

Zambia

National Programme

2011 Annual Report

31st January 2012 (final draft)

1. National Programme Status

1.1 National Programme Identification

Country: Republic of Zambia Title of programme: UN-REDD Programme – Zambia quick start initiative Date of submission: March 2010	Date of signature¹: 26 th September 2010 Date of first transfer of funds²: 22 nd October 2010 End date: August 2013 No-cost extension requested³:
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Implementing partners⁴: Forestry Department of the Ministry of Mines and Natural Resources

The financial information reported should include overhead, M&E and other associated costs.

Financial Summary (USD)			
UN Agency	Approved Programme Budget ⁵	Amount transferred to date ⁶	Cummulative Expenditures up to 31 December 2011 ⁷
FAO	2.180,000	900,192	235,605
UNDP	1,995,000	664,996	314,538
UNEP	315,000	120,005	0
<i>Total</i>	4,490,000	1,685,193	550,143

Electronic signatures by the designated UN organization ⁸			Electronic signature by the Government Counterpart
FAO	UNDP	UNEP	
Type the name of signatories in full:			

¹ Last signature on the National Programme Document

² As reflected on the MPTF Office Gateway www.mdtf.undp.org

³ If yes, please provide new end date

⁴ Those organizations either sub-contracted by the Project Management Unit or those organizations officially identified in the National Programme Document as responsible for implementing a defined aspect of the project

⁵ The total budget for the entire duration of the Programme, as specified in the signed Submission Form and National Programme Document. This information is available on the MPTF Office GATEWAY www.mdtf.undp.org

⁶ This information is available on the MPTF Office GATEWAY www.mdtf.undp.org

⁷ Disbursement and commitments combined

⁸ Each UN organisation is to nominate one or more focal points to sign the report. Please refer to the *UN-REDD Programme Planning, Monitoring and Reporting Framework* document for further guidance

1.2 Monitoring Framework

In the table below, please report on progress to date based on the Monitoring Framework included in the signed National Programme Document. Please input cumulative data and input quantitative/qualitative values for the indicators. If indicators or other data was modified, please explain in the comments column. If there is no data to be reported in the reporting period, please mark N/A. Please add additional rows as needed.

Expected Results (Outcomes)	Indicators	Baseline	Overall National Programme Expected Target	Achievement of Target to Date	Means of Verification	Responsibilities	Risks and Assumptions	Comments
From Results Framework	From Results Framework	Baselines are a measure of the indicator at the start of the National Programme	The desired level of improvement to be reached at the end of the National Programme	The actual level of performance reached at the end of the reporting period. Please provide a substantive assessment of the achievement of target to date, no more than 300 words per outcome. <i>NOTE: The Zambia UN-REDD Programme started implementation in 2011 and hence the progress reporting is the progress so far.</i>	From identified data and information sources	Specific responsibilities of participating UN organizations (including in case of shared results)	Summary of assumptions and risks for each result	
Outcome 1: Capacity to manage REDD+ Readiness strengthened.	Institutional framework to manage REDD+ Readiness adopted. <input checked="" type="checkbox"/> Proportion of stakeholders perceiving the REDD+ coordination unit as effective in implementing and coordinating the REDD+ readiness process.	No	Yes	The National REDD+ Coordination Unit was set up during the year, with staff officially assigned to the implementation of the UN-REDD Programme. The Coordination unit is working with other stakeholders in the implementation of activities. Zambia also attended the Convention on Biological Diversity (CBD) and REDD+ Capacity building Workshop in Cape Town, South Africa, which aimed at supporting parties' efforts to address reducing emissions from deforestation and forest degradation in developing countries in the frame work of the	<input checked="" type="checkbox"/> Progress reports <input checked="" type="checkbox"/> Workshop Reports <input checked="" type="checkbox"/> Evaluation Reports	UNDP/UNEP		With new Government in place and the definitive take of of the Zambia REDD+ process, a new coordination team and arrangements are being built up and early 2012 will experience a progress in this component.

Expected Results (Outcomes)	Indicators	Baseline	Overall National Programme Expected Target	Achievement of Target to Date	Means of Verification	Responsibilities	Risks and Assumptions	Comments
				United Nations framework convention on climate change in a way that contributes to the implementation of the CBD programme of work on forest biodiversity; and (iii) A Zambian delegation attended a training workshop on the national systems for Green House Gas (GHG) organized by FAO and CRfN in January 2011 at FAO Headquarters in Rome.				
Output 1.1. REDD+ Readiness coordination and management bodies established and functioning.	1.1.1 National REDD+ Readiness institutional arrangements in place and functioning. 1.1.2 Proportion of identified capacity gaps that are addressed.	'1 No '2 No	'1 Yes '2 Yes	<p>1. The REDD+ readiness institutional arrangements are still being developed and will be based on stakeholder consensus (for which a first period of basic training and multi-stakeholder was needed). Appointment of the focal point persons from key Ministries was done during the year under review.</p> <p>2. In order to enhance collaborative approach between two major UN programmes related to the forest (namely ILUA-II and UN-REDD), it was discussed and agreed that the Technical committees for the REDD+ readiness process will be based on the already established structures of ILUA Project.</p> <p>3. The National REDD+ Coordinator attended the UN-REDD Policy Board meetings in Vietnam and Germany.</p> <p>4. In spite of the Steering Committee under the ENRMMP being established, the formalization of the Terms of References to include REDD+ was not concluded during the year. However this is expected to be achieved in the first quarter of 2012.</p>	<input checked="" type="checkbox"/> Progress reports. <input checked="" type="checkbox"/> Workshop proceedings. <input checked="" type="checkbox"/> Capacity needs report.	UNDP		Changes in Ministries resulted new orientation of various staff in the new Ministry. However, since most of them had been attend the consultative meetings, this was not a major problem.

Expected Results (Outcomes)	Indicators	Baseline	Overall National Programme Expected Target	Achievement of Target to Date	Means of Verification	Responsibilities	Risks and Assumptions	Comments
				<p>5. Increased collaboration among Programme initiated at different times in the former Ministry (MTENR) was recognized as important to avoid duplication and optimize work plans. The Ministry (MTENR) then developed a concept on the collaborative approach to UN-REDD, ILUA II, CCFU, and ENRMMP. The concept was to be approved by the senior management in the Ministry. However, the Ministry was dissolved before this could happen. However, ILUA and UN-REDD are currently collaborating more on various activities, and a new, broader framework of cooperation will be defined with the Government.</p> <p>6. Several international-level specialised trainings served to enhance the capacities of national-level actors in REDD+.</p>				
Output 1.2. National REDD+ Readiness process integrated into the national development planning process.	<p>1.2.1 National Climate Change Response Strategy with REDD+ Readiness Process in place and implemented.</p> <p>1.2.2 Plans to integrate UNREDD+ mechanisms into National Development Plans in Place.</p>	'1 No '2 No	'1 Yes '2 Yes	N/A: This output will be addressed once the REDD+ readiness process is more solidly on track.	<p>a. Progress reports.</p> <p>b. Copy of Drafts and final Strategy document.</p> <p>c. Minutes of the Climate Change strategy consultative meetings.</p>	UNDP	Delays in reaching consensus on content and design on the climate change response strategy.	The Government was in the process of assessing the proposed climate change response framework with the aim of creating an integrated approach.
Output 1.3. Communication and advocacy strategy as input in overall climate change strategy developed and implemented.	<p>1.3.1 REDD+ Communication Strategy developed.</p> <p>1.3.2 Climate Change Communication and Advocacy Strategy with REDD readiness communication in place and implemented.</p>			A stakeholder Assessment and Engagement Plan (under Outcome 2) has been conducted, and it will definitively become the basis of the development of the Communication and Advocacy Strategy. The mentioned assignment was conducted in each of the 9 provinces of Zambia	<p>☑ Progress reports.</p> <p>☑ Copies of Strategy Documents.</p> <p>☑ Workshop Reports.</p> <p>☑ Technical Reports.</p>	UNEP		

Expected Results (Outcomes)	Indicators	Baseline	Overall National Programme Expected Target	Achievement of Target to Date	Means of Verification	Responsibilities	Risks and Assumptions	Comments
Output 1.4. Mapping and gap analysis of relevant initiatives undertaken.	1.4.1 Report on gaps, ongoing and planned initiatives relevant to REDD+ available. 1.4.2 Lessons pertinent to implementing REDD+ shared.			A study was conducted on Best forest Practices relevant to REDD+ in Zambia (under outcome 4). The results of the study were expected to be ready in the first quarter of 2012, then given opportunities to multi-stakeholder review and decision on actions concerning REDD+.	<input checked="" type="checkbox"/> Progress reports. <input checked="" type="checkbox"/> Copy of Study report and Lesson learnt document.	UNDP		
Outcome 2 Broad-based stakeholder support for REDD+ established.	<input checked="" type="checkbox"/> Information sharing and coordination platform between UN-REDD+ process and stakeholders (NGOs, Other government departments, private sector and bilateral partners) established.	No	Yes	The REDD+ Coordination Unit has been working with various stakeholders (including NGOs and the private sector) to enhance their understanding about REDD+ and contribution to the process of developing a national strategy. Various stakeholder Consultative meetings were held during the year. A REDD+ training workshop was held, becoming the first major, multi-stakeholder event for joint learning and dialogue around REDD+, including a solid representation of field practitioners from the provinces. In addition, the mentioned stakeholder assessment and engagement plan will provide guidance to advance towards the achievement of this outcome.	<input checked="" type="checkbox"/> Progress reports <input checked="" type="checkbox"/> Workshop Reports. <input checked="" type="checkbox"/> Minutes of meetings <input checked="" type="checkbox"/> Evaluation Reports <input checked="" type="checkbox"/> Survey reports	UNDP	Unclear roles and responsibilities for REDD+ implementation among stakeholders may result in uncoordinated efforts	Stakeholder engagement has been the core of the Zambian process and continues to be strong.

Expected Results (Outcomes)	Indicators	Baseline	Overall National Programme Expected Target	Achievement of Target to Date	Means of Verification	Responsibilities	Risks and Assumptions	Comments
Output 2.1. Stakeholders engagement process functioning.	<p>2.1.1 Report on the review of the stakeholder engagement process (including gaps identified) is completed and disseminated.</p> <p>2.1.2 UN-REDD+ stakeholders advisory group established and functional.</p> <p>2.1.3 A framework and guideline for stakeholder engagement at national, provincial, district and community levels is in place.</p> <p>2.1.4 Number of joint planning, consultative and review meetings held between UNREDD+ and stakeholders (Other government departments, NGOs, Private Sector and bilateral partners) held.</p> <p>2.1.5 Number of civil society participants in joint planning, consultative, and review meetings.</p> <p>2.1.6 Proportion of female participants in stakeholder in joint planning, consultative and review meetings.</p>	<p>'1. No</p> <p>'2. No</p> <p>'3. No</p> <p>'4.</p> <p>'5.</p> <p>'6.</p>	<p>'1. Yes</p> <p>'2. yes</p> <p>'3. Yes</p> <p>'4.</p> <p>'5.</p> <p>'6.</p>	<p>1. During the year under review, a large team of specialists undertook an assignment on "Stakeholder Assessments and Engagement Plan", with field surveys in each of the 9 provinces of Zambia. The final results are expected in the first quarter of 2012, and will be submitted to a stakeholder review process.</p> <p>2. The stakeholder advisory group was not established during the year as it was important to understand the roles and responsibilities of various stakeholders through the stakeholder assessment task (as above). The Advisory group will be established in collaboration with ILUA II Project in the first quarter of 2012.</p> <p>3. A Stakeholder REDD+ orientation training workshop was conducted for raising awareness on REDD+ in June 2011. A total of 75 participants from various stakeholder groups attended the training. Out of these, half (36 participants) represented the 9 provinces.</p> <p>4. A number of civil society organization serving various stakeholders continued to attend the meetings organized by the REDD+ Coordination Unit. The civil societies that cover a wide range of specialization including land, environment and natural resource</p>	<p>☑ Progress reports</p> <p>☑ Workshop reports</p> <p>☑ Minutes of meetings</p>	UNDP		

Expected Results (Outcomes)	Indicators	Baseline	Overall National Programme Expected Target	Achievement of Target to Date	Means of Verification	Responsibilities	Risks and Assumptions	Comments
				<p>management, Gender, Youths, Media. A fluid communication and collaboration between governmental and non-governmental stakeholders around REDD+ has been crafted during 2011.</p> <p>5. The UNZA university student Environmental Association held a meeting that aimed at enhancing students' understanding about REDD+ and related matters, and the potential role of student organisations in facilitating information flow. The meeting helped the students to understand the basic scope of REDD+ and has added to their consideration of potential internships into government institutions, such as the Forestry Department during the industrial break for Universities</p> <p>6. Community Based Natural resource Management Forum (CBNRMF), at their annual review meeting, hosted a presentation on the status of REDD+ readiness process and the potential role of CBNRM experiences in adding value to the REDD+ process in Zambia</p> <p>7. The Zambia National Climate Change Network (ZCCN), in collaboration with the national REDD+ team, conducted presentations and discussions aimed at enhancing the understanding of the Environmental</p>				

Expected Results (Outcomes)	Indicators	Baseline	Overall National Programme Expected Target	Achievement of Target to Date	Means of Verification	Responsibilities	Risks and Assumptions	Comments
				<p>and Social Safeguards as outlined in the Cancun Agreements of 2010. The aim was to facilitate Civil Society contribution towards identification of important actions that may be required to put in place safeguards</p> <p>8. The REDD+ project team presented a paper on REDD-plus Co-benefits-Experience for Zambia at a meeting on REDD-plus after Cancun: Moving from Negotiation to Implementation Building REDD-plus Policy Capacity for Developing Country Negotiators and Land Managers, 10-12 May 2011 in Douala, Cameroon which was organized by IISD and ASB-ICRAF</p> <p>9. A Civil Society consultative meeting was held on the 5th October at Kingfisher Hotel, aiming at identifying civil society representatives to participate in the REDD+ readiness process. Civil Society have identified which institutions/representatives will form a core contact group with the UNREDD+ Programme.</p>				
Output 2.2. Conflict resolution and redress mechanism reviewed.	<p>2.2.1 Report on the review of existing conflict resolution mechanisms is completed and disseminated, and its recommendations implemented.</p> <p>2.2.2 New conflict and arbitration mechanisms developed and in place.</p>			N/A - Activities will start in the following year.	<p>☑ Reports</p> <p>☑ Progress reports</p> <p>☑ Conflict resolution or arbitration manuals/Guidelines</p>	UNDP		

Expected Results (Outcomes)	Indicators	Baseline	Overall National Programme Expected Target	Achievement of Target to Date	Means of Verification	Responsibilities	Risks and Assumptions	Comments
Outcome 3: National governance framework and institutional capacities for the implementation of REDD+ strengthened.	Outcome 3: National governance framework and institutional capacities for the implementation of REDD+ strengthened			N/A - Activities will start in the following year since this requires preliminary work..	<input type="checkbox"/> Progress reports <input type="checkbox"/> Reports <input type="checkbox"/> Evaluation Reports	UNDP	Slow pace of policy review process may affect level of REDD+ implementation	
Output 3.1. Institutional capacity to implement REDD+ framework developed.	<p>3.1.1 Report on human and financial capacity needs to address longer term institutional requirements to implement REDD+ completed and disseminated.</p> <p>3.1.2 Partnership strategy to facilitate sourcing of additional financial resources for capacity building in place.</p> <p>3.1.3 Number of agreements and MOUs for accessing additional financial resources in place.</p> <p>3.1.4 Number of South_South cooperation learning tours</p>			N/A - Activities postponed to next year.	<input type="checkbox"/> Progress reports <input type="checkbox"/> Reports <input type="checkbox"/> Copy of partnership strategy. <input type="checkbox"/> Copies of Agreements and MOUs. <input type="checkbox"/> Mission reports.	UNDP		
Output 3.2. National REDD+ Strategy process integrated into the national development planning process.	<p>3.2.1 National REDD+ Strategy developed through consultative process.</p> <p>3.2.2 % of districts with development plans that have integrated REDD+ readiness mechanisms.</p> <p>3.2.3 Monitoring framework for governance, social, economic and environmental impacts pertinent to REDD+ implementation is in place.</p>			FAO's Global UN-REDD team conducted a study 'Legal Preparedness for REDD+' in Zambia. The project aimed to identify legal challenges, gaps and needs for the implementation of REDD+ and make recommendations to help strengthen legal and institutional capacity in 3 REDD+ countries, where Zambia represented Africa. This study can be used as a baseline when assessing the needs of strengthening the legislative framework to facilitate	<input type="checkbox"/> Progress reports. <input type="checkbox"/> Reports. <input type="checkbox"/> Copy of monitoring framework. <input type="checkbox"/> Minutes of REDD advisory groups.	UNDP		

Expected Results (Outcomes)	Indicators	Baseline	Overall National Programme Expected Target	Achievement of Target to Date	Means of Verification	Responsibilities	Risks and Assumptions	Comments
Out 3.3. Legislative framework to facilitate implementation of REDD+ strengthened.	<p>3.3.1 Report on the review of existing legislation in terms of applicability and gaps in relation to REDD+ is available and its recommendations have been addressed.</p> <p>3.3.2 Report on legal review to establish the ownership of carbon in different land tenure systems completed and disseminated.</p> <p>3.3.3 Report on the appropriate regulatory process for developing, managing and monitoring carbon trading agreements completed and disseminated.</p> <p>3.3.4 Report on necessary changes to policies and legislation for optimising REDD+ implementation completed and disseminated.</p> <p>3.3.5 Action plan for Legal changes required to channel REDD+ finances in place.</p> <p>3.3.6 Number of policies, laws, Acts and by-laws revised to incorporate REDD+ requirements.</p>			implementation of REDD+	<ul style="list-style-type: none"> ☑ Progress reports ☑ Reports ☑ Copy of draft bills, laws, policy documents, Acts and Bi-laws revised. ☑ Law enactment records at the National Assembly of Zambia 	UNDP		
Output 3.4. Mechanism to administrate and channel REDD+ finance established.	<p>3.4.1 Report on options for channelling REDD+ finance, including the national budget and special fund mechanisms completed and disseminated.</p> <p>3.4.2 Number of consultative meetings held</p> <p>3.4.3 System for managing REDD+ finance established.</p>			N/A - Activities postponed until the basis of REDD+ are unfolded.	<ul style="list-style-type: none"> ☑ Progress reports ☑ Reports ☑ National budget documents ☑ Forum reports and policy briefs ☑ Review of systems at MFNP and other implementing ministries. 	UNDP		

Expected Results (Outcomes)	Indicators	Baseline	Overall National Programme Expected Target	Achievement of Target to Date	Means of Verification	Responsibilities	Risks and Assumptions	Comments
Output 3.5. Benefit sharing model approved.	<p>3.5.1 Number of benefit distribution options and payment mechanisms assessed.</p> <p>3.5.2 Report on the assessment of different proposed benefit sharing approaches through demonstration projects completed and disseminated.</p> <p>3.5.3 Number of benefit distribution options and payment mechanisms developed.</p> <p>3.5.4 Mechanisms for delivering REDD+ benefits determined through broad-based consultations with landowners and other stakeholders.</p> <p>3.5.4 Report on tax implications for all REDD+ beneficiaries completed and implemented.</p> <p>3.5.5 Criteria and guidelines for sharing the benefits for activities under the REDD+ mechanism are in place.</p>			Idem as above	<ul style="list-style-type: none"> ☑ Progress reports ☑ Reports ☑ Consultative meeting reports ☑ Copies of leaflets, brochures and newsletters on benefit sharing mechanisms developed. ☑ Review of systems at MFNP and other implementing ministries. 	UNDP		
Outcome 4: National REDD+ strategies identified.				A number of assessments, data collection and analytical work have started to provide the basis to identify the REDD+ strategic options.			Poor coordination among implementing and executing institutions may affect deliverables.	

Expected Results (Outcomes)	Indicators	Baseline	Overall National Programme Expected Target	Achievement of Target to Date	Means of Verification	Responsibilities	Risks and Assumptions	Comments
Outcome 4.1: Drivers of deforestation and forest degradation assessed	4.1.1 Report on drivers of deforestation and forest degradation completed and disseminated 4.1.2 Key national, provincial, district and community level agencies responsible for addressing the drivers of deforestation and forest degradation identified and oriented	no	yes	A study conducted by Copperbelt University is currently ongoing and its final report is presented at the end of January 2012. A consultative process will be used to validate the report. This will ground the efforts to identify and evaluate the drivers of deforestation under a REDD+ perspective.	Progress report Workshop report Final report	UNEP/FAO		
Outcome 4.2: Candidate activities for REDD+ identified	4.2.1 Identify global best practices and benchmarking for forest management and REDD+ activities, and tailor practices to Zambia suitable activities are identified 4.2.2 Multiple benefits of REDD+ implementation identified and mapped 4.2.4 Expert consultations on development of a framework addressing opportunity costs for key stakeholders as well as cost abatement curves and follow up actions completed 4.2.5 Relevant global level initiatives are incorporated into national REDD+ strategy and national Development planning process	no	yes	A study was conducted by NIRAS consulting firm. The report is expected at the end of January 2012. Validation will be through stakeholder consultation. The programme undertook an assignment to collect information from different sources and compile it in digital form to enhance the database for the REDD+ Readiness process (some examples are mentioned in the "observations" section on the right. This exercise will enhance the database for the programme and also enable the REDD coordination office act as a resource center where different important information on REDD related issues can be found	Progress report Workshop report Final report CD containing information compiles	UNEP/FAO		The current status and development of Biofuel industry in Zambia, 2011; Institutional and Policy Analysis for Protected Areas under the Reclassification of Zambia's Protected Areas Systems project; The Roles of Traditional Leadership and Communities in Community Based Natural Resource Management in Zambia; Resettlement Programs – Zambia; Baseline Study of the Socio-economic Patterns of Charcoal, Wood and Stove use in greater Lusaka, Zambia; Wildlife Protected Areas

Expected Results (Outcomes)	Indicators	Baseline	Overall National Programme Expected Target	Achievement of Target to Date	Means of Verification	Responsibilities	Risks and Assumptions	Comments
								Status
Outcome 5: MRV capacity to implement REDD+ strengthened.				A Technical Advisor for Measurements, Reporting and Verification (MRV) was recruited during the period under review and will start soon (end of January 2012).		FAO	Delays in the release of funds could impede progress and prevent deliverables being achieved on time.	
5.1 REDD+ integrated with forestry inventory system (ILUA)	<p>5.1.1 Full fungibility with the ILUA data base and information system provided</p> <p>5.1.2 Environmental data are integrated with socio economic data</p> <p>5.1.3 ILUA data management improved</p>			<p>ILUA and UN-REDD Programme worked jointly on various activities that are common of have common goals. It is expected that in 2012 most of the activities will be harmonized.</p> <p>Communication materials on MRV were prepared during the year and distributed during various meetings and functions.</p>	Workplan Leaflets	FAO		
5.2 Operational Forest Management institutionalized	<p>5.2.1 A cell for geographical information analysis and personnel training is established</p> <p>5.2.2 A geographical explicit database for all types of land use information is established and populated</p> <p>5.2.3 An end user interface for database management and queries is designed and</p>			<p>Some of the Coordination Unit offices were refurbished during year under review to accommodate the RS unit.</p> <p>A needs assessment for the establishment of a fully equipped GIS Unit at National and Provincial levels of Forestry Department in Zambia was carried out.</p> <p>The equipment (Computers, printers,</p>	Final report	FAO		

Expected Results (Outcomes)	Indicators	Baseline	Overall National Programme Expected Target	Achievement of Target to Date	Means of Verification		Responsibilities	Risks and Assumptions	Comments
	<p>implemented</p> <p>5.2.4 Support tools for REDD+ policies and measurements is selected</p> <p>5.2.5 Linkages with regional geographical information systems are established.</p>			<p>scanners) and software (Arc GIS 9.3) that is required for the monitoring system to be fully operational. were identified and procurement included in the 2012 work plan.</p> <p>Staff capacities were also assessed and trainings to improve capacities included in the 2012 work plan.</p>					
5.3: Green house gas emissions and removals from forest lands estimated and accurately reported	<p>5.3.1 A fully compliant UNFCCC/IPCC greenhouse gas inventory is developed.</p> <p>5.3.2 Training courses on greenhouse gas inventory methodology and IPCC Good practice Guidelines is developed and delivered</p>			<p>Two technical officers from Zambia attended the intensive Training on Green House Gases (GHG) inventory in FAO HQ in January 2011. The workshop allowed a broad overview of the necessary steps for the set-up of a national GHG inventory in compliance with the UNFCCC reporting requirements.</p> <p>A consultant was recruited to provide a framework and roadmap for the estimation and reporting of GHG emissions and removals from forest lands Zambia.</p>	Inception report	FAO			The workshop provided information and training on setting national systems for greenhouse gas (GHG) inventories, including technical requirements and institutional actions needed to establish a national GHG inventory.
Outcome 6: Assessment of REL and RL undertaken.								Limited human resources in the country may limit project implementation.	

Expected Results (Outcomes)	Indicators	Baseline	Overall National Programme Expected Target	Achievement of Target to Date	Means of Verification	Responsibilities	Risks and Assumptions	Comments
Outcome 6.1: Historical rates of forest area and carbon stock changes reviewed	6.1.1 Report on historical forest area changes at national level developed 6.1.2 Historical greenhouse gas emissions and removal rates at national level assessed			A methodological framework document was been developed for RL and REL in Zambia in FAO HQ. A consultant was recruited to provide a framework for the assessment/ review of historical rates of forest area and carbon stock changes in Zambia.	<input checked="" type="checkbox"/> Progress reports <input checked="" type="checkbox"/> Reports <input checked="" type="checkbox"/> Publications Inception report	FAO		Zambia will define one national Reference Emissions Level (REL) and one national Reference Level (RL), but to support REDD+ implementation, the country will also define RELs and RLs at sub-national levels. The sub-national RELs and RLs will be defined at provincial level or at project level which will depend on decisions made by the Zambian authorities on REDD+ implementation.
6.2 National circumstances assessed	6.2.1 The opportunity cost of land providing REDD + benefits in relation to other land uses 6.2.2 National socio economic condition assessed 6.2.3 Needs and resources for sustainable development assessed 6.2.4 Report on expected trends on forest area changes completed 6.2.5 Assessment of economic data on other sectors relevant to deforestation completed 6.2.6 The most threatened forests identified and mapped 6.2.7 Other forest co benefits assessed and mapped			N/A - Activities postponed to next year.	<input checked="" type="checkbox"/> Progress reports <input checked="" type="checkbox"/> Reports <input checked="" type="checkbox"/> Publications	FAO		

1.3 Financial Information

In the table below, please provide up-to-date information on activities completed based on the Results Framework included in the signed National Programme Document; as well as financial data on planned, committed and disbursed funds. The table requests information on the cumulative financial progress of the National Programme implementation at the end of the reporting period (including all cumulative yearly disbursements). Please add additional rows as needed. Definitions of financial categories:

- Amount transferred: From the MPTF to date for the programme
- *Commitments*: Includes all amount committed to date. Commitment is the amount for which legally binding contracts have been signed and entered into the Agencies' financial systems, including multi-year commitments which may be disbursed in future years.
- *Disbursement*: Amount paid to a vendor or entity for goods received, work completed, and/or services rendered (does not include un-liquidated obligations)
- Expenditures: Total of commitments plus disbursements
- *Percentage delivery*: Cumulative expenditure over funds transferred to date

PROGRAMME OUTPUTS	UN ORGANISATION	IMPLEMENTATION PROGRESS				
		Amount Transferred	CUMULATIVE EXPENDITURES			DELIVERY (%)
			Commitments	Disbursements	Total Expenditures	Expenditure as percentage of the budget
Output 1.1 REDD+ Readiness coordination and management bodies established and functioning.	FAO	-	-	-	--	-
	UNEP	-	-	-	-	-
	UNDP	289,720		238,993	238,993	82 %
Output 1.2 National REDD+ Readiness process integrated into the national development planning process.	FAO	-	-	-	-	-
	UNEP	-	-	-	-	-
	UNDP	28,037	0	0	0	0 %
Output 1.3 Communication and advocacy strategy as input in overall climate change strategy developed and implemented.	FAO	-	-	-	-	-
	UNEP	56,075	0	0	0	0 %
	UNDP	-	-	-	-	-
Output 1.4 Mapping and gap analysis of relevant initiatives undertaken.	FAO	-	-	-	-	-
	UNEP	-	-	-	-	-
	UNDP	28,037	0	0	0	0 %
Output 2.1 Stakeholders engagement process functioning.	FAO	-	-	-	-	-
	UNEP	-	-	-	-	-
	UNDP	84,112	-	75,545	75,545	89%

Output 2.2 Conflict resolution and redress mechanism reviewed.	FAO	-	-	-	-	-
	UNEP	-	-	-	-	-
	UNDP	28,037	0	0	0	0 %
Output 3.1 Institutional capacity to implement REDD+ framework developed.	FAO	-	-	-	-	-
	UNEP	-	-	-	-	-
	UNDP	0	0	0	0	0 %
Output 3.2 National REDD+ Strategy process integrated into the national development planning process.	FAO	-	-	-	-	-
	UNEP	-	-	-	-	--
	UNDP	37,383	0	0	0	0 %
Output 3.3 Legislative framework to facilitate implementation of REDD+ strengthened.	FAO	-	-	-	-	-
	UNEP	-	-	-	-	-
	UNDP	70,093	0	0	0	0 %
Output 3.4 Mechanism to administrate and channel REDD+ finance established.	FAO	-	-	-	-	-
	UNEP	-	-	-	-	-
	UNDP	9,345	0	0	0	0 %
Output 3.5 Benefit sharing model approved.	FAO	-	-	-	-	-
	UNEP	-	-	-	-	-
	UNDP	46,729	0	0	0	0 %
Output 4.1 Drivers of deforestation and forest degradation assessed.	FAO	37,383	14,022	20,698	34,720	92.9%
	UNEP	18,691	0	0		0%
	UNDP	-	-	-	-	
Output 4.2 Candidate activities for REDD+ identified.	FAO	40,199	14,900	19,214	34,114	84.9%
	UNEP	37,389	0	0		0%
	UNDP	-	-	-	-	
Output 5.1 REDD+ integrated with forestry inventory system (ILUA).	FAO	93,458	5,040	28,737	33,777	36.1%
	UNEP	-	-	-	-	
	UNDP	-	-	-	-	
Output 5.2 Operational Forest Monitoring System established and institutionalized.	FAO	261,862		104,023	104,023	39.7%
	UNEP	-	-	-	-	
	UNDP	-	-	-	-	
Output 5.3 Greenhouse gas emissions and removals from forest lands estimated and	FAO	140,187	8,000	11,971	19,971	14.2%

reported	UNEP	-	-	-	-	
	UNDP	-	-	-	-	
Output 6.1 Historical rates of forest area and carbon stock changes reviewed.	FAO	140,187	9,000		9,000	6.4%
	UNEP	-	-	-	-	
	UNDP	-	-	-	-	
Output 6.2 National circumstances assessed.	FAO	186,916				0
	UNEP	-	-	-	-	
	UNDP	-	-	-	-	
Indirect Support Cost	FAO	58,879				
	UNEP	7,850				
	UNDP	43,503				
TOTAL :			50,962	499,181	550,143	32 %

1.3.1 Co-financing

If additional resources (direct co-financing) are provided to the UN-REDD National Programme, please fill in the table below:

Sources of co-financing ⁹	Name of co-financer	Type of co-financing ¹⁰	Amount (US\$)
N/A			

2. National Programme Progress

The questions in section two are intended to capture advancements and challenges that the National Programme has faced during the reporting period. It also aims to collect information on inter-agency coordination, ownership and development effectiveness, and communication. Please provide your answers after each question.

2.1 Narrative on Progress, Difficulties and Contingency Measures

The questions below ask for a brief narrative describing progress on the implementation of activities, generation of outputs and attainment of outcomes. It also asks for a description of internal and external challenges to National Programme implementation, as well as the contingency actions planned to overcome them.

2.1.1 Please provide a brief overall assessment of the extent to which the National Programme is progressing in relation to expected outcomes and outputs. Please provide examples if relevant (600 words).

The National Joint Programme was officially launched on the 23rd November 2010, and the Annual Workplan and Budget was signed on the 17th March 2011. The actual implementation started in June 2011. The slow start was mostly due to administrative and basic coordination matters, slowed down by the fact that the second semester of 2011 was an intense electoral period for the country which resulted in a change of Government

Despite the initial slow start of the Programme, significant progress was done in terms of the initial studies that were agreed upon during the UN-REDD Mission visit at the time of the review in May 2011. The Joint Steering Committee and Technical Committee already existed, but there was need of expanding their mandate and incorporate adequate stakeholders.

During the reporting period, the Ministry of Tourism, Environment and Natural resources was abolished, after the elections. The Forestry Department is now under the Ministry of Mines and Natural Resources.

The REDD+ readiness process in Zambia has put an emphasis on developing local-level structures for awareness raising, capacity development and dialogue. As a result, most of the review meeting and trainings conducted during the year had representatives from all the 9 provinces of Zambia, which requires more complex logistics. During the 2012 period the activities will extend as one more province has been created.

In summary the main activities conducted during the period under review were as follows:

- a. Set up of REDD+ Coordination Unit
- b. Recruitment of MRV TA and Administrative Assistant

⁹ Indicate if the source of co-financing is from: Bilateral aid agency, foundation, local government, national government, civil society organizations, other multilateral agency, private sector, or others.

¹⁰ Indicate if co-financing is in-kind or cash.

- c. 7 specific studies were conducted aimed at generating more information for the readiness process. These were:
 - i. Drivers of Deforestation and potential for REDD+
 - ii. Stakeholder Assessment and Engagement Plan
 - iii. Forest best practices related to REDD+
 - iv. Legal Preparedness for REDD+
 - v. Needs assessment for GIS
 - vi. Consolidation of research reports
 - vii. Digital data in agriculture, lands, forestry, energy
- d. Awareness raising and training for various stakeholders, including Provincial representatives, were conducted

2.1.2 Please provide a brief overall assessment of any measures taken to ensure the sustainability of the National Programme results during the reporting period. Please provide examples if relevant. (250 words)

The REDD+ readiness process in Zambia is based on developing capacity of the stakeholders and on solid coordination. This has been a core activity in this first year of implementation, and will remain as such in the next year. UN-REDD technical and policy advisory missions proved useful in providing such guidance..

2.1.3 If there are difficulties in the implementation of the National Programme, what are the main causes of these difficulties? Please check the most suitable option.

- UN agency Coordination
- Coordination with Government
- Coordination within the Government
- Administrative (Procurement, etc) /Financial (management of funds, availability, budget revision, etc)
- Management: 1. Activity and output management
- Management: 2. Governance/Decision making (PMC/NSC)
- Accountability
- Transparency
- National Programme design
- External to the National Programme (risks and assumptions, elections, natural disaster, social unrest)

2.1.4 If boxes are checked under 2.1.3, please briefly describe any current *internal* difficulties¹¹ the National Programme is facing in relation to the implementation of the activities outlined in the National Programme Document. (200 words)

There has been various factors, some inter-acting among them, that have slowed down the start of implementation and its progress. Yet these factors are not important and rather related to the start of a new policy process of certain technical complexity and a need of stakeholder engagement, as REDD+ entails.

Coordination arrangements for the programme took time to be consolidated and this caused for some delays in the beginning of the Programme

There follows next a description of some of these factors.

a. Establishment of the Steering Committee and Multi-sectoral committee.

The process of formalization of the Joint Steering Committee took time and is still underway. The cross-sectorial dimension that REDD+ requires is not easy to achieve because most government structures are used to a thematic focus.. However, appointments of Focal point persons from key institutions like Agriculture, Energy, Finance, local government, Local Government and

¹¹ Difficulties confronted by the team directly involved in the implementation of the National Programme

Community Development were been processed. It is expected that formalization of the Technical Committee will be concluded in the first quarter in 2012.

b. Linkages and coordination among UN-REDD, ILUA, CCFU and ENRMMP:

It has been observed that there was need for the 4 programmes to work together to avoid duplication of work. The abolished Ministry (MTENR) prepared a concept of to enhance the linkages of the 4 programmes. The REDD+ and ILUA programmes are being coordinated from within Forestry Department while CCFU and ENRMMP are in the Ministry of Local Government and Housing, Early Child Education and Environmental Protection. This process of coordination has required discussions and dialogue among the parties, which required time.

c. Abolition and Establishment of new Ministries: It must be noted that there has been reorganization and realignment of the Ministry. The functions have been split among Ministry of Information, Broadcasting and Tourism, Ministry of Mines and Natural Resources and that of Ministry of Local Government and Housing, Early Education, and Environmental Protection. This may result in some adjustments in administration of programmes in the former Ministry (MTENR).

d. Start of Implementation: The programme was launched on the 23rd November 2010 and the Workplan and Budget was signed in March 2011 and the actual implementation started in June 2011. In addition, Outcome 5 of the programme is dependant more of the progress of ILUA Project while Outcome 6 was postponed to 2012. The Forestry Department continued to provide office supplies, fuel and vehicle to the Programme during the period under review to lessen the Programme administrative challenges of the REDD+ Coordination Unit.

e. Procurements: The procurement process with UNDP was initially slow but picked up at the end of the year when the Local Purchase Order Books were procured and the Administrative Assistant recruited in November 2011.

2.1.5 If boxes are checked under 2.1.3, please briefly describe any current *external* difficulties¹² (not caused by the National Programme) that delay or impede the quality of implementation. (200 words)

Year 2011 was an electoral year with resulted in a new President and a new Government from a different political party. This caused some delays in the implementation of the programme, as well as disruptions due to a restructuration of the public administration..

2.1.6 Please, briefly explain the actions that are or will be taken to eliminate or manage the difficulties (internal and external referred to in question 2.1.3 and 2.1.4) described in the previous sections. (250 words)

The Coordination arrangements has been concluded and the required staff have been attached to the programme. In addition, towards the end of 2011, the Director of Forestry recognized the need to discuss with the Permanent secretary for an addition staff to the programme from the research division. This is further expected to enhance the delivery of the programme. An international-level technical advisor will be recruited in early 2012 and this will enhance advisory support to the programme implementation..

2.2 Inter-Agency Coordination

The aim of the questions below is to collect relevant information on how the National Programme is contributing to inter-agency work and “Delivering as One”.

2.2.1 Is the National Programme in coherence with the UN Country Programme or other donor assistance framework approved by the Government?

¹² Difficulties confronted by the team caused by factors outside of the National Programme

Yes No

If not, does the National Programme fit into the national strategies?

Yes No

If not, please explain:

2.2.2 What types of coordination mechanisms and decisions have been taken to ensure joint delivery? Please reflect on the questions above and add any other relevant comments and examples if you consider it necessary:

The HACT assessment was finalized in Jan 2011 to ensure good implementation within the UN Agencies.

2.2.3 Is HACT being applied in the implementation of the National Programme by the three participating UN organisation?

Yes No

If not, please explain:

2.3 Ownership¹³ and Development Effectiveness

The questions below seeks to gather relevant information on how the National Programme is putting into practice the principles of aid effectiveness through strong national ownership, alignment and harmonization of procedures and mutual accountability.

2.3.1 Do government and other national implementation partners have ownership of the implementation of activities and the delivery of outputs?

No Some Yes

Please explain:

Government is implementing the Programme with support from civil society. Government has so far provided enough guidance on how the REDD+ readiness process is to be implemented in Zambia. So far the government has provided leadership on the direction of implementation. As in any new initiatives the programme has faced challenges and this is forms part of the capacity building process of the programme itself.

2.3.2 Are the UN-REDD Programme's Guidelines for Stakeholder Engagement and Operational Guidance Engagement of Indigenous Peoples and Other Forest Dependent Communities been applied in the National Programme process?

No Partially Fully

Please explain, including if level of consultation varies between non-government stakeholders:

The government has effectively engaged various stakeholders from the design to the implementation of the NJP readiness process. The Stakeholder analysis has just been completed and it is expected that more engagement platforms and levels will be identified and enhance the engagement further. And local consultants have been used in the studies so far providing room for ownership of the outputs. The national REDD+ team cooperates closely with the UN-REDD team, following UN-REDD policies and using UN-REDD tools and experiences.

2.3.3 What kind of decisions and activities are non-government stakeholders involved in?

Policy/decision making
 Management: Budget Procurement Service provision
 Other, please specify

Please explain, including if level of involvement varies between non-government stakeholders:

Decision of Policy is made by government through a consultative process. The non-governmental

¹³ Ownership refers to countries exercising effective leadership over their REDD+ policies and strategies, and co-ordination of actions.

organization have been involved in the design of the NJP and are the ones that made the proposal to have Forestry Department lead the process of the REDD+ readiness. They continue to be part of the overall implementation. They have been involved in awareness raising on the general climate change issues including REDD+

2.3.4 Based on your previous answers, briefly describe the current situation of the government and non-government stakeholders in relation to ownership and accountability¹⁴ of the National Programme. Please provide some examples.

The government and Non-Governmental Organizations have worked closely. They have contributed considerably to shaping the approach of implementation of the NJP.

3. General Programme Indicators

This section aims to aggregate information on results for the six work areas of the UN-REDD Programme defined in the Programme's Strategy (2011-2015), delivered through the Global and National Programmes. Information is to be provided cumulatively. If the information requested is not available at this stage of Programme implementation, check the "does not apply" box.

1.3.2 Number of MRV and monitoring related focal personnel with increased capacities:

- Women Total No
 - Men Total No

Comments: information not applicable yet.

Does not apply as this component as not yet been implemented

1.3.3 Does the country have a functional MRV and monitoring system in place?

- Yes Partially No Not applicable at this stage

Comments:

1.3.4 Does the country have nationally owned governance indicators, developed through a participatory governance assessment?

- Yes Partially No Not applicable at this stage

Comments:

1.3.5 Was a participatory governance assessment supported by the UN-REDD Programme and incorporated into the National REDD+ Strategy?

- Yes Partially No Not applicable at this stage

Comments, including if the assessment was supported by another initiative:

1.3.6 Does the National REDD+ Strategy include anti-corruption measures, such as a code of conduct, conflict of interest prohibitions, links to existing anti-corruption frameworks, protection for whistleblowers or application of social standards?

- Yes Partially No Not applicable at this stage

Comments:

1.3.7 Number of Indigenous Peoples/civil society stakeholders represented in REDD+ decision making, strategy development and implementation of REDD+ at the national level:

- Women Total No.
- Men Total No.

Comments: Information not yet applicable as no major REDD+ decision making is taking place; nevertheless, a fluid information exchange and dialogue is under way between government and civil society stakeholders.

N/A

¹⁴ Accountability: Acknowledgment and assumption of responsibility for actions, products, decisions, and policies and encompassing the obligation to report, explain and be answerable for resulting consequences.

1.3.8 Number of consultation processes (Meetings, workshops etc.) underway for national readiness and REDD+ activities:

Total No. around 4 major processes (Dialogue with national REDD+ team; REDD+ Orientation workshops; stakeholder assessment exercise; and consultations for the ongoing studies and technical tasks).

Comments:

A number of consultation processes were conducted involving national and provincial stakeholders.

1.3.9 Grievance mechanism established in order to address grievances of people alleging an adverse effect related to the implementation of the UN-REDD national programme:

Yes Partially No Not applicable at this stage

Comments:

1.3.10 Country has undertaken to operationalize Free Prior and Informed Consent for the implementation of readiness or REDD+ activities that impact Indigenous Peoples' and local communities' territories, resources, livelihoods and cultural identity:

Yes Partially No Not applicable at this stage

Comments:

1.3.11 Country applying safeguards for ecosystem services and livelihood risks and benefits:

Yes Partially No Not applicable at this stage

Comments:

1.3.12 Application of the UN-REDD Programme social principles and criteria:

Yes Partially No Not applicable at this stage

Comments:

1.3.13 REDD+ benefit distribution system contributes to inclusive development¹⁵, with specific reference to pro-poor¹⁶ policies and gender mainstreaming¹⁷:

Yes Partially No Not applicable at this stage

Comments:

1.3.14 Country adopting multiple benefit decision tool kit:

Yes Partially No Not applicable at this stage

Comments:

¹⁵ Inclusive development is development that marginalized groups take part in and benefit from, regardless of their gender, ethnicity, age, sexual orientation, disability or poverty. Inclusive growth implies **participation** and **benefit-sharing**. On the one hand, it ensures that everyone can participate in the growth process, both in terms of decision-making for organizing the growth progression as well as in participating in the growth itself. On the other hand, it makes sure that everyone shares equitably the benefits of growth.

¹⁶ Pro-poor policies are those that directly target poor people (i.e. benefit the poor more than the non-poor), or that are more generally aimed at reducing poverty. There is also a general consensus that pro-poor policy processes are those that allow poor people to be directly involved in the policy process, or that by their nature and structure lead to pro-poor outcomes. For some, the aim of pro-poor policies is to improve the assets and capabilities of the poor.

¹⁷ The overall intention of gender mainstreaming with regard to environment and energy is to ensure the inclusion of gender equality considerations in planning systems at all levels, and to expand both the access of women to finance mechanisms and the direction of that finance to areas that will benefit women. Gender mainstreaming tools include gender analysis, sex-disaggregated data and participatory approaches that explicitly consider women.

1.3.15 National or sub-national development strategies incorporate REDD+ based investments as means of transformation of relevant sectors¹⁸:

Yes Partially No Not applicable at this stage

Comments:

1.3.16 Investment agreements supported or influenced so that they take advantage of the REDD+ as a catalyst to a green economy:

Yes Partially No Not applicable at this stage

Comments:

4. Government Counterpart Information

The aim of this section is to allow the Government Counterpart to provide their assessment, as well as additional and complimentary information to Section 1-3 which are filled out by the three participating UN organizations.

Comments by the Government Counterpart:

The REDD+ initiative is providing an avenue for sustainable forest/land management. While the start of the Programme was slow due to some administrative matters, a number of activities were conducted mainly consultative meetings and studies were carried out, providing a basis for future planned activities in the coming year, 2012. There was an improvement in the understanding and appreciation of REDD+ among the various stakeholders. Provincial and District capacity development is required as a foundation for REDD+.

¹⁸ Relevant sectors denote those that are related to forests and land use, e.g. including energy, agriculture, mining, transport and land use planning.