

ZAMBIA

Context

Over the past five years, with support of UN-REDD and other partners, Zambia has made significant progress aligned to the UNFCCC Warsaw Framework on REDD+; namely, development of a National REDD+ Strategy, work on a Forest Reference Emission Level/Forest Emission level (submitted to UNFCCC in early 2016), development of a National Forest Monitoring System (NFMS), and producing the first iteration of a Safeguards Information System (SIS) design document. Zambia has established a national monitoring system for REDD+, a major component of which is the development of the Integrated Land Use Assessment (ILUA) undertaken by the Forestry Department and supported by FAO. UN-REDD has also provided support to Zambia since 2010 on analytical work such as on the drivers of deforestation and degradation; assessment of financing, incentives and benefit sharing opportunities; review of policy, legal and regulatory frameworks; capacity building of relevant actors and sectors in REDD+ processes; and stakeholder engagement. These analyses and initiatives have led to the development of Zambia's National REDD+ Strategy that has been endorsed at the highest Ministerial level of Government. The Strategy provides the foundation for REDD+ implementation, including through resource mobilization and investment plan development jointly with the Forest Investment Programme (FIP), and concurrently leveraging resources and investments from BioCarbon Fund Initiative for Sustainable Forest Landscapes (BioCF) and the Global Environmental Facility (GEF).

To facilitate the implementation of the National REDD+ strategy, and overall transitional arrangements from REDD+ Readiness to implementation, UN-REDD provided technical advice and support to Zambia to develop a proposal for investment by the BioCarbon Fund Initiative for Sustainable Forest Landscapes. This led to the development of the Zambia Integrated Forest Landscape Program (ZIFL-P) of \$40m in Zambia's Eastern Province. The ZIFL-P integrates additional financing from the Global Environmental Facility (GEF) (\$9M) and would build on the USAID supported REDD+ programme in Eastern Province (\$14m). ZIFL-P aims to achieve on average emission reductions of 3.5 million tCO₂e/year (35 million tCO₂e in total) in addition to other co-benefits. ZIFL-P benefits from REDD+ readiness activities in place at the country-level by UN-REDD. (See <http://www.biocarbonfund-isfl.org/zambia-program>). Thus, building on the foundation laid by UN-REDD, and through support to Zambia in the form of partnership brokering, Zambia has mobilized and leveraged approximately \$80M from the BioCarbon Fund, the GEF, the Government of Finland and the United States Agency for International Development (USAID).

In order to move towards REDD+ implementation, UN-REDD is currently supporting the Government of Zambia's coordinated approach to design Zambia's REDD+ Investment Plan in joint partnership with the Forest Investment Programme (FIP). UN-REDD partners, the World Bank, the African Development Bank, the International Finance Corporation, and The Nature Conservancy (TNC) have developed a joint work plan and budget to coordinate and integrate resources towards the REDD+ Investment Plan as well as develop a common conceptual and analytical approach for its development.

In its Intended Nationally Determined contributions (INDC), Zambia cites forest enhancement including natural regeneration and afforestation/reforestation as a means to contributing to its national mitigation goal. It also lists the improvement of monitoring systems for infrastructure at all administrative levels. Furthermore, it states that "the effectiveness of the INDC implementation will be ensured through the development and strengthening of existing Monitoring, Reporting and Verification (MRV) systems to track progress of implementation of both the mitigation and adaptation programs." Zambia aims to reduce emissions by 38,000Gg CO₂EQ before 2030 and the proposed support to strengthening MRV would be directly in line with the country's goals of monitoring the effectiveness of INDC implementation.

Rationale and approach

A key component of the REDD+ National Strategy is the establishment of the National REDD+ Coordination Unit which seeks to plan and prepare the annual work plans, budgets as well as the financial management of the procurement of goods and services required for the implementation of REDD+. In addition the unit is

mandated to coordinate, supervise and provide continuous monitoring of REDD+ activities within the country. Once established, the Coordination Unit will facilitate the transition from readiness to implementation and thereby enable REDD+ activities identified as part of the Forest Investment Plan process. The technical assistance described in this document along with additional funding sought from cooperation funds (e.g. FAO-TCP, GCF REDD+ Readiness Fund¹) will aim to kick start REDD+ implementation in Zambia. It is expected that rendering the REDD+ Unit operational will be a vital element in enabling delivery of the REDD+ process in Zambia.

From a technical perspective, barriers to REDD+ implementation and realizing results include low institutional capacity of the Forestry Department to autonomously measure against the established FREL. Successful REDD+ results reporting depends upon this capacity to conduct MRV through the established NFMS in the Forestry Department. Furthermore, there is a knowledge gap and data deficiencies in understanding the impact of fire on woodland loss and carbon stocks, including the impact of fire on soil carbon.

Additionally, realizing results would largely depend upon improvements to forest governance and land tenure regimes, which restricts communities interested in REDD+ projects from directly benefitting from investments on customary lands because they cannot contract, transfer or assign any interests without converting ownership to leasehold title. The recently promulgated Forests Act of 2015 provides an opportunity for communities to engage in forest management and to benefit from both carbon and non-carbon forest products. The Act identifies carbon as a forest product and specifically states that communities should stipulate benefit sharing mechanisms as part of the community forest management agreement. This act provides the vehicle for the establishment of community based forest management which will become the vehicle used to drive REDD+ activities in Zambia.

Furthermore, the recently approved National Climate Change Policy proposed an institutional arrangement for multi-sectoral climate change investment coordination different from the current structure within the Forestry Department. A clear mandate and institutional arrangement for the implementation of REDD+ including the preparation of the REDD+ Investment Plan is critical to successful implementation of REDD+. In addition, there is need for a high level technical committee made up of the major line ministries (Agriculture, Lands, Parks and wildlife, etc.) to ensure their enhanced participation in the process and strong political buy-in and coordination by the GRZ.

The UN-REDD team has supported Zambia in the development of MRV for REDD+ within their NFMS in order to produce a national FREL in 2016. Steps towards reinforcing existing and developing further capacity In order to enable FD to measure and report on emissions reductions from reduced deforestation and forest degradation are needed. FAO has key expertise in monitoring forests and land-use, including national forest inventories, measurement, reporting and verification of carbon estimates, National Forest Monitoring Systems and FREL/FRL to further develop this capacity, and ensure that the methodology undertaken in FREL construction, particularly on estimating forest loss, is better understood and can ultimately be carried out by the FD themselves. UN-REDD Technical assistance in 2017 and indeed through 2018 – 2020 will focus on improving the FREL and the NFMS using a stepwise approach.

Furthermore, essential to REDD+ implementation is demonstrating emissions reductions from deforestation and forest degradation. Towards this end, support under the 2018 technical assistance will focus on strengthening capacity in reporting on REDD+ results. Technical support in reporting on REDD+ performance offers an opportunity to build upon the strong base established under the FREL. Support for continued progress on REDD+ reporting is an important pillar of UN-REDD proposed approach for providing technical assistance.

¹ Leveraging the good progress made by Zambia with regards to the components of the Warsaw Framework and the launch of the national REDD+ strategy, partners will provide support to access operational funds through the cooperation funds mentioned. Operational funds will kick start NRCU activities to support REDD+ implementation. The timeline for sourcing the funds is the second half of 2017 with a view to operationalizing the unit in early 2018.

The National REDD+ strategy highlights the need for robust arrangements to support the full implementation of REDD+. Without a deliberate focus on the implementation arrangements, REDD+ implementation could remain marginal and minimally institutionalized. Thus, Zambia's pathway towards results based payments includes an operational and functional National REDD+ Coordination unit (NRCU) that will have the overall responsibility for programme implementation coordination working closely with the Sector Focal Points that will be responsible for implementation of programme activities at the Sector/Department level. The core functions of the NRCU include planning, preparation of annual work plans and budgets, financial management, procurement of goods and services, co-ordination, supervision, monitoring, continuous evaluation of the programme and reporting (Ref: National REDD+ Strategy).

Thus, the technical assistance described below will seek to support the overall implementation arrangements for REDD+, including, the Forestry Department in the establishment and operationalization of this unit and to capacitate staff such that they are able to undertake the activities required for the successful implementation phase of REDD+ in Zambia.

Technical Assistance requested

It is expected that, in the 2017 to 2020 horizon, Zambia will seek to implement REDD+ activities through its investment plan and related processes and programmes, including the establishment of a National REDD+ Coordination Unit. The design of the REDD+ Investment Plan is currently on-going under the leadership of the Government of Zambia and with support from all three UN-REDD agencies in addition to the Forest Investment Program (FIP) represented by the World Bank and African Development Bank. It follows that a key domain identified for continued UN-REDD support in 2018-2020 includes dedicated technical capacity to mobilize resources for the implementation of the REDD+ Investment Plan as well as the consolidation of the Warsaw Framework elements.

Zambia's Ministry of Lands and Natural Resources plans to further develop technical capacity to secure a NFMS that is autonomous in its operation and institutionalized into the larger GHGI reporting structure. It seeks enhanced capacity development in remote sensing, data management, data analysis and GHGI reporting (BUR and national communications). This capacity is essential to institutionalize MRV of GHG emissions and removals from forestry, allowing Zambia to report REDD+ results. Zambia looks to improve its capacity through having online training modules in place to ensure full knowledge transfer to the Forestry Department (FD). Having online training modules available means that even though staff turnover may occur, at least FD staff are left with the guidance that they need to as independently as possible produce results for REDD+ reporting. Furthermore, Zambia wishes to produce a revised FREL including degradation, soil and updated activity data and will need further trainings to be able to construct the FREL. This is a necessary step to REDD+ results' reporting as is preparation of REDD+ technical annex to the BUR. The technical annex is the basis upon which Zambia may or may not receive RBP, and therefore it has considerable catalytic value for the RBP roadmap of the country.

The proposed technical assistance will seek to support the implementation arrangements as outlined in the REDD+ Strategy. This will include support to capacity building, and institutional and coordination arrangements under the implementation arrangement for REDD+. For example, the strategy outlines the establishment of the NRCU as already mentioned as well as the establishment of a Development Partner Working Group, which amongst others, would provide support to resource mobilization efforts as well as how REDD+ implementation could relate and interface with other donor-funded programmes and projects under the environment and climate change agenda.

The Strategy, proposes a National REDD+ Fund that is ring-fenced as a "window" within the National Climate Change Fund to finance REDD+ activities at national level. The Zambia Forest Investment Plan, although draft, emphasizes the mobilization of resources and investments, including mobilizing domestic resources, exploring potential GCF submission and other bilateral and multilateral sources of funding. Having supported partnerships and coordination platforms in Zambia and noting UNDP's support to

allocation mechanisms and financial mechanisms in a number of REDD+ countries, UNDP intends to provide technical advisory support to explore options for coordinated and robust financing arrangements for REDD+ implementation. This will include support to the operationalization of the NRCU and for the NRCU to better coordinate ongoing programmes through the establishment of programmatic linkages and the leveraging of existing financing for REDD+ implementation.

UNDP has expertise in supporting the identified priorities in the Investment Plan including those related to the mining sector in line with the African mining vision, the energy sector notably on the regulation of the charcoal industry as well as supporting strategic partnerships and resource mobilization.

UNDP will continue to support the facilitation of stakeholder engagement and social inclusion in this work, which will include providing support on gender responsive planning, programming and budgeting as well as strengthening civil society participation in REDD+ implementation. UNDP will therefore seek to support such thematic areas of work in the proposed Technical Assistance (TA).

In addition to support to resource mobilization under the Investment Plan, most notably on what concerns sectoral interventions on mining, UN Environment’s technical assistance in 2018 and 2020 will focus on ensuring Zambia’s capacity is built to address and respect safeguards during REDD+ implementation, thus being eligible to secure REDD+ results-based payments. To this end, refinement of the Safeguards Information System (SIS) design and operation is foreseen as well as submission of Summaries of Information on Safeguards to the UNFCCC.

Results Framework

UN-REDD TA outputs (*)	UN-REDD TA agency	Timeline (year/s)	Indicators (**)	Baseline (***)
<p>Output 1. Zambia consolidate its National Forest Monitoring Systems and prepare a revised Reference Levels that conforms to international UNFCCC requirements and align to the NS/AP for REDD+.</p> <p>(Linked to UN-REDD strategic framework Output 2.1)</p>	FAO	2018	<p>2018:</p> <ul style="list-style-type: none"> Revised FREL constructed (including updates to activity data, inclusion of soil pool, potential inclusion of forest degradation, enhancement of forest carbon stock and emission from fires). Institutional capacity on NFMS and FREL developed. <p>(MoV: Second iteration of the Zambian FREL submitted to the UNFCCC in January of 2019)</p>	2016 submitted FREL
<p>Output 2. Technically robust REDD+ and PAMs are designed and implemented to address drivers of deforestation and forest degradation, while fully accounting for UNFCCC safeguards)</p> <p>(Linked to UN-REDD strategic framework Output 3.1)</p>	FAO/UNDP and UN Environment	2018-2020	<p>2018:</p> <ul style="list-style-type: none"> Updating of the online REDD+ wiki with relevant documentation available to stakeholders and REDD+ National Coordination Unit, in support of PAM development. Clear sustainability strategy in place. <p>(MoV: Additional webpage added to NFMS containing relevant information from UN REDD readiness program as well as PAM documentation)</p> <p>2018-2020:</p> <ul style="list-style-type: none"> Resources mobilized to implement the REDD+ Investment plan: <p>- Funding proposals for the REDD+ investment plan</p>	<p>Many potentially useful documents are available but have not been coordinated / collated into a useful knowledge base.</p> <p>No current funding earmarked to support the</p>

			<ul style="list-style-type: none"> -Partnerships between different development agencies, donors and the private sector facilitated -Drivers of deforestation and forest degradation as per the National Strategy are addressed <p>(MoV: Funding proposals submitted to GEF/GCF, PAMs implemented in Zambia, number of community based forest management programmes established)</p>	REDD+ IP (although BIOCF, GEF, USAID supporting ZIFL-P)
	FAO	2019-2020	<p>2019:</p> <ul style="list-style-type: none"> • Impacts of emissions reductions activities (PAMs) are linked to MRV and GHGi through capacity development interventions. <p>(MoV: Workshop/ training programme, event report and attendance register)</p> <p>2020:</p> <ul style="list-style-type: none"> • Zambia submits a BUR with an annex detailing the results from its measuring, reporting and verification activities. • REDD+ results are assessed and prepared in the correct format for reporting in the technical annex of the BUR. <p>(MoV: Annex added to the 2020 BUR detailing REDD+ results and potential emissions reductions)</p>	<p>It is important to highlight the tangible links between the implementation of Emissions Reductions</p> <p>Activities and the role MRV will play in BURs and results based finance.</p> <p>Currently the links are not well understood. The work will also help to institutionalise MRV within the National REDD+ Coordination Unit.</p> <p>No results have been assessed.</p>
Output 2. (continued)	UN Environment	2018-2020	<p>2018:</p> <ul style="list-style-type: none"> • Zambia's 1st Summary of Information on Safeguards Submitted – focus on readiness phase (2018). <p>-Link to Summary of Information on Safeguards available on UNFCCC web platform.</p> <p>(MoV: Reporting outline proposed design of Safeguards Information System)</p> <p>2018-2019:</p> <ul style="list-style-type: none"> • SIS design and operation refined: <ul style="list-style-type: none"> - Interpretation of UNFCCC Cancun Safeguards, in accordance with national circumstances, submitted for endorsement by national government. - Revised design document, database and webpages of the interim SIS housed in the NFMS. - Project-level safeguards information available in the interim SIS. <p>(MoV: SIS system online and available to all stakeholders)</p>	<p>No summary of information on safeguards submitted to the UNFCCC, but analytical work on stakeholder consultations on format and content undertaken.</p> <p>First iteration of SIS designed, but full-fledged policies and measures still to emerge from the REDD+ Investment Plan design process. More robust iterations are needed.</p> <p>Interpretations of Cancun Safeguards in relation to REDD+ PAMs has</p>

				not taken place. Articulation between SIS and safeguards from sub-national and project levels not in place.
			2020: <ul style="list-style-type: none"> Zambia's 2nd summary of information on Safeguards Submitted (2020) - Link to Summary of Information on Safeguards available on UNFCCC web platform (MoV: Updated documentation and web presence) 	A first iteration of Summary of Information on Safeguards will have been submitted focussing on REDD+ readiness only.
	UNDP	2018-2020	2018: <ul style="list-style-type: none"> Institutional capacity building framework in place to facilitate effective coordination and implementation of REDD+ - Terms of reference for NRCU fully developed - Number of capacity building opportunities identified to facilitate the implementation of technically robust REDD+ PAMs - Options for a coordinated and robust financing arrangements for REDD+ explored (MoV: Capacity development interventions documented) 	No institutional capacity building framework in place on how to support systematic institutional capacity building and coordination of REDD+ Implementation. No long financing arrangements for REDD+ yet in place.
			2018-2020: <ul style="list-style-type: none"> Approved funding proposals developed for Investment Plan implementation, with the support of UN-REDD, integrate gender. - Number of approved proposals for Investment Plan implementation which integrate a gender perspective Civil society Platform for REDD+ implementation fully established and functional. - Number of civil society partners engaged in REDD+ implementation (e.g. civil society and local communities actively engaged in verification of information on social and environmental safeguards and key stakeholders actively monitoring implementation of benefit sharing and grievance mechanisms. (MoV: Documentation) 	Gender responsive planning and programming on REDD+ not yet in place No systematic involvement of key stakeholder (inc. civil society) in the implementation of PAMs, safeguards or benefit sharing and grievance mechanisms.
Output 3. REDD+ PAMs have a Technical assistance provided for the robust institutional anchoring, with a wide range of economic sectors engaged in REDD+ objectives.	UNDP	2020	2020: <ul style="list-style-type: none"> Mainstreaming of REDD+ into key sectors such as mining and energy as well as key sectors identified in the seventh National Development Plan - REDD+ mainstreamed into relevant cross-sectoral policies and measures. (MoV: Documentation) 	Implementation of REDD+ in other sectors not yet institutionalized.

(Linked to UN-REDD strategic framework Output 3.2)				
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Risk Management Framework

Risk description	Rating	Mitigation measure
External risks		
In the course of the year the technical expertise provided by the programme is no longer considered relevant in certain countries	P= Low I = Medium	The deployment of TA was done based on (i) gap analysis; (ii) in discussion with governments; (iii) according to the expertise of the team. In principle this risk has a low probability of occurrence. However should it materialize; the programme has built in a buffer to allow redeployment of teams where they are most needed. Also, while the UN-REDD team does not have oversight over the annual workplans of the sources of funds being assisted, the dialogue with and trust of the country counterparts should enable an early discussion and adjustment of the UN-REDD expertise made available.
The advice/recommendations of the UN-REDD team are not appropriated or adopted by the governments or stakeholders in country	P= Low I = High	As above, in principle the TA has been jointly identified with counterparts. However it is uncertain how and what the outcomes of this TA would be taken on. In cases where such advice or expertise is finally not taken on board, the impact will be quite high as the programme would have failed to deliver relevant, quality or applicable advice.
Historically poor governance in country and limited dedicated capacity to manage REDD+ issues may lead to elite capture, slow pace of delivery and a loss of the co-benefits as well as sustained support for the emissions reductions activities	P=Medium I=High	The establishment of suitable structures to support REDD+ activities such as the NRCU should provide a vehicle for improved governance of forests and especially the expected benefits while accelerating the pace of the of the national REDD+ process. Putting in place a country approach to safeguards in the context of the Cancun Safeguards and operational policies of funding agencies, which provides the framework of how risks will be managed and mitigated is an important priority.

Risk description	Rating	Mitigation measure
<p>The advances resulting from the assistance of the UN-REDD team are not attributed to the programme as it plays a supportive function</p>	<p>P = High I = Medium</p>	<p>In an environment where TA is deployed amidst multiple other funds, the impacts of this TA are likely to be unappreciated in comparison with the financial flows supporting that same activity. E.g. UN-REDD TA providing expert advice on MRV systems financed by other SOF. The likelihood of this occurring are high and impacts will have to be determined depending on the country context. The only possible mitigation measure is through the documentation of requests, support deployed and agreement with all partners of the impact of this support.</p>
Internal		
<p>The presence of in-country support through longer missions is requested from governments and increases costs beyond what is planned for.</p>	<p>P= Medium I =High</p>	<p>The budget covers primarily regional and global staff costs and contracts, with some resources allocated to missions and other local costs. Should certain support and expertise require longer missions/presence in country, the limited financial buffer would imply reallocating from one country to another or from one activity to another within the same country. The programme will undertake a mid-term revision of TA and budgets to determine what flexibility is available and table such reallocations for approval of the concerned country.</p>
<p>Inability to respond to changes in country needs due to the rigidity in reallocating resources from one agency to the other.</p>	<p>P = Medium I = High</p>	<p>While the TA to be deployed was identified in conjunction and consultation with counterparts, this was done quite early in the planning for 2017 and therefore may be subject to changes. This may entail requesting more expertise from one agency than the other. Considering the budgeting, contracting and fund allocation structures, it will be difficult to accommodate for changes that entail reallocation from one agency to another therefore diminishing the relevance of the programme to countries and subsequently its reputation.</p>

Risk description	Rating	Mitigation measure
Implementation of REDD+ activities proceeds at a slow pace as the cross-sectorial nature of deforestation and degradation slow the implementation process and the institutional arrangements are not clearly defined.	P=Medium I=High	Development interventions within Zambia have in the past proceeded at a less than optimal speed. However, the activities chosen for implementation as part of the program have been well researched and planned. In addition with the establishment of the NRCU a suitable environment for cross-sectorial cooperation and REDD+ implementation would be in place.

* P: Probability; I: Impact; TBD: To Be Determined

National ownership and sustainability

The UN-REDD team consulted with the Zambian Director of Forestry at the Ministry of Environment and Natural Resources, Ignatius Makumba, on the formulation of TA activities described above during a consultation call on 4 May 2017. His recommendations for how the UNREDD TA can best provide assistance to enable the Forestry Department to better coordinate and eventually implement REDD+ activities have been critical to the development of the outputs and activities described in the results framework section. The Director reiterated the necessity of the TA activities to align with the recently launched REDD+ Strategy. He underscored the need to provide assistance to institutional arrangements, such as support to the establishment of a coordination unit inside of the Forestry Department to coordinate REDD+ activities. Additionally, capacity development on NFMS and data management was highlighted as a priority area and an important step in meeting targets outlined in the REDD+ Strategy.

Overall, the TA draws on earlier missions conducted by the UN-REDD team to Zambia where a series of issues, necessitating UN-REDD's support were discussed. It also captures emerging opportunities from the 2017 support to Zambia as well as gaps to be filled. This includes support to meeting UNFCCC safeguards requirements and meeting relevant governance arrangements for REDD+ implementation as key areas of intervention identified.

UNREDD, 2011. Legal preparedness for REDD+ in Zambia prepared by International Development Law Organization (IDLO)