ESIA which has been effectively implemented, and this still applies to the AF because their activities are similar. In this context also, no negative social and environmental impact has been recorded. Rather there has been a net positives gain to community i.e expansion in access to crop areas in the vicinity of rehabilitated canals and boreholes. These are lands previously inaccessible due to flooding.
However, should resettlement be necessary, the low population density relative to the size of the floodplain implies that it would be relatively easy to locate replacement or compensation for land holdings for any potentially affected households. These potential impacts and mitigation measures are further described in the disclosed ESMF and RPF.

2. Describe any potential indirect and/or long term impacts due to anticipated future activities in the project area:
Over the current period of the parent project and in the long-term covering the AF, heightened awareness of climate risks and incorporation of risk and exposure mapping into local planning has led to communities and local Governments to opt and make better decision making on investment options away from climate sensitive and exposure. The project will also promote livelihoods that diversify income sources for very vulnerable households away from climate sensitive sectors (e.g. exposed crops and natural resources) these may include micro-enterprises, agro-processing, as well as finished agro products goods for sale in nearby Namibia and Angola. This transformational process is already under way, as people increasingly settle in district centers. As such, the participatory planning and mapping processes initiated by the project are expected to primarily assist communities and local decision makers in making more informed decisions which will benefit them over the long-term.

3. Describe any project alternatives (if relevant) considered to help avoid or minimize adverse impacts.
The project seeks to alleviate climate vulnerability of the Barotse community, link them to market in their existing sub-region and is therefore not expected to have any irreversible adverse negative impacts.

4. Describe measures taken by the borrower to address safeguard policy issues. Provide an assessment of borrower capacity to plan and implement the measures described.
In general, environmental and social safeguards component of the project has been implemented satisfactorily. Capacity of service providers continues to be a recurrent albeit resolvable issue with active ownership and embedding the district technical officers as part of the service providers.

The Zambia Environmental Management Agency (ZEMA) is responsible for ensuring that all requisite measures are put in place prior to project implementation and is responsible for providing clearances for all documents prepared, as well as ensure their disclosure, and including these procedures in the Operational Manual for Participatory Adaptation. The Conceptual Design and Environmental and Social Impact assessment (ESIA) were completed. This study helped to determine a more precise type and location of the interventions and, where required, prepare an EMP and/or RAP. The ESIA report described both social, cultural and environmental baseline in the Study area. And the main recommendation from this ESIA was that local governments and BRE need to be engaged and part of its implementation.

The Ministry of National Development planning through the parent project implementing unit has been compliant with approved ESMP. The project has a designated Safeguard Specialists, supported by Participatory Adaption Experts engaged at district level to manage risks. The presence of these experts has strengthened monitoring of safeguard compliance at sub-project activities, thus lowering risk incidences. No physical or economic displacement has been recorded to date and impacts on the environment have not been significant. Current ESMP promotes employment opportunities for local communities in project areas, a requirement that has been enforced by the Project as a mitigation against labour influx. It is envisaged that proposed activities will be aligned to the requirements of the parent project and will not deviate from the original project design. The current safeguard instruments therefore remain valid and adequate to mitigate potential risks from project implementation.

The ESMF, PMP and RPF were concluded and disclosed in draft form in-country on 7 March, 2013 and submitted to Infoshop on 6 March (ESMF) and on 7 March 2013 (RPF and PMP). The ESIA has since been disclosed in country on May 15th, 2015 and submitted to Infoshop on 1 October, 2015.

Districts participating in the parent project, which are the same for the AF have increased their capacity with project oversight in relation to safeguards. This has inform the successes achieved and challenges confronting during community sub-project implementation. Successes included increased availability of cropping land due to canal rehabilitation for early drainage of flooded areas and use for irrigation in low water season and the district technical services backstopping to ensure the right technology are being used to avoid pollution in the floodplain. This has resulted in more crop diversification and subsequently improved household food security and more sustainable livelihoods for some communities. Challenges impacted quality of technical services rendered by some of the Climate Risk Adaptation Facilitating Teams (CRAFTs). This led to some poorly designed community projects e.g. inappropriate location of project sites. However due to the strong environmental and socials safeguards system on the project, the knowledge and regular oversight by the district technical services, project staffs etc., the affected project was relocated to an environmentally safe location before implementation.

5. Identify the key stakeholders and describe the mechanisms for consultation and disclosure on safeguard policies, with an emphasis on potentially affected people.

The key stakeholders for the parent project and the AF are the Barotse communities i.e producer groups, the Barotse Royal Establishment, the provincial and district authorities (including the Councils), the National Heritage Conservation Commission, WorldFish, NGO partners working in the target districts (including CONCERN, Oxfam, Red Cross Zambia, WWF, the Zambia Climate Change Network, youth groups, and others), Agora Micro-Finance, and the National Government.

These stakeholders have been consulted regularly during parent project implementation and the design of the AF to inform them the activities to be implemented under the AF will still follow the same safeguard principles. ZEMA is the key stakeholder for ensuring consultation of all project affected people. It is their requirement that prospective developers and or project proponents conduct consultation meetings before they issue clearances for preparation of environmental studies. Such information is also required during study preparation. In addition, ZEMA conducts regular project audits to ensure the approved specifications have been followed. The parent project has effectively implemented this approach and will continue the same principle under the AF

B. Disclosure Requirements (N.B. The sections below appear only if corresponding safeguard policy is triggered)

Environmental Assessment/Audit/Management Plan/Other

Date of receipt by the Bank	Date of submission for disclosure	For category A projects, date of distributing the Executive Summary of the EA to the Executive Directors
24-Feb-2013	06-Mar-2013	

"In country" Disclosure

Zambia

07-Mar-2013

Comments

Resettlement Action Plan/Framework/Policy Process

Date of receipt by the Bank	Date of submission for disclosure
22-Feb-2013	07-Mar-2013

"In country" Disclosure

Zambia

07-Mar-2013

Comments

Pest Management Plan

Was the document disclosed prior to appraisal?	Date of receipt by the Bank	Date of submission for disclosure
Yes	01-Feb-2013	01-Feb-2013

"In country" Disclosure

Zambia

01-Feb-2013

Comments

If the project triggers the Pest Management and/or Physical Cultural Resources policies, the respective issues are to be addressed and disclosed as part of the Environmental Assessment/Audit/or EMP.

If in-country disclosure of any of the above documents is not expected, please explain why:

C. Compliance Monitoring Indicators at the Corporate Level (to be filled in when the ISDS is finalized by the project decision meeting) (N.B. The sections below appear only if corresponding safeguard policy is triggered)

OP/BP/GP 4.01 - Environment Assessment

Does the project require a stand-alone EA (including EMP) report?
No

OP/BP 4.04 - Natural Habitats

Would the project result in any significant conversion or degradation of critical natural habitats?
No
If the project would result in significant conversion or degradation of other (non-critical) natural habitats, does the project include mitigation measures acceptable to the Bank?
No

OP 4.09 - Pest Management

Does the EA adequately address the pest management issues?
Yes
Is a separate PMP required?
No
If yes, has the PMP been reviewed and approved by a safeguards specialist or PM? Are PMP requirements included in project design? If yes, does the project team include a Pest Management Specialist?
NA

OP/BP 4.11 - Physical Cultural Resources
Does the EA include adequate measures related to cultural property?
Yes
Does the credit/loan incorporate mechanisms to mitigate the potential adverse impacts on cultural property?
Yes

OP/BP 4.12 - Involuntary Resettlement

Has a resettlement plan/abbreviated plan/policy framework/process framework (as appropriate) been prepared?
Yes
If yes, then did the Regional unit responsible for safeguards or Practice Manager review the plan?
Yes
Is physical displacement/relocation expected?

No

Is economic displacement expected? (loss of assets or access to assets that leads to loss of income sources or other means of livelihoods)

No

OP/BP 4.36 - Forests

Has the sector-wide analysis of policy and institutional issues and constraints been carried out?

Yes

Does the project design include satisfactory measures to overcome these constraints?

Yes

Does the project finance commercial harvesting, and if so, does it include provisions for certification system?

No

OP 7.50 - Projects on International Waterways

Have the other riparians been notified of the project?

Yes

If the project falls under one of the exceptions to the notification requirement, has this been cleared with the Legal Department, and the memo to the RVP prepared and sent?

Yes

Has the RVP approved such an exception?

Yes

The World Bank Policy on Disclosure of Information

Have relevant safeguard policies documents been sent to the World Bank for disclosure?

Yes

Have relevant documents been disclosed in-country in a public place in a form and language that are understandable and accessible to project-affected groups and local NGOs?

Yes

All Safeguard Policies

Have satisfactory calendar, budget and clear institutional responsibilities been prepared for the implementation of measures related to safeguard policies?
Yes
Have costs related to safeguard policy measures been included in the project cost?
Yes
Does the Monitoring and Evaluation system of the project include the monitoring of safeguard impacts and measures related to safeguard policies?
Yes
Have satisfactory implementation arrangements been agreed with the borrower and the same been adequately reflected in the project legal documents?
Yes

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APPROVAL

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