
FINAL REPORT

**MAINSTREAMING SAFEGUARD POLICY COMPLIANCE WITHIN
COMMUNITY-DRIVEN DEVELOPMENT INITIATIVES (CDDs) IN
WORLD BANK - FUNDED OPERATIONS**

AN EXPLORATORY STUDY FOCUSING ON AFRICA

MAY 2001

PART II

**CASE STUDY ON THE SAFEGUARD COMPLIANCE IN THE
ZAMSIF –
ZAMBIA SOCIAL INVESTMENT FUND**

GOPA

Part II

Case Study on the Safeguard Compliance in the ZAMSIF – Zambia Social Investment Fund

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This case study is based upon a review of literature on the ZAMSIF and interviews held during a field mission lasting from the 4th to the 18th May. The team would like to take this opportunity to thank the ZAMSIF staff and all the people interviewed in the Zambian Ministries, and on the provincial, district and community levels for providing all the information requested and patiently answering all questions raised. It goes without saying that even though benefiting from all the valuable experiences and insights, the views expressed in this report are entirely those of the consultants and not necessarily reflecting those of the World Bank.

Abbreviations and Acronyms

CDD	Community Driven Development
CEAP	Community Environmental Action Plan
CEMP	Community Environmental Management Plan
CFU	Conservation Farming Unit
CIF	Community Investment Fund of ZAMSIF
DDCC	District Development Co-ordinating Committee
DEC	District Environmental Committee
DEF	District Environmental Facilitator
DIF	District Investment Fund of ZAMSIF
ECZ	Environmental Council of Zambia
EEPA	Environmental Education and Public Awareness
EIA	Environmental Impact Assessment
EIN&MS	Environmental Information Network and Monitoring System
EIS	Environmental Information System
ESP	Environmental Support Program
GDP	Gross Domestic Product
GRZ	Government of the Republic of Zambia
HIPC	Highly indebted and poorest countries
HIV/AIDS	Human Immune Virus / Acquired Immune Deficiency Syndrome
LEAP	Local Environmental Action Plan
LFEC	Legal Framework and Enforcement Capacity
MENR	Ministry of the Environment and Natural Resources
MLG&H	Ministry of Local Government and Housing
MOFED	Ministry of Finance and Economic Development
MoU	Memorandum of Understanding
NEAP	National Environmental Action Plan
NDF	Nordic Development Fund
NGO	Non-governmental Organization
NRB	National Roads Board
PEF	Pilot Environmental Fund
PENA	Participatory Needs Assessment Plan
RIF	Rural Investment Fund
UNDP	United Nations Development Program
SRP	Social Recovery Project (I and II - predecessors of today's ZAMSIF)

Executive Summary

ZAMSIF started its operation in June 2000 and is pioneering the mainstreaming of environmental aspects into its project cycle management. Up to now no project has been implemented and the new procedures are yet not practically tested in their entirety.

All environmental activities will be fully integrated in the overall project activities, thus the bulk of the EA work lies at the local level within the communities and districts. Training of district staff on environmental sensitization and capacity building has started to be held in all 9 provinces of the country. The concept, the training manual and the training produced by a local consultant firm are of high quality.

The concept is in full concurrence with the generic approach proposed by the Consultants. However, the significance of the 10 safeguard policies of the World Bank is not known, but the content of these policies are implicitly covered by the applied environmental screening checklist, in as far as they are applicable to the program.

Most projects of ZAMSIF are extensions or new developments of social infrastructure schemes. All together individual microprojects may contribute to environmental degradation at local/site level, their aggregate and regional adverse impact will be minimal and insignificant compared to the increasing scale of the depletion of natural resources in Zambia. The ZAMSIF program with its access to all district administrations and all communities in the whole country could be a strong promoter to slow down this process by raising environmental awareness and promoting projects for the benefit of the environment and the conservation of natural resources.

The ZAMSIF program is based on the concept of building capacities in the districts, that the district staff can facilitate the development process in the communities. A certain risk for the whole program lies in the fact, that higher ranking staff are participating in the workshops, also because of allowances paid, who are less likely to visit the communities. The other risk factor is HIV/AIDS, which could lead to a much higher “outfall“ of trained staff than usual.

Map from Zambia



Data Profile ¹

Indicator	1995	1998	1999
Population total	9.0 million	9.7 million	9.9 million
Population growth (annual %)	2.7	2.3	2.2
Life expectancy at birth (years)	...	42.6	...
Urban population (% of total)	39.2	39.4	39.5
Illiteracy rate, adult male (% of males 15+, 1999)	18.0	16.2	15.4
Illiteracy rate, adult female (5 of females 15+, 1999)	34.9	30.9	29.8
GDP at market prices (in current US\$ 1999)	3.5 billion	3.4 billion	3.3 billion
GDP growth (annual %, 1999)	-2.3	-2.0	1.3
Agriculture, value added (% of GDP)	16.2	17.3	17.3
Industry, value added (% of GDP)	31.6	26.4	25.6
Services, etc. value added (% of GDP)	52.2	56.3	57.1
Exports of goods and services (% of GDP)	37.6	29.4	28.9
Imports of goods and services (% of GDP)	43.4	38.4	39.8
Present value of debt (current US\$)	...	5.5 billion	...
Total debt service (TDS, current US\$)	2.6 billion	202.1 million	...
Short term debt outstanding (DOD, current US\$)	415.0 million	329.4 million	...
Aid per capita (current US\$)	226.5	36.1	...

¹ cf.: Zambia Data Profile provided by The World Bank Group at <http://devdata.worldbank.org/external/dgprofile.asp> taken from World Development Indicators database, July 2000

1. Context of the ZAMSIF

Zambia gained independence in 1964 and was far better endowed with natural resources (especially by its large copper reserves) than many other newly independent countries in Africa. Contrary to what could have been expected, the country did not succeed in maintaining a level of development that had at first permitted it to provide its population with a relatively good access to health, education and water. Falling copper revenues (in the mid-seventies) and oil price shocks on the world markets combined with national state-dominated economic policies rapidly led to Zambia ranking among the African HIPCs in the early nineties. Following payments arrears and subsequent suspensions of IMF and Bank lending the Zambian Government implemented far reaching economic reform programs that concluded in a new agreement with both the IMF and the Bank and the mutual definition of the GRZ/Bank Country Assistance Strategy dated November 1999². In this document three strategic areas were identified:

- removing constraints to sustainable, diversified growth
- improving governance
- increasing access to basic services and direct poverty interventions.

Currently there are 15 active IDA-financed projects in the country, with a commitment totaling over US\$ 715 million. The International Finance Corporation has committed US\$26 mainly for hotels and tourism, and the timber, pulp and paper industries.

Objectives and working methodology of ZAMSIF

The current Zambia Social Investment Fund (ZAMSIF) had as a predecessor the Social Recovery Project (SRP) I and II which laid the groundwork for today's ZAMSIF. ZAMSIF started activities in June of 2000 and project duration is expected to last ten years. It has at its disposal US\$ 130 million from Adapted Program Lending (APL). Its objectives are:

- to achieve improved availability and use of quality basic social services by beneficiary communities and specific vulnerable groups;
- to contribute to the building of capacity for improved local governance; and
- to strengthen the capacity to provide timely information on poverty and social conditions and facilitate its use.

² cf.: Memorandum of the President of the International Development Association to the Executive Directors on a Country Assistance Strategy of the World Bank Group for the Republic of Zambia; Report No. 19889-ZA; November 17, 1999 Country Department 2 Africa Region.

There are three components that ZAMSIF works on, namely its:

Community Investment Fund (CIF) whose main purpose is to empower local communities through the financing of subprojects identified, implemented, managed, operated and maintained by the communities. It is expected that a gradual devolution of project cycle activities to local governments will take place according to the capacity created to support the community based project cycle.

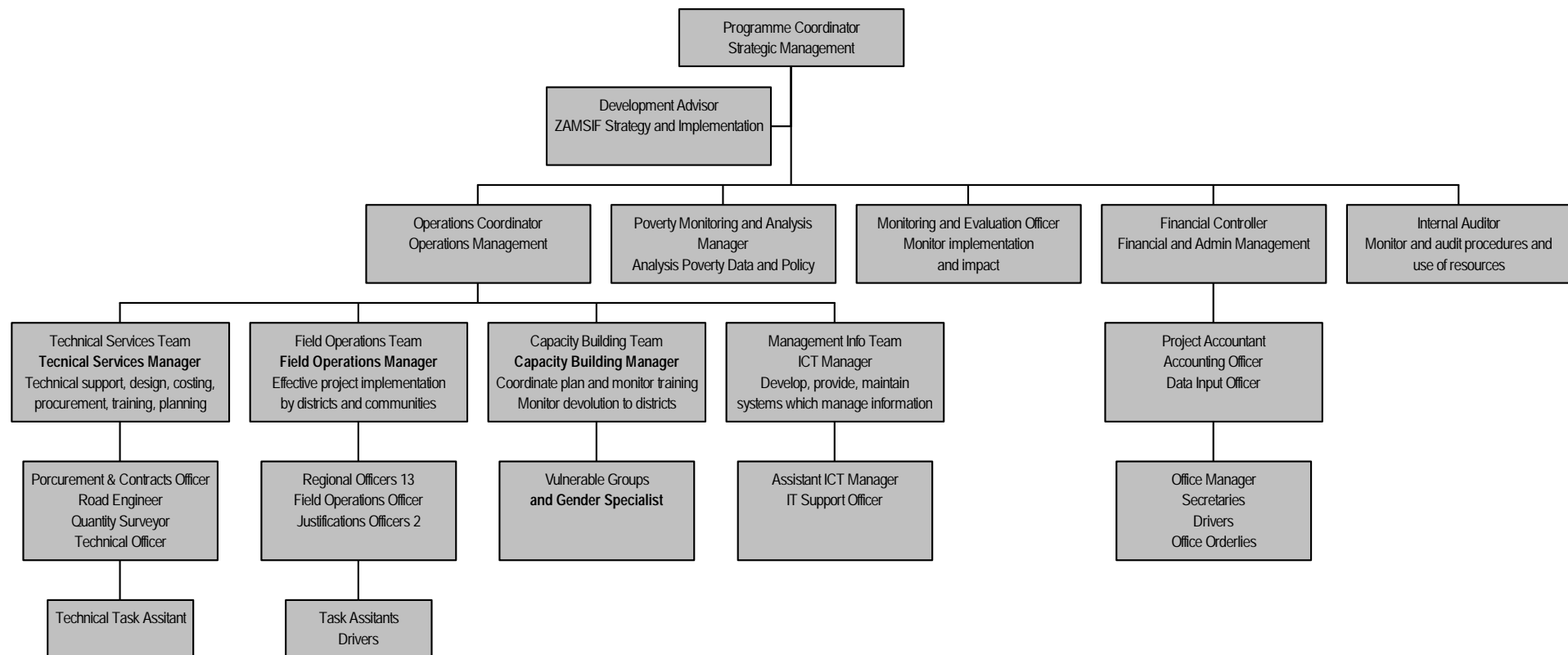
District Investment Fund (DIF) which is focusing on supporting a process of strengthening the capacity of local government and administrations and their accountability vis-à-vis local communities. This component will provide funds to district councils to finance economic and social infrastructure projects, which benefit more than one community.

Poverty Monitoring and Analysis Component, which provides a framework for poverty monitoring and analysis activities in order to enhance the linkages of these activities to policy making.

ZAMSIF can be considered as CDD in that it builds upon the experience gained during SRP I and II implementation. An evolution similar to the stages A through to C with the corresponding increase in decentralized empowerment and decreased need for a centralized project management structure such as a ZAMSIF Management Unit is expected to be fostered through the CIF and DIF respectively. ZAMSIF foresees five steps of development.

ZAMSIFs organizational structure and the evolution of the five levels of CIF and DIF are depicted in the following two graphics (figure 1-1 and 1-2)

Figure 1-1: ZAMSIF MANAGEMENT UNIT



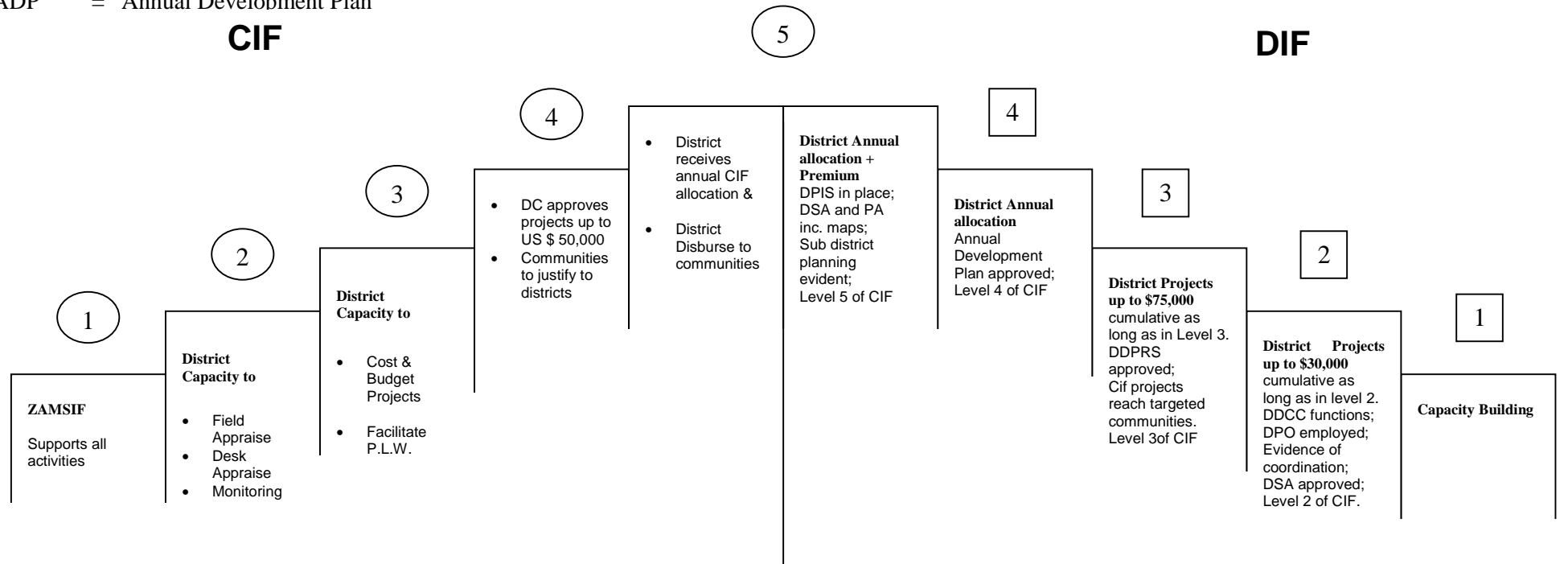
Source: ZAMSIF in brief, p.5

Figure 1-2: Levels of DIF and CIF

Source: ZAMSIF in brief, p.19

Key

- DPIS = District Planning Information System
- DAS = District Situation Analysis
- PA = District Poverty Assessment
- DDPRS = District Development and Poverty Reduction Strategy
- ADP = Annual Development Plan



Whereas the communities benefited mostly from small infrastructure projects (mainly schools) financed through the SRP I and II, the approach taken by ZAMSIF is a far more ambitious one: Zambia's 9 provinces and 73 districts have access to funding for microprojects according to an indicative planning figure (IPF) that reflects the province's and district's poverty level and corresponding need for improvement.

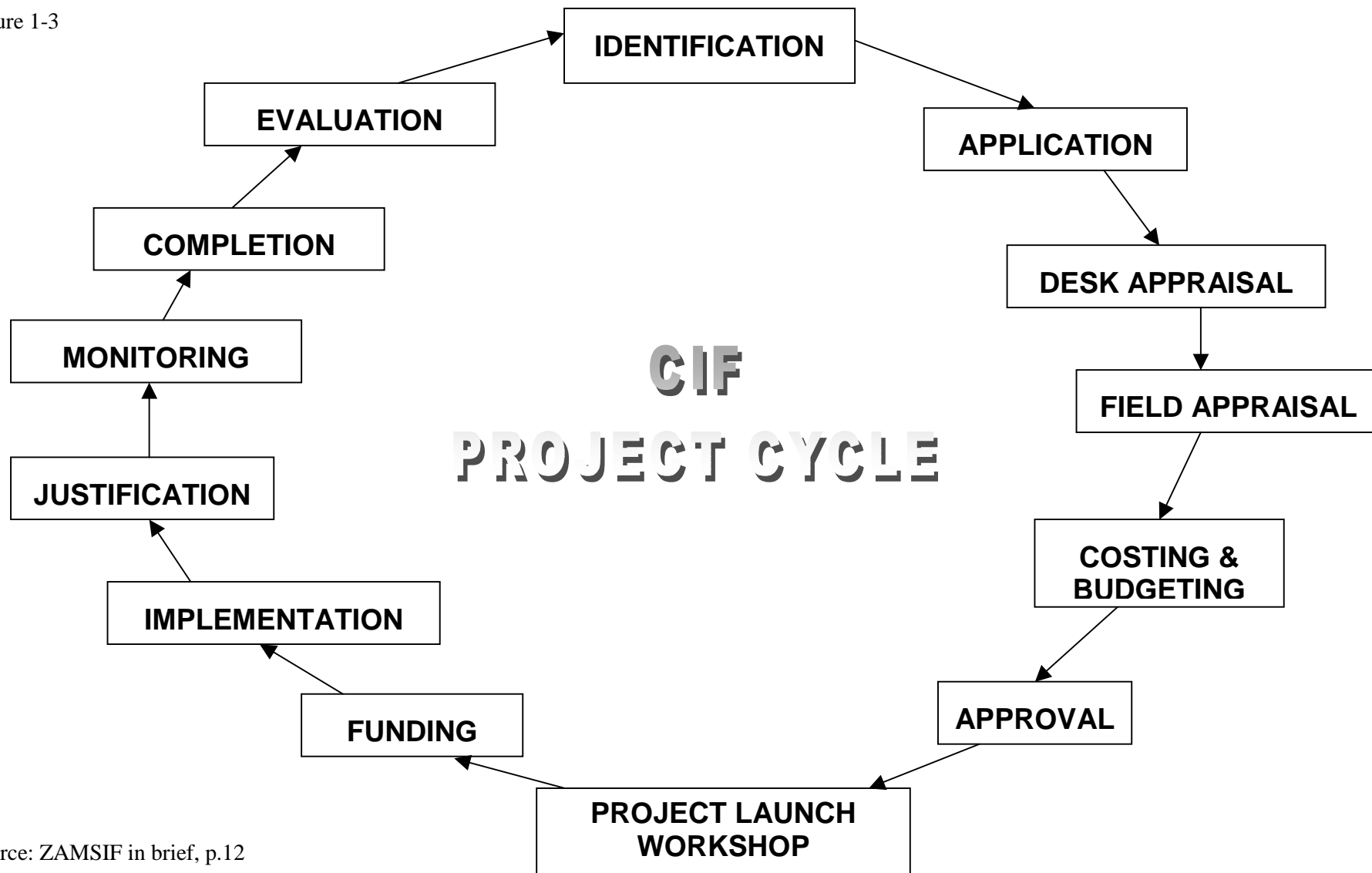
In an information campaign making use of the outreach and network of small local radio stations ZAMSIF informed communities of the possibilities to apply for ZAMSIF support. The distribution of a newsletter is planned for at a later stage.

District staff and a few selected locally active NGOs were trained in project planning and facilitation and separate theme blocs such as HIV/AIDS, gender and finally environment. ZAMSIF has so far relied on independent consultants to impart the training, three to five day sessions reaching out to an average of three representatives for each district.

In the past, district staff has repeatedly been criticized for what was seen as their slowing down instead of speeding up microproject submission. A reason for this could have been a lack of technical and procedural know how when processing the applications and thus wanting to refrain from making mistakes openly. In other cases this could also stem from a lack of initiative and motivation related to a possible lack of working material and equipment. Now, it is intended that they replicate the training in "their" respective communities and take a more active role than before by stimulating a development process in the communities leading to the submission of microprojects as an expression of self help and empowerment.

All projects submitted have to pass for desk and field appraisal through the district and its District Development Co-ordination Committee (DDCC) before being passed on to Lusaka to the relevant ZAMSIF department for costing and budgeting and eventually to the ZAMSIF Microproject Technical Committee for approval. The project cycle follows the subsequent pattern (figure 1-3):

Figure 1-3



Source: ZAMSIF in brief, p.12

At the time of the visit no ZAMSIF microprojects were running yet. Instead projects that had remained in the SRP II pipeline were being processed and implemented.

While ZAMSIF works under the umbrella of the Ministry of Finance and Economic Development, the Ministry of Environment and Natural Resources is implementing a project with very close ties to ZAMSIF, namely the Environmental Support Program. Having come into effect in March 1998 this 5 year project with a total budget of 17 million USD consists of the following components:

- the Pilot Environmental Fund (PEF, financed through IDA)
- the Environmental Education and Public Awareness Program (EEPA, financed through IDA)
- the Environmental Information Network and Monitoring System (EIN&MS, financed through NDF)
- the Legal Framework and Enforcement Capacity Program (LFEC, financed through IDA) and
- the Community Environmental Management Program (CEMP, financed through UNDP).

Actually the PEF is attached to ZAMSIF and both finance community microprojects, but PEF has a strong emphasis on improving the environment. PEF's offices are located on the "ZAMSIF premises". PEF makes use of ZAMSIF's microproject implementation facilities and links up with its monitoring. PEF has equally undertaken an environmental training and facilitation program, though lasting six weeks for 12 participants. It is currently active in 9 districts, in some of them with so-called District Environmental Facilitators closely working with the district staff. The Environmental Support Program sets in at an earlier stage in that it carries out environmental awareness and sensitization work and that it accompanies the communities in designing their Community Environmental Action Plan out of which the microprojects shall emanate.

Another project with ties to ZAMSIF is the Rural Investment Fund (RIF) under the Ministry of Agriculture, Food and Fisheries, equally receiving IDA-funds. This fund aims at strengthening the production capacity of poor small scale farmers, who, for various socio-economic reasons, are unable to participate in economic activities in an effective manner. RIF provides matching grant funding for demand-driven micro-projects ideally initiated by farmer groups and communities. The majority of the microprojects concern construction and rehabilitation of rural infrastructure such as dams, community roads, bore-holes, dip tanks, storage sheds, bridges, fish ponds etc..

2. Present integration of Safeguards in ZAMSIF

Institutions and Procedures

ZAMSIF started its operation in June 2000. By this time an EIA study for the entire program was carried out by the Chalo Consultants, which has outlined, how the environmental aspects should be integrated into the program. The Draft Operational Manual from March 2000 did not include any procedures related to environment.

The environmental assessment for the microprojects has now been mainstreamed into the ZAMSIF project cycle (see figure 2-1). However, as no project has yet been implemented, the working of the procedures has not been tested in full scale on the ground. The EA management of a subproject will be realized mainly at the local level, likewise the whole project management. The district staff are supposed to assist the communities with the identification and implementation of the environmental mitigation measures. The six environmental form prepared³ should be filled in by district staff with information collected at the community level. Details of activities are presented in Figure 2-1.

The mainstreaming of the environmental procedures seems to be fully adequate. However, the explicit adherence to all ten safeguards has yet not been made mandatory to ZAMSIF by the World Bank. Implicitly all relevant safeguards are covered by the screening form. GOPA Consultants have proposed the introduction of a new screening form at the desk appraisal stage, explicitly mentioning all 10 safeguards and their applicability for the subproject.

The organization of the environmental tasks in the project management and the functions attributed to each of the three working levels: Community, District and ZAMSIF Head Office are presented in the following figure 2-2. Once a project is approved, *communities* are requested to form a project committee of 10 people (at least 5 of them must be women). These 10 people are nominated during the project launch workshop and are responsible for coordinating all work related to the planning and implementation of the project. The different tasks of the project are co-ordinated with the various committees normally existing in *Zambian communities*⁴ Thus, often there is also an environmental committee in place.

³ The new environmental forms developed by Chalo Consultants has yet to be incorporated into the Management Information System

⁴ at least larger communities tend to form committees for different aspects of community organisation

At the *district level* the District Development Co-ordinating Committee (DDCC)⁵ with its various sub-committees is the main body for decision making. It is the intention of ZAMSIF to concentrate these different sub-committees, so that for planning aspects in all sectors only the planning sub-committee⁶ is in charge. Also the environmental planning functions should be taken over by this sub-committee.⁷ The district level forms the hub of all activities, where facilitation of the communities and co-ordination with the central level takes place. Most of the project planning forms including the environmental forms have to be filled at district level (see figure 2-1), because communities do not have the capacity yet to do it by themselves. The most complicated exercise is the preparation of the environmental project brief, which is required by the Zambian EIA legislation for many of the ZAMSIF projects (compare EA2 Desk Appraisal Screening Checklist).

At a *central level* in ZAMSIF headquarter the Fields Operation Team need to review the environmental forms including the proposed mitigation measures and submit the environmental project briefs to the Environmental Council of Zambia (ECZ)⁸. The Technical Service Team will then prepare the budgets, plans and schedules for the whole project including the mitigation measures foreseen⁹. Currently ZAMSIF has not foreseen having a separate unit or an extra person in charge of environment. GOPA Consultants have recommended, that it would be advisable to have such an environmental focal point within the Field Operations Team. As the subject is new such a focal point would need to advice the ZAMSIF Regional Facilitators, sometimes directly assisting the districts and communities, organize the training programs, deal with Consultants and particularly co-ordinate smoothly with the ECZ, the environmental inspectorate agency. His/her tasks are presented in detail below (figure 2-2).

EIA Legislation

Zambia have adequate cover with policy and legislation relating to the protection of the environment. The principle legislation is the Environmental

⁵ The DDCC is formed by members of representatives of the line ministries at district level and representatives of the district council (elected local government) and perhaps some NGOs

⁶ Most members sitting in the different committees are anyhow the same

⁷ Only in some districts there are special District Environmental Committees (DEC) promoted by the Environmental Support Program (ESC) of Zambia

⁸ The principal EIA officer of the ECZ suggested that ZAMSIF at first is better submitting the environmental screening forms, that ECZ then can decide if an environmental brief for the project is necessary. It seems advisable to present the environmental information (screening forms and project briefs) of a project in a grouped form for faster processing.

⁹ Currently 15% contingencies for each project are budgeted, 5% are price contingencies and 10% physical contingencies of which half of them (5% of total project costs) are foreseen for environmental mitigation measures.

Protection and Pollution Control Act passed in 1990.¹⁰ The Act provided for the establishment of an Environment Council whose main functions include the protection of the environment and control of pollution in particular so as to provide for the health and welfare of people, animals, plants and the environment in general. A total of 5 Regulations have been passed as Statutory Instruments under this Act. These relate to Water Pollution Control, Waste Management, Air Pollution Control, Water Pollution Control and Environmental Impact Assessment Regulations.

The ECZ¹¹ is a lead agency on environmental matters of environment established as an outcome of the NEAP process (1994) and is empowered to identify projects, plans and policies for which Environmental Impact Assessment are necessary and ensure that the same is done in line with the provisions of the EIA regulations (Statutory Instrument 28, 1997). Its responsibilities include managing the EIA process, sponsoring a decision and ensuring that management occurs in accordance with the decisions made. In this regard the ECZ establishes the terms of reference for project assessments, reviews reports including the Environmental Project Brief, EIA, and follow-up monitoring reports.

Very rarely will a ZAMSIF project require a full EIA document, however for most microprojects an environmental project brief usually has to be prepared. The projects in the same sector normally do not differ in the environmental problems connected with them only in their location. Therefore for faster review of the projects by the ECZ (a decision letter should be normally issued within 40 days of receiving the project brief) a subject related or region related grouping of the projects in one project brief document seems advisable to facilitate “batch approval”. ECZ staff is normally required to visit the site of each proposed project, where an Environmental Brief or a full EIA has to be carried out.¹²

¹⁰ The other relevant acts to the environment are: Natural Resources Conservation Act, Town and Country Planning Act, Water Act, Fisheries Act, National Parks and Wildlife Service Act, Public Health Act, Local Government Act, Mines and Minerals Act, Agricultural Lands Act, Factories Act, Investment Act, Tourism Act, National Heritage Conservation Commission Act, International Game Park and Wildlife Act, Agriculture Fertilizer and Feeds Act, Forest Act, Zambesi River Authority Act and some others.

¹¹ The ECZ has been supported since then by the Canadian International Development Agency (CIDA)

¹² Currently EA staff is only 5 and fluctuations of personnel has been high. It seems that approval procedures by ECZ could be a bottleneck for ZAMSIF and best practice between these two institutions has still to be sorted out as for ZAMSIF management these tasks are new.

Environmental Capacity Building

Currently, intensive four days training courses on environmental sensitization and capacity building for district teams are carried out by ZAMSIF. In each of the 9 provinces one such training course will be held with the participation of all districts in the respective province. The GOPA team has participated in one workshop in Ndola, the capital of the copperbelt province, from May, 7-10.¹³ The workshop was well prepared and held by Chalo Consultants from Lusaka. The main training method used was the participatory group work. Modern PRA-techniques like Resource Mapping, Priority Ranking, Causality Analysis were introduced. The applicability of the 6 environmental forms and their mainstreaming within the ZAMSIF project cycle were trained. On three case examples environmental impacts and appropriate mitigation measures were worked out. The fourth day included a field visit to a health center project in one community. Participation and knowledge level in the workshop was good. At the end of the workshop participants received a comprehensive District Facilitation Manual for Mainstreaming Environmental Management in Community Based Projects, where workshop contents and all typical environmental concerns and respective mitigation measures are presented in an illustrative form in pictures and diagrams.

The most important outcome the workshop achieved was sensitization to the environmental issues and a first understanding of how to deal with them. Despite the good quality of the workshop it is not realistic to expect from the participants that they are now able to address all necessary mitigation measures for a project.¹⁴ This has to be learned on the job and perhaps in follow-up training courses.

In this respect it would be highly recommendable to train the 13 Regional Facilitators of ZAMSIF in a very intensive environmental course, because they are the key people in the field, who are dealing on a daily basis with the district staff and also the communities. It is essential that the Regional Facilitators also fully understand the environmental aspects implied with a certain project.

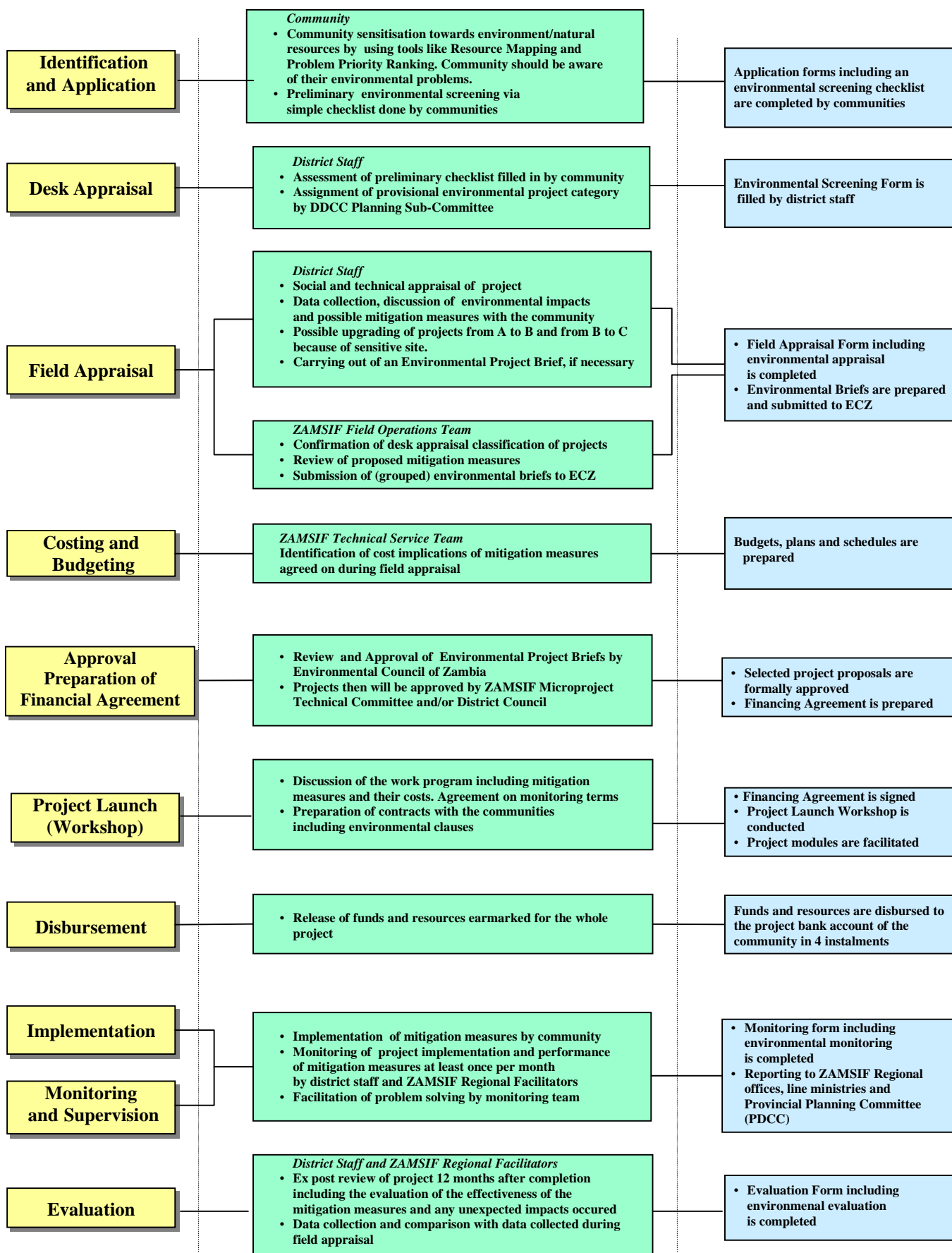
¹³ Three people from each of the 10 districts in the province have participated: half of them were foresters by background.

¹⁴ Due to the group work character of the workshop not too much time could be spend on discussion of the mitigation measures outlined in the manual.

Environmental Mainstreaming

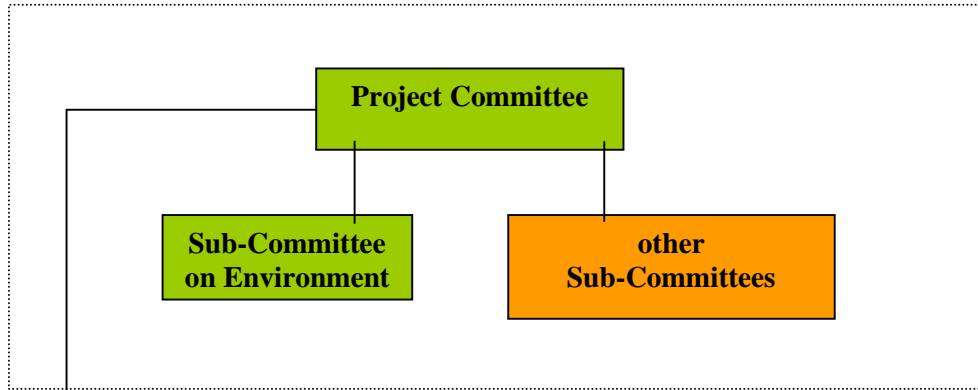
ZAMSIF

Project Outputs

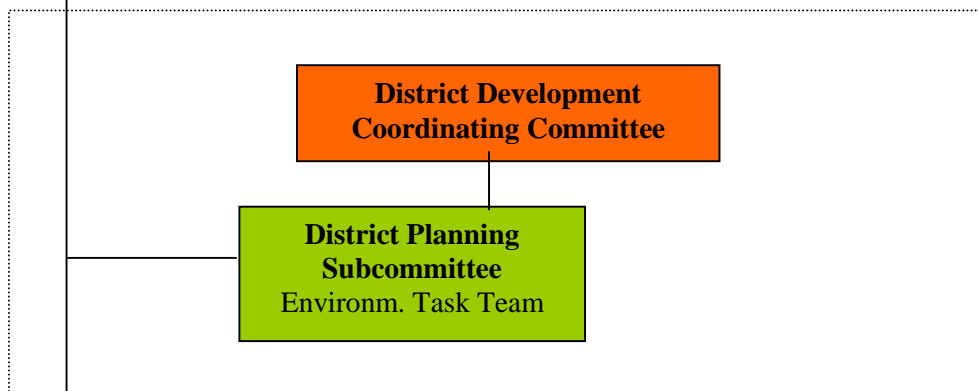


Organization of Environmental Tasks in the Project Management at the 3 Levels:

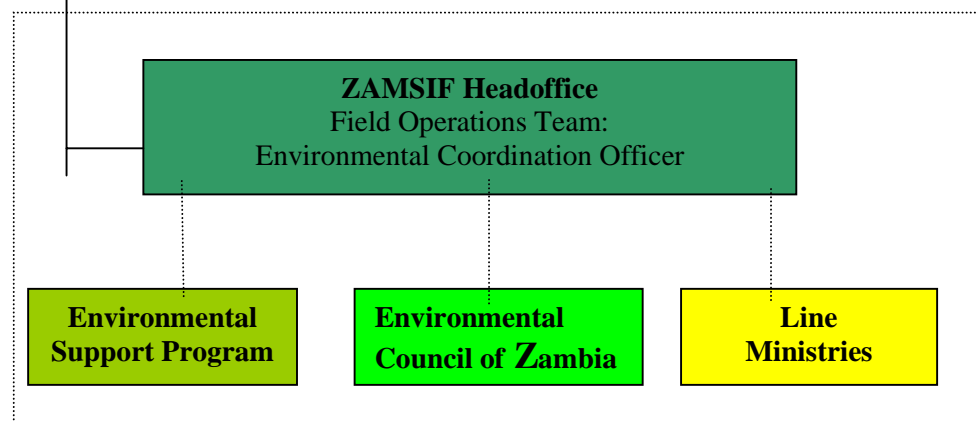
Community Level



District Level



National Level



Functions attributed to each level:

Communities:

- Environmental Screening of Project
- Assistance with the preparation of Environmental Project Brief
- Implementation of agreed mitigation measures
- Monitoring of residual environmental impacts
- Enhancement of environmental beneficiary projects within the community

District Planning Sub-Committee:

- Assistance to communities in all aspects of the environmental management of the project
- Preparation of Final Environmental Screening Form
- Preparation of Environmental Project Briefs
- Monitoring of implementation of mitigation measures
- Evaluation of effectiveness of mitigation measures and capacity build in the community
- Reporting to provincial authorities and national line ministries
- Reporting to ZAMSIF Regional Offices
- Promotion of environmental beneficiary projects within communities

ZAMSIF Field Operation Team

- Guide district staff and communities with environmental management
- Arrange for capacity building measures for environment and natural resources management for district staff (workshops, training on the job)
- Submit Environmental Project Briefs to Environmental Council of Zambia (ECZ), best in grouped form
- Prepare standard environmental clauses within contracts with communities
- Arrange for carrying out for a full Environmental Impact Assessment (only in very rare cases)
- Generally manage good co-ordination with ECZ for quick approval of projects
- Liaise with Pilot Environmental Fund within ZAMSIF
- Co-ordinate with other projects working on community level, e.g. Joint Forestry Program
- Enhance environmental beneficiary projects like rural electrification, energy saving ovens, afforestation, natural resources management, etc.

3. Residual Non-compliance Risks

The ZAMSIF projects operates in a framework, which fulfils all regulatory requirements:

- mainstreamed internal procedures for environmental management of subprojects
- high quality environmental training performed by good consultants
- EIA regulations at the national level and an agency monitoring the EIA process (ECZ)

However, this set-up is new and yet has little experience exists. The bulk of the EA work lies within the communities and districts. As all these are new subjects to them, one cannot expect that all will function from the beginning. Working with communities for their empowerment is a learning process where making mistakes and learning from them need to be possible.

As discussed with the consultants doing the training a certain risks lies in the fact that the adequate people are not always selected for the environmental training¹⁵. As ZAMSIF is paying certain allowances for the participation often higher district functionaries are taking part, who are not likely to visit and assist the communities.

Another factor that needs to be kept in mind as residual non-compliance risk is the high incidence of HIV/AIDS coupled with the normal fluctuation of people both in local government and community leadership positions. This calls for a periodic revision of the procedures applied in the communities and districts in order to assess what know how still prevails and how and to what extent and accuracy the people once trained as multiplier pass on the knowledge.

Environmental problems potentially being caused by CDD microprojects in general and by ZAMSIF microprojects in particular need to be seen in their perspective. An analysis done by the local consulting firm “Environmental impact study and guidelines for the Zambia Social Investment Fund”¹⁶ confirms that in the worst case

“...individual microprojects under both the Community and District Investment Funds may contribute to environmental degradation at local/site level, their aggregate and regional adverse impact will be minimal and insignificant.”¹⁷

¹⁵ Even mostly competent staff is available at the district level

¹⁶ Undertaken by Chalo Environment & Sustainable Development Consultants and dated 6 July 2000

¹⁷ *ibid* p. 2

The most imminent environmental problems in the country consist of the speed at which deforestation takes place¹⁸ and the air, water and soil pollution associated with the operation of the copper and cobalt mines. The NEAP document has identified five environmental priority areas:

- soil degradation
- water pollution and inadequate sanitation
- deforestation
- air pollution
- wildlife depletion

For the benefit of the environment it is more important to promote ZAMSIF' new strategy supporting also projects in the areas of environment and natural resources management. For instance rural electrification schemes and energy saving measures could reduce the deforestation speed.

4. Lessons Learnt

ZAMSIF in its present design can be regarded as fully in accordance with the definition of a CDD program in stage A¹⁹. The way ZAMSIF is mainstreaming the environmental procedures is in line with the generic approach suggested in this study.

ZAMSIF is pioneering mainstreaming the environment into the project cycle. None of the other Zambian government entities with the exception of the National Roads Board has integrated EA procedures into their work when dealing with infrastructure building and maintenance. Furthermore, ZAMSIF is quite an important intervention body given the allocated budget and its national coverage. Therefore the experiences gained and the path taken have considerable multiplier potential in the country.

There are three main points which merit mentioning.

Information and Capacity Building

The use of *local communication channels* such as local radio stations is a valuable means to reach the communities for information on ZAMSIF objectives and ways to apply for funding as well as for educative programs for instance on natural resource and environmental management. SRP/ZAMSIF has

¹⁸ A forestry officer mentioned that in the Copperbelt Province alone the deforestation rate is 30 000 ha per year.

¹⁹ cf CDD chapter in PRSP sourcebook (12/2000)

distributed wind up radios to communities to enable them to listen together in a group to periodic programs.

Checklists and other material that communities are expected to make use of when carefully translated into *local languages* can easier facilitate the participation of otherwise excluded groups of the community. This is especially true in areas of a high incidence of illiteracy. Community meetings are often not held in the country's official language but rather in the prevailing local language.

Capacity building always needs to be seen as a process that ought to be *revised*. As stated earlier, reasons for this are that key personnel that once were trained might have been transferred to another job or might have passed away in the meantime and new community members/district staff will have replaced them. Also, a deepening of knowledge for the subjects treated earlier on or a specialization of know how might become necessary since after a period of time the practical experience that participants will have gained provokes new questions pertaining to specific problems occurring in practice. A very important issue is the use of good consultants for the sensitization and promotion of the environmental aspects.

Reference material on best practice in a way like the guidebook on projects in natural resource management published through the Zimbabwe Community Action Program is a valuable source of information after the training courses have long finished and a loss of memory sets in.

The concept of the World Bank's *Safeguards* is still not widely known to staff working with IDA funds²⁰. Therefore training on or *information about* these guidelines should be provided to field project staff.

Procedures

Due to the quantity of microprojects to be processed, environmental procedures need to be standardized and mainstreamed into the project cycle. Without losing sight of the particular conditions of a given microproject (especially as far as the siting is concerned) checklists, forms and manuals are to be used and possibly bulk processing of similar project types is recommended.

Co-ordination with other players

Usually in the countries where social funds operate, numerous donors are present with project interventions. With the prominent role ZAMSIF plays in the

²⁰ Community programs so far has been classified as Environmental Category C, meaning no or negligible environmental impacts are expected. Now these programs should receive the Cat. F (Financial Intermediaries) and safeguards should also be checked.

country fighting against poverty and as by-product promoting decentralization, co-ordination with other *donors'* interventions is imperative at both management and operations levels.

In many cases there will be a need for *interministerial co-operation*. In the case of ZAMSIF, following the national legislation the approval of environmental briefs and environmental impact statements of microprojects is delegated to the Environmental Council of Zambia, ECZ. If any other government agency can block or unduly slow down the social fund's proceedings because either it is understaffed, has no equipment or considers it appropriate to charge extremely high fees for its services, memoranda of understanding need to be reached.

5. Suggestions on how to build on the strengths and how to reduce any weaknesses of the approach taken in the ZAMSIF with special emphasis on capacity building

Currently, the position of the **capacity building** manager is vacant. Its work is temporarily taken up by the next higher level of responsibility, the operations co-ordinator. ZAMSIF management is aware that this is only an interim solution. It is suggested to reinforce this program component given that capacity building plays such a crucial role in CDD approaches.

When working with communities, capacity building should only be sketched out from the beginning and adjusted to the requirements as the work goes on. Therefore it is suggested that the different parties involved in the microproject design and implementation be well familiar with the tasks they are supposed to fulfil. Depending on what know how is already available this would encompass for

Communities:

- problem priority ranking
- filling out the microproject application forms
- overall understanding of causes and effects of environmental degradation
- reasoning for, effect of and how to implement mitigation measures
- project administration and financial management
- promotion of environmental beneficiary projects

Local governments/districts:

- participatory techniques for working with communities
- accompanying the communities when designing environmental mitigation/action plans
- filling out the application forms and undertaking reviews of proposed subprojects

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- screening of proposed microprojects
 - carrying out of environmental reviews (environmental project briefs)
 - accompany the implementation of the microprojects including their mitigation measures

In this respect it seems to be essential that the **Regional Facilitators of ZAMSIF are adequately trained** on the various environmental management aspects of all types of microprojects to assist the district and communities in their tasks.

An **Environmental focal point** within the organization of ZAMSIF should provide general feedback on strategy matters pertaining to environmental issues, as well as to co-ordinate from a technical point of view the capacity building on one hand and the awareness raising and sensitization program on the other hand. In general he/she should facilitate the appropriate functioning of the environmental tasks in the program including the proper co-ordination with the ECZ and other stakeholders in this field. He/she should also promote the idea of launching environmental beneficiary projects.

Within the environmental training manual for the district, Chalo Consultants have already prepared guidelines for certain **environmentally positive microprojects**:

- Community managed woodlots
- Tree seedling production
- Solid waste disposal
- Soil erosion and storm water control
- Fish farming
- Bee keeping
- Conversation farming

These and other environmental modules should be further developed using illustrative examples (as in the Zimbabwe Natural Resources Handbook) and disseminated within training units.

The use of an **explicit form for screening all World Bank safeguard policies** and the **incorporation of environmental clauses within the financial agreements with the communities** would further strengthen the procedures currently used.

Since ZAMSIF has a national coverage and will fundamentally change the way local government will perform within the next ten years, it is considered important to **co-ordinate** on a management level and on the field level **with other key players** such as other donor funded interventions

6. Applicability of the lessons learnt for other CDD projects

The environmental management of the ZAMSIF microproject is mainstreamed in a way that it is a fully integral part of the whole project cycle management and is not managed from outside the community. This is in exactly in line with the generic approach suggested. This principal should be applied to all CDD projects. However, all CDDs and all countries are different, therefore all operations will have to be specifically designed.

In general CDD programs should manage the environmental aspects within the respective country requirements. The environmental management of the subprojects will always be an interaction between the 4 key levels:

- Communities
- Local (and regional) government
- National environmental authorities
- Central Fund and Consultants engaged

The distribution of functions between these 4 levels will vary from country to country. In the case of ZAMSIF the emphasis is addressed to the local government level (district).

Environmental sensitization at all levels seems to be a key to a successful integration of the environment into project planning.

On the other hand the poverty situation in the communities that ZAMSIF works in calls for an immediate solution of the most pressing needs. The communities might be interested in environmental matters but generally do not have time to waste. Therefore, no project can start off with spending a lot of the communities' time with awareness raising and training. The most dynamic community members, those currently or potentially in the future playing leadership roles are generally too busy; likewise the poorest and most needy people. Even though training courses might have a high attendance level, especially so when per diems are paid, these participants are not necessarily the people the project will successfully rely on in the future.

As important as capacity building is, it will need to accompany any measure to soothe the poverty based problems of the community. Inevitably this means compromising on genuine community empowerment in that any microproject decided upon might not reflect the number one priority of the entire community but rather that of the most outspoken interest group in it.

Another aspect that should be reflected upon is the fact that the majority of the microprojects usually financed under Social Fund/CDD schemes are projects

that in the long run will cost the government money to run, not even considering maintaining them. Unless revenues from some where are being generated, sooner or later the government will run into difficulties. Therefore it is advisable when targeting poverty mainly through basic infrastructure buildings to couple those with income generating and/or a private sector initiative promotion. Otherwise a large number of microprojects might be everything except sustainable. This linking up does not necessarily need to be channeled through the same Social Fund/CDD but possibly through another initiative.

7. Additional comments and conclusions

The success of a program/project depends to a large extent on the quality and commitment of its management. In this respect ZAMSIF seems to be outstanding in the country.

In general mainstreaming safeguards into CDDs can be seen as an opportunity to improve the soundness of project planning, implementation and monitoring. The inclusion of issues addressed by the safeguards triggers a thought process that can reduce limitations caused by short-sighted project planning because it takes into account potential risks and negative effects onto (part of) the target group.

Safeguards can furthermore foster a thinking in terms of maintenance of structures and achievements that are not self-understood in many cultures.

List of persons interviewed:

ZAMSIF Staff:

Cosmas Mambo, Program Co-ordinator
Ed Mwale, Operations Co-ordinator
Clare Barkworth, Development Adviser
Dawson Ngoma, Field Operations Manager
Fidelis Mwape, Monitoring and Evaluation Officer
Wedex Ilunga, Technical Services Manager
Oliver Makungu, Road Engineer

World Bank Resident Mission

Grace Phiri

Consultants:

Julius M. Chileshe, Chalo Consultants
Juliana N. Chileshe, Chalo Consultants
Jacob Chishiba, Chalo Consultants
Nathan Jere, Chalo Consultants
Nawa Mukanda, Chalo Consultants

NGOs:

Farming Conservation Unit
Dutch Gibson

Central Government:

Ministry of the Environment & Natural Resources
Environment Support Program (ESP, multi-donor supported project):
Chiseche Mutale, Manager

Greenwell Mukawi, *PEF Co-ordinator (component of ESP)*
Christopher Sinyinza, *Mufurila District Environmental Facilitator (PEF)*

Ministry of Agriculture, Food & Fisheries
Rural Investment Fund (IDA-funded project):
Protasio M. Chipulu, National Co-ordinator
Mr. Lwampa, Infrastructure Engineer
Mr. Mwale, Project Accountant
Mr. Kakokola, Monitoring & Evaluation Officer

Ministry of Local Government and Housing
Department of Physical Planning and Housing
Dr. Glynn A. C. Khonje, Director of Department

Ministry of Works & Supply
National Roads Board

Mushimbey Muliya, Environmental Management Officer

Province:

Mr. Kasama, Copperbelt Province ECZ Officer

Mr. Tembo, Copperbelt Province Forestry Officer

Mr. Migeri, Copperbelt Province Health Officer

Ms. Mpousa, Copperbelt Province Regional Planning Officer

Mr. Changa, Copperbelt Province Roads Engineer

District:

Pricilla Simukoko, Mufurila District Information Officer, Zambia Information Services

Rosemary Musanya, Mufurila District Community Development Officer

Katungu Mukelabai, Mufurila District Planning Officer

Monica Tebo, Mufurila District Forestry Officer

Serah Lunda, Chililabombwe District Forestry Officer

Community of 14 Miles implementing the 7/8802 Microproject financed under the PEF focusing on beekeeping and water and sanitation
PTA and Project Management Committee of the ***Mufurila*** primary school

Terms of reference of the case study

The case study will be undertaken within the framework of the analytical work done on mainstreaming safeguard policies in CDD/CAP projects. The national case study will be a complement of the diagnosis and generic approach that were suggested in earlier documents on this topic.

The main objective of the case study from the national perspective is to provide future guidance in ZAMSIF's operations.

Expected outcomes of this field mission include:

structured lessons learned from the application of environmental assessment (EA) and other safeguard policies in the context of ZAMSIF
getting suggestions and recommendations from clients and field practitioners on the application of these safeguard policies
testing on a real scale -to adjust and to modify them- the conceptual approaches developed earlier in the invention development.

The following tasks will be conducted by the consultants:

before the mission, key staff at ZAMSIF will need to be contacted and a visit will need to be planned with the assistance of Laura Frigenti and the visit will need to be announced to the World Bank field office for protocol, security and logistical reasons.

The relevant documentation will need to be read and an interview questionnaire will need to be prepared.

In Zambia World Bank operational staff, ZAMSIF project staff and environmental authorities (and NGOs?) will need to be met to interview them on the approach taken for safeguards in ZAMSIF, the achievements and the limits of this approach and ways and means to improve the effectiveness of this integration

Before the departure from Zambia a short –two hour- debriefing session of the persons met and including testing them with suggestions and recommendations for improving the integration of safeguards in subprojects shall be carried out.

After the trip, the case study will need to be written up using the following outline:

- *context of ZAMSIF*
- *present integration of safeguards in ZAMSIF*
- *residual non-compliance risks*
- *lessons learned*
- *measures suggested to build on the strengths and reduce the weaknesses of the approach taken in ZAMSIF with emphasis on capacity building*
- *applicability of the lessons learned to other CDD/CAP projects*
- *any other conclusions from your field trip*