



**ENVIRONMENTAL AND SOCIAL SAFEGUARDS FRAMEWORK (ESMF) FOR THE  
KAFUE WILDLIFE PROJECT IN THE KAFUE FLATS OF ZAMBIA**

January 2025

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## TABLE OF CONTENTS

<b>LIST OF TABLES</b> .....	<b>3</b>
<b>LIST OF FIGURES</b> .....	<b>3</b>
<b>EXECUTIVE SUMMARY</b> .....	<b>5</b>
<b>1. INTRODUCTION</b> .....	<b>11</b>
<b>2. PROJECT DESCRIPTION</b> .....	<b>14</b>
<b>3. PROJECT AREA PROFILES</b> .....	<b>16</b>
3.1 GEOGRAPHICAL COVERAGE .....	16
3.2 BIOPHYSICAL ENVIRONMENTAL CONDITIONS .....	17
3.3 SOCIAL BASELINE CONDITIONS .....	21
3.3.1 SOCIAL AND CULTURAL .....	21
3.3.2 SOCIAL ECONOMIC CONTEXT .....	23
3.3.3 POLITICAL, GOVERNANCE AND LEGAL CONTEXT .....	24
<b>4. ENVIRONMENTAL AND SOCIAL POLICIES, REGULATIONS AND GUIDELINES</b> ...	<b>26</b>
4.1 INSTITUTIONAL FRAMEWORK .....	26
4.2 ZAMBIA'S APPLICABLE POLICIES, LAWS AND REGULATIONS .....	27
4.2.1 NATIONAL POLICY ON ENVIRONMENT (NPE), 2007 .....	27
4.2.2 THE SECOND NATIONAL BIODIVERSITY STRATEGY AND ACTION PLAN (NBSAP-2) 2015-2025 ...	29
4.2.3 NATIONAL FORESTRY POLICY (NFP), 2014 .....	29
4.2.4 NATIONAL PARKS AND WILDLIFE POLICY, 2018 .....	29
4.2.5 ZAMBIA NATIONAL CLIMATE CHANGE RESPONSE STRATEGY (2010) .....	30
4.2.5 NATIONAL POLICY ON CLIMATE (2016) .....	30
4.3 WWF SAFEGUARDS STANDARDS AND PROCEDURES .....	33
<b>5. INSTITUTION ARRANGEMENTS</b> .....	<b>37</b>
5.1 OVERVIEW OF IMPLEMENTATION ARRANGEMENTS .....	37
5.1.1 PROJECT MANAGEMENT UNIT .....	37
5.1.2 GEF AGENCY OVERSIGHT .....	37
5.2 IMPLEMENTATION ARRANGEMENTS .....	38
5.2.1 PROJECT TECHNICAL COMMITTEE .....	38
5.2.2 PROJECT STEERING COMMITTEE .....	39
5.2.3 EXECUTING PARTNER .....	39
5.2.4 WWF ZAMBIA COUNTRY OFFICE (ZCO) .....	39
5.2.5 TECHNICAL DELIVERY OF OUTPUTS BY SUB GRANT PARTNERS .....	39
5.2.7 SAFEGUARDS IMPLEMENTATION .....	39

<b>6</b>	<b>ANTICIPATED ENVIRONMENTAL AND SOCIAL IMPACTS AND MITIGATION MEASURES</b> .....	<b>42</b>
<b>7</b>	<b>PROCEDURES FOR THE IDENTIFICATION AND MANAGEMENT OF ENVIRONMENTAL AND SOCIAL IMPACTS</b> .....	<b>48</b>
7.1	SCREENING .....	48
7.2	ASSESSMENT OF POSSIBLE RISKS.....	48
7.3	DEVELOPMENT OF AN ENVIRONMENTAL AND SOCIAL SAFEGUARDS MITIGATION PLAN (ESMP)....	48
<b>8</b>	<b>GUIDELINES FOR ESMP DEVELOPMENT</b> .....	<b>48</b>
8.1	CONTEXT .....	48
8.2	MITIGATION .....	49
8.3	MONITORING .....	49
8.4	CAPACITY DEVELOPMENT AND TRAINING.....	49
8.5	IMPLEMENTATION SCHEDULE AND COST ESTIMATES .....	50
8.6	TEMPLATE FOR AN ESMP .....	50
<b>9</b>	<b>PROCESS FRAMEWORK</b> .....	<b>50</b>
9.1	PROCESS FRAMEWORK .....	50
9.3	COMMUNITY ENGAGEMENT FOR THE PREPARATION OF LRPS .....	52
<b>10</b>	<b>GRIEVANCE REDRESS</b> .....	<b>55</b>
<b>11</b>	<b>CAPACITY BUILDING</b> .....	<b>59</b>
12.1	OVERVIEW .....	59
12.2	CAPACITY BUILDING NEEDS .....	59
12.3	TRAINING REQUIREMENTS .....	60
<b>12</b>	<b>DISCLOSURE</b> .....	<b>61</b>
<b>13</b>	<b>MONITORING</b> .....	<b>62</b>
13.1	OVERVIEW .....	62
13.2	MONITORING LEVELS .....	62
<b>14</b>	<b>BUDGET</b> .....	<b>63</b>
	<b>ANNEX 1. SAFEGUARD ELIGIBILITY AND IMPACTS SCREENING</b> .....	<b>64</b>
	<b>ANNEX II: LIST OF STAKEHOLDERS ENGAGED</b> .....	<b>74</b>

## **LIST OF TABLES**

Table 1: Chiefdoms and Districts targeted for the KaF _Wild	29
Table 2: Kafue Flats Landscape Population	35
Table 3: Legislation relevant to the KaF _Wild Project	47
Table 4: Project Output Specific Potential Adverse Environmental or Social Impacts and Proposed Mitigation Measures	62

## **LIST OF FIGURES**

Figure 1: KaF _Wild Problem Analysis	13
Figure 2: Location of the Kafue Flats	29
Figure 3: Distribution of the targeted Chiefdoms across the Kafue Flats Landscape	30
Figure 4: Land cover/Use classification of the Kafue Flats	31
Figure 5: Spatial Distribution of Main Economic Activities in the Kafue Flats Landscape	38

## ABBREVIATIONS AND ACRONYMS

CBO	Community Based Organization
CRB	Community Resource Board
CSO	Civil Society Organizations
DNPW	Department of National Parks and Wildlife
ESIA	Environmental and Social Impact Assessment
ESMF	Environmental and Social Management Framework
ESSF	Environmental and Social Safeguards Framework
GEF	Global Environmental Facility
GMA	Game Management Area
GRZ	Government of the Republic of Zambia
HWC	Human Wildlife Conflict
IAS	Invasive and Alien Species
IAPS	Interested and Affected Parties
ICF	International Crane Foundation
IDC	Integrated Development Plan
IFC	International Financing Cooperation
KaF - Adapt	Kafue Adaptation Project
KaF - Wild	Kafue Wildlife Project
KfW	Kreditanstalt für Wiederaufbau
KII	Key Informant Interview
LDCF	Least Developed Countries
M&E	Monitoring and Evaluation
MGEE	Ministry of Green Economy and the Environment
MoT	Ministry of Tourism
MoU	Memorandum of Understanding
NBE	Nature Based Enterprises
NGO	Non-Governmental Organization
PA	Protected Area
PDT	Project Development Team
SIPP	Safeguard Integrated Policies and Procedures
WARMA	Water Resource Management Authority
WB	World Bank
WCD	Wildlife Conservation for Development
WWF	Wild Wide Fund For Nature
ZEMA	Zambia Environmental Management Agency

## EXECUTIVE SUMMARY

### **Kafue Flats Wildlife, Habitat, Health and Livelihoods Project (KaF-Wild)**

Worldwide Fund for Nature United States (WWF-US) is supporting the Government of the Republic Zambia (GRZ), Zambia World Wide Fund for Nature Zambia (WWF Zambia) and the International Crane Foundation (ICF) to develop the Kafue Flats Wildlife, Habitat and Livelihoods Project (“KaF Wild”), to be funded through the Global Wildlife Conservation for Development (WCD) Integrated Programme. This project is part of two projects which will be designed in support of Zambian government priorities, and in accordance with WWF and GEF standards. Kafue Wildlife, Habitat, Health and Livelihoods Project (KaF \_ Wild) aims to secure key wildlife species of the Kafue Flats Landscape and promote socio-economic benefits to local communities through wildlife-based economies in the Kafue Flats. Further, this project will contribute to fostering a transformative approach to conservation, protecting ecosystems and wildlife habitats while enhancing community resilience.

The project is expected to be implemented over a 5-year period with WWF US being the lead GEF Agency for this project with increased collaboration with the Government of the Republic of Zambia (GRZ) through the Ministry of Tourism, Ministry of Green Economy and Environment (MGEE), the Ministry of Fisheries and Livestock (MFL), the Zambia Environmental Management Agency (ZEMA) , the Water Resources Management Authority (WARMA), the Department of National Parks and Wildlife (DNPW) as well as other relevant government agencies.

In order to ensure environmental and social concerns are integrated into project design and implementation, safeguards form an integral part of the project activities. Taking into consideration the policies, laws and regulations of Zambia, WWF’s Safeguards Integrated Policies and Procedures (SIPP) requires the preparation of an Environmental and Social Management Framework (ESMF) and a Process Framework (PF) whose focus is to avoid (or minimise) adverse environmental and social impacts, and to enhance positive impacts of the project. The ESMF provides an overarching safeguards document governing the approach, processes and specific instruments for the proposed project. As such, the ESMF provides the safeguard decision support tool and guide to inform the yearly Environmental and Social Screenings and any resulting Environmental and Social Management Plans (ESMPs) and other safeguard instruments (if applicable) during the project design phase. The ESMF will inform and guide designated implementing agencies and other government institutions responsible for ensuring safeguard requirements for the KaF-Wild project proposed initiatives and activities are compliant with the Zambian government and WWF’s Environmental and Social Safeguards Framework guidelines.

### **Project Area Description**

The Kafue Flats comprise a large area of swamp, open lagoon and seasonally inundated flood-plain on the Kafue River in the Southern, Central and Lusaka provinces of Zambia. They are a shallow flood plain 240 km long and about 50 km wide, flooded to a depth of less than a meter in the rainy season (deeper in some lagoons and permanently swampy areas), and drying out to a clayey black soil in the dry season. The KaF-Wild project will be developed and implemented in the Kafue Flats of Zambia which forms part of an ecologically sensitive system that supports diverse economic activities in the Country. The project area consists of two National Parks (Blue Lagoon and Lochinvar National Parks) and the surrounding Game Management Areas (GMAs) including the Nkala GMA of the Kafue National Park in Itezhi-Tezhi District.

The 225 km-long and 60 km-wide floodplain surrounds the lower stretch of the great Kafue River between Itezhi-tezhi Dam and the Kafue Gorge Dam with the Upper and Lower power stations used for producing 50% of the nation’s hydropower. Despite changes in the hydrological system from damming of the river, and from climate change, the Kafue Flats remains one of the most productive wetlands in Zambia. The Flats is home to 20% of the national livestock herd, 7% of national fisheries, 40% of sugar production, and 25 % of maize production in the country. As shown in the diagram below, on the Eastern end of the Flats, around

Mazabuka and Kafue towns, much water is abstracted for commercial sugar cane farming, including by the large companies Zambia Sugar and Kafue Sugar. Other large water-consuming companies include Zambian Breweries, a subsidiary of Anheuser-Busch InBev (AB InBev) and Zambeef Products which is involved in the production, processing, distribution and retailing of beef, pork, poultry, dairy products, eggs, edible oils, flour and bread. Zambeef raises feedlot cattle on three farms outside the Kafue Flats, and also purchases cattle from commercial farmers, especially in Namwala district, and sometimes from traditional pastoralists. Zambeef also has a tannery and shoe leather division called Zamleather.

The KaF-Wild project is classified as a category B project under the WWF Environmental and Social Safeguards Categorization. Category B projects are Medium-risk projects that have potential adverse social and/or environmental impacts, and which require the development of a mitigation plan in accordance with the safeguards framework to address these.

### **Environmental and Social Management Framework (ESMF) Objectives**

The objective of the ESMF is to propose mitigation measures for all potential negative social and environmental impacts triggered by the projects. Specific objectives include the following:

Carry out a preliminary identification of the positive and negative social and environmental impacts and risks associated with the implementation of the project;

1. Outline the legal and regulatory framework that is relevant to the project implementation;
2. Specify appropriate roles and responsibilities of actors and parties involved in the ESMF implementation.
3. Propose a set of preliminary recommendations and measures to mitigate any negative impacts and enhance positive impacts;
4. Develop a screening and assessment methodology for potential activities, that will allow an environmental/ social risk classification and the identification of appropriate safeguards instruments;
5. Set out procedures to establish mechanisms to monitor the implementation and efficacy of the proposed mitigation measures; and
6. Outline requirements related to disclosure, grievance redress, capacity building activities and budget required for the implementation of the ESMF.

### **Process Framework (PF) Objectives**

The Project triggers the WWF's Standard on Restriction of Access and Resettlement as it may restrict or otherwise affect access to natural resources (both legal and illegal) within the Kafue Flats especially grazing lands and the livelihood activities particularly along the banks of the Kafue River and its tributaries. The Process Framework (PF) describes the process by which affected communities participate in identification, design, implementation and monitoring of relevant project activities and mitigation measures. The purpose of PF is to ensure participation of Project Affected People do not become worse off as a result of the project, but rather ensure recognition and promotion of their interest. As the project intends to provide support for the development of various livelihood activities, the allocation of project benefits among local community members is particularly important. The intent of the framework is to ensure transparency and equity in the planning and implementation of activities by the project. The framework details the principles that become the bedrock for ensuring that mitigation of any negative impacts from project investments is through a participatory process involving affected stakeholders. It also ensures that any desired changes in the ways in which local communities exercise customary tenure rights in the project sites would not be imposed but should emerge from a consultative process.

### **Approach and Methodology**

The focus of the ESMF preparations were to highlight the potential environmental and social impacts of the planned future activities of the project and recommend appropriate mitigation measures for addressing potential negative impacts. In order to achieve the assignment objectives, both quantitative and qualitative methods of research were adopted. Specifically, the following was conducted:

- a) Desk review of Zambian Policies, Laws and Regulations and WWF's safeguards standards, that requires that any potentially adverse environmental and social impacts are identified, avoided or mitigated. The following Safeguards policies relevant to the KaF-Adapt project were reviewed: i) Standard on Environmental and Social Risk Management, ii) Standard on Protection of Natural Habitats, iii) Standard on Restriction of Access and Resettlement, iv) Standard on Indigenous People, v) Standard on Community Health, Safety and Security, vi) Standard on Cultural Resources, vii) Standard on Accountability and Grievance System, viii) Standard on Pest Management, ix) Standard on Public Consultation and Disclosure, and x) Standard on Stakeholder Engagement.
- b) The ESMF/PF also draws on the community engagement and consultation results through Focus Group Discussions that were held across the project area with different community members at village level. The project is being executed by the Ministry of Tourism. Therefore, sector specific policies, Laws and regulations related to project objectives apply to govern the outcomes and outputs to safeguard project affected people in the area. Also, the WWF SIPP applies because WWF is the Implementing Agency for the KaF-Wild project.

Vulnerability: Major vulnerable groups in both areas include women (widows, pregnant women) disabled, youth, children (including orphans), poor households, female headed households, elderly persons and other tribes. Their source of vulnerability is mainly gender, age, disability, illness, lack of income and resources, unemployment, and itinerant lifestyle.

General stakeholder engagement measures are outlined in the project's Stakeholder Engagement Plan (SEP). The SEP provides procedures on how the project affected communities should be engaged in advance of the implementation of each activity, and that their interests, entitlements, and livelihoods are not negatively affected. If the yearly environmental and social safeguards screening reveal adverse impacts that may result in project activities, a community consultation should be organized in advance of the implementation of such activities. In order to mitigate any potential adverse impacts, activities that result in potential environmental impacts to land, water or wildlife, or restriction or loss of tenure rights or restrictions to livelihood activities or other human rights will trigger the development of site-specific Environmental and Social Management Plans (ESMP) or Livelihood Restoration Plans (LRPs). Community members that should be engaged through consultations are those who, as a direct consequence of an activity or subproject would, without their informed consent or power of choice either lose their assets or access to assets or access to community and natural resources, lose a source of income or means of livelihood, whether or not they physically relocate to another place or have their cultural, spiritual or natural resources impacted in any way by project activities. Vulnerable and marginalized groups should be actively engaged in project-related consultations. These groups include: women (especially widows and female-headed households), youths, disabled individuals, elderly (especially single-headed households). For the community engagement process to be as inclusive as possible, it is important to use as many avenues as possible to inform all stakeholders through advertisements, national radio and television etc. Specific recommendations and guidelines on engagement methods are provided in the SEP which is developed separately.

### **Environmental and Social Policy, Regulations and Guidelines**

Clear and adequate implementable policies are essential for providing a conducive environment for the implementation of various strategies, projects and programmes aimed at climate change adaptation and overall natural resource conservation. The Zambian government has provided a number of policies and regulations directed at supporting efforts aimed at wildlife management and Climate change adaptation. In

addition, to the WWF SIPP, a number of policies were reviewed and include the Vision 2030, Eighth National Development Plan (2022-2026), Fisheries Act (1974), National Policy on Environment (NPE), 2009, National Adaptation Programme of Action on Climate Change (2007), Zambia National Climate Change Response Strategy (2010). Other policies include National Policy on Climate Change (2016), Nationally Determined Contributions (2016; 2020), Second National Biodiversity and Action Plan (2015 - 2025), and the draft Climate Change Bill (2021). Other key pieces of legislation are listed below:

1. Environmental Management Act, 2011
2. Environmental Impact Assessment Regulations
3. Pesticides and Toxic Substances Regulations, 1994
4. Water Pollution Control Regulations, 1993
5. The Lands Act, 1995
6. Local Government Act
7. National Heritage Conservation Commission Act
8. The Natural Resources Conservation Act
9. The Plant Pests and Diseases Act, 1959
10. The Plant Variety and Seeds Act, 1968
11. Public Health Act
12. The Town and Country Planning Act
13. The Water Resources Management Act (Act no. 21 of 2011)
14. Forest Act of 2015,
15. The Zambia National REDD+ Strategy,
16. The Lands Act of 1995 (2012 – 2030),
17. The Tourism and Hospitality Act (2015)

### **Identified Project ESS Risks**

Review of various documents and engagement with several project stakeholders including community members revealed several risks attached to the implementation of the KaF-Adapt project and the main ones these stakeholders mentioned are highlighted below:

- i. Cultural Resource Risks: Implementation of project may lead to the destruction or tampering of various sites of cultural importance scattered across the project area
- ii. Human Rights (Elite Capture Risks): There is a strong possibility of elite capture and the inability of the most vulnerable to access the project benefits. It is also likely that duty bearers do not have the financial and technical capacity to meet all of their obligations in the project site.
- iii. Gender Equality and Women's Rights: The level of discrimination against women is generally high in the country, and there are disparities between men and women on education, land tenure and livelihood opportunities. These could all become worse as a result of the project if mitigation measures are not taken.
- iv. Children's Rights: Children's rights are not a particular concern in the project area, but there is a risk that the project could encourage their participation in their parent's livelihood activities.
- v. Conflict Sensitivity Risks: Conflicts could arise between park rangers and other staff and communities due to better enforcement.
- vi. Community Health, Safety, and Security Risks: Food security is a potential issue in the project, due to stronger enforcement around the prevention of illegal hunting in parks. This could also trigger conflict between parties, which could lead to safety issues. The ESMF must also consider the safety of women if the project exacerbates gender inequalities, and also the hiring of youth for invasive species removal, as any hiring of community members in a project must trigger a workers safety protocol.

- vii. Protection of Natural Habitat: This standard should be triggered only conditionally, as there is the possibility that improved herd health could lead to increased herd size and thus have negative environmental impacts.
- viii. Climate Change: Conflicts could arise between park rangers and other staff and communities due to better enforcement.

Adequate corresponding mitigation measures for the overall project ESS risks have been outlined in this ESMF.

### **Grievance Redress**

The KaF-Wild grievance redress mechanism (GRM) will be administered by the PMU. The Safeguards & Gender Officer will be in charge of the operation of the GRM at the PMU, responsible for collecting and processing grievances that address activities in project areas. Guidelines for the GRM operation are outlined in this ESMF and the SEP.

### **Disclosure**

All affected communities and relevant stakeholders shall be informed on the ESMF requirements and commitments in line with the outlined ESMF. The ESMF has been prepared in consultation with affected communities during the scoping mission in the project area and shall be disclosed to all stakeholders prior to and during the project implementation. Activity-specific ESMPs will be developed and disclosed during project implementation as needed.

### **Guidelines for the ESMP Development**

The ESMP describes adverse environmental and social impacts that are expected to occur as a result of the specific project activity, outlines concrete measures that should be undertaken to avoid or mitigate these impacts, and specifies the implementation arrangements for administering these measures including institutions structures, roles, communication, consultations, and reporting procedures.

### **Monitoring**

Monitoring of the KaF-Adapt project activities with the ESMF will ensure that the project adheres to the guidelines. Responsibility for meeting the requirements of the ESMF guidelines are as follows:

Project Level: The overall responsibility for implementing the ESMF and for monitoring compliance with the Project's environmental and social safeguard activities lies with the PMU. The Safeguards & Gender Officer within the PMU shall oversee the implementation of all field activities and ensure their compliance with the ESMF. They shall also monitor the project grievance redress mechanism (GRM) and access its effectiveness (i.e., to what extent grievances are resolved in an expeditious and satisfactory manner). The Officer will be responsible for reporting on overall safeguards compliance to the KaF-Adapt PMU project manager, the National Steering Committee, and WWF GEF Agency.

GEF Implementing Agency Level: The WWF US GEF Agency as the project's Implementing Agency, Ministry of Tourism as the Executing Agency and chair of the National Steering Committee, are responsible to oversee compliance with the ESMF.

### **Budget**

The ESMF implementation costs, including all costs related to compensation to project affected people, will be fully covered from the project budget. It will be the responsibility of the National Steering Committee and the PMU to ensure that sufficient budget is available for all activity-specific mitigation measures that may be required in compliance with the ESMF. The principles and procedures of the ESMF apply only to project activities that are funded through the GEF.

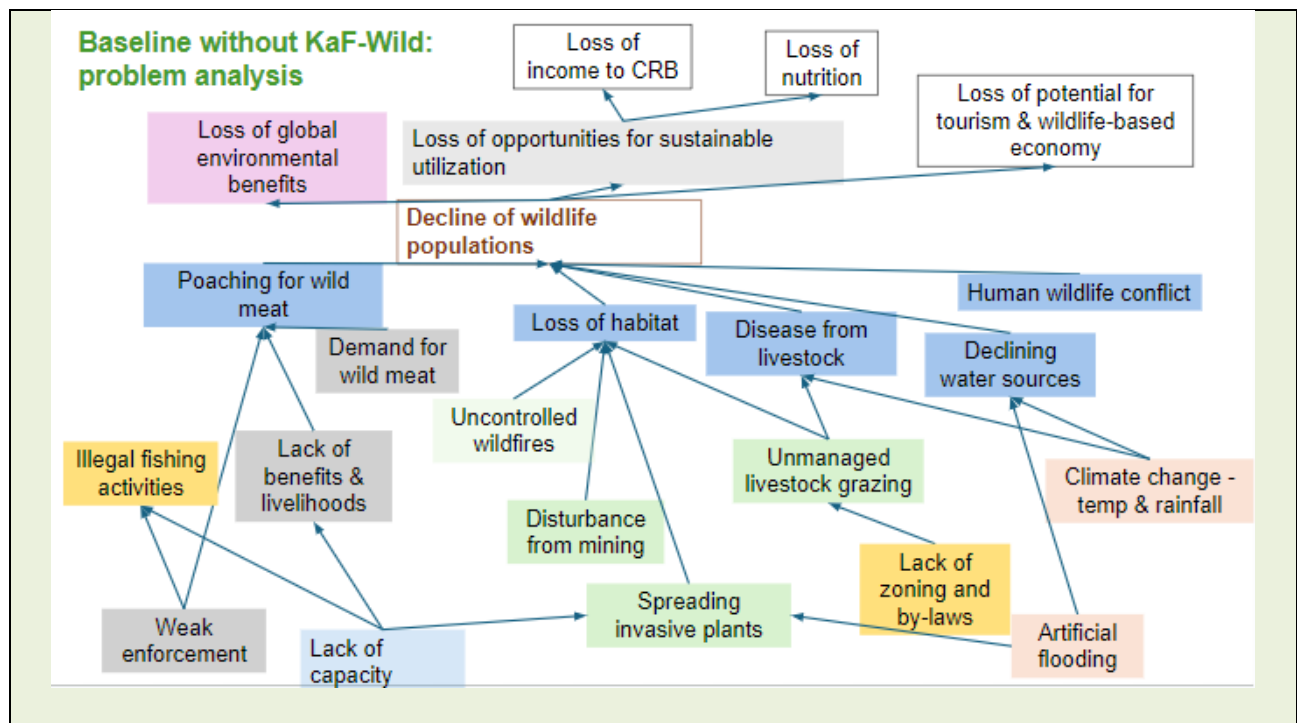


## 1. INTRODUCTION

### 1.1 Background

The Kafue Wildlife Project targets the enhancement of the integrity of the Kafue Flats ecosystem. The Kafue Flats is a Ramsar site covering a total of 600,500 Ha stretching from Central to Southern province along the Kafue River basin with expanse of floodplains, grasslands, woodland zones and geothermal areas of high biodiversity in a complex pattern of lagoons, oxbow lakes, abandoned river channels, marshes, and levees<sup>1</sup>. The site supports many endangered and endemic species such as the endemic Kafue lechwe (*Kobus leche kafuensis*), Wattled crane (*Grus carunculatus*), and Sitatunga, amongst others, and it hosts migratory birds such as the White pelican (*Pelecanus onocrotalus*) and the Cattle Egret (*Bubulcus ibis*), as well as 67 fish species. The site possesses natural filtering and storage abilities, thus providing clean and plentiful water and acting as a natural sink for nutrients and other micro-elements. The inhabitants gain a living from fishing and pastoral grazing of livestock. The site is also of traditional and religious value to the Ila people of the Central Province and is of archaeological and historical interest owing to the Gwisho hot springs and Sebanzi hills in the Lochinvar National Park.

Kafue Wildlife, Habitat, Health and Livelihoods Project (KaF \_ Wild) aims to secure key wildlife species of the Kafue Flats Landscape and promote socio-economic benefits to local communities through wildlife-based economies. The project further seeks to enhance conditions for wildlife conservation that will ensure coexistence of people and wildlife in connected habitats. It is evident that, the Kafue Flats is under threat due to several drivers mainly in the context of inadequate institution capacity for law enforcement/compliance and the implementation of the Game Management Plans (GMPs), increased domestic animal population coupled with unsustainable livestock production practices, encroachments and establishment of illegal fishing camps. These have resulted into high pollution levels, uncontrolled invasive species, Over exploitation of resources, conflicts (HWC and water allocation), land use change (loss of freshwater habitats and vegetation cover), and unplanned settlements. The problem analysis has been conducted in relation to the targeted landscape as shown in Figure 1 below.



<sup>1</sup> <https://rsis.ramsar.org/ris/530>

### Figure 1: KaF\_Wild Problem Analysis

To minimise the threats, action is needed to secure the habitat and remaining populations of wildlife on the Flats and enhance capacity for the management of the two national parks and Game Management Areas. In responding to these challenges, Zambia has secured GEF approval to launch initiatives that will protect the Kafue Flats' wildlife, habitats, and local livelihoods while enhancing climate resilience<sup>2</sup>. Ecosystem services to rural communities are under immense pressure, exacerbating their climate vulnerability and driving unsustainable practices that further harm the environment. The Ministry of Tourism has collaborated with the Worldwide Fund for Nature (WWF) Zambia (that has experience working in the landscape since 1962), and the International Crane Foundation (ICF) to address the urgent issues identified.

To ensure environmental and social concerns are integrated into the project design document (PDD), safeguards form an integral part of the project activities. In context of policies, laws and regulations of Zambia, WWF's Safeguards Integrated Policies and Procedures (SIPP) applicable to the project requires the preparation of an Environmental and Social Management Framework (ESMF) and a Process Framework (PF) to avoid and/or minimize adverse environmental and social impacts, and to enhance positive impacts of the project (Do good). The principles and procedures of the ESMF/PF apply to project activities funded through the GEF. Based on the Environmental and Social Screening (ESS) that has been conducted, the KaF Wild Project is classified as “**Category B project**” under the WWF environmental and social safeguards categorizations.

## 1.2 Objectives of the Environmental Social Management Framework (ESMF) and Process Framework (PF)

### Environmental Social Management Framework (ESMF)

The implementation of the Kafue Flats Wildlife, Habitat, Health and Livelihoods Project (KaF-Wild) will have potential positive and adverse environmental, economic and social impacts. To ensure the positive impacts are enhanced and the adverse impacts are mitigated, the Environmental and Social Management Framework (ESMF) is being developed that will also facilitate project compliance to local legislation and international environmental standards especially the WWF Environmental and Social Safeguards<sup>3</sup> that will be triggered with the implementation of the project. The ESMF will therefore provide a mechanism for risk management for the two projects thus contributing to the project sustainability. The ESMF aims to outline the safeguards principles, and mitigation measures for addressing environmental and social risks associated with the project in accordance with Policies, Laws and Regulations of Zambia and WWF's Environmental and Social Safeguards Framework (ESSF) as detailed in the SIPP. The proposed mitigation measures in the Environmental and Social Management Framework have been integrated into the project budget and will be implemented together with other activities of the project. In the development of the KaF Wild ESMF, the following key activities have been undertaken:

- Identification of the positive and negative social and environmental impacts and risks associated with the implementation of the project.
- Review of the legal and regulatory framework that is relevant to the project implementation.
- Mapping of the appropriate roles and responsibilities of actors and parties involved in the ESMF implementation.

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<sup>2</sup> [https://www.wwfzm.panda.org/our\\_news/blog/gef\\_8\\_launch/](https://www.wwfzm.panda.org/our_news/blog/gef_8_launch/)

- a) <sup>3</sup> [https://wwf.panda.org/principles\\_and\\_safeguards/our\\_safeguards/](https://wwf.panda.org/principles_and_safeguards/our_safeguards/) Review the policy, legislation and Institution framework aligned with the two Projects
- b) Environmental and Social Safeguard Screening in line with the identified environmental and social economic and cultural impacts.
- c) Risk characterisation and development of the mitigation plan

- Propose a set of preliminary recommendations and measures to mitigate any negative impacts and enhance positive impacts.
- Development of a screening and assessment methodology for potential activities, that will allow an environmental/ social risk classification and the identification of appropriate safeguards instruments.
- Designing of an environmental monitoring plan of the proposed mitigation measures; and
- Identification of requirements related to disclosure, grievance redress, capacity building activities and budget required for the implementation of the ESMF.

### **Process Framework (PF)**

The Process Framework (PF) included in this ESMF details how affected communities participate in identification, design, implementation and monitoring of relevant project activities and mitigation measures that may restrict access to natural resources and/or subsistence livelihoods. The PF facilitates to:

- Describe activities that may involve new or more stringent restrictions on use of natural resources in the project area.
- Establish the mechanism through which the local communities can contribute to the project design, implementation, and monitoring.
- Identify the potential negative impacts of the restriction on the surrounding communities.
- Describe the grievance redress procedure or process for resolving disputes to natural resource use and access restrictions as well as resource tenure rights; and
- Describe the participatory monitoring program.

The purpose of the framework is to ensure transparency and equity in the planning and implementation of activities. The PF details the principles and processes for assisting communities to identify and manage any potential negative impacts of the project activities. The proposed KaF Wild interventions aimed at protection and enhancement of the wildlife habitat may trigger the Standard on Access Restriction and Resettlement to or otherwise affect access to natural resources and their livelihood activities on the PAP. The PF will ensure the mitigation of any negative impacts from project investments through a participatory process involving the affected stakeholders.

### **1.2 ESMF/PF Preparation Methodology**

The focus of the ESMF preparations were to highlight the potential environmental and social impacts of the planned future activities of the project and recommend appropriate mitigation measures for addressing potential negative impacts. To achieve the assignment objectives, both quantitative and qualitative methods of research were adopted. Quantitative approaches involve the review and analysis of various secondary information and available statistics that are relevant to the development of the ESMF. On the other hand, qualitative methods involved the preparation of data collection tools that were administered to various stakeholders including community members that fed into the development process of the ESMF. Further, meetings with key project stakeholders were also held to obtain their views on the project including potential effects and development of mitigation actions.

The assignment was executed through 3 distinct but interrelated strategies that involved the following:

- Preparation and mobilisation of the team
- Field data collection and analysis
- Sharing of findings and preparation of ESMF report

## 2. PROJECT DESCRIPTION

The Kafue Flats Wildlife, Habitat, Health and Livelihoods Project (KaF Wild) will be implemented across the Kafue Flats targeting the Protected and Ecologically sensitive areas. The Objectives and components are as detailed below.

### 2.1 Project Objective

The project objective is to secure key wildlife species of the Kafue Flats Landscape and promote socio-economic benefits to local communities through wildlife-based economies.

### 2.2 Project Components

Over the five-year project period, the project objective will be achieved through the implementation of the following four components:

#### **Component 1: Enabling conditions for wildlife conservation for development in Zambia**

Component 1 will lead to strengthened institutional, policy and legal framework for wildlife conservation focusing on ensuring Community Based Natural Resource Management and wildlife-based economies while promoting the National Human Wildlife Conflict Strategy. Through this component a National dialogue platform on Zambia's vision for the Kafue Flats shall be established for sustainability of the wildlife enhancement program in the landscape

**Outcome 1.1** Institutional, policy and legal framework for wildlife conservation in Zambia strengthened

- *Output 1.1.1:* Advocacy for biodiversity and wildlife conservation in the future of Kafue Flats
- *Output 1.1.2:* Analysis of policy and legal changes needed for effective Community Based Natural Resource Management and wildlife-based economy.
- *Output 1.1.3:* Support development of national strategies for mitigation of human wildlife conflict
- *Output 1.1.4:* National dialogue on Zambia's vision for the Kafue Flats

#### **Component 2: Coexistence of People and Wildlife Connected Habitats in Kafue Flats**

Component 2 will result in improved wildlife habitat management and connectivity for globally significant species. Through holistic approaches, poaching threats and human wildlife conflict will significantly be reduced while improving the management of high-risk interfaces for zoonotic spillover.

**Outcome 2.1:** Improved wildlife habitat management and connectivity for globally significant species

- *Output 2.1.1:* Landscape management to improve threatened species habitat
- *Output 2.1.2:* Protecting wildlife by demarcating National Parks.
- *Output 2.1.3:* Capacitating community based natural resource management

**Outcome 2.2:** Reduced wildlife poaching threats

- *Output 2.2.1:* Strengthened Park infrastructure for effective enforcement
- *Output 2.2.2:* Developing capacity for effective anti-poaching operations
- *Output 2.2.3:* Strengthening interagency cooperation against illegal wild meat trade
- *Output 2.2.4:* Reducing demand for illegal wild meat

**Outcome 2.3:** Reduced HWC through holistic approaches

- *Output 2.3.1:* Community awareness and monitoring programme on human wildlife conflict

- *Output 2.3.2:* HWC mitigation measures in communities around Nkala GMA hotspot
- *Output 2.3.3:* Developing rapid response capacity to reduce severity of incidents
- *Output 2.3.4:* Repair of damage caused by wildlife

**Outcome 2.4:** Improved management of high-risk interfaces for zoonotic spillover

- *Output 2.4.1:* Surveillance and early warning system for zoonotic disease
- *Output 2.4.2:* Management of interfaces between wildlife and cattle

**Component 3: Wildlife and nature for prosperity in Kafue Flats**

Component 3 will focus on diversifying wildlife financing mechanisms and enhancing public-private-community partnerships in the management of natural resources. Critical to this component is enhancing sustainable livelihoods in wildlife-based economies with a deliberate focus on women, youth and socially marginalised groups.

**Outcome 3.1 Wildlife conservation financing mechanisms are diversified, and public-private-community partnerships built**

- *Output 3.1.1:* Sustainable financing mechanisms in place for Lower Kafue Basin

**Outcome 3.2:** Sustainable livelihoods in wildlife-based economies are increased, especially for women, youth and socially marginalised groups.

- *Output 3.2.1:* Enabling nature-based livelihoods and enterprises in Kafue Flats and Nkala
- *Output 3.2.2:* Development of park ecotourism infrastructure
- *Output 3.2.3:* Creation of cash for work opportunities

**Component 4. Communications, knowledge management and coordination**

Component 4 will facilitate the implementation of adaptive management through the project monitoring data collected during project implementation. It will further strengthen communication and knowledge sharing both locally and globally following guidelines provided by the WDC.

**Outcome 4.1:** Project monitoring and evaluation data contributes to efficient decision-making and adaptive project management

- *Output 4.1.1:* Specialised inventory and monitoring inputs for management of Kafue Flats

**Outcome 4.2:** Communications, project knowledge sharing and management and coordination with global WCD IP

- *Output 4.2.1:* Sharing of learning and knowledge exchange visits

### 3. PROJECT AREA PROFILES

#### 3.1 Geographical Coverage

The Kafue Wildlife Project will be implemented in the Kafue Flats<sup>4</sup> of Zambia (see Figure 2.) which forms part of an ecologically sensitive system that supports diverse economic activities in the Country. The project area consists of the two National Parks, Blue Lagoon and Lochinvar National Parks, with the total area coverage of 500 and 428 Km<sup>2</sup> respectively. In addition, the Game Management Areas (GMAs) and adjacent communities will be included as part of the intervention areas. The target project area includes the Nkala GMA of the Kafue National Parks in Itezhi-Tezhi District with an extent of 194 Km<sup>2</sup>. The total coverage of the Kafue Flats is approximately 6,500 Km<sup>2</sup> extending from Itezhi-tezhi upstream and Kafue Gorge downstream, on the lower Kafue River.

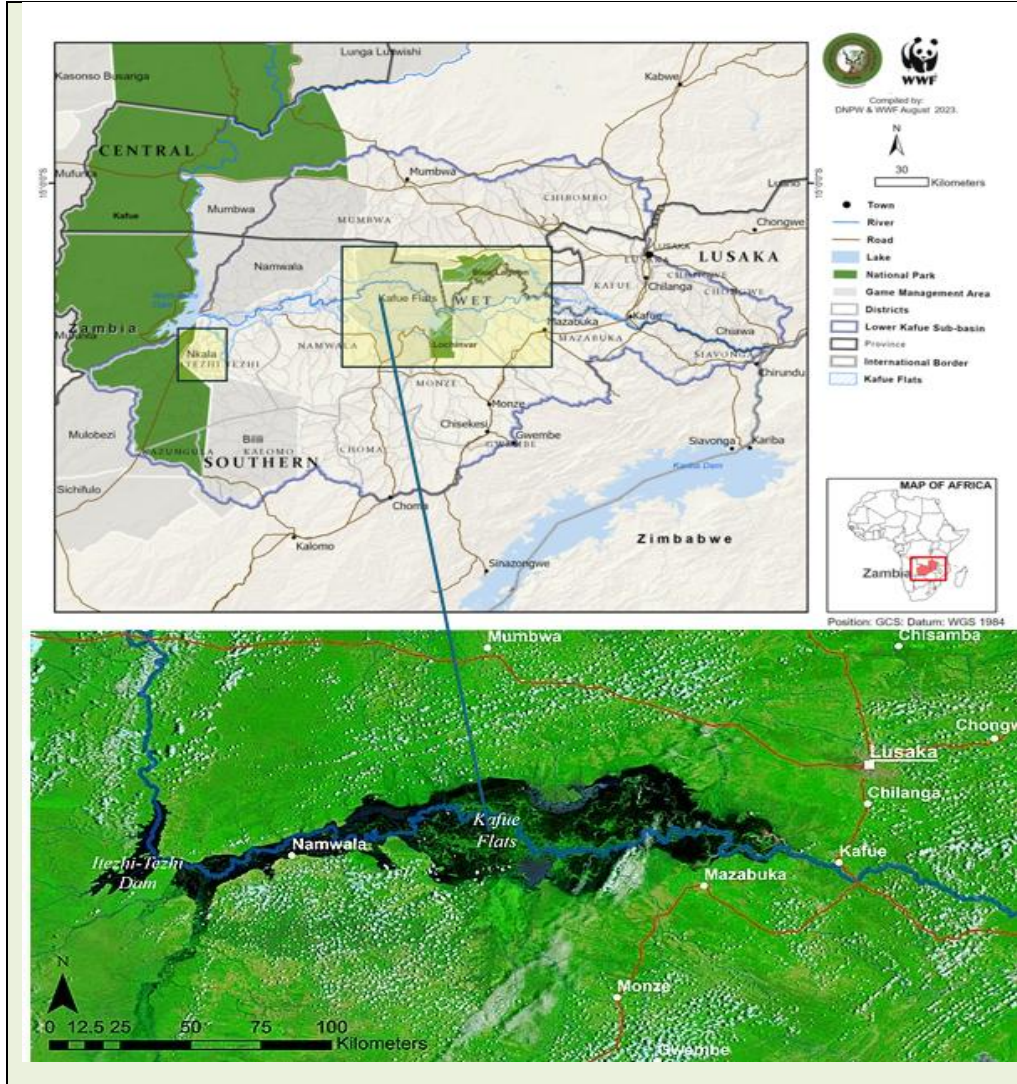


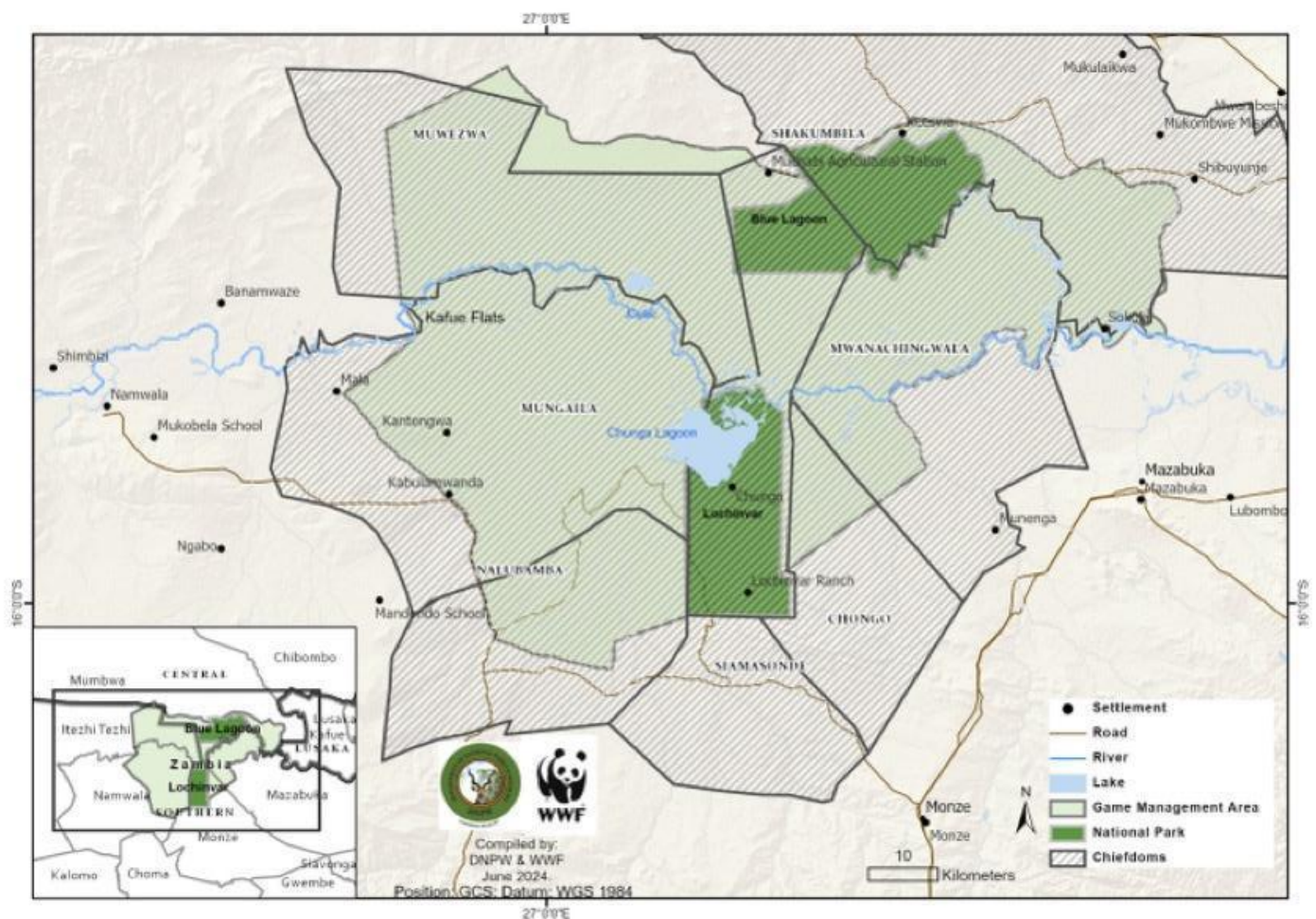
Figure 2: Location of the Kafue Flats

The project area falls in the 8 chiefdoms and 6 Districts, 2 of which are in Central Province and the rest occur in Southern Province as shown in Table 1 below.

<sup>4</sup> WWF and [https://en.wikipedia.org/wiki/File:Kafue\\_Flats\\_in\\_flood\\_and\\_the\\_Itezhi-Tezhi\\_dam\\_14\\_February\\_2008.jpg](https://en.wikipedia.org/wiki/File:Kafue_Flats_in_flood_and_the_Itezhi-Tezhi_dam_14_February_2008.jpg) (accessed on 13/07/2024)

**Table 1: Chiefdoms and Districts targeted for the KaF\_Wild**

District Name	Chiefdom	Province	GMA Associated with Area
Itezhi-tezhi	Muwezwa	Southern	Kafue Flats
Itezhi-tezhi	Musungwa	Southern	Nkala
Itezhi-tezhi	Shezongo	Southern	Nkala
Mumbwa & Shibuyunji	Shakumbila	Central	Kafue Flats
Mazabuka	Mwanachingwala	Southern	Kafue Flats
Monze	Choongo	Southern	Kafue Flats
Monze	Hamusonde	Southern	Kafue Flats
Namwala	Mungaila	Southern	Kafue Flats
Namwala	Nalubamba	Southern	Kafue Flats



**Figure 3: Distribution of the targeted Chiefdoms across the Kafue Flats Landscape**

### 3.2 Biophysical Environmental Conditions

The land cover and physical characteristics of the Project landscape show a diverse representation of the different land categories as shown in Figure 4 below.

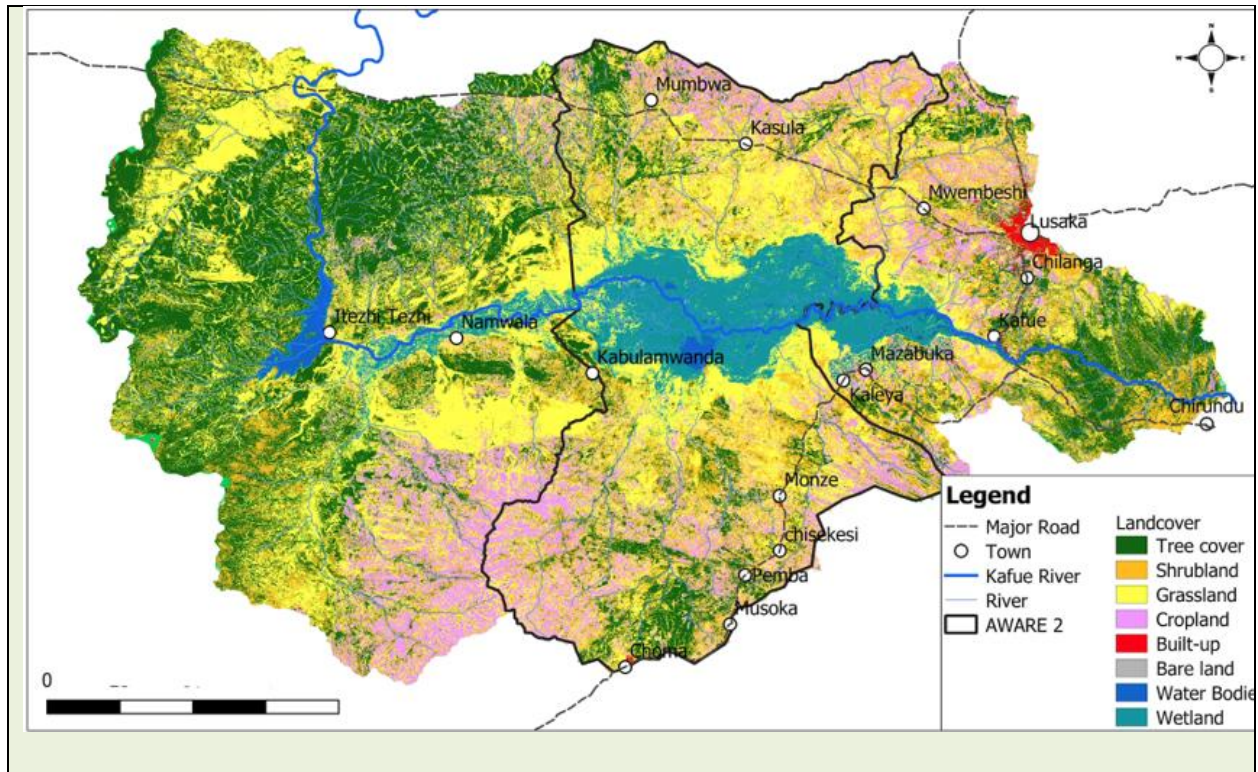


Figure 4: Land cover/Use classification of the Kafue Flats

## Ecological Resources

### Flora

The Kafue Flats have a variety of habitats ranging from Miombo/ Mopane woodlands in the south and changing into *Acacia polyacantha/ termitaria (Albizia harvey)* in the north and Combretum woodland in the drier areas. The main vegetation types identified include woodland, termitaria, grassy floodplains, permanent swamps and the levees. The principle vegetation zones of the Kafue Flats and its surrounding include:

- A. Levees and Lagoons: these are along abandoned river channels. Grass cover of *Echinochloa sp.*, *Vossia cuspidata*, *Sorghum verticilliflorum*, *Phragmites mauritiana*, and scattered trees such as *Acacia albida* and *Borassus aethiopum* dominate this zone. Inside, lagoon plant species include *Nymphaea lotus*, *N. caerulea*, *Oryza sp.*, and *Aeschynomene flutans*.
- B. Floodplain grasslands: This occupies the largest part of the Kafue Flats. They are represented by *Vossia cuspidata* and *Oryza sp.*, *Typha latifolia*, water hyacinth (*Eichornia crassipes*), and the invasive *Cyperus papyrus*.
- C. Water meadows: This vegetation type is found along the edges of the floodplain and is inundated for short periods. Water meadows are a short grass species including species like *Panicum repens*, *Acroceras macrum* and *Leersia sp.*
- D. Termitaria grasslands: these are found immediately above the high flood line. They are characterised by scattered termite mounds that are usually flooded by local rains. Floodwater can only reach this zone in exceptionally wet years. The main plant species include, *Setaria sphacelata*, *Panicum maximum* and woody species of *Acacia*, *Dicrostachys cinerea*, *Mimosa pigra* and *Albizia harvey*. The *Mimosa* and *Dicrostachys* species are invasive in nature and have colonised much of the protected areas that used to be habitats for macro fauna.

- E. Woodlands: These are several types; the Munga vegetation borders the termitaria zone and is dominated by *Acacia polyacantha* and *Albizia harvey*. Combretum woodland occurs in drier areas.



Plate 1: Common *Mimosa pigra* invasive species.

## Fauna

### *Mammals*

Historically, about 20 species of large mammals existed on the Kafue Flats. Over 40% of these species are now locally extinct. These include predators such as lion, leopard and wild dog that were hunted out in the 1950s and 1960s by cattle farmers who owned the land before some of it was gazetted as a national park in 1973. The Kafue Lechwe (*Kobus leche kafuensis*) numbered in the hundreds of thousands and extended across the entire Kafue Flats with the first documented count in 1931 estimating a total of 250,000 to be resident on the Flats. Over time there has been a sharp decline, and the animals are restricted to the areas protected by Lochinvar and Blue Lagoon National Parks, and the surrounding Game Management Area. Recent surveys indicate that the Kafue Lechwe population is now less than 25,000. Many other large mammals, including zebra, Cape buffalo, wildebeest, and hippopotamus have also declined on the flats. Wildebeest is now locally extinct while zebra and buffalo are in serious decline. This decline of large herbivores is a result of high levels of poaching, and human and agricultural encroachment including permanent fishing camps established on the scarce high ground of the Flats that is needed by lechwe for breeding (lekking) and dispersal during flooding.

### *Fish*

The fish species found in the rivers and streams of the Kafue Flats include *Clarius gariapinus*, *Clarius ngamenis*, *Tilapia rendalli*, *Tilapia sparmanii*, *Oreochromis macrochir*, *Oreochromis andersonii*, *Brycinus lateralis*, *Schilbea intermendius*, *Labeo cylindricus*, *Synodontis kafuensis*, *Barbus poecki*, *Barbus pludinosus*, *Hepsetus odoe*, *Morymyrus laceda*, *Serranochromis macrolephala*, *Serranochromis robustus*, and *Serranochromis angusticeps*.

### *Birds (Avifauna)*

The Kafue Flats in Southern Zambia is among the most important areas in sub-Saharan Africa for the conservation of aquatic and terrestrial birds, including residents, inter-African migrants, and Palearctic migrants, with more than 470 species recorded. The system is home to approximately 25% of the total global population of Wattled Cranes, which places the Kafue Flats as the most important wetland for Wattled Cranes in the world. Some of the large bird species associated to the project area include;

- i. Wattled Crane (*Grus carunculatus*)
- ii. Grey Crowned Cranes (*Balearica regulorum*)
- iii. Spur winged Goose (*Plectropterus gambensis*)
- iv. African Openbill (*Anastomus lamelligerus*)
- v. Yellow Billed Stork (*Mycteria ibis*)
- vi. Southern Ground Hornbill (*Bucorvus leadbeateri*)
- vii. Great White Pelican (*Pelecanus onocrotalus*)

#### Geology/Topography/Soils

The geology of the Kafue Flats represents one of the ancient landmasses of the African Continent. The underlying rock materials over much of the area are the complex Katanga sediments of the upper Precambrian age. Most of the area is carpeted by a layer of recent alluvium dating back to the tertiary and underlined with grits, shales, and sandstone of the Karoo formation.

The Kafue Flats is mostly flat but slightly slants towards the Kafue River basin with an average altitude ranging from 1,100 – 1,300 above sea level. The soils are moderately to highly fertile sandy loam that are well drained and suitable for a wide range of crops (predominantly alluvial soils). The peripheral soils are largely clays and loams, while the central parts of the area consist largely of clay soils of the darker black colour which are rich in carbon and large quantities of water as they are impervious and poorly drained. The soils of the Flats are heavy in texture and tend to crack widely when dry, becoming very sticky and plastic when wet (*vertisols*). There are large amounts of calcium and magnesium, and some soils contain gypsum as well (hence the presence of the gypsum mine).



Plate 2: Predominant Clay soils in the Lochinvar National Park with a cracking characteristic when dry

#### Drainage and Hydrogeology

The flats and most of its drainage form most of the lower Kafue Basin. It includes the catchment areas between Itezhi-tezhi and Kafue Gorge dam that cover 587 420 ha. They are an open savanna wetland. The sub-catchment is located within the Kafue River Basin, a major tributary of the Zambezi River.

### Climate

The project area experiences a seasonal tropical climate, with hot dry season from August to October, wet hot season from November to April and cool dry season from May to July. The Kafue Flats occur in the agroecological Zone I and II a with the average rainfall between 500 – 1,000mm. The monthly mean temperature ranges between 26.4° C and 17.3° C. The mean minimum and maximum temperatures range between 19.7° C and 6.8° C and 34.9 ° C and 26.9 ° C respectively.

## 3.3 Social Baseline Conditions

### 3.3.1 Social and Cultural

#### Demographics

Census data from 2022<sup>5</sup> indicate that the wider districts into which the Kafue Flats fall, have over 1,2 million permanent residents, representing 6.2% of Zambia’s national population of 19,693,423. The population of the six districts is made up as follows:

**Table 2: Kafue Flats Landscape Population**

District	Province	Population (2022)
Mumbwa	Central	328,020
Shibuyunji	Central	97,151
Itezhi-tezhi	Southern	130,467
Namwala	Southern	168,715
Monze	Southern	267,840
Mazabuka	Southern	233,084
<i>TOTAL</i>		1,225,277

Assuming that approximately 2/3 of this population lives in parts of the district outside the GMA boundaries, including several medium-sized towns (Itezhi-Tezhi, Choma, Mumbwa, Namwala, Monze and Mazabuka), this means that over 400,000 people live inside the GMA, mostly in small villages and clusters of villages.

Major vulnerable groups in the areas include women (widows, pregnant women) disabled, youth, children (including orphans), poor households, female headed household’s elderly persons and other tribes. Their source of vulnerability may be related to age, disability, illness, lack of income and resources, unemployment, and settlement in un-serviced areas. The major drivers of community vulnerabilities are mainly age, disabilities, illness, lack of income and resources, unemployment and illiteracy among the majority of community members. Major vulnerable community groups include women, widows, youth and children (including child headed home).

### Housing and Park Infrastructure

The project area has both the mud and concrete bricks built houses with both thatched grass and iron sheets in use for roofing. The DNPW staff houses are in a deplorable state and not sufficient to cater for all the staff.

<sup>5</sup> <https://www.zamstats.gov.zm/>



**Plate 3: DNPW Staff houses at Lochinvar National Park**



**Plate 4: Current deployment Camps**

The main roads to the Projects Districts are tarred roads, while the access roads to the Parks and other community villages are mainly gravel roads. Due to flooding during certain periods of the year, some project areas are not easily accessed.

The project area generally has moderate telecommunication connectivity provided by the 3 network service providers (MTN, Zamtel and Airtel). However, some parts of the parks have poor connectivity due to the absence of communication towers.

## **Cultural**

The Kafue Flats GMA surrounds the two national parks, and the remainder of the area is largely traditional communal lands falling into seven chiefdoms (under Chiefs/Chieftainess): Mwanachingwala, Shakumbila, Muwezwa, Mungaili, Nalubamba, Siamasonde and Chongo. These are the traditional lands of people from

within the clusters of tribes known as Ila and Tonga, as well as some Sala people. Siamasonde land is not technically part of the GMA, but borders Lochinvar National Park, and is thus important. Chief Shakumbila's lands are vast, and only a small part falls into the GMA, including the important ecologically sensitive floodplain land between the two Parks.

Predominantly most people in the landscape embrace dual cosmology, that is of an African Traditional Religion (ATR) in nature and Christianity on the other hand. The common local languages spoken include Tonga, Ila, Silozi, Kaonde. Other common languages spoken include English and Nyanja. Lochinvar is also home to hot springs echoing rocks, remains of a Neolithic settlement and an Iron Age village on Sebanzi Hill, also known for its caves, ancient baobab and wildlife.

The area has cultural sites that include;

- Nakeenda cultural heritage building previously used by the Government as a military installation for national security.
- The Gwisho Hot Springs and Sebanzi Hill sites of archaeological and / or historical interest are located in the Lochinvar National Park.
- Maala is the site where the "Semunenga" traditional ceremony is held for the Ila people of the Central Province in the month of September.

### **3.3.2 Social Economic Context**

Despite changes in the hydrological system from damming of the river, and from climate change, the Kafue Flats remains one of the most productive wetlands in Zambia. The Flats are said to contribute 50% of the national hydropower production, and to be home to 20% of the national livestock herd, 7% of national fisheries, 40% of sugar production, and 25 % of maize production in the country. As shown in the diagram below, on the Eastern end of the Flats, around Mazabuka and Kafue towns, much water is abstracted for commercial sugar cane farming, including by the large companies Zambia Sugar and Kafue Sugar. Other large water-consuming companies include Zambian Breweries, a subsidiary of Anheuser-Busch InBev (AB InBev) and Zambeef Products which is involved in the production, processing, distribution and retailing of beef, pork, poultry, dairy products, eggs, edible oils, flour and bread. Zambeef raises feedlot cattle on three farms outside the Kafue Flats, and also purchases cattle from commercial farmers, especially in Namwala district, and sometimes from traditional pastoralists. Zambeef also has a tannery and shoe leather division called Zamleather.

Also, key players are the utilities servicing the capital city – the state-owned Zambia Electricity Supply Commission (ZESCO), the Lusaka Water and Sewerage Company, a commercial utility owned by the municipality, and the privately owned Southern Water and Sanitation Company. The eastern tip of the Kafue Flats hosts ZESCO's largest hydropower station at the Kafue Gorge Dam, with an installed capacity of 900 MW at the Upper Gorge and 750 MW at the Lower Gorge, representing 50% of Zambia's hydropower supply, including serving industries and mines. The Itezhi Tezhi Dam was constructed about 450 km upstream of the Gorge as a storage reservoir to supply the Kafue Gorge dam and power plant and has a maximum reservoir capacity of about 6,000 million m<sup>3</sup>, also with an installed capacity of 120 MW hydropower plant. The water demand for hydropower production in the flats is approximately 15,000 million m<sup>3</sup> per year. The spatial distribution of the focus areas for the various major economic activities can be seen in the diagram below.



Figure 5: Spatial Distribution of Main Economic Activities in the Kafue Flats Landscape

The Lower Kafue Basin is critical to Zambia economically, ecologically and socially, and the Kafue Flats alone are home to 6% of the Zambian population. A large proportion of this population (73%) is rural, and directly dependent on the ecological function and flow regime of the flats. Major activities include production of the staple crop, maize, as well as legumes and vegetables, for subsistence and also for sale in local markets. Herding of cattle in an extensive grazing system is the economic lifeblood of these communities, since cattle are a source of wealth, insurance and status, and also provide protein through meat and milk products. Cattle herds are grazed on communal grasslands in the uplands and are moved to the floodplain when the floodwaters recede. In addition to the cattle, many women keep chickens and goats. Some cattle are fed with supplementary fodder for dairy production, and some cattle ranching is practised, mainly by bigger commercial farmers. Fishing is a traditional economic activity in the Kafue Flats, providing income for many communities, and an important source of nutrition. In the absence of alternatives, there is ongoing cutting of communal forest for domestic fuelwood and construction poles, and production of charcoal as source of fuel in households and local markets. A few communities are involved with supporting tourists who camp for birdwatching, delivering vegetables, firewood and drinking water, and providing services like cooking.

### 3.3.3 Political, Governance and Legal Context

Since the greater parts of the Kafue lower landscape are under Protected Areas (PA) system i.e. National Parks and Game Management Areas (GMAs), Governance and management of the area largely falls under the jurisdiction of the Department of National Parks and Wildlife. The two National Parks in the landscape were established in 1976 (Blue Lagoon National Park) and 1972 (Lochnivar National Park) with community consultations. Although the National Park areas in the landscape (i.e. Blue Lagoon and Lochnivar) are managed by the DNPW, the surrounding areas are co-managed with communities through the Community Resource Boards (CRBs). There are Nine (09) CRBs surrounding the Kafue protected area. Under this arrangement, communities are fully aware of their rights and are clear about limitations or restrictions except boundaries still remain unclearly marked in some portions of the PAs, which is sometimes a source of conflicts between the communities and the DNPW. In the GMAs communities have access and user-rights of resources as long as they obtain necessary permits while in the National Parks no extraction of any resource is allowed. Access to the National Parks is restricted unless with permission from the DNPW. The

local communities are aware of these restrictions and user-rights through continuous awareness creation by the extension unit under the DNPW and regular co-management meetings with the Department.

The CRBs hold the legal mandate to co-manage the GMAs in the landscape. However, there are a number of NGOs working in the landscape that contribute to the governance of the landscape. These include international and local Civil Society Organizations (CSO). The participation of NGOs in the governance of the landscape is through signed Memorandum of Understanding (MoU) with the two legally mandated entities. Currently, there are multiple agreements signed with various development and business entities focusing on various aspects of the landscape. For example, WWF in partnership with the International Crane Foundation (ICF) has an agreement with the DNPW for the co-management of the Kafue Flats focusing on three key priorities, which include enhancing capacity for law enforcement, developing management plans and effective community engagement. A similar partnership agreement on strengthening law enforcement and conservation of wildlife between African Parks and the DNPW with the financial support of WWF is also in place.

On the 1<sup>st</sup> of July 2022, the Government of the Republic of Zambia (GRZ) and African Parks, announced the signing of a 20- year-agreement for the Kafue National Park in a landmark commitment to secure the protection and effective management of the national park. The new agreement provides a full mandate to implement a holistic management plan. Some priorities under the agreement include upgrades of roads to improve visitor access, development of community facilities and projects, an upgraded communications network and the operationalization of the state-of-the-art law enforcement center. At the moment, despite various partnerships and investments and governance arrangements in the landscape outlined above, there is no mechanism or platform that brings all the key stakeholders and partners working in the landscape for purposes of enhancing coordination and synergy building and improving governance of the landscape.

In the GMAs and open areas in the landscape, Traditional Leadership holds the land rights on behalf of their subjects. Therefore, Traditional Leaders are a key factor in the community's sustainable natural resources management. However, there is no coordination among chiefs in terms of management of natural resources in the landscape. Some chiefs are not supportive of the conservation agenda as they are inciting communities to graze their animals in protected areas and also encourage fishermen to make permanent settlements in traditional fishing areas. This is because such chiefs are deriving direct benefits from grazing their animals in the National Park and receiving some royalty payments from fishing camps that are turned into permanent settlements. There are also conflicts over land between some chiefs and CRBs. In addition, there is little or no coordination in the issuance of mining licences in protected areas by the Ministry of Mines and Mineral Development. The Chiefs complained that they are not consulted by the Ministry when issuing mining licences in protected areas located in or near their chiefdoms, therefore causing misunderstandings and conflicts between mining companies and local communities.

Lastly, Local Authorities (LA) in the landscape also play a key role in its governance as they have a legal mandate for physical and socio-economic planning and allocate land in the landscape under statutory tenure. The LAs have coordination platforms called District Development Coordinating Committee (DDCC), which is designed to meet quarterly to discuss various development challenges affecting respective districts including natural resources conservation. However, these platforms do not meet regularly and in addition private sector and CSO/NGO representation including participation of WWF is clearly absent in these coordination platforms in nearly all the districts in the landscape.

## 4. ENVIRONMENTAL AND SOCIAL POLICIES, REGULATIONS AND GUIDELINES

An analysis of the policy, legal and administrative framework that pertains to environmental and social matters and associated risks relevant to the KaF Wild project has been undertaken. This will allow the project to become responsive to legal and institutional matters, thus ensuring success during the implementation phase and beyond. The following are some of the institutions and pieces of legislation relevant to the proposed project:

### 4.1 Institutional Framework

Institutions relevant to the development and implementation of the KaF-Wild project include the following:

a. The Zambia Environmental Management Agency (ZEMA)

The Environmental Management Act establishes the Zambia Environmental Management Agency (ZEMA). ZEMA is a statutory body within the Ministry of Green Economy and Environment (MGEE) and the following are the main functions:

- Integrated environmental management and the protection and conservation of the environment and sustainable management and use of natural resources.
- The prevention and control of environmental pollution and environmental degradation.
- Provide for public participation in environmental decision making and access to environmental information.
- Undertaking environmental auditing and monitoring; and
- Facilitating the implementation of international environmental agreements and conventions to which Zambia is a party.

In line with the EMA, Environmental Impact Assessments are recommended for certain proposed project interventions and the EPBs will be submitted to ZEMA, after which ZEMA will undertake verifications and consultations with the interested and affected parties (IAPs) prior to making a decision.

b. Department of National Parks and Wildlife Services (DNPW)

Department of National Parks and Wildlife (DNPW) was established in 2016 through an Act of parliament (supported by the Wildlife Act No.14 of 2015) following policy and legislative reforms to facilitate the re-organization of an autonomous Authority (Zambia Wildlife Authority) into a government Department. Therefore, the purpose of DNPW is to promote the appreciation and sustainable use of Wildlife resources by:

- Facilitating the active participation of local communities in the management of wildlife estates.
- Promotion and development of tourism
- Enhancing the recognition of the economic value of wildlife resources among the public and private stakeholders.
- Education of the public

c. Department of Fisheries

The Department of Fisheries of the Zambian Ministry of Fisheries and Livestock is a government agency charged with overseeing the implementation of national fisheries programs in capture fisheries and aquaculture development in Zambia. It is also responsible for the enforcement of relevant national laws and policies related to aquatic resources and carrying out regulatory functions in the fisheries sector. The Department of Fisheries promotes sustainable utilization of fisheries resources by employing research, extension strategies, training programs and promoting public/private partnerships at all levels of development and management of the fisheries subsector.

Therefore, the regulation of fishing activities in the two projects landscape shall be spearheaded by the Department. Through the Department mitigation measures to control excessive fishing in some fishing camps shall be devised and technical support for the project staff and the fishing communities shall be provided.

d. Department of Agriculture

The Agricultural Department is considered the primary provider of the agricultural extension service. The overall focus for the department is to enable the farmers to make informed decisions so as to increase their production and productivity. The Department is responsible for provision of extension, advisory and technical services to farmers on various aspects of crop production, irrigation development, agricultural mechanisation and land husbandry. The Department provides a key interface with the farmers through the extension staff who are present at district and community levels (agricultural blocks and camps). The main functions of the Department include: -

- Disseminating technical and other information to the farming community.
- Providing technical services in irrigation, farm power, mechanisation and land husbandry.
- Providing technical information in crop production, horticultural production, nutrition, crop protection and soil fertility.

e. The Local Government Authority

Established through the Local Government Act of 1991, the District Local Authorities have functions of ensuring planning for the district administration and environmental protection among other services. Therefore, their full engagement in the project design would help align project activities and manage risks to enhance sustainability. The identified local Authorities shall be thoroughly engaged during the ESS screening.

f. Water Resource Management Authority (WARMA)

The Water Resource Management Act (WRA) establishes WARMA whose main function is to promote and adopt a dynamic, gender-sensitive, integrated, interactive, participatory and multi-sectoral approach to water resources management and development that includes human, land, environmental and socio-economic considerations, especially poverty reduction and the elimination of water borne diseases.

WARMA is responsible for managing and regulating the use of Zambia's water resources in an integrated, participatory and sustainable manner based on human, land, environmental and socio-economic considerations. Therefore, the institution shall be engaged on all water infrastructure related programs under the KaF \_ Wild Project.

## 4.2 Zambia's Applicable Policies, Laws and Regulations

The following policies and laws are applicable to the KaF Wild Project;

### *Policies*

#### **4.2.1 National Policy on Environment (NPE), 2007**

The NPE, 2007 is based on the recognition of (i) the fact that Zambia consumes environmental resources at an increasing rate in her development, (ii) that the rate of resource extraction is triggered by the pressure from the growing population (at around 2.9%/annum), and (iii) the country's top priority is to eradicate poverty. Therefore, the NPE is a government response to the need to avoid conflicts of interest, to harmonize sectoral strategies and rationalize legislation with regards to the use and management of the environment in view of the foregoing factors. This is to be achieved through integration of principles of decentralization, community participation and privatization that underpins sustainable development.

The NPE, 2007 designed to be implemented through the following measures:

- Institutions: To build on existing institutions and create new institutions where it may be required to bridge the weaknesses in links, functions and cross-sectoral cohesion.
- Legislation: To create a legal framework for the implementation of NPE, 2007 and sustainable environmental management. This framework has been created in the Environmental Management Act, 2011.
- Environmental Planning: To ensure that national, district and local development plans integrate environmental concerns, in order to improve environmental management and ensure sensitivity to local concerns and needs.
- Environmental Education and Public Awareness: To increase public and political awareness and understanding of the need for environmental protection, sustainable natural resource utilization, conservation and management as essential partners in development.
- Private Sector and Community Participation: To mobilize initiatives and resources in the private sector, NGOs and CBOs, to involve civil society and local communities in particular, in environmental planning and actions at all levels and empower them to protect, conserve and sustainably utilize and benefit from the nation's resources.
- Environmental Human Resource Development: To provide training needed to implement national programs of environmental protection, conservation and management; to carry out basic and applied research needed to support sustainable management of the environment.
- Gender, Youths and Children: To integrate gender, youth and children's concerns in environmental planning decisions at all levels to ensure sustainable social and economic development as an integral component in gender and development policy.
- Demographic Planning: To ensure that the growth of the country's population does not lead to environmental degradation. The strategies include strengthening programs which increase awareness of the population problem and benefits of small family sizes and facilitate free access to information about contraceptives.
- Human Settlements and Health: To promote rural and urban housing planning services that provide all inhabitants with a healthy living environment and strengthen existing strategies to mitigate the impact of HIV/AIDS upon the people, the economy and the national development process.
- Air Quality and Climate Change: To minimize adverse impacts of climate change and to reduce air pollution and greenhouse gas emissions.
- Conservation of Biological Diversity: To conserve, manage and sustainably utilize the country's biological diversity, ecosystems, natural and anthropic habitats, genetic resources and plant and animal species by preserving the nation's natural heritage for the present and posterity.
- Land Tenure and Land Use: To promote sustainable use of land resources of Zambia, primarily, but not exclusively, for agricultural purposes by strengthening and clearly defining security of tenure over land resources including state and customary lands.
- Agriculture Sector: To promote environmentally sound agricultural development by ensuring sustainable crop and livestock through ecologically appropriate production and management techniques, appropriate legal and institutional framework for sustainable environmental management.
- The Tourism Sector: To contribute sustainably to the well-being and enhanced quality of life for Zambians through Government led, private sector driven quality product developments that are consistent with the nation's unique natural and cultural heritage.
- The Fisheries Sector: To manage fish resources for sustainable utilization and to conserve aquatic biodiversity. Among many strategies, there is a need to strengthen the Department of Fisheries as the line agency responsible for fish stock so that it is able to manage and conserve the nation's fisheries in a sustainable manner.

- The Forestry Sector: To manage the nation's natural forest resources in a sustainable manner to maximize benefits to the nation and especially forest-dependent communities retaining their ecological integrity.
- Wildlife Sector: To conserve and manage wildlife resources and ecosystems within National Parks, Game Management Areas and other protected areas such as heritage sites and forest reserves in such a way as to ensure their protection, sustainable utilization and reduction of people and wildlife conflicts.
- Mining Sector: To ensure that mining activities conform to sustained natural resource utilization and protection of the environment.
- The Water Sector: To manage and use water resources efficiently and effectively so as to promote its conservation and availability in sufficient quantity and acceptable quality for all people.
- Heritage Sector: To conserve and preserve Zambia's natural and cultural heritage for sustainable utilization and appreciation by the public, in order to significantly contribute to the improvement of the quality of rural life for the communities and to the growth of the national economy.

#### **4.2.2 The Second National Biodiversity Strategy and Action Plan (NBSAP-2) 2015-2025**

The NBSAPs are the principal instruments for implementing the CBD in accordance with Article 6 of the Convention. Zambia's NBSAP-2 is a conscious attempt to domesticate broader international frameworks including Sustainable Development Goals (SDGs) and other national obligations deriving from international instruments to which Zambia is party. This includes the Convention on Biological Diversity (UNCBD), the Climate Change regime of the UNFCCC, the Ramsar Convention of Wetlands of International Importance, and regional instruments such as the Southern African Development Community (SADC) Protocols on Fisheries, Water, Wildlife, Forestry, Biosafety, Energy, Mining, Gender, Development, Trade, etc. Therefore, the NBSAP-2 represents a commitment to achieving both long-term and medium-term national development objectives enshrined in the Vision 2030 and the now Eighth National Development Plan (8NDP). The NBSAP creates a platform for addressing the major biodiversity threats some of which are, if not all are applicable to the targeted project area (Kafue Flats). The threats addressed by the NBSAP include habitat transformation and degradation, encroachments in ecologically sensitive and protected areas, unsustainable management of natural resources (flora and fauna) coupled with over exploitation, and climate change. Furthermore, the NBSAP includes the strategy that aims to control or prevent the spread of key Invasive and Alien Species (IAS) in Zambia.

#### **4.2.3 National Forestry Policy (NFP), 2014**

The NFP, aligns the forestry sector to current trends in forestry and the necessity of meeting the national strategies enshrined in the National Policy on Environment (NPE, 2007), national development plans, Multilateral Environmental Agreements (MEAs) and Treaties to which Zambia is a party. The policy is aimed at addressing challenges including unsustainable harvesting systems, charcoal production and fuel wood, increased clearance of forestland for farming, forest degradation, uncontrolled brush fires, loss of biodiversity. The challenges have been attributed to inadequate integrated approach to forest resource management and uncoordinated land-use planning. The low monitoring and enforcement capacity by the Forestry Department at local level compounds these challenges. As a result, forest resources suffer from excessive exploitation, soil erosion, siltation, reduction in river stream flow, climatic variability and other negative impacts. There is a need for the project to motivate and enhance community participation to be supported by the clear guidance on benefit sharing mechanisms and resource user rights towards sustainable resource management.

#### **4.2.4 National Parks and Wildlife Policy, 2018**

The National Policy provides the framework for the management of all the protected areas through the following strategies.

- Create enabling conditions for effective conservation of wildlife and sustainable growth of the sector

- Improvement of wildlife populations in depleted areas by reintroduction of wildlife species in protected areas and conservation lands to conserve wildlife using Ecosystem/Landscape approach.
- Development of wildlife user rights
- Unlocking economic potential of wildlife and performance of the sector
- Minimise Human Wildlife Conflict
- Build Capacity of wildlife management and conservation
- Promote private sector and community participation in the management of wildlife resources
- Gender mainstreaming, HIV and AIDS and Youth empowerment
- Promoting research as the wildlife management planning tool
- To mainstream multilateral environmental agreements in the conservation of wildlife

#### 4.2.5 Zambia National Climate Change Response Strategy (2010)

The National Climate Change Response Strategy (NCCRS) was designed and developed to support and facilitate a coordinated response to climate change issues in Zambia. The Strategy enables Zambia to position itself strategically to respond to the adverse impacts of climate change and contribute to the achievement of the overall objective of the UNFCCC, which it ratified in 1993.

The NCCRS' vision is "a Prosperous Climate Change Resilient Economy". Whereas the mission is "to ensure that the most vulnerable sectors of the economy are climate proofed, and sustainable development achieved through the promotion of low carbon development pathways." By aiming to have the most sensitive economic sectors climate proofed, the NCCRS ensures that climate risks are addressed in the national development plans to minimize the adverse impacts of climate change and to ensure development effectiveness.

The policy's medium-term goal was to ensure that climate change is mainstream in the most economically important and vulnerable sectors of the economy by 2015. This goal was to be achieved through a number of pillars including 1). Adaptation and Disaster Risk Reduction 2). Mitigation and Low Carbon Development 3). Cross-Cutting Issues 4). Governance of Climate Change and 5). Finance and Investment.

#### 4.2.5 National Policy on Climate (2016)

The National Policy on Climate Change (NPCC) was launched in 2016 and its vision is "A prosperous and climate resilient economy by 2030". The overall objective of the NCC is to provide a framework for coordinating climate change programmes in order to ensure climate resilient and low carbon development pathways for sustainable development towards the attainment of Zambia's Vision 2030. It seeks to achieve its vision and objectives through adaptation and disaster risk reduction, mitigation and low-emission development-related actions as well as those measures aimed at tackling a number of crosscutting Issues such as diseases that affect humans, livestock and crops.

#### *Legislation relevant to the KaF Wild*

The various pieces of legislation applicable to the KaF Wild are summarised in the table below.

**Table 3: Legislation relevant to the KaF\_Wild Project**

Legislation	Summary	Relevance
Zambia Wildlife Act No. 14 of 2015	The Act is the principle legislation that regulates the wildlife sector.	The Act provides the legal framework for the implementation of the National Wildlife Policy
Forests Act of 2015	The Act provides for the conservation and protection of forests and trees.	The Forests Act recognises CRBs as defined in wildlife Act and provides for community participation. Forests also provide extra habitat for Fauna.

Environmental and Social Management Framework (ESMF) for the Kafue Wildlife Project (KaF-Wild)

Fisheries Act No. 22 of 2011	The Act enhances conservation by providing for conservation of fish biodiversity.	The Fisheries Act also recognises CRBs and provisions will be exploited through collaborative mechanisms and arrangements to enhance the CBNRM approach in Game Management Areas.
Lands Act of 1995	The Act is responsible for the management and administration of land in Zambia.	The Lands Act shall play a major role in the administration of land in GMAs and in the devolution of wildlife user rights on customary lands and is one of the major legal frameworks that would spur the growth of the private wildlife estate
National Heritage Conservation Commission Act of 1989	The NHCC Act provides for the conservation of ancient, cultural and natural heritage, relics and other objects.	The Act enhances conservation targeting isolated sites. NATIONAL PARKS and GMAs provide support to some natural heritage areas which have been confirmed in the project area.
Tourism and Hospitality Act of 2015	The Act has the mandate of licensing, the tourism industry, provides for the control and regulation of hotels and other tourist accommodation facilities.	The Tourism Act shall set standards for control and regulation of tourist accommodation facilities in the Protected areas.
Zambia Tourism Agency (Tourism and Hospitality Act of 2015)	The mandate of the Zambia Tourist Agency is to market Zambia as a tourist destination of first choice.	The ZTA will endeavour to enhance the functions of the wildlife agencies by attracting international financial support through marketing of the wildlife-protected areas as best tourist attractions in Zambia.
Agriculture Act	The Act provides for agricultural practices, development, investment and management.	Agriculture has emerged as a competing land use in most of the conservation landscapes and to some extent has resulted in the loss of critical wildlife habitat thereby constraining sustainable wildlife management. In order to address this challenge there is need to mainstream Agricultural development when formulating ecosystem/ landscape plans and promote agriculture intensification.
Animal Health Act No. 27 of 2010.	Provides for the prevention and control of animal diseases and regulates trade in animals and animal products.	Generally animal health regulations have been identified as a constraint to wildlife trade and utilisations as the regulations were designed for the livestock sector and considers wildlife as a reservoir for diseases affecting livestock. To address this challenge there is need to advocate for the enactment of veterinary regulations that are specific to 27 wildlife and sensitise the veterinary fraternity on the value of wildlife.
Public Health Act No. 22 of 1995	It provides for the prevention and suppression of infectious disease especially those communicable from animal to man, for sanitation, protection of food and supply of water and protection from pollution in general.	Zoonotic diseases have emerged as a constraint to growth of the tourism industry globally. To address this problem there is a need to develop a public health surveillance and monitoring system for PAs and key tourism destinations in the country to act as an early warning system for human health, veterinary and tourism authorities.
The Occupational Health and Safety Act	This Act aims at enhancing the safety of the employees. According to section 13 the functions of the health and safety committee are: <ol style="list-style-type: none"> <li>1. promote cooperation between the employer and the employees in achieving and maintaining healthy and safe working conditions.</li> <li>2. share information about occupational health, safety and welfare with employees.</li> <li>3. investigate and resolve any matter that may be a risk to the health and safety of employees at a workplace.</li> <li>4. Review the measures taken on the health and safety of employees at a workplace, and.</li> <li>5. formulate, review and disseminate to the employees the standards, rules</li> </ol>	There is potential risk to the well-being of employees during the implementation of KaF_Wild interventions. Compliance to the guidelines of this piece of legislation with regard to health and safety will be ensured at all times.

Environmental and Social Management Framework (ESMF) for the Kafue Wildlife Project (KaF-Wild)

	<p>and procedures relating to health and safety to be carried out at the workplace. Section 16 of Part IV provides the duties of employers at workplaces in respect of health and safety at workplaces. These duties include:</p> <ul style="list-style-type: none"> <li>- ensure, so far as is reasonably practicable, the health, safety and welfare of the employees of the employer at a workplace; and</li> <li>- place and maintain an employee in an occupational environment adapted to the employee's physical, physiological and psychological ability.</li> </ul>	
Environmental Management Act No. 12 of 2011	<p>This Act provides for the continued existence of the Environmental Council but re-names it as the Zambia Environmental Management Agency (ZEMA). It is the principal legislation governing environmental management in Zambia. In other words, this Act is the umbrella law under which all other environmental legislation in Zambia falls. The Act gives ZEMA the mandate to ensure the sustainable management of natural resources and protection of the environment. The Environmental Management Act repeals and replaces the Environmental Protection and Pollution Control Act, 1990; and provides for matters connected with, or incidental to the former Act.</p>	<p>The Environmental Act enhances the Wildlife management by ensuring that an environmental impact assessment precedes all development projects in protected areas.</p>
Mines and Minerals Act of 1995	<p>The purpose of this Act was to revise the law pertaining to the exploration, mining and processing of minerals. The Act also provides for safety, health and environmental protection in mining operations and also provides for the establishment of the Mining Appeals Tribunal. This Act repeals and replaces the Mines and Minerals Development Act, 2008.</p>	<p>To align the growth of the mines and minerals sector to the needs of wildlife conservation (aquatic and terrestrial wildlife/ biodiversity) there is a need to integrate the mining and minerals development plans sector development plans in the wider ecosystem/landscape integrated development plans. Furthermore, there will be a need to develop a sector-based mitigation hierarchy that will promote environmental and social safe guides.</p>
Local Government Act 2019	<p>The Act among others provides for decentralisation and resources planning to the local level</p>	<p>The promotion of decentralisation will facilitate the devolution of wildlife management to the local level.</p>
Water Resources Act Cap 198	<p>The Act provides for the regulation and management of water resources and has mainstreamed management of water resources to the local level.</p>	<p>The protected area network including NATIONAL PARKS and GMAs are critical in the protection of water catchment areas and in the promotion of sustainable environmental flows and should therefore be included in environmental accounting and their role in economic development through provision of environmental goods and services should not be underestimated. In view of their significant contribution there will be a need to develop a legal framework that will promote PES as an innovative financing mechanism for Protected areas.</p>
Zambia Development Agency Act No. 11 of 2006	<p>The Act provides for trade, investment and industrial development in Zambia.</p>	<p>Investments in Protected areas shall be in accordance with the Protected areas GMP and is critical to sustainable financing for wildlife conservation.</p>

### 4.3 WWF Safeguards Standards and Procedures

As elaborated at the beginning of the report, the Kaf-Wild project will be designed, developed and implemented under the auspices of WWF US with support from an array of stakeholders. Thus, the organization's policies and procedures on implementation of projects with potential impacts on the environment as well as social aspects of participants play a crucial role in shaping the overall structure, set up and implementation of the project. The specific set of policies, rules and procedures is referred to as the WWF Environmental and Social Safeguards Integrated Policies and Procedures (SIPP).

The WWF SIPP provides WWF staff and project teams with procedures to avoid (or minimize) environmental and social impacts, and to enhance positive impacts to the maximum extent possible. To actualise this, environmental and social concerns are integrated into project design, and safeguards are an intrinsic part throughout the project cycle<sup>6</sup>. Thus, Kaf-Wild is not an exception and will ensure that the SIPP is fully integrated into the project from design, development and implementation. The WWF SIPP is comprised of the following:

- Policy on Environment and Social Risk Management:
  - This standard is always triggered, as all projects support activities that result in a variety of environmental and social impacts. In general, WWF expects that projects will generate significant positive and durable social, economic and environmental benefits. Any adverse environmental and social impacts are expected to be site specific and can be mitigated.
  - The precise location and impact of specific activities cannot be determined at this stage, and will only be known during project implementation. Thus, an ESMF is prepared to set out guidelines and procedures on how to identify, assess and monitor environmental and social impacts, and how to avoid or mitigate adverse impacts. Site-specific ESMPs will be prepared as required, based on principles and guidelines of the ESMF.
  
- Policy on Protection of Natural Habitats:
  - WWF's mission is to protect natural habitats, and it does not undertake any projects that would result in conversion or degradation of critical natural habitats, especially those that are legally protected, officially proposed for protection, or identified as having high conservation value.
  - At this point, there are no planned project activities that would negatively impact natural habitats. However, this standard has been triggered because the project entails on-the-ground activities, including in key wetland areas. Consequently, further site-specific environmental impact assessments may be needed as the specific activities and its locations become better defined to determine which safeguard measures, if any, need to be in place to ensure no lasting damage to natural habitats or the people that rely on them occur.
  
- Policy on Involuntary Resettlement:
  - The WWF's Standard seeks to ensure that adverse social or economic impacts on resource-dependent local communities as a result from restrictions on resource access and/or use are avoided or minimized.

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<sup>6</sup> WWF-US (2017). Environment and Social Safeguards Integrated Policies and Procedures. WORLD WILDLIFE FUND, 1250 24th Street NW Washington, DC 20037-1193.

- The project does not support involuntary resettlement of persons directly or indirectly nor will proceed with activities without consulting the communities as guided by the relevant regulations and laws of Zambia and WWF US policies. However, this standard has been triggered because access restriction is likely to happen during this project, and although it will only happen at the approval of the community Chiefs, there is a strong possibility that those more vulnerable people in a community won't have the power to influence these decisions. A Process Framework has been prepared as part of the ESMF to conform to WWF's Environment and Social Safeguards Framework to ensure community rights are respected.
- Policy on Indigenous Peoples:
  - The WWF's standard requires ensuring that indigenous rights are respected, that IPs do not suffer adverse impacts from projects, and that IPs receive culturally appropriate benefits from conservation. The policy mandates that projects respect IPs' rights, including their rights to FPIC processes and to tenure over traditional territories; that culturally appropriate and equitable benefits (including from traditional ecological knowledge) are negotiated and agreed upon with the IPs' communities in question; and that potential adverse impacts are avoided or adequately addressed through a participatory and consultative approach.
  - As noted, Zambia does not have what is commonly understood as Indigenous Peoples, though most land is under traditional ownership and management.
- Policy on Accountability and Grievance Mechanism:
  - This Policy is triggered for all WWF-funded projects regardless of categorization. Project-affected communities and other interested stakeholders may raise a grievance at any time to the PMU and WWF. The PMU will be responsible for informing project-affected parties about the Accountability and Grievance Mechanism. Contact information of the PMU and WWF will be made publicly available. Relevant details are also provided in the Grievance Redress section of this ESMF/PF/IPPF.
  - The WWF Standard on Grievance Mechanisms is not intended to replace project- and country-level dispute resolution and redress mechanisms. This mechanism is designed to address potential breaches of WWF's policies and procedures in a gender-responsive manner; be independent, transparent, and effective; be survivor-centered and offer protections to those reporting SEAH-related grievances; be accessible to project-affected people; keep complainants abreast of progress of cases brought forward; and maintain records on all cases and issues brought forward for review.
- Standard on Pest Management:
  - WWF-funded projects are not allowed to procure or use formulated products that are in World Health Organization (WHO) Classes IA and IB, or formulations of products in class II, unless there are restrictions that are likely to deny use or access by lay personnel and others without training or proper equipment. The project will follow the recommendations and minimum standards as described in the United Nations Food and Agriculture Organization (FAO) International Code of Conduct on the Distribution and Use of Pesticides and its associated technical guidelines, and procure only pesticides, along with suitable protective and application equipment, that will permit pest management actions to be carried out with well-defined and minimal risk to health, environment, and livelihoods.
  - The Project will not fund nor include the promotion or usage of pesticides in the control of invasive species such as the *Mimosa pigra*. However, sustainable value chains for the invasive species shall be established.

- The Project will fund the use of the herbicide glyphosate for the control of the invasive species *Mimosa pigra*. Glyphosate is a commonly used herbicide. The planned application of Glyphosate in the Kafue Flats through the KaF-Wild project has been approved by the Government of Zambia, which is aware of the herbicide's potential negative impacts. A licence to use Glyphosate in the area was issued in 2017 by the Zambian Environmental Management Agency (ZEMA), then called the Environmental Council of Zambia, working in collaboration with the Centre for Agricultural Biosciences International (CABI). Use of the herbicide was legally approved subject to the following provisions: (i) No aerial spraying, only spot application after cutting; (ii) No application during the rains; (iii) Training and protective gear for the field team. These provisions were strictly applied in the protocol used from 2017 to 2020 in the restoration project undertaken by DNPW, ICF and WWF which cleared 3,000 hectares in Lochinvar National Park. The restoration involved large-scale physical removal of *Mimosa pigra* combined with follow-up targeted herbicide application to stumps of the plant, which is the only known method to prevent resprouting. Tests conducted by ICF during the trialling found that no harm was done to wetland fauna and flora or water quality. The same protocol used in the earlier project will be applied in the KaF-Wild project, under the same licence and with the same provisions strictly applied.
- Standard on Physical Cultural Resources:
  - This Standard ensures that Cultural Resources are appropriately preserved and their destruction, damage or loss is appropriately avoided. Physical cultural resources include archaeological, paleontological, historical, architectural, and sacred sites including graveyards, burial sites, of unique natural values. Intangible cultural resources include traditional ecological knowledge, performing arts, oral traditions and expressions, traditional craftsmanship and social practices, rituals and events. The impacts on cultural resources resulting from project activities, including mitigating measures, may not contravene either the recipient country's national legislation or its obligations under relevant international environmental treaties and agreements.
  - This Standard has been triggered on a conditional basis because of strong traditional ties to the project areas. Although it is unlikely that the project will negatively affect cultural heritage or resources, a provision is included in the ESMF in the event it becomes relevant during project implementation.
- Standard on Stakeholder Engagement:
  - This standard ensures that WWF is committed to meaningful, effective and informed stakeholder engagement in the design and implementation of all GEF and GCF projects. WWF's commitment to stakeholder engagement arises from internal standards such as WWF's Project and Program Standards (PPMS), as well as WWF's commitment to international instruments such as United Nations Declaration on Indigenous People (UNDRIP). Stakeholder engagement is an overarching term that encompasses a range of activities and interactions with stakeholders throughout the project cycle and is an essential aspect of good project management. The project has prepared a Stakeholder Engagement Plan that will be implemented during the project.
- Standard on Public Consultation and Disclosure:
  - This standard requires meaningful consultation with relevant stakeholders, occurring as early as possible and throughout the project cycle. It requires the Project Team to provide relevant information in a timely manner and in a form and language that are understandable and accessible to diverse stakeholders. This standard also requires that information concerning environmental and social issues relevant to the project is

disclosed for at least 30 days prior to implementation, and 45 days if the Indigenous Peoples Standard has been triggered. WWF will disclose safeguards documentation on its Safeguards Resources web page. The final safeguards documents should be published on websites of the Implementing Agencies as well, and made available locally in specific locations. The project is also required to locally release all final key safeguards documents via hardcopy, translated into the local language and in a culturally appropriate manner, to facilitate awareness by relevant stakeholders that the information is in the public domain for review.

- Standard on Community Health and Security:
  - This Standard ensures that the health, safety and security of communities are respected and appropriately protected. The Guidance on Labor and Working Conditions requires employers and supervisors to implement all reasonable precautions to protect the health and safety of workers through the introduction of preventive and protective measures. It also requires that the labor rights of project-employed workers are observed, as indicated in Annex 1: Project Level ESS Screening Tool. Project activities should also prevent adverse impacts involving quality and supply of water to affected communities; SEAH-related risks to both affected communities as well as project staff; safety of project infrastructure, life and properties; protective mechanisms for the use of hazardous materials; disease prevention procedures; and emergency preparedness and response.
  - This Standard has been triggered because the proposed project interventions under KaF Wild (law enforcement) have the potential to contribute to increased risk of violence or abuse (physical, sexual, emotional etc.) towards communities and individuals to be employed under the project. The implementation of the ESMF will ensure the mitigation of the risk against exposure to any form of violence including GBV, and Sexual Exploitation, Abuse and Harassment.

The SIPP requires WWFUS and all partners receiving funding from WWF US to ensure they have the necessary systems in place to implement this safeguards framework of policies and procedures, and it will be periodically updated and revised as need arises. The SIPP is mandatory for all Global Environmental Facility (GEF) projects.

## 5. INSTITUTION ARRANGEMENTS

### 5.1 Overview of Implementation Arrangements

The proposed executing structure includes WWF US as the GEF Agency, the Ministry of Tourism as Lead Executing Agency, the Ministry of Ministry of Green Economy and Environment and WWF Zambia Country Office and ICF to provide technical support for delivery of outputs as well as financial and administrative management. On behalf of the government with approval from the Project National Steering Committee (NSC), WWF-ZCO will sub-grant to potential project delivery partners. MoGEE and WWF ZCO will carry out due diligence of sub-grant partners to review past performance and profiles, develop detailed work plans and budgets to be reviewed and approved first by MoGEE and WWF ZCO, and then by the GEF National Steering Committee. Contracts will then be developed with each sub-grant partner, countersigned by the partner, WWF ZCO and MoGEE.

#### 5.1.1 Project Management Unit

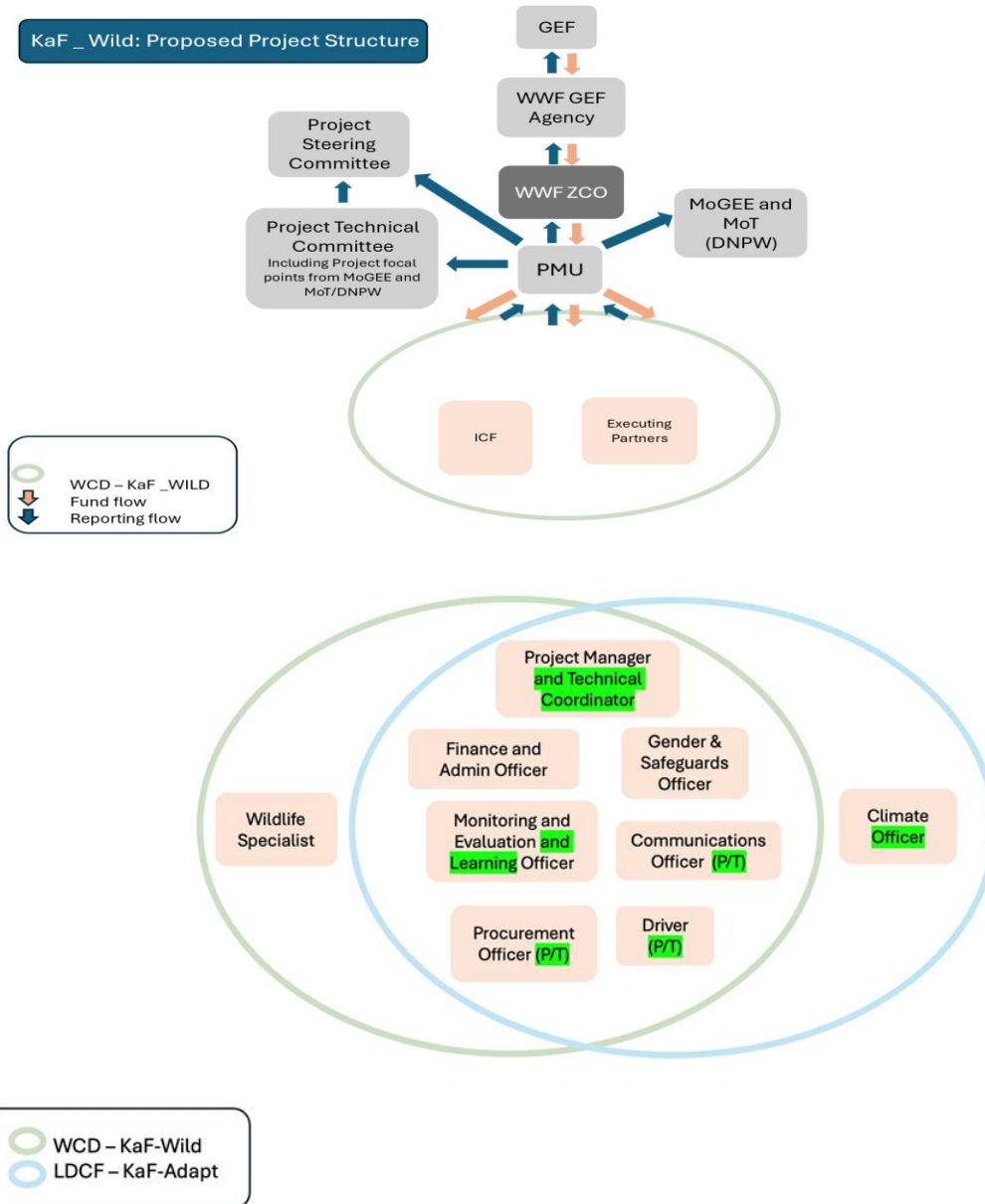
A joint Project Management Unit (PMU) will be established to conduct the day-to-day operations and coordination of the KaF-Wild and KaF-Adapt projects. The PMU will be housed in the project landscape, most likely in new offices at Blue Lagoon National Park that are currently under construction with co-finance to the project through ICF. The joint PMU will have a total staff of 8 people contributing to KaF-Wild (and one exclusively for KaF-Adapt). This includes 4 full-time staff members who will service both the KaF-Wild and the KaF-Adapt project functions, and will be recruited competitively: (1) Project Manager and Technical Coordinator, (2) Safeguards and Gender Officer, (3) Monitoring & Evaluation and Learning Officer, and (4) Finance & Administration Officer. In addition, the PMU will be supported by 3 part-time staff members: (5) Procurement Officer, (6) Communications Officer, and (7) Driver. In addition, a Wildlife Specialist will service the KaF-Wild project.

#### 5.1.2 GEF Agency Oversight

WWF-US, through its WWF GEF Agency will: (i) provide consistent and regular project oversight to ensure the achievement of project objectives; (ii) liaise between the project and the GEF Secretariat; (iii) ensure that both GEF and WWF policy requirements and standards are applied and met (i.e. reporting obligations, technical, fiduciary, M&E); (iv) approve budget revisions, certify fund availability and transfer funds; (v) organize the final evaluation and review project audits; and (vi) certify project operational and financial completion.

The overview of the institution arrangement for the implementation of the KaF \_ Wild is as illustrated below.

Environmental and Social Management Framework (ESMF) for the Kafue Wildlife Project (KaF-Wild)



## 5.2 Implementation arrangements

### 5.2.1 Project Technical Committee

A Project Technical Committee (PTC) will be constituted to provide technical expertise and inter-sectoral coordination at national level. The composition of the PTC shall include a focal point from the Environmental Management Department of MoGEE, focal Person from the MoT (DNPWS), a focal point from WWF ZCO, and a focal point from ICF as permanent members, with technical experts from other line ministries and partners brought in as project needs arise. This committee will review the Annual Work plan and Budgets, Procurement Plan and Annual Progress Reports for submission to the National Steering Committee for review and approval.

### **5.2.2 Project Steering Committee**

A Project Steering Committee (PSC) will be constituted to serve as the project oversight, advisory and high-level decision-making body for the project. The core members of the NSC will include the Ministry of Green Economy and Environment (MoGEE) Permanent Secretary (Chair), Director of Wildlife in the Department of National Parks and Wildlife in the Ministry of Tourism (co-chair), Provincial Permanent Secretary – Southern Province, Provincial Permanent Secretary – Central Province, GEF Operational Focal Point, Director of Livestock Development in the Ministry of Fisheries and Livestock, Director of Water Development in the Ministry of Water Development and Sanitation, [District Commissioners of Mumbwa, Shibuyunji, Itezhi-tezhi, Namwala, Monze, Mazabuka Districts], WWF Zambia Country Office Director, Regional Director Southern Africa Floodplains in the International Crane Foundation, and WWF GEF Agency as an observer.. Other members shall be co-opted from the government line ministries, cooperating partners, NGOs, CBOs and other institutions as project needs arise. The PSC will ensure that the project remains on course to deliver the desired outcomes of the required quality. The PSC provides overall guidance and policy direction to the implementation of the project and provides advice on appropriate strategies for project sustainability. The PSC will play a critical role in project monitoring and evaluation by assuring quality of project processes and products. It also advises on any conflicts within the project or to any problems with external bodies.

### **5.2.3 Executing Partner**

Zambia's Ministry of Tourism is the lead executing agency under the Kaf-Adapt and will also be a key executing partner for WWF. The MoT is tasked with the responsibility of formulating tourism sector development plans and establishment of tourism development corridors, priority areas and protected areas in order to attain set objectives. As can be observed, the KaF-Wild aims at securing key wildlife species of the Kafue Flats Landscape and promote socio-economic benefits to local communities through wildlife-based economies in the Kafue Flats as aligned with the ministry's mandate in the country.

Specifically, under this partnership, the MoT will be WWF's partner in ensuring that the project is executed in an effective and efficient manner for the delivery of all key project outcomes, objectives and goals.

### **5.2.4 WWF Zambia Country Office (ZCO)**

The WWF ZCO will handle the financial administration and management for both the Kaf-Adapt and KaF-Wild projects on behalf of the Ministry of Green Economy and Environment and the Ministry of Tourism, and will provide technical support to the delivery of outputs under Components 1, 2 and 3

### **5.2.5 Technical Delivery of Outputs by Sub Grant Partners**

Other Executing partners shall be identified during project implementation based on their capabilities to undertake specific outputs. Based on the initial screening and stakeholder engagement, some potential partners have already been identified and shall be engaged once project implementation commences. Technical guidance in the delivery of specific outputs shall be provided by the ICF and WWF ZCO where necessary by the MoGEE and the MoT (DNPW).

### **5.2.7 Safeguards implementation**

Specific arrangements and responsibilities related to the implementation of environmental and social safeguards requirements, as stated in this ESMF/PF are as follows:

Lead Executing Agency (MoGEE) with Overall responsibility for ensuring environmental safeguards are implemented.

Project National Steering Committee:

- i. Overall oversight and monitoring of compliance with safeguards commitments and obligations.
- ii. Support and specific recommendations on specific safeguard issues where necessary.

#### WWF GEF Agency

- i. Overall oversight and monitoring of compliance with safeguard commitments, duties and obligations.
- ii. Support and provide specific recommendations on specific safeguard issues if needed.

#### Project Management Unit (PMU)

- i. Responsible for designing and implementing ESMF, SEP and other safeguards plans
- ii. Ensuring that bidding documents and contracts include any relevant particular clauses or conditions relevant to environmental and social safeguards as set out in this ESMF. It is particularly important to include in bidding documents requirements related to occupational health and safety.
- iii. Provision of safeguard reports to the Executing Agency
- iv. Supervision of Safeguards & Gender Officer.
- v. Implementation of Grievance Redress Mechanism (GRM).
- vi. Disclosure of safeguard documents.
- vii. Reporting on safeguards implementation and compliance to the PSC and WWF GEF Agency.

#### Safeguards and Gender Officer

- i. Overall responsibility for ESS compliance and ensuring project implementation meets Standards outlined in the ESMF.
- ii. Ensuring the inclusion of safeguards requirements in all project bidding documents and contracts.
- iii. Monitoring contractors' compliance with safeguard requirements.
- iv. Conducting consultation meetings with local stakeholders as required, informing them, updating them on the latest project development activities.
- v. Carrying out regular site inspections.
- vi. Reporting on safeguards implementation and compliance to the PMU Project Manager/Wildlife Specialist.
- vii. Ensuring implementation of the Grievance Redress Mechanism (GRM) and dissemination of information regarding the GRM among local communities.
- viii. Review annual work plans and budgets and analyses, planned community/ individual sub-projects by sub-grant partners and their environment / social impacts, in order to identify safeguards risks and initiate safeguards.
- ix. Prepare and contribute to safeguards documents as necessary in accordance with the ESMF/PF and in close collaboration with the PMU.
- x. Ensure that consultations with communities are carried out in inclusive and participatory manner and are well documented.
- xi. Monitor the state of safeguards implementation, and ensure that sub-projects are implemented in accordance to best practices and guidelines set out in the ESMF/PF.
- xii. Provide oversight and coordinate the socio-economic surveys to identify project affected people.
- xiii. Identify and liaise with all the stakeholders involved in environment and social related issues in the project.
- xiv. Operate the project's Grievance Redress Mechanism (GRM), including compiling and reporting on project-related grievances, monitoring grievance resolution, and closing the feedback loop with the complainant.
- xv. Carry out field visits as necessary to monitor the implementation of project activities and their compliance with safeguard requirements.

Environmental and Social Management Framework (ESMF) for the Kafue Wildlife Project (KaF-Wild)

- xvi. Provide capacity support to the PMU and other project related stakeholders on environmental and social issues.
- xvii. Provide execution assistance and advise the project manager as necessary on safeguards related issues including adaptive management.
- xviii. Report on overall safeguards performance to the project steering committee, WWF GEF Agency and other stakeholders as necessary

## **6 ANTICIPATED ENVIRONMENTAL AND SOCIAL IMPACTS AND MITIGATION MEASURES**

This Environmental and Social Management Framework (ESMF) provides safeguard actions aimed at mitigating identified social and environmental risks through the implementation process of the KaF Wild project. The ESMF has been developed following: first, the analysis of the screening results of the project based on general project risks, human rights related risks, resource efficiency, pollution prevention and management of chemicals and waste related risks, climate change risks, local community wellbeing/livelihoods related rights and cultural resources protection. Secondly, the ESMF considers the results of the environmental and social risk assessment of the screened project activities. The ESMF forms an integral part of the project activities that guarantees the integration of environmental and social concerns into the project document and its implementation framework.

**Table 4: Environmental and Social Impacts and Proposed Mitigation Measures**

Proposed Project Output of Key Concern	Potential Risks and Adverse Impacts	Mitigation Measures	Targeted Group	Means of verification	Responsible Party
<b>Component 1: Enabling conditions for wildlife conservation for development in Zambia</b>					
Output: 1.1.1 Analysis of policy and legal changes needed for effective Community Based Natural Resource Management and wildlife-based economy	<p>Policy review may leave out key stakeholders with direct or indirect impact on the project implementation.</p> <p>This may result in conflict when working to align policies for collective actions.</p>	Development and implementation of SEP would help map out all the key stakeholders to support the implementation of the KaF_Wild.	Government Departments/Private NGOs and Research Institutions as well as other CBOs and local communities who will be affected by the policies.	<p>i. Clear SEP</p> <p>ii. Consultative Meeting reports</p>	PMU, WWF ZCO
Output: 1.1.2 Support implementation of proposed new HWC insurance solution for co-existence	Adoption of the strategies under the new HWC will require effort and some resistance may be expected from some Stakeholders, especially communities. This can disrupt the smooth implementation of Project activities.	<p>Community engagement through a participatory process that incorporates their needs, concerns and priorities will increase adoption.</p> <p>Implementation of adaptive management of the HWC strategies will enhance flexibility and increase likelihood that communities are willing to participate</p>	Pastoralists, farmers, communities	i. Community engagement meeting reports on HWC	PMU, ICF
Output: 1.1.3 National dialogue on Zambia's vision for the Kafue Flats	<p>Reaching a common understanding may not be easy as there could be special interests for specific policies by certain key stakeholders</p> <p>Elite capture may make it difficult for local community stakeholders to have a voice in the national dialogue</p>	<p>Awareness creation of the key benefits of the Kafue flats restoration would improve understanding to arrive at collective decisions</p> <p>Effective stakeholder engagement across the range of different groups, including women and disadvantaged people</p>	Government Institutions, NGO/Private and CBOs	<p>i. Meeting Reports</p> <p>ii. Stakeholder consultation logs</p> <p>iii. communication materials</p>	
<b>Component 2: Coexistence of People and Wildlife Connected Habitats in Kafue Flats</b>					
Output: 2.1.1 Landscape management to improve threatened species habitat	Habitat management would include the control of Invasive and Alien Species which if not implemented properly could result in loss of key species and increase pollution if unsustainable methods are used.	Developing a clear Pest Management Plan that covers also the control of Invasive and Alien Species that is aligned with the NBSAP and follows all local laws and regulations around the application of herbicides in the use of control of invasive species.	Government line Departments/ Private Institutions/ Communities	<p>i. Pest Management Plan</p> <p>ii. Protocol/Project Activity Reports</p>	PMU, ICF, WWF ZCO

Environmental and Social Management Framework (ESMF) for the Kafue Wildlife Project (KaF-Wild)

Proposed Project Output of Key Concern	Potential Risks and Adverse Impacts	Mitigation Measures	Targeted Group	Means of verification	Responsible Party
		Training provision for all those involved in the control of IAS			
Output: 2.1.2 Protecting wildlife by demarcating National Parks	Boundary demarcation without community involvement could result into conflict and non-compliance by the community members.  Improper fencing may result in harm to wildlife or livestock	Community consent and involvement in the establishment of boundaries through the CRBs would enhance compliance.  Selection of wildlife-safe fencing and demarcation	Community groups, of wildlife species experts	i. Community consultation reports ii. Boundary demarcation report iii. research/reports on wildlife-safe fencing option	PMU
Output: 2.1.3 Capacitating community based natural resource management	Elite capture in the selection of community participants in the implementation of Communities Based Natural Resource Management would affect community ownership of the interventions and result in unequal disbursement of project benefits.	Participatory process and clear criteria in the selection of the community members to participate would remove biasness.	Community groups, women and vulnerable people within communities in question	i. Selection criteria for training ii. Project Activity reports	PMU, WWF ZCO
Output 2.2.1: Strengthened Park infrastructure for effective enforcement	Intensifying law enforcement could lead to community resistance and violence.  Infrastructure development should comply with the environmental regulations to minimise on the impacts on biodiversity	Promoting community awareness and implementation of the community-based law enforcement system would significantly reduce instances of infractions.  Providing Ranger training on international best practices for engaging with communities.  Conducting Environmental Impact Assessment for any infrastructure development in the NP would always be advocated.	Law Enforcement staff/ Community members	i. Community engagement reports ii. Ranger training program developed and implemented with targeted park staff and rangers.	PMU, ICF

Environmental and Social Management Framework (ESMF) for the Kafue Wildlife Project (KaF-Wild)

Proposed Project Output of Key Concern	Potential Risks and Adverse Impacts	Mitigation Measures	Targeted Group	Means of verification	Responsible Party
Output 2.2.2: Developing capacity for effective anti-poaching operations	Implementation of law enforcement in the NP could result in violence between park staff and the community members and potential sexual physical and/or emotional harassments.	Community awareness program on wildlife and provision of sustainable alternative livelihoods would enhance the success of anti-poaching  Providing Ranger training on international best practice for engaging with communities.	Project staff/ Communities/Rangers	i. Activity training reports/ Attendance registers  ii. Ranger training curriculum	PMU, ICF, WWF ZCO
Output 2.2.3: Strengthening interagency cooperation against illegal wild meat trade	There is potential conflict among the targeted agencies if no thorough engagement is conducted	Clear Stakeholder engagement plan will detail the roles and responsibilities of each potential stakeholder and how to engage. Through workshops the aim of the initiative would be reemphasised and collaboration enhanced.	Government Departments/ NGOs	i. Annual Intelligence and investigations report from two Parks Coordination workshop for enforcement agencies  ii. Training courses for personnel	PMU
Output 2.3.2: HWC mitigation measures in communities around Nkala GMA hotspot	Hostile community due to an increase in the instances of wildlife related conflicts  Perceived ineffectiveness of project on incidences of HWC	An effective Rapid Response plan in place and a dedicated team could help in addressing HWCs in time.  Awareness raising on HWC prevention measures and animal behavior	Communities, Project Staff	i. Annual Operational reports  ii. Communication materials  iii. Training or outreach materials on HWC for communities	Local NGOs guided by DNPW
Output 2.4.2: Management of interfaces between wildlife and cattle	Poor communication of management plans and strategies in place may lead to conflict  Restriction of access may create livelihood hardships for communities if not properly mitigated	Thorough engagement process in the development of the management plans can enhance ownership and improve compliance.  Relevant LPRs that have been fully designed with and approved by communities	Pastoralists, communities	i. Community meeting minutes and reports  ii. Any livelihood restoration plans that have been created	PMU
<b>Component 3: Wildlife and nature for prosperity in Kafue Flats</b>					

Environmental and Social Management Framework (ESMF) for the Kafue Wildlife Project (KaF-Wild)

Proposed Project Output of Key Concern	Potential Risks and Adverse Impacts	Mitigation Measures	Targeted Group	Means of verification	Responsible Party
Output 3.1.1: Sustainable financing mechanisms in place for Lower Kafue Basin	<p>Increase in income within the Community groups could lead to conflict and misappropriation of resources</p> <p>Inequitable distribution of funding opportunities may lead to internal conflict among communities or individuals or leave out the most vulnerable or disadvantaged people.</p>	<p>Providing training for the Community organization on leadership and financial management could lead to strong Local Natural Resources Governance Structures.</p> <p>Equitable selection criteria that incorporate a gender lens</p>	Project Staff, CRBs, VNRMC and the general community members	<p>i. Project implementation reports</p> <p>ii. Selection criteria that have been shared with and approved by the WWF US GEF Agency and communities</p>	PMU
Output 3.2.2: Development of park ecotourism infrastructure	Infrastructure development within the NP and other sensitive ecological areas may negatively affect biodiversity	Conducting Environmental Impact Assessments prior to any major development will ensure all the social and biological aspects are considered and any identified risks are mitigated for.	N/A	<p>i. Environmental Impact Assessment developed, and shared with WWF US GEF Agency for approval</p> <p>ii. Activity reports</p>	Local NGOs guided by DNPW
Output 3.2.3: Creation of cash for work opportunities	<p>Increase in income for the local communities would trigger risk behaviours that may lead to GBV and increase in HIV/AIDS</p> <p>Possible elite capture or inequitable distribution of project benefits.</p>	<p>Awareness programs on risky behaviours and financial management for community staff engaged</p> <p>Equitable selection criteria created and shared with all stakeholders</p>	Communities, Project Staff	<p>i. Employments records/</p> <p>ii. Activity reports on awareness</p> <p>iii. Selection criteria</p>	ICF/DNPW
<b>Component 4. Monitoring, evaluation, knowledge and learning</b>					
Output 4.1.2: Sharing of learning and knowledge exchange visits	Information dissemination may not include all the key stakeholders. Due to illiteracy levels in the project landscape some participants may not be covered.	<p>Having a robust communication strategy in place that will cover all the targeted groups, including those who need methods that may be verbal or visual to reach those who are illiterate.</p> <p>Packaging ICT material in local language will improve the situation.</p>	All stakeholders and the public	<p>i. Reports on knowledge exchange visits and results</p> <p>ii. Inspiration stories based on MEL outputs</p> <p>iii. Translations of communication materials</p>	PMU, WWF ZCO



## **7 PROCEDURES FOR THE IDENTIFICATION AND MANAGEMENT OF ENVIRONMENTAL AND SOCIAL IMPACTS**

### **7.1 Screening**

In advance of the initiation of any project activity, the Safeguards and Gender Officer should fill in detailed information regarding the nature of the activity and its specific location in the Safeguards Eligibility and Impacts Screening form (Annex 1). Part 1 of this form comprises of basic information regarding the activity; Part 2 contains basic “pre-screening” questions. If the response to any of the questions in these two parts is “Yes”, the activity will be deemed ineligible for funding under the Project. The executing partners will thus be required to change the nature or location of the proposed activity so that it complies with all safeguards requirements and all responses to the eligibility section of the Screening form are negative. If the activity is deemed eligible according to Part 2, an environmental and social screening procedure will be carried out in accordance with Part 3 of Safeguard Eligibility and Impacts Screening format, which is based on the WWF’s SIPP and applicable Zambian laws and regulations. The executing partners shall respond to the specific questions in Part 3 of the form, provide general conclusions regarding the main environmental and social impacts of each proposed activity, outline the required permits or clearances, and specify whether any additional assessments or safeguard documents (e.g., ESMP) should be prepared. Once completed, this Screening will be sent to the Safeguards Officer at the WWF US GEF Agency for review and approval.

### **7.2 Assessment of possible risks**

If the screening identifies potential environmental or social risks that would arise from project activities, an assessment process based on participatory consultations with affected peoples will be carried out. The assessment will generate the necessary environmental and/or social baseline information and assess potential impacts. If it is determined the impacts require mitigation, then an ESMP will be prepared with suitable mitigation measures.

### **7.3 Development of an Environmental and Social Safeguards Mitigation Plan (ESMP)**

The ESMP should be prepared before the initiation of the project activity and closely follow the guidance provided in the ESMF. The ESMP should describe adverse environmental and social impacts that are expected to occur as a result of the specific project activities. It outlines concrete measures that should be undertaken to avoid or mitigate environmental and social impacts and specify the implementation arrangements for the management of mitigation measures (including institutional structures, roles, communication, consultations and reporting procedures).

## **8 GUIDELINES FOR ESMP DEVELOPMENT**

### **8.1 Context**

A project's Environmental and Social Mitigation Plan (ESMP) consists of a set of mitigation, monitoring, and institutional measures to be taken during project implementation and operationalization to eliminate

adverse environmental and social impacts, offset them, or reduce them to acceptable levels. It further provides guidance on the enhancement of the positive effects of the project. Specifically, the ESMP sets out to:

- a) Identify the set of responses to potentially adverse project impacts.
- b) Determine requirements for ensuring that those responses are made effectively and in a timely manner; and
- c) Describe the means for meeting those requirements.

The plan also includes the actions needed to implement these measures in the most efficient and effective manner. More specifically, the ESMP includes the following components.

## 8.2 Mitigation

- The ESMP identifies feasible cost-effective measures that may reduce potentially significant adverse environmental impact to acceptable levels. The plan includes compensatory measures if mitigation measures are not feasible, cost-effective, or sufficient.
- Identifies and summarizes all anticipated significant adverse environmental impacts (including those involving land acquisition, involuntary resettlement, labour management, etc);
- Provides linkage with any other mitigation plans (e.g., for involuntary resettlement, indigenous peoples, cultural property or other social impacts such as potential issues of violence against women and children resulting from influx of workers in communities in the subproject area etc.) required for the project.

## 8.3 Monitoring

Environmental and social monitoring during project implementation provides information about key aspects of the project, particularly its environmental and social impact, and the effectiveness of mitigation measures. Such information enables WWF US, GEF, MoT, ICF, and WWF Zambia to evaluate the success of mitigation as part of project supervision and allows corrective action to be taken when needed. Specifically, the monitoring section of the ESMP provides (a) a specific description, and technical details, of monitoring measures, including the parameters to be measured, methods to be used, sampling locations, frequency of measurements, detection limits (where appropriate), and definition of thresholds/indicator that will signal the need for corrective actions; and (b) monitoring and reporting procedures to (i) ensure early detection of conditions that necessitate particular mitigation measures, and (ii) furnish information on the progress and results of mitigation.

## 8.4 Capacity Development and Training

To support timely and effective implementation of environmental and social project components and mitigation measures, there is a need to enhance the capacity of resources on site or at the national, provincial and/or district level. ESMP provides a specific description of institutional arrangements including who is responsible for carrying out the mitigation and monitoring measures (e.g., for operation, supervision, enforcement, monitoring of implementation, remedial action, financing, reporting, and staff training). To strengthen environmental and social management capability in the agencies responsible for implementation, most ESMPs cover one or more of the following additional topics: (a) technical assistance programs, (b) procurement of equipment and supplies, and (c) organisational changes.

## 8.5 Implementation Schedule and Cost Estimates

For all three aspects (mitigation, monitoring, and capacity development), the ESMP provides (a) an implementation schedule for measures that must be carried out as part of the project, showing phasing and coordination with overall project implementation plans; and (b) the capital and recurrent cost estimates and sources of funds for implementing the ESMP. These figures will be integrated into the total project cost tables.

## 8.6 Template for an ESMP

**An Introduction:** explaining the context and objective of the ESMP, and the findings of the screening process.

**Project description:** Objective and description of activities, nature and scope of the project.

**Baseline environmental and social data:** key environmental information or measurements such as topography, land use and water use, soil type, flow of water, and water quality/pollution; and data on socioeconomic conditions of the project sites should also be included.

**Expected impacts and mitigation measures:** description of specific environmental and social impacts of the activity and corresponding mitigation measures. This section should integrate measures that are prescribed in the log frame in Section 6 of this document.

**ESMP implementation arrangements:** Responsibility for design, bidding and contracts where relevant, monitoring, reporting, recording and auditing.

**Capacity Need and Budget:** Capacity needed for the implementation of the ESMP, and cost estimated for implementation of the ESMP.

**Consultation and Disclosure Mechanisms:** Timelines and format of disclosure.

**Monitoring:** Environmental and social compliance monitoring with responsibilities.

**Grievance Mechanism:** provide information about grievance mechanism, how can access it, and the grievance redress process.

**A site-specific community and stakeholder engagement plan:** in order to ensure that local communities and other relevant stakeholders are fully involved in the implementation of the ESMP, a stakeholder engagement plan should be included in the ESMP. Specific guidelines on community engagement are provided in part.

# 9 PROCESS FRAMEWORK

## 9.1 Process Framework

The development of the IDPs as part of this project may result in restrictions of access to livelihoods and natural resources for local communities. Any change of land use or new demarcation of boundaries should be based on free, prior, and informed consultations of the affected communities and relevant authorities, which should be obtained prior to finalizing any border or land use change.

If the demarcation of land boundaries, rehabilitation and restoration activities, or shifting grazing areas negatively impact sources of economic income or other types of livelihoods of affected communities, full and timely compensation shall be provided to all affected individuals, irrespective of their formal land title.

All affected communities and households around the project-supported areas will be provided with opportunities to restore their livelihoods to at least pre-project levels.

Livelihoods-related support during project implementation will be provided to the households (HH) of all communities impacted by project-induced restrictions of access to natural and community resources within the targeted areas. This process will be organized in the following manner:

- Screening

The Project Manager with technical inputs from the Safeguards & Gender Officer at PMU will undertake screening of all planned activities for likely access restrictions to local communities. This will include both communities that reside in project-affected areas with formal title, and those that may lack land title but access the land or natural resources.

- Social assessment

If the screening confirms and identifies HHs affected due to access restriction to natural resources, a social assessment (SA) process based on participatory consultations with affected peoples will be carried out. The SA will generate the necessary baseline information on demographics, social, cultural, and economic characteristics of affected communities, as well as the land and territories that they have traditionally owned or customarily used or occupied, and the natural resources on which they depend. The SA will assess potential impacts and the extent of restriction of access to resources along with suitable mitigation and enhancement measures including options for alternative access to similar resources, or the redesign of certain project activities to maintain vital access if consensus cannot be reached.

- Livelihood Restoration Plans

Based on the findings of the screening and social assessment, action plans usually known as Livelihood Restoration Plans (LRP) will be prepared after holding further meaningful consultations with affected peoples and stakeholders which will provide tailored livelihood support and benefit sharing for affected persons, groups and communities.

The LRPs will be site-specific and include the following issues: (1) identifying and ranking of site-specific impacts; (2) setting out criteria and eligibility for livelihood assistance; (3) outlining the rights of persons who have been either customarily or legally/illegally using forest, water, or land resources for subsistence to be respected; (4) describing and identifying available mitigation measures alternatives, taking into account the provisions of applicable local legislation, and the available measures for mitigation promoted via project activities and considering any additional sound alternatives, if proposed by the affected persons; (5) outlining specific procedures on how compensation can be obtained.

- Mitigation measures as part of the LRPs

Participatory and inclusive consultations should be carried out with affected communities, individuals, and stakeholders to agree on the allocation of alternative livelihood. Eligibility criteria should be established according to guidelines provided in the section on community engagement for the preparation of LRPs below.

Alternative livelihood schemes should be discussed, agreed upon and provided for affected persons/ groups. The livelihood options to be built on and be based upon the traditional skills, knowledge, practices and the culture/world view of the affected peoples/groups and persons.

Affected persons should be provided project-related livelihood support and other opportunities as part of the planned project activities.

In addition, an accessible and efficient grievance redress mechanism will be established and made functional as part of the project implementation (see Chapter 10 of this ESMF).

Special attention should be made to tailor these mitigation measures to the needs of vulnerable people and communities. While some of them may be interested in the mitigation measures outlined above, others may necessitate an alternative approach (e.g., allocation of alternative grazing areas). Any proposed measures should be closely coordinated with PAPs to ensure that they fully reflect their needs and priorities.

- Compensation

In case that compensation is awarded, it shall be calculated based on the replacement value of these livelihoods (economic market value plus any replacement costs) by an Independent Evaluator supervised by the Project Manager and Safeguards & Gender Officer. If community consultations deem financial compensation as the only acceptable form of compensation, the project activities will need to be re-designed in such a way that other compensation will meet their approval, or the activity will be removed. In cases where compensation will consist of the allocation of alternative resources (e.g., alternative grazing areas), measures will include identification of these resources with the active involvement of the affected persons/communities and assistance to access these resources. Detailed procedures on how compensation should be calculated and awarded should be provided in each site-specific LRP based on local conditions.

### 9.3 Community Engagement for the Preparation of LRPs

- When should local communities be engaged?

Project affected communities should be engaged in advance of the implementation of each activity that may affect their interests, entitlements, and livelihoods. Such activities should be identified by the Project Manager and the Safeguards & Gender Officer by going through the yearly environmental and social safeguards screening process. If the screening reveals any adverse environmental or social impacts that may result from a planned activity, community consultations should be organized far enough in advance of the implementation of this activity to ensure several months for consultations and development of LRPs, in order to mitigate any adverse impacts. Activities that result in restriction or loss of livelihood should trigger the development of site-specific livelihood restoration plans (as indicated in the section above).

- Who should be engaged? Criteria for Eligibility of Project Affected Persons & Livelihood Restoration

Community members that should be engaged in consultations are those persons who, as a direct consequence of an activity or subproject would, without their informed consent or power of choice either: (a) lose their assets or access to assets or access to community and natural resources, or (b) lose a source of income or means of livelihood, whether or not they physically relocate to another place.

For activities that may result in restrictions or loss of access to livelihood resources, a participatory process will be followed to identify people, groups, or households, who should participate in the livelihood restoration process. All of the proposed livelihood restoration activities, interventions and initiatives within the LRP will be developed in consultation with the affected communities. Implementation of each of these will also be carried out with full transparency and disclosure. Further details on the development of LRPs are provided in the section above.

- Vulnerable groups

Vulnerable and marginalized groups should be actively engaged in project-related consultations and in the development of LRPs, since their role in forest and habitat management, livelihood interventions, project supported incentive and benefit sharing make them vital to the process. These groups include women (especially widows and female-headed households), youth, disabled individuals, elderly (especially single-headed households).

- How should communities be engaged?

For the community engagement process to be as inclusive as possible, it is important to use as many avenues as possible to inform all stakeholders through community meetings, community messengers, advertisements, national as well as local radio and television among others. Special measures should be undertaken to ensure the inclusive engagement of all community members, and in particular vulnerable groups:

- i. *Easy notification:* communities will be notified and engaged through both traditional (local) and modern methods in light of the quality of phone networks, weather and road accessibility to ensure adequate outreach to all groups (including people with disability and those who can't read).

Methods will include publication of information of various developments and on planned meetings on village notice boards, notification of meetings through phone, letters, public address using speakers and microphones, and dispatch of leaflets/letters/information using community messengers. Background information for meetings will be provided in advance to the village or other relevant level.

To proactively reach out to specific target groups in the community (e.g. women, youth, etc.), the project will identify and engage local opinion leaders in those groups, and solicit their help to spread the message to other members.

- ii. *Convenient location and timing:* Local community leaders should help in deciding where to place other information so that target groups will be likely to encounter it. They should also advise on the most suitable timing to convene consultation meetings to ensure that as many community members as possible may attend. This may require enhanced awareness to the availability of women to attend (and set aside household chores), availability of farmers to attend, etc. The project will ensure that there is enough time (such as mutually agreed minimum notice times), flexibility (e.g. due to disability, some may come from far) to ensure there is participation of all intended members of communities. This will avoid the risks of women and other relevant groups being excluded from taking part in public gatherings as a result of their disability, gender orientation, economic activity, religion or tribalism.
- iii. *Simple communication:* Communication should be simplified and adapted to ensure that it fits the local context and helps build confidence (especially in the context of engaging women and youth). In all meetings, the local language will be used and where necessary, translation will be used from English to local languages using members of the communities.
- iv. *Appropriate engagement format:* A combination of methods will be used when consulting and engaging local communities to enhance inclusiveness and active participation of all community groups. This will primarily include village meetings (open meetings), focus group discussions using various criteria depending on the situation (per economic activity, age group, gender, etc.); and key informant discussions with emphasis on specific topics.
- v. *Local facilitation:* It is expected that the PMU will convene most of the meetings, and the discussions should be led by community members and officials from the local government. These meetings should be held in collaboration with local community-based organisations, private sector representatives, and community members. The collaboration is important to lend credibility to the intervention as it may be identified as a community effort rather than an imposition by the government or any particular organisation.
- vi. *Documentation:* A register of complaints will be kept, updated regularly and feedback systems developed to ensure that women and other relevant groups (elderly, young, other marginalised groups) are fully included in consultations, benefit from the project and informed on the progress on the project.

- Closing the feedback loop

Once the community engagement process has started, it has to be maintained. Stakeholders in the community must be kept informed, and support has to be provided when needed, conflicts have to be resolved, methods have to be devised to keep the process reasonably efficient, goals and deadlines have to be set. It is expected that this logical proceeding of activities and the consultation and involvement of local communities in the project, will minimise any potential conflicts and grievances.

The Project Manager, with support from the Safeguards & Gender Officer, will ensure that affected persons are informed about the outcome of the decision-making process and will confirm how their views were incorporated into the design of project activities, if at all. Specific procedures on how compensation for access restrictions can be obtained should be provided in LRPs.

## 10 GRIEVANCE REDRESS

A grievance is a concern or complaint raised by an individual or group negatively affected by project activities. A Grievance is not: (a) A question or suggestion for the project; or (b) An appeal or request for assistance. Structured grievance redressal mechanism is helpful in addressing project stakeholder misunderstandings and potential conflicts in a meaningful and effective manner. Such a system will ensure that redressal sought meets standards of natural justice, fairness, and is within the given framework of existing rules and regulations. A robust mechanism to review grievances and their prompt redressal will go a long way in building confidence of all project stakeholders. WWF recognises that each complaint is an opportunity to better connect with the stakeholders by improving project features and delivery.

Both concerns and complaints can result from either real or perceived impacts of the project's operations and may be filed in the same manner and handled with the same procedure outlined in the GRM. Therefore, an effective and independent Grievance Redress Mechanism that collects and responds to stakeholders' inquiries, suggestions, concerns, and complaints is necessary to the project. The KaF-Adapt project may have a direct and indirect effect on a large number of communities and stakeholders living within or outside the project implementation areas.

### **The Objectives of GRM**

The Objectives of the grievance mechanism are:

1. To provide stakeholders with a clear process for providing comment and raising grievances
2. To allow stakeholders the opportunity to raise comments or concerns anonymously through accessible channels.
3. To structure and manage the handling of comments, responses and grievances, and allow monitoring of effectiveness of the mechanism; and
4. To ensure that comments, responses and grievances are handled in a fair and transparent manner.

The Project Management Unit will establish specific roles and responsibilities related to the process below at the project inception workshop for resolving any and all grievances related to the project, which will require approval from the WWF US GEF Agency. All grievances will be reviewed and responded to in writing within 7 working days of receipt.

### **Project Level Grievance Resolution Mechanism**

The GRM shall constitute an integral part of the project and assist the PMU in identifying and addressing the needs of local communities. Both complaints and responses shall be recorded in the Grievance Register for monitoring. If the claimant is not satisfied with the response, the grievance may be appealed in writing to the focal point at MGEE or to the WWF US GEF Agency, or the GEF Secretariat.

The GRM should be constituted as a permanent and accessible institutional arrangement for addressing any grievances arising from the implementation of project activities. It is in the interest of all stakeholders that grievances or conflicts that are related to the project activities are appropriately resolved at the lowest level possible, to ensure timely and appropriate resolution of the grievance. However, it is always possible to submit a grievance directly to higher authorities or the initiation of court procedures if the affected party believes it is in their best interest..

### **GRM Principles and Types of Grievances**

This will include seven steps described below and demonstrate a typical grievance redress mechanism. The GRM shall operate based on the following principles:

1. **Fairness:** Grievances are assessed impartially and handled transparently.
2. **Objective and independence:** The GRM operates independently of all interested parties in order to guarantee fair, objective, and impartial treatment to each case.
3. **Simplicity and accessibility:** Procedures to file grievances and seek action are simple enough that project beneficiaries can easily understand them.
4. **Responsiveness and efficiency:** The GRM is designed to be responsive to the needs of all complainants. Accordingly, officials handling grievances must be trained to take effective action upon, and respond quickly to, grievances and suggestions.
5. **Speed and proportionality:** All grievances, simple or complex, are addressed and resolved as quickly as possible. The action on the grievances or suggestion is swift, decisive, and constructive.
6. **Participation and inclusiveness:** A wide range of affected people – particularly communities and vulnerable groups – are encouraged to bring grievances and comments to the attention of the project implementers. Special attention is given to ensure that poor people and marginalized groups, including those with special needs, are able to access the GRM.
7. **Accountability and closing the feedback loop:** All grievances are recorded and monitored, and no grievance remains unresolved. Complainants are always notified and get explanations regarding the results of their complaint. An appeal option shall always be available

Complaints may include, but not be limited to, the following issues:

1. Allegations of fraud, malpractices or corruption by staff or other stakeholders as part of any project or activity financed or implemented;
2. Environmental and/or social damage/harm caused by projects financed or implemented (including those in progress);
3. Complaints and grievances by permanent or temporary workers engaged in project activities.

Complaints could relate to resource efficiency; negative impacts on public health, environment or culture; destruction of natural habitats; disproportionate impact on marginalised and vulnerable groups; discrimination or harassment; violation of applicable laws and regulations; destruction of physical and cultural heritage; or any other issues which adversely impact communities or individuals in project areas. The grievance redress mechanism will be implemented in a culturally sensitive manner and facilitate access for vulnerable populations.

### **GRM Procedures**

The Safeguards & Gender Officer will be in charge of the operation of the GRM at the PMU and will be responsible for collecting and processing grievances that relate to activities in the landscape. The GRM will operate according to the following procedures.

1. **Submitting complaints:** Project Affected People or interested stakeholders can submit grievances or complaints directly to the PMU through a variety of communication channels, such as phone, regular mail, text messaging/SMS, or in-person, or by visiting the local PMU offices. It is important to separate channels for complaint submissions to ensure that project affected people have sufficient opportunities to lodge their complaints to impartial and neutral authorities.
2. **Processing complaints:** All grievances submitted to the PMU shall be registered and considered. A tracking registration number should be provided to all complainants. To facilitate investigation, complaints will be categorised into four types: (a) complaints relating to non-performance of KaF Wild obligations and safeguards-related complaints; (b) complaints referring to violation of law

and/or corruption while implementing project activities; (c) complaints against authorities, officials or community members involved in the KaF Wild Project management; and (d) any complaints/issues not falling in the above categories.

3. Acknowledging the receipt of complaints: Once a grievance is submitted, the Safeguards & Gender Officer at the PMU shall acknowledge its receipt, brief the complainant on the grievance resolution process, provide the contact details of the person in charge of handling the grievance, and provide a registration number that would enable the complainant to track the status of the complaint.
4. Investigating complaints: The Safeguards & Gender Officer at the PMU will gather relevant information, conduct field visits as necessary, and communicate with all relevant stakeholders as part of the complaint investigation process. For instance, complaints on land issues and local issues would be directed for investigation at the level of Village Headman, except in cases where they cannot be impartial, such as if they or any relatives are named in the grievance. The PMU dealing with the investigation shall ensure that the investigators are neutral and do not have any stake in the outcome of the investigation. A written response to all grievance will be provided to the complainant within 10 working days. If further investigation is required, the complainant will be informed accordingly, and a final response will be provided after an additional period of 10 working days. Grievance that cannot be resolved by grievance receiving authorities/office at their level should be referred to a higher level for verification and further investigation.
5. If the grievance is in any way related to the behaviour or actions of the Safeguards & Gender Officer, it may be submitted directly to the Project Manager, another member of the PMU, or it may be submitted directly to the WWF GEF Agency or the GEF Secretariat.
6. Appeal: If the parties are unsatisfied with the response provided by the GRM, he/she/they will be able to submit an appeal to the MoT within 10 days from the date of submission.
7. Monitoring and evaluation: The Safeguards & Gender Officer will prepare semi-annual reports with full information on the grievances received and their investigation status which the Project Manager shall submit to the WWF GEF Agency and the NSC as part of the regular project progress reporting.

Information about channels available for grievance redress shall be widely communicated in all projects affected communities and with all relevant stakeholders. The contact details (name, phone number, mail and email address, etc.) of the Safeguards & Gender Officer in the KaF Wild PMU should be disseminated as part of all public hearings and consultations, in the local media, in all public areas in affected communities, or project activity area sites.

The GRM seeks to complement, rather than substitute, the judicial system and other dispute resolution mechanisms. All complainants may therefore file their grievance in local courts or approach mediators or arbitrators, in accordance with the legislation of Zambia. In addition to the project specific GRM, a complainant can submit a grievance to the WWF US GEF Agency or the GEF Secretariat.

### **WWF GEF Agency Grievance Mechanism**

A grievance can also be filed with the Project Complaints Officer (PCO), a WWF US staff member fully independent from the Project Team, who is responsible for the WWF Accountability and Grievance Mechanism and who can be reached at:

Email: [SafeguardsComplaints@wwfus.org](mailto:SafeguardsComplaints@wwfus.org)

Mailing address: Project Complaints Officer Safeguards Complaints, World Wildlife Fund 1250 24th Street NW Washington, DC 20037

The PCO will respond within 10 business days of receipt, and claims will be filed and included in project monitoring.

Stakeholders may also submit a complaint online through an independent third – party platform at <https://report.whistleb.com/sw/wwf>

### **Grievance Redress and Record Keeping**

To ensure that each grievance is traceable and addressed in a quickest possible time, the Project Management Unit shall establish a grievance uptake record-keeping procedure, with the following items recorded:

- Individual reference number
- Name of the person submitting the complaint, question, or other feedback, address and/or contact information (unless the complaint has been submitted anonymously).
- Details of the complaint or concern.
- Date that the complaint or concern was raised.
- Name of person assigned to deal with the complaint (acknowledge to the complainant, investigate, propose resolutions, etc.).
- Details of proposed resolution, including person(s) who will be responsible for authorizing and implementing any corrective actions that are part of the proposed resolution.
- Date when proposed resolution was communicated to the complainant (unless anonymous).
- Date when the complainant acknowledged, in writing if possible, being informed of the proposed resolution.
- Details of whether the complainant was satisfied with the resolution, and whether the complaint can be closed out.

## **11 CAPACITY BUILDING**

### **12.1 Overview**

There are several stakeholders with the potential to directly or indirectly influence the outcomes of KaF-Wild. Officials from relevant government ministries and agencies at the national, provincial and district level will be involved in supporting the implementation of various activities. They will work in collaboration with several other Ministries, and their counterparts in the provinces, as well as districts. Many private sector companies, and civil society organisations among others. The capacity building and training priorities presented hereunder have emerged from the various consultations undertaken with the stakeholders at national and sub-national levels. Care has been taken to ensure broad-based representation of public and private sector entities at sub-national levels.

The following is an outline of the capacity building and training needs for environmental and social management for ESMF.

### **12.2 Capacity Building Needs**

The successful implementation and monitoring of the environmental and social management framework (ESMF), environmental and social mitigation plans (ESMPs) will require that target groups and stakeholders who play a role in the implementation of the ESMF be provided with appropriate training and awareness. This is necessary because the implementation of the activities will require inputs, expertise and resources which will be adequately taken care of if the concerned parties are well trained. These groups are described below.

The KaF-Wild PMU will be responsible for coordination and synthesising all ESMF capacity building activities at a higher level.

#### **National Level**

To be able to identify and mitigate the potential environmental and social impacts of rolling out the various project activities, the decision makers must be aware of potential risks and impacts of these activities and equipped to arrive at rational decisions. The groups that will need training will include:

- Project Management Unit
- Selected officials from MoGEE, DNPW, ZEMA, WWF ZCO, ICF and other NGOs identified in the landscape.

The suggested areas of training are:

- Regulatory and institutional framework for addressing environmental and social issues in Zambia, including HWC,
- KaF-Wild ESMF
- Understanding current practices in EIA in foreign aided projects in Zambia
- Integration of KaF-Wild ESMF with national laws and current administrative practices

#### **Provincial Level**

At Provincial level, the functionaries will receive environmental and social training in various topics on the implementation of KaF-Adapt and promotion of sustainable practices in livestock management, fishing and agriculture among others.

The groups that will need training will include:

- Selected Staff from the DNPW

- Provincial Fisheries and Livestock Coordinator
- Provincial Agriculture Coordinator
- Provincial Livestock Planner
- Provincial Agricultural Planner
- Subject Matter specialist
- Provincial Local Government Office
- Farmer/Livestock associations/leaders
- Farmers/Livestock associations

The suggested areas of training are:

- Regulatory and institutional framework for addressing environmental and social issues in Zambia
- Examples of current practices in integrating environmental and social concerns in project design, implementation, monitoring and evaluation
- KaF-Wild ESMF
- The process for screening of projects, undertaking ESIA and ESMP

### **District Level**

The following key functionaries and officers should also be targeted for capacity building at district level:

- Department of National Parks key staff
- Office bearers of District Council
- District Fisheries and Livestock Coordinators
- District Agricultural Coordinators (DACO)
- Senior Fisheries and Livestock Officers
- Senior Agricultural Officers
- Block Fisheries and Livestock Officer
- Camp level Fisheries and Livestock Officer
- Camp Extension Officers
- District Fisheries & Livestock Officer
- Camp level Fisheries and Livestock Officer
- Civil Society Organisations
- Farmer/Livestock/Fisheries Associations

The suggested areas of training are:

- Understanding legal and institutional framework regulating environmental and social impacts of projects
- Practical methods for identifying adverse and positive impacts of project on the environment and society
- Examples on how to promote positive impacts of projects
- Hands-on training on techniques to screen projects, and when to recommend for ESIA and ESMP

### **12.3 Training Requirements**

Successful implementation of the KaF-Wild project components and activities will require dynamic and multi-disciplinary professionals. Therefore, regular short and tailor-made training courses and seminars will be required to reinforce the capacity and skills of the stakeholders and beneficiaries during the entire project period. Training activities and target groups are presented in the table below.

The stakeholders have different training needs as follows:

- Awareness raising will cause the participants to acknowledge the significance or relevance of the issues, but without in-depth knowledge;
- Sensitization will cause the participants to be familiar with the issues to the extent of demanding precise requirements for further technical assistance;
- Comprehensive training will raise the participants to a level of being able to train others and to competently take action on environmental and social issues in their areas.

Training and seminars will also be required for building capacity and awareness in social and environmental issues including Human Wildlife Conflict, Invasive and Alien Species (IAS) control, Gender and protection of human rights, Conflict resolution, wildlife policy and related legislation review. The KaF Wild will have to factor in the overall costs for executing these training courses in the relevant Districts.

## 12 DISCLOSURE

All affected communities and relevant stakeholders shall be informed about the ESMF requirements and commitments. The ESMF in English, along with the SEP, on the websites of the MoT, WWF Zambia, and the WWF GEF Agency. The executive summary, Annexes of identified risks and GRM of the ESMF will be translated into local language and made available in hard copy in appropriate public locations in the District Commissioner’s Office for all relevant districts. The ESMF and other safeguards documents are required to be disclosed for a period of 30 days prior to the start of the project and should be made available for the duration of the project in the PMU office and online.

The Safeguards & Gender Officer will be responsible for raising community awareness regarding the requirements of the ESMF, and will also ensure that all external consultants, sub-grantees and service providers are fully familiar and comply with the ESMF and other safeguards documents.

The PMU must also disclose to all affected parties any action plans prepared during project implementation, including ESMPs.

**Table 6: ESMF Related Documents Reporting Framework.**

Documents to be Disclosed/Reported	Frequency	Where (disclosed)/To whom (reporting)
Environmental and Social Management Framework	Once in the entire project cycle. Must remain on the website and other public locations throughout the period	On the website of MoT and WWF. Copies at the PMU Office (disclosure)
Environmental and Social Management Plans (ESMPs)	Must remain on the website and other disclosure locations throughout the project period	On the website of MoT and WWF. Hard copies at the PMU Office and in any relevant communities (disclosure)
Grievance Redress Mechanism	Continuously throughout project implementation (disclosure) Bi-annually, throughout the project cycle (reporting)	On the website of MOT and WWF US. Copies at the PMU Office and in appropriate locations in all project sites. (disclosure)

## 13 MONITORING

### 13.1 Overview

The environmental and social impacts of implementing the KaF-Wild project and the success of the mitigation measures must be monitored by various relevant entities. Monitoring is an important part of tracking and managing the impacts of the project. It is used for timely identification and correction of administrative, financial or technical lapses or inadequacies in the execution of project environmental and social risk mitigation measures.

Under this ESMF, the objective for monitoring would be twofold:

- To provide timely information about the effectiveness of the environmental and social management screening process as outlined in the ESMF. Information generated will inform continuous improvement to the process,
- To establish the progress in implementation of the mitigation measures, the extent to which they are effective in maintaining environmental and social integrity and if any changes are required to improve the ESMF implementation.

### 13.2 Monitoring Levels

The compliance of the KaF-Adapt project activities with the ESMF will be thoroughly monitored by various entities at different stages of design, preparations and implementation as follows:

**Monitoring at the project outcome and output level.** The overall responsibility for implementing the ESMF and for monitoring compliance with the project's environmental safeguard activities lies with the PMU. The Safeguards & Gender Officer hired by the PMU shall oversee the implementing activities and ensure their compliance with the ESMF.

**Monitoring at the level of field activities.** Both the Project Manager and the M&E Officer, with support from the Safeguards & Gender Officer shall closely monitor all field activities and ensure they fully comply with the ESMF. The Safeguards & Gender Officer is also fully responsible for the safeguard compliance of all external contractors, sub-grantees and service providers employed as part of the project with the safeguard's requirements outlined in the ESMF/PF.

**Monitoring at the GEF Implementing agency level.** The MoT as the executing agency, ICF, and WWF Zambia as the project's executing partners, WWF-US as the project's Implementing Agency, and the chair of the project steering committee, are responsible to oversee compliance with the ESMF/PF.

## **14 BUDGET**

The ESMF implementation costs, including all costs related to compensation to project affected people, will be fully covered from the KaF Wild Project Budget Component. It will be the responsibility of the PSC and PMU to ensure that sufficient budget is available for all activity-specific mitigation measures that may be required in compliance with the EMSF.

Budget will be earmarked for Safeguards & Gender Officer to work with the PMU and the entire duration of the project. Budget for travel costs and workshops and meetings for Safeguards & Gender Officer will be included in the overall monitoring and evaluation budget.

## ANNEX 1. SAFEGUARD ELIGIBILITY AND IMPACTS SCREENING

This screening tool needs to be filled out for each activity or category of activities included in the annual work plan and budget. In addition, the screening tool needs to be completed whenever management measures or management plans are developed and/or when project intervention areas are determined.

The tool will be filled out by the Safeguards & Gender Officer and reviewed by the M&E Officer. The decision on whether a Site-Specific Environmental and Social Management Plan (ESMP) or Livelihood Restoration Plan (LRP) are required shall be made by the Safeguards Specialist in consultation with the WWF GEF Agency Safeguards Specialists and [insert relevant other title/body], based on the information provided in this screening form, as well as interviews with the PMU/CTF staff, local communities, and any other relevant stakeholders.

### Part 1: Basic Information

1	Activity Name	
	Description of Activity (“sub-activities”)	
2	Type of Activity:	New activity <input type="checkbox"/> Continuation of activity <input type="checkbox"/>
3	Activity location:	
4	Total size of site area	
5	Activity implementation dates	
6	Total cost	

(Move to Part 2 after filling in all information in the table above)

### Part 2: Eligibility Screening

No.	Screening Questions: <i>Would the project activity</i>	Yes	No	Comments/ Explanation
1	Lead to land management practices that cause degradation (biological or physical) of the soil and water? Examples include, but are not limited to: the felling of trees in core zones and critical watersheds; activities involving quarrying and mining; commercial logging; or dredge fishing.			
2	Negatively affect areas of critical natural habitats or breeding ground of known rare/endangered species?			

Environmental and Social Management Framework (ESMF) for the Kafue Wildlife Project (KaF-Wild)

No.	Screening Questions: <i>Would the project activity</i>	Yes	No	Comments/ Explanation
3	Significantly increase GHG emissions?			
4	Use genetically modified organisms or modern biotechnologies or their products?			
5	Involve the procurement and/or use of pesticides and other chemicals specified as persistent organic pollutants under the Stockholm Convention or within categories IA, IB, or II by the World Health Organization?			
6	Develop forest plantations?			
7	Result in the loss of biodiversity, alteration of the functioning of ecosystems, and introduction of new invasive alien species?			
8	Involve the procurement or use of weapons and munitions or fund military activities?			
9	Lead to private land acquisition and/or the to physical displacement and voluntary or involuntary relocation of people, including non-titled and migrant people?			
10	Contribute to exacerbating any inequality or gender gap that may exist?			
11	Involve illegal child labor, forced labor, sexual exploitation or other forms of exploitation?			
12	Adversely affect indigenous peoples' rights, lands, natural resources, territories, livelihoods, knowledge, social fabric, traditions, governance systems, and culture or heritage (physical and non-physical or intangible) inside and/or outside the project area?			
13	Negatively impact areas with cultural, historical or transcendent values for individuals and communities?			
Please provide any further information that can be relevant:				

If all answers are “No”, project activity is eligible and move to Part 3

If at least one question answered as “yes”, the project activity is ineligible and the proponent can reselect the site of project activity and do screening again.

### Part 3: Impacts screening

Answer the questions below and follow the guidance to provide basic information regarding the suggested activity and describe its potential impacts.

No.	Would the project activity:	Yes/No	Provide explanation and supporting documents if needed:
<b>Environmental Impacts</b>			
1	Result in permanent or temporary change in land use, land cover or topography.		
2	Involve clearance of existing land vegetation		If yes, number of trees to be cut down: Species of trees: Are the trees protected: Total land area of vegetation cover removed: Estimated economic value of the trees, crops and vegetation to be cut down / removed and any replacement costs (e.g., fees, registration, taxes): Provide additional details:
3	Involve reforestation or modification of natural habitats? If yes, will it involve use or introduction of non-native species into the project area?		
4	Will pesticides be used? If so, are they on the list of those excluded by the Stockholm Convention?		
5	Result in environmental pollution? This may include air pollution, liquid waste, solid waste, or waste as the result of earth moving or excavation for example.		
6	Trigger land disturbance, erosion, subsidence and instability?		
7	Result in significant use of water, such as for construction?		
8	Produce dust during construction and operation?		
9	Generate significant ambient noise?		
10	Increase the sediment load in the local water bodies?		
11	Change on-site or downstream water flows?		

12	Negatively affect water dynamics, river connectivity or the hydrological cycle in ways other than direct changes of water flows (e.g. water filtration and aquifer recharge, sedimentation)?		
13	Result in negative impacts to any endemic, rare or threatened species; species that have been identified as significant through global, regional, national, or local laws?		
14	Could the activity potentially increase the vulnerability of local communities to climate variability and changes (e.g., through risks and events such as landslides, erosion, flooding or droughts)?		
15	Based on the results of the questions above, what are the potential cumulative environmental effects to the given landscape?		
<b>Socio-Economic Impacts</b>			
16	Negatively impact existing tenure rights (formal and informal) of individuals, communities or others to land, fishery, and forest resources		
17	Operate where there are indigenous peoples and their lands/territories/waters are located?  OR  Operate where any indigenous communities have close cultural/spiritual or land use relationships? If yes to either, answer questions:		
	a. Has an FPIC Process been started?  b. Will any restrictions on their use of land/territories/water/natural resources be restricted?		
18	Restrict access to natural resources (e.g., watersheds or rivers, grazing areas, forestry, non-timber forest products) or restrict the way natural		

	resources are used, in ways that will impact livelihoods?		
19	Restrict access to sacred sites of local communities (including ethnic minorities) and/or places relevant for women's or men's religious or cultural practices?		
20	Operate where there are any cultural heritage or religious or sacred sites that may be impacted by the project?		
21	Undermine the customary rights of local communities to participate in consultations in a free, prior, and informed manner to address interventions directly affecting their lands, territories or resources?		
22	Based on the results of the questions above, what are the potential cumulative socio-economic effects to the given communities?		
<b>Labor and Working Conditions</b>			
23	Involve hiring of workers or contracting with labor agencies to provide labor? If yes, answer questions a-b below:		
	a) Are labor management issues prevalent in the landscape? b) Are illegal child labor issues prevalent in the landscape?		
24	Involve working in hazardous environments such as steep, rocky slopes, areas infested with poisonous animals and/or disease vectors?		
<b>Indigenous and Vulnerable or Minority Groups</b>			
25	Negatively affect vulnerable groups (such as ethnic minorities, poorer households, migrants, and assistant herders) in terms of impact on their economic or social life conditions or contribute to their discrimination or marginalization?		

26	Negatively affect the livelihoods and/or customs and/or traditional practices of indigenous groups?		
27	Stir or exacerbate conflicts among communities, groups, within families or individuals? Also considering dynamics of recent or expected migration including displaced people, as well as those who are most vulnerable to threats of sexual exploitation, abuse or harassment.		
28	Based on the results of the questions above, what are the potential cumulative effects to the given communities?		
<b>Occupational and Community Health and Safety</b>			
29	Involve any risks related to the usage of construction materials, working high above the ground or in canals where slopes are unstable or there is a risk of drowning?		
30	Generate societal conflicts, increased risk of sexual exploitation, abuse or harassment or pressure on local resources between temporary workers and local communities?		
31	Expose local community to risks related to construction works or use of machinery (e.g., loading and unloading of construction materials, excavated areas, fuel storage and usage, electrical use, machinery operations)		
32	Expose the local community or project workers to health risks, including COVID-19 or other airborne diseases?		
33	Work in areas where forest fires are a threat? If yes, how recently was the last one?		
34	Work in areas where there the presence or history of vector-borne		

	diseases (some examples include malaria, yellow fever, encephalitis)		
<b>GBV/ SEAH Risks</b>			
35	Is there a risk that the project could pose a greater burden on women by restricting the use, development, and protection of natural resources by women compared with that of men?		
36	Is there a risk that persons employed by or engaged directly in the project might engage in gender-based violence (including sexual exploitation, sexual abuse, or sexual harassment)? The response must consider risks not only at the beneficiary level, but also to workers within all the organizations receiving GCF funding.		
37	Does the project increase the risk of GBV and/or SEAH for women and girls, for example by changing resource use practices or singling out women and girls for training without complimentary training/education for men? The response must consider all workers within the organizations receiving GCF funding.		
38	Does any mandated training for any individuals associated with the project (including project staff, government officials, park rangers and guards, other park staff, consultants, partner organizations and contractors) cover GBV/SEAH (along with human rights, etc.)?		
<b>Conflict Sensitivity and Risks</b>			
39	Are there any major underlying tensions or open conflicts in the landscape/seascape or in the country where the landscape/seascape is situated?  If yes, answer a-d below:		
	a) Is there a risk that the activities interact with or exacerbate existing tensions and conflicts in the landscape/seascape? b) Do stakeholders (e.g. implementing partners, rights holders, other		

	<p>stakeholder groups) take a specific position in relation to the conflicts or tensions in the landscape/seascape or are they perceived as taking a position?</p> <p>c) How do stakeholders perceive WWF-Pakistan and its partners in relation to existing conflicts or tensions?</p> <p>d) Could the conflicts or tensions in the landscape/seascape have a negative impact on the activities?</p>		
40	Could the activities create conflicts among communities, groups or individuals?		
41	Are some groups (stakeholders, rights holders) benefiting more than others from the activities? And if so, how is that affecting power dynamics and mutual dependencies?		
42	Do the activities provide opportunities to bring different groups with diverging interests positively together?		
43	Based on the results of the questions above, what are the potential cumulative effects of conflict (increasing or decreasing) in the given landscape on the relevant communities?		

**List of documents to be attached with Screening form:**

1	Layout plan of the activity and photos
2	Summary of the activity proposal
3	No objection certificate from various departments and others relevant stakeholders

**Screening Tool Completed by:**

Signed:

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

**Screening Conclusions [TO BE COMPLETED BY Safeguards Specialist]**

- i. Main environmental issues are:
  
- ii. Permits/ clearance needed are:
  
- iii. Main social issues are:
  
- iv. Further assessment/ investigation needed and next step.
  - a. Need for any special study:
  
  - b. Preparation of ESMP (main issue to be addressed by the ESMP):
  
  - c. Preparation of LRP (main issue to be addressed by the LRP):
  
  - d. Any other requirements/ need/ issue etc:

**Screening Tool Reviewed by:**

Signed:

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

**Exclusion list**

The following practices and activities will not be supported by the project:

- Land or water management practices that cause degradation (biological or physical) of the soil and water.
- Activities that negatively affect areas of critical natural habitats or breeding ground of known rare/ endangered species.
- Actions that represent significant increase in GHG emissions.
- Use of genetically modified organisms, or the supply or use of modern biotechnologies or their products in crops.
- Introduction of crops and varieties that previously did not grow in the implementation areas, including seed import/transfer.
- Actions resulting in loss of biodiversity, alteration of the functioning of ecosystems, and introduction of new invasive alien species.
- Procurement of pesticides or activities that result in an increase in the use of pesticides.

- Activities that would lead to physical displacement and voluntary or involuntary relocation.
- Activities that do not consider gender aspects or contribute to exacerbating any inequality or gender gap that may exist.
- Child Labor.
- Activities that would adversely affect IPs' rights, lands, natural resources, territories, livelihoods, knowledge, social fabric, traditions, governance systems, and culture or heritage (physical and non-physical or intangible) inside and/or outside the project area.
- Activities that would negatively impact areas with cultural, historical or transcendent values for individuals and communities.

## ANNEX II: LIST OF STAKEHOLDERS ENGAGED

Based on the stakeholder mapping conducted in consultation with the Stakeholder Consultant, the following stakeholders were identified.

**Table 7: List of Stakeholders Consulted in the development of the ESMF**

Stakeholder Type	Stakeholder Name	Interest/Involvement in the Project
<b>Government of the Republic of Zambia</b>	Ministry of Green Economy and Environment	Coordination of climate interventions Lead Executing Agency
	Ministry of Tourism/DNPW	Management of the Parks Coordination of partners in the GMA Concession signing and enterprise development Reduction of Human Wildlife conflict Reduction of poaching
	Ministry of Water Development and Sanitation	Coordinated response to water access and provision
	Ministry of Fisheries and Livestock	Reduced zoonotic spillover Veterinary support to cattle owners
<b>Communities and Indigenous People /Chiefdoms</b>	Shakumbila	Allocation of land to households and businesses
	Muwezwa	Improved livestock and rangeland management.
	Hamusonde	
	Nalubamba	Improved water security for communities, livestock and wildlife.
	Choongo	
	Mungaila	Reduced zoonotic spillover
	Mwanachingwala	
	Musungwa	Improvement in human wildlife co-existence Development of a strategy <sup>2</sup>
Shezongo		
<b>Community Based Organizations</b>	Community Resource Boards –Lochinvar, Blue Lagoon, Shezongo and Musungwa	Nature-based enterprise development Reduction of human wildlife conflict
	Milk Cooperatives	Capacity building for improved livelihoods
	Livestock Cooperatives	
	Community enterprises for nature-based products e.g. dried fruit, dried fish, products from invasive species such as baskets, boards, fertilizer and biochar	Livelihood development
<b>NGOs</b>	ICF	Capacity building in ecological monitoring Integrated wetland information system Development of a shared vision of the Kafue Flats Protection of endangered and endemic bird and wildlife species
	Bird Watch Zambia	Bird migratory and breeding pattern monitoring Database management Development of training material for training scouts on bird watching and identification
	Solidaridad	Rangeland management and pasture restoration Alternative livelihoods and enterprise establishment
	Self Help Africa	Alternative livelihoods and enterprise establishment
	TNC	Support to government managing the GMAs of Kafue National Park

		Insurance policies
	Comaco	Alternative livelihood development
	GIZ	Wetland restoration and climate adaptation
<b>Private Sector</b>	Zambeef	Wetland protection
	Zambia Sugar	Value chain strengthening and creation
	Coca Cola Foundation	Increased livelihoods