



Zambia’s Context-assessment and proposal support for National Climate Change Capacity Building Programme

Brief description of potential or relevant linkages with UNDAF and CP outcomes

(a) UNDAF Outcome: *Climate Change, Environment and Disaster Risk Reduction and Response.* It is expected that by the end of the UNDAF period, institutional capacities will have been developed for effective sustenance, management and protection of livelihoods from the risks of climate change, disasters and environmental degradation.

(b) CP Outcome: *Strengthened capacity of government to promote and support climate change adaptation and mitigation with appropriate measures to protect land-related sectors against climate change.* Support will be directed at: **(i)** ensuring legal frameworks/policies are climate sensitive in the agriculture and forest sectors; **(ii)** encouraging small-scale farmers to adopt more climate-resilient land management and agric practices; **(iii)** supporting govt in accessing non-ODA resources to benefit women and the most vulnerable and marginalized groups; **(iv)** supporting the implementation of the UNREDD+ to enable Zambia to be compensated for reduced emissions from deforestation and forest degradation; **(v)** contributing towards the increasing of public awareness of environmental and natural resource considerations, including enhancement of women’s engagement; **(vi)** particularly at the community level, with a view to changing practices and offering alternatives and **(vii)** supporting the national implementation of key environmental conventions.

Country Programme Period: 2011-2015
Programme Component: *National climate change capacity-building programme (NCCCBP)*
Programme Title: Zambia context-assessment for the preparation of the *NCCCBP* proposal
PIMS NO: 4793
Award ID: **00061806**
Project ID: **00078575**
Programme Duration: 3 months
Management Arrangement: NEX- Ministry of Tourism, Environment and Natural Resources

Total budget: USD 30,000
EU-UNDP Global Programme Allocation: USD 30,000

AGREED BY:

MTENR:

..... Signature..... Date.....
PERMANENT SECRETARY

UNDP:

..... Signature..... Date

COUNTRY DIRECTOR



**UNITED NATIONS DEVELOPMENT PROGRAMME
EU-UNDP Climate Change Capacity Building Programme**

Funding request for preparation National Climate Change Capacity Building Programme proposal in the framework of the EU-UNDP Climate Change Capacity Building Programme

Country: Zambia

Project Title: Preparation of Zambia's National Climate Change Capacity Building Programme

Financing of context-assessment exercise US\$30,000

Implementing Agency: UNDP

Executing Agency: Ministry of Tourism, Environment and Natural Resources

Estimated Starting Date of activities of National Climate Change Capacity Building Programme: Indicate expected month when the Programme Proposal will be completed January 2012

Estimated Starting Date of activities of preparation of the National Climate Change Capacity Building Programme: **Start:** July 2011
End: September 2011

1. OBJECTIVE OF THE CONTEXT-ASSESSMENT EXERCISE

UNDP's and Government experience in supporting sustainable development shows that the most important success factor is alignment of proposed activities with national and local priorities. To be effective, Zambia's climate change capacity building programme (hereafter 'the programme') must support Zambia's socio-economic and human development efforts.

The context-assessment exercise has two symbiotic streams:

- A stocktaking and review aimed at identifying previous and current strategy and policy documents, activities and programmes, as well as engage stakeholders relevant to the implementation of the programme. The stocktaking should encompass all relevant national activities, not restricted to UNDP or the host government.
- Consultations with (a) relevant stakeholders in government ministries and agencies and in key sectors of private industries; (b) the domestic donor and development partners community; and (c) civil society.

The context assessment will assist the national team responsible for the preparation of the programme (hereafter 'the team') to:

- Conduct a systematic analysis of relevant work ongoing and previously carried out;
- Identify results, lessons learned, areas of capacity that can be built from, as well as gaps, further in-depth studies needed and capacity needs;
- Identify and validate priority areas, strategies and institutional arrangements for the programme through stakeholder consultations,

The context-assessment will generate the information and process required for the preparation of the detailed Zambia National Climate Change Capacity Building Programme that will identify and validate priority areas, strategies and institutional arrangements for the national programme. More specifically, it will build consensus among stakeholders on which components and modules (public sector and private sector; GHG Inventories, NAMAs, LEDS and MRV) from the menu-approach of the Global EU-UNDP Climate Change Capacity Building Programme are most appropriate for Zambia to pursue.

On the basis of outcomes of the context-assessment, Zambia will formulate and submit to UNDP Zambia, Zambia's Climate Change Capacity Building programme proposal.

For these purposes, the Government of Zambia requests UNDP to provide funding in the amount of US\$30,000 for the context-assessment exercise.

2. BRIEF DESCRIPTION OF OVERALL ACTIVITIES OF THE CONTEXT-ASSESSMENT EXERCISE

The stocktaking and stakeholder consultations aim to deliver a practical programme proposal, which will be discussed and consensus-agreed with stakeholders before submission to UNDP for review and approval. However, consultations with key stakeholders will take place throughout the stocktaking phase to ensure adequate support and ownership. This is described separately for clarity, but will be implemented together as part of the proposal preparation process.

The stocktaking work

This section briefly describes the stocktaking and stakeholder consultation processes.

The stocktaking will help to ensure that the Programme builds on activities, studies, outcomes, experiences and institutional settings of existing policies and other interventions relating to climate change. The stocktaking is expected to include the following:

- Preparation of a detailed workplan: The stocktaking should be based on a detailed work plan and approaches that will be used for conducting the stocktaking. It will include the strategies that the team will use for broad and effective consultations in order to enhance ownership in the preparation and implementation of the Programme at the national level.
- An assessment of work carried out under previous relevant initiatives: This assessment is the central element of the work, as it will ensure that a framework for LEDS, GHG inventory systems, NAMAs and/or MRV schemes build upon results and lessons learned from relevant work, such as the National Communications, mitigation Programmes, UNDAFs, NCCRS, NAPA other national and regional plans, etc. It will consist of focused analysis of activities and results achieved under past, on-going and imminent (planned) initiatives. It will identify gaps and uncertainties, and provide justification for additional studies/assessments to improve information that may be critical to the development of the work under the Programme at the national level.
- Areas of work: The exercise will identify the studies to be carried out to cover areas or sectors not addressed under previous work but which are critical for the articulation of a LEDS, GHG inventory, NAMA and/or MRV work. The experiences gained through the GHG emissions inventories and mitigation analysis under the National Communications will be an important basis to identify gaps and new areas of work.
- Methodologies and approaches: The stocktaking will identify the emphases for the overall approach and the potential methodologies (and information requirements) that will be adopted to carry out the different analytical exercises that must inform the development of a robust LEDS, NAMA and related work.
- Synergies with related programmes and key policy processes: The exercise will identify how the LEDS, NAMAs and/or MRV will build on and establish linkages with relevant initiatives within the government of Zambia, such as national energy (including renewable energy) policies, transport strategies, sustainable land management and agricultural policies, existing climate change and environmental vision statements and policies¹. It will further identify partnered and supported relevant initiatives such as the National Communications, UNDAF, CCAs, etc and existing regional policy frameworks or initiatives in which Zambia participates. Experience in producing National Communications may provide a starting point for coordination processes. The exercise will also seek to identify and analyse any relevant private sector initiatives to address climate change that are domestically active, such as the Cement Sustainability Initiative (CSI), the Global Sustainability Initiative by the International Aluminium Institute (IAI) or other coalitions of activities supported by local industry associations.
- Capacity building needs: Strengthening institutional and technical capacities will be a key element of a framework for LEDS and essential for developing robust GHG inventory systems and credible NAMAs and MRV systems and in the synergetic implementation of the NCCRS and the NAPA.

¹ This may include 'green economy', 'green jobs', 'clean growth strategies' etc.

Identification of capacity building needs will firstly establish existing expertise for applying the proposed methodologies in the different areas of work, and map this against expected capacity requirements for each of the modules. The availability of existing capacity, and/or the level of difficulty and time required to build new capacity may be a key factor in decisions as to which programme modules will be prioritised.

- Stakeholder mapping: The stakeholder mapping will include a list of the government institutions, academia, NGOs, research institutions, private organizations, CSOs/NGOs and others as relevant, that will need to participate in the implementation of the NCCRS and NAPA as well as the preparation of a LEDS, NAMA, MRV or GHG Inventory system. The list will include the institutions that will directly participate in this work but also those that could be asked to contribute to this process through multi-stakeholder consultations.
- Institution mapping: The institution mapping will analyse and map existing institutional arrangements, implementation functions and regulatory frameworks. The mapping will then assess these arrangements for likely effectiveness for implementation of the NCCRS and the NAPA as well as the formulation and implementation of a LEDS, NAMAs, MRV and/or a GHG Inventory system.
- Priorities for LEDS, MRV, NAMAs and GHG inventory management systems: The exercise is expected to make an initial assessment of, and summarise the suitability and Programmed benefits of LEDS, MRV, NAMAs and GHG Inventory systems, as well as identify key challenges for practical and timely implementation of these and existing strategies (NCCRS and NAPA). This will lead to a prioritization that will be made through consultative processes with key stakeholders involving both the public and private sectors.

Stakeholders' consultations

For effective implementation of LEDS, MRV, NAMAs, or GHG Inventory systems, NCCRS and NAPA, Zambia requires the active participation of three primary types of stakeholders:

- (a) Government ministries directly responsible for climate policy, monitoring and reporting, which in Zambia is the Ministry of Tourism, Environment and Natural Resources and their national climate change teams, as well as other Ministries including Commerce and Industry, Energy and Water Development , Finance and National Planning, Communication and Transport(esp. Met Dept), Minerals and Mines, Agriculture and Cooperatives, and Fisheries and Livestock involved in climate change related activities; and
- (b) Private sector: business organisations, large industries, small and medium sized enterprises as well as state-owned enterprises which implement mitigation programs.
- (c) Communities at national, provincial, district and local level

Secondary stakeholders are also needed to be engaged to ensure maximum buy-in and ownership of the Programme. These include a broader range of institutions locally working on climate change, ranging from other government institutions, donors, NGOs, civil society organizations, academic and research institutions.

The stakeholder consultation process is expected to include the following:

- Definition of stakeholders' involvement: Building on preliminary consultation processes that may be relevant for the Programme, identify and review the key stakeholders and their roles under previous climate change interventions, and also identify stakeholders that may be relevant, but have not been effectively participating in climate change dialogue to date. A plan for managing communications and expectations during the preparation and inception phases of the programme elucidated.

- Awareness raising and capacity assessment: The team will assess the level of effective engagement by stakeholders, and where engagement is insufficient, determine where this is due to a lack of capacity, and what capacity needs or gaps must be addressed. This process itself serves as an awareness raising function, and will be used as an opportunity to raise the level of awareness of national institutions, NGOs, government and the general public in the area of climate change, and to identify major challenges and opportunities to mainstreaming climate change into National Development processes.
- Develop strategies for stakeholder participation: The consultations will identify strategies for maintaining stakeholder engagement during implementation of the programme. This will include understanding the opportunities that will arise from the Programme (such as potential access to new funding streams), and articulating these to stakeholders in order to incentivise their participation.
- Ensuring adequate consultations for the preparation of the Programme and its implementation: Stakeholder consultations may take place at different times in the preparation of the Programme. For instance: i) at the initiation of the stocktaking work; ii) at the stage of identifying priorities for the Programme; and iii) during discussions of the draft Programme proposal. Depending on the scope of the discussions, different stakeholders may be brought in at different times of the stocktaking work. However, the number of consultations and process to be put in place will be based on Zambia's own circumstances.

This stakeholder consultation and analysis will enable the team to identify the current contributions & levels of involvement of stakeholders, & assess what level is likely to be required from currently engaged stakeholders, and establish plans for additional work to ensure sufficient engagement from other stakeholders. Together, this work aims to optimise participation in GHG Inventory Systems, LEDS, NAMAs and/or MRV processes and implementation of the NCCRS and NAPA as may be applicable.

Context-assessment report and Programme Proposal

- Final Report of the context-assessment: A report on the context-assessment exercise will be prepared to highlight the key gaps and lessons learned from previous interventions, and identify priorities (from Public Sector and Private Sector; and GHG Inventories, NAMAs, LEDS and MRV) for Zambia. The report will also briefly explain the process adopted for stakeholder participation and consultations carried out for the preparation of the Programme proposal. The report will be included as an annex to the Programme proposal (following guidance and template provided by UNDP).
- Preparation of the Programme proposal: The key output of this work is the Programme Document. After final consultations with key stakeholders and Government approval, a draft Programme Proposal will be submitted to UNDP for review and comments. Final approval by UNDP will take place after suggested adjustments, if any, are addressed by the national team.

3. PRELIMINARY LIST AND DESCRIPTION OF STAKEHOLDERS AND CONSULTATION PROCESS ENVISIONED

The stakeholder consultations will help to ensure national ownership of the Programme and later implementation. In particular, the consultation will be used as a means to:

- Ensure adequate linkages with existing climate change policy and Programme activities
- Validate the stocktaking exercise
- Selection and prioritisation of components and modules to be included in the Programme
- Build consensus on the institutional arrangements proposed for the Programme

- Clarify the roles and responsibilities of stakeholders expected to be involved

The stakeholder consultations will commence broadly, with the guidance of key government strategic decision makers to provide overall vision, and narrow down to focus groups and individuals to establish sectoral details. A primary goal is to build consensus among stakeholders on which Programme components and modules (from Public Sector and Private Sector; and GHG Inventories, NAMAs, LEDS and MRV) offer opportunities for Zambia that can be exploited for key development aspirations.

Consultations should identify likely or expected institutional and stakeholder responsibilities and roles in Programme implementation, as well as capacity constraints in delivering the Programme. UNDP Zambia will facilitate and monitor progress of the stocktaking exercise and consultations in accordance with the agreed budget and outputs and disburse funds accordingly.

The following stakeholders are envisaged as participants during the stakeholder consultations:

(a) Government Ministries and Agencies: Ministry of Tourism, Environment and Natural Resources; Ministry of Energy and Water Affairs; Ministry of Finance and National Planning; Ministry of Communication and Transport (Met. Dept); Ministry of Agriculture and Cooperatives; Ministry of Fisheries and Livestock; Ministry of Commerce and Industry; Disaster Management and Mitigation Unit; Gender in Development Department; Zambia Wildlife Authority; Zambia Environmental Management Agency. **(b) UN Agencies and Multilateral Organisations:** Food and Agriculture Organization; World Food Programme; UNESCO; UNIDO; IFAD; World Bank; European Union; African Development Bank. **(c) Bilateral Agencies:** Embassy of Denmark; Embassy of Finland; DFID; Embassy of Sweden; Embassy of Norway; **(d) NGOs:** World Wide Fund for Nature (WWF); IUCN; PELUM Association; Zambia Climate Change Network; Green Living Movement; Chalimbana River Authority Catchment Committee; Zambia National Farmers Union; Zambia Alliance of Women; Zambia Association of Manufactures; Zambia Centre for Energy, Engineering and Environment; Bio-fuels Association of Zambia and Wildlife and Environmental Conservation Society of Zambia. **(e) Academic Institutions:** University of Zambia; Zambia Institute for Industrial and Scientific Research; Zambia Agricultural Research Institute. **(f) Local communities:** Community representatives from local to national level.

4. BRIEF DESCRIPTION OF THE INSTITUTIONAL ARRANGEMENTS FOR THE CONTEXT-ASSESSMENT EXERCISE AND PROPOSAL PREPARATION

The national lead agency responsible for the oversight and implementation of the context-assessment and Programme proposal preparation is the Ministry of Tourism, Environment and Natural Resources through the Department of Environment and Natural Resources Management. The involvement of the relevant stakeholders, and their support and commitment to the implementation of the proposed activities will ensure the achievement of the overall outcome of the assessment.

Specifically, the MTENR will be responsible and accountable for the overall management and coordination of the project on behalf of government and this will include the following tasks:(i) monitoring the entire context-assessment process including the preparation of the national programme in order to achieve the intended outputs; (ii) ensuring maximum participation of relevant stakeholders in and outside government to ensure broad-based buy-in and ownership of the planned results; and (iii) providing office space for the core team of the preparatory project and administrative support to the team, management and coordination of all necessary stakeholder meetings.

5. OUTPUTS

The main output of the stocktaking exercise is a proposal for Zambia's Climate Change Capacity Building Project in the framework of the EU-UNDP Climate Change Capacity Building Programme. The expected outputs and corresponding activities to be carried out under the stocktaking exercise are the following:

Output 1: Plans for management of the stocktaking exercise

Activity 1.1: Preparation of a detailed work plan and scope of work

Activity 1.2: Execution of an Inception workshop/consultation

Activity 1.3: Preparation of TOR including the expected results and deliverables for the individual experts and/or Country Team, including the approach to be used during the stocktaking exercise.

Output 2: Stocktaking related activities

Activity 2.1: Implementation of the stocktaking exercise and preparing a stocktaking matrix describing and assessing relevant previous and on-going climate change policies, activities, Programmes and programmes

Activity 2.2: Identification /review of shortcomings in capacity and assessment of capacity needs for implementing each of the modules

Activity 2.3: Identify new studies/areas of work, particularly as related to missing data or information

Activity 2.4: Identification of potentials for linkages and synergies with other processes

Activity 2.5: Identify and assess opportunities for delivering sustainable development outcomes from the components and modules (Public Sector and Private Sector; and GHG Inventories, NAMAs, LEDS, MRV, NCCRS and NAPA)

Activity 2.6: Development of prioritisation criteria and identification of priorities from the components and modules

Activity 2.7: Preparation of the stocktaking report

Output 3: Stakeholder consultation

Activity 3.1: Stakeholder mapping and analysis. Identify individuals and institutions that may be involved in the stocktaking exercise, their possible role, the benefits of their involvement, and any possible challenges (including capacity limitations) to their involvement. From this will be developed a strategy for stakeholder participation

Activity 3.2: Institution mapping and analysis. Describe institutional arrangements and how they relate to key climate related policy drivers, as well as changes that may be envisaged in Programme implementation

Activity 3.3: Stakeholder consultation. This consultation should be used to validate the stocktaking and opportunity identification; awareness raising and selection for priority issues and new areas of action; and review of the Programme proposal and stocktaking report. This may include a workshop to validate the Programme proposal

Output 4: Brief report on the stocktaking and stakeholder consultations: The team will prepare a brief report that will be included in the annex section of the Programme proposal.

Activity 4.1: Write the stocktaking and stakeholder consultations reports, which may include the following:

- (i) Description of the methodology used;
- (ii) Stakeholders and institutions consulted;
- (iii) Results and findings of the stocktaking exercise;

- (iv) Results and findings of the stakeholder consultation;
- (v) Identified priorities for the Programme Proposal

Output 5: Develop a Programme proposal for submission to UNDP for review and approval

Activity 5.1: The Programme proposal will be developed following UNDP template (to be provided) with a detailed description of the following:

- Description of Programme's context, including relevant background
- Scope of Programme, including areas of work (e.g. GHG inventory system, NAMAs, LEDS, MRV) and sectors (e.g. energy, industries, agriculture, etc.)
- Expected outcomes, including studies to be carried out
- Key activities for each outcome identified
- Proposed methodologies or approaches to be adopted for the implementation of the Programme
- Institutional arrangements and coordination mechanisms to be put in place for the implementation of the Programme
- Monitoring and Evaluation framework
- Proposed budget
- Workplan for the duration of the Programme
- Annex sections, including:
 - o Final Report of the context-assessment
 - o Brief report on the stocktaking and stakeholder consultations

Activity 5.2: Submission of the Programme proposal; to UNDP for feedback and comments

Activity 5.3: Incorporation of comments on the Programme proposal (a final consultation round may be scheduled if proposal has substantial comment or revisions suggested by UNDP during approval processes).

6. BUDGET

Award ID:	00061806					
Project ID:	00078575					
Award Title:	PIMS No. 4793 Zambia's Context-assessment for the preparation of the National Climate Change Capacity Building Programme proposal					
Business Unit:	ZNB10					
Project Title:	PIMS No. 4793 Zambia's Context-assessment for the preparation of the National Climate Change Capacity Building Programme proposal					
Implementing Partner (Executing Agency)	Ministry of Tourism, Environment and Natural Resources					
Outcome/Atlas Activity	Responsible Party/ Implementing Agent	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount (USD)
OUTCOME 1 Final Programme Proposal submitted to Government and UNDP for approval	Ministry of Tourism, Environment and Natural Resources	To be provided	EU	71300	Local Consultant	10,000
				72100	Contractual Services	12,000
				74500	Misc. operation expenses	2,000
				75700	Stakeholder consultations	6,000
					Sub-Total	30,000

SUGGESTED TIMETABLE

Output /Activity	Weeks	1	2	3	4	5	6	7	8	9	10	11	12	13	14
Output 1: Planning and management of the stocktaking exercise															
1.1 Preparation of a detailed workplan, including scope of work															
1.2 Inception workshop/consultation															
1.3 Preparation of TORs															
Output 2: Stock-take of the related activities															
2.1: Implementation of the stocktaking exercise															
2.2: Identification /review of shortcomings in capacity															
2.3: Identify new studies/areas of work															
2.4: Identification of potentials for linkages and synergies															
2.5: Identify and assess opportunities for delivering sustainable development outcomes from the components and modules															
2.6: Development of prioritisation criteria and identification of priorities															
2.7: Preparation of the stocktaking report															
Output 3: Stakeholder consultation															
3.1: Stakeholder mapping and analysis															
3.2: Institution mapping and analysis															
3.3: Stakeholder consultation															
Output 4: Stocktaking and stakeholder consultation report (annex)															
4.1: Write Stocktaking and stakeholder consultation report to be included in annex section of the Programme proposal															
Output 5: Develop the Programme proposal															
5.1 Write the draft proposal															
5.2: Circulation of the proposal for comments by stakeholders															
5.3: Submission of the Programme proposal to UNDP for comments															
4.4: Incorporation of comments on the Programme proposal and submission of final version to UNDP															