



**THE KAFUE FLATS CLIMATE  
RESILIENCE AND ADAPTATION  
PROJECT**

**ENVIRONMENTAL AND SOCIAL SAFEGUARDS  
FRAMEWORK**

---

January 2025 2024

TABLE OF CONTENTS

CONTENTS	
<b>TABLE OF CONTENTS</b> .....	<b>1</b>
<b>LIST OF TABLES</b> .....	<b>2</b>
<b>LIST OF FIGURES</b> .....	<b>2</b>
<b>ABBREVIATIONS AND ACRONYMS</b> .....	<b>4</b>
<b>EXECUTIVE SUMMARY</b> .....	<b>6</b>
<b>1. INTRODUCTION</b> .....	<b>11</b>
1.1 BACKGROUND .....	11
1.2 SIGNIFICANCE OF THE ESMF .....	12
1.4 OBJECTIVES OF THE ESMF .....	12
1.5 APPROACH AND METHODOLOGY .....	13
1.6 THE ESMF REPORT STRUCTURE .....	14
<b>2. PROJECT DESCRIPTION</b> .....	<b>15</b>
2.1 PROJECT COMPONENTS .....	15
<b>3. PROJECT AREA PROFILES</b> .....	<b>17</b>
3.1 DESCRIPTION OF THE KAFUE LANDSCAPE .....	17
3.2 PROJECT AREA CONTEXT .....	18
<b>4. ENVIRONMENTAL AND SOCIAL POLICIES, REGULATIONS AND GUIDELINES</b> .....	<b>24</b>
4.1 APPLICABLE NATIONAL POLICIES, RULES, AND REGULATIONS .....	24
4.2 INTERNATIONAL AND REGIONAL CONVENTIONS .....	28
4.3 WWF ENVIRONMENT AND SOCIAL SAFEGUARDS INTEGRATED POLICIES AND PROCEDURES .....	29
<b>5. INSTITUTIONAL ARRANGEMENTS</b> .....	<b>33</b>
5.1 OVERVIEW .....	33
5.2 IMPLEMENTATION ARRANGEMENTS .....	35
<b>6. ANTICIPATED ENVIRONMENTAL AND SOCIAL IMPACTS AND MITIGATION MEASURES</b> .....	<b>38</b>
<b>7. PROCEDURES FOR THE IDENTIFICATION AND MANAGEMENT OF ENVIRONMENTAL AND SOCIAL IMPACTS</b> .....	<b>50</b>
7.1 SCREENING .....	50
7.2 ASSESSMENT OF POSSIBLE RISKS .....	50
7.3 DEVELOPMENT OF AN ENVIRONMENTAL AND SOCIAL MANAGEMENT PLAN (ESMP) .....	50
<b>8. GUIDELINES FOR THE ENVIRONMENTAL AND SOCIAL MANAGEMENT PLAN</b> .....	<b>51</b>
8.1 CONTEXT .....	51
8.2 MITIGATION .....	51
8.3 MONITORING .....	51
8.4 CAPACITY DEVELOPMENT AND TRAINING .....	51
8.5 IMPLEMENTATION SCHEDULE AND COST ESTIMATES .....	52

8.6 <i>TEMPLATE FOR AN ESMP</i>	52
<b>9. PROCESS FRAMEWORK</b>	<b>53</b>
9.1 <i>OVERVIEW</i>	53
9.2 <i>PROCESS FRAMEWORK PROCEDURES</i>	53
9.3 <i>COMMUNITY ENGAGEMENT FOR THE PREPARATION OF LRPS</i>	54
<b>10. GRIEVANCE REDRESS</b>	<b>57</b>
10.1 <i>OVERVIEW</i>	57
10.2 <i>THE OBJECTIVES OF GRIEVANCE REDRESS MECHANISM</i>	57
10.3 <i>PROJECT LEVEL GRIEVANCE REDRESS MECHANISM</i>	57
10.4 <i>GRM PRINCIPLES AND TYPES OF GRIEVANCES</i>	57
10.5 <i>GRM PROCEDURES</i>	58
10.6 <i>WWF GEF AGENCY AND GEF SECRETARIAT GRIEVANCE MECHANISMS</i>	59
10.7 <i>GRIEVANCE REDRESS AND RECORD KEEPING</i>	60
<b>11. CAPACITY BUILDING</b>	<b>61</b>
11.1 <i>OVERVIEW</i>	61
11.2 <i>CAPACITY BUILDING NEEDS</i>	61
11.3 <i>TRAINING REQUIREMENTS</i>	62
<b>12. DISCLOSURE</b>	<b>67</b>
<b>13. MONITORING</b>	<b>68</b>
13.1 <i>OVERVIEW</i>	68
13.2 <i>MONITORING LEVELS</i>	68
<b>14. BUDGET</b>	<b>69</b>
<b>ANNEX I: STAKEHOLDERS</b>	<b>70</b>
<b>ANNEX II: SAFEGUARDS ELIGIBILITY AND IMPACT SCREENING</b>	<b>72</b>

#### LIST OF TABLES

Table 1: Kafue Flats Landscape Population.	22
Table 2: Kafue Flats Ethnic Composition.	22
Table 3: Project Output Specific Potential Adverse Environmental or Social Impacts and Proposed Mitigation Measures.	40
Table 4: Environmental and Social Training Plan.	60
Table 5: ESMF Related Documents Reporting Framework.	62
Table 6: List of Stakeholders Engaged.	65

#### LIST OF FIGURES

Figure 1: Proposed Kaf-Adapt Executing Structure.	11
Figure 2: Stages of ESMF Preparation.	13
Figure 3: The Kafue Flats.	20

Figure 4: The Kafue Flats and Dams.	21
Figure 5 Spatial Distribution of Main Economic Activities.	23
Figure 6: Project Area.	25
Figure 7: Proposed Project Structure.	34
Figure 8: Proposed Project Management Unit Structure.	35

**ABBREVIATIONS AND ACRONYMS**

8NDP	Eighth National Development Plan
ADB	Asia Development Bank
ATR	African Traditional Religion
CBO	Community Based Organization
CEO	Chief Executive Officer
CRB	Community Resource Board
CSO	Civil Society Organization
DC	District Commissioner
DNPW	Department of National Parks and Wildlife
ESIA	Environmental and Social Impact Assessment
ESMF	Environmental and Social Management Framework
ESMP	Environmental and Social Mitigation Plan
ESSF	Environmental and Social Safeguards Framework
GEF	Global Environmental Facility
GMA	Game Management Area
GRM	Grievance Redress Mechanism
GRZ	Government of the Republic of Zambia
HWC	Human Wildlife Conflict
IAPS	Interested and Affected Parties
ICF	International Crane Foundation
IDC	Integrated Development Plan
IFC	International Financing Cooperation
KaF - Adapt	Kafue Adaptation Project
KfW	Kreditanstalt für Wiederaufbau
KII	Key Informant Interview
LDCF	Least Developed Countries Fund
LRP	Livelihood Restoration Plan
M&E	Monitoring and Evaluation
MFL	Ministry of Fisheries and Livestock
MGEE	Ministry of Green Economy and the Environment
MoA	Ministry of Agriculture
MoU	Memorandum of Understanding
MoT	Ministry of Tourism
NGO	Non-Governmental Organization
NFR	National Forest Reserve
PA	Protected Area
PDT	Project Development Team
PF	Process Framework
ProDoc	Project Document
PMU	Project Management Unit
PSC	Project Steering Committee
PTC	Project Technical Committee
SIPP	Safeguard Integrated Policies and Procedures
UNESCO	United Nations Education, Scientific and Cultural Organization
USAID	United States Agency for International Development
WARMA	Water Resource Management Authority
WB	World Bank

WCD	Wildlife Conservation for Development
WWF	World Wide Fund For Nature
WWF US	World Wide Fund For Nature of the United States
WWF ZCO	World Wide Fund For Nature Zambia Country Office
ZEMA	Zambia Environmental Management Agency

## EXECUTIVE SUMMARY

### The Kafue Flats Climate Resilience and Adaptation Project

World Wide 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 Climate Resilience and Adaptation Project (or “KaF-Adapt”), to be funded through the Least Developed Countries Fund (LDCF). 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. The Kafue Flats Climate Resilience and Adaptation Project (Kaf-Adapt) aims to reduce the vulnerability of communities to water scarcity and promote adaptation through resilient livelihood development in the Kafue Flats. As an adaptation project, WWF Zambia and its partners intend to pioneer a unique and holistic approach towards the management of natural resources within the Kafue flats as well enhancing the capacity of communities to cope against the effects of climate change.

The project is expected to be implemented over a 5-year period with WWF Zambia being the lead implementing organisation for this project with increased collaboration with the Government of the Republic of Zambia (GRZ) through the 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-Adapt 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 metre 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-Adapt 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-Adapt 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 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 the PF is to ensure participation of Project Affected Peoples, and to ensure they 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 Green Economy and Environment. 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-Adapt project.

Vulnerability: Major vulnerable groups in both areas include women (widows, pregnant women) disabled, youth, children (including orphans), poor households, female headed households and elderly persons. 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 reveals impacts that may result from project activities, community consultations should be organised 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 marginalised 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 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 Agricultural Policy, 2012-2030, 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. Hazardous Waste Management Regulations, 2001
5. Water Pollution Control Regulations, 1993
6. The Waste Management (Licensing of Transporters of Wastes and Waste Disposal Sites) Regulations, 1993
7. The Air Pollution Control (Licensing and Emissions Standards) Regulations, 1996:
8. The Agricultural Lands Act of 1960
9. The Agriculture, Fertilisers and Feeds Act
10. The Factories Act
11. The Lands Act, 1995
12. Local Government Act
13. National Heritage Conservation Commission Act
14. The Natural Resources Conservation Act
15. The Noxious Weeds Act, 1953
16. The Plant Pests and Diseases Act, 1959
17. The Plant Variety and Seeds Act, 1968
18. Public Health Act
19. The Town and Country Planning Act
20. The Water Resources Management Act (Act no. 21 of 2011)
21. Forest Act of 2015,
22. The Zambia National REDD+ Strategy,
23. The Lands Act of 1995 (2012 – 2030),
24. The Natural Resources Conservation Act of 1970
25. 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. Elite Capture Risks: Designation and management of conservation areas risking elite capture, inequitable benefits; risks related to protection of natural habitat, land degradation and negative impacts on the natural habitat.
- iii. Conflict Sensitivity Risks: Land and resource tenure rights, preserved to be at risk during the land boundary demarcation and beacon setting, access to natural resources and community landscape management plans and conservation agreements risking being politicised without consultative process on land tenure rights.
- iv. Capacity to claim community rights Risks: Risks were identified with local communities affected by the project being unaware of their rights and/or lacking the capacity to claim them. These may be related to general human rights, gender and women rights as well as children rights.
- v. Community Health, Safety, and Security Risks: It was also observed that implementation of certain project activities related to processing of different products may pose various health, safety and security risks to the community in general.

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

### **Grievance Redress**

The KaF-Adapt 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. The Safeguards & Gender Officer together with the Monitoring & Evaluation Officer shall monitor the project grievance redress mechanism (GRM) and assess 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: WWF US GEF Agency as the project's implementing agency, Ministry of Green Economy and Environment as the executing agency and chair of the National Steering Committee, are responsible for overseeing 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

Climate change and biodiversity loss are two of the most significant challenges facing Sub-Saharan Africa (SSA) and Zambia has not been spared. The effects are more prevalent among rural communities because they depend mostly on local natural resources for survival. Thus, the onus is on government and development partners to develop and effectively implement interventions that are aimed at helping communities adapt to climate change.

It is against this background that World Wide Fund for Nature United States (WWF-US) as a Global Environment Facility (GEF) Agency is supporting the Government of Zambia, World Wide Fund for Nature Zambia (WWF Zambia) and the International Crane Foundation (ICF) to develop the Kafue Flats Climate Resilience and Adaptation Project (or “KaF-Adapt”), to be funded through the Least Developed Countries Fund (LDCF). The project will be presented to GEF for endorsement by the Chief Executive Officer (CEO) as part of the Eighth Replenishment Cycle (GEF-8). 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.

The Kafue Flats Climate Resilience and Adaptation Project (Kaf-Adapt) aims to reduce the vulnerability of communities to water scarcity and promote adaptation through resilient livelihood development in the Kafue Flats. As an adaptation project, WWF Zambia and its partners intend to pioneer a unique and holistic approach towards the management of natural resources within the Kafue flats as well as enhancing the capacity of communities to cope against the effects of climate change.

The proposed executing structure for Kaf-Adapt (Figure 1) includes WWF as the GEF Agency, the Ministry of Green Economy and Environment as Lead Executing Agency, with WWF Zambia Country Office (WWF ZCO), a program office of WWF International) providing limited 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, WWF-ZCO will sub-grant to project delivery partners, including the International Crane Foundation (with whom DNPW and WWF have a 20-year agreement for collaborative management of the Kafue Flats).

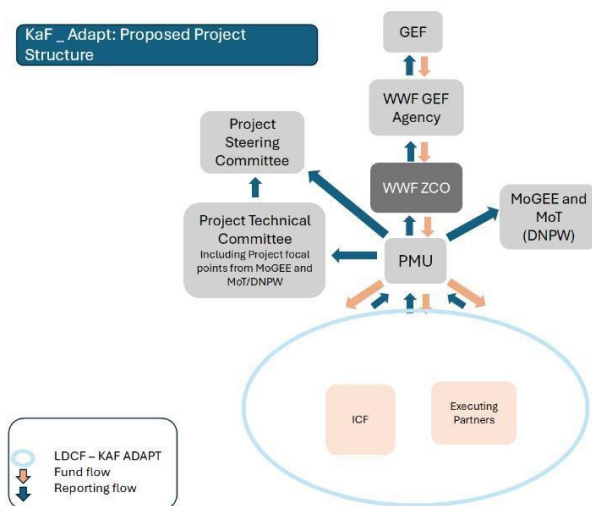


Figure 1: Proposed Kaf-Adapt Executing Structure.

In order to ensure environmental and social concerns are integrated into project design documents (ProDoc), safeguards form an integral part of the project activities. While 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).

The focus is to avoid (or minimize) adverse environmental and social impacts, and to enhance positive impacts of the project.

**The principles and procedures of the ESMF/PF apply to project activities funded through the GEF.**

The anticipated adverse environmental and social impact on the communities that reside within the project affected areas are site specific, reversible and can be mitigated. Thus, KaF-Adapt is classified as “**Category B project**” under the WWF environmental and social safeguards categorizations.

### ***1.2 Significance of the ESMF***

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 instrument decision support tool and guide to inform the Environmental and Social Safeguards Screening, Environmental and Social Mitigation Plan (ESMP) 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-Adapt project proposed initiatives and activities are compliant with the Zambian government and WWF's Environmental and Social Safeguards Framework guidelines.

### ***1.3 Rationale of the ESMF***

The ESMF shall analyse and facilitate the compliance of relevant national environmental and social policies and WWF's Environmental and Social Safeguards Framework, as detailed in the Environment and Social Integrated Policies and Procedures (SIPP) in a coherent manner. It will analyse the potential negative impacts of the project and provide mitigation actions and identify opportunities to enhance the positive impacts of KaF-Adapt, which will in turn benefit the targeted communities and project outcomes.

The ESMF shall identify and establish procedures and methodologies for the environmental and social analyses, review, approval and implementation of various activities. It will specify roles and responsibilities as well as outline the necessary reporting procedures, for managing and monitoring environmental and social concerns related to project investments. It will identify the necessary training, capacity building and technical assistance to ensure the implementation of its provisions to be incorporated in the capacity building KaF-Adapt activities.

### ***1.4 Objectives of the ESMF***

The objective of the ESMF is to propose mitigation measures identified during the screening and due diligence visits to and to propose mitigation measures for any potential negative social and environmental impacts triggered by the projects. Specific objectives include the following:

1. Carry out a preliminary identification of the positive and negative social and environmental impacts and risks associated with the implementation of the project;
2. Outline the legal and regulatory framework that is relevant to project implementation;
3. Specify appropriate roles and responsibilities of actors and parties involved in the ESMF implementation;
4. Propose a set of preliminary recommendations and measures to mitigate negative impacts and enhance positive impacts;
5. Develop a screening and assessment methodology for potential activities, that will allow an environmental/ social risk classification and the identification of appropriate safeguards instruments;

6. Set out procedures to establish mechanisms to monitor the implementation and efficacy of the proposed mitigation measures; and
7. Outline requirements related to disclosure, grievance redress, capacity building activities and budget required for the implementation of the ESMF.

### 1.5 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. 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

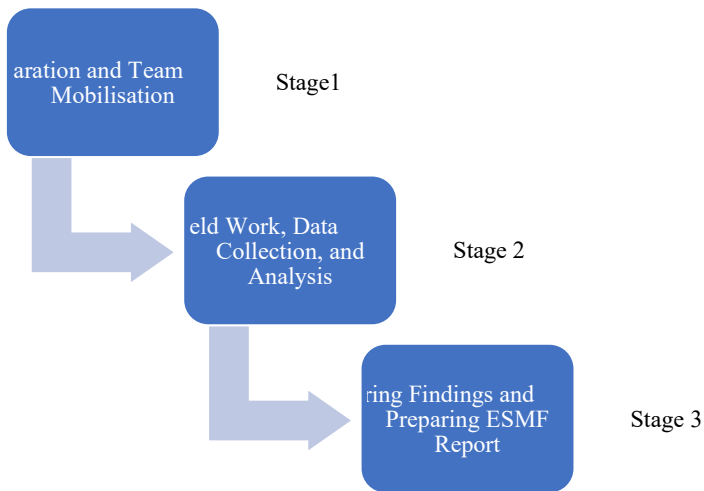


Figure 2: Stages of ESMF Preparation.

### ***1.6 The ESMF Report Structure***

This report follows the standard WWF ESMF structure which includes all preliminary sections including the executive summary. Thereafter, the outline continues in the following manner:

1. Introduction
2. Project Description
3. Project Area Profiles
4. Environmental and Social Policies, Regulations and Guidelines
5. Institutional Arrangements
6. Anticipated Environmental and Social Impacts and Mitigation Measures
7. Procedures for the Identification and Management of Environmental and Social Impacts
8. Guidelines for the Environmental and Social Mitigation Plan
9. Process Framework (PF)
10. Grievance Redress
11. Capacity Building
12. Disclosure
13. Monitoring
14. Budget

List of references appear as footnotes while annexes are added at the end of the document.

## 2. PROJECT DESCRIPTION

### 2.1 Project Components

The Kafue Flats Climate Resilience and Adaptation Project (KaF-Adapt) will be implemented in the Lower Kafue Sub-Catchment area, with targeted activities in the Kafue Flats Game Management Area (GMA) and is expected to cover an area of approximately 1,398,600 hectares. Project success over the next 5 years will lay the foundation for expansion of these adaptation activities and innovations to surrounding areas as well as providing various lessons for replication of similar projects in other landscapes. The main objective of the KaF-Adapt project is to reduce vulnerability of communities to water scarcity and promote adaptation through resilient livelihood development in the Kafue Flats.

The project will consist of an array of specific interventions as part of an integrated landscape management strategy that will conserve biodiversity as well as enhance resilience across the project area. Specifically, the KaF-Adapt project has the following main components, corresponding outcomes and outputs as well as activities:

#### Component 1: Enabling environment for climate change adaptation in Kafue Flats

- Outcome 1.1: Increased community awareness and empowerment on climate change adaptation and landscape management
  - Output 1.1.1: Increased community awareness and empowerment on climate change and adaptation solutions
  - Output 1.1.2: Mainstreaming adaptation solutions into district and landscape management plans

Commented [1]: I don't think we need this level of detail, as it's all in the CER

#### Component 2: Water security and holistic rangeland management

- Outcome 2.1: Improved access to water supply for community use and livestock in targeted chiefdoms
  - Output 2.1.1: Solar-powered sustainable boreholes and water facilities for communities and livestock
  - Output 2.1.2: In-field rainwater harvesting in drought-vulnerable communities
  - Output 2.1.3: Renovation of dams, and construction of check dams on seasonal rivers to enhance water availability, infiltration and flood control
- Outcome 2.2: Livestock farmers able to cope with climate change through enhanced pasture management
  - Output 2.2.1: Establish and strengthened natural resource management committees and vision for holistic, climate-resilient livestock farming in Kafue Flats
  - Output 2.2.2: Capacity development with Livestock farmers for climate-adaptive holistic rangeland management, incorporating traditional knowledge
  - Output 2.2.3: Training and technical assistance to grow fodder grass and reseed grasslands

#### Component 3: Climate resilient livelihoods and value chains in Kafue Flats GMA

- Outcome 3.1: Enhanced resilience through new climate-resilient livelihoods
  - Output 3.1.1: Empowerment of women's cooperatives to build new climate-adaptive micro-enterprises

- Output 3.1.2: Development of livestock-based value addition enterprises for climate resilience

**Component 4. Monitoring, evaluation, knowledge and learning**

- Outcome 4.1: Climate change impacts and resilience monitored
  - Output 4.1.1: Interviews and consultation on evolving climate change impacts conducted
  - Output 4.1.2: Participatory monitoring of key indicators of resilience to climate change
- Outcome 4.2: Learning fed into M&E and adaptive management
  - Output 4.2.1: Capturing lessons learnt and facilitating knowledge exchanges between communities
  - Output 4.2.4: Effective M&E system including gender monitoring with data collection, reflection and timely reporting for result-based decision-making and adaptive management

### 3. PROJECT AREA PROFILES

#### 3.1 Description of the Kafue Landscape

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 metre 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 World Wide Fund for Nature (WWF) Kafue Flats Climate Resilience and Adaptation Project (KaF-Adapt) will be developed and implemented in the Kafue Flats of Zambia (see Figure 2 below) 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.

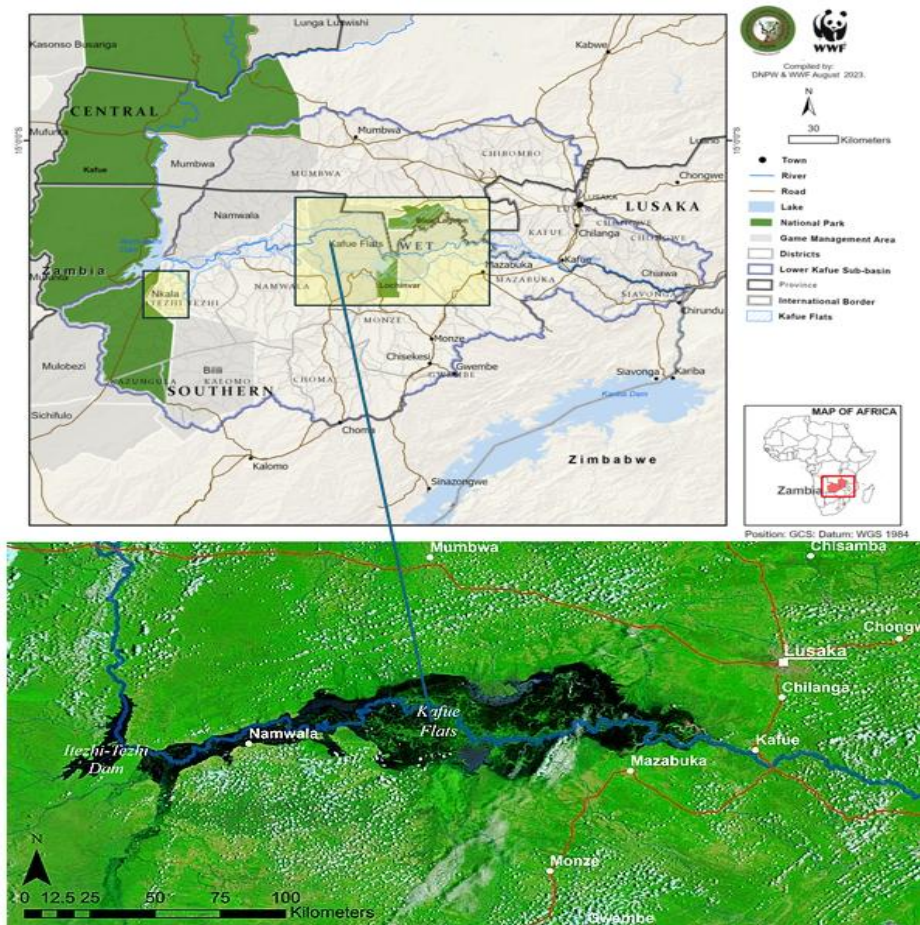


Figure 3: The Kafue Flats.

### 3.2 Project Area Context

#### 3.2.1 Environmental Context

The project landscape is the Kafue Flats, an area of 1,398,600 hectares in total with approximately 650,000 hectares being a flat, low-lying natural floodplain. The Kafue Flats is a wetland habitat of significant international importance for its socio-economic and biodiversity values, supporting a wide range of flora and fauna, including numerous bird and fish species, and also supporting cattle grazing, floodplain agriculture and traditional fisheries. The biological diversity of the Kafue Flats can largely be attributed to the diversity and complexity of habitats, comprising the main river channel, lagoons, ox-bow lakes, cut-off channel remnants, marshes, levees and grassed floodplain flats.

The Kafue Flats has been internationally recognized as a major wetland resource in ecological terms, home to the endemic semi-aquatic Antelope, the Kafue Lechwe (*Kobus lechwe kafuensis*), approximately 25% of the total global population of the endangered Wattled Crane (*Bugeranus carunculatus*), and with more than 470 bird species occurring regularly (including the endangered Grey Crowned Crane). The Flats have been designated as a UNESCO Biosphere Reserve since 2022<sup>1</sup> as well as a Ramsar Wetland of International Importance since 2007<sup>2</sup>.

The 225 km-long and 60 km-wide floodplain surrounds the lower stretch of the great Kafue River between the Itezhi-tezhi Dam and the Kafue Gorge Dam with the Upper and Lower power stations used for producing 50% of Zambia’s hydropower. The natural flooding regime, which is crucial for ecological processes and the overall health of the wetland, has been altered since the 1970s by the damming of the river. Water is held back at the top dam and released in a manner that prioritises the needs of hydropower production at the lower dam, resulting in reduced wet season flows, and increased dry season flows. In addition, some seasonal wetland areas have become permanently inundated, encouraging the spread of woody invasive plants, such as *Mimosa pigra* (wetter areas) and *Dichrostachys cinerea* (drier margins), at the expense of the natural grasslands that were important habitat and food for wildlife.



Figure 4: The Kafue Flats and Dams.

#### 3.1.2 Socio-cultural Context

Census data from 2022<sup>3</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:

<sup>1</sup> <https://www.unesco.org/en/articles/unesco-designates-11-new-biosphere-reserves>

<sup>2</sup> <https://rsis.ramsar.org/rsi/530>

<sup>3</sup> <https://www.zamstats.gov.zm/>

**Table 1: 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
<b>TOTAL</b>		<b>1,225,277</b>

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. 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.

**Table 2: Kafue Flats Ethnic Composition.**

Chief and Chiefdom	People	District/s into which chiefdom falls	Province	GMA in which land is included
Muwezwa	Ila	Itezhi-tezhi	Central	Kafue Flats
Musungwa	Ila	Itezhi-tezhi	Central	Nkala
Shezongo	Ila	Itezhi-tezhi	Central	Nkala
Shakumbila	Sala	Mumbwa & Shibuyunji	Central	Kafue Flats
Mwanachingwala	Tonga	Mazabuka	Southern	Kafue Flats
Choongo	Tonga	Monze	Southern	Kafue Flats
Hamusonde	Tonga	Monze	Southern	Kafue Flats
Mungaila	Ila	Namwala	Southern	Kafue Flats
Nalubamba	Ila	Namwala	Southern	Kafue Flats

### 3.1.3 Socio-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 to 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.**

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.

### *3.1.4 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 (Lochinvar National Park) with community consultations. Although the National Park areas in the landscape (i.e. Blue Lagoon and Lochinvar) 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. However, 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 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 centre. 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 receive 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.

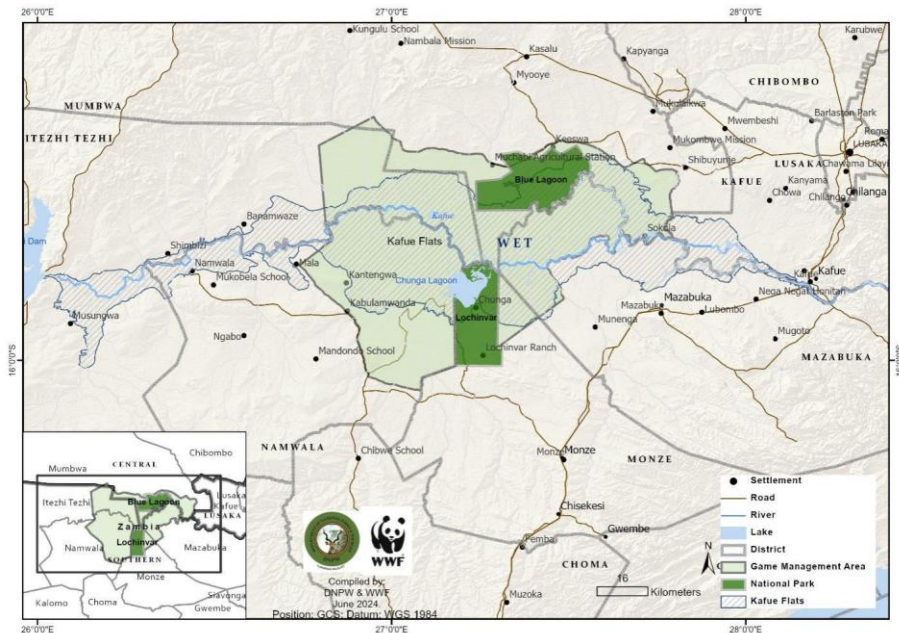


Figure 6: Project Area.

### 3.3 Key Environmental Issues in the Landscape

There are various environmental issues affecting the landscape. The major ones include deforestation and wildlife habitat loss; illegal hunting (poaching); overfishing; uncontrolled wildfires, water pollution; land degradation, rapid spread of invasive species, conflicts over access to common resources, human-wildlife conflict, and increasing impacts of climate change.

The increasing demand for water resources for sugarcane production, small-scale mining, industrial use and power generation are contributing to increased water contamination arising from discharge of effluent into the river system.

#### Biodiversity Loss

The Kafue Lechwe, which is an endemic species to the landscape, is threatened with depletion due to rampant illegal hunting, small-scale mining activities and spread of the *Mimosa pigra*.

#### Environmental Degradation

Water pollution in the Kafue River and other tributaries such as the Kaleya and Magoye is a common environmental problem due to discharge of effluent from the sugar production, illicit *Kachasu* brewing and other industrial activities such as fertiliser manufacturing. Water pollution reduces water quality which affects fishing activities in the nearby communities such as Shimungalu in Mazabuka, among many other communities.

The industrial activities in some towns in the landscape such as the Kafue Town which hosts steel, fertiliser and chemical plants are a source of air pollution.

Sand mining near the Kafue River for use in construction in urban areas is common in the landscape. This practice causes land degradation. In addition, gypsum mining in the Lochinvar National Park was also said to cause noise pollution that affects the Lechwes in the area.

#### *Rapid Spread of Invasive Species*

The landscape is facing rapid spread of the invasive *mimosa pigra* plant, which is reducing the grazing area available for wildlife. WWF and ICF are collaborating to control the spread of this plant in the Kafue Flats.

#### *Deforestation and Habitat Loss*

Habitat loss in the National parks (Lochinvar and Blue Lagoon) has continued to be a serious problem due to wide-spread human encroachment. Surrounding communities have continued to illegally enter the parks to graze their livestock, to produce charcoal, to fish and creating permanent fishing settlements, which are also sources of destructive late fires. The fishing settlements or camps have been expanding over time causing a lot of ecological damage to the wildlife habitats. The surrounding communities encroach the park to also harvest some hard wood tree species (i.e. *mopane*) for construction purposes. Migration of people from Southern province northwards to areas surrounding the Kafue National park is also associated with forest clearance as the migrant families create new crop fields and produce charcoal, which causes massive deforestation. The practice of Chitemene /Shifting Cultivation methods in subsistence farming is particularly concerning as this can be destructive in ecologically sensitive areas such the GMAs. Land allocation by Traditional Leaders in the periphery areas of the National parks with unclearly defined park boundaries contribute to increased human encroachment and habitat loss. For example, the Blue Lagoon National Park has no proper physical land boundary demarcation therefore, creates opportunity for encroachment and challenges for law enforcement. Efforts to put beacons had started but were not completed due to disagreements with the community. Evidence of human encroachment and alteration of the natural habitat for wildlife coupled with the presence of domestic livestock in the National Parks are diminishing the park's aesthetic value for tourism.

#### *Siltation of Natural Lagoons*

Siltation of natural lagoons has continued to reduce the water holding capacity of some smaller natural lagoons, which are important habitats for birds. This is being caused by soil erosion due to loosening of soil around the lagoons by livestock and wild animals that come to drink water from the lagoons. This situation is negatively affecting activities of waterfowl birds that depend on these lagoons for feeding and breeding.

#### *Conflicts over access to common resources*

There are conflicts regarding access to common resources such as water areas or river frontage that have been fenced off and some rich fishing areas. These conflicts are largely between local communities and investors and fishermen, respectively. For example, the local people around the Blue Lagoon feel they are not benefiting from fishing activities which are predominantly done by people from other parts of the country.

#### *Overfishing and illegal Fishing*

The Kafue lower landscape is an important fishery area which has continued to experience overfishing due to increasing population, high poverty levels and unemployment in the landscape. Illegal fishing contributes to overfishing. Illegal fishermen use illegal fishing gear and are unregulated therefore, causing overfishing. The mushrooming fishing camps in the National Parks are contributing to this problem. The lack of powered water transport makes law enforcement patrols to control illegal fishing activities a challenge during the rainy season as most parts of the landscape including the main and trunk roads are flooded.

### *Human-wildlife conflicts*

Human-wildlife conflicts are a common feature in this landscape especially involving hippos and fishermen; elephants destroying crop fields and water infrastructure, domestic livestock attacked by lions and crocodiles attacking humans in the rivers. These conflicts occur both in protected areas and in open areas adjacent to protected areas. The impacts of climate change and removal of the cordon line around the Kafue National Park that existed between 1964 and 1991 are contributing to increased Human-Wildlife Conflicts (HWCs).

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

### ***4.1 Applicable National Policies, Rules, and Regulations***

The ESMF proposes procedures that are practical and implementable. This relates to the larger purpose of the Project, which is to maintain a clear and committed focus on building district, community and stakeholder commitment to the needs of improved environmental management and social welfare within the KaF-Adapt project. This ESSF is therefore a methodology designed to streamline appropriate steps that enhance environmental and social planning impacts in the Kaf-Adapt project. Most specifically, the ESMF seeks to incorporate underlying principles of land, water and natural resource management, as well as lessons and experiences from work currently in practice in the project area that will enhance the level of cooperation among community stakeholders to support improved protected area management.

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 climate change adaptation and the most relevant are listed and explained below.

#### *4.1.1 Vision 2030*

Vision 2030 is Zambia's first written long-term plan, expressing Zambians' aspirations to become "A Prosperous Middle Income Nation by 2030" by achieving certain socio-economic development objectives:

- To attain and sustain annual real economic growth rates of between 6 and 10 percent;
- To attain and maintain a moderate inflation rate of 5 percent;
- To decelerate the annual population growth rate from its 2005 rate of 2.9 percent to a rate of less than 1.0 percent over the next 25 years;
- To reduce national poverty head count to less than 20 percent of the population;
- To reduce income inequalities measured by a Gini coefficient of less than 40; and
- To provide secure access to safe potable water sources and improved sanitation facilities to 100 percent of the population in both urban and rural areas.

The Vision 2030 envisages the gradual transformation of the structure of the economy from an agricultural based (primary) to an industrial based (secondary) economy. Analysis of development trends in advanced and middle-income countries shows that economic development entails a progressive migration of labour from agriculture (primary) into industrial (secondary) and finally into services (tertiary) sectors. A key to this process is the sustainable management of various natural resources and the conservation of biodiversity which is critical for the development of various sectors.

The Vision has been operationalized through five year development plans, currently the Eighth National Development Plan (2022-2026).

#### 4.1.2 Eighth National Development Plan, 2022-2026

The Eighth National Development Plan (8NDP) sets out Zambia's strategic direction, development priorities and implementation strategies for the period 2022 to 2026. The Plan is the fourth in the series of five-year national development plans (NDPs) towards actualisation of the National Vision 2030 in which Zambia aspires to become a prosperous middle-income nation. Just like the Seventh National Development Plan (7SNDP), the 8NDP departs from sectoral-based planning to an integrated (multi-sectoral) development approach under the theme "Socio-economic Transformation for Improved Livelihoods". The integrated approach recognizes the multi-faceted and interlinked nature of sustainable development which calls for interventions to be tackled simultaneously through a coordinated approach to implementing development programmes. During the 8NDP period, the Government seeks to restore macroeconomic stability by raising real GDP growth as well as attaining fiscal and debt sustainability to improve the livelihoods of the Zambian people, especially the vulnerable. The Plan is a critical vehicle to support the attainment of Zambia's international and regional commitments under various frameworks, including in the last decade of action towards the realization of the Sustainable Development Goals (SDGs) and delivery on Africa We Want, espoused in the African Union Agenda 2063.

Achieving the goal of the 8NDP would only be possible through focusing on four (4) strategic development areas listed below:

Strategic Development Area 1: Economic Transformation and Job Creation

Strategic Development Area 2: Human and Social Development

Strategic Development Area 3: Environmental Sustainability

Strategic Development Area 4: Good Governance Environment

The environmental sector falls under the third strategic development area and is directly relevant to interventions under the KaF-Adapt project. The third strategic development area is expected to result into two (2) development outcomes namely, enhanced mitigation and adaptation to climate change as well as sustainable environment and natural resources management.

#### 4.1.3 National Agricultural Policy, 2012-2030

The Zambia National Agricultural Policy 2012-2030 is a cross-cutting policy whose vision is to develop a competitive and diversified agricultural sector driven by equitable and sustainable agricultural development. The policy seeks to make agriculture, forestry and fisheries more productive and sustainable. A sustainable increase in productivity shall be obtained through promoting environmentally friendly farming systems such as conservation farming, afforestation, the use of green manure and enterprise diversification for enhanced adaptation and resilience among smallholder farmers.

#### 4.1.4 National Policy on Environment (NPE), 2009

The NPE was designed to "create a comprehensive framework for effective natural resource utilisation and environmental conservation which is sensitive to the demands of sustainable development."

Specific Policy objectives are:

- To promote the sound protection and management of Zambia's environment and natural resources in their entirety, balancing the needs for social and economic development and environmental integrity to the maximum extent possible, while keeping adverse activities to the minimum;
- To manage the environment by linking together the activities, interests and perspectives of all groups, including the people, non-governmental organisations and government at both the central

and decentralised local levels;

- To accelerate environmentally and economically sustainable growth in order to improve the health, sustainable livelihoods, income and living conditions of the poor majority with greater equity and self-reliance;
- To ensure broadly-based environmental awareness and commitment to enforce environmental laws and to the promotion of environmental accountability;
- To build individual and institutional capacity to sustain the environment;
- To regulate and enforce environmental laws; and
- To promote the development of sustainable industrial and commercial processes having full regard for environmental integrity.

With specific reference to the Agricultural, Fisheries and Livestock Sectors, the NPE's overall objective is: "To promote environmentally sound agricultural development by ensuring sustainable crop and livestock production through ecologically appropriate production and management techniques, and appropriate legal and institutional framework for sustainable environmental management". Currently, the government is reviewing the policy with the view of improving it by taking into account the local, regional and global trends around climate change adaptation. Key stakeholders in the review process range from government, the private sector as well as a host of development organisations.

#### *4.1.5 National Adaptation Programme of Action on Climate Change (2007)*

Zambia developed its National Adaptation Programme of Action (NAPA) as a Least Developed Country party to the United Nations Framework Convention on Climate Change (UNFCCC) by identifying the 10 most urgent priorities for immediate adaptation interventions within the sectors of agriculture and food security (livestock, fisheries and crops), energy and water, human health, natural resources and wildlife, and forestry

For agriculture and food security, the main climatic threats that have an impact on livelihoods and adaptive capacity of vulnerable communities are:

- Excessive precipitation leading to water logging;
- Erosion ;
- Increased frequency of droughts;
- Shortening of the growing season; and
- Flash floods

The regeneration of forest resources are negatively impacted by drought and climatic changes that affect the resilience of forest vegetation types which could grossly affect income and welfare of the communities.

Some of the relevant adaptation measures, mostly relating to alleviating the impact of droughts, include:

- Adaptation of production methods
- Promotion of approaches that result in efficient use of water resources;
- Use of technologies for fertility improvement and moisture storage (including soil conservation measures); and
- Improve post-harvest storage and marketing of produce.

#### *4.1.6 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 minimise 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.

#### *4.1.7 National Policy on Climate Change (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.

#### *4.1.8 Second National Biodiversity and Action Plan (2015 - 2025)*

The NBSAP 2 provides a framework to guide work on biodiversity conservation in Zambia for the period 2015 to 2025 and seeks to ensure that the country's biodiversity is valued, conserved, restored and used sustainably. It will achieve this through the following strategies: a) addressing the underlying causes of biodiversity loss by mainstreaming biodiversity across government and society, b) reducing the direct pressures on biodiversity and promote sustainable use c) improve the status of biodiversity by safeguarding ecosystems, species and genetic diversity d) Enhance the benefits to all from biodiversity and ecosystem services e) enhance implementation of NBSAP2 through participatory planning, knowledge management and capacity building. The NBSAP2 strategies align well with the overall goal of the KaF-Adapt project aimed at assisting communities to conserve natural resources within the Kafue Flats.

#### *4.1.9 Climate Change Bill – in draft form (2021)*

The government of Zambia is in the process of developing a climate change bill which will be aimed at addressing various climate change related issues including adaptation as well as mitigation.

The KaF-Adapt project activities may be subject to a range of other key regulatory instruments, and regulations which are listed below.

1. Environmental Management Act, 2011
2. Environmental Impact Assessment Regulations
3. Pesticides and Toxic Substances Regulations, 1994
4. Hazardous Waste Management Regulations, 2001
5. Water Pollution Control Regulations, 1993

6. The Waste Management (Licensing of Transporters of Wastes and Waste Disposal Sites) Regulations, 1993
7. Nationally Determined Contributions, 2016 and 2020
8. The Air Pollution Control (Licensing and Emissions Standards) Regulations, 1996:
9. The Agricultural Lands Act of 199
10. The Agriculture, (Fertilisers and Feeds) Act
11. The Factories Act
12. The Fisheries Act of 1974
13. The Lands Act, 1995
14. Local Government Act
15. National Heritage Conservation Commission Act
16. The Natural Resources Conservation Act
17. The Noxious Weeds Act, 1953
18. The Plant Pests and Diseases Act, 1959
19. The Plant Variety and Seeds Act, 1968
20. Public Health Act
21. The Town and Country Planning Act
22. The Water Resources Management Act (Act no. 21 of 2011)
23. Forest Act of 2015,
24. The Zambia National REDD+ Strategy,
25. The Lands Act of 1995 (2012 – 2030),
26. The Natural Resources Conservation Act of 1970
27. The Tourism and Hospitality Act (2015)

Therefore, the aforesaid pieces of legislation are very cardinal in the provision of overarching guidance in the set-up, implementation and management of a host of climate change adaptation projects and/or programmes in Zambia such as the KaF-Adapt.

#### ***4.2 International and Regional Conventions***

Zambia is a party to a number of international and regional conventions aimed at addressing environmental and social concerns. Those relevant to KaF-Adapt's environmental and social setting will require compliance with, include but not limited to:

- United Nations Framework Convention on Climate Change;
- United Nations Convention on Biological Diversity;
- International Plant Protection Convention for the prevention and control of the introduction and spread of pests of plants and plant products;
- Stockholm Convention on Persistent Organic pollutants;
- Convention on Wetlands of International Important especially as Waterfowl Habitat (RAMSAR Conventions);
- Statutes for the International Union for the Conservation of Nature and Natural Resources;
- International Plant Protection Convention;
- African Convention on the Conservation of Nature and Natural Resources;
- Vienna Convention of the Law for Treaties;
- Convention concerning the Protection of the World Cultural and Natural Heritage;
- Convention on International Trade in Endangered Species of Wild Fauna and Flora;
- Agreement on the Action Plan for the Environmentally Sound Management of the Common Zambezi River System.

### 4.3 WWF Environment and Social Safeguards Integrated Policies and Procedures

As elaborated at the beginning of the report, the Kaf-Adapt 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>4</sup>. Thus, Kaf-Adapt 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.
  - 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

<sup>4</sup> WWF-US (2017). Environment and Social Safeguards Integrated Policies and Procedures. WORLD WILDLIFE FUND, 1250 24th Street NW Washington, DC 20037-1193.

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.
  - This standard has not been triggered as the project will not be working with pesticides or potentially harmful eradication methods of invasive species.
- 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 food security is a potential issue in the project, as well as 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.

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

The Kafue Flats Climate Resilience and Adaptation Project Environmental and Social Safeguards Framework

be periodically updated and revised as need arises. The SIPP is mandatory for all Global Environmental Facility (GEF) projects. .

## 5. INSTITUTIONAL ARRANGEMENTS

### 5.1 Overview

This project, the Kafue Flats Climate Resilience and Adaptation Project (KaF-Adapt), to be funded through the Least Developed Countries Fund (LDCF), has been designed with its “sister” project, the Kafue Flats Wildlife, Habitat, Health and Livelihoods Project (KaF-Wild), to be funded through the GEF Trust Fund under the Wildlife Conservation for Development (WCD) Integrated Programme. The two projects have been planned and designed to complement each other and will be carried out in the same landscape during the same time frame. Close coordination will be achieved between the Ministry of Green Economy and Environment, who are responsible for the KaF-Adapt project, and the Department of National Parks and Wildlife (in the Ministry of Tourism), who are responsible for the KaF-Wild project. The two projects will share one single Project Steering Committee, with two Project Technical Committees underneath it, one for each project. The two projects will also share a Project Management Unit, with sharing of key staff posts to maximize cost-effectiveness.

The proposed executing structure for KaF-Adapt (Figure 7) includes WWF as the GEF Agency, the Ministry of Green Economy and Environment (MoGEE) as Lead Executing Agency, with WWF Zambia Country Office (WWF ZCO, a program office of WWF International) providing limited technical support for delivery of outputs, as well as financial and administrative management. On behalf of government, and with approval from the Project Steering Committee, WWF-ZCO will sub-grant to project delivery partners, including the International Crane Foundation (with whom DNPW and WWF have a 20-year agreement for collaborative management of the Kafue Flats).

MoGEE and WWF ZCO will carry out due diligence of potential NGO sub-grant partners, reviewing their past performance and profiles before deciding whether or not to contract them. The selected sub-grantee organizations will develop detailed work plans and budgets, to be reviewed and approved first by MoGEE and WWF ZCO, and then by the Project Steering Committee. Contracts will then be developed with each sub-grant partner, countersigned by the partner, WWF ZCO and MoGEE, and thereafter sub-grants can be made, through a system of quarterly advances.. Overall project structure is depicted in the figure below.

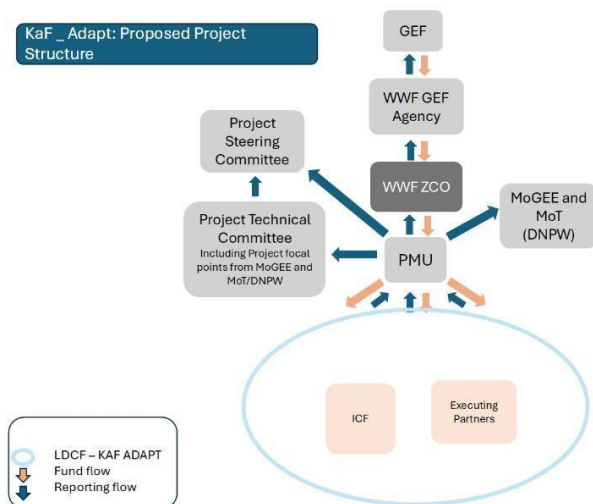


Figure 7: Proposed Project Structure.

### 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 Climate Officer will service the KaF-Adapt project.

The PMU will be responsible for: (i) preparing the overall project work plan; (ii) preparing annual budgets and work plans; (iii) managing project expenditure in line with these annual budgets and work-plans; (iv) recruiting additional partner institutions and specialist support services to implement outputs and activities; (v) ensuring technical quality of products, outputs and deliverables; (vi) producing quarterly expenditure and cash advance requests from project partners; (vii) reporting to the Project Technical Committee (PTC), Project Steering Committee (PSC) and the WWF GEF Agency on project delivery and impact via Progress Reports; and (viii) liaising and working closely with all partner institutions to link the project with complementary national, regional and local programs and initiatives.

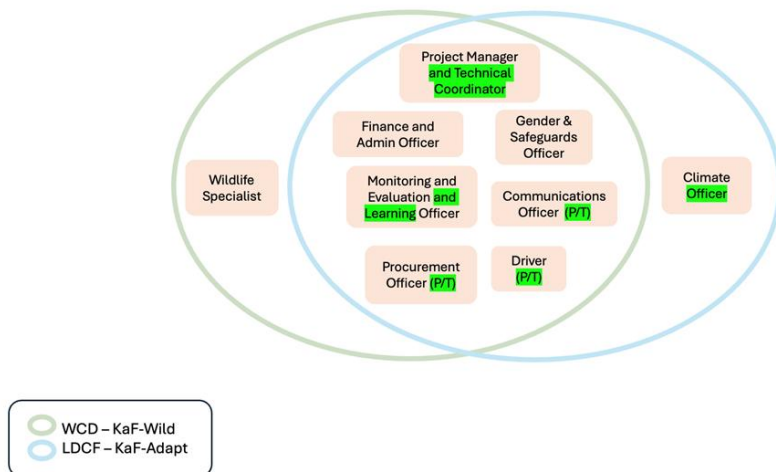


Figure 8: Proposed Project Management Unit Structure.

### 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. ESS standards, reporting obligations, technical, fiduciary, M&E); (iv) approve budget revisions, certify fund availability

and transfer funds; (v) organise the final evaluation and review project audits; and (vi) certify project operational and financial completion.

## **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, MoT through the Department of National Parks and Wildlife (DNPW), Kafue Flats Catchment Manager from WARMA and a focal point from WWF ZCO 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 PSC will include MoGEE Permanent Secretary (Chair), MoT Permanent Secretary (co-Chair), respective Provincial Permanent Secretaries, GEF Operational Focal Point, District Commissioners of relevant districts, Director General of WARMA, WWF Zambia Country Office Director, 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 will provide overall guidance and policy direction to the implementation of the project and 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 Green Economy and Environment (MGEE) is the lead executing agency under the Kaf-Adapt and will also be a key executing partner for WWF. The MGEE was created in 2021 and is tasked with the responsibility of promoting effective and sustainable use of the environment, while at the same time, facilitating support for adaptation to and mitigation of the effects of climate change through low carbon developments<sup>5</sup>. As can be observed, the Kaf-Adapts goal of reducing vulnerability of communities to water scarcity and promotion of adaptation through resilient livelihood development in the Kafue Flats aligns well with the ministry's mandate in the country.

Specifically, under this partnership, the MGEE 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*

The WWF Zambia Country Office (ZCO) will handle the financial administration and management on behalf of the Ministry of Green Economy and Environment and will provide technical support to the delivery of outputs under all the components. Financial and administrative project management: based on the consultations and assessments done for identifying the most appropriate institutions to undertake financial and administrative project management on behalf of MoGEE. WWF Zambia is the only agency willing, with the capacity and stake in the project, and with robust financial structures, procurement systems, policies and procedures that meet the GEF's minimum fiduciary standards, to fulfil this role.

---

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

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

WWF has already identified ICF as a key partner when it comes to delivery of key outputs related to natural resource protection and conservation. On the other hand, the organisation conducts consultations for the identification of potential sub-grant partners for execution and delivery of outputs related to climate resilient agriculture and livestock management and processing among others.

#### 5.2.6 WWF Zambia PMU Technical Support

The Grants Accountant will do financial management support for activities implemented by the PMU including budget development and monitoring, producing timely and quality reports for the WWF GEF Agency and reconciliation of activities and their close out. The staff will ensure activities are implemented in compliance with both WWF and GEF policies and requirements. The accountant will work closely with Sub-grantees to manage and monitor the sub-grants and ensure that efficient accounting and finance systems exist that will accord maximum support as well as act as a platform for providing sound financial information to the Project executors, implementers and donors.

The Kafue Flats Landscape Planning Advisor will provide support to the PMU to develop technical scopes of work, terms of reference, plans and partnerships to implement project outputs, with technical inputs to develop the land cover land use (LCLU) surveys, and ecological and socio-economic assessments, citizen science networks for monitoring river health, drafting of Nature Based Solutions concept notes, and to develop desired landscape scenarios and engage with the local government, traditional leaders and communities to negotiate a designed outcome. Support the PMU to design a roadmap to create the participatory landscape management plans (PLMPs) and support the drafting of the PLMPs. Facilitate and engage in strategic advocacy activities, representing the project on high governmental and traditional authority levels within the wider Kafue Flats Landscape; and provide comprehensive CBNRM (Community-Based Natural Resource Management) and social development guidance to the project on strengthening relationships, market-based incentives and community influence over the equitable and sustainable management of natural resources.

#### 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 Implementing Agency** (WWF US) with Overall responsibility for ensuring environmental safeguards are implemented.

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

**Project Steering Committee:**

Lead Executing Agency: MGEE

**Project Management Unit (PMU)**

- i. Responsible for designing and implementing ESMF, SEP and other safeguard 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.

- iv. Provision of safeguard reports to the Executing Agency
- v. Supervision of Safeguards & Gender Officer
- vi. Implementation of Grievance Redress Mechanism (GRM)
- vii. Disclosure of safeguard documents
- viii. Reporting on safeguards implementation and compliance to the PSC and WWF GEF Agency.

**Safeguards and Gender Officer**

- i. Overall responsibility for compliance with ESMF safeguards and ensuring project implementation meets Standards outlined in the ESMF and other annexed documents of this report
- 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/Catchment Management Expert
- 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. Ensure that consultations with communities are carried out in inclusive and participatory manner, and are well documented
- x. 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
- xi. Provide oversight and coordinate the socio-economic surveys to identify project affected people
- xii. Identify and liaise with all the stakeholders involved in environment and social related issues in the project
- xiii. 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.
- xiv. Carry out field visits as necessary to monitor the implementation of project activities and their compliance with safeguard requirements
- xv. Provide capacity support to the PMU and other project related stakeholders on environmental and social issues
- xvi. Provide execution assistance and advise the project manager as necessary on safeguards related issues including adaptive management.
- xvii. 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**

The Kafue Flats Climate Resilience and Adaptation Project (KaF-Adapt) is still at the planning stage and the specifics of some activities will only be determined during implementation. However, there are various broad activities the project will support in which potential adverse impacts could arise and a functioning ESMF will provide tools to address mitigation measures. In general, the project will actively enhance the overall positive impact on conservation and the welfare of local residents associated with the project.

Therefore, this Environmental and Social Management Framework (ESMF) provides safeguard actions aimed at mitigating identified social and environmental risks associated with the Kaf-Adapt activities. 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 takes into account 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 3: 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
Component 1: Enabling environment for climate change adaptation in Kafue Flats					
Outcome 1.1: Increased community awareness and empowerment on climate change adaptation and landscape management					
Output 1.1.1: Improved understanding of climate challenges and local knowledge to inform adaptation solutions	<p>Community awareness meetings may leave out vulnerable groups such as women, youths and the disabled among others</p> <p>It is possible that local community traditional knowledge may be used without permission and stolen by external actors</p>	<p>Development and full implementation of SEP with deliberate, specific social inclusion strategies</p> <p>Ensuring that local communities are engaged thoroughly and permission is received for use of traditional knowledge on matters related to climate change adaptation. Local communities should also be credited and or compensated as is decided through a community consultation process for the traditional knowledge that maybe</p>	Community groups, women and youth groups	<p>i. Community awareness meeting reports</p> <p>ii. Meeting minutes</p> <p>iii. Attendance registers</p> <p>iv. Consent documents with communities related to traditional knowledge</p> <p>v. updated SEP, as relevant</p>	PMU, WWF ZCO

The Kafue Flats Climate Resilience and Adaptation Project Environmental and Social Safeguards Framework

Proposed Project Output of Key Concern	Potential Risks and Adverse Impacts	Mitigation Measures	Targeted Group	Means of verification	Responsible Party
		adopted or used by the project			
Output 1.1.2: Mainstreaming adaptation solutions into district and landscape management plans	Implementation of IDPs may restrict access to resources such water, farming lands and grazing lands	Inclusive design and development of IDPs and consent of affected groups/communities for any access restriction that may occur through the development of a Livelihood Restoration Plan	Pastoralists, farmers, communities	<ul style="list-style-type: none"> <li>i. Livelihood Restoration Plans</li> <li>ii. Documentation of consultation and consent process</li> <li>iii. Agreements with local village Chiefs, as appropriate</li> <li>iv. IDPs</li> <li>v. Meeting Minutes</li> <li>vi. Attendance Registers</li> </ul>	PMU
Component 2: Water security and holistic rangeland management					
Outcome 2.1: Improved access to water supply for community use and livestock in targeted chiefdoms					
Output 2.1.1: Solar-powered sustainable boreholes and water facilities for communities and livestock	Drilling of many boreholes in an area may negatively affect the underground water resource (aquifer)	Limiting number of boreholes to be set up to an optimal level	Communities, including specifically views of women and men	<ul style="list-style-type: none"> <li>i. Submission of EIA for review and approval by GEF Agency</li> <li>ii. Project implementation reports</li> </ul>	PMU

The Kafue Flats Climate Resilience and Adaptation Project Environmental and Social Safeguards Framework

Proposed Project Output of Key Concern	Potential Risks and Adverse Impacts	Mitigation Measures	Targeted Group	Means of verification	Responsible Party
	Placement of boreholes doesn't align with community needs, or the needs of both women and men	<p>Creation of an EIA by qualified professional to ensure number of boreholes is within carrying capacity of land</p> <p>Community consultations, including gender component to assess borehole locations.</p>	Environment	iii. GAP review to ensure alignment	
Output 2.1.2: In-field rainwater harvesting in drought-vulnerable communities	<p>If not properly sealed, the storages for water harvesting may create breeding grounds for mosquitoes and other disease-causing insects</p> <p>Rainwater harvesting can lead to soil erosion</p>	<p>Ensuring that all water storage facilities are properly sealed off</p> <p>Ensuring that proper water harvesting structures are created that allow water to be harvested before it hits the ground.</p>	Pastoralists, farmers, communities	<p>i. Meeting Minutes</p> <p>ii. Attendance Registers</p>	PMU

The Kafue Flats Climate Resilience and Adaptation Project Environmental and Social Safeguards Framework

Proposed Project Output of Key Concern	Potential Risks and Adverse Impacts	Mitigation Measures	Targeted Group	Means of verification	Responsible Party
<p>Output 2.1.3: Renovation of dams, and construction of check dams on seasonal rivers to enhance water availability, infiltration and flood control</p>	<p>Dams on running rivers and/or streams may affect the normal flow of the river/stream and negatively impact on aquatic life</p> <p>Check dams can create areas of standing water that harbour insect-borne diseases such as malaria and dengue.</p> <p>Placement of new check dams could negatively affect lands or livelihood access of communities</p>	<p>Following strict guidelines in establishment of dams which are climate/environmentally sensitive</p> <p>Proven mosquito mitigation measures to reduce the number in standing water</p> <p>Stakeholder consultations that work with both women and men to ensure location of any check dams will not impact their access or use of rivers or water.</p>	<p>Communities</p>	<p>i. Project implementation reports</p> <p>ii. Environmental Impact Assessments</p> <p>iii. Community consultation reports</p> <p>iv. Livelihood Restoration Plans as relevant</p>	<p>PMU</p>
<p>Outcome 2.2: Livestock farmers able to cope with climate change through enhanced pasture management</p>					

The Kafue Flats Climate Resilience and Adaptation Project Environmental and Social Safeguards Framework

Proposed Project Output of Key Concern	Potential Risks and Adverse Impacts	Mitigation Measures	Targeted Group	Means of verification	Responsible Party
<p>Output 2.2.1: Establish and strengthened natural resource management committees and vision for holistic, climate-resilient livestock farming in Kafue Flats</p>	<p>Trainings may leave out women, especially if the management committees are not gender balanced.</p> <p>Trainers may not be fully knowledgeable and equipped in matters related to livestock farming and climate resilience.</p>	<p>Ensuring that the management committees have equal representation from relevant genders.</p> <p>Ensuring that only qualified and well-trained personnel from the Ministry of Livestock, Ministry of Agriculture deliver the trainings.</p>	<p>Natural Resource Management Groups</p>	<p>i. Capacity building attendance registers</p> <p>ii. Project implementation reports</p>	<p>PMU, MGEE</p>

The Kafue Flats Climate Resilience and Adaptation Project Environmental and Social Safeguards Framework

Proposed Project Output of Key Concern	Potential Risks and Adverse Impacts	Mitigation Measures	Targeted Group	Means of verification	Responsible Party
<p>Output 2.2.2: Capacity development with Livestock farmers for climate-adaptive holistic rangeland management, incorporating traditional knowledge</p>	<p>Vulnerable community members such as women and youths maybe left out of these capacity building trainings</p> <p>Trainings may be conducted by personnel with no knowledge or certification in activities such as fire management</p> <p>Traditional Knowledge (TK) may be shared with others without the consent of the communities it belongs to</p>	<p>Development and full implementation of SEP with deliberate, specific social inclusion strategies</p> <p>Ensuring that only qualified and well-trained personnel from the Forestry Department and other government agencies lead the capacity building trainings in collaboration with WWF and communities.</p> <p>Community consultations and consent processes to determine how/if they wish to share TK</p>	<p>Pastoralists, farmers, communities</p>	<p>i. Capacity building attendance registers</p> <p>ii. Project implementation reports</p> <p>iii. Documentation of consent process with communities on use of TK</p>	<p>PMU, MGEE</p>

The Kafue Flats Climate Resilience and Adaptation Project Environmental and Social Safeguards Framework

Proposed Project Output of Key Concern	Potential Risks and Adverse Impacts	Mitigation Measures	Targeted Group	Means of verification	Responsible Party
Output 2.2.3: Training and technical assistance to grow fodder grass and reseed grasslands	This with wildlife may result in increased animal populations leading to competition for grazing land and water sources	Introduction of improved livestock management	Pastoralists, communities	i. Community meeting minutes and reports  ii. Livestock mitigation plans co-designed with relevant stakeholders and communities.	PMU
	Increased animal populations may lead to high disease incidences among animals and humans	Community awareness meetings and intersectoral approach to disease management  Provision of information on free or low-cost vaccination and veterinary services	Pastoralists, communities	i. Community meeting minutes and reports  ii. brochures or communication materials on vaccine and veterinary services	MFL
	May lead to restrictions to grazing land access among communities	Community awareness meetings and sustainable management of grazing areas that lead to the development of a Livelihood Restoration	Pastoralists, communities	i. Community meeting minutes and reports  ii. Livelihood Restoration Plans submitted to the GEF Agency for review and approval	PMU

The Kafue Flats Climate Resilience and Adaptation Project Environmental and Social Safeguards Framework

Proposed Project Output of Key Concern	Potential Risks and Adverse Impacts	Mitigation Measures	Targeted Group	Means of verification	Responsible Party
		Plan or Plans with the impacted communities.			
	These trainings may leave out vulnerable community members	Development and full implementation of SEP with deliberate, specific social inclusion strategies	Community groups, women and youth groups	i. Selection criteria for participation in trainings and communications materials for disbursement of information ii. Community awareness meeting reports iii. Meeting minutes iv. Attendance registers	PMU, WWF ZCO
	Reseeding grasslands may lead to invasive grass species that may wipe out the indigenous grass	Ensuring that local indigenous grass species are utilized for fodder and minimize introduction of foreign species, and ensure no invasive species are introduced	Pastoralists, communities, farmers	i. Community awareness meeting reports ii. Meeting minutes iii. Attendance registers iv. EMP that lists plan and species to be used.	PMU, MoA, MFL
Component 3: Climate resilient livelihoods and value chains in Kafue Flats GMA					

The Kafue Flats Climate Resilience and Adaptation Project Environmental and Social Safeguards Framework

Proposed Project Output of Key Concern	Potential Risks and Adverse Impacts	Mitigation Measures	Targeted Group	Means of verification	Responsible Party
Outcome 3.1: Enhanced resilience through new climate-resilient livelihoods					
Output 3.1.1: Empowerment of women's cooperatives to build new climate-adaptive micro-enterprises	Vulnerable groups such as the disabled and youths may be left out by the cooperatives and thus may not take part in the training.	Assessing the cooperatives to ensure they are inclusive at inception and throughout their lifetime	Women cooperatives and groups, communities	i. Community awareness meeting reports  ii. Meeting minutes iii. Attendance registers	PMU
Output 3.1.2: Development of livestock-based value addition enterprises for climate resilience	Value addition activities will lead to waste generation which may not be disposed of properly.	Ensuring that value addition canters operators are trained in sustainable waste disposal approaches	Pastoralists, Abattoir Operators	i. Project implementation reports	PMU, ZEMA, MFL
	Value addition may result in high income levels among cattle/business owners which may lead to risk behaviours leading to increased incidences of diseases such as HIV	Continued community awareness on HIV/STIs and prevention measures	Communities, Pastoralists, Business owners	i. Awareness meeting reports and attendance registers	PMU, MoH
Component 4: Monitoring, evaluation, knowledge and learning					
Outcome 4.1: Climate change impacts and resilience monitored					

The Kafue Flats Climate Resilience and Adaptation Project Environmental and Social Safeguards Framework

Proposed Project Output of Key Concern	Potential Risks and Adverse Impacts	Mitigation Measures	Targeted Group	Means of verification	Responsible Party
Output 4.1.1: Interviews and consultation on evolving climate change impacts conducted	Interviews and consultations may not capture voices from vulnerable community members	Development and full implementation of SEP with deliberate, specific social inclusion strategies	Women, Youth Groups	i. Stakeholder consultation reports and attendance registers	PMU
Output 4.1.2: Participatory monitoring of key indicators of resilience to climate change	Monitoring of indicators may focus on project outcomes and not cover community social and economic issues	Communities should be part of the project design including indicator development to cover salient community level issues	Communities	i. Stakeholder consultation reports and attendance registers	PMU
Outcome 4.2: Learning fed into M&E and adaptive management					

The Kafue Flats Climate Resilience and Adaptation Project Environmental and Social Safeguards Framework

Proposed Project Output of Key Concern	Potential Risks and Adverse Impacts	Mitigation Measures	Targeted Group	Means of verification	Responsible Party
<p>Output 4.2.1: Capturing lessons learnt and facilitating knowledge exchanges between communities</p> <p>Output 4.2.2: Effective M&amp;E system including gender monitoring with data collection, reflection and timely reporting for result-based decision-making and adaptive management</p>	<p>Lessons captured and knowledge exchange may leave out those from vulnerable community members</p> <p>The M&amp;E system may focus more on collecting quantitative data leaving out salient qualitative aspects especially those related to gender and social inclusion</p>	<p>Development and full implementation of SEP with deliberate, specific social inclusion strategies</p> <p>Development of robust M&amp;E system with Human Centered Designs with respect to data collection focusing on all salient aspects of the project including gender and social inclusion.</p>	<p>Women, Youth Groups</p> <p>Women, Youths, M&amp;E Officers and Data Collectors</p>	<p>i. Monitoring reports</p>	<p>PMU</p> <p>PMU</p>

## **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 & 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 2). 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 safeguard’s 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 Kenya 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 Management 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 should also outline 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). The processes and procedure for the development of the ESMP is explained in the next section.

## 8. GUIDELINES FOR THE ENVIRONMENTAL AND SOCIAL MANAGEMENT PLAN

### 8.1 Context

A project's Environmental and Social Management 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 or social impacts to acceptable levels. The plan includes compensatory measures or redrafting of activities if mitigation measures are not feasible, cost-effective, or sufficient.
- Identifies and summarizes all anticipated significant adverse environmental and social impacts (including those involving land acquisition, involuntary resettlement, labour management, etc).
- Provides linkage with any other mitigation plans (e.g., for involuntary resettlement, 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, MoGEE 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**

- **A concise 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 (location with a map, construction and/or operation processes, equipment to be used, site facilities and workers and their camps; bill of quantities if civic works involved, activity schedule).
- **Baseline environmental and social data:** key environmental information or measurements such as topography, land use and water uses, 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 Overview

A review of the preliminary high level project components reveals that development of Integrated Development Plans (IDPs), and other activities may include *livelihood access* restrictions (access to and usage of grazing areas, as well as access to and usage of irrigation water sources). Mitigation measures would include the following:

- Livelihood-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. The Safeguards & Gender Officer at PMU will undertake screening of all planned activities for likely access restrictions to local communities, with input from other relevant PMU staff. If the screening confirms and identifies HHs affected due to access restriction of natural resources, a social assessment (SA) process based on participatory consultations with affected peoples will be carried out.
- 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.

### 9.2 Process Framework Procedures

The development of the IDPs as part of this project may result in access restrictions 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 measures shall be agreed upon with 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.

Livelihood-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 Safeguards & Gender Officer at the PMU will undertake screening of all planned activities for likely access restrictions to local communities, with support from technical leads or others in the PMU as necessary. This will include both communities that reside in project-affected areas with formal title, and those that may lack formal 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 organised 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 marginalised 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 of 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 minimize any potential conflicts and grievances.

The Safeguards & Gender Officer, with support from the Project Manager, 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 will be designed should be provided in LRPs.

## 10. GRIEVANCE REDRESS

### 10.1 Overview

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.

### 10.2 The Objectives of Grievance Redress Mechanism

The Objectives of the grievance redress 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.

### 10.3 Project Level Grievance Redress 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.

### 10.4 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 marginalised 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 by KaF-Adapt.
2. Environmental and/or social damage/harm caused by projects financed or implemented (including those in progress) by KaF-Adapt.
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.

### **10.5 GRM Procedures**

The KaF-Adapt project will be administered by the PMU. 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 in order 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-Adapt 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-Adapt 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 grievances 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 GEF Secretariat.
6. Appeal: In the event that the parties are unsatisfied with the response provided by the GRM, he/she/they will be able to submit an appeal to the MGEE within 10 days from the date of submission.
7. Monitoring and evaluation: The Safeguards & Gender Officer will contribute to the 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 PSC 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-Adapt 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 GEF Agency or to the GEF Secretariat.

#### ***10.6 WWF GEF Agency and GEF Secretariat Grievance Mechanisms***

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>.

To submit directly to the GEF Secretariat, a grievant should use the following contact information:

Mr. Peter Lallas  
GEF Conflict Resolution Commissioner  
E-mail: [plallas@thegef.org](mailto:plallas@thegef.org)

Mailing Address:

Mr. Peter Lallas  
Global Environment Facility  
The World Bank Group, MSN N8-800  
1818 H Street, NW  
Washington, DC 20433-002

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

In order 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:

- i. Individual reference number
- ii. Name of the person submitting the complaint, question, or other feedback, address and/or contact information (unless the complaint has been submitted anonymously)
- iii. Details of the complaint or concern
- iv. Date that the complaint or concern was raised
- v. Name of person assigned to deal with the complaint (acknowledge to the complainant, investigate, propose resolutions, etc.)
- vi. 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
- vii. Date when proposed resolution was communicated to the complainant (unless anonymous)
- viii. Date when the complainant acknowledged, in writing if possible, being informed of the proposed resolution
- ix. Details of whether the complainant was satisfied with the resolution, and whether the complaint can be closed out

## 11. CAPACITY BUILDING

### 11.1 Overview

There are several stakeholders with the potential to directly or indirectly influence the outcomes of KaF-Adapt. 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, civil society organisations, and livestock and fisheries value chain players 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.

### 11.2 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.

Currently there is inadequate capacity within various relevant government ministries and agencies as well as partners such as MGEE, MFL, MoA, ZEMA, WARMA, DNPW and WWF ZCO among others to implement environmental and social requirements necessary to manage the potential environmental and social risks and impacts resulting from the proposed activities for KaF-Adapt.

The KaF-Adapt PMU will be responsible for coordination and synthesising all ESMF capacity building activities at the 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:

- National Steering Committee
- Project Technical Committee
- Project Management Unit
- Selected officials from MoGEE, MoA, MFL, WARMA, DNPW, ZEMA, WWF ZCO
- Concerned officers from international organisations viz. GEF and WWF US

The suggested areas of training are:

- Regulatory and institutional framework for addressing environmental and social issues in Zambia
- KaF-Adapt ESMF
- Understanding current practices in EIA in foreign aided projects in Zambia
- Integration of KaF-Adapt 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:

- 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-Adapt 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:

- Office bearers of District Council
- District Fisheries and Livestock Coordinators
- District Agricultural Coordinators (DACO)
- Senior Fisheries and Livestock Officers
- Senior Agricultural Officers
- Block Extension 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

#### **11.3 Training Requirements**

Successful implementation of the KaF-Adapt 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 improved livestock management, sustainable agriculture, sustainable fishing, effects of deforestation and soil erosion among others. The KaF-Adapt will have to factor in the overall costs for executing these trainings in the relevant provinces and districts.

**Table 4: Environmental and Social Training Plan.**

No.	TRAINING AWARENESS ACTIVITY	TARGET GROUP / TRAINER	MEANS OF VERIFICATION
1	<p><b>Environmental and Social Risks and Impacts of KaF-Adapt at National Level</b></p> <ul style="list-style-type: none"> <li>- KaF-Adapt and linkage to Safeguards policies</li> <li>- Typical issues</li> <li>- Mitigation requirements</li> <li>- Management plans</li> <li>- Monitoring requirements</li> <li>- Management review</li> <li>- Budgeting for E&amp;S risk management</li> </ul>	<ul style="list-style-type: none"> <li>• Senior officials from key ministries and agencies Other collaborating institutions - including implementing partners and sub-grantee NGOs.</li> </ul> <p>Trainers: private consultant, academicians, senior government expert.</p>	<ul style="list-style-type: none"> <li>• Participants list and quality of deliberations.</li> <li>• Approx. 50 participants</li> </ul>
2	<p><b>Environmental and Social Risks and Impacts of KaF-Adapt at Provincial and District Level:</b></p> <ul style="list-style-type: none"> <li>- Project Risks and Impacts</li> <li>- Mitigation Measures</li> <li>- Grievance</li> </ul>	<ul style="list-style-type: none"> <li>• Provincial and district coordinators/senior officials.</li> <li>• Extension workers in project impact areas.</li> <li>• Farmer associations</li> <li>• Entrepreneurs</li> <li>• Environmental and social consultants.</li> </ul>	<ul style="list-style-type: none"> <li>• Participants list and quality of deliberations.</li> <li>• Approx. 50 participants</li> </ul>

The Kafue Flats Climate Resilience and Adaptation Project Environmental and Social Safeguards Framework

No.	TRAINING AWARENESS ACTIVITY	TARGET GROUP / TRAINER	MEANS OF VERIFICATION
	-	<ul style="list-style-type: none"> <li>● Civic organisations: CRBs, VAGs committees</li> </ul> <p>Trainers: Safeguards &amp; Gender Officer.</p>	
3	<p><b>EIA for product processing</b></p> <ul style="list-style-type: none"> <li>● Identifying and assessing impacts</li> <li>● Mitigating risks such as biosafety, disposal of wastes, provision for emergency response</li> <li>● Examples from around the world of successful risk mitigation at enterprise level</li> <li>● Field visit</li> </ul>	<ul style="list-style-type: none"> <li>● <b>Participants in nature-based / climate-resilient enterprises</b></li> <li>● Women’s cooperatives</li> <li>● Local entrepreneur partners</li> <li>● Processors approved by KaF-Adapt</li> <li>● Environmental and social consultants</li> </ul> <p>Trainers: private consultant, and or PMU staff as appropriate.</p>	<ul style="list-style-type: none"> <li>● Participants list and quality of deliberations.</li> </ul> <p>Approx. 50 participants</p>
4	<p><b>Grievance Redress Mechanism</b></p> <ul style="list-style-type: none"> <li>- Lodging of complaints</li> <li>- Recording of complaints</li> </ul>	<ul style="list-style-type: none"> <li>● Office bearers of District Council</li> <li>● Farmers/Livestock/Fisheries</li> <li>● Community Resource Boards</li> <li>● Industry Associations</li> </ul>	<ul style="list-style-type: none"> <li>● Participants list and quality of deliberations.</li> <li>● Follow up email survey</li> <li>● Approx. 50 participants</li> </ul>

The Kafue Flats Climate Resilience and Adaptation Project Environmental and Social Safeguards Framework

No.	TRAINING AWARENESS ACTIVITY	TARGET GROUP / TRAINER	MEANS OF VERIFICATION
	<ul style="list-style-type: none"> <li>- Investigation procedure</li> <li>- Conflict resolution techniques</li> <li>- Handling court cases</li> </ul>	<ul style="list-style-type: none"> <li>● Key governmental officials</li> <li>● Local relevant business leaders</li> <li>● Law officers</li> <li>● Journalists/social media</li> <li>● Stakeholders and communities</li> </ul> <p>Trainers: PMU staff and Project Partners</p>	

## 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 MoGEE, 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.

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 and LRPs.

**Table 5: ESMF Related Documents Reporting Framework.**

<b>Documents to be Disclosed/Reported</b>	<b>Frequency</b>	<b>Where (disclosed)/To whom (reporting)</b>
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 MoGEE and WWF. Copies at the PMU Office (disclosure)
Environmental and Social Management Plans (ESMP)	Must remain on the website and other disclosure locations throughout the project period	On the website of MoGEE and WWF. 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 MoGEE and WWF. Copies at the PMU Office and in appropriate locations in all project sites. (disclosure)

## 13. MONITORING

### 13.1 Overview

The environmental and social effects of implementing the KaF-Adapt 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 procured 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 Monitoring and Evaluation 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 will be fully responsible for the safeguard compliance of all external contractors, sub-grantees and service providers employed as part of the project with the safeguards requirements outlined in the ESMF/PF.

**Monitoring at the GEF Implementing agency level.** The MoGEE as the Executing Agency, 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 of project affected people, will be fully covered from the Kafue Flats Climate Resilience and Adaptation project budget. 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 a Safeguards & Gender Officer to work with the PMU for the entire duration of the project.

Budget for travel costs and workshops and meetings for safeguards monitoring will be included in the overall monitoring and evaluation budget.

### ANNEX I: STAKEHOLDERS

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

**Table 6: List of Stakeholders Engaged.**

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	
	Hamusonde	Improved livestock and rangeland management.
	Nalubamba	
	Choongo	
	Mungaila	Improved water security for communities, livestock and wildlife.
	Mwanachingwala	
	Musungwa	Reduced zoonotic spillover Improvement in human wildlife co-existence Development of a strategy2
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

The Kafue Flats Climate Resilience and Adaptation Project Environmental and Social Safeguards Framework

		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

**ANNEX II: SAFEGUARDS ELIGIBILITY and IMPACT 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?			
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 to the physical displacement and voluntary or involuntary relocation of people, including non-titled and migrant people?			

No.	Screening Questions: <i>Would the project activity</i>	Yes	No	Comments/ Explanation
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:		
	<ul style="list-style-type: none"> <li>a) Is there a risk that the activities interact with or exacerbate existing tensions and conflicts in the landscape/seascape?</li> <li>b) Do stakeholders (e.g. implementing partners, rights holders, other 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?</li> <li>c) How do stakeholders perceive WWF-Pakistan and its partners in relation to existing conflicts or tensions?</li> <li>d) Could the conflicts or tensions in the landscape/seascape have a negative impact on the activities?</li> </ul>		
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.