



Concept Environmental and Social Review Summary

Concept Stage

(ESRS Concept Stage)

Date Prepared/Updated: 01/13/2021 | Report No: ESRSC01776



BASIC INFORMATION

A. Basic Project Data

Country	Region	Project ID	Parent Project ID (if any)
Eastern Africa	AFRICA EAST	P175355	
Project Name	Sustainable Groundwater Management in SADC Member States Project Phase 2		
Practice Area (Lead)	Financing Instrument	Estimated Appraisal Date	Estimated Board Date
Water	Investment Project Financing	3/22/2021	6/16/2021
Borrower(s)	Implementing Agency(ies)		
The Secretariat of the Southern African Development Community (SADC)	SADC-Groundwater Management Institute (SADC-GMI)		

Proposed Development Objective

To Strengthen Inclusive Groundwater Management in the SADC Region at National and Transboundary Levels

Financing (in USD Million)	Amount
Total Project Cost	9.00

B. Is the project being prepared in a Situation of Urgent Need of Assistance or Capacity Constraints, as per Bank IPF Policy, para. 12?

No

C. Summary Description of Proposed Project [including overview of Country, Sectoral & Institutional Contexts and Relationship to CPF]

The project is focused on sustainable development of groundwater resources in the SADC Region. The project aims to build stronger institutions through capacity building at transboundary, national and local levels, to strengthen the regional knowledge base on groundwater resources through the generation and dissemination of targeted knowledge for decision makers and stakeholders and to contribute to more resilient livelihoods through the promotion of innovative infrastructure development and community based groundwater management. The project also supports SADC-GMI in it's objective to strengthen its position as a regional center of excellence, through the



raising of awareness, supporting the regional dialogue among SADC member States and RBO's and building of strategic partnerships.

D. Environmental and Social Overview

D.1. Detailed project location(s) and salient physical characteristics relevant to the E&S assessment [geographic, environmental, social]

The project invests primarily in technical aspects to support institution building, generation and dissemination of knowledge and collaboration on groundwater in the SADC region. There is no physical footprint for these investments, and the project will develop stakeholder engagement procedures to guide implementation. Strategic infrastructure is proposed under component 3.1 and the investments are expected to be minor. For example, investments are expected to include drilling of test boreholes, monitoring of groundwater levels, piloting and upscaling of innovative infrastructure solutions to manage recharge of aquifers, such as infiltration banks and innovative rural water supply in the form of shallow wells which will have a direct benefit to local communities. The project locations for these investments are currently unknown but will be in the SADC region. Locations for investments under component 3.2 will be strategically selected by national focal groups established under the predecessor World Bank project – and will therefore only be known after project appraisal. Some of the interventions under Component 3 could be implemented on transboundary aquifers within the SADC Region (shared by two or more SADC Member States) therefore OP 7.50 may apply. During preparation, the SADC Secretariat will notify all SADC member states of the project and that the small-scale activities to be financed may be implemented on transboundary aquifers and that the activities will be defined for each sub-project during project implementation. The activity selection will be guided and vetted in accordance with a grants manual which will reflect environmental and social due diligence required in the ESMF. The project will be implemented in all 15 SADC Member States: Angola, Botswana, Comoros, Democratic Republic of Congo, Eswatini, Lesotho, Madagascar, Malawi, Mauritius, Mozambique, Namibia, Seychelles, South Africa, United Republic of Tanzania, Zambia, and Zimbabwe.

D. 2. Borrower's Institutional Capacity

The proposed project builds on an ongoing long-term technical engagement under an existing funded project, AFCRI-Sustainable Groundwater Management in SADC Member States (P127086), with the Secretariat of the Southern African Development Community (SADC) through its regional technical center of excellence, the SADC-Groundwater management Institute (SADC-GMI). The existing project was developed under the World Bank Safeguards Policies and was classified as a Category B project. Overall environmental and social performance for the project has been rated as satisfactory during the last Implementation Support Review. Implementation has been guided by the project Environmental and Social Management Framework (ESMF), and sub-project level Environmental and Social Management Plans (ESMP) in line with the World Bank Safeguards Policies. Even though SADC-GMI has a proven track record with the implementation of World Bank funded projects, it has limited in-house capacity for managing E&S risks and impacts and therefore the existing project's environmental and social due diligence was outsourced to a consulting firm. The consulting firm will provide progress feedback to the SADC-GMI which would filter to the Bank. Supervision through this arrangement has been satisfactory thus far. SADC-GMI has built increased knowledge on World Bank environmental and social due diligence through the existing project and has made plans for a transition from the consulting firm to in-house management of environmental and social implementation in the new proposed project. This will be achieved by appointment of a dedicated E&S Manager for this project and a gradual handover; including training of the appointed person; by the consulting firm.



II. SCREENING OF POTENTIAL ENVIRONMENTAL AND SOCIAL (ES) RISKS AND IMPACTS

A. Environmental and Social Risk Classification (ESRC)

Moderate

Environmental Risk Rating

Moderate

The environmental risk rating is moderate at this stage, based on the project’s anticipated environmental risks and impacts and considerations of SADC-GMI's limited in-house capacity to manage environmental risks. Proposed investments under sub-component 3.2 are expected to be small-scale infrastructure development and are expected to be limited in scope with small and localized environmental footprints such as drilling of test boreholes, ground water level monitoring, piloting and upscaling of innovative infrastructure solutions to manage recharge of aquifers such as infiltration banks and innovative small scale rural water supply in the form of shallow wells. The investments are expected to take place within already established community areas. Anticipated environmental impacts and risks typically associated with these activities are expected to be low to moderate, predictable and site specific. The impacts will be temporary as they will occur mainly during the construction phase and may lead to localized loss of vegetation, soil erosion and degradation, soil and surface water pollution, dust and noise emissions, generation and disposal of small quantities of construction waste, occupational health and safety concerns to contracted workers, community health and safety risks. During the execution of activities such as the installation of boreholes, stakeholder engagement and monitoring of ground water levels under sub-component 3.2, community health risks may include exposure to COVID-19 pandemic, and therefore the SADC-GMI will be required to determine the risk of exposure and spread of COVID-19 during these activities and put the necessary prevention and mitigation measures in place in line with the Bank guidelines. Due to the small-scale nature of works and the expected depth of drilling, the project is not likely to have significant adverse impacts on the availability or quality of groundwater or transboundary groundwater resources. The technical assistance; to be financed under this project; may have an overall positive impact on groundwater resources due to the strengthening of regulatory frameworks related to management of groundwater resources, adequate groundwater planning and promotion of sustainable usage. However, future investment which may result from the policy reforms and piloting of innovative infrastructure under this project, may have a negative impact on the environment of which the magnitude is not know at this stage. Therefore, all future investments will require adequate assessments of environmental implications once detailed scope of such future investments are known.

Social Risk Rating

Moderate

The social risk is considered moderate at this time; issues that may arise are expected to be site specific, limited in scope and duration, and mitigated through engagement of good practice measures, including stakeholder engagement, labor procedures and management, and avoidance of risks to communities (in accordance with ESS10, 2 and 4 respectively). The project may have minor adverse impacts on community health and safety and labor and working conditions. It is not expected that the project will require land acquisition or result in loss of livelihoods and assets as the investments are expected to take place within already established community areas.

B. Environment and Social Standards (ESSs) that Apply to the Activities Being Considered

B.1. General Assessment

ESS1 Assessment and Management of Environmental and Social Risks and Impacts

Public Disclosure



Overview of the relevance of the Standard for the Project:

This standard is relevant as investments under sub-component 3.2 are likely to include small scale civil works associated with the pilot innovation infrastructure development which may lead to moderate environmental and social impacts which are site specific, predictable and likely to only occur during construction. Likely environmental impacts associated with this activity includes localised loss of vegetation, soil erosion and degradation, soil and surface water pollution, dust and noise emissions, generation and disposal of small scale construction waste, occupational health and safety concerns to contracted workers, community health and safety risks and health risks due activities such as the installation of boreholes, stakeholder engagement and monitoring of ground water levels under sub-component 3.2 that may lead community exposure to COVID-19 pandemic. SADC-GMI will provide guidelines as part of the updated ESMF for the contractors; at sub-project level; to prevent potential community and worker exposure to COVID-19, during construction and put measures in place in the event of exposure or infection.

All planning and strategic documents produced as part of the project components to be financed should incorporate specific provisions in accordance with the Environmental and Social Standards (ESSs) in proportion with the entailed environmental and social risks. In order to manage environmental and social risks associated with the project, SADC-GMI will update the existing Environmental and Social Management Framework (ESMF) developed under the previous groundwater monitoring project (P127086) to incorporate the requirements of the ESF such as community health and safety, labour and working conditions, addressing of climate change and climate resilience and utilisation of natural resources to name a few. The updated ESMF will be prepared during the project preparation phase and shall be disclosed prior to project appraisal. The ESMF will provide an overview of the project and its components, the applicable legislative and regulatory frameworks and policies, an overview of the baseline conditions and a summary of key anticipated environmental and social impacts. It will further provide mitigation and monitoring measures and a screening tool for assessing and classifying impacts at sub-project level, for the new locations and will provide guidance for the preparation of a sub-project level environmental and social assessments, Environmental and Social Management Plans (ESMPs) or standardized operating protocols based on the finding from the screening; which are proportionate to the nature and scale of the activities and its risks to be undertaken at each sub-project. Due to the small scale of the project it is anticipated that Labour Management such as Working Conditions and contractor requirements, Occupational Health and Safety (OHS) and Community Health and Safety (CHS) can be incorporated in the ESMF and sub-project level ESMP. The existing Grants Manual developed; and cleared by the Bank; as part of the SADC groundwater monitoring project (P127086) will be updated to ensure that environmental and social requirements are incorporated at the grantee level. To ensure that the environmental and social components are considered in all technical assistance (TA) funded under this project; the borrower will prepare a draft Terms of References (ToR) to ensure that the proposed reforms include an adequate assessment of environmental and social aspects and that the advice provided through the TA is consistent with the requirements in the ESF.

An Environmental and Social Commitments Plan (ESCP) setting out the environmental and social commitments for the project will be developed by SADC-GMI. The ESCP will include aspects such as the need for sub-project level environmental and social assessment, if required, and sub-project specific ESMPs, which will be developed in consultation with stakeholders, and approved and disclosed by the World Bank.

Areas where “Use of Borrower Framework” is being considered:

Use of Borrower’s E&S Framework, in whole or in part, is not being considered at this time.



ESS10 Stakeholder Engagement and Information Disclosure

SADC-GMI will prepare a Stakeholder Engagement Plan (SEP) which will include mapping and analysis of stakeholders at project preparation stage. The SEP will identify the various stakeholders including those disadvantaged or vulnerable including IP/SSAHUTI and set out a strategy on how they will be engaged throughout the life cycle of the project; how and what project information will be disseminated at the different levels; how stakeholder concerns and feedback will be considered during the project design and implementation phases and how the project intends to manage grievances through the implementation of a project Grievance Mechanism (GM). The SEP should allow for meaningful consultation in a participatory manner and should be tailored to ensure involvement of disadvantage and vulnerable groups in the communities. The SEP will outline means of consultation especially in a COVID-19 situation in line with World Bank guidance and relevant SADC member country policies. The SEP forms an important part of the project and will be disclosed alongside the ESMF and the ESCP prior to project appraisal. The SEP to be presented at appraisal will need to contain evidence of early engagement including outreach to vulnerable groups and specific strategies to achieve and maintain engagement of disadvantaged and vulnerable groups during the project life cycle.

B.2. Specific Risks and Impacts

A brief description of the potential environmental and social risks and impacts relevant to the Project.

ESS2 Labor and Working Conditions

ESS2 is considered to be relevant to the project interventions at this time. It is anticipated that the project may make use of direct workers, contracted workers, community workers and government workers. The small scale infrastructure development; such as drilling of boreholes and construction of wells; is only anticipated to engage labor on a very small scale; some of the activities (i.e. minor trenching) may be conducted by community workers. All requirements of ESS2 will apply to project direct and contract workers. Labor management procedures, OHS and labor conditions and avoiding child and forced labor apply for all cases of community workers and any other requirements as deemed relevant. For government civil servants, the application of ESS2 is limited to the child labor and forced labor and OHS requirements. To ensure fair labor practices and health and safety of workers during the construction and implementation of the project, SADC-GMI needs to ensure international good practices concerning labor and working conditions and Occupational Health and Safety as well as conformity with national regulations of the country in which the sub-project will be executed. These will be incorporated in the updated ESMF and the site-specific ESMPs and contractor bid documents. The ESMF will provide guidance for the development of sub-level project specific ESMPs, which will incorporate the relevant Occupational Health and Safety aspects and reflect good practice in accordance with ESS2 to detail how workers, including project workers from the implementing agencies, are going to be managed throughout the project cycle. A Labor Management Procedure will be included in the updated ESMF, which will provide guidelines for a worker's GRM. Any civil works contracts will include the EHSGs, GIIP, and industry standard Codes of Conduct that address OHS risks as well as GBV/SEA-SH. For the minor construction activities that may use community workers (i.e. for minor trenching) SADC-GMI will ensure that clear identified terms and conditions on which community labor will be engaged shall be put in place. The terms of conditions shall set out whether work will be provided on a voluntary basis or whether remuneration will be given, in compliance with the ESF and national laws.

ESS3 Resource Efficiency and Pollution Prevention and Management



ESS3 is considered to be relevant to the project interventions at this time. Activities under sub-component 3.2 may lead to localized and minor soil and surface water pollution, soil erosion and degradation, dust and noise emissions and generation of small quantities of non-hazardous and hazardous waste due to the small-scale infrastructure development works that may be required. The project is not likely to require any significant energy or raw construction material inputs and therefore its impact on natural resources is considered to be negligible. Similarly, the project is not likely to contribute significant GHG emissions. The project is not anticipated to result in any significant usage of water or impact on ground water quality as the pilot infrastructure development is small in scale; will only be implemented in few selected areas within the SADC countries and is not anticipated to support large communities as primary water supply under this project. Potential impacts on groundwater resources, including water quality and water levels; within the sub-project level, if any; will be mitigated through measures provided in the ESMF and sub-level ESMP including requirements for monitored during the construction phase. . Activities under component 2 and sub-component 3 will provide for ongoing groundwater monitoring and collection of qualitative and quantitative data for both national and transboundary aquifers with the aim to inform groundwater action plans, strengthen sustainable use and protection of groundwater resources for long-term socio-economic development and potential job creation within each of the SADC regions. Through the ESMF, it will be ensured that the sub-project specific ESMPs include adequate measures to prevent and mitigate and manage potential pollution, soil erosion and degradation, dust and noise emissions and proper management of the small quantities of non-hazardous and hazardous waste waste likely to be generated during the small scale construction works.

ESS4 Community Health and Safety

ESS4 is considered to be relevant to the project interventions at this time. The project will involve only small scale and localized civil works, such as the drilling of boreholes and construction of wells; which are likely to be undertaken by small construction crews. The likely impacts on community health and safety may include the introduction of communicable diseases due to small construction crews, as well as potential risks of GBV/SEA-SH or possible COVID-19 cases, as well as minor road safety and construction site accidents and incidents with communities. Due to the small scale of the project no influx of workers is anticipated and the likelihood of project worker interference with the communities is minimal. SADC-GMI will ensure that the ESMF makes provision for the identification and mitigation of likely community health and safety impacts and risks that may arise at sub-project level, this will include screening of potential GBV/SEA-SH risks. Possible issues related to community safety during civil works and transportation and storage of materials at the works site will need to be managed through stringent guidelines defined in the ESMF and detailed in ESMPs and contractor documents. The sub-project specific ESMP will address impacts and risks related community health and safety, and will incorporate measures to mitigate the risk of GBV/SEA-SH, the spread of infectious and communicable diseases including COVID-19 in line with the World Bank guidelines on COVID-19 and the WHO guidelines.

ESS5 Land Acquisition, Restrictions on Land Use and Involuntary Resettlement

ESS5 is considered as relevant to the project interventions . Infrastructure development under subcomponent 3.2 is expected to take place within already established community areas and in close consultation with local communities to avoid any resettlement impact, including land acquisition, restrictions to livelihoods or loss/impact on assets. Experience from the existing project, phase 1, has shown that activities of the planned scope has not led to any resettlement impact and where community preference has differed from technical specialist identification of sites,



alternatives have been feasible without having compromised project objectives. The scoping and screening in the ESMF will capture all land related impacts and avoidance including any arrangements agreed at the community level which will be of high priority in accordance with mitigation hierarchy stipulated under the ESF.

ESS6 Biodiversity Conservation and Sustainable Management of Living Natural Resources

ESS6 is considered to be relevant to this project at this stage.. Activities supported under component 1 of this investment may not only contribute to the promotion of sustainable use of groundwater, through policy reforms and capacity building; but may also lead to improved management and protection of riparian areas, wetlands and aquatic ecosystems, in the greater SADC regions; which play an important role in groundwater recharge and its quality, ecological services and may promote biodiversity. The infrastructure development is anticipated to take place within existing community areas that are likely to be modified habitat with limited to no biodiversity or conservation relevance. No disruption or restriction to natural resources is anticipated to take place as a result of the implementation of this project. The ESMF will include criteria and procedures to allow for screening of any sensitive ecosystems and services; and will include an exclusionary list prohibiting financing of activities in areas of important biodiversity or sensitivities; during sub-project site selection phase, to ensure that the investments are designed and implemented in ways that ensure avoidance of impacts to protected or sensitive areas or critical habitats.

ESS7 Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities

ESS7 is considered as relevant to the project interventions as a precautionary measure due to the presence of IP/SAHUTLC in several SADC member states. The screening and scoping of component 3.2 infrastructure development should include advanced identification of the presence and collective attachment to proposed project sites of Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities. The ESMF will provide guidelines for project compliance with ESS7 to ensure high standards of consultation and inclusion in planning where presence and collective attachment of Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities is identified.

ESS8 Cultural Heritage

ESS8 is not considered relevant to the project interventions at this time. Activities under sub-component 3.1 are likely to include localized clearing of vegetation, small scale excavation and borehole drilling that are unlikely to have an impact on tangible cultural heritage features located within the immediate project footprint and underground. During community engagement intangible cultural heritage should be identified and avoided. However, as the likelihood of cultural heritage features within the sub-project level is not yet known, the ESMF will make provision during the screening phase for the identification and avoidance of any potential tangible and in-tangible cultural features that may occur and the preparation of "Chance Find" procedures. The "Chance Find" procedure will form part of the sub-project specific ESMP and will address potential impacts of the small scale civil works on tangible and intangible cultural heritage features consistent with ESS8.

ESS9 Financial Intermediaries

This standard is not likely to be relevant as no involvement of Financial intermediaries is not anticipated at this stage.



C. Legal Operational Policies that Apply

OP 7.50 Projects on International Waterways Yes

OP 7.60 Projects in Disputed Areas No

III. WORLD BANK ENVIRONMENTAL AND SOCIAL DUE DILIGENCE

A. Is a common approach being considered? No

Financing Partners

None

B. Proposed Measures, Actions and Timing (Borrower’s commitments)

Actions to be completed prior to Bank Board Approval:

Actions to be completed prior to Bank Appraisal:

The relevant Environmental and Social instruments that need to be prepared, approved and disclosed before project appraisal are the

- (i) Draft updated Environmental and Social Management Framework (ESMF) including labor management procedures, procedures for identification of presence and collective attachment of Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities and ToR for ESMPs
- (ii) Stakeholder Engagement Plan (SEP) including a Grievance Mechanism (GM) for the entire project, and;
- (iii) Environmental and Social Commitment Plan (ESCP).

Possible issues to be addressed in the Borrower Environmental and Social Commitment Plan (ESCP):

The ESCP should contain the following as a minimum:

- (i) Finalize, disclose and implement the updated ESMF;
- (ii) Implement and update the SEP and operationalize the GM;
- (iii) Deliver on ESCP action items and provide regular reports to the Bank;
- (iv) Updating of the grants manual to include the E&S requirements in line with the screening activities in the ESMF
- (v) Prepare the relevant environmental and social assessment for each sub-project in line with the requirements as set out in the ESMF, and
- (vi) Terms of Reference for the TA activities reflecting the requirements of the ESF reviewed and approved by Bank.

IV. CONTACT POINTS

World Bank

Public Disclosure



Contact: Anna Cestari Title: Senior Water Resources Management Specialist

Telephone No: 5338+3239 Email: acestari@worldbank.org

Borrower/Client/Recipient

Borrower: The Secretariat of the Southern African Development Community (SADC)

Implementing Agency(ies)

Implementing Agency: SADC-Groundwater Management Institute (SADC-GMI)

V. FOR MORE INFORMATION CONTACT

The World Bank
1818 H Street, NW
Washington, D.C. 20433
Telephone: (202) 473-1000
Web: <http://www.worldbank.org/projects>

VI. APPROVAL

Task Team Leader(s):	Anna Cestari
Practice Manager (ENR/Social)	Africa Eshogba Olojoba Recommended on 13-Jan-2021 at 03:26:30 GMT-05:00
Safeguards Advisor ESSA	Peter Leonard (SAESSA) Cleared on 13-Jan-2021 at 06:40:49 GMT-05:00

Public Disclosure