



**Tanzania Scaling-up Locally Led Climate Action
Program (SCALE)
(P180742)**

**ENVIRONMENTAL AND SOCIAL SYSTEM ASSESSMENT
- ESSA**

April 2025

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List of Acronyms

APA	Annual Performance Assessments
CAT	Capacity Assessment Tool
CCU	Climate Change Unit
DLI	Disbursement Linked Indicator
DLR	Disbursement Linked Result
DOSH	Directorate of Safety and Health
E&S	Environment and Social
EHS	Environmental Health and Safety
EIA/EA	Environmental Impact Assessment/Environmental Audit
EMA	Environmental Management Act
ESF	Environment and Social Framework
ESHS	Environment Social Health and Safety
ESHSMS	Environment Social Health and Safety Management Systems
ESHSRIM	Environment Social Health and Safety Risk and Impact Management
ESIA	Environment and Social Impact Assessment
ESMP	Environment and Social Management Plans
ESSA	Environment and Social System Assessment
FVPO	First Vice President's Office
FY	Fiscal Year
GBV	Gender Based Violence
GDP	Gross Domestic Product
GRM	Grievance Redress Mechanism
HIV/AIDs	Human Immunodeficiency Virus/Acquired Immunodeficiency Syndrome
IA	Implementing Agency
IPF	Investment Project Financing
IVA	Independent Verification Agency
LGA	Local Government Authority
M&E	Monitoring and Evaluation
MAC	Minimum Access Condition
MoF	Ministry of Finance and
NEMC	National Environment Management Council
NITC	National Interagency Technical Committee
OHS	Occupational Health and Safety
OM	Operations Manual
OSHA	Occupational Health and Safety Act
OSHI	Occupational Safety and Health Institute
PAP	Program Action Plan
PCR	Physical Cultural Resources
PDO	Program Development Objective
PforR	Program-for-Results
PIP	Project Implementation Plan
PIT	Program Implementation Team
PLWD	Persons Living with Disability
PO-RALG	President's Office - Regional Administration and Local Government
PO-RALG-SD	President's Office - Regional Administration, Local Government and Special Departments

QER	Quality Enhancement Review
RA	Result Area
RAP	Resettlement Action Plan
SCALE	Scaling-up Locally Led Climate Action
SEA/SH	Sexual Exploitation and Abuse
SEP	Stakeholder Engagement Plan
SH	Sexual Harassment
SOP	Standard Operating Procedure
SRM	Social Risk Management
STD	Sexually Transmitted Disease
TA	Technical Assistance
VMG	Vulnerable and Marginalized Group (s)
WB	World Bank
ZEMA	Zanzibar Environmental Management Authority

Executive Summary

Introduction

1. The Scaling-up Locally Led Climate Action Program (SCALE, the Program) is a Program-for-Results (PforR) /Investment Project Financing (IPF) hybrid operation that addresses climate change risks through a locally led approach, where resources flow directly to local government and communities. The Program will support the United Republic of Tanzania's climate adaptation and mitigation strategies through a locally led climate action model that addresses the diverse and immediate impacts that communities experience as a result of climate change while reversing the prevailing climate finance modus operandi by ensuring enhanced flows of climate finance to local governments and their communities. This approach has been proven effective in Africa and elsewhere in generating significant adaptation benefits for households and communities, while also strengthening local government institutions and improving responsiveness to local needs. The Program is a response to the Government of Tanzania's request for a national climate program that holistically supports its national development goals and international commitments.

PforR Program Scope

2. **The PforR Program comprises countrywide activities aligned with the National Climate Change Response Strategy (NCCRS) and Zanzibar Climate Change Strategy (ZCCS).** The proposed Program would be grounded in the government's NCCRS and the ZCCS.

3. The PforR scope centers on two results areas (Ras), namely:

4. **Results Area 1: Strengthen local government systems.** This RA will be implemented at the District level in the 65 selected LGAs and support the following key results: (i) designation of operational District Climate Action Teams (DCATs) with representatives from relevant district-level MDAs, including the Improved O&OD Council Task Force, to guide, facilitate, and implement climate planning and implementation activities using climate-infused O&OD guidelines (to be developed under the IPF component – see below) and based on locally identified priorities, (ii) collection, storage, and analysis of climate change data with established linkages to national level climate data, (iii) awareness raising programs for councillors, LGA staff, and community leaders and members on local climate risks and adaptation options; (iv) participatory climate risk assessments (PCRAs) at the ward level using the climate-infused O&OD guidelines, and (v) ward-level locally led Local Climate Adaption Plans (LCAPs) that address the identified climate vulnerabilities, each year covering an additional LGA division, as well as aggregated investment plans for the district. These results will be supported through three cycles of performance-based Readiness Grants to the 65 LGAs in years 1-3 (FY25/26-FY27/28), averaging US\$30,000 per LGA per cycle.

5. During the development of the LCAPs, trained ward facilitators – current and new - will mobilize the communities, including vulnerable groups, carry out awareness raising programs and consultations with the communities, and collaboratively develop the plans in a way that reflects the findings of the PCRAs and communities' priorities. The Operations Manual (OM) will include clear guidelines for the development of the LCAPs using the climate-infused O&OD guidelines. The consultations will be informed by a predetermined menu of eligible actions as well as a list of ineligible activities to ensure that the LCAPs: (i) align with national strategies and regional spatial plans, (ii) coordinate with and feed into larger climate resilience programs, such as early warning systems, flood protection measures, and natural resource management investments financed by the government, the World Bank, and other donors, (iii) do not cause maladaptation within the watershed, for example by affecting downstream communities' water security, (iv) do not include actions that could cause access restriction or conflict over resources, and (v) do not include ineligible actions or actions that are on the Program's environmental and social (E&S) exclusion list. The ward-level LCAPs will be compiled into LGA-level LCAPs by the DCATs, and the process will be technically supported by the existing Regional Development/Consultative Committee, composed of the Regional Administrative Secretary, relevant MDA directors, LGA focal points, and local CSOs, as well as hired specialists as needed. The LGA-level LCAPs will be reviewed and approved by the District Council and by the Regional Development/Consultative Committee to confirm adherence to the lists of

eligible and ineligible activities and further ensure spatial alignment of actions, respectively. The LGAs will be required to meet Minimum Access Conditions (MACs) to access to the Readiness Grants, and the amounts will be determined for each LGA using a formula that reflects the LGA relative expenditure needs, such as land area, as larger LGAs will need more resources to mobilize communities and carry out readiness activities. The MACs and their qualitative elements will be defined in the OM.

6. **Results Area 2: Invest in locally led climate resilience actions.** RA2 will support the implementation of the LCAPs through investments selected by the communities. These may include, among others, investments in the agriculture sector, such as agroforestry, reforestation, and rehabilitation of degraded rangelands; investments in the water sector that improve community access to water or promote climate smart water conservation through nature-based solutions; investments in the environment and natural resource sector, such as tree planting and community-based forest management; and investments in other sectors, such as ocean-based practices, including growing seagrass/seaweed/mangroves, setting up early warning systems, and alternative livelihoods. Communities living adjacent to protected areas that are affected by access restrictions, including around Ruaha National Park, will be supported to select community-based and demand-driven activities, such as ecotourism, agroforestry, beekeeping, handicraft making, establishment of community conservation banks, fodder production, reforestation, setting up water-efficient irrigation systems and alternative energy sources to reduce dependence on the protected areas, and other selected activities.

7. These actions will be supported by three cycles of performance-based Investment Grants to the 65 LGAs in years 2-4 (FY26/27-FY29/30) that will incentivize the implementation of the LCAPs, the mainstreaming of climate action into LGAs' operations, and an increase in LGAs' financing for climate action. The Investment Grant will average US\$517,000 per LGA per cycle, and the LGAs will access it upon meeting Minimum Performance Conditions (MPCs). The size of the Investment Grant for each LGA in each cycle will be determined based on: (i) a set of Performance Measures (PMs) that incentivize proper data management, inclusiveness and transparency in the LCAP preparation process, availability of a functioning grievance redress mechanism (GRM), and other aspects, each equally rated, adding five percent to the base investment allocation; and (ii) an allocation formula that factors the LGA relative expenditure needs in terms of population, poverty as a proxy for climate vulnerability, and land area. The Investment Grant will trail the Readiness Grant by one year as it will help implement the LCAPs. As communities may select a high number of water-related investments, and to ensure the water security of communities in a given watershed, the LGAs will work closely with regional bodies and specialized agencies, such as the Rural Water Supply and Sanitation Agency (RUWASA), Rufiji Basin Water Authority, and other water boards whose mandates apply. The climate actions will be implemented by the relevant MDAs with the participation of communities as local labor to the extent possible. Existing and new Ward Committees will be mobilized to monitor the execution of the investments and report back to the DCATs. The Regional Development/Consultative Committees and independent regulatory agencies will ensure investments' adherence to national technical standards through the IPF component. A budgeted operations and maintenance plan will be one of the conditions for receiving the Investment Grant. The MACs, PMs, and their qualitative elements will be defined in the OM.

Program Development Objective (PDO)

8. The Program Development Objective (PDO) is to strengthen national and local government systems for increased climate resilience and invest in locally led climate resilience actions in Selected Districts.

9. The PDO Indicators by Outcomes are the following:

- (a) *Outcome 1: Strengthen national government systems for increased climate resilience*
 - i. National government systems support budgeting, transmission, and monitoring of climate finance and action (Yes/No)
- (b) *Outcome 2: Strengthen local government systems for increased climate resilience*
 - ii. LGAs with stronger participatory planning, budgeting, and implementation systems for climate action (Number) (Disbursement Linked Indicator [DLI])
- (c) *Outcome 3: Invest in locally led climate resilience actions in Selected Districts*

- iii. People benefiting from increased resilience¹ of livelihoods, jobs or firms (Number of people, disaggregated to female and youth) (Corporate Scorecard Indicator [CSI])
- iv. People benefitting from climate resilient planning, preparation, surveillance, and/or response (Number of people, disaggregated to female and youth) (CSI)

10. **The Program's beneficiaries are climate vulnerable communities in Tanzania mainland and Zanzibar in 65 districts across 27 of Tanzania's 31 regions** (54 districts across 22 regions in Tanzania mainland and 11 districts across Zanzibar's five regions), including women, men, youth, and vulnerable groups, who will benefit from investments that will enhance their resilience to climate change risks and improved local government systems to manage climate risks. Fifty-five of the selected districts are rural while ten are urban.

Institutional Arrangements

11. PO-RALG will be the implementing agency in mainland Tanzania, while PO-RALG-SD will be the implementing agency in Zanzibar. A joint Program Steering Committee (consisting of Principal Secretaries from MoF, PO-FP, VPO, FVPO, PO-RALG, PO-RALG-SD, Planning Commission, and the Prime Minister's Office) will form the apex of Program coordination. Further, to ensure sector ministries' involvement and coordination, a joint National Interagency Technical Committee (NITC) involving focal points of MDAs identified in the NCCRS as managing relevant climate-sensitive sectors, as well as Tanzania Meteorological Authority, a representative of national CSOs, and a representative of the Tanzania Development Partner Group, will be established. The LGAs will lead the implementation of activities in collaboration with their communities.

ESSA Scope and Methodology

12. The Environmental and Social System Assessment (ESSA) for the SCALE Program was undertaken to review the extent to which the borrower systems for ESHS risk management are consistent with the six core principles and key planning elements of the Bank Policy and Directive for PforR financing. The six core principles and planning elements are used to ensure that PforR operations are designed and implemented in a manner that maximizes potential environmental and social benefits while avoiding, minimizing or mitigating adverse ESHS risks and promote environmental and social sustainability of the Program.

13. In this regard, the WB team conducted a consultative ESSA with national and local government level stakeholders, to evaluate the adequacy of the Borrower's system for management of ESHS risks associated with the Program intervention. Essentially the ESSA entailed:

- a. Reviewing the nature and significance of the Program's ESHS effects, including indirect, induced and cumulative impacts
- b. Assessing the adequacy of the Borrower's systems and capacity for effective management of the ESHS risks including determining if the system is applied as written
- c. Determining the effectiveness of the GRM to receive, record, resolve, and follow up on complaints or grievances received
- d. Formulating measures to enhance the effectiveness of the ESHS management systems and the outcomes for inclusion in the overall Program Action Plan (PAP).

14. In conducting the ESSA, the Bank applied a number of approaches including:

- a. **Screening** of the Program to identify if there are any activities that, under the exclusionary principle of the Policy, need to be excluded because of their likely high risk. The screening was also to identify potential ESHS effects of the Program which may not meet the Policy's criteria for exclusion but potentially pose unacceptable adverse risks that are "judged to likely have significant adverse impacts that are

¹ The definition of resilience for the purpose of indicators (iii), (iv), and (v) will follow the World Bank CSI guidelines and methodologies.

sensitive, diverse, or unprecedented on the environment and/or affected people and thus not eligible for PforR financing.

- b. **Comprehensive desk review of relevant country policies, legal and regulatory framework, and program documents:** This entailed the review of the existing national system consisting of policies, legal, regulatory, and institutional frameworks, Program documents, and similar ESSAs carried out in the recent past. The review examined the set of applicable national level policy, legal, regulatory, and institutional frameworks that are relevant for the management of ESHS effects. In addition, the assessment examined technical documents from previous and ongoing WB PforR Programs in Tanzania and other countries in the region.
- c. **System, Institutional and Capacity Assessment** done to establish both the written and applied system for management of ESHS effects. The ESSA process also interrogated the key Program Implementing Agencies (IAs) for their capacity and experience in management of ESHS effects.

ESSA validation and disclosure workshop

15. In line with the World Bank Policy for PforR financing and the World Bank's Access to Information Policy, the draft ESSA findings will be shared with stakeholders in a workshop post Decision Review/Appraisal. Based on their input and feedback, the draft ESSA will be revised, approved and publicly disclosed in-country on the LGAs and PO-RALG websites, and the WB's external website prior to Board approval.

Program Environmental, Social, Health and Safety (ESHS) Effects

16. The scope of subprojects to be undertaken under the Program will range from small to medium scale infrastructure related to climate change adaptation in the sectors of agriculture, water, forestry, livestock, fisheries, and coastal and marine environment, among others. The Program will not fund any activities that have high E&S risks under the Environmental and Social Framework (ESF) and an exclusion list will be developed for types of investments that would be considered ineligible.

ESHS Risk Rating

17. The overall risk of the Program is rated **Substantial** due to; (i) the participating LGAs are geographically spread across mainland Tanzania and Zanzibar; (ii) likely different scales of investments; (iii) wide range of environmental, social, health and safety (ESHS) impacts associated with the activities described in RA2; (iv) the low capacity of the LGAs to manage ESHS risks, and; (v) the numerous capacity gaps identified in the institutions responsible for managing environmental, social and health risks at all levels of the Program.

18. **Environmental benefits:** include but are not limited to: (i) creating awareness on the meaning and impacts of climate change to local communities, (ii) empowerment of local communities by their involvement in the project selection process, (iii) reduced risks due to climate change impacts such deforestation, (iv) improvement in biodiversity regeneration, increase in surface and groundwater recharging capacity, and (v) reduced environmental degradation through mitigations against flooding and soil erosion as a result of drainage improvements, among others.

19. **Environmental, health and safety risks:** EHS risks will be site-specific and generally limited to construction phase that includes disturbance of existing vegetation, air pollution from dust and vehicles exhaust; nuisances such as noise, vibration impacts, traffic interruptions, and blocking access paths; water and soil pollution from the accidental spillage of fuels or other hazardous materials associated with construction works, as well as solid and liquid wastes from construction sites and worker campsites; traffic interruptions and accidents; occupational health and safety incidents through injuries or accidents to the workers; and disruption and/or damage to public utilities such as internet cables, electricity, wastewater, and water facilities. The long-term impacts during the operation phase include solid waste and wastewater projects that can exacerbate contamination of soil and groundwater from poorly planned and manage/maintained systems, boreholes could deplete surface or

groundwater sources over time particularly as climate change is expected to reduce water resources, among others

20. **Social benefits:** Activities to be supported by the Program are expected to generate socio-economic gains and have an overall positive effect. The anticipated potential positive impacts include but not limited to, (i) building local communities' resilience to effects of Climate Change; Strengthen local communities' including vulnerable groups and VMGs voice and agency in their local development activities involving climate change. (ii) Building capacity of women for leadership and decision-making positions, (iii) Inclusion in community development for marginalized communities/Indigenous peoples, people living with disabilities, women, and the youth, (iv) creation of employment, (v) Greater security and reduced incidences of SEA, (vi) Livelihood improvements and restoration e.g. at sea intrusion areas, through an increase in food production and better nutrition, among others.

21. **Social risks:** The Program interventions are associated with a number of social risks comprising: i) Transitioning to more sustainable practices might disrupt existing livelihoods, causing economic hardships for some community members, ii) labour influx risks which may upset community dynamics and lead to an increase in Gender-Based Violence (GBV), especially SEA and Sexual Harassment (SH), crime, and insecurity; iii) poor targeting and exclusion of vulnerable and marginalized groups during selection and accessing Program benefits, iv) use of forced and child labour especially in the construction of proposed infrastructures; v) inadequate mechanisms for stakeholder identification, engagement and information disclosure; vi) Elite capture and/or political interference in selection of infrastructure to be built, leaving out the most deserving; and, vi) execution of sub projects for the achievement of the DLIs could result in social tensions and grievances resulting in the overall delay or stalling of the Program.

ESSA Findings

22. The ESSA identified gaps that would potentially undermine the application of the country systems for effective management of ESHS risks and impacts under the Program. Despite the robustness of the country's ESHS system, the ESSA identified: (i) Inadequate commitment to ESHS sustainability leading to inadequate resourcing and accountability for ESHS risk management; (ii) fragmented legislative and institutional frameworks for managing ESHS risks and impacts, especially social risks; (iii) ineffective GRM systems; (iv) inadequate targeting and inclusion of disadvantaged individuals and groups in participation and accessing Program benefits; (v) limited monitoring and reporting on ESHS risks and impacts management; (vi) inadequate collaboration and coordination between lead ESHS agencies to manage ESHS risks; (vii) inadequate ESHS staffing at the implementing agencies; (viii) Inadequate inclusion and/or implementation of strong ESHS clauses in the contract and bidding documents; and (ix) inadequate contract management and supervision of Environmental and Social Management Plans (ESMPs).

ESSA Recommendations

23. This ESSA recommends some action plans primarily to; strengthen ESHS management systems, build capacity, and strengthen implementation and monitoring of ESHS risk management within the Implementing agencies and LGAs throughout the Program cycle. To mitigate against ESHS risks and impacts, all sub-projects under the Program will undergo screening, which will include a set criterion for excluding certain categories of sub-projects that would result in high and substantial risks and significant negative ESHS impacts that are irreversible or unprecedented on the environment and/or affected people, regardless of the government's capacity to mitigate the risks. All the sub-projects will be required to follow the guidelines of the Environmental, Social, Health, and Safety Risks and Impacts Management (ESHSRIM) Manual which will be developed by the Program and included in the OM. The OM forms part of the Financing Agreement of the Program. In addition, the ESSA has recommended ESHS mitigation and enhancement measures in the Program Action Plan presented in the table below. The PAP shall be legally binding and incorporated into the Financing Agreement of the Program.

Table 0-1: Program Action Plan (PAP)

No.	Action Description	DLI	Responsibility	Others	Timing	Expected Output
Actions to strengthen Environmental, Health and Social Management Systems (EHSMS)						
1.	<p>Develop and adopt an Environmental, Social, Health, and Safety Risk and Impacts Management (ESHSRIM) Manual as an annex to the Operations Manual (OM).</p> <p>The manual to include protocols on meaningful engagement and inclusion of minority VMGS and other disadvantaged or vulnerable individuals and groups; land acquisition and compensation; training program for NPCT and LGA staff on the manual; ESHS risks and impacts management, verification protocol in APA; ESHS clauses and budgets for civil works bidding and contract documents; monitoring arrangements and indicators; sub-project GM structure, and ESHS reporting and monitoring templates.</p>	IPF	PO-RALG, PO-RALG-SD VPO/FVPO	<ul style="list-style-type: none"> LGAs Lead ESHS agencies MCDGEC RS 	Before effectiveness	<ul style="list-style-type: none"> ESHSRIM Manual developed annexed to the OM. Training of ESHSRIM manual by all LGA PCU staff. Operationalization of the ESHSRIM for all LGAs
Actions to ensure meaningful engagement and equitable inclusion of VMGs and other disadvantaged or vulnerable individuals and groups in climate action						
2.	<ul style="list-style-type: none"> Strengthen the O&OD public participation guidelines, to mainstream aspects of gender, disability, minority VMGs, and other disadvantaged groups. Ensure their representation on ward-level governance structures (project implementation and GM² committees). Prioritize climate action projects that collectively benefit all segments of the community. 	<p>IPF</p> <p>DLI 2.2</p>	NPCT LGAs	<ul style="list-style-type: none"> MCDGEC NCPWD LGAs 	Before disbursement of investment grants to LGAs	<ul style="list-style-type: none"> Minutes of engagements held Signed minutes of participants Data on projects benefitting these groups To be confirmed annually through APA
Actions to build the capacity for staff of implementing agencies, involved in the Program to enhance ESHS performance						

² Grievance Mechanism

No.	Action Description	DLI	Responsibility	Others	Timing	Expected Output
3.	Establish an E&S unit at PO-RALG and LGAs devoted to the management of ESHS risks and impacts, to build capacity at the institution	DLI 2.1	PO-RALG, PO-RALG-SD		1 yr after Program effectiveness	<ul style="list-style-type: none"> A fully established E&S unit at PO-RALG
4.	Enhance the ESHS risk management capabilities by staffing the PIT at PO-RALG, VPO, and LGAs with adequate, qualified, experienced, and a full-time Environmental Health and Safety Specialist, and Social Specialist .	DLI 2.1	VPO/FVPO LGA		Before disbursement of Investment Grants to the LGAs	<ul style="list-style-type: none"> Qualified and experienced staff assigned to PIT Appointment of 1 Environmental Health and Safety (EHS) Officer, and 1 Social Specialist at LGAs, confirmed annually during APA.
5.	Digitize and integrate SRIM into the ZEMA/NEMC ESIA approval process.	IPF	NPCT NEMC & ZEMA MCDEGC		Within 1 year after Program effectiveness	<ul style="list-style-type: none"> ESIA approval processes incorporating SRIM.
6.	Collaborate with lead ESHS agencies ³ , to train LGA ESHS staff and contractors on ESHS aspects. Training program developed by VPO and lead ESHS agencies.	IPF	VPO Lead ESHS Agencies LGAs	PO-RALG	Continuous	<ul style="list-style-type: none"> Training Program, and training reports. Number of trainings and technical assistance provided. Confirmed through progress reports.
Actions to strengthen the implementation and monitoring of the ESHS risk management						
7.	<ul style="list-style-type: none"> Include a robust ESHS risks and impacts management verification protocol in APA PIT to conduct an independent annual ESHS audit for all infrastructure investments, and reports shared with the WB 	DLI 2.2	NPCT WB	LGAs	<p>Before APA</p> <p>Yearly by end of the FY</p>	<ul style="list-style-type: none"> Inclusion of APA verification indicators in the ToRs for APA. Inclusion of a chapter on ESHS in the main APA reports. Independent Annual ESHS Audit report
8.	Include all the applicable ESHS clauses and budgets in the bidding and contract documents for civil works.	DLI 2.2	LGAs	PO-RALG	Prior to the procurement of any civil works	<ul style="list-style-type: none"> Bidding and Contract document templates with ESHS aspects. Inclusion of ESHS in bills of quantities for all subprojects Supervision and monitoring reports and confirmed through APA.

³ Including OSHA, NEMC, ZEMA, MCDGEC

No.	Action Description	DLI	Responsibility	Others	Timing	Expected Output
9.	<ul style="list-style-type: none"> ALL LGAs to develop and manage functional GRM systems. Provide sub-project level functional GMs that also address their needs and are GBV- SEAH⁴ responsive. 	DLI 2.2	LGAs LGAs	VPO/FVPO MCDGEC	Within 1 year after Program effectiveness Before the commencement of sub-projects	<ul style="list-style-type: none"> Functional GRM systems rolled out at ALL LGAs. GRM constituted and grievances being logged, responded, and resolved for sub-project levels Confirmed annually through APA.
10.	All LGAs to develop community engagement plan and inclusion strategy for vulnerable group	DLI 2.2	LGAs &MCDGEC		Prior commencement of Program activities	<ul style="list-style-type: none"> Plan which includes community/stakeholders' views about the Program. Schedule for implementation of the plan throughout Program life cycle

⁴ Sexual Exploitation, Abuse, and Sexual Harassment

1 PROGRAM DESCRIPTION

1.1 Background

1. **The Scaling-up Locally Led Climate Action Program (SCALE, the Program) is a Program-for-Results (PforR) /Investment Project Financing (IPF) hybrid operation that addresses climate change risks through a locally led approach, where resources flow directly to local government and communities.** Despite being on the frontline of climate impacts and their potential to bring leadership and expertise to mitigation and adaptation processes, local actors continue to receive limited resources for climate action as most climate finance is handled and allocated at the national level. As of 2023, less than 17 percent of global climate finance is allocated for building local resilience,⁵ exacerbating the dynamics of exclusion and inequality and perpetuating the risk of maladaptive options that increase communities' exposure to hazards, or create new risks or harms for vulnerable groups. The Program will support the United Republic of Tanzania's climate adaptation and mitigation strategies through a locally led climate action model that addresses the diverse and immediate impacts that communities experience as a result of climate change while reversing the prevailing climate finance modus operandi by ensuring enhanced flows of climate finance to local governments and their communities.

2. In Tanzania mainland, the Vice President's Office (VPO) is the central coordinating agency for climate change plans and actions, while the President's Office - Regional Administration and Local Government (PO-RALG) coordinates and implements climate actions at the sub-national level. The Ministry of Finance (MoF) is responsible for public finance matters. In Zanzibar, the First Vice President's Office (FVPO) is the central coordinating Ministry for Climate Change Plans and Actions, the President's Office Regional Administration, Local Government and Special Departments (PO-RALG-SD) implements sub-national climate actions, and the President's Office Finance and Planning (PO-FP) is responsible for public finance matters. In both Tanzania mainland and Zanzibar, sectoral ministries coordinate climate actions relevant to their respective sectors, and both are in the process of establishing Climate Change Units (CCUs) within MoF/PO-FP to manage climate finance and formulate climate policies and strategies.

1.2 PforR Program Scope

3. The Program will be aligned with the World Bank Group (WBG) Tanzania Country Partnership Framework (CPF) for the Period FY25- FY29⁶, particularly High-Level Objective 3: Enhanced Resilience to Shocks and Climate Impacts, Objective 9: Increased Climate Resilience by scaling up financing of structural and non-structural interventions across various sectors at the national and local levels. The project will also support the CPF's Cross-Cutting Priority 2: Empowerment of Women and Youth by ensuring that they participate in, and benefit from decision-making processes on climate adaptation options and increased access to climate investments. The proposed operation is also aligned with Tanzania's Nationally Determined Contributions (NDC) commitments, particularly on adaptation and whole-of-government systems to address climate change.

4. **The Government of Tanzania has piloted a decentralized climate finance mechanism that addressed some of these challenges, with good results.** A 2016-2018 Local Climate Adaptive Living (LoCAL) Facility supported by the United Nations Capital Development Fund (UNCDF) established a Climate Adaptation Fund in three LGAs in Tanzania mainland – Chamwino, Kondo, and Mtwapa districts - that financed climate action planning, implementation, and oversight by elected community representatives at the division level. The pilot was led at the central level by PO-RALG and locally by the three LGAs and village-level committees with the support of the ward and community facilitators. It successfully financed resilience-

⁵ United Nations Environment Programme. 2023. Adaptation Gap Report 2023: Underfinanced. Underprepared. Inadequate investment and planning on climate adaptation leaves world exposed. Nairobi. <https://doi.org/10.59117/20.500.11822/43796>.

⁶ Report No. CPF0000021.

building investments that had significant impact on the beneficiary communities, overseen by LGAs, and maintained by village level committees. The investments responded to identified local risks and priorities defined by the communities, supporting livelihoods, livestock health, and water access for people and livestock.

5. **SCALE will be financed by a US\$100 million IDA Credit and a US\$10 million Multi-Donor Trust Fund (SSI4All) over a five-year period.** It will be implemented as a PforR/IPF operation where the PforR will implement the government program's Strategic Areas and Priorities at the local level and thus support the PDO's local outcome statements. Both local outcomes will be supported in the selected 65 LGAs in order to use the Program as a robust proof of concept that could be further scaled up by the government to the rest of the country using experience and lessons learned from the implementation of the Program. The IPF will support the PDO's national outcome statement by building national capacity in both Tanzania mainland and Zanzibar to implement the Program effectively, addressing weaknesses identified in the operation's assessments and financing Program coordination, management, and verification costs. Tools developed under the IPF component will be utilized by the central government and the LGAs to implement the PforR component, for example guidelines for engaging communities in climate action planning and implementation and climate finance and action monitoring systems.

6. **The Program's locally led approach puts those actors on the frontlines of climate change—communities, local governments, indigenous peoples, and civil society groups—in a position to drive the national response to climate change while creating institutional changes and building the capacities needed across all levels of government and society for local leadership on climate action.** The approach centers on (i) subsidiarity and emphasis on devolving power and closing the financing gap to strengthen the capacity of the lowest appropriate level for governing and addressing the impacts of climate challenge, (ii) participation, inclusion, and empowerment of communities for climate action through a climate-infused Improved O&OD methodology, and (iii) climate-informed investment with the best available climate science and existing climate priorities. Through this approach, the Program is expected to lead to strengthened government systems for climate transitions, increased transparency and accountability over climate action, improved coordination and circulation of climate information across sectors and levels of government, more inclusive local participation and decision making on climate change, and greater integration of local knowledge to support more sustainable implementation of climate policies. The locally led approach thus offers a sustainable and tailor-made approach to addressing national resilience objectives.

7. **The Program's beneficiaries are climate vulnerable communities in Tanzania mainland and Zanzibar in 65 districts across 27 of Tanzania's 31 regions** (see Annex 8), including women, men, youth, and vulnerable groups, who will benefit from investments that will enhance their resilience to climate change risks and improved local government systems to manage climate risks. Fifty-five of the selected districts are rural while ten are urban.

1.3 Program Development Objective(s) (PDO) and PDO Level Results Indicators

8. The Program Development Objective (PDO) is to strengthen national and local government systems for increased climate resilience and invest in locally led climate resilience actions in Selected Districts.

9. The PDO Indicators by Outcomes are the following:

(d) *Outcome 1: Strengthen national government systems for increased climate resilience*

v. National government systems support budgeting, transmission, and monitoring of climate finance and action (Yes/No)

(e) *Outcome 2: Strengthen local government systems for increased climate resilience*

vi. LGAs with stronger participatory planning, budgeting, and implementation systems for climate action (Number) (Disbursement Linked Indicator [DLI])

- (f) *Outcome 3: Invest in locally led climate resilience actions in Selected Districts*
- vii. People benefiting from increased resilience⁷ of livelihoods, jobs or firms (Number of people, disaggregated to female and youth) (Corporate Scorecard Indicator [CSI])
- viii. People benefitting from climate resilient planning, preparation, surveillance, and/or response (Number of people, disaggregated to female and youth) (CSI)

10. **The SCALE Program will be financed by a US\$100 million IDA Credit and a US\$10.0 million Multi-Donor Trust Fund (SSI4All) over a five-year period.** The PforR would focus on two main Results Areas:

11. **Results Area 1: Strengthen local government systems.** This RA will be implemented at the District level in the 65 selected LGAs and support the following key results: (i) designation of operational District Climate Action Teams (DCATs) with representatives from relevant district-level MDAs, including the Improved O&OD Council Task Force, to guide, facilitate, and implement climate planning and implementation activities using climate-infused O&OD guidelines (to be developed under the IPF component – see below) and based on locally identified priorities, (ii) collection, storage, and analysis of climate change data with established linkages to national level climate data, (iii) awareness raising programs for councillors, LGA staff, and community leaders and members on local climate risks and adaptation options, (iv) participatory climate risk assessments (PCRAs) at the ward level using the climate-infused O&OD guidelines, and (v) ward-level locally led Local Climate Adaption Plans (LCAPs) that address the identified climate vulnerabilities, each year covering an additional LGA division, as well as aggregated investment plans for the district. These results will be supported through three cycles of performance-based Readiness Grants to the 65 LGAs in years 1-3 (FY25/26-FY27/28), averaging US\$30,000 per LGA per cycle.

12. During the development of the LCAPs, trained ward facilitators – current and new - will mobilize the communities, including vulnerable groups, carry out awareness raising programs and consultations with the communities, and collaboratively develop the plans in a way that reflects the findings of the PCRAs and communities' priorities. The OM will include clear guidelines for the development of the LCAPs using the climate-infused O&OD guidelines. The consultations will be informed by a predetermined menu of eligible actions as well as a list of ineligible activities to ensure that the LCAPs: (i) align with national strategies and regional spatial plans, (ii) coordinate with and feed into larger climate resilience programs, such as early warning systems, flood protection measures, and natural resource management investments financed by the government, the World Bank, and other donors, (iii) do not cause maladaptation within the watershed, for example by affecting downstream communities' water security, (iv) do not include actions that could cause access restriction or conflict over resources, and (v) do not include ineligible actions or actions that are on the Program's environmental and social (E&S) exclusion list (see Annex 2). The ward-level LCAPs will be compiled into LGA-level LCAPs by the DCATs, and the process will be technically supported by the existing Regional Development/Consultative Committee, composed of the Regional Administrative Secretary, relevant MDA directors, LGA focal points, and local CSOs, as well as hired specialists as needed. The LGA-level LCAPs will be reviewed and approved by the District Council and by the Regional Development/Consultative Committee to confirm adherence to the lists of eligible and ineligible activities and further ensure spatial alignment of actions, respectively. The LGAs will be required to meet Minimum Access Conditions (MACs) to access to the Readiness Grants, and the amounts will be determined for each LGA using a formula that reflects the LGA relative expenditure needs, such as land area, as larger LGAs will need more resources to mobilize communities and carry out readiness activities. The MACs and their qualitative elements will be defined in the OM.

13. **Results Area 2: Invest in locally led climate resilience actions.** RA2 will support the implementation of the LCAPs through investments selected by the communities. These may include, among others, investments in the agriculture sector, such as agroforestry, reforestation, and rehabilitation of degraded rangelands; investments in the water sector that improve community access to water or promote climate

⁷ The definition of resilience for the purpose of indicators (iii), (iv), and (v) will follow the World Bank CSI guidelines and methodologies.

smart water conservation through nature-based solutions; investments in the environment and natural resource sector, such as tree planting and community-based forest management; and investments in other sectors, such as ocean-based practices, including growing seagrass/seaweed/mangroves, setting up early warning systems, and alternative livelihoods. Communities living adjacent to protected areas that are affected by access restrictions, including around Ruaha National Park, will be supported to select community-based and demand-driven activities, such as ecotourism, agroforestry, beekeeping, handicraft making, establishment of community conservation banks, fodder production, reforestation, setting up water-efficient irrigation systems and alternative energy sources to reduce dependence on the protected areas, and other selected activities.

14. These actions will be supported by three cycles of performance-based Investment Grants to the 65 LGAs in years 2-4 (FY26/27-FY29/30) that will incentivize the implementation of the LCAPs, the mainstreaming of climate action into LGAs' operations, and an increase in LGAs' financing for climate action. The Investment Grant will average US\$517,000 per LGA per cycle, and the LGAs will access it upon meeting Minimum Performance Conditions (MPCs). The size of the Investment Grant for each LGA in each cycle will be determined based on: (i) a set of Performance Measures (PMs) that incentivize proper data management, inclusiveness and transparency in the LCAP preparation process, availability of a functioning grievance redress mechanism (GRM), and other aspects, each equally rated, adding five percent to the base investment allocation; and (ii) an allocation formula that factors the LGA relative expenditure needs in terms of population, poverty as a proxy for climate vulnerability, and land area. The Investment Grant will trail the Readiness Grant by one year as it will help implement the LCAPs. As communities may select a high number of water-related investments, and to ensure the water security of communities in a given watershed, the LGAs will work closely with regional bodies and specialized agencies, such as the Rural Water Supply and Sanitation Agency (RUWASA), Rufiji Basin Water Authority, and other water boards whose mandates apply. The climate actions will be implemented by the relevant MDAs with the participation of communities as local labor to the extent possible. Existing and new Ward Committees will be mobilized to monitor the execution of the investments and report back to the DCATs. The Regional Development/Consultative Committees and independent regulatory agencies will ensure investments' adherence to national technical standards through the IPF component. A budgeted operations and maintenance plan will be one of the conditions for receiving the Investment Grant. The MACs, PMs, and their qualitative elements will be defined in the OM. A list of indicative actions to be funded is provided in Annex 8.

15. **IPF component (US\$10.0 million).** The IPF will finance actions at the national level that address system gaps identified in the three PforR assessments to further help the Government of Tanzania implement its program. The following activity groups will be implemented in parallel to the PforR, except parts of activity group (a), which will be implemented at the Program's onset:

- (a) Cascading of MDA support to the selected LGAs: consultancies and training to transition the Improved O&OD guidelines into climate-infused O&OD guidelines to be used by the ward and community facilitators to support the carrying out of PCRAs and the development of the LCAPs; and provision of TA and equipment to relevant MDAs, including sectoral ministries, VPO, FVPO, MoF, PO-FP, PO-RALG, PO-RALG-SD, and the Tanzania Meteorological Authority, to enhance their abilities to provide effective climate-related services to LGAs throughout the Program.
- (b) Cross-sectoral coordination for climate risk management: consultancies for the development and/or revision of relevant policies and strategies with a clear definition of MDAs' roles and responsibilities and inter-agency coordination mechanisms; consultancies and goods for the establishment and operationalization of Climate Finance Units (CFUs) in MoF and PO-FP to centrally coordinate and manage the country's climate finance; consultancies and goods for the development of a national dashboard to map donor and government climate interventions to ensure coordination, to be managed by the CFUs; and technical assistance to the government for its ongoing development of a 2027-2032 NCCRS and adjusting the ZCCS to ensure consideration of lessons learned and good practices from the implementation of the SCALE Program and to reflect the upcoming National Vision 2025-2050, including its pillar on climate change resilience.

- (c) Climate data management and public communication: goods, consultancies, and training to improve Tanzania's climate expenditure tracking and reporting systems; and consultancies and training for the development and implementation of a communication program to communicate within the government, with the public, and with donors the country's climate risks, adaptation options, and the support provided by the SCALE Program.
- (d) Enhancing national and LGA environmental and social risk management (ESRM) capacity: the IPF component will provide technical assistance to support ESRM institutionalization and capacity building in PO-RALG, PO-RALG-SD, Management Environment Council, Zanzibar Environmental Management Authority, Occupational Safety and Health Authority, Department of Occupational Safety and Health Zanzibar, the Ministry of Community Development, Gender, Women, and Special Groups, and targeted LGAs. It will include: (i) provision of training to national level entities to ensure proper coordination of the national environmental and social legislation; (ii) provision of ESRM training to the LGAs, including their environmental committee members, on the implementation of national environmental and social legislation and international best practices for ESRM, such as undertaking environmental and social assessments and monitoring ESRM plans; (iii) developing a curriculum for ESRM training in colleges and universities and piloting it selected institutions to ensure long-term ESRM capacity in the public sector; and (iv) establishing an accreditation process on social risk management.
- (e) Program coordination, management, oversight, technical support, and verification: goods and operating costs for the Program's implementation structure, including Program Implementation Teams (PITs) and national, regional, and LGA-level bodies that will implement, provide oversight, and technical support the Program; result verification; and development and implementation of a CSO Engagement Framework to socialize the Program among Tanzania's CSOs and communities and facilitate their engagement in local Program activities, such as the PCRA and LCAP preparation, implementation and monitoring; ensure effective GRMs; and provide technical support to communities.

16. **The IPF component will be managed by MoF in Tanzania mainland and PO-FP in Zanzibar**, and the activities noted above will be executed by the respective responsible national entities, mainly MoF, PO-FP, VPO, FVPO, PO-RALG, and PO-RALG-SD, as well as other relevant MDAs and the Regional Secretariats. A work plan and a budget for the IPF component were agreed with the government during preparation, and these, alongside terms of reference for each executing MDA, will be included in the OM. MoF and PO-FP will designate technical and fiduciary staff to manage the component, monitor its implementation, and report progress to the PITs on a periodical basis to feed into the Program's progress reports

17. **Disbursement Linked Indicators (DLIs).** Broadly, two umbrella DLIs will mirror the Results Areas, namely DLI-1: LGAs with stronger participatory planning, budgeting, and implementation systems for climate resilience action; and DLI-2: LGAs with enhanced resilience through locally led climate action investments. Examples were discussed for each of the Results Areas to make the DLIs measurable, including the number of LGAs that conduct climate-infused O&ODs, covering a minimum percentage of villages/wards; number of LGAs that have prepared a locally led climate action plan; and number of LGAs that have explicitly identified women-centric climate action priorities.

1.4 Institutional and Implementation Arrangements

18. **In line with the government program's implementation strategy and given their legal mandate to manage the sub-national governance system, including climate action by LGAs, PO-RALG will be the Implementing Agency in Tanzania mainland and PO-RALG-SD will be the Implementing Agency in Zanzibar.** Each will form a Program Implementation Team (PIT) of staff from relevant departments with expertise in engineering, procurement, financial management, environmental management, community development/gender, social risk management, M&E, data management, and planning, among others. The positioning and composition of the PIT will thus ensure vertical coordination between central and local action in these sectors, which will be reinforced through collaboration with relevant sector line ministries. The PO-RALG PIT will be the Program's focal point for the World Bank.

1.5 Operations Manual

19. **An OM will be prepared** and will include: (a) the activities and timetable of actions to be carried out under the Program and excluded activities; (b) the respective roles and responsibilities of entities participating in the Program; (c) the composition and responsibilities of the PITs; (d) the fiduciary, technical, and operational aspects and procedures for implementation of the Program, including the financial management (FM) procedures; (e) the procedures for distribution of IDA credit proceeds to the participating LGAs; (f) the verification protocols for the DLIs; and (g) the anti-corruption guidelines. The OM will also include the Environmental, Social, Health, and Safety Management Risk and Impacts (ESHSRIM) Manual as an Annex, to guide the implementation of ESHS for the program activities.

1.6 Results Monitoring, Evaluation

20. **The Program's M&E system will be anchored in its results framework, which will determine the level of PDO achievement and implementation progress under the two RAs and the IPF component and inform corrective actions to enhance implementation.** The DLIs, which are included in the results framework as PDO-level and intermediate result indicators, will be measured by an independent verification agent, namely the Internal Auditor General (IAG) in Tanzania mainland and the Internal Auditor General Zanzibar (IAGZ) in Zanzibar through APAs using the verification protocol, and the results of the verification process will determine the PforR disbursement. The World Bank will carry out performance assessments of the APAs. As part of the APA, IAG and IAGZ will also carry out annual Program risk analyses and report on their findings to the government and the World Bank to ensure early and continuous risk monitoring. IAG and IAGZ will each nominate two focal points who will be trained by the World Bank on various verification aspects. They will then hire surveyors and train them to carry out the verifications.

21. **All the Program indicators are climate-tagged, and gender and citizen engagement indicators are included in the results framework.** The indicators will be monitored by the government and the World Bank to identify risks and take remedial action. Focal points in the Regional Secretariats will use agreed reporting templates to report on progress in their respective LGAs as it relates to outputs and outcomes monitored by the results framework, as well as risks, good practices, and other information requested by the PITs for the purpose of managing the Program. This information, as well as information on the IPF progress from MoF and PO-FP, will be compiled by the two PITs and then aggregated by the PO-RALG PIT into semi-annual Program progress reports to be shared with the PSC and NITC and submitted to the World Bank. An in-depth mid-term evaluation exercise will be similarly carried out, recommending any adjustments to the Program's design, while a completion review will assess the level of objective achievement among other factors. Budgets for M&E, including associated operating costs, training of staff, DLI verification costs, and action learning activities are allocated under the IPF component. LGA monitoring systems will be established under RA1 and operated by the DCATs to feed into the national system and provide ongoing updates on climate expenditure and action.

1.7 Disbursement Arrangements

22. **Disbursements under the PforR component will be made based on the achievement of verified results, measured by the DLIs.** Once a DLI is achieved, PO-RALG and PO-RALG-SD will submit evidence of results to the World Bank through MoF. Upon the World Bank's acceptance, PO-RALG and PO-RALG-SD may request disbursement. Funds will be disbursed to the SCALE Program Accounts at the Bank of Tanzania in USD. Funds from the World Bank will be disbursed to Program bank accounts in the Bank of Tanzania for PO-RALG and PO-RALG-SD, respectively. PO-RALG will transfer funds to LGAs based on their entitlement given performance and horizontal allocation formula, whereby transfers may be annual, half yearly, or quarterly depending on governments preference. For Zanzibar, Program activities will be paid for directly by PO-RALG-SD. PO-RALG and PO-RALG-SD must demonstrate through annual financial statements that Program expenditures equal or do not exceed the World Bank's financing by the end of the Program. Under the IPF component, designated Program bank accounts within MoF, PO-FP, VPO, FVO, PO-RALG, and PO-RALG-SD

will be maintained at the Bank of Tanzania. Disbursement requests will be based on an approved six-month work plan and cash flow projections. Funds will be disbursed quarterly upon submission of Interim Financial Reports. The OM will specify the frequency of fund transfers to other implementing agencies as well as the reporting requirements. Additional disbursement methods will be outlined in the Disbursement and Financial Information Letter.

1.8 Capacity Building

23. Through the IPF component, the IAs will coordinate technical assistance and a program of capacity-building activities for the implementing agencies. In addition to the TA and capacity building activities already discussed under the IPF component, through the IPF component, technical assistance will be provided to address gaps identified by the technical, financial, and E&S assessments, as well as to support the achievement actions in the PAP.

24. **The IPF will enhance National and LGA environmental and social risk management (ESRM) capacity:** the IPF component will provide technical assistance to support the institutionalization and capacities for ESRM at the national and local government levels. The focus will be on PO-RALG, PO-RALG-SD, LGAs, the National Management Environment Council (NEMC), Zanzibar Environmental Management Authority (ZEMA), Occupational Safety and Health Authority (OSHA-Z), DOSH, and the ministries in charge of gender and community development, among others, to assist in their management of environmental, social, health, and safety (ESHS) risks and impacts under the Program. Additionally, the component will assist in the establishment of E&S units at LGAs, PO-RALG and PO-RALG-SD and enhancing the E&S specialists' awareness and capacity to manage E&S risks and impacts through training and resources to monitor ESHS implementation. The component will also assist in capacity building of LGAs and local communities to increase awareness and enhance their understanding of climate change risks, adaptation and mitigation options.

2 ENVIRONMENTAL AND SOCIAL SYSTEMS ASSESSMENT SCOPE AND METHODOLOGY

2.1 Purpose and Objectives

25. The PforR instrument requires technical, fiduciary, and environmental and social assessments. Therefore, the ESSA has been prepared by the WB for the PforR component of the Program to determine the capacity of the borrower's systems to plan and implement effective measures for the management of ESHS risks associated with the Program, and to promote E&S sustainability and requirement to avoid, minimize, or mitigate adverse ESHS impacts. In accordance with the WB PforR policy requirements, the borrower will apply national systems for the management of ESHS risks associated with the PforR interventions, provided these are consistent with the WB's PforR policy requirements, including the six PforR Core Principles and key planning elements. The specific objectives of the ESSA are to:

- i. Identify the Program's potential ESHS effects
- ii. Review the existing policy, legal, regulatory, and institutional frameworks relevant to ESHS management of effects related to Program's interventions
- iii. Assess the capacity of implementing institutions in managing potential adverse ESHS risks and impacts associated with the Program
- iv. Assess the Program's system performance with respect to the Six core PforR principles and identify strengths, weaknesses, opportunities, and threats in Program performance
- v. Recommend specific actions to address gaps in the Program's ESHS systems that will be embedded into the PAP and Program design, to strengthen the Program's performance

2.2 The ESSA Approach

26. The Program's ESSA has been prepared to establish the extent to which the borrower system is consistent with the Six Core Principles of the World Bank's PforR policy for purposes of enhancing effectiveness in the management of the Program Environmental, Social Health, and Safety (ESHS) effects while promoting sustainable development. These six Core Principles include:

- i. **Environment and Social Management:** To promote E&S sustainability in the Program design; avoid, minimize, or mitigate adverse impacts; and promote informed decision-making relating to the Program's E&S effects.
- ii. **Natural Habitats and Physical and Cultural Resources:** To avoid, minimize, or mitigate adverse impacts and promote informed decision-making relating to a Program's E&S effects in relation to physical and cultural resources.
- iii. **Protection of Public and Worker Safety:** To protect public and worker safety against the potential risks associated with construction and/or operations of facilities or other operational practices under the Program; exposure to toxic chemicals, hazardous wastes, and other dangerous materials under the Program; and reconstruction or rehabilitation of infrastructure located in areas prone to natural hazards.
- iv. **Land Acquisition and Loss of Access to Natural Resources:** To manage land acquisition and loss of access to natural resources in a way that avoids or minimizes displacement, and assists the affected people in improving, or at the minimum restoring, their livelihoods and living standards.
- v. **Indigenous Peoples and Vulnerable Groups:** To give due consideration to the cultural appropriateness of, and equitable access to, Program benefits, giving special attention to the rights and interests of the Indigenous Peoples and the needs or concerns of vulnerable groups.
- vi. **Social Conflict:** To avoid exacerbating social conflict, especially in fragile states, post-conflict areas, or areas subject to territorial dispute.

27. The relevance and applicability of the Six Core PforR Principles to the proposed Program are discussed under Chapter 6 where a comparative analysis of the borrower ESHS system and the Six Core PforR principles including the key planning elements is presented.

2.3 The ESSA Methodology

28. In conducting the ESSA, the WB team applied various techniques, including the following:

- i. **Assessment of the ESHS effects of the Program:** an ESHS risk screening of the proposed Program activities was undertaken during the concept stage to identify potential ESHS effects and to confirm that there are no Program activities that meet the defined exclusion criteria are included in the Program, in line with the World Bank guidelines for PforR.
 - ii. **Comprehensive desk review** of the existing national system consisting of policies, legal, regulatory, and institutional frameworks, Program documents, and similar ESSAs carried out in the recent past. The review examined the set of applicable national-level policy, legal, regulatory, and institutional frameworks that are relevant to the management of ESHS effects. In addition, the assessment examined technical documents from previous and ongoing WB PforR Programs in Tanzania and other countries in the region.
 - iii. **Stakeholder consultations:** Various key Stakeholders were engaged between November and December 2024, to enable the World Bank team to understand the existing systems and institutional experiences with regard to the application of the ESHS systems for the management of ESHS effects. To this end, the ESSA process involved institutional analysis to assess the capacity of key institutions to effectively implement the required ESHS actions. The assessment of these key institutions focused on their capacity for E&S risk management, public and worker health & safety, labour-related issues, and inclusion of vulnerable groups including women, youth, the aged, and persons with disability. Some of the key relevant stakeholders consulted included MoF, PO-RALG, Ministry of Community Development, Gender, Elderly and Children (MCDGEC), Occupational Safety and Health Authority (OSHA), Zanzibar Environmental Management Agency (ZEMA), National Environment Management Council (NEMC), Vice President's Office (VPO), and Community-based Organizations (CBOs) / Civil Society Organizations (CSOs), among others. The comprehensive list of all stakeholders consulted is presented in Annex 7 of this report.
- V **ESSA validation and disclosure workshop.** In line with the World Bank Policy for PforR financing and the World Bank's Access to Information Policy, the draft ESSA was validated in February 2024 to key stakeholders through a presentation of its findings. The ESSA has been revised based on the stakeholders' input and feedback. The final ESSA report will be publicly disclosed in-country on the PO-RALG and PO-RALG-SD websites and the World Bank external website before the Program's WB Board approval.

29. The ESSA therefore provides a good basis for decision-making and identification of gap-filling measures to enhance the in-country systems in the management of ESHS risks associated with the Program interventions by both the WB and implementing institutions. The findings of the ESSA coupled with the recommendations will be used to enhance the Program design and incorporated into the Program Action Plan.

3 ENVIRONMENTAL, SOCIAL, HEALTH AND SAFETY EFFECTS OF THE PROGRAM

3.1 Introduction

30. The SCALE Program aims to strengthen national and local government systems for increased climate resilience and invest in locally led climate resilience actions in Selected Districts. This chapter describes the potential ESHS benefits, risks and impacts, and management measures applicable to the Program interventions.

3.2 Scope of Projects

31. The scope of subprojects to be undertaken under the Program will range from small to medium-scale infrastructure related to climate change adaptation in the sectors of agriculture, water, forestry, livestock, fisheries, and coastal and marine environment, among others. The Program will not fund any activities that have high E&S risks under the ESF, and an exclusion list will be developed for types of investments that would be considered ineligible.

32. Based on the scope and scale of sub-projects to be financed under RA2, the environmental social and health and safety (ESHS) impacts are expected to be low to moderate in scale, with the most adverse impacts being site-specific and temporary and limited during the construction phase of the subprojects. All investments will undergo an environmental and social impact screening and assessment process as per the national environmental and social management systems requirements. Consistent with the requirements of the Bank PforR Policy, the proposed Program operation will not finance activities that are excluded or have a high E&S risk.

3.3 Environment, Social, Health, and Safety Risk Rating

33. The overall risk of the Program is rated Substantial due to; (i) the participating LGAs are geographically spread across mainland Tanzania and Zanzibar; (ii) likely different scales of investments; (iii) the wide range of environmental, social, health and safety (ESHS) impacts associated with the activities described in RA2; (iv) the low capacity of the LGAs to manage ESHS risks; and (v) the numerous capacity gaps identified in the institutions responsible for managing environmental, social and health risks at all levels of the Program.

3.4 Exclusion Principle

34. The principle applies to Program activities that meet the exclusion criteria regardless of the borrower's capacity to manage such ESHS effects. In the PforR context, exclusion means that an excluded activity is not included in the identified investment menu. The exclusion principle also applies to any activity that requires completion of non-eligible activity to achieve its contribution to the PDO and/or DLI. In this regard, the SCALE Program is designed to exclude investments that are likely to have significant adverse ESHS risks and impacts or are categorized as high-risk sub-projects under the World Bank ESF, Zanzibar's, and Tanzania's EIA Regulations. The six core principles under the PforR will apply to all investments as a mechanism for avoiding, minimizing or mitigating adverse ESHS risks/impacts.:

35. The Program shall exclude sub-projects that are likely to result in:
- Activities within National parks, or in sensitive or protected areas
 - Significant conversion or degradation of critical natural habitats or cultural heritage sites

- Air, water, or soil contamination leading to significant adverse impacts on the health or safety of individuals, communities, or ecosystems
- Workplace conditions that expose workers to significant health and personal safety risks
- land acquisition and/or resettlement of a scale or nature that will have significant adverse impacts on affected people or the use of forced evictions
- Large-scale changes in land use or access to land and/or natural resources
 - Adverse E&S impacts covering large geographical areas, including transboundary impacts, or global impacts such as greenhouse gas (GHG) emissions
 - Significant cumulative, induced, or indirect impacts
 - Activities that involve the use of forced or child labour
 - Significant adverse social impacts, marginalization of, and/ or may give rise to significant conflict within or among community or social groups
 - Activities with high risk of GBV and SEA-SH
 - Activities that would (a) adversely affect lands or rights of Traditional Local Communities or other vulnerable and marginalized groups; b) have adverse impacts on land and natural resources subject to traditional ownership or under customary use or occupation; (c) cause the relocation of VMGs from land and natural resources that are subject to traditional ownership or under customary use or occupation; or (d) have significant impacts on cultural heritage that is material to the identity and/or cultural, ceremonial, or spiritual aspects of the affected communities.
- Investment on land for which a clear ownership document is not available
- Activities that may involve the economic displacement of more than 200 PAPs

3.5 Potential Environmental, Health, and Safety Benefits

36. From the planned interventions across the three RAs, the PforR component of the Program will generate direct and indirect ESHS benefits to the target communities within the participating districts, and these include but not limited to:

- Creating awareness of the meaning and impacts of climate change on local communities,
- Increased awareness of the importance of climate change and environmental risks to local communities,
- Reduced environmental degradation through mitigations against flooding and soil erosion as a result of drainage improvements, among others
- Reduced risks due to climate change impacts such as deforestation, and improvement in biodiversity regeneration,
- improvements in reducing surface runoff and flooding
- improvement in vegetation cover.
- increase in surface and groundwater recharging capacity
- increasing ground and surface water availability
- better and improved waste collection systems.
- improved health through the reduction of dust and waterborne diseases.
- reduced soil erosion as a result of drainage improvements.
- Strengthened and enhanced technical capacities in the LGAs and national government agencies (ZEMA, NEMC, Community Development, O&OD, GRM, etc.) to implement and manage ESHS effects.

3.6 Potential Environmental, Health, and Safety Risks and Impacts

37. Activities to be supported by the Program have an overall positive environmental and health and safety effect. The potential EHS risks and impacts include but not limited to:

- Loss of biodiversity could have significant negative impacts as a result of vegetation clearance, civil works, and disruption of biodiversity

- Construction related impacts such as air and noise pollution; clearing of vegetation; degradation of critical natural habitats and physical cultural resources
- Generation and unsafe disposal of construction waste and wastewater effluent; and soil and water pollution from hazardous materials
- Over abstraction of water depleting water resources
- Poor infrastructure development due to limited engagement of technical experts, and relevant institutions with a mandate on ES risk management such as ZEMA, NEMC, and OSHA
- Occupational health and safety incidents through injuries/accidents to workers at construction and operational sites
- Community health and safety risks/accidents from the construction activities and facility operations
- Spread of communicable diseases, including sexually transmitted diseases such as HIV/AIDs
- Inadequate operation and maintenance of the facilities and associated infrastructure impeding sustainable access to the expected level of services.
- Poor sub-project sustainability from limited operation and maintenance of climate change infrastructure

3.7 Potential Social Benefits

38. The potential social benefits accruing from the Program's interventions include:
- Building local communities' resilience to the impacts of Climate Change.
 - Strengthening local communities, including vulnerable groups and VMGs voices and agency in their local development activities involving climate change.
 - Building the capacity of women for leadership and decision-making positions.
 - Inclusion to community development for marginalized communities/indigenous peoples, people living with disabilities, women, and the youth.
 - Creation of employment
 - Increased equality, gender-balanced, and culturally appropriate access to the Program's benefits provided to women, youth, and marginalized communities/indigenous peoples.
 - Greater security and reduced incidences of SEA especially for women and girls due to impacts of climate change, e.g. improved access to water, thus reducing the need to travel for long distances to access such services,
 - Livelihood improvements and restoration, e.g., at sea intrusion areas, through an increase in food production and better nutrition

3.8 Potential Social Risks and Impacts

39. Depending on the type, scope, and extent of eligible work under SCALE, the potential negative social impacts are likely those that are typically related and limited to the construction phase and generally work site-specific, which will include but are not limited to:
- Elite capture in the identification process of investment projects during the community consultation process, leading to social disputes and leaving out the most deserving or affected.
 - Lack of clear guidelines presents the risk of exclusion of vulnerable groups for Program benefits.
 - Inadequate mechanisms for stakeholder identification, engagement, monitoring, and feedback.
 - Ineffective grievance redress and feedback mechanisms.
 - Transitioning to more sustainable practices might disrupt existing livelihoods, causing economic hardships for some community members
 - Poor labour management practices
 - Social tensions may arise due to lack of inclusion as beneficiaries of minority groups, marginalized /vulnerable groups, women, youth, marginalized regions, and disability.

- Social disputes may arise between the local community(ies) due to competition for resources and the influx of construction workers, which may be related to religious, cultural, or ethnic differences.
- Political interference leading to bias in awarding contracts to known or particular groups of contractors who are politically well connected.
- Potential public and community health and safety risks such as accidents from open drains.
- Increased Gender-Based Violence (GBV), Sexual Exploitation Abuse and Sexual Harassment (SEA-SH)
- Use of forced, child labor and child abuse.
- Lack of transparency and trust by communities due to poor consultations and stakeholder engagement with project beneficiaries, vulnerable groups, and marginalized communities/ Traditional Local Communities
- Loss of livelihoods through temporary displacements/repositioning of homes, vendors, hawkers, drivers especially during construction of infrastructures (e.g. sea walls);
- Gender inequality in employment and livelihood opportunities
- Inadequate number of Environment and Social staff and budget allocation for effective ESHS risks management.

3.9 Program Effects and mitigation measures for Program activities

40. The details of the range of key ESHS risks associated with the proposed PforR Program are presented in the table below.

Table 3-1: Key Risk/Impacts and proposed Management Measures

No.	Risks/Impact	Management Measures	Risk Rating
1.	Inadequate of staff to support the implementation of ESHS risks	<ul style="list-style-type: none"> ▪ Enhance human resource staffing and resourcing of ESHS department at LGAs. Each participating LGA should have an environment and social specialist-qualified staff as a minimum condition to accessing the UDG. Need to customize based on the local contents ▪ The Program will partner with ZEMA and NEMC to train and build the capacity of the ESHS focal persons on EMA/ZEMA and related regulations. 	Substantial
2.	Allocation of adequate budget for ESHS risk management.	<ul style="list-style-type: none"> ▪ LGAs will be incentivized to provide adequate resources for ESHS management as a minimum condition to achieve the Program objectives and access the investment funds. ▪ Allocation of adequate budget for ESMP implementation and support budget to be a condition of approval of subjects to be adequate. 	Substantial
3.	Inadequate management of land, air, and water pollution	<ul style="list-style-type: none"> ▪ Prepare ESMPs as per EMA (2004) and Zanzibar Environmental Management Act (2015) regulations and monitor implementation through better contract management. ▪ The Local governments should allocate a budget for the implementation of corrective measures in cases of unforeseen impacts. 	Low
4.	Impacts on Natural Habitats and Physical Cultural Resources	<ul style="list-style-type: none"> ▪ Ensure the ESHS screening checklist prepared under the Program includes aspects to identify any potential impacts to natural habitats and physical historical and cultural resources before undertaking environmental assessments. ▪ Sub-projects shall consider the standard chance find procedures outlined in the ESHSRIM manual for the management of physical cultural resources. 	Moderate
5.	Public and worker's health and safety risks	<ul style="list-style-type: none"> ▪ Develop SOP guidelines for mainstreaming OHS/CHS aspects in the ESHSRIM manual for adoption in Program implementation. ▪ The Program will partner with OSHA to enhance the capacity of LGAs for health and safety risk management based on national laws and regulations. This will be achieved through training of ESHS staff at LGAs and induction of contractors on OSHA, 2007. ▪ At the national level, NPCT will have a health and safety specialist as part of the team to support mainstreaming H&S aspects in the Program. 	Moderate

6.	Temporary Displacements and Relocation	<ul style="list-style-type: none"> Develop guidelines for managing temporary displacements and relocation in the ESHSRIM manual for adoption by LGAs that will guide on temporary displacements and relocation, consistent with national laws and the Bank's guidance on Program for Results Financing. Training and capacity building of the ESHS focal persons, LGAs on sustainable land access, temporary displacements, and relocation, grievance management on land matters, and ARAPs. LGAs may hire consultants to prepare ARAPs to improve the quality and timely preparation of the plans before commencing project implementation, where capacity is lacking. Conduct meaningful consultations and participation including the project affected persons and ensure that consultation minutes are prepared and properly documented. 	Low
7.	Increased Gender-Based Violence (GBV), Sexual Exploitation Abuse and Sexual Harassment (SEA-SH)	<ul style="list-style-type: none"> Prepare and enforce a No GBV/SEA/SH Policy in accordance with national laws; Engage the social services department to educate all workers and stakeholders on prevention and response to SEA/SH before and during execution of works; Institute confidential mechanisms and hotlines for reporting SEA/SH cases; Map GBV referral pathways for medical care, psychosocial support, legal redress, and partner with relevant national and Local government agencies and NGOs to ensure that GBV/SEA/SH survivors access it, as and when necessary; Implement Grievance Mechanisms that are GBV/SEA/SH responsive and survivor centered; and Include SEA/SH provisions in all workers' and contractors' codes of conduct (CoC). 	Moderate
8.	Elite capture and exclusion of the vulnerable and marginalised groups (youth, women, elderly, PWD's)	<ul style="list-style-type: none"> Ensure the proper participation and consultation of all persons including vulnerable groups during the planning, design, construction, and operation phases of the project. Strengthen awareness of the benefit of inclusion of the vulnerable groups in the Program. Factor in the project infrastructure designs key recommendations to enhance gender inclusion and incorporate universal access. 	Moderate
9.	Inadequate Citizen and Stakeholder Engagement	<ul style="list-style-type: none"> Develop and adopt guidelines for mainstreaming stakeholder engagement and participation, and civic education guidelines processes and capacity build the LGAs on O&OD Creation of awareness on the benefits of meaningful stakeholder engagement and strengthening consultation and stakeholders' collaboration 	Moderate
10.	Grievance Management	<ul style="list-style-type: none"> Strengthen and harmonize the existing GRM systems established under LGAs. The Program should ensure disclosure of the grievance uptake channels at all project sites. Periodically train LGAs on the GRM logging, feedback, monitoring and evaluation, and disclosure of complaints 	Substantial
11.	Enforcement of ESHS requirements	<ul style="list-style-type: none"> Review the contract documents to strengthen the existing ESHS clauses such as on OHS, community health and safety, and GBV/SEA-SH are adequately incorporated including integrating the NEMC/ZEMA licence conditions. Include template for incident/accident reporting in contracts, on-site. Include a clause on monthly reporting of sub-project incidents/accidents on site by the contractor. LGAs should work together with the relevant MDA's (NEMC/ZEMA, OSHA, MCDGEC, ministry of labour, etc) to enforce compliance with ESHS laws and regulations. Incorporate ESHS performance indicators linked DLI – that incentivize good performance and punish non-performance 	Substantial

12.	Gaps in Environmental Social Health and Safety monitoring and reporting	<ul style="list-style-type: none"> ▪ Develop an environmental social health and safety reporting template as part of the ESHSM manual. ▪ Prepare biannual and annual environmental and social implementation reports. ▪ Undertake annual environmental and social health and safety monitoring . ▪ Continuously monitor contractor safeguards non-compliance to ensure implementation of agreed actions. ▪ Include a robust ESHS risks and impacts management verification protocol in the Annual Performance Assessment (APA) 	Substantial
13.	Prioritizing and politicization of development over compliance	<ul style="list-style-type: none"> ▪ Strengthen ESHS management systems including enforcement mechanisms ▪ The Program will ensure that all stages of the Program cycle - investment identification, screening, planning, design, monitoring, and supervision fully incorporate ESHS management requirements and strategies 	Significant

4 ENVIRONMENTAL AND SOCIAL POLICY, LEGAL AND INSTITUTIONAL FRAMEWORK RELEVANT TO THE PROGRAM

41. As outlined in the PforR policy, the borrower systems will be applied for the management of ESHS risks of the SCALE interventions. It is therefore necessary to ensure that the Program is implemented within a robust system for effective management of ESHS risks. This chapter therefore provides an overview of Tanzania and Zanzibar policy, legal, regulatory, and institutional frameworks and its relevance for the management of ESHS risks of the SCALE Program. It also identifies gaps if any, in the adequacy and effectiveness of the system for the management of the ESHS risks. The chapter also incorporates the roles and responsibilities of institutions involved in ESHS risk management.

42. Based on the analysis of the country systems, there are no major gaps in Tanzania and Zanzibar legislation in comparison to the six World Bank PforR Core Principles. Despite strong legal and policy framework in Tanzania and Zanzibar, the following are some of the gaps that will need to be enhanced during the implementation of the SCALE Program.

- Poor enforcement of the existing law
- Poor budget for monitoring compliance with environmental and social requirements
- Lack of Coordination among different authorities that are working on Environmental and Social risk management for programs such as OSHA, ZEMA, and the ministry of Community Development.
- In adequate human resources to conduct monitoring and verification of different Program activities.

43. The assessment of how the ESHS systems function in practice is presented in Chapter 7 and Annex 9.2 of this report, which is structured as a SWOT analysis of Implementing Agencies' capacity to manage the ESHS risks and impacts in line with the country's policies, legal and regulatory frameworks as written, and whether these are in line with the PforR Financing requirements.

44. Annex 9.1 presents Tanzania and Zanzibar policies, regulations, and legislative frameworks that are applicable for the management of ESHS effects of the proposed Program, as well as some gaps that have been identified.

5 INSTITUTIONAL RESPONSIBILITIES FOR MANAGEMENT OF ENVIRONMENTAL, SOCIAL HEALTH, AND SAFETY SYSTEMS FOR THE PROPOSED PROGRAM

45. This section describes the country's institutional framework for the management of ESHS risks and impacts for realization of the proposed Program benefits.

46. The ESSA found that a number of institutions have varying degrees of mandates for the management of ESHS effects. However, the efforts of these institutions are uncoordinated, and their activities are not planned in reference to each other. Consequently, there are limited consultations among the institutions, and in most cases, they operate independently of each other, with the result that their effectiveness is hardly felt in practice for each entity.

47. Table 5-1 and Table 5-2 below presents the various institutions that will be involved in the management of ESHS effects of the proposed Program.

5.1 Institutional Framework for Environment, Health, and Safety Management Systems

Table 5-1: Institutional Framework for ESHS Management Under the Program

	Institution	Responsibilities	Relevance to the program
1.	President's Office Regional Administration and Local Government (PO-RALG)	PO-RALG oversees regional development management and administration by coordinating rural and urban development management policies and strategies as well as the activity of Regional Secretariats. It helps to build the administrative capacity of local governments and to strengthen channels of communication between national and sub-national bodies to further devolve power to the local level, ultimately aiming to improve the quality of life for Tanzanians	PO-RALG will be the main implementing agency of the Program, and will be responsible for ensuring that all environmental, social, health and safety aspects of the Program are implemented as per the requirements of the country systems
2.	Vice President's Office (VPO)	The Vice President's Office has the overall mandate to oversee environmental and climate change issues. The Minister responsible for environmental affairs namely (<i>Waziri wa Masuala ya Muungano na Mazingira</i>) is under VPO. The Minister is responsible to issue guidelines and regulations relating to the environment, including the articulation of policy guidelines for its promotion, protection, and sustainable management, and designating duties to relevant entities. These responsibilities are provided by the EMA Cap.191 Section 13.	Program- activities shall be carried out in manner that ensures appropriate usage of the environment, water, and natural resources.
3.	Division of Environment DoE	The Division of Environment (DoE) is led by the Director for Environment which is under the Minister responsible for Environmental Affairs (VPOs) is established under EMA, Section 14. According to section 15 of the EMA Act, 2004 and 2015 (Mainland and Zanzibar respectively), the Director of Environment among others is to coordinate various environment management	The Division will be responsible for providing overall policy guidance, coordination, expertise and services for sustainable environmental management and development for the Program.

	Institution	Responsibilities	Relevance to the program
		activities; promote the integration of environment considerations into development policies, plans, programs, strategies, and projects; undertake strategic environmental risk assessment; advise the Government on legislative and other measures for the management of the environment; advise the Government on international environmental agreements to which Tanzania should be a member or withdraw its membership; monitor and assess activities being carried out by relevant.	
4.	Zanzibar Environmental Management Authority (ZEMA) and National Environment Management Council (NEMC)	The Zanzibar Environmental Management Act establishes the ZEMA, while in Tanzania Mainland, the Environmental Management Act establishes the NEMC. ZEMA and NEMC are statutory bodies, with the main functions ensure environmental compliance and enforcement, coordinate environmental impact assessment, audit, monitor the quality of the environment, enforce and ensure compliance of the national environmental quality standards and environmental compliance advice on land-use planning and ensures that environmental management is integrated into development policies, Programs, plans and projects.	<p>NEMC and ZEMA will be responsible for providing guidance on the applicable E&S risk management instrument to be applied based on the screening results and approving EIAs of proposed infrastructural developments in the Program.</p> <p>The implementing agencies will liaise with NEMC and ZEMA in monitoring compliance and implementation of ESMPs. ZEMA will also play a critical role in undertaking the capacity building of implementing agencies.</p>
5.	Occupation Safety and Health Authorities (OSHA) and Directorate of Occupational Safety and Health (DOSH)	<p>The Occupational Health and Safety Authorities and Directorate of Occupational Safety and Health are mandated to occupational safety and health of the workers in Tanzania Mainland and Zanzibar respectively.</p> <p>OSHS and DOSCH mandate is to promote and enforce occupational health and safety standards at places of work to ensure a safe and healthy working environment. The programmes and activities of the department are consequently focused on the prevention of occupational diseases and accidents in the world of work.</p>	In fulfilment of its responsibility of identifying hazards at workplaces and assessment of risks with a view to preventing accidents, diseases, and damage to property, the Authority will play a key role in the Program by inspecting and auditing workplaces to promote the best practices and ensure compliance with safety and health standards as set out in Occupational Health and Safety Act, 2003 and its subsidiary legislations
6.	Local Government authorities (LGA)	<p>Local Government authorities (LGA) at the Council level (City, Municipal, Town, and District councils) are obliged by Environmental Management Acts in Tanzania to designate an Environmental Management Officer (EMO) and to form Environmental Management Committees. While the Zanzibar Environmental Management Act, 2015 obliged the each Local Government Authority to establish an Environmental and Climate Change Unit, which consists of not less than two technical personnel with multidisciplinary education or experience related to environment and climate change.</p> <p>The Acts delineates the roles and functions of officers and committees for environment management at the local government level. LGAs are to appoint an environmental management officer to oversee the day-to-day management of</p>	<p>The EMO is the linkages between ZEMA /NEMC and the sectoral and district environmental units are legally binding to ensure clear lines of command to facilitate effective management of E&S implementation for the Program. Their will play a key role in</p> <ul style="list-style-type: none"> • To issue EIA registration forms to proponents and provide relevant information on policy, legal and other administrative requirements at the district level • To coordinate the EIA process, review and clear the environmental and social management process at the district level; and

	Institution	Responsibilities	Relevance to the program
		<p>environmental aspects in collaboration with city, municipal, or district environmental management committees. The functions of EMO are to:</p> <ul style="list-style-type: none"> Advise the environmental management committee to which he/she belongs on all matters related to the environment. Promote environmental awareness in the area he/she belongs on the protection of the environment and the conservation of natural resources 	<ul style="list-style-type: none"> To link and liaise with the ZEMA and NEMC on all undertaking with the districts
7.	National Council for Construction (NCC) Tanzania	The National Council for Construction (NCC) is a statutory body governed by the National Council for Construction Act 2007 under the Laws of Tanzania. NCC is charged with the responsibility of providing for the promotion, development, training, and regulation of the construction Industry in Tanzania including regulating, promoting and building the capacity of the construction industry for sustainable infrastructure development.	The NCC promotes environmentally sustainable construction practices including health and safety aspects. NCC will register contractors and works supervisors involved in rolling out Program activities of construction and maintenance of the proposed subprojects under the Program.
8.	Shehia Committees (Zanzibar) / Village Committees (Tanzania)	<p>Shehia is the lowest level of administration in Zanzibar headed by Sheha. Shehia is responsible for all matters including law enforcement in the area and reports directly to the district commissioner (DC). Each Sheha has an advisory committee of not less than 12 members, a third of whom are required to be 60 years or above; and Committees on different issues including environmental and social aspects.</p> <p>Similar to Shehias, the Village committees in Tanzania are responsible for enforcing the principles of EMA (2004) at local level; reporting on the state of the local environment including making investigations, mediating tensions related to environmental and social matters and intervening in the case of a with respect to environmental quality</p>	During the implementation of the Program, Sheha/ village committees will play an important role on disseminating information to the community and community engagement in general, including ensuring the implementation of E&S mitigation measures. The committees will also be used as starting points for community members and affected persons to file grievance related to the sub-projects

5.2 Institutional Framework for Social Management Systems

48. This section reviews the roles of the different governmental and non-governmental institutions which include municipal institutions, NGOs, and the media. It also reviews the political context in Zanzibar and Tanzania within which such projects are inevitably implemented. The implementation of the Program will have to mitigate the social risks by paying careful attention to the institutional context.

Table 5-2: Institutions Responsible for Social Risk Management

No	Institution	Responsibilities	Relevance to the program
1.	Ministry of Community Development and Social Services (MCDSS)	The ministry is responsible for overseeing and coordinating the implementation of policies and laws that foster social protection and address vulnerability issues. These policies and laws emphasize and provide strategies for gender equity	The ministries are well represented in all the wards across Zanzibar and Tanzania, and very familiar with community mobilization and sensitization on government programs

N o	Institution	Responsibilities	Relevance to the program
		<p>in all aspects of social, political, and economic life; gender equity in decision-making; rights of the girl child to education; protection of minors against sexual abuses and other forms of violence; and establishment of anti-Violence Against Women and Children platforms at the community level.</p> <p>The Ministry responsible for the socio-economic empowerment of the poor and vulnerable but viable households with various Social Protection interventions to enhance their livelihoods for self-sustainability and poverty reduction. This is done through the implementation of various livelihoods and empowerment-enhancing programs in all 116 Districts across the Country. The approach to Community Development is community-driven and people-centred to enhance the human development and ultimately the socio-economic development of the targeted beneficiary households.</p>	<p>to enhance the livelihoods of the communities, including the poor and vulnerable groups.</p> <p>The ministry and its Community Development Officers at the LGAs will work with the implementing agencies in subprojects identification, mobilization of communities for support especially in hot spot areas that require climate action</p>
2.	Prime Minister's Office Labour, Youths, Employment and Persons with Disabilities (PMO-LEYPD)	<p>PMO-LEYPD provides oversight and coordination on labour matters in Tanzania and Zanzibar</p> <p>The Ministry is responsible for the following portfolio functions:</p> <ul style="list-style-type: none"> • Prepare, review and monitor implementation of labor policies, Legislations and guidelines on prevention of disputes • Prepare, review and recommend guidelines on labor inspection services and monitor and evaluate their implementation • Educate employers and employees on their rights and obligations in the contract of service • Conduct labor inspections and monitoring at workplace and advise accordingly • Develop, monitor, evaluate and review the implementation of programs for elimination of child labor and advise accordingly 	<p>The ministry will support in management of Program social risks and impacts on labour related issues such as child labour, labour discrimination, among others to identify and mitigate related social risks during project inception, implementation, and operation phases.</p> <p>The Department will be expected to carry out inspections for compliance with the labour laws and preside over the resolution of labour disputes that may arise in Program implementation.</p>
3.	Community-Level Political Structures	<p>Tanzania and Zanzibar have a tiered structure of development committees which include Sheha / Village Committees, Ward Development Committees (WDC), and District Development Coordinating Committees (DDC). The committees have representation from all groups of community members including the elderly, youth, women, men, etc.</p> <p>The role of these representatives is to prioritize and address the various issues consolidated through the lower tiers and to administrate the matching program or project priorities with funds from the government</p> <p>The constitution has provided an added measure of stakeholder interest in ensuring the proposed subprojects are carried out with full and meaningful consultation and in accordance to expectations of</p>	<p>This tiered structure of LGA is significant for the Program for its potential to assist in communications and information dissemination and stakeholder engagement, grievance resolution, announcement, and the overall implementation of the Program.</p>

N o	Institution	Responsibilities	Relevance to the program
		equity and efficiency, as well as a well-functioning grievance system.	
4.	Civil society groups (CSGs) - Civil Society Organizations (CSOs) and Community Based Organizations (CBOs)	CSGs have been widely recognized as an essential ‘third’ sector, most importantly for its advocacy role as regards good governance tenets like transparency, responsiveness and accountability in service delivery and for its ability to bring to public attention environmental, social and community concerns. The role of CSGs is considered to be of an engagement and supporting nature, and will be complementary to the Program, especially when it comes to locally led Climate action.	CSGs will play a key role to mobilize, create awareness, and sensitize communities at the grassroots level, to articulate community interests in the engagement process at local and national levels, and sensitize communities on locally led climate action.

6 CAPACITY ASSESSMENT FOR MANAGING PROGRAM ENVIRONMENTAL SOCIAL HEALTH AND SAFETY EFFECTS

49. This section analyses the performance of key implementing institutions/agencies associated with the environmental and social legal/regulatory framework in Tanzania and Zanzibar for the Program. The section also highlights the challenges of the institutional framework along with an assessment of their current capacities. The section then goes on to analyze the processes of planning, monitoring, and decision-making in the Program, the strategy adopted by the country, and the current grievance redress systems in place; all from an environmental and social perspective.

50. The ESSA team assessed the quality and efficacy of the environment and social management system, particularly focusing on institutional capacity, structure, practices, procedures, mechanisms, and effectiveness of implementation at the National and Local ESHS implementing agencies. The assessment also focused on historical performance and lessons learned from other PforR programs and IPF projects in Tanzania Mainland and Zanzibar. Lessons learned from other programs with similar systems in the region (e.g., Kenya and Zambia), and the Tanzania Environmental and Social Risk Management (ESRM) report were also used to identify gaps within the systems to enhance the performance of the institutions responsible for ESHS management during Program implementation.

51. Overall, the assessment indicates that there is a robust environmental management system, as it exists and is designed at the national and regional levels in both Tanzania mainland and Zanzibar. However, implementation is relatively weak across national and LGA levels. The assessment noted the overall social risk management systems are uncoordinated and weak at both the national and local levels. It was also noted there is unevenness in the implementation of environmental and social risk mitigation measures, which can be traced to either lack of capacity and technical knowledge, especially on social issues, for effective implementation at the national and local levels. In addition, it was noted that Tanzania's mainland has a higher capacity in terms of personnel than Zanzibar.

52. Based on the overall assessment, management of the environmental and social risks and impacts of the Program will largely rely on capacity building at the national and local levels for personnel that will be involved in Program implementation through Technical Assistance under the IPF component. Capacity building will also be undertaken under a separate grant under the Program, which is built on the findings from the ESF Capacity Assessment that has been carried out in Tanzania and Zanzibar.

6.1 Environmental, Health and Safety Management Systems

	Institution	Findings	Proposed recommendations to enhance ESHS management of the proposed program
1.	Vice President's Office (VPO)	The policy guidelines by the VPO does not include "S" for Social in the EIA guidelines.	<ul style="list-style-type: none"> There is a need to review the guidelines and regulations under EMA to integrate the "S" to ensure social aspects are strengthened during the ESIA process
2.	NEMC and ZEMA	The NEMC officers at the head office and regional offices are well qualified and possess the requisite skills necessary for ensuring environmental assessments (i.e. ESIA, Audit) are compliant with regulatory requirements. However, most lack skills in social aspects, making the "S" weak during review of EIAs. In addition, certain regions (especially in Tanzania mainland) are large in terms of landmass,	<ul style="list-style-type: none"> Capacity building through training to enhance requisite skills to review, supervise and monitor ESHS, especially the social aspect Support the EIA review process for ZEMA and NEMC. Support ZEMA in establishing a digital mechanism

	Institution	Findings	Proposed recommendations to enhance ESHS management of the proposed program
		<p>and this limits the capacity of the officers to supervise all on-going projects and enforce compliance through on-site monitoring. The officers, therefore, focus mostly on the review and monitoring of high-risk projects at the expense of other low and moderate projects, which can have sizeable negative impacts.</p> <p>The main challenges of ZEMA and NEMC at the national and regional levels are:</p> <ol style="list-style-type: none"> Understaffing within the organizations to enhance Compliance levels at the national and local levels. Inadequate of financial resources, technical equipment, and allocation of other resources such as transport facilitation for effective monitoring and supervision. Inadequate coordination with other multi-agencies in charge of managing ESHS risks. Political interference which results in non-compliance on the ESHS process and management, with preference given to the completion of government development projects ZEMA uses analogue method of EIA submission and review process, which is cumbersome and time consuming 	<p>for the ESIA process in Zanzibar and enhance the NEMC system through the development of online management system for submission, review, and approval of EIA documents.</p> <ul style="list-style-type: none"> Support the organizations in acquiring technical equipment for measurement and monitoring environment and climate change indicators, e.g. air, noise, mobile labs, etc. Integrate ZEMA and NEMC early into the program planning process, including participating in the screening of ESHS risks reducing delays in approval process of the EIA for the sub-projects
3.	OSHA	<p>Despite representation across the country, the OSHA offices in Zanzibar and mainland Tanzania are understaffed, with the capacity assessment findings revealing that most officers are not able to cover their regions within the zones as required. The officers are also not given enough resources (including budget) to cover the regions assigned. This has made it difficult for the staff to enforce and monitor the health and safety requirements as per OSHA and WB's requirements, especially for infrastructure projects. Due to capacity problems, monitoring and enforcement by OSHA are mostly missing in many projects, with many active construction sites not being registered or visited by an officer as required by the national framework for safety.</p> <p>Some of the challenges faced by the agencies implementing OSH include but not limited to:</p> <ol style="list-style-type: none"> Overlap in legislative and other institutional mandates makes it difficult in the execution of some functions of OSH Lack of presence in all the regions Inadequate staffing levels at the LGA levels High turnover of professional staff in OSH agencies Poor coordination with other agencies on OSH monitoring and supervision Inadequate allocation of financial resources and provision of other resources such as 	<ul style="list-style-type: none"> Integrate OSHI early into the Program planning process, including participating in the screening of health and safety risks for the sub-projects. Collaborate with OSHA to carry out capacity building of the Program's implementation agencies, and contractors' workers on OSH Develop a collaboration framework between OSHA and other organizations managing E&S safeguards, e.g. ZEMA/NEMC, and MCDGEC to augment monitoring of Program activities at the local levels The ESHSRIM manual shall include guidelines on OSH to be adopted by the implementing agencies and contractors for the Program's activities. Collaborate with OSHA to carry out capacity building of the Program's implementation agencies, and contractors' workers on OSH requirements

	Institution	Findings	Proposed recommendations to enhance ESHS management of the proposed program
		<p>vehicles, office space, specialized surveillance equipment, vehicles, and protective equipment.</p> <p>vii. Inadequate of continuous professional development of its technical staff; and</p> <p>viii. Inadequate information management system to collect and collate OHS data and statistics for policy and decision-making.</p>	

6.2 Social Management Systems

	Institution	Findings	Proposed recommendations to enhance ESHS management of the proposed program
1.	Ministry of Community Development, Gender, Elderly and Children (MCDGEC)	<p>MCDGEC is well represented at the National and LGA levels, with Community development officers (CDOs) at LGA levels, including at the Shehia / Village levels in both Tanzania and Zanzibar. The role of these officers is well defined, mainly as the entry focal persons at all the LGA levels. The skills of these officers vary but they have requisite skills on community engagement and mobilization, and coordination with other government sectors. However, requisite skills on climate change action, which is becoming part of their role in creating awareness on climate change is lacking.</p> <p>Some of the challenges faced by the DCD include but not limited to:</p> <ol style="list-style-type: none"> Inadequate allocation of financial resources and provision of other resources such as mobility allowances to properly execute its mandate Poor coordination with other MDAs leading to waste of resources and duplication of activities 	<ul style="list-style-type: none"> Training on Opportunities and Obstacles of Development (OOD) as part of the Program initiatives to strengthen locally led climate action programs in Tanzania Capacity building for CDOs through training to equip them with requisite skills to better understand and manage climate change risks as they relate to activities of the communities and their action Integrate the CDOs in the planning process, to assist in subprojects identification that will have the greatest impact in improvement of the social, economic, and cultural conditions of the communities for sustainability, poverty reduction and national development. Collaborate and utilize extensive CDO networks at the local levels to carry out stakeholder mapping, mobilization and engagement Utilize and enhance existing GRM systems set by the ministries for the Program Collaborate with the CDOs at the LGA levels to supervise and monitor issues related to community concerns, contractors' workers, especially GBV and other social risks for compliance The ESHSRIM manual shall include guidelines to be adopted by the implementing agencies and contractors for the program's activities. The PIT will consult with the ministries and related departments on the development of these guidelines for concurrence.
2.	Vice President's Office (VPO)	The policy guidelines by the VPO do not include "S" for Social in the EIA guidelines.	There is a need to review the guidelines and regulations under EMA to integrate the "S" to ensure social aspects are strengthened during the ESIA process

6.3 Implementing Agencies

	Institution	Findings	Proposed recommendations to enhance ESHS management of the proposed program
1.	President's Office Regional Administration and Local Government (PO-RALG)	<p>PO-RALG is well represented at the National and LGA levels, with environment and social officers across all districts in Tanzania Mainland and Zanzibar. However, their roles are not well defined, and requisite skills in ESHS and climate change action are lacking.</p> <p>The geographical scope of the officers is wide for some of the districts are large, especially in Tanzania mainland</p>	<ul style="list-style-type: none"> Capacity building for environmental and social officers through training to equip the officers with requisite skills to better manage E&S risks of subprojects PO-RALG should form an ESHS unit to oversee the implementation of safeguards implementation since it is in charge of project implementation at regional and regional levels
2.	LGAs	<p>LGAs have environmental management officers to oversee the day-to-day management of environmental aspects in collaboration with city, municipal, or district environmental management committees. The LGAs also maintain Environmental Management Committees with membership typically consisting of heads of departments responsible for planning, public health, natural resources, agricultural and livestock, and water, among others, with one of the functions being the coordination of the ESIA/PESA process at the district level for low-risk projects.</p> <p>Some of the challenges faced by the LGAs include but not limited to:</p> <ol style="list-style-type: none"> Poor appreciation of ESHS risks and impacts on their normal projects Weak and insufficient institutional and technical capacity Inadequate resources, including financial and human resources, technology and equipment to manage ESHS risks Inadequate training, monitoring and enforcement for compliance on ESHS Weak inter-institutional and coordination between the various ESHS management agencies Political interference on projects leading to non-compliance of ESHS issues 	<ul style="list-style-type: none"> Collaborate with ZEMA and Regional NEMC offices to upscale public awareness and education, and capacity building of the Shehia/Village environmental and social committees on ESIA/ESMP implementation to enhance compliance with LGA projects Capacity building through training of LGAs safeguards staff on the program's ESHS risks and impacts, and compliance requirements, including the ESHSRIM manual Strict verification protocols that incentivize compliance and punish non-compliance of ESHS management by LGAs

6.4 Public Participation and Citizen Engagement as part of Opportunities and Obstacles to Development (O&OD)

53. As part of the devolution process, the LGAs have a formalized mechanism for public participation in the budget-making and policy-preparation process. To put better service delivery into operation, LGAs implement “Opportunities and Obstacles to Development (O&OD)” as a mechanism to operationalize Decentralization by Devolution under the supervision of PO-RALG. O&OD is a methodology to build and sustain collaborative relationships between LGA and the community for better service delivery and local development by empowering communities and promoting Community Initiatives (CIs). O&OD is a more holistic methodology aiming to establish collaborative relationships between the government and communities by strengthening LGA’s capacity to identify and encourage CIs as well as empowering communities to implement and complete CIs. O&OD enables the government to promote self-help efforts of the people, nurture them and establish a collaborative relationship with such moves to realise better service delivery and local development. Through the above-mentioned process, it is also expected that communities will be empowered to produce more and more Community Initiatives (CIs).

54. In addition, the LGAs as part of O&OD have started formalizing and documentation of public participation, citizen feedback mechanisms, and grievance redress mechanisms that enable the citizens or project-affected persons to channel their grievances. However, more capacity building is needed in these areas to strengthen these systems. This will allow such a participatory approach to take root right from planning, through monitoring the expected results and decision-making for improvements, and needs to be deliberately encouraged as opposed to passive ordinary community involvement.

6.5 Summary of Feedback from ESSA Consultations

6.5.1 Description of the ESSA Process

55. The ESSA process involved extensive consultations, fieldwork, and discussions with project implementing institutions and other relevant partners including VPO, PO-RALG, MOCDGEC, ZEMA, NEMC, and different CSOs in both Mainland and Zanzibar. The fieldwork and consultations were conducted from 3rd to 6th Dec in Tanzania Mainland and 10th to 14th in Zanzibar both Unguja and Pemba. The lists of stakeholders met, and the table of issues raised are included in Annex 7.

56. The fieldwork and consultations were mainly focused on (i) understanding the experience of institutions in implementing donor-funded and World Bank Projects; (ii) capacity and staffing for management of environmental and social risks; (iii) experience in collaboration with development partners and the private sector; opportunities and challenges; (iv) experience of implementing institutions in environmental and Social risk management; (v) operational structures, dispute resolution, E&S mainstreaming and performance; existence of bylaws guidelines and environmental and social documents for project implementation; and (vi) existence of Grievance Redress Mechanism within the participating institutions. In addition, issues related to gender inclusions, budgeting for ESHS activities, handling of Gender Based Violence (GBV) and Sexual Exploitation and Abuse (SEA), and interactions with the public, private, and other stakeholders were covered.

6.5.2 Finding from the stakeholder Consultation and field works

57. Findings from the consultations and field works highly informed ESSA and particularly informed the suggested measures to strengthen system performance for ESHS management on the implementation of the program. Generally, the following are key findings from the fieldwork and stakeholders’ consultations:

- Both Mainland and Zanzibar has adequate E&S laws such as the Environmental Management Act (EMA), 2004 for Mainland and Zanzibar Environmental Management Act, 2015 for Zanzibar, which is the main legislation for managing the environment, other sectoral laws and regulations, as well as institutions such as the Vice President’s Office, Environment Division (VPO), and the National Environmental Management Council (NEMC) for Mainland and the First Vice President’s Office and ZEMA for Zanzibar Occupational Safety and Health Authority (OSHA), regional and district levels to manage potential risks and impacts;
- PO-RALG has the capacity to implement donor and WB-financed projects. For the past five to ten years the government of Tanzania (Mainland) through the two Ministries has implemented various donor and WB-financed projects such as ESPJI, SEQUIP, BOOST, EPforR, TSCP, ULGSP among others. These projects were financed by the World Bank and were implemented as per WB E&S requirements.
- PO-RALG has environmental and social personnel at the district level, however, they do not have adequate technical capacity to management of E&S risks in program activities.
- VPO, PO-RALG, and Ministry of Community Development in both Mainland and Zanzibar and their participating institutions have experience in working with different stakeholders including vulnerable groups such as PWD who will be part of program beneficiaries. The institutions however do not have an inclusion strategy to ensure that vulnerable groups such as PWD, women, and people living with HIV/AIDS participate fully in the program by involving them in the preparation and implementation of program activities.
- The VPO, PO-RALG, and the implementing institutions have special desks for registering and dealing with complaints. This was a government initiative where all the institutions were required to have an electronic system (e-mrejesho) as well as a physical desk for receiving complaints and giving feedback of the same. This is in both Mainland and Zanzibar where in Zanzibar they have SEMA na Rais where community members can register their complaints directly to the President and also to the Shehia leaders. The ESSA findings however could not verify whether there is a timeframe for handling these complaints, stage by stage and how transparent is the system in responding and giving feedback to the complainants and reporting system and database for grievance management.

6.5.3 Challenges in Implementing Management of Environmental and Social Risks and Impacts

58. Despite the experience demonstrated by the implementing institutions for SCALE in terms of meeting programs’ ESHS requirements, this ESSA has noted several shortcomings which needs to be improved to enhance ESHS systems as explained below:

- Inadequate collaboration between implementing institutions and other Ministries:*** One of the challenges identified by the program during the consultation is that different institutions that work on environmental and social risk management (e.g., ZEMA, OSHA, Ministry of development Community Development in both Zanzibar and mainland) do not collaborate in implementation of projects especially those with ESHS risks. Inadequate coordination and collaboration lead to poor implementation of ESHS aspects in many projects/programs. For SCALE program, many efforts will be required to bring these institutions together for effective management of ESHS risk and improve program performance.
- Low number of available staff for managing Environmental and Social risks and impacts.*** During the consultation, it was noted that the number of staff available for ESHS risk management at the implementing agencies was insufficient, especially sociologists. It was observed only one region could provide a representative from a social background in Tanzania mainland while in Zanzibar, there is one staff at ZEMA who had a First Degree in Sociology and

further carried out a master's degree in environmental planning and management. Institutions like NEMC and ZEMA have a good number of environmental officers but no social officers at the regional and district levels although assessments require both environmental and social expertise.

- iii. ***Inadequate knowledge and skills among the environmental and social risk management staff within the implementing institutions:*** ESHS staff at VPO/FVPO - ZEMA and PO-RALG and those scattered in other implementing institutions should be trained regularly more on the country's ESHS laws and regulations as well as the WB guidelines for PforR. It is also important that they are equipped with the requirements of PforR policy and guidelines since this will be the first time for some of the implementing institutions, especially in Zanzibar.
- iv. ***Poor budget allocation for environmental and social risks and impacts management:*** Overall, ESHS implementing institutions have not been allocating adequate and dedicated budgets for managing ESHS risks. For the proposed program, there is a need to sensitize the implementing agencies to set aside a dedicated budget for the preparation of safeguard documents, namely ESIA /ESMP (where appropriate), inclusion strategy, SEP, GRM manual as well as management and monitoring of ESHS risks and impacts during the implementation of program activities

59. The stakeholders highlighted the following gaps and recommendations to enhance ESHS risk management for the proposed program.

- Inadequate of capacity to implement the environmental and social management systems.
- Bidding and contract documents do not include ESMP provisions/clauses plus the cost estimates of implementation of ESMP.
- Insufficient provision of resources on safeguards (budget allocation, human resources, and other resources e.g. transport and allowances).
- Non-compliance in preparation of Environmental and Social Assessments tools for proposed projects/investments.
- Inadequate supervision and implementation of ESMPs.
- Inadequate compliance with occupational health and safety measures.
- Poor enforcement of contractual obligations.

60. The stakeholders proposed the following general recommendations to enhance ESHS risks management for the proposed program.

- i. Strengthening ESHS Units- Enhance the capacity of ESHS units within LGAs to ensure effective environmental and social risk management at the local level.
- ii. Policy Alignment- Ensure the SCALE Program aligns with Tanzania's five-year local government strategic plans, promoting policy coherence and avoiding duplication of efforts.
- iii. Strengthening of the existing GRMs- Implement localized grievance redress mechanisms within LGAs to improve social accountability, transparency, and dispute resolution.
- iv. Integrating Traditional Knowledge- Incorporate indigenous climate adaptation practices and local governance structures into program design to enhance sustainability and cultural relevance.
- v. Conduct safeguard training for all the dedicated ESHS risk management teams which will be selected/designated by the implementing institutions to enable them to meet Programs' safeguard requirements as per the country's policies, laws, regulations and guidelines. This will involve ESHS teams from all the implementing institutions namely, PO-RALG, VPO, MCDGEC, ZEMA, NEMC, OSHA, and DOSH, Zanzibar.

- vi. Conduct regular safeguard training for the LGAs and implementing institutions management teams to increase awareness and enhance their perception of ESHS risk management, including climate change topics.
- vii. Involvement of all relevant ministries and institutions at all levels of the program, from preparation to implementation, especially MCDEGC which has been excluded in the early stage of the program preparation. This ministry should be part of the NPCT and be involved in all aspects of the program, to ensure that social experts are involved in social risk management of the program activities.

7 ENVIRONMENTAL, SOCIAL, HEALTH AND SAFETY SYSTEMS ASSESSMENT IN RELATION TO THE PforR CORE PRINCIPLES AND PLANNING ELEMENTS

61. The assessment of how the ESHS systems function in practice is summarized below, and presented in detail in Annex 2, which is structured as a SWOT analysis of institutions' capacity to manage the ESHS risks and impacts in line with the country's policies, legal and regulatory frameworks as written, and whether these are in line with the PforR Financing requirements. This section builds on the capacity assessment of institutions (Chapter 6) mandated to manage ESHS risks as per the country systems against the PforR's Core Principles.

Core Principle 1: Promote E&S Sustainability, avoid, minimize, mitigate adverse impacts, and promote informed decision making

Applicability –APPLICABLE

62. **Core Principle 1** is considered relevant and fully applicable in terms of environmental, health, and social (EHS) for the Program. Investments to be undertaken under the program will range from small to medium-scale infrastructures, such investments in community-prioritized climate actions in sectors such as water, environment, natural resource management, including coastal and marine resources, livestock, and agriculture (under RA2). The implementation of these types of investments is likely to have a physical footprint with varying degrees of EH&S risk and impacts during the lifecycle of the project investments (construction, operation, and maintenance, and during decommissioning phases). Although expected to be localized, manageable, and in some cases temporal, these risks and impacts require mitigation. This therefore requires undertaking ESHS assessment and providing appropriate mitigation measures to adverse risks and impacts.

Summary of findings

63. There is an adequate national policy, legal, and regulatory framework in Tanzania and Zanzibar, and technical guidelines exist for ESHS management. In addition, PO-RALG and LGAs have the capacity to integrate and manage ESHS in their operation. However, there are various gaps that exist in implementation and enforcement of the regulations, mainly related to poor allocation of insufficient resources (both financial and manpower), for ESHS risks management. T

Recommendations

64. The Program has an opportunity to strengthen ESHS management systems, which will include but not limited to; (i) developing program guidelines in the form of an Environment and Social, Health and Safety risks and impacts management manual; (ii) enhance capacity within implementing agencies through training of ESHS staff; (iii) ensure allocation of adequate resources (especially financial and human resources) to strengthen monitoring and supervision in the BoQ; (iv) partner with relevant ESHS lead agencies throughout the program cycle; and (v) inclusion of ESHS clauses in bidding and contracts document, among others.

Level of Risk: Substantial.

Core Principle 2: Avoid, minimize, or mitigate adverse impacts on natural habitats and physical cultural resources (PCR) resulting from the Program.

Applicability –APPLICABLE

65. The provisions in Core Principle 2 are considered as part of the environmental and social management assessment process analyzed under Core Principle 1. The Program will not support investments that would either affect or convert critical natural habitats and will avoid the conversion of natural habitat.

- Some of the proposed sites under the program will be situated in water catchment areas such as forests (for water intakes), built-up areas, near the ocean, or deep in the rural areas, open communal lands, and other territories may adjoin natural habitats, wetlands, or places with unknown physical cultural resources.
- Construction of some infrastructures such as restoration of mangrove forests, construction of sea walls, drilling of boreholes, digging of water pans, laying water pipes could pose some risk to natural habitats and physical cultural resources if not sited appropriately.
- Activities funded under the program will not likely generate adverse impact on natural habitats, physical and cultural resources since civil works will only be confined to a small geographical location, with little impact on existing natural habitats.
- In addition, the subprojects are expected to have a smaller physical footprint, and therefore preventive approach will be used in siting the proposed infrastructures to avoid adverse impacts on natural habitats and physical resources

Summary of findings

66. The Program largely aligns with Core Principle 2, particularly in its approach to protecting natural habitats and cultural resources. The Tanzanian and Zanzibar ESIA process considers physical cultural resources, including screening for archaeological, historical and cultural sites. Critical assessment will be conducted as part of ESIA to determine whether the proposed intervention areas are of biological importance and that activities might lead to degradation of natural habitat and physical cultural resources. However, gaps in ongoing monitoring, adaptive management, and coordinated protection efforts could lead to risks, particularly in construction of sea walls. These risks, if not mitigated, could result in long-term environmental degradation or damage to critical habitats and other resources.

Recommendations

67. The Program is generally consistent with Core Principle 2, but stronger monitoring, adaptive management, and inter-agency coordination will be crucial to effectively mitigate potential environmental and cultural risks. The program has an opportunity to strengthen ESHS management systems, which will include but not limited to:

- Due to the critical nature of some subprojects under the program (e.g., water intakes in forests), involve multisectoral agencies early in the project design (such as with Forest Service Department, ZEMA) to better identify and develop mitigation measures to manage the natural habitats and physical cultural resources during project implementation.
- Strengthen the screening procedures to include a checklist to assess whether a subproject has the potential for disturbing and affecting a known cultural or religious site
- Allocate sufficient budget and resources for the identification and management of natural habitats and PCRs.
- Improve the level of awareness on safeguarding endangered/threatened natural habitats, climate change and PCRs during stakeholder and public participation

Level of Risk: Substantial.

Core Principle # 3: Public and Workers Safety

Applicability –APPLICABLE

- The provisions in Core Principle # 3 are considered as part of the ESIA process analyzed under Core Principle # 1.
- Principle 3 is applicable to the program due to physical infrastructure and civil works proposed under the Program such as water pans/small dams, sea walls, etc. These activities can expose the public and workers to risks such as dust, noise, and air pollution; solid and liquid waste generation; hazardous and noxious wastes from equipment and machinery used; and the spread of diseases such as HIV/AIDS, STDs, and other communicable diseases. There are also risks related to GBV and SEA/SH as a result of labour influx in subproject areas.

Summary of findings

68. While the country systems include several important measures for protecting public and worker safety, significant gaps remain, particularly in addressing OHS risks, GBV/SEA concerns, and hazardous materials management. If these gaps are not addressed, they could lead to heightened risks for both workers and local communities, including exposure to hazardous substances and labor-related risks. In summary, while the current systems generally align with Core Principle 3, stronger safeguards, enhanced OHS protocols, and improved management of solid and hazardous materials are essential to ensure full compliance and minimize risks to public and worker safety.

Recommendations

69. The Implementing agencies should prioritize protecting workers and communities related to this principle by:

- Strengthening of LGAs systems to manage OHS risks through policies developed by the program's ESHSRIM manual
- ESIA reports for sub-projects should cover public and workers health and safety requirements.
- Partner with OSHA to improve ESHS awareness and implementation/enforcement capacity through training and orientations of the LGAs and contractors' workers
- Identify and update the standard bidding and contracts documents to spell out specific OHS measures, including Contractor ESMP, worker's Code of Conduct, and budget allocation during project preparation, for proper implementation of ESHS.

Level of Risk: Moderate.

Core Principle # 4: Land Acquisition and Loss of access to natural resources

Applicability –APPLICABLE

- There is the potential development of some physical infrastructure for some sub-projects (e.g., water pans, small dams, construction of buildings, etc) that might require land acquisition and involuntary resettlement, resulting in minimal relocation and loss of livelihoods.
- Investments financed by the program will exclude high risks projects (projects that have significant negative environmental and social impacts that are sensitive, diverse, or unprecedented).
- Willing buyer-willing seller will be the preferred means of land acquisition in all cases. The government's right to acquire land compulsorily will only be used where it is unavoidable.
- The program will not have investments in protected areas.
- Where households are physically displaced, the LGAs will provide options to the PAPs, as shall be provided for in the ESHSRIM manual.

- Voluntary land donation and use permit processes will be used for land under customary rights, according to land tenure and, ownership and transfer of rights arrangement.

Summary of findings

70. There is good guidance on resettlement and compensation in Tanzania and Zanzibar as stipulated in the Land Act and its Regulations. However, despite having legislation specific to land tenure, there are no established guidelines for valuation in Zanzibar. For Grievance procedures and dispute resolution, there is a system where complaints on land issues are channelled upward, starting with the Shehia (Zanzibar), *Mtaa*⁸ (Tanzania), Ward Executive Officer, District Commissioner, then to the Region, and up to the PO-RALG. If still unsatisfied, the law allows for Project Affected people (PAP) to seek recourse for grievances in the courts.

Recommendations

71. To ensure the risks under this core principle are managed, the following is recommended:
- Strengthening of country and LGAs systems to manage and implement the land acquisition process and associated risks to acceptable standards, to be included in the ESHSRIM manual. The guidelines will guide temporary displacements and relocation, to support affected persons and avoid adverse impacts on their socio-economic status, assets and/or activities.
 - Strengthening LGAs capacities to enforce Land acquisition implementation measures, including development of ARAPs guidelines that aligns with national regulations and PforR core principles.
 - Establishment of appropriate and transparent consultation mechanisms and documentation in the regions that operate under a communal land system.
 - Strengthening the E&S unit within the PO-RALG.
 - Improving the existing GRM systems at the LGA levels

Level of Risk: Moderate

Core Principle # 5: Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities

Applicability –APPLICABLE

72. Currently, there is no specific legislation or policy on or for indigenous peoples in Tanzania, because it considers everyone to be the same in Tanzania. Since the program investments will be implemented in most of the LGAs in Tanzania and Zanzibar, where vulnerable and marginalized Groups⁹, the principle is thus applicable.

Summary of findings

73. The approach of the Government is to ensure that all vulnerable groups are consulted and benefit from Government programs and therefore, these groups are covered by different laws and regulations in Tanzania. However, it has a diversity of sector policies and legislations, which promote the welfare and rights of vulnerable individuals and similar groups. There is also strong guidance for community participatory planning by PO-RALG through the “Opportunities and Obstacles to Development Handbook”, which promotes the inclusion of vulnerable groups throughout the planning process. The proposed program will be strengthening the O&OD systems to include local communities in climate action planning and implementation, as part of RA1.

⁸ A small urban area or geographical division of a ward.

⁹ Vulnerable groups considered in this ESSA focused on children, persons with disabilities, youths (unemployed, females, youths with unreliable incomes), people living with long illnesses (e.g. HIV/AIDS, TB, etc.), women (female headed households, widows and those not able to support themselves), drug addicts and alcoholics, and disadvantaged communities such as pastoralists and hunters

Recommendations

- Capacity building on management and training to encourage participation by the public through the established O&OD initiative.
- Development of robust stakeholder management strategies within the systems as part of the public consultations Programs to strengthen and systematize project consultation processes and grievance redress mechanisms.
- Support citizen engagement by promoting community-driven infrastructure planning and development; requiring that investments selected in LGAs are based on citizens' needs assessments; taking into consideration needs of all persons in the community, and mandating active citizen participation in the design and implementation of infrastructure investments under the program
- Strengthen implementing agencies and LGAs' grievance redress mechanisms. The GRM should be sensitive to all reported concerns including issues related to labour influx and have a referral pathway in case of GBV cases.

Level of Risk: Moderate

Core Principle # 6: Social Conflict

Applicability –APPLICABLE

- The principle is applicable due to potential social conflicts that may arise due to migrant workers in the project areas such as gender-based violence, increased risk of illicit behaviour and crime, and increased risk of communicable diseases, among others.
- Social conflict may also arise due to lack of inclusion as beneficiaries of minority groups, vulnerable and marginalized groups, based on gender, regions, or race, among others.
- Social conflicts may arise between the local community(ies) due to increased burden and competition on public resources, which may be related to religious, cultural, or ethnic differences.

Summary of findings

74. The Program largely aligns with Core Principle 6 since the Program interventions are designed to yield significant social benefits to all citizens and to improve distributional equity within the selected intervention regions and areas. There is also a focus by the governments on enhancing dialogue with communities and stakeholders to ensure their concerns are addressed proactively. Public participation in Tanzania is embedded in the legal framework, national development plans, national and local government processes, environmental assessments, and through civil society initiatives. However, the effectiveness of public participation can vary, and there are ongoing efforts to strengthen these mechanisms, especially in ensuring that marginalized communities are included in the decision-making processes. The Government has also adopted policies that advance gender equality and youth inclusion in a supportive enabling environment.

Recommendations

75. The Program will not undertake projects that will cause or exacerbate social tensions in fragile states, post-conflict areas, or areas subject to territorial disputes, or cause social conflict or impact distributional equity or associated cultural sensitivities. In addition, the program will enhance;
- Development of robust stakeholder management strategies within the systems as part of the current Public Participation programs to strengthen project consultation processes
 - Strengthen existing grievance redress mechanisms.

Level of Risk: Low

8 PROGRAM ACTION PLAN (PAP)

76. This chapter summarizes measures recommended to strengthen the ESHS existing system and institutional performance in line with the gaps and risks identified in the ESSA. The proposed measures should be executed during Program implementation to address identified gaps and risks considering the existing country system and capacity versus the PforR core principles and key planning elements.

8.1 Lessons learned from other PforR programs

77. Insights from previous PforR programs in Tanzania and Kenya have revealed several shortcomings that need to be addressed to enhance the environmental and social system. These shortcomings include, but are not limited to, the following:

- i. **Inadequate Budget Allocation for ESHS Management:** Implementing agencies (IAs) do not allocate adequate budgets for planning and managing ESHS (Environmental, Social, Health, and Safety) risks and impacts for proposed subprojects. The budget for conducting Environmental and Social Impact Assessments (ESIAs) is very low, leading to poorly developed ESHS instruments. Additionally, the budget for the Environmental and Social Management Plan (ESMP) is rarely included in tender documents.
- ii. **Inadequate of Capacity and Experience of Contractors:** Due to the low cost of most Performance for Results (PforR) subprojects, large construction firms do not bid, attracting mainly small contractors who lack the experience and capacity, in terms of staff, to manage ESHS risks.
- iii. **Inadequate Implementation of ESIA/ESMP Requirements:** Due to low budget allocation at the IA level for supervision and monitoring, there is poor implementation of ESHS requirements during investment identification, screening, planning, and design processes. The lack of inclusion of the ESMP budget in tender documents also leads to many ESHS aspects being ignored during subproject implementation.
- iv. **Inadequate Knowledge and Skills Among Environmental and Social Risk Management Staff:** Although national and regional governments appoint Environmental and Social (E&S) staff as focal persons for PforR programs, some lack adequate skills and previous experience with World Bank or donor-funded projects/programs in managing ESHS risks.
- v. **Inadequate Involvement of E&S Staff During Program Design:** E&S staff are not widely consulted by the main project implementation teams (especially at the regional level) at the early stages of subproject design, leading to many ESHS aspects being excluded. For example, the allocation of required resources for effective ESHS management during implementation phases is often overlooked.
- vi. **Inadequate Collaboration between IAs and Relevant Ministries, Departments, and Agencies Responsible for ESHS Risk Management:** There is poor collaboration with other Ministries, Departments, and Agencies (MDAs), such as ZEMA, NEMC, OSHA, MCDGEC, especially at the early stages of program identification, screening, and design. This discourages these agencies from actively participating in the program throughout its cycle, leading to poor monitoring and supervision of ESHS risks.

- vii. **Development Over Compliance:** Despite being aware of the significance of ESHS requirements, IAs prioritize political interests and the need to deliver projects to communities over compliance with these requirements.

8.2 ESSA Findings

78. The ESSA established that:

- The national governments of Tanzania and Zanzibar have well-developed and robust legislation, regulations, and systems to manage environmental, health, and safety risks, consistent with the PforR's six Core Principles on ESHS management.
- There are local governance structures that facilitate interaction between communities and the government, ensuring access to service delivery and discharge of rights and responsibilities. These efforts aim to enhance the socio-economic status of communities and other disadvantaged groups, led by the Ministry of Community Development, Gender, Elderly, and Children (MCDGEC).
- There is no equivalent legislation or systems to manage distinctly social risks at the national or LGA levels. Tanzania and Zanzibar do not have a well developed and defined Social Risk Management System. Social risk management functions are fragmented across various ministries and institutions without any coordination mechanisms.
- Despite awareness of ESHS requirements, there remains a low level of commitment towards ESHS sustainability, such as limited adoption of ESHS risk management measures in development projects.
- The existing Grievance Redress Mechanism (GRM) systems are fragmented, poorly functioning, and ineffective in the timely resolution of complaints. These systems do not adequately address specific issues (e.g., GBV/SEA/SH, worker complaints) as they are customized to handle mainstream community complaints.
- The commitment of LGAs and other entities (such as NEMC and ZEMA) to enforce ESHS provisions in contracts is a key challenge due to inadequate country systems.
- There is limited monitoring, supervision, and reporting on ESHS risk and impact management, which affects the identification and implementation of mitigation measures.
- Agencies responsible for ESHS lack adequate staffing and technical skills to effectively manage and supervise ESHS risks and impacts for subprojects across the country.
- There is a lack of inclusion and/or implementation of ESHS clauses in contract and bidding documents

8.3 ESSA Recommendations

79. To mitigate identified ESHS risks and impacts, the Program interventions will undergo a screening process including the implementation of an exclusion criterion for certain activities that would result in high and/or significant negative ESHS risks and impacts that are irreversible or unprecedented on the environment and/or affected people, regardless of the government's capacity to manage the risks. In addition, the ESSA has recommended the following measures to the Program Action Plan, to be included at a minimum in the OM and the Financing Agreement. These actions are expected to enhance commitment to E&S sustainability at the national and LGA levels,

- i. **Develop an ESHSRIM Manual.** The Program shall develop an Environmental, Social, Health, and Safety Risks and Impacts Management (ESHSRIM) Manual with guidelines for managing ESHS risks and impacts. The manual will include, at a minimum, the screening and approval process of E&S instruments, ESHS implementation arrangements, monitoring and supervision requirements with ESHS verification protocols. Additionally, the manual will develop the Terms of Reference (ToRs) with qualifications of the ESHS specialists to be deployed at LGAs and national levels, succession procedures for E&S staff, sample ToRs for ESIA, RAP, ESHS templates such as screening checklists, Contractors' Code of Conduct (implementing ESHS and

OHS standards, preventing GBV, SH, and VAC), sample ESMPs, ESHS clauses to be included in the bidding documents, and ESHS reporting templates. All subprojects will be required to follow the guidelines of the manual, which shall be annexed to the OM to make it legally binding and incorporated into the Financial Agreement of the Program.

- ii. **Enhance capacity to manage ESHS risks and impacts.** PO-RALG will hire and train an EHS specialist and a social specialist to coordinate the management of ESHS risks and impacts. The LGAs will appoint, train, and maintain an EHS specialist and a Social specialist to coordinate the management of ESHS risks and impacts at the LGA levels as a condition to access the investment grants. The LGAs will hire consultant services to support the various ESHS aspects that cannot be done in-house, including preparing ESIA/ESMPs and carrying out regular independent ESHS audits.
- iii. **Early Engagement of Key Stakeholders.** Implementing institutions and agencies with mandates for managing ESHS risks and impacts, such as ZEMA, OSHA, MCDGEC, etc, will be integrated early into the Program planning process, including participating in the screening and approval of ESHS risks and potential impacts of Program interventions (where applicable). This will encourage agencies to actively participate throughout the Program cycle.
- iv. **Allocate adequate resources for ESHS aspects in the proposed investment budgets.** As noted in other PforR and IPF projects, ESHS implementation is often not adequately supported, especially support to the ESHS staff assigned to the programs. During investment identification, screening, planning, and design processes, the Program should ensure that ESHS management strategies, including provision of adequate budget and resources for ESHS staff (e.g., transport, equipment, etc) is allocated in the Bill of Quantities for ESHS implementation. The resources shall also include budgets for preparing ESMPs/ESIAs and RAPs by independent consultants, capacity building of ESHS staff, and monitoring and evaluating the ESHS performance during implementation.
- v. **Support LGAs to enhance and/or operationalize the GRM systems.** To strengthen stakeholder feedback and grievance redress mechanisms, the LGAs shall develop Stakeholder feedback and GRM structures at the institutional level and for each subproject level. The GRM systems will be culturally appropriate and readily accessible to all stakeholders (including VMGs and other disadvantaged or vulnerable individuals and groups), and also incorporate mechanisms to report GBV cases from the Program activities.
- vi. **Strengthen implementation and monitoring of ESHS risks and impacts for successful ESHS outcomes.** To ensure proper management of ESHS risks, the Program will develop procedures for assessing performance on ESHS management based on a performance protocol outlined in the ESHSRIM Manual and the OM. Building on lessons learned from other PforRs, the Annual Performance Assessment (APA) Terms of Reference (ToRs) shall also include ESHS performance assessment procedures to ensure a robust verification process. The ToR shall require the firm undertaking the APA to include ESHS specialists as part of the team conducting the verification.
- vii. **Strengthening the ESHS risks and impacts management systems. To enhance the understanding of the country systems on ESHS and their application, the program** will partner with relevant lead agencies in the ESHS risks and impacts management including OSHA, ZEMA, NEMC, MCDGEC, etc to build the capacity of participating LGAs and contractors teams. The training will include but not be limited to: (i) screening, management, and reporting of ESHS risks and impacts; (ii) occupational health and safety; (iii) labour and working conditions; (iv) stakeholder engagement and social inclusion; (v) grievance management; (vi) statutory requirements for land acquisition and compensation; (vii) incorporation of ESMP

and OSH contractor/supplier clauses in the bidding and contract documents for civil works, including signing of code of conduct; and (viii) training of contractors and their workers on ESHS. Other topics such as economic and physical displacement, and land acquisition will also be included. The LGAs, in cooperation with ESHS agencies, shall develop a training program that will include regular training sessions to be provided during program implementation to respond to specific program needs, e.g. climate change aspects.

- viii. **Include in contracts and bidding documents provisions for ESHS management with attendant budgets.** An adequate budget shall be allocated to facilitate ESHS Officers to supervise/monitor project sites, conduct training, and guidance to the contractors on ESHS risk management. Procurement Officers for the implementing agencies shall also be sensitized on ESHS requirements.
- ix. **Strengthen Public Participation Guidelines to include protocols on gender, VMGs, PWDs, and other disadvantaged/vulnerable individuals and groups.** The guidelines will mainstream inclusivity in the public participation processes to ensure all segments of the public are meaningfully consulted and included in the development process. This will enhance access to program benefits and meaningful representation of VMGs, PWDs, and other disadvantaged/vulnerable groups across program implementation and governance structures, including ward and village-level project implementation committees.

80. To mitigate against ESHS risks and impacts, all sub-projects under the program will be required to follow the guidelines of the ESHSRIM Manual which will be developed by the Program and included in the OM, which forms part of the Financing Agreement of the Program. In addition, the ESSA has recommended ESHS mitigation and enhancement measures in the Program Action Plan presented in the table below. The PAP shall be legally binding and incorporated into the Financing Agreement of the Program.

PROGRAM ACTION PLAN (PAP)**Table 8-1: Program Action Plan (PAP)**

No.	Action Description	DLI	Responsibility	Others	Timing	Expected Output
Actions to strengthen Environmental, Health and Social Management Systems (EHSMS)						
1.	<p>Develop and adopt an Environmental, Social, Health, and Safety Risk and Impacts Management (ESHSRIM) Manual as an annex to the Operations Manual (OM).</p> <p>The manual to include protocols on meaningful engagement and inclusion of minority VMGS and other disadvantaged or vulnerable individuals and groups; land acquisition and compensation; training program for NPCT and LGA staff on the manual; ESHS risks and impacts management, verification protocol in APA; ESHS clauses and budgets for civil works bidding and contract documents; monitoring arrangements and indicators; sub-project GM structure, and ESHS reporting and monitoring templates.</p>	IPF	PO-RALG, PO-RALG-SD VPO/FVPO	<ul style="list-style-type: none"> LGAs Lead ESHS agencies MCDGEC RS 	Before effectiveness	<ul style="list-style-type: none"> ESHSRIM Manual developed annexed to the OM. Training of ESHSRIM manual by all LGA PCU staff. Operationalization of the ESHSRIM for all LGAs
Actions to ensure meaningful engagement and equitable inclusion of VMGs and other disadvantaged or vulnerable individuals and groups in climate action						
2.	<ul style="list-style-type: none"> Strengthen the O&OD public participation guidelines, to mainstream aspects of gender, disability, minority VMGs, and other disadvantaged groups. Ensure their representation on ward-level governance structures (project implementation and GM¹⁰ committees). 	<p>IPF</p> <p>DLI 2.2</p>	NPCT LGAs	<ul style="list-style-type: none"> MCDGEC NCPWD LGAs 	Before disbursement of investment grants to LGAs	<ul style="list-style-type: none"> Minutes of engagements held Signed minutes of participants Data on projects benefitting these groups To be confirmed annually through APA

¹⁰ Grievance Mechanism

No.	Action Description	DLI	Responsibility	Others	Timing	Expected Output
	<ul style="list-style-type: none"> Prioritize climate action projects that collectively benefit all segments of the community. 					
Actions to build the capacity for staff of implementing agencies, involved in the Program to enhance ESHS performance						
3.	Establish an E&S unit at PO-RALG and LGAs devoted to the management of ESHS risks and impacts, to build capacity at the institution	DLI 2.1	PO-RALG, PO-RALG-SD		1 yr after Program effectiveness	<ul style="list-style-type: none"> A fully established E&S unit at PO-RALG
4.	Enhance the ESHS risk management capabilities by staffing the PIT at PO-RALG, VPO, and LGAs with adequate, qualified, experienced, and a full-time Environmental Health and Safety Specialist, and Social Specialist .	DLI 2.1	VPO/FVPO LGA		Before disbursement of Investment Grants to the LGAs	<ul style="list-style-type: none"> Qualified and experienced staff assigned to PIT Appointment of 1 Environmental Health and Safety (EHS) Officer, and 1 Social Specialist at LGAs, confirmed annually during APA.
5.	Digitize and integrate SRIM into the ZEMA/NEMC ESIA approval process.	IPF	NPCT NEMC & ZEMA MCDEGC		Within 1 year after Program effectiveness	<ul style="list-style-type: none"> ESIA approval processes incorporating SRIM.
6.	Collaborate with lead ESHS agencies ¹¹ , to train LGA ESHS staff and contractors on ESHS aspects. Training program developed by VPO and lead ESHS agencies.	IPF	VPO Lead ESHS Agencies LGAs	PO-RALG	Continuous	<ul style="list-style-type: none"> Training Program, and training reports. Number of trainings and technical assistance provided. Confirmed through progress reports.
Actions to strengthen the implementation and monitoring of the ESHS risk management						
7.	<ul style="list-style-type: none"> Include a robust ESHS risks and impacts management verification protocol in APA PIT to conduct an independent annual ESHS audit for all infrastructure investments, and reports shared with the WB 	DLI 2.2	NPCT WB	LGAs	<p>Before APA</p> <p>Yearly by end of the FY</p>	<ul style="list-style-type: none"> Inclusion of APA verification indicators in the ToRs for APA. Inclusion of a chapter on ESHS in the main APA reports. Independent Annual ESHS Audit report

¹¹ Including OSHA, NEMC, ZEMA, MCDGEC

No.	Action Description	DLI	Responsibility	Others	Timing	Expected Output
8.	Include all the applicable ESHS clauses and budgets in the bidding and contract documents for civil works.	DLI 2.2	LGAs	PO-RALG	Prior to the procurement of any civil works	<ul style="list-style-type: none"> Bidding and Contract document templates with ESHS aspects. Inclusion of ESHS in bills of quantities for all subprojects Supervision and monitoring reports and confirmed through APA.
9.	<ul style="list-style-type: none"> ALL LGAs to develop and manage functional GRM systems. Provide sub-project level functional GMs that also address their needs and are GBV- SEAH¹² responsive. 	DLI 2.2	LGAs LGAs	VPO/FVPO MCDGEC	Within 1 year after Program effectiveness Before the commencement of sub-projects	<ul style="list-style-type: none"> Functional GRM systems rolled out at ALL LGAs. GRM constituted and grievances being logged, responded, and resolved for sub-project levels Confirmed annually through APA.
10.	All LGAs to develop community engagement plan and inclusion strategy for vulnerable group	DLI 2.2	LGAs & MCDGEC		Prior commencement of Program activities	<ul style="list-style-type: none"> Plan which includes community/stakeholders' views about the Program. Schedule for implementation of the plan throughout Program life cycle

¹² Sexual Exploitation, Abuse, and Sexual Harassment

9 ANNEXES

9.1 Annex 1 Environmental and Social Policy, Legal and Institutional Framework Relevant to the Program

Introduction

This section presents the country's E&S policy, legal and institutional framework relevant to the SCALE Program. The country's government has been developing and reviewing national policies and legislation to address pressing environmental and social challenges in various sectors. The umbrella provisions for managing the E&S problems are stipulated in the country's constitution, which states that "a clean and safe environment is a constitutional right of every Tanzanian citizen. The specific E&S policies, laws, regulations, and institutions applicable for the Program in both Mainland and Zanzibar are detailed below.

Laws, Policies, and Regulations for Environmental Management in Tanzania –(Mainland)

National Environmental Policy of 2021

The National Environmental Policy (NEP) provides the framework for incorporating and mainstreaming environmental and social considerations into the decision-making processes in Tanzania. The original NEP was issued in 1997 and led to notable achievements in environmental management, including enacting the main implementing legislation in 2004, the Environmental Management Act (EMA). However, the Government has recognized that despite the positive results of implementing the 1997 policy, there are still significant limitations that constrain the implementation of the policy. These include: inadequate coordination among sectors in managing the environment; low public awareness and knowledge of environmental management; inadequate land use planning at various administrative levels; insufficient enforcement and compliance of legislation related to environmental management; inadequate alternative sources of energy and dependence on charcoal and firewood as the main source of energy; increased encroachment of water sources; limited capacity in terms of human and financial resources, infrastructure, technology, and tools; and inadequate environmental research, data and information on environmental issues. Furthermore, new environmental issues that were not explicitly addressed in the 1997 policy have emerged. These are: climate change; invasive species; electrical and electronic equipment wastes (e-waste); genetically modified organisms; management of oil and gas; and sound management of chemicals. For these reasons, NEP has been revised. This policy will be a cornerstone for implementing E&S mitigation measures for the proposed program activities under SCALE.

National Occupational Health and Safety Policy of 2010

Tanzania recognizes the importance of occupational health and safety services for sustainable development in the country. They play a great role in reducing occupational accidents and diseases and increasing productivity in workplaces. An unsafe working environment can cause accidents and injuries which can contribute to a huge economic burden to individuals, enterprises, and the nation as a whole. In recognition of this, in 2010 Tanzania developed the National Occupational Health and Safety Policy. The main objective of this objective was to reduce the number of work-related accidents and diseases in Tanzania. To attain this, the policy requires employers to maintain the highest degree of safety and healthy working conditions and environment to ensure optimal social, mental, and physical well-being of workers as well as the safety of property.

The policy identifies various challenges that limit the promotion of occupational health and safety at the enterprise and national levels. These include: an inadequate effective institutional framework to enhance the commitment related to Occupational health and safety. low awareness of occupational health and safety matters amongst workers, employers, and the general public at large; low compliance to OHS standards; poor working environment in the informal sector; inadequate OHS training and skills development; a lack of financial commitment among the social partners to enhance

occupational safety and health activities; Fast technological development and globalization; inadequate OHS information; and inadequate programs to address cross cutting and sectoral issues like gender, HIV and AIDS, migrant workers, disabled people and people living in abject poverty. Activities under the program will be implemented by applying this policy to ensure a safe environment for workers.

The Environmental Management Act (EMA) of 2004

The EMA continues to be the principal implementing law for NEP, and the Ministry Responsible for Environment continues to play the role of carrying out the overall coordination of policy implementation. NEP defines the responsibilities of other relevant actors including line ministries, the Minister of Finance, NEMC, regional and local governments, development partners, and NGOs. This framework law, which effectively supersedes all other legislation (except for the Constitution), defines management instruments, establishes roles and responsibilities for key government agencies, and requires the application of specific planning, assessment, and management methods and tools, according to the nature, scale, and location of potential impacts. Environmental Impact Assessment (EIA) became a legal requirement in Tanzania in 2004 under the Environmental Management Act (EMA). These instruments, which include the EIA,¹³ Environmental Audit,¹⁴ and Strategic Environmental Assessment (SEA), are currently in various stages of development and application.¹⁵ The EMA (Section 83) requires that EIAs be done by qualified, experienced experts, following the code of conduct found in the Environmental Management (Registration and Practice of Environmental Experts) Regulations (2021). The EMA is currently under review to address emerging issues including streamlining responsibilities, institutional coordination, streamlining the ESIA process, and transforming NEMC into an Authority. This law is key to all construction and activities to be implemented under SCALE.

The Environmental Impact Assessment and Audit Regulations of 2005 and its amendments of 2018

The Environmental Impact Assessment and Audit Regulations No. 349 of 2005 were made under Sections 82 (1) and 230 (h) and (q) of the Environmental Management Act Cap 191 of 2004 and its amendment in 2018. The regulations provide the procedures and requirements for undertaking ESIA for various types of development projects that have significant environmental impacts. In addition, the Regulations provide a list of projects that qualify for Environmental Assessment procedures in Tanzania. Regulation 46(1) classifies projects into two types: (i) Type A Projects requiring a mandatory ESIA; and (ii) Type B projects requiring a Preliminary Environmental Assessment (PEA). The First Schedule lists typical examples of Type A and B projects. The Regulation was amended in 2018 by The Environmental Management (Environmental Impact Assessment and Audit) (Amendment) Regulations, 2018, in which project categorization was changed to “A” category for Mandatory Projects, “B1” category for Borderline Projects, “B2” category for Non-Mandatory, and “Special Category. ESIA is mandatory for Category “A” projects and may or may not be required for Category B1 depending on NEMC’s findings when it reviews the Project Brief and Scoping Report that includes a proposed ESMP. Processing times for EIA Certificate applications are shortened in the amendment. The amendment also allows the Minister to issue a Provisional Environmental Clearance on advice from NEMC for industrial or agro-processing projects and the projects determined by the Minister to be in the national or public interest. The recipient of a Provisional Environmental Clearance is obliged to submit the project ESIA within four months and to comply with other conditions that may be in that clearance. The impact assessment is anticipated for any construction activities under the program.

¹³ EMA (2004, Sections 81-98).

¹⁴ EMA (2004, Section 101).

¹⁵ Requirements for Strategic Environmental Assessment (SEA), in the identification, description, and assessment of potential positive and negative impacts and an analysis of alternatives, and proposed practical measures to avoid, mitigate or remedy negative impacts of bills, regulations, policies, strategies programs, and plans, are set forth in the EMA (Section 104).

Legal Framework for Social Risk Management in Tanzania**Employment and labor Relations Act, Act No. 6 of 2004, and the Labour Institutions Act, Act No. 7 of 2004**

While the Employment Act provides for labour standards, rights, and duties, the Labour Institutions Act provides for the government organs charged with the task of administering the labour laws. Subsequently, in 2007 several pieces of subsidiary legislation were promulgated to facilitate the enforcement of labour rights and standards stipulated in the Employment Act. The new laws further enact employment and labour standards which, conform to the labour standards set by the International Labour Organization. The Employment and Labour Relations Act sets out provisions for fundamental rights and protections, which include forced labour, child labour, discrimination, and freedom of association. It also sets out employment standards, wage parameters, working hours, and dispute regulations, among others. To ensure inclusiveness in the workplace, Section 7 of the Employment and Labour Relations Act (2004) prohibits direct and indirect discrimination in the workplace including discrimination based on sex, gender, pregnancy, marital status, disability, HIV/AIDS, and age. Sexual harassment is also prohibited as articulated in Section 7(5). The law also prohibits night work for pregnant mothers under certain circumstances, whilst guaranteeing the right to maternity leave for mothers and paternity leave for fathers. This objective is intended to strengthen the implementation of national ILO Minimum Labor Standards.

The Workers Compensation Act of 2008

The Act established a fund to be known as the Workers Compensation Fund consisting of the assessment paid by the employers under this act; and any other money paid by employers to the fund under this Act. The penalty imposed under this act other than a court; is any interest on investments of the fund; any observation from the Government; and any other money legally acquired. The Act also established a board of trustees for the workers' compensation which can sue and be sued, purchase or otherwise acquire, hold, charge, and dispose of movable or immovable property; and entering contracts and performing all such other acts for the proper performance of its functions under this Act which may lawfully be performed by a body corporate. This Act provides for compensation to workers for injuries suffered in the course of their employment, which results in disease-causing disablement or death. The program is expected to benefit communities by providing casual and technical employment, this act will be applied in case of any injuries or disability caused by program activities.

The Occupational Health and Safety Act No. 5 of 2003

This is a principal law that governs Occupation, Health and Safety (OHS) matters in Tanzania. The law is meant to improve health, safety, and the general well-being of workers and workplaces by promoting occupational healthy and safe practices in order to eliminate occupational accidents and diseases, hence enhancing productivity in workplaces. In addition, it provides for the protection of persons other than the workers against health and safety hazards arising out of or in connection with activities of persons at work. Section 15 gives power to the Registrar of factories and workplace to enter any factory or workplace to perform his duties as provided by the Act. Section 16 requires that factories and workplace should register with Registrar of factories and workplaces before commencing operations.

Part V of the Act emphasizes the provision of adequate clean, safe, and wholesome drinking water, sufficient and suitable sanitary conveniences and washing facility. Part VI of the Act deals with special safety provisions for working places involving handling hazardous chemicals, hazardous processes, or hazardous equipment. This Act is relevant for the Program, during construction and operation since it involves high voltage electricity, working at heights, and use of machines and instruments that may affect workers or other people. The need to ensure that all workers and workstations adhere to the laws is imperative. Wearing of personal protective gear all the times the worker is at the site must be enforced to the maximum, and the people who are not relevant to the site should be prohibited.

The Occupational Health and Safety (First aid and Welfare Facilities) Rules of 2015

These occupational health and safety (first aid and welfare facilities) rules provide for the duty and responsibilities of the employer, first aider and employees, regarding first aid and welfare facilities. The law has provisions and directives on first aid and supplies of basic facilities such as first aid attendant qualifications; basic requirements related to equipment, supplies, facilities, first aid attendants and services; first aid procedures and information on post-exposure; sanitation, accommodation for clothing, change-rooms and dining room; prohibition, seats, and condition of rooms and facilities; first aid attendant, first aid records, first aid attendant responsibilities; and offenses and penalties. The law is relevant to this Program. Activities such as the construction of medium voltage (MV) and low voltage (LV) lines; installation of MV/LV distribution transformers; procurement and installation of service cables and meters; and supply of renewable electricity in rural areas will require numerous laborers that will require welfare facilities including drinking water, accommodation, toilets, and other sanitation facilities. Therefore, all activities to be undertaken in the program will be required to abide by the provisions of this law to ensure the health and safety of the workers are protected and any unnecessary burden to the host communities is avoided.

Law of the Child Act of 2009

The act provides standards for identifying, referring, and responding to cases of child abuse and other forms of violence. They incorporate the essential elements required to build a protective environment, including a child-friendly justice system. Child abuse is defined in detail as “contravention of the rights of the child which causes physical, moral or emotional harm including beatings, insults, discrimination, neglect, sexual abuse, and exploitative labor.” Employment and Labor Relations Act, Act No. 6 of 2004 defines a child as a person under the age of 14 years; provided that for employment in hazardous sectors, a child means a person under the age of 18 years. The law prohibits child labor. Section 78 of the law stipulates that no person “shall not employ or engage a child in any kind of exploitative labor”. At the same time night work by a child and forced labor are also prohibited in Sections 79 and 80 respectively.

Sexual exploitation is prohibited by Section 83 and is comprehensively defined to include any work/trade (paid or unpaid) that exposes the child to activities related sexual acts. In terms of character, this would include inducement or coercion in the encouragement of a child to engage in any sexual activity; children in prostitution or other unlawful sexual practices or children in pornographic performances or materials. The bleach of this section is subject to a fine of not less than 1 million Tanzanian shillings and not more than 5 million or imprisonment for a term of not less than 1 year and not more than 20 years or both. In instances where a child is a witness of sexual offense, the Act complements the Evidence Act by stating that “Notwithstanding the provisions of this section, where in any criminal proceedings involving sexual offence the only independent evidence is that of the child or victim of the sexual offence, the court shall receive the evidence and may, after assessing the credibility of the child or victim of sexual offence, on its own merits, notwithstanding that such evidence is not corroborated, proceed to convict for reasons to be recorded in the proceedings, if the court is satisfied that the child is telling nothing but the truth”. To support the implementation of the Act, four regulations have been developed, namely the Children Court Rules, the Foster Care Regulation, the Children Care and Protection Regulation and the Approved Residential Establishment Regulation. The Program will abide to the law and avoid child labor and any form of child exploitation.

Village Land Act of 1999 and its Cap 114 R.E of 2019

The Village Land Act (Cap 114) provides details on the governance and administration of Village Land. The purpose of the Act is to recognize and secure customary rights in land in rural communities. As such, the Act vests all village land in the Village Assembly, while the Village Council administers the land through the authority of the Village Assembly.

The Act provides for equal rights to access, use and control of land, recognizes, and protects the rights of women and vulnerable groups concerning land access. It also includes information on the application of the National Land Policy on Village Land, management and administration, dispute resolution and transfers of land. Under the Act, Village Land shall be divided into communal village land (Section 13), land that is occupied or used by an individual or family under customary rights of occupancy (Section 14), and land that may be available for communal or individual occupation and use through allocation by the Village Council. The Act also defines parties that can claim land under a customary or granted right of occupancy. Once allocated, those with customary rights of occupancy are entitled to receive full, fair, and prompt compensation from the loss or diminution of the value of the land and the buildings and other improvements on it. In this program issues of land ownership are not expected to cause any impact however project activities are not yet known therefore it is beneficial for the implementor of different project activities to understand the requirements of this Law.

The Court (Land Disputes Settlements) Act No. 2 of 2002

The Land Disputes Courts Act provides for the establishment of land courts. Section 3 (1) of the Act stipulates that subject, to section 167 of the Land Act, Cap 113, and section 62 of the Village Land Act, Cap 114, every dispute or complaint concerning land shall be instituted in the Court having, jurisdiction, to determine land disputes in a given area. It provides for the establishment and jurisdiction of:

- (a) The Village Land Council;
- (b) The Ward Tribunal;
- (c) The District Land and Housing Tribunal;
- (d) The High Court (Land Division);
- (e) The Court of Appeal of Tanzania.

Section 5(1) stipulates that the Village Land Council shall consist of seven members of whom three shall be women, and each member shall be nominated by the village council and approved by the Village Assembly. The functions of the Village Council according to Section 7 include:

- (a) to receive complaints from parties in respect of the land;
- (b) to convene meetings for hearing of disputes from parties; and
- (c) to mediate between and assist parties to arrive at a mutually acceptable settlement of the disputes on any matter concerning, land within its area of jurisdiction.

Section 9 stipulates that where the parties to the dispute before the Village Land Council are not satisfied with the decision of the Council, the dispute in question shall be referred to the Ward Tribunal under section 62 of the Village Land Act, Cap 113. The primary function of each Tribunal is to secure peace and harmony, in the area for which it is established, by mediating between and assisting parties to arrive at a mutually acceptable solution on any matter concerning land within its jurisdiction. Section 15 however limits the jurisdiction of the Tribunal to handling cases of disputed land or property valued at three million shillings.

Where a party to the dispute fails to comply with the order of the Ward Tribunal, the Ward Tribunal shall refer the matter to the District Land and Housing Tribunal for enforcement. Any party, who is aggrieved by a decision or order of the District Land and Housing Tribunal in the exercise of its appellate or provisional jurisdiction, may within sixty days after the date, of the decision or order, appeal to the High Court (Land Division) as stated in Section 38 (1). Despite the project does not entail land acquisition and resettlement as it will utilize the existing structure there is still a need to abide by this law and not touch any individual's land during the rehabilitation of buildings. In this program issues of land ownership are not expected to cause any impact which might require the application of this law however, appropriate mitigation measures will be put in place in case issues related to land ownership surfaces.

Local Government (District Authorities) Act of 1982

This Act provides for a detailed responsibility for the District Councils on the administration of day-to-day activities within its area of jurisdiction. The Act applies to every district authority established under the Act. Part V of the Act provides for the functions of the local government authorities. Under Section 111 the following basic functions are spelled out;

- (a) to maintain and facilitate the maintenance of peace, order, and good governance within its area of jurisdiction;
- (b) to promote the social welfare and economic well-being of all persons within its area of jurisdiction;
- (c) Subject to the national policy and plans for rural and urban development, to further the social and economic development of its area of jurisdiction.

Section 118 (1) states that in addition, to the functions and duties conferred or imposed on local government authorities under section 111, it shall be the function of every district council, concerning its area of jurisdiction - '(a) "to formulate, coordinate and supervise the implementation of all plans of the economic, commercial, industrial and social development in its area of jurisdiction. Local government leaders will be part of program implementors as all the activities are locally led. LGAs will work hand in hand with communities and other stakeholders for smooth implementation of the program especially on project formulation, grievance management, employment process management, ensuring inclusion of men, women, and girls in the program, coordination of stakeholder engagement activities, and any other important activities of the program.

National Gender Policy of 2002

Tanzania recognizes that gender inequality is a major obstacle to the socio-economic and political development of its people. The marginalization of females has contributed to the slow development of individual households and the country as a whole. Women are found to be disadvantaged in socio-economic development projects, and often vulnerable to changes brought about by development projects.

In recognition of this fact, the government has taken various measures to ensure gender equality among all of its citizens. The National Gender Policy has explicitly emphasized gender equality and equal opportunity for both men and women to benefit from large development projects and programs. Additional key policy statements to be considered for the Project include but are not limited to the following:

- Decision-making and power;
- Access and ownership of resources;
- Community participation; and
- Economic empowerment.

SCALE will be implemented by applying the policy and awareness on gender inclusion will be made to the community and other stakeholders to ensure adherence to the policy commitments.

Other National Policies, Plans, and Regulations Related to the Program are:

- National Policy on HIV/AIDS (2001);
- National Health Policy (URT, 2003);
- Sexual Offenses Act (1998)
- Action Plan against Gender-Based Violence (since 2010).
- Community Development Policy 1996

Description of institutional framework

The main institutions with key responsibilities for environmental and social management for climate change are:

- a. **The Office of the Vice President:** The vision of the Ministry of Environment of the VPO is “to attain sustainable human development, eradication of poverty, security and equitable use of resources on a sustainable basis to meet the basic needs of the present and future generations without degrading the environment or risking health or safety and also maintain the union between the mainland Tanzania and Zanzibar”. VPO is the ministry responsible for policy, planning, and implementation oversight on issues relating to the Environment and climate change in Mainland Tanzania. The VPO is therefore responsible for overall policy guidance and advice on the development of strategic environmental vision, including formulation, analysis, and appraisal of broad environmental policy, as well as formulation and review of broad environmental goals, in conformity with such vision. The VPO provides a basis for broad political legitimacy for the administration of strategic policy decisions on a routine basis for coordinated environmental management. PO-RALG, through the Local Government Authorities (LGAs), is responsible for the actual implementation of the community-led program activities.
- b. **The National Environment Management Council (NEMC):** Is responsible for ensuring that development programs comply with all relevant environmental laws and regulations. It is responsible for enforcing pollution control and performs the technical arbitration role in the undertaking of Environmental Impact Assessments. The sectoral and district environmental units are responsible for developing sectoral guidelines within the framework of the national guidelines, issuing EIA registration forms, and providing relevant information on policies and other administrative requirements. The NEMC provides periodic monitoring to ensure no adverse cumulative impacts from construction, manufacturing, and any programs at the national level.

Institutional Gaps: Although the NEMC officers at the head office and zonal offices are well qualified and possess the requisite skills necessary for ensuring environmental assessments (i.e., ESIA, Audit) are compliant with regulatory requirements, inadequate staffing and funding limit the agency’s capacity to supervise all on-going projects and programs scattered over a large geographical area and enforce compliance with license obligations and regulations through on-site monitoring. One way forward for NEMC reviewing ESIA is to have a capacity-building Program for the newly recruited staff to enable them to have required knowledge for review of projects with consideration of the current environmental and socio-economic challenges. Further capacity building under this program will be useful to bridge the gap although recruitment will remain to be the obligation of the government.

Occupational Safety and Health Authority (OSHA)

OSHA was established in 2001 under PMO-LEYPD to administer occupational health and safety at workplaces in the country. It provides directives, and technical advice, enforces legislations, proposes amendments, allocates resources, oversees all activities carried out by OSHA, and ensures that OHS rules and regulations are adhered to and maintained at workplaces. Therefore, the ministry defines the role of each stakeholder concerning the occupational health and safety matters overseen by OSHA. The enforcement of occupational health and safety standards is accomplished through: - workplace registration, undertaking statutory inspections (electrical inspection, pressure vessels inspection, and lifting equipment inspection); risk assessment; training and information on occupational health and safety, and scrutiny and approval of workplace drawings/ plans. Other activities include; diagnosis of occupational diseases; occupational health surveillance, work environment monitoring, investigation of accidents; and authorization of private OHS Providers.

Institutional Capacity: OSHA has three main directorates, each headed by a director: The Director of Training, Research, and Statistics; The Director of Technical Support (Health and Safety); and the Director of Business Support Services. OSHA is represented in six (6) zones across the country which are the Coastal Zone, Northern Zone, Lake Zone, Central Zone, Southern Highlands Zone, and Southern Zone. The officers at these zones are qualified and possess the requisite skills necessary for managing health and safety risks. However, OSHA is challenged by the inadequacy of financial and human resources to cover all zones as required. Due to capacity problems, monitoring, and enforcement, OSHA is in most cases missing in many projects, with many active construction sites not being registered or visited by any officer as required by the national framework for safety.

In fulfillment of its responsibility of identifying hazards at workplaces and assessment of risks to prevent accidents, diseases, and property damage, the Authority will play a key role in the Program by inspecting and auditing workplaces to promote best practices and ensure compliance with safety and health standards as set out in Occupational Health and Safety Act, 2003 and its subsidiary legislations.

The Ministry of Community Development, Gender, Elderly, and Children (MCDGEC)

is a newly established ministry responsible for overseeing and coordinating the implementation of five policies and two laws that foster social protection and address vulnerability issues. The policies are: - Community Development Policy (1996); Women and Gender Development Policy (2000); National Non-Governmental Organization Policy (2001); National Aging Policy (2003) and Child Development Policy (2008). The laws include the Non-Governmental Organization Act No.24 (2002) and the Law of the Child Act No.21 (2009).

Together, these policies and laws emphasize and provide strategies for gender equity in all aspects of social, political, and economic life; gender equity in decision-making; rights of the girl child to education; protection of minors against sexual abuses and other forms of violence; and establishment of anti-VAWC platforms at the community level.

GAP: There is a lack of coordination between the Ministry of Community Development and other ministries implementing different development programs in the country hence poor management of Social risks in those programs. Implementation of activities under SCALE will require the involvement of experts from this ministry to ensure proper management of social risks.

ZANZIBAR LEGAL FRAMEWORK

Environmental and Social Policies, Regulations, and Laws

Zanzibar Constitution 1984

The constitution promotes equal rights between men and women and equal access to social, economic, and development opportunities. It applies to the SCALE program as on economic empowerment for women and access to program benefits.

The Environmental Management Act No. 3 of 2015

Section 36 of the Act states that a person shall not carry out or cause to be carried out; any activity which is likely to have significant impact on the environment and society without Environmental Impact Assessment Certificate issued by the Authority. The Act also states that a person who undertakes any activity that does not require an Environment Impact Assessment shall prepare an Environmental Report. ZEMA is mandated to issue certificate after assessment and also conduct monitoring and verification of different projects and programs. For the climate change program activities, ZEMA will be responsible for regulating and ensure compliance with ESIA requirements as per the law.

Environmental Impact Assessment Regulations, 2019

This Regulation contains useful information that guides the whole process of Environmental Assessment from registration to certificate issuance for the establishment and operation of any project/activity that is going to cause an impact on society and the environment. It also contains SCHEDULE II that is used for Screening Criteria and screening lists that may be used by the Authority to decide whether an EIA, Environmental Report or no assessment is required for the proposed activity/project. Therefore, these regulations shall be used for the climate Change program (SCALE) to determine the level of the Environmental Assessment required under subproject activities.

The Persons with Disabilities (Rights and Privileges) Act, 2006

The Act emphasizes the need to observe the rights of people with disability to access all public buildings and other social amenities. Section 12 of the Act states that; "Persons with a disability shall be entitled to a barrier-free and disability friendly environment to enable them to have access to public building and facilities for public use, roads, other social amenities, assistive devices, and other equipment other promote their mobility".

Since people with disability are expected to be among beneficiaries during program implementation, the Ministry of Community Development, Gender, Elderly and Children will be responsible to ensure that there is inclusion of such people in the program from preparation to operation.

The Zanzibar Elders Act. No 2. of 2020

This Act has set out the proper base that ensures elders' rights are observed. The Act constitutes the Rights, entitlements, and duties of the older person older persons in need of care and protection, Community-based care and support services for older persons, Registration of older person institutions, and part of the Universal pension scheme. In this Act, the age threshold set for the elderly is seventy (70) years and above. Elders can be vulnerable to climate change impacts as well as the activities under the program hence the need for special attention and consideration to Elders as per the requirement of this act will be required during implementation of SCALE.

Add the Zanzibar Occupational Safety and Health Policy, 2016

The Occupational Safety and Health Act No. 8 of 2005

The occupational safety and health representatives at the enterprise level are responsible for identifying potential hazards and major incidents at their workplace. The Act also establishes occupational safety and health inspectors for systematic and continuous monitoring as well as evaluation of work environments. The inspectors are also required to devise mechanisms to eliminate and control hazards at workplaces. The program implementors will adhere to this Act by making sure that the environmental conditions at the workplace during the construction and operation phase of the program is safe. Mitigation measures for safety risks will be provided in the program action plan.

Social Protection Policy, 2014

The objectives focus of the policy are to contribute to minimum income security, to provide adequate protection against life-course shocks and livelihood risks, to extend access to basic social services, for all citizens and residents of Zanzibar, and to strengthen multi-sectoral coordination of all stakeholders working on social protection. It comprises fourteen policy statements with their respective strategies that are designed to ease the hardship elders experience whenever they seek services such health related and others. This policy, contributes to the availability of low-income income, provides security regarding livelihood disasters and expanding service provisions for all citizens of Zanzibar. This will be applicable in formulating activities that enable communities to be more climate resilient but also in managing risks that might arise from project activities like child labor, GBV, and other related social threats.

Urban Municipal Council Solid Waste Management (SWM) Regulations, 2019,

The regulation emphasizes the generator's responsibility to segregate domestic waste into three streams namely compostable, recyclable, and non-recyclable waste, and to hand over to the ZUMC. The ZUMC shall be further responsible for ensuring this segregated waste is collected, processed, and disposed of in a segregated manner. In order to avoid spilling and littering of solid waste, any transport facilities shall be well covered. These regulations shall guide the projects on matters pertaining to waste management. Activities under the program will adhere to this regulation to ensure that all waste that are produced by different program activities is well managed.

Zanzibar Gender Policy 2016

The objective of this policy is to attain gender equity, equality, and women empowerment in all spheres of life. The following areas are earmarked:

Equal participation of women in socio-economic and political affairs, including their participation in leadership and decision-making.

Women and Men in Zanzibar Women and men shall have equal access to socio-economic and political opportunities at all levels and in all spheres of life. Inadequate opportunities for decent work for the female labor force; The Government shall provide a favorable environment, including affirmative action to redress all forms of gender imbalances in the workplace and to promote a decent working environment for women. Prevalence of Sexual and Gender-based Violence in Society; The Government in collaboration with stakeholders shall be required to ensure effective implementation, monitoring, evaluation, and coordination of National frameworks for preventing and responding to sexual and gender-based violence. Gender disparities in education level; Provide equal access program benefits among men and women.

Zanzibar Occupational Safety Policy (2012)

The main objective of the Policy is to promote the right of workers to a safe and healthy working environment, and to contribute to the improvement of workers' well-being and national productivity. The policy provides general direction for the occupational health and safety stakeholders to adopt a management system that is effective in reducing the incidence of work-related injury and disease.

The Children’s Act NO. 6, 2011.

The Children Act No. 6, 2011 was legislated to protect children’s rights in Zanzibar. The Act provides for the rights and best interests of children as well as for the establishment of the Children’s Court. The Act consolidates and expands on provisions relating to the care and protection of vulnerable children and children in conflict with the law. It provides for parentage, custody and access to maintenance. This act will be applied to protect children from all forms of vulnerability during program implementation. The Ministry of community development will be required to work in collaboration with other program implementors to ensure that children are protected from all forms of harm associated with program activities.

The Penal Act No. 6, 2018

The act promotes rights for women, boys, girls, and the disabled against Rape, Assaults, Abduction, and other GBV-related offenses in Zanzibar. SCALE program beneficiaries are protected by this LAW. Close coordination with Legal aid and the Gender Desk will be enhanced in Program implementors to comply with the requirements of the Penal act and management of GBV and SEA.

The Criminal Procedure Act, No.7, 2018.

This act allows for investigation and dealing with all criminal acts including GBV and SEA-related offences. In this case, the program will apply this particular act by coordinating with the Police Gender Desk in the investigation and management of GBV and SEA during project implementation.

Evidence Act No.9, 2017.

This Act promotes access to justice, the right to a fair trial, equality before the law, and equal protection by the law by providing that new evidence and matters connected therewith including electronic evidence in domestic violence cases admissible in Courts of law and that a minor’s evidence is admissible without corroboration.

The Zanzibar Micro, Small, and Medium Industrial Development Agency Act No.2/2018

This Act promotes economic rights and the right to development by establishing the Zanzibar Micro, Small, and Medium Industrial Development Agency and provides for the facilitation of the promotion and development of Zanzibar micro, small, and medium industries, and other related matters. In the implementation of SCALE Program activities, the act will be applicable in defending women’s right to access economic opportunity and formulate different enterprises.

The Local Government Policy, 2012

The Local Government Policy of 2012 aims to strengthen local governance structures and ensure effective delivery of services at the local level, and ensure the establishment of an accountable local government that can provide better and efficient basic services to the people and safeguard their livelihoods. The Policy promotes grounds for a local good governance framework, provisions of local socio-economic programs of the Government, security and protection, conflict resolution and ensuring the welfare of the local communities. The SCALE program will benefit from this policy by promoting decentralized climate actions, leveraging the capabilities of local government authorities, and ensuring local communities are actively involved in climate adaptation and resilience-building efforts.

The Zanzibar Local Government Authority Act, 2014 (section 26)

The Act specifies the establishment of the Local Government Authority structures with their jurisdictional areas, powers and functions. It covers all matters related to social, economic, and environmental governance within the defined boundaries of the local government authorities. In the context of the environment, the Act has emphasized the local powers to prevent and control public nuisance and ensure sustainable management of land and natural resources.

Section 26 (1) of the Act specifies the general functions of the local council, which include maintenance of environmental sanitation, promotion of tourism and other investment opportunities available in their areas, keeping records of land and marine transport vehicles and vessels within their jurisdictional areas, control environmental pollution and prevent private nuisance, supervise and ensure measures to combat epidemic diseases; control extraction of stone, sand, wood, and other forms of natural resources, undertake afforestation and urban forestry initiatives, implement the land use plan, and deal with cross-cutting issues of climate change, disaster management, and population issues. The SCALE program aligns with this act by supporting local authorities in implementing climate resilience measures and integrating climate adaptation strategies into their development plans.

The Zanzibar Disaster Management Policy, 2011

The Zanzibar Disaster Management Policy of 2011 outlines strategies for reducing disaster risks and enhancing the capacity of communities to respond to disasters. The SCALE program will complement this policy by funding both structural and non-structural interventions to mitigate climate impacts, thereby reducing the vulnerability of communities to climate-related disasters.

The Zanzibar Disaster Risk Reduction and Management Act, 2015

The Zanzibar Disaster Risk Reduction and Management Act of 2015 establishes a comprehensive framework for disaster risk reduction and management. The SCALE program will align with this act by ensuring that climate adaptation interventions are integrated into broader disaster risk management efforts, promoting a holistic approach to building climate resilience and safeguarding communities against climate-related hazards.

GAP IN LEGAL AND INSTITUTIONAL FRAMEWORK IN ZANZIBAR

Despite the strong legal and policy framework in Zanzibar, the following are some of the gaps that will need to be addressed during the implementation of the SCALE Program.

- Inadequate enforcement of the existing law.
- Insufficient budget for monitoring compliance with environmental and social requirements
- Inadequate Coordination among different authorities that are working on Environmental and Social risk management for programs such as OSHA, ZEMA, and the Ministry responsible for Community Development.
- Inadequate human resources and required facilities to conduct regular monitoring and verification of different program activities.

The above gaps can be addressed by

- Putting measures to ensure compliance with the legal and policy requirements
- Setting aside sufficient budget for monitoring compliance
- Having adequate human resources with technical knowledge on how to monitor compliance
- Support the provision of the necessary equipment and facilities to ZEMA to enhance monitoring compliance.
- Establishing a strategy to coordinate key institutions that work on Environmental and social risk management.
- Capacity building to the agencies that are responsible for environmental and social risk management such as ZEMA, OSHA, and the Ministry responsible for Community development.

9.2 Annex 2: Detailed Environmental and Social Management System Assessed Against Core Principles

Table 9-1: Environmental and Social Management System Assessment

Core Principle 1: General Principle of Environmental and Social Management

Core Principle 1: Program E&S management systems are designed to (a) promote E&S Sustainability in the Program design; (b) avoid, minimize, or mitigate impacts; and (c) promote informed decision-making relating to a Program's E&S effects.	
Bank PforR Directive: Program Systems will: <ul style="list-style-type: none"> Operate within an adequate legal and regulatory framework to guide environmental and social impact assessments at the Program level. Incorporate recognized elements of environmental and social assessment good practice, including (i) early screening of potential effects; (ii) consideration of strategic, technical, and site alternatives (including the “no action” alternative); (iii) explicit assessment of potential induced, cumulative, and trans-boundary impacts; (iv) identification of measures to mitigate adverse environmental or social impacts that cannot be otherwise avoided or minimized; (v) clear articulation of institutional responsibilities and resources to support implementation of plans; and (vi) responsiveness and accountability through stakeholder consultation, timely dissemination of Program information, and responsive grievance redress measures. 	
Applicability – FULLY APPLICABLE <ul style="list-style-type: none"> Core Principle 1 is considered in terms of environmental and social management (ESM) for the sector during the implementation of the proposed Program, as a key instrument to establish and strengthen the existing environment and social management systems under the executing agencies and related implementing units. The principle becomes more relevant because the Program will include investments in civil works related to construction, rehabilitation, and extension of new infrastructure services which will include classrooms, and IT equipment, among others. These investments are likely to have a physical footprint with a varying degree of environmental and social impacts, though expected to be localized, manageable, and temporary, requiring mitigation. Civil works could potentially generate environmental and social impacts due to raw materials extraction; disposal of e-waste, solid and liquid waste; land acquisition, involuntary displacement, and resettlement; GBV/SEA; Child labour; social conflict; communicable diseases (HIV, COVID-19, etc), occupational health and safety for workers, as well as air and water pollution due to construction activities. Program-related activities will, therefore, be required to undertake environmental and social assessment and implement measures stated in the Environmental and Social Management Plan/Preliminary Environmental Reports to mitigate adverse environmental and social impacts. 	
STRENGTHS <ul style="list-style-type: none"> The Government has a solid environmental legal and policy framework in place to protect, conserve, and mitigate adverse impacts. The national ESIA system provides a comprehensive framework for environmental screening, impact assessment, and management consistent with the core principles outlined in Program for Results Financing. However, it is weak in social screening and assessment. Existing legislation also helps minimize or mitigate possible adverse impacts on the natural habitats, archaeological sites, and cultural resources. The country has developed policies and legislation on public participation and social development. There is also a well-defined policy framework to enhance transparency on the development projects. 	WEAKNESSES <ul style="list-style-type: none"> The implementation of the existing legal/regulatory provisions faces challenges due to of enough qualified human capacity within the implementing agencies and at Regional levels to support Environmental and Social Management risks Relevant SRM laws are fragmented across different ministries and departments. The social risk management systems at the national and Regional levels are not well defined, developed, and coordinated. Insufficient capacity building activities on implementing agency, regional organizational structures, and regional environmental and social officers to ensure compliance to required environmental and social standards during project implementation Poor coordination among the various implementers and inadequate attention to environmental and social concerns, particularly at the regional levels. Low budget allocation for NEMC, OSHA, Social, Gender, Children, Labour Officers (etc), Regional governments for Environmental and Social management.

<ul style="list-style-type: none"> • The ongoing programs under EPForR and SEQUIP have helped to develop project-specific environment and social risk management systems/capacity. These two projects have sensitized the government on the importance of having such systems in place. • The implementing agencies have previous experience executing PForR and IPF projects with similar scope • The Executing Agencies (MoF and PO-RALG) and implementing agencies have experience in implementing similar subprojects and are familiar with the processes, procedures, and requirements under PForR (and IPF) 	<ul style="list-style-type: none"> • Poor community involvement and participation in environmental management and conservation because of low environmental awareness and information dissemination programmes. • Inadequate local communities' consultations during the decision process, especially on the marginalized communities/indigenous peoples. • Inadequate facilitation (of resources e.g. transport, office equipment, communication services, office space, enough human personnel, etc.) at the regional/local levels to conduct monitoring and inspection of subprojects • The implementation of ESMP is inconsistent due to the weak capacity of the regional staff. This is a result of poor or no budgetary allocation for the mitigation measures in the bidding/contract documents. • Inadequate of integrating of ESHS clauses as part of the bidding/contract documents which makes it difficult to enhance compliance during project implementation.
<p>OPPORTUNITIES</p> <ul style="list-style-type: none"> • The program has an opportunity to learn from EPForR and SEQUIP who have put ESRM systems in place, and this project will promote peer-to-peer learning between these projects. • Development of appropriate guidelines, screening checklists, technical options, and manuals to ensure compliance with environmental and social legislation within the Program. • The LGAs have social development officers, health, children's officers, environment officers, among others where the program can reach out to this expertise for support in the management of the environment and social risks • The PIT has an opportunity to build and strengthen Country systems to manage environmental and social risks 	<p>RISKS</p> <ul style="list-style-type: none"> • During project execution, there is a risk of poor implementation or mainstreaming of existing environmental and social management regulations in program guidelines • Addressing the environmental and social management needs and challenges depend on capacity building of the key sector organizations both in terms of human and financial resources, training, and strong monitoring. Poor and inconsistent consultations with the Community members and stakeholders in environmental and social issues identification and mitigation. • Staffing and skills mix at the National and regional levels are inadequate to handle environmental, social and safety risks and management. <p>LEVEL OF RISK - SIGNIFICANT</p>

Core Principle 2: Program E&S management systems are designed to avoid, minimize, or mitigate adverse impacts on natural habitats and physical cultural resources (PCR) resulting from the Program. Program activities that involve the significant conversion or degradation of critical natural habitats or critical physical cultural heritage are not eligible for PforR financing.

Bank PforR Directive: As relevant, the program to be supported:

- Includes appropriate measures for early identification and screening of potentially important biodiversity and cultural resource areas.
- Supports and promotes the conservation, maintenance, and rehabilitation of natural habitats; avoids the significant conversion or degradation of critical natural habitats, and if avoiding the significant conversion of natural habitats is not technically feasible, includes measures to mitigate or offset impacts or program activities.
- Takes into account potential adverse effects on physical cultural property and, as warranted, provides adequate measures to avoid, minimize, or mitigate such effects.

Applicability – APPLICABLE

- The provisions in Core Principle 2 are considered part of the environmental and social management assessment process analyzed under Core Principle 1. The Program will not support investments that would either affect or convert critical natural habitats and will avoid the conversion of natural habitats.
- The proposed sites under the program will be situated in built-up areas, or deep in the rural areas and away from the rural villages where farm fields, open communal lands, and other territories may adjoin natural habitats, wetlands, or places with unknown physical cultural resources.
- Activities funded under the program will not likely generate adverse impacts on natural habitats, and physical and cultural resources since civil works will only be limited to small geographical locations.
- In addition, the subprojects are expected to have a smaller physical footprint, and therefore preventive approach will be used in siting the proposed infrastructures to avoid adverse impacts on natural habitats and physical resources
- Construction of classrooms and disposal of e-waste could pose some risk to natural habitats if not sited appropriately.

STRENGTHS

- The existing legislation for Tanzania's ESIA process considers physical cultural resources and includes screening for archaeological, historical, and cultural sites to ensure environmental and social sustainability.
- The assessment incorporates the program design and implementation of appropriate measures to minimize or mitigate possible adverse impacts on the natural habitats, archaeological sites, and cultural resources, with involvement from strong institutions such as NEMC and National Museums of Tanzania.
- The program will exclude subprojects that have adverse impacts on natural habitats and physical and cultural resources

WEAKNESSES

The weaknesses identified for Core Principle # 1 apply to Core Principle # 2.

Others include;

- Physical cultural heritages are not well documented or exhaustively listed at national and regional levels.
- Limited enforcement of civil contracts and laxity in monitoring during construction.
- Weak capacity to assess the potential impacts on natural habitats and physical and cultural resources.

OPPORTUNITIES

The opportunities and actions identified for strengthening the system for Core Principle # 1 apply to Core Principle # 2.

Others include;

- Improve the level of awareness on safeguarding threatened habitats and PCRs
- Strengthen the screening procedures to include a checklist to assess whether a subproject has the potential for disturbing and affecting a known cultural or religious site.

RISKS

The risks identified for Core Principle # 1 apply to Core Principle # 2.

- Inability to screen subprojects and impacts on natural habitats and PCRs.
- Specific measures to manage impacts on PCRs and natural habitats are not included in the subproject cost.
- During excavation works, known or unknown physical cultural resources, tangible and intangible resources like antiquities, and relics of cultural and religious valued resources might not be properly identified and might be affected.
- Inadequate of commitment and resources to implement E & S actions on PCRs as part of the Program Action Plan.

LEVEL OF RISK - MODERATE

Core Principle # 3: Program E&S management systems are designed to protect public and worker safety against the potential risks associated with (a) the construction and/or operation of facilities or other operational practices under the Program; (b) exposure

to toxic chemicals, hazardous wastes, and otherwise dangerous materials under the Program; and (c) reconstruction or rehabilitation of infrastructure located in areas prone to natural hazards.

Bank PforR Directive:

- Promotes community, individual, and worker safety through the safe design, construction, operation, and maintenance of physical infrastructure, or in carrying out activities that may be dependent on such infrastructure with safety measures, inspections, or remedial works incorporated as needed.
- Promotes the use of the recognized good practice in the production, management, storage, transport, and disposal of hazardous materials generated through program construction or operations; promotes the use of integrated pest management practices to manage or reduce pests or disease vectors; and provides training for workers involved in the production, procurement, storage, transport, use, and disposal of hazardous chemicals in accordance with international guidelines and conventions.
- Includes measures to avoid, minimize, or mitigate community, individual, and worker risks when program activities are located within areas prone to natural hazards such as floods, hurricanes, earthquakes, or other severe weather or climate events.

Applicability – FULLY APPLICABLE

- The provisions in Core Principle # 3 are considered as part of the ESIA process analyzed under Core Principle # 1.
- Rehabilitation, construction, and operation of various physical infrastructures under the program will expose the general public, as well as construction workers to risks such as dust, air pollution, noise, water pollution, solid waste, and toxic or hazardous materials at sites during civil works, which directly or indirectly resulted in occupational safety impacts. Therefore, Core Principle 3 is *fully applicable* to the Program.

STRENGTHS

- The EIA regulation contains robust procedures and requirements for worker health and safety, requiring plans for accident prevention as well for the health and safety of workers and communities, which are also part of contracts for civil works.
- The Government's standard contract conditions for contractors include provisions for public and worker safety (for example, regulations on the use of explosives, provision of barricades at the construction site, use of personal protection gear by workers, disposal of construction debris and wastewater, preventing the creation of conditions conducive to disease vectors, etc.).
- The country systems have guidelines/regulations through agencies such as OSHA and the Contractor Registration Board (CRB) on aspects concerning the management of construction sites, including public and worker safety risks from construction/operation of facilities.
- The Hazardous Waste Control and Management Regulations (2009) and the Guidelines for Management of Hazardous Waste (2013) provide detailed requirements on hazardous waste management.

WEAKNESSES

- Limited capacity and poor supervision to ensure compliance with required national standards within OSHA and other relevant agencies in the regions
- Limited capacity in technical personnel, safety equipment provision, and budget by contractors to comply with national requirements and international good practices
- Weak coordination among the various implementing agencies, and inadequate attention to OHS concerns, particularly at the regional level.
- There is a general lack of awareness of health and safety issues, particularly concerning exposure to workplace safety hazards aspects in hazard-prone areas, etc.
- There is poor maintenance of infrastructures by implementing agencies after completion, e.g. stormwater drainage systems.
- There are weak structures of disposal of hazardous wastes, especially Asbestos, and capacity in the private sector is limited to dispose of such waste

OPPORTUNITIES

- Strengthening of Country systems to manage OHS risks
- Improve awareness and implementation/enforcement capacity of implementing partners and contractors on OHS through training and orientations.
- Creation of development of good practices and procedures for (i) construction site management, (ii) post-construction site rehabilitation, and (iii) proper disposal of waste and waste management.
- Include worker's Code of Conduct in contract documents.

RISKS

- Systematic implementation of OHS provisions requires enhanced awareness in the key sector organizations and strengthened monitoring.
- Inability to ensure public and worker safety can result in physical injuries, including loss of life to the workers and public at and near construction sites.
- Lack of enforcement of contracts resulting in non-compliance, accidents, and fatalities at the construction sites.
- Poor enforcement with a penalty for erring contractors.
- Non-reporting of project-related accidents and fatalities, and inaction on implementing agencies and contractors.

<ul style="list-style-type: none"> Enforcement of health and safety provisions in the contract. Update the standard bid documents and contracts to spell out specific OHS measures, where required, preparation, and implementation of Contractor ESMP. Inclusion of appropriate requirements in civil works contracts and preparation of the required instruments of management plans such as Waste Management Plan, Traffic Management Plan, Air, and Noise Pollution, among others. 	LEVEL OF RISK – SIGNIFICANT
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Core Principle # 4: Program E&S systems manage the land acquisition and loss of access to natural resources in a way that avoids or minimizes displacement and assists affected people in improving, or at the minimum restoring, their livelihoods and living standards

Bank PforR Directive: As relevant, the program to be supported:

- Avoids or minimizes land acquisition and related adverse impacts;
- Identifies and addresses economic and social impacts caused by land acquisition or loss of access to natural resources, including those affecting people who may lack full legal rights to assets or resources they use or occupy;
- Provides compensation sufficient to purchase replacement assets of equivalent value and to meet any necessary transitional expenses, paid prior to taking of land or restricting access;
- Provides supplemental livelihood improvement or restoration measures if taking of land causes loss of income-generating opportunity (e.g., loss of crop production or employment); and
- Restores or replaces public infrastructure and community services that may be adversely affected.

(Program activities for which the borrower's land acquisition and resettlement (LAR) processes have significant gaps with this principle, or for which the borrower lack sufficient capacity to manage LAR impacts in a manner consistent with this principles, should not be considered eligible for the PforR Financing regardless of the number of people affected, unless supplemental arrangements are agreed with the Program authorities and endorsed by the CESSO, GSUSS, and/or the Regional Standard Advisor).

Applicability – PARTIALLY APPLICABLE

The program involves physical works, although it is not anticipated that there will be any land acquisition. However limited, the risk of land acquisition and displacement of people cannot be ruled out in some cases which may result in minimal relocation and loss of livelihoods. The loss of access to natural resources is highly unlikely since the program will mainly focus built-up areas.

- Investments financed by the program will exclude high-risk projects (projects that have significant negative environmental and social impacts that are sensitive, diverse, or unprecedented).
- Willing buyer-willing seller will be the preferred means of land acquisition in all cases. The government's right to acquire land compulsorily will only be used where it is unavoidable.
- Where the compulsory acquisition is to be employed, the evidence must be obtained (as detailed in the OM) that attempts were made to acquire land via the marketplace. Moreover, a compelling reason why alternative land, available in the market, could not be found must be documented. Instances where compulsory acquisition may be unavoidable include but are not limited to, road rehabilitation, construction of new roads, water, and sewerage systems.
- Where households are physically displaced, the government will provide options to the PAPs guidance provided in the OM.
- Economic displacement can and will involve the physical relocation of PAPs.
- Small parcels of private residential land that do not excessively affect land use may still be subject to compulsory acquisition as they are considered economic displacement.
- Voluntary land donation and use permit processes will be used for land under customary rights, according to land tenure and, ownership and transfer of rights arrangement.

STRENGTHS

- The program will exclude subprojects that involve large land acquisition and resettlement.
- Compulsory land acquisition processes are well defined in the Tanzania Law. This process has put in place measures to protect the affected persons and

WEAKNESSES

- Weak capacities to ensure compliance with required national standards within the implementing agency and entities
- There is no clear definition of the rights of those occupying public land and their entitlement, especially on livelihood restoration.

<p>defines affected persons' consultation process and avenues for grievance redress.</p>	<ul style="list-style-type: none"> • Tanzania Law does not recognize tenants, squatters, or encroachers as being entitled to assistance or any allowances for transportation or disturbances to this particular group • Tanzania Law uses a depreciated replacement cost approach, which does not result in full replacement costs of the lost assets • The Law does not stipulate that resettlement should be avoided wherever possible; on the contrary, as long as a project is for the public interest, involuntary resettlement is considered to be inevitable • Inadequate implementation of policy and legislation guidance on resettlement and livelihood restoration • While the Land Act does entitle compensation for business losses, there are no legal provisions requiring the government to restore livelihoods or to provide assistance towards the restoration of such livelihoods. Land users such as tenant farmers are only entitled to compensation for crops (the valuation method is outlined in the 2001 Regulations). • Insufficient of budgetary allocation for land acquisition and resettlement processes.
<p>OPPORTUNITIES</p> <ul style="list-style-type: none"> • Strengthening of country systems to manage and implement the land acquisition process and associated risks to acceptable standards • Strengthening capacities to enforce Land acquisition implementation measures 	<p>RISKS</p> <ul style="list-style-type: none"> • Systematic implementation of land acquisition procedures as required by the WB policies due to weaknesses of the local policies • Potential involuntary resettlement without compensation to informal settlers occupying public land illegally • Delay of land acquisition due to lack of funds allocation for the program <p>LEVEL OF RISK – MODERATE</p>

Core Principle # 5: Program E&S systems give due consideration to the cultural appropriateness or and equitable access to, Program benefits, giving special attention to the rights and interests of Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities, and to the needs or concerns of vulnerable groups.

Bank PforR Directive:

- Undertakes free, prior, and informed consultations if vulnerable and marginalized communities are potentially affected (positively or negatively) to determine whether there is broad community support for the program.
- Ensures that vulnerable and marginalized communities can participate in devising opportunities to benefit from the exploitation of customary resources or indigenous knowledge, the latter (indigenous knowledge) to include the consent of the vulnerable and marginalized communities.

Gives attention to groups vulnerable to hardship or disadvantage, including as relevant the poor, the disabled, women and children, the elderly, or vulnerable and marginalized communities. If necessary, special measures are taken to promote equitable access to program benefits.

Applicability –APPLICABLE

The program will be implemented in some Regions in Tanzania where Indigenous/Marginalized Groups and Vulnerable Groups including women, children, the elderly, and PWD exist in the Program areas

STRENGTHS

- The Constitution of the Republic of Tanzania recognize vulnerable and disadvantaged communities.
- Tanzania also has policies specific to vulnerable groups, such as the National Policy on women and gender (2000), and National Policy on HIV/AIDs, in order to prevent discrimination and promote equity.

WEAKNESSES

- *Identification of Vulnerable Groups:* Vulnerable and marginalized groups are not explicitly included in the screening process for ESIA through EMA nor in the Tanzanian system for land acquisition and resettlement.
- *Vulnerable and marginalized communities:* There is no specific legislation governing Indigenous Peoples in Tanzania. As mentioned above, there is no system in place that confers any right, status, or special position upon any citizen of Tanzania on the basis of lineage,

<ul style="list-style-type: none"> There is also strong guidance for community participatory planning by PO-RALG through the “Opportunities and Obstacles to Development Handbook,” which promotes the inclusion of vulnerable groups throughout the planning process. 	<p>tradition, or descent, including vulnerable and marginalized communities.</p> <ul style="list-style-type: none"> There is also no track record of any government-only program to undertake free, prior, informed consultations with vulnerable and marginalized communities. Inadequate capacities to ensure compliance with required national standards on equitable access within the implementing agency and LGAs. Insufficient commitment to reduce inequity at the national and regional levels No annual monitoring system to measure the progress of equitable access and community driven programs. Inadequate capacity to disseminate information to promote social accountability and grievance redress mechanisms at national and regional levels Inadequate of awareness among the VMGs, leadership, and professionals on the needs of VMGs Inadequate clear guidance and procedures to manage the inclusion of VMGs. Inadequate of gender mainstream strategies to facilitate inclusion of gender equity in Programs
<p>OPPORTUNITIES</p> <ul style="list-style-type: none"> There is a commitment at the national and regional levels to reduce inequity poverty to vulnerable groups (disabled, women, and youth) which is accompanied by adequate funding through other programs Improved staff management and training on the applicability of these principles to the program Development of robust stakeholder management strategies within the systems as part of the public consultations programs to strengthen and systematize projects consultation processes and grievance redress mechanisms The opportunity of the program implementers to empower and benefit VMGs in an inclusive manner. 	<p>RISKS</p> <ul style="list-style-type: none"> Poor consultations with the VMGs on the program Weak procurement processes and procedures for equitable access to program benefits by the VMGs Barriers that hinder progress towards achieving the objective of increased equity brought about by corruption, cultural, ethnic and gender disparities <p>LEVEL OF RISK – SUBSTANTIAL</p>

Core Principle # 6: Program E&S systems avoid exacerbating social conflict, especially in fragile states, post-conflict areas, or areas subject to territorial disputes.

Bank PforR Directive: Considers conflict risks, including distributional equity and cultural sensitivities.

BP 9.00:

Considers conflict risks, including distributional equity and cultural sensitivities.

Applicability –APPLICABLE

- The program is designed to yield significant social benefits to all communities and to improve distributional equity across the country.
- On the other hand, the principle is applicable due to social conflicts that may arise due to labour influx in the project areas such as gender-based violence, increased risk of illicit behaviour and crime, increased burden and competition on public resources, and increased risk of communicable diseases, among others.
- The program will not undertake projects that will cause or exacerbate social conflict in fragile states, post-conflict areas, or areas subject to territorial disputes, or cause social conflict or impact distributional equity or associated cultural sensitivities

STRENGTHS

- The existence of procedures guiding public participation and consultations (EMA Act 2004) from the onset of project development will minimize social conflict.

WEAKNESSES

- The legal and regulatory framework and the sector-specific policies of government ministries and independent departments, however, have yet to be aligned with these policies

<ul style="list-style-type: none"> The Government of Tanzania also has adopted policies that advance gender equality and youth inclusion in a supportive enabling environment. 	<ul style="list-style-type: none"> Inadequate grievance mechanisms to manage social tensions at the National and regional levels Inadequate capacities to ensure compliance at the implementing agency and the law enforcement
<p>OPPORTUNITIES</p> <ul style="list-style-type: none"> There is a commitment at the national level to encourage utilization of local labour to empower the local communities during program implementation Training on the applicability of these principles to the program Development of robust stakeholder management strategies within the systems as part of the current to strengthen and systematize projects consultation processes and grievance redress mechanisms Integrate contractual obligations in the legal agreements and contracts for contractors to take responsibilities of the social risks, with appropriate mechanisms for addressing compliance Presence of Government officers from the National Security agencies that encourage dialogue in dispute resolution as well an avenue for social conflict resolution. 	<p>RISKS</p> <ul style="list-style-type: none"> Inadequate of identification of social risks brought about by socialdisputes , including the prevalence of gender-based violence The hiring of contractors with weak E&S capacity to manage social risks Unavailability of local labour leading to a high ratio of labor influx vis-à-vis host population <p>LEVEL OF RISK – MODERATE</p>

9.3 Annex 3: Summary of Comments from stakeholders

Stakeholder Response to ESSA Assessment questions

Stakeholder Engaged and Specific Consideration

Consultations for E&S system assessment were conducted in xx regions where different government officials and civil society organizations provided their input toward the preparation of the ESSA Report. Stakeholders responded positively to the program and provided insights about the current situation in government systems in terms of environmental and social risk management. Strong support and commitment to the program were observed among all stakeholders consulted.

The following are general recommendations from the consulted stakeholders

- Program to involve the community to ensure that all groups, including vulnerable and special groups, are involved from the project inception to the implementation stages;
- Program to provide education and awareness by providing about climate change impacts and the importance of environmental conservation;
- Conducting regular consultations and feedback sessions to address concerns and incorporate suggestions from stakeholders;
- Building the capacity of local institutions and stakeholders to manage and implement climate change projects effectively; and
- Ensuring sufficient budget and resources are allocated for environmental and social aspects of the projects.

ESSA QUESTIONS AND STAKEHOLDERS RESPONSES

Presence of Environmental and Social policy and Department

In various regions of Tanzania, there are established environmental and social policies, along with dedicated departments. For instance, Morogoro and Tanga have stakeholders who responded that there are specific departments at the local government level. Singida follows the national policy from 1998, while Kilimanjaro implements environmental policies at all levels, with departments overseeing activities at the regional and district levels. Kigoma and Iringa adhere to the national environmental policy of 1997, supplemented by local bylaws. Tabora and Dodoma also have policies and departments at the regional and district levels, with Dodoma's policy updated in 2022 as shown in Table 2.

Table 2: Response from each Region

Meeting Location	Views/ Response
Morogoro	Morogoro The policy exists, and there is a department for environmental preservation at the local government level.
Tanga	We use the country's environmental Policy of 1998
Manyara	The policy is available and the department is also there
Kilimanjaro	The environmental and social policies exist and are implemented at all levels. There are also departments that oversee environmental and social activities at the regional and district council levels.
Kigoma	Use national environmental policy (1997) and local environmental bylaws.
Tabora	The policy exists, and there is environmental department at the regional and district levels.
Iringa	Uses national environmental policy (1997) and local bylaws.
Dodoma	The policy exists (2022), and there are environmental departments at regional and district level.

Core function of the Organisation and Environmental and social management role.

The core function of regional, district, and ward levels in managing environmental and social issues, particularly in addressing climate change, involves coordination, implementation, and supervision. Regions coordinate all activities, including projects and advisory roles. Districts implement policies, laws, regulations, and government directives. Specific responsibilities are outlined in the national environmental law, sections 34, 35, and 36 of the Environmental Management Act of 2004. Each region and district has specific roles, such as coordinating and managing environmental activities, implementing policies, and overseeing environmental preservation at various administrative levels as indicated on Table 3.

Table 3: Environmental Management Responsibilities

Meeting Location	Views/ Response
Morogoro	The region coordinates all matters, including projects and advisory roles. The district implements policies, laws, regulations, and government directives. The fundamental responsibilities for the environment are outlined in the national environmental law, sections 34, 35, and 36 of the Environmental Management Act of 2004.
Tanga	The responsibilities of the region/district are to coordinate environmental matters. Also, to ensure the implementation and adherence to environmental laws in projects. Interpreting laws for the public
Manyara	Responsibilities include interpreting policies, guidelines, and building the capacity of local government authorities, also acting as a link between the ministry and LGAs. District: Implementation of various policies and regulations related to the environment and society
Kilimanjaro	Supervision and coordination of all environmental matters. Budget planning for environmental management. Monitoring projects, programs, and all activities related to the environment and climate change
Kigoma	Coordination and supervision, advisory roles in environmental matters. District: Supervision and implementation of environmental matters and taking various actions. Ward: Supervision and maintenance of the environment, also imposing penalties for environmental damage
Tabora	Coordination of environmental matters in the region implemented by its districts. District: Supervision and implementation of environmental activities in its wards and villages. Ward: Supervision and implementation of environmental activities in its streets, villages, and sub-villages
Iringa	Coordination and advisory roles in management. District: Practical implementation of all environmental matters. Village Ward: Supervision and continuation of implementation
Dodoma	Coordination and supervision of all environmental activities of the district. District: Coordination at the district level through committees and departments. Ward: Environmental committee coordinates environmental activities
Singida	Coordination of all environmental activities, providing technical assistance at the district level. District: Implementation of all environmental activities at the district level in its streets/villages

Climate Impacts and Response

Regions in Tanzania have experienced various climate impacts, including floods, droughts, strong winds, infrastructure damage, reduced crop production, and increased temperatures. Response strategies include forming disaster committees, planting trees, providing environmental education, and implementing crop insurance. Sustainable actions involve collaborating with stakeholders, developing local bylaws, and improving infrastructure to mitigate flood risks. Specific regions like Kilimanjaro and Manyara focus on water quality programs and interpreting policies to build local government capacity, while others like Tanga and Singida emphasize environmental conservation and reforestation efforts as in Table 4.

Table 4: Climate Impact Response

Meeting Location	Climate Impacts	Response Strategies
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Morogoro	Floods, drought, cyclones (strong winds), infrastructure damage, reduced crop production, increased temperatures in some districts, and mosquitoes	Disaster committees (region, district, ward, village, sub-village)
Tanga	Landslides, coastal erosion, decline in water quality and quantity, drought	Tree planting, environmental education
Manyara	Floods causing loss of homes, pastures, human and animal deaths, invasive plants, drought	Tree planting, community education
Kilimanjaro	Drought, floods, landslides, reduced agricultural and livestock production, invasive species, reduced water quantity and quality	Involving water quality stakeholders, sustainability programs
Kigoma	Floods, road damage, human and livestock deaths, house damage	Tree planting, community education, relocation
Tabora	Lack of rain, drought (2018-2022), floods (2023/2024), hailstorms affecting crops	Tree planting, education, crop insurance
Iringa	Floods, drought, epidemic diseases, reduced production	Tree planting, environmental project education
Dodoma	Floods, drought, epidemic diseases, soil erosion, cyclones	Tree planting, environmental education
Singida	Floods, drought	Establishing and updating local bylaws, marking flood-prone areas, developing flood control infrastructure, forest conservation, tree planting

Priority Activities for Climate Change Program

Regions in Tanzania have identified several priority activities to address climate change. These include tree planting, establishing environmental and social committees, and implementing wetland restoration projects. Other initiatives involve promoting clean energy, developing irrigation schemes, and providing community education. Specific regions have tailored their strategies to local needs, such as constructing water reservoirs in Dodoma, enhancing forest conservation in Iringa, and collaborating with companies for tree planting in Tabora. Additionally, regions like Kilimanjaro and Manyara focus on improving areas most affected by climate change and promoting sustainable agricultural practices.

Table 5 indicates the activities and arrangements for each region.

Table 5: Priority Activities Institutional Arrangements for Climate Change Program Implementation

Meeting Location	Priority Activities	Institutional Arrangements
Morogoro	Tree planting, establishing environmental and social committees, wetland restoration projects, energy projects, irrigation schemes	Existence of the National Policy for the Development of People with Disabilities (2004), village development decisions made through village general meetings
Tanga	Road expansion (Mombo-Lushoto), building water reservoirs to combat drought, constructing sea walls, tree planting projects, tree farming projects	Division of responsibilities from regional to sub-village levels, ensuring effective management and monitoring
Manyara	Community education and tree planting promotion, water-efficient agriculture, planting climate-resilient crops, implementing land use plans	Campaign for the use of clean energy, conservation of community forests for carbon trading
Kilimanjaro	Strengthening areas most affected by climate change	Community and institutional mobilization, collaborating with stakeholders to prepare project proposals and secure funding

Kigoma	Community education, tree planting, holding community meetings	Formulating policies and laws, community education, enforcing regulations and laws.
Tabora	Collaborating with companies for tree planting, land restoration projects, stakeholder involvement in water reservoir construction, promoting alternative energy use	Establishment of Committees to address various disasters, including climate change, at regional, district, and ward levels; encouraging government institutions to participate in tree planting; TFS, region, and district councils to establish tree nurseries and distribute to the community
Iringa	Forest conservation projects, income-generating projects (livestock, agriculture, tree nurseries, beekeeping)	Project implementation through stakeholder involvement, including residents, various institutions, and organizations
Dodoma	Irrigated agriculture by building dams and wells, use of clean energy (solar, biogas, wind, water), tree planting	Establishment of tree nurseries, community mobilization for tree planting, collaboration with environmental stakeholders and carbon companies
Singida	Community education, preparing and using land use plans, strengthening areas most affected by climate change	Community education initiatives

Ensuring Program Benefits for All Social Groups

Various strategies have been developed to ensure that climate change programs benefit all social groups, including vulnerable and special groups. In Singida, the Opportunities and Obstacles to Development (O&OD) approach is used to identify projects. Dodoma focuses on identifying existing groups, recognizing their roles, and building their capacity for participation. Iringa emphasizes identifying all stakeholders, providing education on climate change, implementing activities, and obtaining feedback through meetings. Tabora empowers youth groups with beehives for beekeeping. Kigoma involves all community groups, including children, elders, widows, and disabled individuals, in environmental projects. Morogoro follows the National Policy for the Development and Services for People with Disabilities (2004) and makes village development decisions through meetings. Kilimanjaro ensures all groups are involved in programs and that their needs are considered. Manyara includes and builds the capacity of community members through village meetings and workshops. Tanga involves all community groups through village council meetings and general meetings, reporting participation information to higher authorities.

Table 6: Strategies climate change programs benefit all social groups

Meeting Location (Region)	Ensuring Program Benefits	Stakeholders and Their Roles	Selection Criteria Stakeholders	Engaging Stakeholders During Preparation and Implementation
Morogoro	Following the National Policy for the Development and Services for People with Disabilities (2004), village development decisions made through meetings	TFS, BONDE, TAWA, NEMC, private institutions, TANROAD, SAT, MOROWASA, TAFORI, TURUWASA, EAM CEF; involved through meetings, workshops, conferences	Activities they are involved in and priority areas for addressing climate change	No specific plan, but stakeholders are involved at every stage

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Tanga	Involving all community groups through village council meetings and general meetings, reporting participation information to higher authorities	Community, village leaders, ward leaders, CMT members, councilors, RCs; involved through meetings and discussions	Based on criteria in the program guidelines, including special needs communities, highly affected communities, and gender balance	Stakeholders are involved through meetings and media (Local radio)
Manyara	Inclusion and capacity building through village meetings and workshops, involving them in climate change resilience projects	Community leaders (traditional leaders), various community groups (religious leaders, civil society organizations, FBOs, NGOs, CBOs); involved through village meetings and workshops, local radio	Local community members	Stakeholders are involved through meetings and workshops
Kilimanjaro	Identifying all groups and involving them in programs, ensuring project initiators include special groups and consider their needs	NGOs, CBOs, village governments, district councils, other government institutions; involved through initial meetings to identify stakeholders	Focusing on those most affected by climate change impacts and those participating in highly affected or vulnerable areas	Initial meetings have started to identify environmental stakeholders
Kigoma	Involving all community groups in environmental projects, including children, elders, widows, disabled, and blind individuals	Religious leaders, village leaders, ward leaders, street leaders, tribal leaders, special groups, general community; involved through meetings, discussions, places of worship, leaflets, media	Identifying the project and involving the community to ensure proper understanding	Stakeholders are involved through meetings, discussions, radio announcements, and project introductions
Tabora	Empowering youth groups with 100 beehives for beekeeping	TFS, TAWA, TANAPA, NGOs (Trees for Future), WFP; involved through stakeholder meetings	Assessing affected areas, villages or wards, considering special groups like pastoralists and farmers, depending on the project identified	Stakeholder meetings at regional and district levels
Iringa	Identifying all stakeholders, providing education on climate change, implementing activities, obtaining feedback through meetings	Regional and district councils, DC's office, OR-TAMISEMI, VPO, NGOs, TFS, sector ministries; involved through education and implementation activities	Actual impacts in the area, community's willingness to participate	Stakeholders are involved at all levels and stages, with a permanent agenda for involvement
Dodoma	Identifying existing groups, recognizing each group's role, building capacity for participation	Citizens, leaders, experts at all levels, NGOs, CBOs, companies; involved through meetings and discussion	Type of project activities, impacts of climate change	Stakeholders are involved
Singida	Using the Opportunities and Obstacles to Development (O&OD) approach to identify projects	TFS, OSHA, NEMC, sector ministries, NGOs; involved through stakeholder meetings	Criteria recognized by the community development policy and special indigenous groups	No specific plan, but stakeholders are involved

Potential Environmental and Social Risks and Mitigation Measures

The implementation of climate change programs in various regions of Tanzania presents both positive and negative impacts. Positive impacts include increased employment, economic growth, sustainable community development, improved environmental conservation, and reduced climate change impacts. However, there are potential negative impacts such as the spread of diseases, social tension, land disputes, environmental degradation, and disruption of community customs and traditions. To mitigate these negative impacts, regions plan to conduct Environmental Impact Assessments (EIA), provide education and awareness, create local bylaws, involve the community in all project stages, and implement proper mitigation measures. Additionally, building community capacity and ensuring transparency through legitimate meetings are crucial steps to ensure the success and sustainability of these programs

Meeting Location (Region)	Positive Impacts	Negative Impacts	Mitigation Measures
Morogoro	Employment, environmental conservation	Potential for tension among and within communities.	Provide education and project awareness to the community
Tanga	Employment, environmental sustainability, project ownership, project benefits	Accidents, disease outbreaks, potential gender-based violence	Conduct ESIA, provide PPE during implementation, involve the community, ensure proper mitigation measures, conduct monitoring and evaluation
Manyara	Employment, environmental conservation, increased community income	, environmental degradation, outbreak of diseases like cholera	Involve all stakeholders in the community during project identification, conduct feasibility studies before project implementation
Kilimanjaro	Increased employment and income for the community, improved service distribution, reduced climate change impacts	Spread of infectious diseases, disruption of community customs and traditions	Provide education on negative impacts and implement measures to prevent or reduce these impacts
Kigoma	Community involvement in project sustainability, reduced environmental and social impacts	Failure to achieve goals if the community is not involved	Involve the community throughout the project, build community capacity
Tabora	Increased income for citizens, awareness on climate change impacts and responses	Tensions among communities, loss of land for project implementation	Involve the community and allocate land for project areas, involve all levels of regional, district, ward, and village administration
Iringa	Increased community income, improved environmental conservation, reduced environmental impacts	Social disputes may arise	Ensure transparency through legitimate meetings, involve the entire community in all project stages
Dodoma	Increased income for citizens, ecosystem restoration	Increased spread of sexually transmitted diseases, land conflicts	Provide education, create local bylaws, land use planning, community involvement
Singida	Employment, economic growth, sustainable community development	Diseases, disputes	Conduct Environmental Impact Assessment (EIA) before starting the project

Environmental and Social Capacity of Institutions

The environmental and social (E&S) capacity of institutions varies significantly. While some regions like Dodoma, Iringa, and Morogoro have adequate E&S experts at all levels, others like Singida, Kigoma, Kilimanjaro, and Tanga face challenges due to budget constraints, limited staff, and lack of

resources. Many regions have established complaint desks and systems to address issues, but there is a general need for more trained experts and sufficient funding. Plans are in place to address these gaps, including presenting staffing needs to decision makers, following up with the government for hiring, and ensuring continuous training and resource allocation

Table 7: Environmental and Social Capacity of Institutions

Meeting Location (Region)	E&S Capacity	Staff and Resources for E&S Requirements	Plan for Addressing Gaps in E&S Capacity
Morogoro	Yes, experts are available	Social welfare but few	To add number and provide capacity building
Tanga	Limited capacity due to budget constraints, lack of equipment, and few experts	Complaint desks available, social officers but few	Local councils hire various experts annually, regional secretariat monitors
Manyara	Yes, using existing disaster committees; few experts involved occasionally	Complaint desks available, issues resolved need to increase number of E&S officers	Government has a strategic plan to hire environmental experts annually based on need
Kilimanjaro	Limited capacity due to few staff and budget constraints for environmental projects	Need to add experts and conduct capacity building	Continue to follow up with the government to hire relevant experts and allocate funds
Kigoma	Limited capacity to handle environmental and social disasters; experts available but insufficient	Need to add some experts	Government continues to hire experts
Tabora	Regional level: community development officer; district level: community development officer; ward level: 1-2 experts	Complaint desks at regional and district levels, ward executive officer and experts involved	Government plans to hire experts based on budget
Iringa	All institutions have capacity with experts at all levels	Yes, experts are available	Capacity building is required for the experts to manage E&S risks
Dodoma	Experts available	Need for more capacity building	Capacity building required
Singida	Limited capacity due to budget constraints; environmental experts at regional and district levels, no experts at ward level; social experts at all levels	Need for more staff	Capacity building and adding new staff at all levels

Grievance Redress Mechanisms (GRM)

Regions involve the community directly in the grievance process, from project inception to implementation. Additionally, there are plans to strengthen these systems further, including building capacity for complaint desks and creating special committees for climate change-related grievances. The GRM also includes handling Gender-Based Violence (GBV) and Sexual Exploitation and Abuse (SEA) cases, with measures such as community education, proper consultation, and ensuring sufficient budget allocation for environmental and social

Meeting Location (Region)	GRM Availability and Functionality	Handling Program-Related Grievances	Inclusion of GBV/SEA-Related Cases
Morogoro	Using executive office desks	Capable of handling grievances by using the existing mechanisms	Yes ,GBV cases are handled in the existing GRM

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Tanga	Complaints received from the grassroots level and forwarded to district and regional councils.	Yes, effective grievance handling system in place	Yes
Manyara	There are special committees to receive and resolve grievances at all levels	Yes	Yes
Kilimanjaro	There is a system in place however needs to be strengthened	The system is in place but capacity building is required to make it functional	The existing system does not include GBV cases
Kigoma	The system in place but needs some improvement to be more functional	Yes, issues received and resolved from village to regional level	GBV cases are not included
Tabora	Through complaint committees and disaster committees	Yes, social issues handled mainly by social welfare office and police desk	Yes, GBV cases are handled by policy gender desk
Iringa	Yes, special committee at regional level led by a lawyer is in place	Receiving complaints without long procedures, resolving quickly, providing feedback immediately after resolution committees at all levels	Yes GBV cases are handled by the committee
Dodoma	Through complaint officers, suggestion boxes, dispute registers	Yes, through gender desks at police, social welfare, and council levels	Yes GBV cases are included
	Complaint desk available	Yes	Yes GBV cases are handled

9.4 Annex 4: ESSA Assessment Tool

Core Principles	Key Planning Elements	Guiding Questions
Core Principle 1: Program E&S management systems are designed to (a) promote E&S Sustainability in the Program design; (b) avoid, minimize, or mitigate impacts; and (c) promote informed decision-making relating to a Program's E&S effects.	Operate within an adequate legal and regulatory framework to guide E&S impact assessments, mitigation, management, and monitoring at the PforR Program level.	<ol style="list-style-type: none"> 1. What relevant E&S policies, laws, regulations, procedures, decrees, strategies, or other mandatory legal instruments are available at the national and LA government levels that are applicable to the Program activities and associated impacts and risks? (Consider laws under multiple agencies such as ZEMA, NEMC, and OSHA, including the implementing agency at national and LA levels). 2. Do the Program implementing agency/agencies have the legal and/or regulatory authority to commit resources and implement actions necessary for effective E&S assessment and management of impacts and risks? 3. If not, are critical changes to the legal or regulatory framework needed before the operation can proceed? 4. If a new Program is being proposed, has legal and regulatory authority been clearly established? 5. Do systems include mechanisms, where appropriate, to ensure objective or independent assessments of E&S impacts? 6. How will E&S aspects be coordinated between the implementing agency and the various compliance authorities, such as ZEMA, DOSHS, OSHI, etc.? 7. Does the implementing agency at the national and LA levels have access to adequate and qualified capacity (in-house or outsourced) to carry out E&S assessments and management of E&S risks and impacts? 8. What are the foreseen gaps and challenges that may impede effective E&S risk management at the national and LA levels
	Incorporate recognized elements of good practice in E&S assessment and management including: <ol style="list-style-type: none"> i. Early screening of potential impacts. 	<ol style="list-style-type: none"> 9. Do applicable procedures require E&S screening or assessment of activities associated with the proposed PforR operation that presents risks? 10. Is there a criterion for screening E&S risks and impacts in place? 11. Does the implementing agency apply the screening criteria in the E&S assessment? 12. Does screening lead to E&S assessments that are proportional in depth and scope to the identified adverse impacts and risks (e.g., does it apply risk categories to determine the depth and breadth of assessments?) 13. What E&S risk categories are applied? 14. Are screening procedures comprehensive? Do they include specific consideration of the full range of E&S risks, including among others biodiversity impacts, land-use change, changes to air or water quality, management of hazardous materials and social risks such as land acquisition/physical and economic displacements, IPs/VMGs, physical cultural heritage, labour influx and related impacts, forced and child labour, gender aspects etc.? 15. Do screening procedures include the opportunity for stakeholder involvement engagement and consultation in identification of E&S risks and impacts?

		<p>16. Do these requirements clearly apply to the Program proposed for support by the PforR operation? Has screening for, and estimation of, E&S effects been part of the borrower's program design?</p> <p>17. Does this screening process consider opportunities to enhance the range and reach of Program benefits?</p> <p>18. Is E&S screening done in an integrated manner, so that both E&S risks and impacts are identified early on?</p> <p>19. Is the scope of Program screening broad enough to cover all potential significant E&S issues?</p>
	Consideration of strategic, technical, and site alternatives (including the "no action" alternative)	<p>20. Do the applicable systems require the consideration of feasible alternatives or other forms or options to avoid or minimize potential impacts and risks? for example are strategic, technical, and site-selection alternatives considered, including a "do nothing" options?</p> <p>21. Which if any, other forms of strategic planning, such as sectoral master planning (e.g., urban, natural resources, coastal zones), are used to identify E&S risks and impacts?</p> <p>22. Does Program design (i.e., identification of activities or expenditure) consider the relative environmental costs and benefits of feasible alternatives?</p>
	Explicit assessment of potential induced, cumulative and transboundary impacts.	<p>23. Do Program procedures require the consideration of induced, cumulative, or transboundary impacts as part of the screening, options assessments, and/or Environmental and Social Impact Assessment?</p> <p>24. Do the procedures allow for, or promote, the use of tools such as strategic E&S impact assessments to help identify and evaluate such impacts?</p> <p>25. Do the systems require such issues to be managed if they are relevant to the Program?</p> <p>26. Are Program activities set within strategic management plans that provide an operational framework for understanding and managing such impacts?</p> <p>27. Do the procedures include measures for evaluating critical global environmental issues such as transboundary pollution, biodiversity loss, international waterways, and climate change?</p> <p>28. Does the assessment provide adequate opportunity to engage stakeholders on induced, cumulative and transboundary impacts?</p> <p>29. Do the systems require considering the implications to and from climate change associated with Program activities including estimating GHG emissions from Program activities?</p> <p>30. Do Program systems require assessing the risks from natural disasters or human-induced emergencies?</p>
	Identification of measures to mitigate adverse E&S risks and impacts that cannot be otherwise avoided or minimized.	<p>31. Do the applicable systems effectively promote the application of mitigation hierarchy (e.g., avoid, minimize, mitigate, compensate/offset)?</p> <p>32. Do E&S management plans provide sufficient operational detail to guide effective implementation?</p> <p>33. Are mitigation/management measures called for under the system relevant and realistic? (e.g., not requiring disposal of hazardous wastes in a licensed facility if there aren't any in the country)?</p> <p>34. Do E&S management plans require time-bound actions?</p> <p>35. Do they have clear targets and clear assignment of responsibilities for implementation and for monitoring/oversight?</p> <p>36. Do applicable systems include clear and appropriate repercussions and remedies in case E&S mitigation measures are not applied?</p>

	Clear articulation of institutional responsibility and resources to support the implementation of plans.	<p>37. Are implementing agencies clearly identified? How is the responsibility assigned at national and LA level?</p> <p>38. Are institutional/organizational responsibilities supported by adequate human and financial resources to implement environmental and/or social management (includes occupational health and safety aspects) procedures or plans?</p> <p>39. Are Program entities responsible for E&S aspects adequately staffed-in terms of skills, qualification, and the number of personnel – to ensure effective administration, planning, design, implementation, and monitoring functions?</p> <p>40. Are E&S experts in-house or outsourced?</p> <p>41. Does the LA have an E&S safeguards specialist?</p> <p>42. If so, what is the scope of work for the specialist?</p> <p>43. How often are the E&S staff re-trained on E&S aspects?</p> <p>44. If the Program does not build sufficient in-house, what reliable alternative arrangements (e.g., coordination with other agencies, use of qualified consulting services) are available to promote effectiveness? If none, what needs have been identified for supplementary support and/or capacity strengthening?</p> <p>45. If the Program depends on interagency collaboration for delivery of services or for managing E&S effects, or if the multi-jurisdictional reach or scope of the Program creates divided responsibilities for implementation, what structural arrangements are in place to ensure effective and timely coordination?</p> <p>46. Is there a coordinating body that is empowered to resolve coordination issues or delays in required actions?</p> <p>47. Are the Program entities effective at applying their E&S frameworks in practice?</p> <p>48. Are “adaptive management” processes in place to respond to unanticipated E&S management issues that may arise?</p> <p>49. Do Program entities have access to contingency funds for unexpected impacts or budget shortfalls?</p> <p>50. Do processes and procedures related to E&S protection routinely, effectively, and equitably implemented?</p>
	Responsiveness and accountability through stakeholder consultation, timely dissemination of the PforR information, and responsive GRM.	<p>51. What mechanisms are available for program entities to use to ensure that stakeholders are identified, mapped, consulted, engaged and their views, concerns, and suggestions are systematically considered?</p> <p>52. Does the implementing Agency have effective feedback mechanisms from stakeholders for ongoing programs i.e., response time expected from relevant stakeholders</p> <p>53. Are consultations conducted early enough that stakeholder feedback can be considered in the design of new or changing Program activities?</p> <p>54. Are consultations conducted in a manner that encourages an open exchange of views, without fear, coercion, intimidation?</p> <p>55. Do consultations processes promote communication and informed decision-making? Do those who may be affected have prior access to information about the topics for consultations?</p> <p>56. Do consultations include a representative cross-section of groups affected by the Program (including women, Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities, ethnic minorities, the poor, or other groups that might be under-represented or traditionally excluded)?</p>

		<p>57. Does the sampling capture jurisdictional or geographical diversity?</p> <p>58. Does the borrower consult with stakeholders on various aspects of Program design and operation? Does the borrower have a Stakeholder Engagement Framework or Plan that can be adapted to the Program?</p> <p>59. Is information relating to E&S effects made available to the people or communities that are potentially affected in a timely manner?</p> <p>60. Do Program implementation arrangements include measures for responsive communications of relevant E&S concerns?</p> <p>61. Do Program implementing entities promote the credibility and accountability of E&S management systems? For example, do they use external monitoring of implementation or other forms of oversight?</p> <p>62. Does the system include mechanisms for independent oversight and monitoring where appropriate?</p> <p>63. Does the Program have an accessible GRM with established procedures for submission of grievances?</p> <p>64. Do the established GRMs accept and process grievances relating to E&S management issues?</p> <p>65. Are there established routines and standards for responding to grievances received? Are records/logs available?</p> <p>66. Does the management of the implementing agency act on identified issues consistently, objectively and timely?</p> <p>67. Does the borrower have experience implementing GRM with established procedures for submission of grievances and resolution?</p>
<p>Core Principle 2: Program E&S management systems are designed to avoid, minimize or mitigate adverse impacts on natural habitats and physical cultural resources resulting from the Program. Program activities that involve the significant conversion or degradation of critical natural habitats or critical physical cultural heritage are not eligible for PforR financing.</p>	<p>Identify and screen for adverse effects on potentially important biodiversity and cultural resource areas and provide adequate measures to avoid, minimize, or mitigate adverse effects.</p>	<p>68. Has Program screening identified potential impacts on modified, natural, or critical natural habitats or physical cultural resources?</p> <p>69. Are there areas where if the Program activities are implemented will affect environmentally sensitive habitat areas with local importance, such as streams, wetlands, ponds, and vegetated riparian areas?</p> <p>70. If such impacts involve the significant conversion or degradation of critical natural habitats, have the activities been excluded from the Program?</p> <p>71. Does screening include the use of the best available science (e.g., reference to authoritative source materials such as maps, lists of threatened or endangered species prepared by recognized experts, direct advice from recognized experts, advice from peer-reviewed technical literature) to inform the assessment of potential impacts?</p> <p>72. Are Program activities planned and carried out in the context of land use or other management plans that identify sensitive habitat areas?</p> <p>73. Is screening at a sufficient level of detail and granularity to identify the location and geographical extent of natural and critical habitats?</p> <p>74. Would Program activities lead to the fragmentation of existing habitat areas, both at the level of localized Program activities and at larger landscape levels?</p> <p>75. Do management plans require appropriate conservation and mitigation measures to be in place, including those required to maintain ecological services?</p>

	Support and promote the protection, conservation, maintenance, and rehabilitation of natural habitats.	<p>76. Does the Program include management measures to protect, conserve, or rehabilitate habitats that are at risk? Are these measures consistent with recognized international good practice?</p> <p>77. Do management systems include measures to avoid, restrict, or otherwise forbid the introduction of exotic or invasive species that may threaten ecosystems or value?</p> <p>78. Are monitoring measures in place to determine the extent to which habitats are affected by the Program?</p> <p>79. If Program activities affect protected areas are such activities consistent with approved and up-to-date protected area management plans?</p> <p>80. Have the relevant management authorities and other key stakeholders for such protected areas been consulted or otherwise involved in decisions that may affect the legal status of habitat values of the area?</p> <p>81. If the Program involves any support for establishing forest plantations or other forest management activities for conservation, forest regeneration, or non-timber forest production purposes, does it do so in a manner consistent with internationally recognized standards of responsible, sustainable forest management and use?</p>
	Avoid significant conversion or degradation of critical natural habitats (modified habitats, natural areas defined as in ESS 5 in the Bank's ESF)	<p>82. Are arrangements in place to ensure that significant conversion or degradation of critical natural habitats does not occur and that Program activities do not otherwise contravene international environmental agreements relating to natural habitats or forests?</p> <p>83. When available data are insufficient to determine the extent or severity of biodiversity impacts, are new biodiversity surveys or inventories, conducted by qualified individuals or organizations, required as part of the Environmental Impact Assessment process?</p> <p>84. Are appropriate measures in place to ensure that incidents of non-compliance are dealt with in a timely and effective manner (e.g., through work stoppage, penalties or other legal remedies)?</p>
	If avoiding the significant conversion of natural habitats is not technically feasible, include measures to mitigate or offset the adverse impacts of the PforR Program activities.	<p>85. If Program activities may cause conversion or degradation of non-critical natural habitats, do Environmental Impact Assessment procedures include considerations of measures to avoid or minimize the severity of impacts (for example, through the systematic consideration of viable alternatives)?</p> <p>86. Do plans require appropriate conservation offset measure to be in place, including measures to maintain ecological services?</p>
	Take into account potential adverse effects on physical cultural property and provide adequate measures to avoid, minimize or mitigate such effects.	<p>87. Does the screening review involve careful attention to avoiding impacts (damage to, relocation of and restriction to access) on resources of archaeological, paleontological, historical, architectural, religious, aesthetic, or other cultural significance?</p> <p>88. Is the mitigation hierarchy principle applied in the management of potential adverse impacts on the physical cultural property?</p> <p>89. Are management measures in place to avoid, minimize or mitigate such effects?</p> <p>90. Do procedures require the use of authoritative source materials or field-based surveys to identify existing physical cultural resources before works commence?</p> <p>91. Do borrower systems include "chance find" procedures to take effect whenever Program activities result in the discovery of, or disturbance to, physical cultural resources?</p>

<p>Core Principle 3: Program E&S management systems are designed to protect public and worker safety against the potential risks associated with (a) the construction and/or operation of facilities or other operational practices under the Program; (b) exposure to toxic chemicals, hazardous wastes, and otherwise dangerous materials under the Program; and (c) reconstruction or rehabilitation of infrastructure located in areas prone to natural hazards.</p>	<p>Promote adequate community, individual and worker health, safety and security through the safe design, construction, operation, and maintenance of Program activities, or, in carrying out activities that may be dependent on existing infrastructure, incorporate safety measures inspections or remedial works as appropriate.</p>	<p>92. Does the Program have a legal framework that addresses and promotes workplace safety?</p> <p>93. Are there mandatory measures that compel contractors and facility operators to operate equipment and facilities in a manner that protects individuals and communities?</p> <p>94. Does the Program include adequate measures to protect people and the environment from the effects of hazardous or toxic materials that are used in construction and production processes or wastes that are generated as a by-product of construction or facilities operations?</p> <p>95. Does screening consider impacts related to the influx of labor in project areas, such as GBV-SEA/SH, spread of communicable diseases, insecurity etc.</p> <p>96. Does the borrower require measures to help protect individuals and/or communities from violence, intimidation, harassment, criminal activity or other negative interactions with contractors, laborers, operators, or other workers associated with a project activity? For instance, the implementation of worker Codes of conduct, awareness creation to communities and workers to mitigate the SEA/SH risks?</p>
	<p>Promote measures to address child and forced labor.</p>	<p>97. Does the borrower have specific laws and regulations to avoid the use of child and forced labor in the implementation of Program activities? If so, what are the specific provisions outlined in these laws and regulations?</p> <p>98. Are these laws and regulations enforced at MWDS? If so, how? And who enforces them?</p> <p>99. What is your current experience with child and forced labor?</p> <p>100. Are contractors required to prepare and implement a Child Protection Policy as well as sign clauses on child labor and forced labor?</p>
	<p>Promote the use of the recognized good practice in the production, management, storage, transport, and disposal of hazardous materials generated under the PforR.</p>	<p>101. Does the borrower have specific laws, regulations, procedures, standards, etc. to effectively evaluate and manage the potential effects of hazardous or toxic materials in the workplace?</p> <p>102. Are qualified technical experts engaged for the design, construction supervision, operation and maintenance of all infrastructure that may pose a significant risk to public safety (including periodic safety inspections)?</p> <p>103. Does the Program include safety measures and standards for emergency preparedness for pre-existing civil works or works under construction that pose potential hazards to people or the environment?</p> <p>104. Are emergency preparedness plans implemented?</p> <p>105. What emergency preparedness measures are contractors' and sub-contractors obliged to implement, and how are these procedures evaluated/reviewed? If so, how often are they reviewed?</p>

		106.If an emergency preparedness plan is deficient, what safety measures or remedial works do Program entities need to undertake?
	Promote the use of integrated pest management practices to manage or reduce the adverse impacts of pests or disease vectors.	107.Where relevant, do Program systems promote the use of integrated pest management practices to manage or reduce pests or disease vectors? 108.Does the Program promote reducing the use of hazardous synthetic chemical pesticides? 109.Does the Program include appropriate technical guidelines and training for the safe production, storage, transport, use and disposal of hazardous pesticides or other chemicals in accordance with international conventions?
	Provide training for workers involved in the production, procurement, storage, transport, use, and disposal of hazardous chemicals in accordance with the relevant international guidelines and conventions.	110.Do applicable systems invest in the development of staff skills for handling hazardous materials? 111.Have past training practices been sufficient in terms of technical scope and depth? Are workers able to implement good practice in the workplace? 112.Are there systematic constraints to the application of good industry practice in these areas?
	Include adequate measures to avoid, minimize, or mitigate community, individual, and worker risks when the PforR Program activities are located in areas prone to natural hazards such as floods, hurricanes, earthquakes, or other severe weather or affected by climate events.	113.As relevant, does the Program include measures to ensure that people or the environment would not be put at increased risk from natural hazards such as flooding, earthquakes, earthquakes, landslides, severe weather or climatic events, or other disasters? 114.Does the borrower assess the climate change risks associated with Program activities such as the estimation of GHG emissions or the inclusion of appropriate mitigation and/or adaptation measures under the PforR operations?
Core Principle 4: Program E&S systems manage the land acquisition and loss of access to natural resources in a way that avoids or minimizes displacement and assists affected people in improving, or at the minimum restoring, their livelihoods and living standards.	Avoid or minimize land acquisition and related adverse impacts.	115.Does the Program screen all planned activities to determine whether they may require the involuntary taking of land-including wayleaves, relocation of residences or businesses, or restrictions on access to natural resources? 116.What requirements are in place for identification and mitigation of all significant impacts? 117.Do systems adequately protect individuals and communities against “forced evictions?” 118.What measures are in place to mitigate the forceful removal of persons from land identified for the project? 119.Do systems require the preparation of RAPs where physical and/or economic impacts are anticipated, and disclosed to affected persons? 120.If so, are RAPs prepared by qualified experts? How are these qualifications/skill sets determined? 121.Who reviews and approves the RAP? 122.Are the approved RAPs proportionate to the scale, magnitude and nature of the impacts related to land acquisition and resettlement?

		<p>123. Do the RAPs clearly outline responsibilities to prepare, implement, monitor RAP activities and audit RAP completion?</p> <p>124. Are these responsibilities aligned with provisions in applicable laws e.g., in the management and administration of land as mandated by the Land Act 2012 and ensuing regulations?</p>
	Identify and address economic or social impacts caused by land acquisition or loss of access to natural resources, including those affecting people who may lack full legal rights to resources they use or occupy.	125. What measures are in place to identify or recognize that an area intended for the project is a communal property or is customary claimed or used by squatters or belongs to indigenous groups and what do you do about impacts on such groups. Do Program processes require identification and mitigation of all significant impacts affecting informal users or occupiers of land (or other resources)? particularly those occupying or using the land before the project cut-off date?
	Provide compensation sufficient to purchase replacement assets of equivalent value and to meet any necessary transitional expenses, paid before taking land or restricting access.	<p>126. What compensation arrangements are in place for land and other assets under this program? E.g., Do you consider the replacement cost when land acquisition or physical relocation is required?</p> <p>127. If not, can the Program provide supplemental payments to meet this requirement? (<i>Current value of land or resource + transactional cost</i>)</p> <p>128. Are transitional expenses and resettlement assistance allowed under the borrower's systems? If not, are there mechanisms to mobilize additional resources to support this requirement?</p> <p>129. What are the compensation arrangements under the system for loss of land/wayleaves, other assets, damage to livelihood sources (trees, crops)?</p> <p>130. Does the borrower's system allow for post-compensation/resettlement monitoring?</p> <p>131. Is financial literacy training provided to persons receiving cash compensation?</p> <p>132. If not, what mechanisms are in place to provide such support under the Program?</p>
	Restore or replace public infrastructure and community services that may be adversely affected by the Program.	<p>133. In case of physical relocation, what provisions are there to restore or replace public infrastructure lost or damaged because of Program activities?</p> <p>134. If not, what mechanisms are in place to address such concerns under the Program?</p>
	Include measures in order for land acquisition and related activities to be planned and implemented with appropriate disclosure of information, consultation, and informed participation of those affected.	<p>135. Under the land acquisition procedures what requirements are there for the participation of program affected peoples?</p> <p>136. What kind of information do you give the program affected people to enable them to make informed decisions?</p> <p>137. Does information on land acquisition and/or resettlement provide sufficient notification of the obligations and rights and entitlements of those affected, including rights to compensation, timely resolution of grievances or complaints as well as notice to vacate?</p> <p>138. Does the Program entity ensure that just compensation is paid promptly and in full?</p>

		139.What happens in the event complaints/grievances or disputes arise under the program? What measures are in place to ensure that these complaints/grievances are redressed?
Core Principle 5: Program E&S systems give due consideration to the cultural appropriateness or and equitable access to, Program benefits, giving special attention to the rights and interests of Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities, and to the needs or concerns of vulnerable groups.	Undertake meaningful consultations if the Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities are potentially affected (positively or negatively), to determine whether there is broad community support for the PforR Program activities.	<p>139. Do consultations include a representative cross-section of groups affected by the Program (including women, Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities, or other ethnic minorities, the poor, or other groups that might be underrepresented)?</p> <p>140.What are the efforts made at National, LA and site level to identify the presence of different social, cultural, religious and vulnerable groups and ensure their participation.</p> <p>141.As relevant, does screening identify different property regimes, including common property resources, customary or traditional rights to land or resource use, and the rights of Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities?</p>
	Ensure that Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities (VMGs) can participate in devising opportunities to benefit from the exploitation of customary resources and indigenous knowledge, the latter (indigenous knowledge) to include the consent of Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities.	<p>142.Does the sampling capture jurisdictional or geographic diversity?</p> <p>143.Do Program entities regularly review and consider consultation results to obtain or broaden community support?</p> <p>144.Do systems require seeking the Free Prior Informed Consent of VMGs?</p> <p>145.Does the Program exclude activities involving: adverse impacts on natural resources to which Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities, have traditional ownership or customary use rights; resettlement from or restriction to such communities' access to such lands; or the commercial exploitation of Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities, cultural heritage?</p> <p>146.Are VMGs provided with access to culturally appropriate benefits?</p>
	Give attention to groups of vulnerable to hardship or discrimination, including, as relevant, the poor, the disabled, women and children, the elderly, ethnic minorities or other	<p>146.What considerations are given to ensure distributional equity, affordability, and cultural or gender constraints to access to benefits and opportunities or participation? How are women and the elderly considered? How are the occupants of the land or building with no formal title or claims considered?</p> <p>147.Does the incentive structure within Program agencies promote outreach measures to encourage equitable and affordable access to Program benefits?</p>

	marginalized groups; and if necessary, take special measures to promote equitable access to PforR Program benefits.	148. Does it consider how to alleviate cultural, financial, or physical barriers that hamper the participation of socially marginalized or disadvantaged groups? What are the barriers? What measures are in place to reduce these barriers?
Core Principle 6: Program E&S systems avoid exacerbating social conflict, especially in fragile states, post-conflict areas, or areas subject to territorial disputes.	Consider conflict risks, including distributional equity and cultural sensitivities.	<p>149. Is the Program being implemented in areas of recognized fragility or in post-conflict zones? If so, what special risks does this context present regarding the achievement of E&S objectives and outcomes?</p> <p>150. Is the Program being implemented in areas of boundary dispute, land title disputes or disputes related to access to natural resources? If so, what special risks this program's actions may reinforce?</p> <p>151. Could the Program contribute in any way to underlying tensions or civil strife by reinforcing inequities or grievances?</p> <p>152. Would support for the Program in any way prejudice one party's claims inland or territorial disputes?</p> <p>153. Do the screening and design or Program activities consider the risks of creating or exacerbating social conflict, especially in fragile states, post-conflict areas, or areas subject to territorial or jurisdictional dispute?</p> <p>154. Are Program agencies open to discussion with the Bank and consultation with stakeholders on potentially sensitive issues?</p>

9.5 Annex 5: Capacity Assessment Tool

The Enabling Environment
<ul style="list-style-type: none"> • What policies, legal and regulatory frameworks guide the institution (s) in fulfilling its environmental, social, health and safety mandates? • What are the institutional mandates for environmental, social, health and safety management, in relation to the PforR the operation? • What institutional compliance enforcement measures are in place for management of environmental, social, health and safety effects? • Are there inter-agency relationships that facilitate effective environmental (including health and safety) and social management? • Who coordinates such relations? • Is there institutional support for citizen engagement initiatives?
Individual Skills Assessment/Resources
<ul style="list-style-type: none"> • What institutional E&S technical capacity exists? • Is there an institutional budget that is adequate for managing the environmental and social effects? • What are the gaps and challenges for E&S risk management
Organizational Capacity/Performance
<ul style="list-style-type: none"> • Is there an operational institutional environmental and social management system (ESMS) in place? • Including: <ul style="list-style-type: none"> ○ A sound E&S Policy endorsed by senior management; ○ A system for identifying and managing E&S impacts; ○ Adequate and qualified personnel for effective E&S management; ○ Support from the senior leadership on E&S risk management; ○ Frameworks and Plans for managing E&S effects, including land acquisition, stakeholder engagement, grievance management, OHS etc; • Are institutional E&S implementation guidebooks/manuals with guidelines in place? • Have E&S training modules and manuals for the E&S staff been developed and if so, are they being applied? • Do train-the-trainer initiatives on E&S management exist within the institution? • What institutional mandate and capacity exists for land acquisition and resettlement? • What measures and capacity are in place to carry out meaningful consultations and stakeholder engagements? • What mechanisms are in place to ensure adequate opportunity for affected people to raise complaints or grievances and to have those concerns timely addressed? • How will the institution facilitate or encourage transparency and accountability during implementation? • How often does the institution engage in E&S gap analysis to identify major capacity constraints and needs of its interventions (not limited to Bank funded operations)? • What institutional capacity exists to conduct requisite environmental and social assessments to agreed quality and standards, upon Program effectiveness? • What institutional capacity exists to supervise and monitor ESMPs for project implementers to ensure compliance and results are achieved? • What institutional capacity exists to respond to ESHS compliance or management issues based on Program progress reports and results? This includes remedial actions and resources to be deployed in response to issues flagged.

Specialist Institutions: ZEMA, OSHA, MCDGEC, PO-RALG

- What is the specific entity's mandate as related to the E&S risk management?
- Based on the institutional mandate, what role can the institution play to deliver or enhance the delivery of the Program?
- Are technical resources available to support Program entities to manage the E&S risks?
- What institutional capacity exists to support Program entities on E&S management?
- What are the staffing numbers of the relevant E&S staff at the devolved units, and are they resourced to deliver on their mandate?
- Elaborate on coordination/synergy with other key agencies in the water sector.
- What citizen engagement and participation mechanisms are in place at the entity and how effective are they?
- What feedback and grievance redress mechanisms are in place at the LGA/Entity and how effective are they?
- How does the entity handle grievances/issues relating to projects from the members of the public?
- What has been the entity's experience (positive and negative) of World Bank funded projects in the management of E&S issues?
- Propose key recommendations for adoption in the Program based on lessons learnt from implementation of related projects.

9.6 Annex 6: Environmental, Social, Health and Safety Management Manual

The Environmental, Social, Health and Safety Management Manual guidelines and Standard Operating Procedures (SOPs) will include:

The Environmental, Social, Health and Safety Management Manual guidelines, templates and Standard Operating Procedures (SOPs) will include:

1. Review and update the E&S screening checklist prepared under the program to improve on site selection criteria and adopt emerging issues such as on EMA/ZEMA, that provides guidance on the sub-projects risks rating, Community Land Act Regulations, areas with territorial disputes.
2. Develop guidelines on stakeholder engagement incorporating tools and protocols for effective stakeholder identification, targeting, inclusion, meaningful consultation, and feedback mechanism.
3. Review and update guidelines developed under the program for managing temporary displacements and relocation and adoption by LGAs.
4. Develop guidelines for targeting, inclusion and mainstreaming social aspects such as on gender, Gender Based Violence/ Sexual exploitation abuse/sexual Harassment (GBV/SEA-SH), and protection of the vulnerable groups (youth, women, PWD's).
5. Develop GRM guidelines and templates for adoption by LGAs to i) harmonize and strengthen the existing grievance redress mechanism to operationalize the system; ii) incorporate a GBV referral pathway and functional hotline to address GBV/SEA-SH issues; iii) Ensure the GRM is gender responsive and accessible to all persons; iv) have a comprehensive system for documenting grievances with feedback mechanisms in place; v) create awareness to the public on the GRM uptake channels and systems; vi) assign a GRM focal person, vii) fully representative and functional GRM committee, and viii) capacity build the GRM focal persons/committee on the mechanism, structure, logging, feedback, monitoring and evaluation.
6. Develop a SOP for engagement and coordination with key actors/ Ministries, Departments and Lead Agencies (MDA's) such as NEMC, ZEMA, OSHA, MCDGEC etc.
7. Terms of Reference (ToR) for the Environment, Social, Health and Safety specialists.
8. Guidelines for management of civil works and construction activities at sub-projects sites including:
 - a. Inclusion of ESHS clauses/provisions as part of contract bidding and contract documents.
 - b. Design specifications on siting and universal access.
 - c. Procedures and ToR on sustainable use of local material including materials sourcing and management of quarry/borrow sites.
 - d. Identification of physical cultural resources and prepare a chance find procedure.
 - e. Prevention of labor influx risks and management of construction workers.
 - f. Occupational/community health and safety management including templates for incident accident reporting.
 - g. Management of emergency and disaster preparedness.
 - h. ESHS compliance monitoring, evaluation and reporting including a template.
 - i. Template for carrying out annual environmental and social audits
 - j. To avoid exacerbating social conflict, especially in fragile areas or areas subject to territorial dispute

9.7 Annex 7: List of Stakeholders Consulted for the ESSA



ESSA List of
Participants.docx

9.8 Annex 8. LIST OF INDICATIVE CLIMATE RESILIENCE INVESTMENTS, EXCLUSION LIST, AND PRIORITIZED DISTRICTS

1. Indicative eligible climate resilient investments/actions

Sector	Investment/Action
Agriculture	<ul style="list-style-type: none"> Agroforestry and reforestation Climate smart agriculture Rehabilitation of degraded rangelands, local landscape management Activities that enhance agricultural and pastoralist/livestock productivity in a low carbon fashion
Water	<ul style="list-style-type: none"> Climate smart activities that improve community access to water Activities that promote climate smart water conservation and more efficient use of water
Environment and Natural Resources	<ul style="list-style-type: none"> Activities related to low carbon and climate resilient natural resource management and environmental conservation/community forestry within LGA mandate Sustainable community-based forest management activities and landscape management Rehabilitation of degraded lands, for example through tree planting Promotion of renewable energy sources, including uptake of clean cooking solutions, promoting sustainable charcoal production and clean cooking alternatives
Livelihoods	<ul style="list-style-type: none"> Sustainable/alternative livelihood activities, including for communities living adjacent to protected areas
Other	<ul style="list-style-type: none"> Activities in preparedness and response to climate-related disasters and hazards Activities that make public infrastructure more resistant to droughts, floods, and other climate driven disasters Climate-resilient solid waste management, including refuse removal, refuse dumps, and solid waste disposal Early warning systems and preparedness Activities that have a direct link to green jobs and/or mitigating social risks of disaster and climate change adaptation Any other investment/activity of climate change adaptation that emanates from the climate risk assessment, which helps mitigate climate risks and vulnerability, and was prioritized and/or endorsed by communities Hiring expertise to support the design, implementation, and monitoring of climate smart investments

2. Exclusion list

Under RA1
<ul style="list-style-type: none"> Activities on the negative list of the ESSA Scholarships or foreign study tours
Under RA2
<ul style="list-style-type: none"> Activities on the negative list of the ESSA Activities that support the establishment, enhancement, or enforcement of restrictions of access to land or natural resources in a way that limits access of a community or group to resources Activities affecting international waterways, such as boreholes abstracting water from transboundary aquifers or near international waterways Any activity related to the provision of scholarships and/or the financing of foreign study tours Any activity resulting in or requiring land acquisition Any activity funded under other programs/grants Any activity that is not directly linked to disaster risk management, resilience, and climate change adaptation and mitigation

3. Selected Districts

Tanzania Mainland		Zanzibar
ARUSHA REGION	MOROGORO REGION	MJINI MAGHRIB (URBAN WEST)
Longido	Gairo	Mjini (Urban) MC
Monduli	Kilosa	West A (Magharibi A) MC
Ngorongoro	MTWARA REGION	West B (Magharibi B) MC
DODOMA REGION	Mtwara DC	PEMBA NORTH (KASKAZINI)
Bahi DC	Newala DC	Micheweni DC
Chamwino DC	Tandahimba DC	Wete TC
Chemba DC	MWANZA REGION	PEMBA SOUTH (KUSINI)
Kongwa DC	Kwimba DC	Chake Chake MC
GEITA REGION	Misungwi DC	Mkoani TC
Bukombe DC	Ukerewe DC	UNGUJA NORTH (KASKAZINI)
Chato DC	NJOMBE REGION	North A (Kaskazini A) MC
Geita DC	Makete DC	North B (Kaskazini B) TC
IRINGA REGION	Wanging'ombe DC	UNGUJA SOUTH (KUSINI)
Iringa DC	PWANI REGION	Central (Kati) TC
Iringa MC	Bagamoyo DC	South (Kusini) TC
Kilolo DC	RUFJI REGION	
KAGERA REGION	Kibiti DC	
Kyerwa	Rufiji DC	
Missenyi	SHINYANGA REGION	
KATAVI REGION	Kahama DC	
Nsimbo DC	Kishapu DC	
Tanganyika DC	Shinyanga DC	
KIGOMA REGION	SIMIYU REGION	
Buhigwe	Maswa DC	
Kigoma Ujiji	Maetu DC	
KILIMANJARO REGION	SINGIDA REGION	
Mwanga DC	Iramba DC	
Same DC	Itigi DC	
LINDI REGION	Singida DC	
Kilwa DC	TABORA REGION	
Ruangwa DC	Igunga DC	
MANYARA REGION	Nzega DC	
Kiteto DC	TANGA REGION	
Mbulu DC	Handeni DC	
Simanjiro DC	Muheza DC	
MBEYA REGION	Pangani DC	
Mbarali		
Mbeya DC		