

**UN-REDD**  
PROGRAMME



## **National Programme**

### **2012 Annual Report Zambia**

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UN-REDD Programme

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*March 2013*

# 1. National Programme Status





## 1.1 National Programme Identification

<b>Country:</b> Republic of Zambia <b>Title of programme:</b> UN-REDD Programme – Zambia quick start initiative <b>Date of submission:</b> March 2010	<b>Date of signature<sup>1</sup>:</b> 26 <sup>th</sup> September 2010 <b>Date of first transfer of funds<sup>2</sup>:</b> 22 <sup>nd</sup> October 2010 <b>End date:</b> August 2013 <b>No-cost extension requested<sup>3</sup>:</b> (to be requested in early July 2013)
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<b>Implementing partners<sup>4</sup>:</b> Forestry Department of the Ministry of Lands, Natural Resources and Environmental Protection.
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The financial information reported should include overhead, M&E and other associated costs.

Financial Summary (USD)			
UN Agency	Approved Programme Budget <sup>5</sup>	Amount transferred to date <sup>6</sup>	Cummulative Expenditures up to 31 December 2012
FAO	2,180,000	1,988,247	1,213,308
UNDP	1,995,000	1,353,269	668,688
UNEP	315,000	120,005	39,055
<b>Total</b>	<b>4,490,000</b>	<b>3,461,521</b>	<b>1,921,051</b>

Electronic signatures by the designated UN organization <sup>7</sup>			Electronic signature by the Government Counterpart
FAO	UNDP	UNEP	
			
Type the name of signatories in full:			
		JOHN ERIK PRYDZ	

<sup>1</sup> Last signature on the National Programme Document

<sup>2</sup> As reflected on the MPTF Office Gateway [www.mdtf.undp.org](http://www.mdtf.undp.org)

<sup>3</sup> If yes, please provide new end date

<sup>4</sup> 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

<sup>5</sup> 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](http://www.mdtf.undp.org)

<sup>6</sup> This information is available on the MPTF Office GATEWAY [www.mdtf.undp.org](http://www.mdtf.undp.org)

<sup>7</sup> 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

## 1.1 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 progress (Cumulative achievements)		Progress Against Annual Targets (Achievements gained in the reporting period)	
			Overall National Programme Expected Target	Cumulative Progress Towards the Overall Target	Expected Annual Target (According to the annual work plan)	Achievements of the Annual Target (Outcome or Output)
From Results Framework	From Results Framework	Baselines are a measure of the indicator at the start of the National Programme  <u>Baseline for all indicators</u>	The desired level of improvement to be reached at the closing of the National Programme according to the National Programme Document	The actual level of progress reached towards the overall National Programme targets. Please provide a substantive assessment of the achievements of target to date, <b>no more than 100 words per output</b> . <u>An achievement is made when a goal is completed or attained successfully.</u> Examples of achievements are published reports or an operating monitoring system. Drafting Terms of Reference is <i>not</i> an achievement. <u>For each achievement please specify:</u> <ul style="list-style-type: none"> <li><i>What</i> was achieved</li> <li><i>Who</i> was involved</li> <li><i>When</i> the achievement was made</li> </ul> For each product please provide links if available.	The desired level of improvement to be reached at the end of the reporting period according to the National Programme Annual Work Plan	The actual level of performance reached at the end of the reporting period. Please provide a substantive assessment of the achievements of target to date, <b>no more than 100 words per output</b> . <u>An achievement is made when a goal is completed or attained successfully.</u> Examples of achievements are published reports or an operating monitoring system. Drafting Terms of Reference is <i>not</i> an achievement. <u>For each achievement please specify:</u> <ul style="list-style-type: none"> <li><i>What</i> was achieved</li> <li><i>Who</i> was involved</li> <li><i>When</i> the achievement was made</li> </ul> For each product please provide links if available.
Outcome 1: Capacity to manage REDD+ Readiness Strengthened.	Institutional framework to manage REDD+ Readiness adopted. ☑ Proportion of stakeholders perceiving the	No national REDD+ management and coordination ability or recognition	-Institutional framework to manage REDD+ Readiness adopted. - Proportion of stakeholders perceiving the REDD+ coordination unit as effective in implementing and	-The National REDD+ Coordination Unit was set up and functioning. National staffs (4 attached officials) have been officially assigned to the implementation of the UN-REDD Programme. In 2012, two international Technical Advisors (on	-1 steering committee, -1 advisory group, -1 multi sectoral committee and 5 working groups (legal, finance, strategy, MRV, Stakeholder	-A Multi-Sectoral Steering committee and Technical committee have been constituted. The technical committee is comprised of various line ministries such as the Ministry of Finance, Justice, Agriculture and Energy.

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	REDD+ coordination unit as effective in implementing and coordinating the REDD+ readiness process.		coordinating the REDD+ readiness process.	<p>overall REDD+ technical dimensions, and on MRV) were recruited and joined the REDD+ Coordination Unit. This support has facilitated the provision of strategic advice on overall programming management and implementation support.</p> <ul style="list-style-type: none"> <li>• The Coordination unit is working with the following stakeholders in the readiness phase: <ul style="list-style-type: none"> <li>(i) Civil society in the validation of consultancy reports;</li> <li>(ii) National Remote sensing center in training and backstopping provincial GIS units;</li> <li>(iii) CEEZ for developing GHG inventory and methodological approaches;</li> <li>(iv) Community Based Natural Resource Management Forum (CBNRMF) have been engaged in the Technical committee; and</li> <li>(v) Various line ministries such as the Ministry of Finance, Justice, Agriculture and Energy have also been part of the Technical Committee.</li> </ul> </li> <li>• A Multi-Sectoral Steering committee and Technical committee have been constituted.</li> <li>• The Zambia's National REDD+</li> </ul>	Engagement	

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				Coordination Unit regularly organizing meetings and events on REDD+ and related matters, participating in national and international activities, leading to increased capacity building and knowledge management, amongst others.		
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	<ul style="list-style-type: none"> <li>The REDD+ readiness institutional arrangements are in place with attached staff from the Forestry Department under the Ministry of Lands, Natural resources and Environmental Protection.</li> <li>Joint Steering Committee and Technical committee for the two major related forest management programmes in Zambia (namely ILUA-II and UN-REDD), have been established in order to enhance collaborative approach and promote the synergies between the two projects. The first joint steering committee meeting was held on 13<sup>th</sup> Feb for AWP2012 approval and the first Technical committee meeting for Q1/2012 review 27<sup>th</sup> April 2012. The two programmes have been collaborating strongly and the UN-REDD has provided technical and co-financing support to the ILUA project, and vice-versa.</li> <li>The National REDD+ Coordinator attended the UN-REDD Policy Board in the March 2012 meeting and</li> </ul>	-1 steering committee, 1 advisory group, 1 multi sectoral committee and 5 working groups (legal, finance, strategy, MRV, Stakeholder Engagement	<ul style="list-style-type: none"> <li>Joint Steering Committee and Technical committee for the two major forest management programmes in Zambia (namely ILUA-II and UN-REDD), have been established in order to enhance collaborative approach and promote the synergies between the two projects. The first joint steering committee meeting was held on 13<sup>th</sup> Feb for AWP2012 approval and the first Technical committee meeting for Q1/2012 review 27<sup>th</sup> April 2012. The two programmes have been collaborating strongly and the UN-REDD has provided technical and co-financing support to the ILUA project, and vice-versa.</li> </ul>

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				<p>contributed to the dialogue on the overall implementation of the UN-REDD programme. In addition, he shared lessons and experiences from Zambia whilst drawing on learn lessons from other countries to inform the Zambia programme.</p> <ul style="list-style-type: none"> <li>The National coordination team participated in several international-level specialized trainings served to enhance their capacities in REDD+.</li> </ul>		
Output 1.2. National REDD+ Readiness process integrated into the national development planning process.	1.2.1 National Climate Change Response Strategy with REDD+ Readiness Process in place and implemented. 1.2.2 Plans to integrate UNREDD+ mechanisms into National Development Plans in place.	'1 No '2 No	'1 Yes '2 Yes	<ul style="list-style-type: none"> <li>The setting up of this multi-sectoral climate change coordination unit provides a framework for integrating REDD+ issues across various sectors. Furthermore, the nomination of the REDD+ National Coordinator to serve on this multi sectoral technical committee will help facilitate stronger linkages between the REDD+ process and the overall climate change agenda. In addition, the Unit has provided comments for the current review of the draft agricultural policy and has identified entry points for integrating REDD+. Proposals have been made to integrate REDD+ into key sections of the draft policy notably: the policy objectives and policy measures.</li> <li>Finally, there are plans to integrate REDD+ into the Climate Change</li> </ul>	-1 Agreed framework with relevant institutions	<ul style="list-style-type: none"> <li>A multi-sectoral climate change coordination unit has been established by government and provides a framework for integrating REDD+ issues across various sectors. Furthermore, the nomination of the REDD+ National Coordinator to serve on this multi sectoral Technical Committee and the Climate Change Secretariat will help facilitate stronger linkages between the REDD+ process and the overall climate change agenda</li> </ul>

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				Policy and in the Forests Act.		
Output 1.3. Communication and advocacy strategy as input in overall climate change strategy developed and implemented.	1.3.1 REDD+ Communication Strategy developed. 1.3.2 Climate Change Communication and Advocacy Strategy with REDD readiness communication in place and implemented.			<ul style="list-style-type: none"> <li>A Stakeholder Assessment and Engagement Plan (under Outcome 2) has been developed based on analysis conducted in 9 Provinces, and it will provide the basis for the development of the Communication and Advocacy Strategy. The Terms of references for the communication strategy have been developed and ready for commissioning</li> </ul>	-1 Agreed Strategy	<ul style="list-style-type: none"> <li>The Terms of references for the development of the communication strategy have been developed and ready for commissioning</li> </ul>
Output 1.4. Mapping and gap analysis of relevant initiatives undertaken.	1.4.1 Report on gaps, on-going and Planned initiatives relevant to REDD+ available. 1.4.2 Lessons pertinent to implementing REDD+ Shared.	Report on gaps, on-going and planned initiatives relevant to REDD+ available		<ul style="list-style-type: none"> <li>A study is being conducted on past and ongoing REDD+ Initiatives relevant to REDD+ in Zambia. The results of the study are expected to be ready in the second quarter of 2013. The study is expected to provide potential activities and approaches in the design of REDD+ in Zambia as well as inform the development of the REDD+ strategy for Zambia. The lessons and experiences from this study will help ground truth key policy decisions and directions in the strategy.</li> </ul>	-Documentation of relevant initiatives in place	<ul style="list-style-type: none"> <li>A study is being conducted on past and ongoing REDD+ Initiatives relevant to REDD+ in Zambia. The study will provide potential activities and approaches in the design of REDD+ in Zambia as well as inform the development of the REDD+ strategy for Zambia</li> </ul>

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Outcome 2 Broad-based stakeholder support for REDD+ established.	Information sharing and coordination platform between UN-REDD+ process and stakeholders (NGOs, Other government departments, private sector and bilateral partners) established.	No	Yes	<ul style="list-style-type: none"> <li>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.</li> <li>A REDD+ training workshop for multi-sectoral provincial staff was held, as part of the multi-stakeholder event for joint learning and dialogue on REDD+, including a solid representation of field practitioners from the provinces. In addition, the draft stakeholder assessment and engagement plan will provide guidance to further stakeholder engagement activities that will be rolled out in 2013 and would advance the achievement of this outcome. A decentralized network of REDD+ practitioners have been established during 2012 and it is meant to become a platform for dialogue, consultations and stakeholder engagement in the continuation of the REDD+ process.</li> </ul>	-At least 1 platform supported; at least 6 trainers trained in all 10 provinces; REDD+ manuals, brochures, posters, booklets produced	<ul style="list-style-type: none"> <li>A REDD+ training workshop for multi-sectoral provincial staff was held, as part of the multi-stakeholder event for joint learning and dialogue on REDD+, including a solid representation of field practitioners from the provinces</li> </ul>
Output 2.1. Stakeholders engagement process functioning.	2.1.1 Report on the review of the stakeholder engagement process (including gaps identified) is completed	Report completed and disseminated Civil Society	'1. Yes '2. yes '3. Yes '4. '5.	<ul style="list-style-type: none"> <li>Stakeholder Assessments and Engagement Plan, with field surveys in each of the 10 provinces of Zambia was conducted in 2011 and finalized in 2012. The final</li> </ul>	<ul style="list-style-type: none"> <li>At least 1 platform supported; at least 6 trainers trained in all 10 provinces; REDD+ manuals, brochures,</li> </ul>	<ul style="list-style-type: none"> <li>Two REDD+ orientation workshops were conducted for key stakeholders. After conducting the "Training of Trainers" workshop in June 2012,</li> </ul>



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	<p>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>	has identified which institutions/representatives will form a core contact group with the UNREDD+ Programme	'6.	<p>document of Stakeholder assessment and engagement plan will be officially published and launched in early 2013.</p> <ul style="list-style-type: none"> <li>The work on the stakeholder engagement plan has facilitated increased knowledge and understanding of roles and responsibilities of key stakeholders. This work now provides a basis for the establishment of stakeholder advisory group, which would also become key in the development of the REDD+ strategy.</li> <li>Two REDD+ orientation workshops were conducted for key stakeholders. After conducting the "Training of Trainers" workshop in June 2012, provincial facilitation teams on climate change and REDD+ were established in all 10 provinces. These workshops were a follow-up training to the orientation workshop conducted earlier in June 2011. A total of 75 participants from various stakeholder groups attended the training. Out of these, half (40 participants) represented the 10 provinces in Zambia. There has therefore been a growing interest by the Provinces to increase awareness especially at the District</li> </ul>	posters, booklets produced	provincial facilitation teams on climate change and REDD+ were established in all 10 provinces. These workshops were a follow-up training to the orientation workshop conducted earlier in June 2011. A total of 75 participants from various stakeholder groups attended the training. Out of these, half (40 participants) represented the 10 provinces in Zambia. There has therefore been a growing interest by the Provinces to increase awareness especially at the District level. In essence, taking a decentralized approach to stakeholder engagement to ensure participation from a wider range of stakeholders as well as taking up the views reflected by many on REDD+. The interest has culminated in part of the 2013 work plan focusing awareness raising meetings and workshops for specific provinces

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				<p>level. In essence, taking a decentralized approach to stakeholder engagement to ensure participation from a wider range of stakeholders as well as taking up the views reflected by many on REDD+. The interest has culminated in part of the 2013 work plan focusing awareness raising meetings and workshops for specific provinces.</p> <ul style="list-style-type: none"> <li>A number of civil society organizations representing various stakeholders continued to attend the meetings organized by the REDD+ Coordination Unit. The civil societies cover a wide range of specialization including land, environment and natural resource management, Gender, Youths, Media. While there has been communication and collaboration between governmental and non-governmental stakeholders on REDD+ there has not been a formal collaboration established on specific issues on REDD+. It is expected that the Stakeholder engagement plan will help in designing the formal collaboration. As such, in 2013, the Coordination team intends to organize some Provincial awareness raising where civil society will take a lead role in</li> </ul>		

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				<p>facilitating these discussions as well as additional focused group discussions with civil society.</p> <ul style="list-style-type: none"> <li>A Civil Society consultative meeting was held with an aim of identifying civil society representatives to participate in the REDD+ readiness process. Civil Society identified which institutions/representatives would form a core contact group with the UNREDD+ Programme.</li> </ul>		
Output 2.2. Conflict resolution and redress mechanism reviewed.	2.2.1 Report on the review of existing conflict resolution mechanisms is completed and disseminated, and its recommendations implemented. 2.2.2 New conflict and arbitration mechanisms developed and in place.			<ul style="list-style-type: none"> <li>This task did not initiate as the REDD+ process is in an early stage. A review of existing conflict resolution mechanism will start in 2013. The outcomes of this work will provide elements for designing the REDD+ strategy. It is worth mentioning that in 2013, these outputs would be clustered, bundled and re-oriented in line with key revisions that have become imperative in the implementation of the work plan.</li> </ul>	<ul style="list-style-type: none"> <li>Current mechanisms reviewed and potential mechanisms asset</li> </ul>	<ul style="list-style-type: none"> <li>This task did not initiate as the REDD+ process is in an early stage. A review of existing conflict resolution mechanism will start in 2013</li> </ul>
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			<ul style="list-style-type: none"> <li>Activities will start in 2013 since this requires commissioning preliminary analytical work. The outcomes of this work will provide elements for designing the REDD+ strategy. It is worth mentioning that in 2013, these outputs would be clustered, bundled and re-oriented in line with key revisions that have become imperative in the implementation</li> </ul>	<ul style="list-style-type: none"> <li>To identify the gaps and assess existing options</li> </ul>	<ul style="list-style-type: none"> <li>Activities will start in 2013 since this requires commissioning preliminary analytical work. TOR's for this work have been developed and are ready for commissioning</li> </ul>

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				of the work plan.		
Output 3.1. Institutional capacity to implement REDD+ framework developed.	3.1.1 Report on human and financial capacity needs to address longer term institutional requirements to implement REDD+ completed and disseminated. 3.1.2 Partnership strategy to facilitate sourcing of additional financial resources for capacity building in place. 3.1.3 Number of agreements and MOUs for accessing additional financial resources in place. 3.1.4 Number of South_South cooperation learning tours			<ul style="list-style-type: none"> <li>A full assessment on institutional capacity will start in 2013. The outcomes of this work will provide elements for designing the REDD+ strategy. Nonetheless, the outcomes of the stakeholder assessment report has revealed some preliminary information on institutional capacity needs</li> </ul>	<ul style="list-style-type: none"> <li>To identify the gaps and assess existing options</li> </ul>	<ul style="list-style-type: none"> <li>TOR's for this work have been developed and are ready for commissioning.</li> </ul>

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Output 3.2. National REDD+ Strategy process integrated into the national development planning process.	3.2.1 National REDD+ Strategy developed through consultative process. 3.2.2 % of districts with development plans that have integrated REDD+ readiness mechanisms. 3.2.3 Monitoring framework for governance, social, economic and environmental impacts pertinent to REDD+ implementation is in place.			<ul style="list-style-type: none"> <li>A review of the current draft agricultural policy has been conducted. This has helped to identify entry points for integrating REDD+. Proposals have been made to integrate REDD+ into key sections of the draft policy notably: the policy objectives and policy measures.</li> <li>In addition, there are plans to integrate REDD+ into the Climate Change Policy and the Forestry Act.</li> <li>Finally, a series of analytical work would be completed in the coming months to serve as the basis for the development of the REDD+ strategy</li> </ul>	<ul style="list-style-type: none"> <li>Road map and framework for the REDD+ strategy developed in collaboration key stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>A review of the current draft agricultural policy has been conducted. This has helped to identify entry points for integrating REDD+. Proposals have been made to integrate REDD+ into key sections of the draft policy notably</li> </ul>
Out 3.3. Legislative framework to facilitate implementation of REDD+ strengthened.	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. 3.3.2 Report on legal review to establish the ownership of carbon in different land tenure systems completed and disseminated.			<ul style="list-style-type: none"> <li>FAO's Global UN-REDD team conducted in 2011 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.</li> <li>This above-mentioned study will be used as a baseline to conduct further assessments which will</li> </ul>	<ul style="list-style-type: none"> <li>Gaps identified in the preliminary study on legal preparedness;</li> <li>Specific studies related legal preparedness conducted;</li> </ul>	<ul style="list-style-type: none"> <li>FAO's Global UN-REDD team conducted in 2011 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</li> </ul>

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	3.3.3 Report on the appropriate regulatory process for developing, managing and monitoring carbon trading agreements completed and disseminated. 3.3.4 Report on necessary changes to policies and legislation for optimising REDD+ implementation completed and disseminated. 3.3.5 Action plan for Legal changes required to channel REDD+ finances in place. 3.3.6 Number of policies, laws, Acts and by-laws revised to incorporate REDD+ requirements.			strengthen the legislative framework to facilitate implementation of REDD+. In line with this, the 2013 work plan will look at ongoing REDD+ Initiatives to assess how the legal issues have been taken on board in the design and implementation of these initiatives. The objective is to draw from on the ground lessons and experiences to inform the REDD+ strategy development.		
Output 3.4. Mechanism to administrate and channel REDD+ finance established.	3.4.1 Report on options for channelling REDD+ finance, including the national budget and special fund mechanisms completed and disseminated. 3.4.2 Number of consultative meetings held 3.4.3 System for managing REDD+ finance			<ul style="list-style-type: none"> <li>Activities will be conducted in 2013 and Terms of Reference for this assignment is being concluded. The outcomes of this work will provide elements for designing the REDD+ strategy</li> </ul>	<ul style="list-style-type: none"> <li>Existing financial mechanisms identified and options for REDD+ Zambia assessed</li> </ul>	<ul style="list-style-type: none"> <li>TOR's for this assignment are being developed and will be ready for commissioning in the first quarter of 2013.</li> </ul>

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	established.					
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+</p>			<ul style="list-style-type: none"> <li>Activity will be conducted in 2013 and Terms of Reference for this assignment is being concluded. The outcomes of this work will provide elements for designing the REDD+ strategy</li> </ul>	<ul style="list-style-type: none"> <li>Existing benefit sharing mechanisms identified and options for REDD+ Zambia assessed</li> </ul>	<ul style="list-style-type: none"> <li>TOR's for this assignment are being developed and will be ready for commissioning in the first quarter of 2013.</li> </ul>

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	mechanism are in place.					
<p>Outcome 4: National REDD+ strategies identified.</p> <p>Outcome 4.1: Drivers of deforestation and forest degradation assessed</p> <p>Outcome 4.2: Candidate activities for REDD+ identified</p>	<p>4.1.1 Report on drivers of deforestation and forest degradation completed and disseminated (UNEP).</p> <p>4.1.2 Key national, provincial, district and community level agencies responsible for addressing the drivers of deforestation and forest degradation identified and oriented (FAO).</p> <p>4.2.1 Identify global best practices and benchmarking for forest management and REDD+ activities, and tailor practices to Zambia suitable activities are identified (FAO).</p> <p>4.2.2 Multiple benefits of REDD+ implementation identified and mapped (UNEP).</p> <p>4.2.4 Expert consultations on</p>	Some limited studies related to charcoal production and other drivers of deforestation are available.	Comprehensive understanding of the drivers of deforestation, and the identification of REDD+ interventions.	<ul style="list-style-type: none"> <li>A number of assessments, data collection and analytical work have been completed; they will provide, along some complementary analytical work, the basis to identify the REDD+ strategic options during 2013.</li> <li>Consultancy reports under 4.1.2 and 4.2.1 were completed; peer reviewed, and validated. Policy Briefs were created summarizing the most important outcomes of               <ol style="list-style-type: none"> <li>Forest Management Practices with Potential for REDD+ in Zambia</li> <li>Preliminary study on drivers of deforestation &amp; potential for REDD+ in Zambia</li> </ol> </li> <li>A more detailed study of Drivers of Deforestation and identification of threatened forests in Zambia will be conducted in 2013.</li> <li>International consultant recruited to guide the process so as to ensure that reports reflected international "best practice" for a strong REDD+ strategy for Zambia.</li> </ul>	<ul style="list-style-type: none"> <li>Drivers of deforestation and forest degradation assessed.</li> </ul>	<ul style="list-style-type: none"> <li>A number of assessments, data collection and analytical work have been completed; these will provide, along some complementary analytical work, the basis to identify the REDD+ strategic options during 2013.</li> </ul>



Expected Results (Outcomes)	Indicators	Baseline	Overall progress (Cumulative achievements)		Progress Against Annual Targets (Achievements gained in the reporting period)	
			Overall National Programme Expected Target	Cumulative Progress Towards the Overall Target	Expected Annual Target (According to the annual work plan)	Achievements of the Annual Target (Outcome or Output)
	development of a framework addressing opportunity costs for key stakeholders as well as cost abatement curves and follow up actions completed (UNEP).  4.2.5 Relevant global level initiatives are incorporated into national REDD+ strategy and national Development planning process (UNEP).			<ul style="list-style-type: none"> <li>The consultancy was jointly funded by FAO and UNEP under a letter of agreement.</li> <li>FAO is implementing activities related to multiple benefits of REDD+, evidence based alternative livelihoods, and relevant national REDD+ initiatives on behalf of UNEP through a letter of agreement. The activities have been incorporated into either the TOR for "Detailed study of Drivers of Deforestation and identification of threatened forests in Zambia"</li> </ul>		
Outcome 5: MRV capacity to implement REDD+ strengthened.	Operational MRV system.	Very limited understanding of MRV in government and stakeholders.	Capacity to implement a basic MRV system.	<ul style="list-style-type: none"> <li>A Technical Advisor for Measurement, Reporting and Verification (MRV) was recruited and Two field vehicles (Land cruisers) were acquired to support field activities such as; Provincial GIS training, GPS training, Maintenance of provincial GIS labs, testing forest carbon measurements in ILUA II, conducting field work for drivers of deforestation and economic analysis of REDD+.</li> </ul>	<ul style="list-style-type: none"> <li>REDD+ integrated with existing forestry inventory system (ILUA 1).</li> </ul>	<ul style="list-style-type: none"> <li>A Technical Advisor for Measurement, Reporting and Verification (MRV) recruited to support the process.</li> </ul>
5.1 REDD+ integrated with forestry inventory system (ILUA)	5.1.1 Full fungibility with the ILUA data base and information system provided	No integration between ILUA II and UN-REDD	Fully integrated and complimentary work streams in UN-REDD and ILUA II.	<ul style="list-style-type: none"> <li>ILUA and UN-REDD Programme worked jointly on various activities that are common or have common goals.</li> </ul>	<ul style="list-style-type: none"> <li>REDD+ integrated with existing forestry inventory system (ILUA 1).</li> </ul>	<ul style="list-style-type: none"> <li>ILUA and UN-REDD Programme worked jointly on various activities that are common or have common goals.</li> </ul>

Expected Results (Outcomes)	Indicators	Baseline	Overall progress (Cumulative achievements)		Progress Against Annual Targets (Achievements gained in the reporting period)	
			Overall National Programme Expected Target	Cumulative Progress Towards the Overall Target	Expected Annual Target (According to the annual work plan)	Achievements of the Annual Target (Outcome or Output)
	5.1.2 Environmental data are integrated with socio economic data  5.1.3 ILUA data management improved			<ul style="list-style-type: none"> <li>Communication materials on MRV were prepared during the year and distributed during various meetings and functions.</li> <li>These activities are dependent on ILUA 1 database creation, and have commenced. It is expected that the ILUA 1 database will be constructed in 2013, at which point these activities will commence.</li> </ul>		<ul style="list-style-type: none"> <li>Communication materials on MRV were prepared during the year and distributed during various meetings and functions</li> </ul>
5.2 Operational Forest Management institutionalized	5.2.1. A cell for geographical information analysis and personnel training is established.  5.2.2. A geographical explicit database for all types of land use information is established and populated.  5.2.3. Review, identify and collect remote sensing data for MRV activities in Zambia.  5.3.4. An end user interface for database management and queries is designed and implemented.  5.2.5. Support tools for	No Forest Monitoring System in Zambia.	Operational Forest Monitoring System in Zambia responding to REDD information needs.	<ul style="list-style-type: none"> <li>Needs assessment for provincial GIS units completed and cross-sectoral provincial GIS units established and housed in Provincial Forestry Department offices.</li> <li>Hardware (Desktop computers, scanner, plotter, and printer) and Software (ArcGIS 10) for GIS units was procured and installed in provincial GIS units and complete spatial datasets for Zambia deployed to GIS units.</li> <li>Modules for GIS training of provincial and Lusaka staff developed in collaboration with the Zambian National Remote Sensing Centre (NRSC and used to train 47 provincial and Lusaka based staff from various government departments and NGOs.</li> <li>Full training in MRV was provided</li> </ul>	<ul style="list-style-type: none"> <li>Operational Forest Monitoring System established and institutionalized</li> </ul>	<ul style="list-style-type: none"> <li>Modules for GIS training of provincial and Lusaka staff developed in collaboration with the Zambian National Remote Sensing Centre (NRSC and used to train 47 provincial and Lusaka based staff from various government departments and NGOs.</li> <li>Full training in MRV was provided during the MRV and GHG. 6 Staff from Forestry Department, Lands Department and NRSC were also trained in the implementation of the Brazilian Forest Monitoring System (TerraAmazon) at the National Institute for Space Research (INPE) in Belem, Brazil .The training was key in ensuring a thorough understanding of the system and implementation of the system for Zambian remote sensing data.</li> </ul>

Expected Results (Outcomes)	Indicators	Baseline	Overall progress (Cumulative achievements)		Progress Against Annual Targets (Achievements gained in the reporting period)	
			Overall National Programme Expected Target	Cumulative Progress Towards the Overall Target	Expected Annual Target (According to the annual work plan)	Achievements of the Annual Target (Outcome or Output)
	<p>REDD+ policies and measurements is selected.</p> <p>5.2.6. Linkages with regional geographical information systems are established.</p>			<p>during the MRV and GHG. 6 Staff from Forestry Department, Lands Department and NRSC were also trained in the implementation of the Brazilian Forest Monitoring System (TerraAmazon) at the National Institute for Space Research (INPE) in Belem, Brazil .The training was key in ensuring a thorough understanding of the system and implementation of the system for Zambian remote sensing data.</p> <ul style="list-style-type: none"> <li>• Provincial GIS units became operational in the 3rd quarter of 2012, and as a combined entity became the Zambian Decentralized National Forest Monitoring System capable of collecting real-time data on deforestation and degradation in the provinces.</li> <li>• A publication on the Zambian Decentralized National Forest Monitoring System was written by the UN-REDD team, and published by the UN-REDD secretariat as a UN-REDD success story.</li> <li>• GIS data for Zambia was compiled by the NRSC and was combined with spatial data available in the Forestry Department</li> </ul>		<ul style="list-style-type: none"> <li>• Provincial GIS units became operational in the 3rd quarter of 2012, and as a combined entity became the Zambian Decentralized National Forest Monitoring System capable of collecting real-time data on deforestation and degradation in the provinces.</li> <li>• A publication on the Zambian Decentralized National Forest Monitoring System was written by the UN-REDD team, and published by the UN-REDD secretariat as a UN-REDD success story.</li> <li>• Zambian remote sensing technicians from NRSC, Zambia Survey Department, and Forestry Department collaboratively carried out land cover classification for 2000 and 2010 (using Landsat data) at the Regional Centre for Mapping Resources for Development (RCMRD) in Nairobi. This was a joint activity undertaken by RCMRD and the UN-REDD program in Zambia. The outcome from this analysis will be accurate land cover maps for Zambia for the years 2000 and</li> </ul>

Expected Results (Outcomes)	Indicators	Baseline	Overall progress (Cumulative achievements)		Progress Against Annual Targets (Achievements gained in the reporting period)	
			Overall National Programme Expected Target	Cumulative Progress Towards the Overall Target	Expected Annual Target (According to the annual work plan)	Achievements of the Annual Target (Outcome or Output)
				<ul style="list-style-type: none"> <li>• In consultation with INPE (in Belem, Brazil), historical and current remote sensing (RS) data applicable to MRV in Zambia was identified.</li> <li>• Identified RS data was acquired at Rome HQ consisting of Landsat data coverage for Zambia for 1990, 1995, 2000, 2005, and 2010.</li> <li>• Zambian remote sensing technicians from NRSC, Zambia Survey Department, and Forestry Department collaboratively carried out land cover classification for 2000 and 2010 (using Landsat data) at the Regional Centre for Mapping Resources for Development (RCMRD) in Nairobi. This was a joint activity undertaken by RCMRD and the UN-REDD program in Zambia. The outcome from this analysis will be accurate land cover maps for Zambia for the years 2000 and 2010. These maps will provide important inputs for the development of a reference emission level for Zambia.</li> <li>• Activity dependent on ILUA database creation, and has not been commenced. It is expected that the ILUA database will be constructed in 2013, at which point this activity can be commenced</li> </ul>		<p>2010. These maps will provide important inputs for the development of a reference emission level for Zambia.</p> <p>Activity dependent on ILUA database creation, and has not been commenced. It is expected that the ILUA database will be constructed in 2013, at which point this activity can be commenced</p> <ul style="list-style-type: none"> <li>• Consultations on inclusion in ILUA II of forest carbon stock measurements completed. The UN-REDD team participated in a field visit to ILUA plots to assess the feasibility of ILUA II measurements</li> <li>• -A consultancy on soil organic carbon measurements for MRV in Zambia (integrated into ILUA II) completed.</li> <li>• Forest carbon stock measurements for above-ground, litter, coarse woody debris, and soil organic carbon have been included in ILUA II field measurements</li> </ul>

Expected Results (Outcomes)	Indicators	Baseline	Overall progress (Cumulative achievements)		Progress Against Annual Targets (Achievements gained in the reporting period)	
			Overall National Programme Expected Target	Cumulative Progress Towards the Overall Target	Expected Annual Target (According to the annual work plan)	Achievements of the Annual Target (Outcome or Output)
				<ul style="list-style-type: none"> <li>• Consultations on inclusion in ILUA II of forest carbon stock measurements completed. The UN-REDD team participated in a field visit to ILUA plots to assess the feasibility of ILUA II measurements</li> <li>• A consultancy on soil organic carbon measurements for MRV in Zambia (integrated into ILUA II) completed.</li> <li>• Forest carbon stock measurements for above-ground, litter, coarse woody debris, and soil organic carbon have been included in ILUA II field measurements</li> <li>• The UN-REDD team participated in ILUA II training of field teams. The training was key in the measurements of north western province</li> </ul>		
5.3: Greenhouse gas emissions and removals from forest lands estimated and accurately reported	5.3.1 A fully compliant UNFCCC/IPCC greenhouse gas inventory is developed.  5.3.2 Training courses on greenhouse gas inventory methodology and IPCC Good practice Guidelines is developed	Two National Communications on GHG at Tier 1 (IPCC reporting accuracy)	A Tier II greenhouse reporting system for Forest Lands, and Land Use, Land Use Change and Forestry.	<ul style="list-style-type: none"> <li>• Construction of an MRV road map commenced during the MRV and GHG workshop.</li> <li>• Training materials and manual for Greenhouse Gas (GHG) Inventory training completed and used for training of stakeholders.</li> <li>• Report on the development of a</li> </ul>	<ul style="list-style-type: none"> <li>• Greenhouse gas emissions and removals from forest lands estimated and reported</li> </ul>	<ul style="list-style-type: none"> <li>• Report on the development of a UNFCCC compliant GHG reporting system for forest lands; "Generating an IPCC compliant GHG reporting methodology for Forest Lands in Zambia" is being technically reviewed and will be validated in 2013</li> </ul>

Expected Results (Outcomes)	Indicators	Baseline	Overall progress (Cumulative achievements)		Progress Against Annual Targets (Achievements gained in the reporting period)	
			Overall National Programme Expected Target	Cumulative Progress Towards the Overall Target	Expected Annual Target (According to the annual work plan)	Achievements of the Annual Target (Outcome or Output)
	and delivered			UNFCCC compliant GHG reporting system for forest lands; "Generating an IPCC compliant GHG reporting methodology for Forest Lands in Zambia" is being technically reviewed and will be validated in 2013.		
Outcome 6: Assessment of REL and RL undertaken.	Reference Emission Level	No Reference Emission Level for Zambia.	Draft Reference Emission Level for Zambia.			
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	Basic report on forest carbon stocks was completed in 2009. Need baseline information on the 5 IPCC forest carbon pools for Zambia	Baseline information on the 5 IPCC forest carbon pools for Zambia.	<ul style="list-style-type: none"> <li>Consultancy report for Zambian historical forest area change and historical GHG emissions completed and peer reviewed.</li> <li>A detailed analysis of greenhouse gas reporting for forest lands, reference emission levels, and emission factors has been launched "Generating an IPCC compliant GHG reporting methodology for Forest Lands in Zambia".</li> <li>A south to south training workshop of -Zambian and Tanzanian UN-REDD technical teams on Allometric relationships for Zambian forests conducted.</li> <li>Zambian UN-REDD technicians participated in CD-REDD Programme on GHG Inventories and data processing workshops using the ALU GHG reporting software.</li> </ul>	<ul style="list-style-type: none"> <li>Historical rates of forest area and carbon stock changes reviewed</li> </ul>	<ul style="list-style-type: none"> <li>Consultancy report for Zambian historical forest area change and historical GHG emissions completed and peer reviewed.</li> <li>Zambian UN-REDD technicians participated in CD-REDD Programme on GHG Inventories and data processing workshops using the ALU GHG reporting software</li> </ul>

Expected Results (Outcomes)	Indicators	Baseline	Overall progress (Cumulative achievements)		Progress Against Annual Targets (Achievements gained in the reporting period)	
			Overall National Programme Expected Target	Cumulative Progress Towards the Overall Target	Expected Annual Target (According to the annual work plan)	Achievements of the Annual Target (Outcome or Output)
6.2 National circumstances assessed	<p>6.2.1 The opportunity cost of land providing REDD + benefits in relation to other land uses.</p> <p>6.2.2 National socio economic condition assessed.</p> <p>6.2.3 Needs and resources for sustainable development assessed.</p> <p>6.2.4 Report on expected trends on forest area changes completed.</p> <p>6.2.5 Assessment of economic data on other sectors relevant to deforestation completed.</p> <p>6.2.6 The most threatened forests identified and mapped.</p> <p>6.2.7 Other forest co benefits assessed and mapped</p>	Some basic understanding of National Circumstances in Zambia. No studies on opportunity cost. Needs detailed and specific studies to provide input into the REDD+ strategy.	Understanding of National Circumstance for REDD+	<ul style="list-style-type: none"> <li>A detailed analysis of the opportunity cost of REDD+ has been launched "Assessing the economic context of REDD+ in Zambia". Inception report has been validated. Field work will be done in conjunction with the drivers of deforestation.</li> <li>Capacity building of the UN-REDD team in the concept of opportunity cost occurred at two departmental workshop.</li> <li>Activities to determine the expected trends in forest areas changes were incorporated into the detailed analysis of drivers of deforestation; "Detailed study of Drivers of Deforestation and identification of threatened forests in Zambia". An inception report for planned work under this activity was validated by stakeholders.</li> <li>Activities to determine the economic data on sectors relevant to deforestation were incorporated into the analysis of the opportunity cost of --REDD+; "Assessing the economic context of REDD+ in Zambia". An inception report for planned work under this activity was validated by stakeholders.</li> </ul>	<ul style="list-style-type: none"> <li>National circumstances assessed.</li> </ul>	<ul style="list-style-type: none"> <li>A detailed analysis of the opportunity cost of REDD+ has been launched "Assessing the economic context of REDD+ in Zambia". Inception report has been validated. Field work will be done in conjunction with the drivers of deforestation.</li> </ul>

Expected Results (Outcomes)	Indicators	Baseline	Overall progress (Cumulative achievements)		Progress Against Annual Targets (Achievements gained in the reporting period)	
			Overall National Programme Expected Target	Cumulative Progress Towards the Overall Target	Expected Annual Target (According to the annual work plan)	Achievements of the Annual Target (Outcome or Output)
				<ul style="list-style-type: none"> <li>Activities to determine the most threatened forests and to map forest co-benefits have been incorporated into the detailed analysis of drivers of deforestation; “Detailed study of Drivers of Deforestation and identification of threatened forests in Zambia”.</li> </ul>		



### 1.1 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 OUTCOME	UN ORGANISATION	IMPLEMENTATION PROGRESS			
		Amount Transferred by MPTF to Programme (A)	Cumulative Expenditures up to 31 December 2012		
			Commitments (B)	Disbursements (C)	Total Expenditures (D) B+C
Outcome 1: Capacity to manage REDD+ Readiness Established	FAO				
	UNDP	724,433	-	423,246	423,246
	UNEP	63,547	-		
<b>Sub-total</b>		<b>783,823</b>	-	<b>423,617</b>	<b>423,617</b>
Outcome 2: Broad based stakeholder for REDD+ established	FAO		-		
	UNDP	427,089	-	242,863	242,863
	UNEP		-		
<b>Sub-total</b>		<b>427,089</b>	-	<b>242,863</b>	<b>243,863</b>
Outcome 3: National governance framework and institutional capacities for the implementation of REDD+ strengthened	FAO				
	UNDP	201,747	-	2,579	2,579
	UNEP		-		
<b>Sub-total</b>		<b>201,747</b>	-	<b>2,579</b>	<b>2,579</b>
Outcome 4: National REDD+ strategies identified	FAO	102,000	-	75,623	75,623
	UNDP		-		
	UNEP	56,458	-	39,055	39,055
<b>Sub-total</b>		<b>154,765</b>	-	<b>114,678</b>	<b>114,678</b>
Outcome 5: MRV capacity to implement REDD+ strengthened	FAO	1,278,275	20,549	767,596	788,145

	UNDP		-		
	UNEP				
<b>Sub-total</b>		<b>1,278,275</b>	<b>20,549</b>	<b>767,596</b>	<b>788,145</b>
Outcome 6:Assessment of Reference Emission Level (REL) and Reference Level (RL) undertaken	FAO	607,974	1,820	347,720	349,440
	UNDP				
	UNEP				
<b>Sub-total</b>		<b>607,972</b>	<b>1,820</b>	<b>347,720</b>	<b>349,440</b>
	<b>FAO (Total):</b>	1,988,247	22,369	1,190,939	1,213,308
	<b>UNDP (Total):</b>	1,353,269	0	668,688	668,688
	<b>UNEP (Total):</b>	120,005	0	39,055	39,055
	<b>Grand TOTAL:</b>	<b>3,461,521</b>	<b>22,369</b>	<b>1,898,682</b>	<b>1,921,051</b>

### 1.2.1 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 <sup>1</sup>	Name of co-financer	Type of co-financing <sup>2</sup>	Amount (US\$)
GRZ In-kind	Government of the Republic of Zambia	In-kind costs of 4 attached government officers and office space and running costs of the UN-REDD Unit in the MLNREP	\$100,000

### 1.2.2 Additional finance for national REDD+ efforts catalyzed by the National Programme

Name of financer	Description	Amount (US\$)
None		

## 1. 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.

### 1.1 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.

#### 1.1.1 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).

Progress has been on an accelerating pace. Year 2012 was a year with tangible progress in most of outputs, plus the basis for a smooth national REDD+ process are now in place. 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 required more complex logistics. The new Minister of Lands, Natural Resources and Environmental Protection sees the need for REDD+ process to be broader and to engage in partnerships and facilitation of cross-sector dialogue with other key ministries (such as Agriculture, Roads, Mines and Energy, Local Government), including private sector, so in the post-Rio+20 context such calls for cross-sector dialogue and cooperation for climate action will hopefully lead into more tangible actions.

<sup>1</sup> 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.

<sup>2</sup> Indicate if co-financing is in-kind or cash.

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

**a. Stakeholder engagement:**

- a. High level commitment by Government. The government is demonstrating this commitment by considering REDD+ under the Economic Sub-committee of Cabinet chaired by the President. The aim is to use existing structures to position REDD+ at the highest political level rather than creating new ones.
- b. Awareness and Capacity building decentralized to all the 9 provinces
  - Training of Trainers conducted at provincial level which included multi-sectoral teams. The teams established to act as torch bearers

**b. Development of Forest Monitoring System**

- a. Decentralising the forest monitoring system in 10 provinces that have operational Forest Monitoring Laboratories manned by cross-sectoral technicians
- b. Building extensive capacity building of technicians in GIS, GPS, MRV, and GHG reporting
- c. Collecting real-time deforestation data by empowered provincial staff at the labs

The above-mentioned has greatly improved the ability of provincial staff to practice effective forest stewardship in the provinces, creating a win-win situation for MRV reporting and improved forest management

**c. Measurement, Reporting and Verification (MRV) System Developments**

- a. Development of Roadmap for MRV framework;
- b. Training Manuals for MRV and GHG Reporting to support REDD+ in Zambia;
- c. Development of National Land cover Maps for Zambia (1990, 200, 2010) in conjunction with Regional Centre for Mapping of Resources for Development- Kenya
- d. Green House Gas Reporting Methodology;
- e. Zambia participating in CD-REDD Programme on GHG Inventories;
- f. Zambia participating in Data processing using ALU Software

**d. Studies Undertaken to ground the building of the national REDD+ Strategy**

Conducted studies in the following to prepare informed decisions when developing National Strategy:

- Legal Preparedness for REDD+
- Stakeholder Assessment and Engagement Plan
- Preliminary Study on Drivers of Deforestation
- Assessment of previous, ongoing and planned forest management activities with potential for REDD+
- Drivers of Deforestation and threatened forest

- Economic Context of REDD+
- Past and current practices related to REDD+
- Green House Gases Inventory and Reporting methodology
- Development of Reference Emission Levels
- Soil Survey Design and Methodology Development
  - Support for estimation soil organic carbon- linked to ILUA II

**1.1.2 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)**

A national-level stakeholder engagement process has been put in place, as required in REDD+ processes and in climate-change endeavors, to ensure a more open and consultative engagement across ministries, local authorities, civil society forces and community representatives.

A number of trainings and dialogue events have been supported through 2011-2012, as well as the training of provincial officials and local practitioners in broad REDD+ issues as well as on MRV in 2012, crafting a set of 'provincial facilitation teams for climate change and REDD+' in each of the country's 9 provinces, allowing Zambia an innovative and pioneer decentralized approach to REDD+.

**1.1.3 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)

**1.1.4 If boxes are checked under 2.1.3, please briefly describe any current *internal* difficulties<sup>3</sup> the National Programme is facing in relation to the implementation of the activities outlined in the National Programme Document. (200 words)**

**Coordination with and within the Government:**

It is difficult for governmental agencies to foster and follow inter-ministerial coordination – as REDD+ requires – and also be accountable because only the Ministry of Finance and the Cabinet office can hold other ministries accountable.

There follows next a description of some of these factors.

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<sup>3</sup> Difficulties confronted by the team directly involved in the implementation of the National Programme

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

The process of formalization of the Joint Steering Committee 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 Community Development has been processed. It is expected that formalization of the Technical Committee will be concluded in due course.

b. **Procurements:** The process of procurement is cumbersome. It takes too long to recruit and hire consultants.

The programme design is considered too cumbersome and misleading for implementation. Accordingly a strategic review to be conducted by mid-2013 will look at this and explore options for a simplified work-plan and budget until the end of implementation, which yields results under an easier framework to follow and assess.

**1.1.5 If boxes are checked under 2.1.3, please briefly describe any current *external* difficulties<sup>4</sup> (not caused by the National Programme) that delay or impede the quality of implementation. (200 words)**

Year 2012 entailed a restricting of Government and launching of new, ambitious national programmes (such as one on reforestation). This slowed down implementation and coordination.

**1.1.6 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)**

**One UN:** Common principles and working procedures for participating U.N. agencies to Deliver as One were clearly established by the UN Resident Coordinator, and have helped substantially this implementation and management aspect. The close work of UN officials with the national REDD+ team is also yielding results, and shall continue.

**Coordination with and within the Government:** The change in government and new leadership, also at Minister and Permanent secretary levels was handled with a new round of briefings and familiarization of the REDD programme and engendering new support for it, which is now achieved. A crucial Government & UN-REDD retreat for planning and coordination purposes is scheduled for early 2013.

## **1.2 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".

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

☒ Yes ☐ No

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

☐ Yes ☐ No

**If not, please explain:**

**1.2.2 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:**

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<sup>4</sup> Difficulties confronted by the team caused by factors outside of the National Programme

Quarterly review meetings are regularly held and their deliberations are of quality and affect positively coordination and management. The presence of a new international specialist (for MRV) and the deployment of an international advisor are seen as crucial to further refine coordination.

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

☒ Yes ☐ No

If not, please explain:

### **1.3 Ownership<sup>5</sup> 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.

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

☐ No ☒ Some ☐ Yes

Please explain:

As also pointed regionally, a slow pace of delivery at the onset of climate and REDD+ programmes is seen across the region and also world-wide. REDD+ is a new topic, which requires both complex analysis and participatory consultations, and also entails a new set of cross sector capacities and change in mind-set that does not happen overnight. The investment in such significant transformations and shifting gear on old development practice requires time and patience if they are to truly be grounded and sustained.

The UN team in Zambia has been fully engaged in each of the implementation steps, but recognized the ownership builds up until the base capacities and partnerships are in place. The UN combined team, and particularly UNDP and FAO, both in Zambia and at regional level, are very hands-on, engaging and supporting the Forestry Department.

There is need for expanding REDD+ work across sectors, ministries and civil society forces to achieve all intended outcomes of a REDD+ process. The REDD+ work remains still too restricted to the REDD+ team of the forestry ministry and selected civil society stakeholders.

**1.3.2 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 guidelines were not available when the programme was designed, but now are considered a good guidance and used. The Trainers of REDD+ have been trained and informed on how to use both guidelines. The REDD+ Readiness process is kept very transparent by involving Civil Society in the decision making and review processes. The Guidelines will be implemented as the programme evolves.

**1.3.3 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:

Trainings, policy dialogues, review of studies and the like are fully participatory. Programme

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<sup>5</sup> Ownership refers to countries exercising effective leadership over their REDD+ policies and strategies, and co-ordination of actions.

management can still be more participatory (this is an area for improvement in 2013).

- 1.3.4 Based on your previous answers, briefly describe the current situation of the government and non-government stakeholders in relation to ownership and accountability<sup>6</sup> 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. The engagement will be stronger when the Stakeholder engagement plan will be fully implemented.

## 2. 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.

- 1.2.3 Number of MRV and monitoring related focal personnel with increased capacities:**

☒ Women Total No 20

☒ Men Total No 27

**Comments: information not applicable yet.**

Trained 47 people in MRV. 20 women and 27 men.

- 1.2.4 Does the country have a functional MRV and monitoring system in place?**

☐ Yes ☒ Partially ☐ No ☐ Not applicable at this stage

**Comments:**

Work in progress, with a decentralized approach.

- 1.2.5 Does the country have nationally owned governance indicators, developed through a participatory governance assessment?**

☐ Yes ☐ Partially ☐ No ☒ Not applicable at this stage

**Comments:**

- 1.2.6 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:**

- 1.2.7 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:**

- 1.2.8 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. ....

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<sup>6</sup> 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.



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

N/A

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

Total No. around 4 major consultation processes (Dialogue with national REDD+ team; REDD+ Orientation workshops with a focus on provincial-level stakeholders; stakeholder assessment & planning exercise; and consultations for the ongoing studies and technical tasks).

**Comments:**

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

**1.2.10 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:**

**1.2.11 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:**

**1.2.12 Country applying safeguards for ecosystem services and livelihood risks and benefits:**

☐ Yes ☐ Partially ☐ No ☒ Not applicable at this stage

**Comments:**

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

☐ Yes ☒ Partially ☐ No ☐ Not applicable at this stage

**Comments:** There is awareness on their existence and they will be used as methodological tool to build the social & environmental safeguards system for REDD+ in due course.

**1.2.14 REDD+ benefit distribution system contributes to inclusive development<sup>7</sup>, with specific reference to pro-poor<sup>8</sup> policies and gender mainstreaming<sup>9</sup>:**

☐ Yes ☐ Partially ☐ No ☒ Not applicable at this stage

**Comments:**

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<sup>7</sup> 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.

<sup>8</sup> 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.

<sup>9</sup> 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.

**1.2.15 Country adopting multiple benefit decision tool kit:**

☐ Yes ☐ Partially ☐ No ☒ Not applicable at this stage

**Comments:**

**1.2.16 National or sub-national development strategies incorporate REDD+ based investments as means of transformation of relevant sectors<sup>10</sup>:**

☐ Yes ☐ Partially ☐ No ☒ Not applicable at this stage

**Comments:**

**1.2.17 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:**

### **3. 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 Zambian REDD+ process followed a consultative process aimed at generating data/information for decision making. Zambia progressed actively in key components of the National Programme, notably the Forest Monitoring and MRV system, opportunity costs, co-benefits, an in-depth analysis of drivers of deforestation and land cover mapping as well as completing an assessment and plan for the engagement of stakeholders. Zambia has established and trained a network of provincial REDD+ teams, composed of both governmental and non-governmental stakeholders, which aims at ensuring a local rooting of the REDD+ process.

### **Other stakeholders (non-government) Information**

The aim of this section is to allow non-Government stakeholders to provide their assessment, as well as additional and complimentary information to Section 1-2 which are filled out by the three participating UN organizations. Please request a summary from existing stakeholder committees or platforms.

**Comments by other stakeholders (non-government):**

The Zambian REDD+ process engaged civil society groups as part of preparedness phase. The Zambia CBNRM Forum with more than 150 members participated in all stakeholders meetings and training of trainers workshop. There was involvement of Civil society groups in developing terms of references for studies and validation workshops specifically on Forest Monitoring and MRV system, opportunity costs, co-benefits, an in-depth analysis of drivers of deforestation and land cover mapping.

However we strongly feel there is a need for developing a community based monitoring system of REDD+ programmes in Zambia.

<sup>10</sup> Relevant sectors denote those that are related to forests and land use, e.g. including energy, agriculture, mining, transport and land use planning.

