



GOVERNMENT OF THE REPUBLIC OF ZAMBIA

# **ZAMBIA'S FIRST REDD+ SAFEGUARDS SUMMARY OF INFORMATION 2019**



Ministry of Lands and Natural Resources



Ministry of National Development Planning

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## TABLE OF CONTENTS

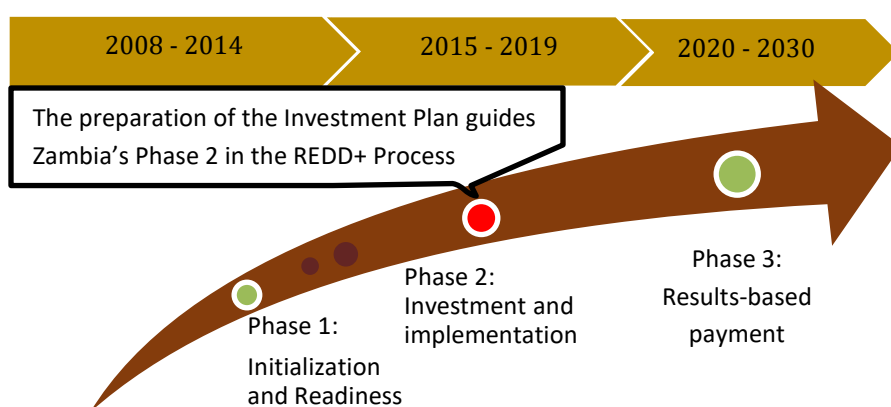
TABLE OF CONTENTS.....	iv
EXECUTIVE SUMMARY .....	v
ACKNOWLEDGEMENTS.....	vi
ACRONYMS AND ABBREVIATIONS .....	vii
LIST OF TABLES.....	x
LIST OF FIGURES.....	x
1. INTRODUCTION .....	1
1.1 Country Context .....	1
1.2 REDD+ in Zambia.....	4
1.3 Cancun Safeguards.....	5
1.3.1 UNFCCC decisions on safeguards.....	5
1.3.2 GCF pilot programme for results-based payments and its safeguards requirements.....	7
1.4 Objectives and Scope.....	9
2. PROCESS OF DEVELOPING THE FIRST SOI OF ZAMBIA .....	10
3. NATIONAL CIRCUMSTANCES .....	11
3.1 Forests in Zambia.....	11
3.2 National REDD+ Strategy .....	12
3.3 REDD+ Investment Plan .....	14
3.4 Subnational REDD+ Implementation .....	15
3.4.1 Zambia Integrated Forest Landscape Project (ZIFLP).....	16
3.4.2 Voluntary carbon market REDD+ projects .....	17
4. COUNTRY APPROACH TO SAFEGUARDS.....	19
5. SAFEGUARDS INFORMATION SYSTEM (SIS) DESIGN .....	20
5.1 SIS Design Process .....	20
5.2 Progress in SIS Development.....	20
5.2.1 Vision and objectives .....	20
5.2.2 Information content and structure.....	21
5.2.3 Institutional arrangements .....	22
5.2.4 Links to other systems .....	23
5.3 SIS Development Process .....	24

6. INTERPRETING AND ADDRESSING THE CANCUN SAFEGUARDS.....	25
6.1 <i>Safeguard (a): [REDD+] actions complement or are consistent with the objectives of national forest programmes and relevant international conventions and agreements.</i> .....	25
6.1.1 National interpretation .....	25
6.1.2 Policies, laws and regulations (PLR) key for addressing this safeguard.....	25
6.1.3 PLR gap-filling measures .....	26
6.2 <i>Safeguard (b): Transparent and effective national forest governance structures, taking into account national legislation and sovereignty.</i> .....	27
6.2.1 National interpretation .....	27
6.2.2 Policies, laws and regulations (PLR) key for addressing this safeguard.....	28
6.2.3 PLR gap-filling measures .....	29
6.3 <i>Safeguard (c): Respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations, national circumstances and laws, and noting that the United Nations General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples.</i> .....	29
6.3.1 National interpretation .....	29
6.3.2 Policies, laws and regulations (PLR) key for addressing this safeguard.....	30
6.3.3 PLR gap-filling measures .....	30
6.4 <i>Safeguard (d): The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities [in REDD+ actions].</i> .....	31
6.4.1 National interpretation .....	31
6.4.2 Policies, laws and regulations (PLR) key for addressing this safeguard.....	32
6.4.3 PLR gap-filling measures .....	32
6.5 <i>Safeguard (e): [REDD+] actions are consistent with the conservation of natural forests and biological diversity, ensuring that the [REDD+] actions are not used for the conversion of natural forests, but are instead used to incentivize the protection and conservation of natural forests and their ecosystem services, and to enhance other social and environmental benefits.</i> .....	32
6.5.1 National interpretation .....	32
6.5.2 Policies, laws and regulations (PLR) key for addressing this safeguard.....	34
6.5.3 PLR gap-filling measures .....	34
6.6 <i>Safeguard (f): Actions to address the risks of reversals.</i> .....	34
6.6.1 National interpretation .....	34
6.6.2 Policies, laws and regulations (PLR) key for addressing this safeguard.....	35

6.6.3 PLR gap-filling measures .....	35
6.7 <i>Safeguard (g): Actions to reduce displacement of emissions.</i> .....	35
6.7.1 National interpretation .....	35
6.7.2 Policies, laws and regulations (PLR) key for addressing this safeguard .....	36
6.7.3 PLR gap-filling measures .....	36
7. CONCLUSIONS .....	37
8. GLOSSARY OF KEY TERMS .....	39
9. BIBLIOGRAPHY .....	41
10. ANNEXES .....	44
Annex 1: Activities undertaken on safeguards in Zambia .....	44
Annex 2: Summary of environmental and social benefits and risks assessment of the proposed National REDD+ Investment Plan .....	46

## EXECUTIVE SUMMARY

The country has experienced a significant progress in the REDD+ process. Zambia initiated its REDD+ process as part of Phase 1 in 2008 culminating into the approval of the National UN-REDD Joint Programme (2010-2014; see figure below). Zambia accomplished the following in the readiness phase (Phase 1): drafting of the initial version of Zambia's Safeguards Information System (2012); development of National REDD+ Strategy (2015); development and submission to the United Nations Framework Convention on Climate Change (UNFCCC) of its Intended Nationally Determined Contribution (2015); development of National Forest Monitoring System for relaying and sharing information (2016); and submission of the Forest Reference Emission Level (FREL) to the UNFCCC (2016).



**Figure A:** Evolution of the Zambia National REDD+ Process

In transitioning from Phase 1 to Phase 2, Zambia developed its REDD+ Investment Plan (2017). The Investment Plan identifies three Core Investment Priorities (CIPs), eight Components and 59 Key Activities (KAs) for investment. These served as the basis for Risk Benefit Analysis (RBA) in the safeguards development process whose results will be used to revise the co-benefits section and results framework of the Investment Plan.

The definition of the national approach to safeguards and SIS development included a series of steps involving wide consultations of stakeholders at national level, vis-à-vis: drafting of Zambia's initial version of the SIS (2012) updated to version 1.0 (2018); linking safeguards to the REDD+ strategic interventions of the National REDD+ Strategy (2014-2015); unpacking the Cancun safeguards in accordance with national circumstances (2015-2017); conducting environmental and social benefits and risks assessment of the proposed National REDD+ Investment Plan (2017); national interpretation of the Cancun safeguards (2018); and development of Zambia's first REDD+ safeguards summary of information (2018).

This first summary of information (Sol) is an affirmation that Zambia is promoting and supporting the Cancun safeguards, a demonstration of how Zambia is addressing and intends to eventually respect the safeguards backed by a functional and effective institutional framework for reporting safeguards information.

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## ACRONYMS AND ABBREVIATIONS

7NDP	Seventh National Development Plan
ACHPR	African Charter on Human and Peoples' Rights
ADC	Area Development Committee
AIACC	Assessments of Impacts and Adaptations to Climate Change
BCP	Bio-Carbon Partners
BioCF	Bio-Carbon Fund
CCA	Community Conservation Area
CFMG	Community Forest Management Group
CIA	Central Intelligence Agency
CIP	Core Investment Priority
CITES	Convention on International Trade in Endangered Species
COMACO	Community Markets for Conservation
COP	Conference of the Parties
CSA	Climate Smart Agriculture
CSO	Central Statistical Office
CSOs	Civil Society Organizations
DDCC	District Development Coordinating Committee
DRC	Democratic Republic of the Congo
EIA	Environmental Impact Assessment
ESMF	Environmental and Social Management Framework
ESS	Environmental and Social Safeguards
FAO	Food and Agriculture Organization
FGRM	Feedback and Grievance Redress Mechanism
FLES	Forest Livelihood Economic Survey
FPIC	Free, Prior and Informed Consent
FRA	Forest Resource Assessment
FREL	Forest Reference Emission Level
FRL	Forest Reference Level
GCF	Green Climate Fund
GDP	Gross Domestic Product
GEF	Global Environmental Facility
GHG	Greenhouse Gas
GMA	Game Management Area
GRM	Grievance Redress Mechanism
GRZ	Government of the Republic of Zambia
HCS	High Carbon Stock



HCV	High Conservation Value
IDA	International Development Agency
IDLO	International Development Law Organization
ILUA	Integrated Land Use Assessment
IMF	International Monetary Fund
IPCC	Inter-governmental Panel on Climate Change
KA	Key Activity
LCFP	Luangwa Community Forests Project
LFR	Local Forest Reserve
LPG	Liquefied Petroleum Gas
LZRP	Lower Zambezi REDD+ Project
MLNR	Ministry of Lands and Natural Resources
MNDP	Ministry of National Development Planning
MOA	Ministry of Agriculture
MOCTA	Ministry of Chiefs and Traditional Affairs
MRV	Measuring, Reporting and Verifying
MTENR	Ministry of Tourism, Environment and Natural Resources
NAIS	National Agricultural Information Services
NAPA	National Adaptation Plan of Action on Climate Change
NBSAP	National Biodiversity Strategy and Action Plan
NCCP	National Climate Change Policy
NFMS	National Forest Monitoring System
NFR	National Forest Reserve
NGO	Non-Governmental Organization
NP	National Park
NPE	National Policy on Environment
NSTWG	National Safeguards Technical Working Group
NTFP	Non Timber Forest Product
PaM	Policies and Measures
PDCC	Provincial Development Coordinating Committee
PDO	Project Development Objective
PF	Process Framework
PGC	Producer Group Cooperative
PLRs	Policies, Laws and Regulations
RBA	Risk Benefit Analysis
RBP	Results Based Payment

REDD+	Reducing Emissions from Deforestation and Forest Degradation, plus Conservation, Sustainable Management of Forests, and Enhancement of Forest Carbon Stocks
REL	Reference Emission Level
RFP	Request For Proposal
RPF	Resettlement Process Framework
SADC	Southern Africa Development Community
SAEP	Strategic Analysis and Engagement Plan
SALM	Sustainable Agriculture and Land Management
SEA	Strategic Environmental Assessment
SEP	Stakeholder Engagement Plan
SESA	Strategic Environmental and Social Assessment
SIA	Strategic Impact Assessment
SIS	Safeguards Information System
SO	Strategic Objective
Sol	Summary of information
TA	Traditional Authority
UNCAC	United Nations Convention Against Corruption
UNCBD	United Nations Convention on Biological Diversity
UNCCD	United Nations Convention to Combat Desertification
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme (UN Environment)
UNESCO	United Nations Educational, Scientific, and Cultural Organization
UNFCCC	United Nations Framework Convention on Climate Change
UN-REDD	United Nations Programme on Reducing Emissions from Deforestation and Forest Degradation
USAID	United States Agency for International Development
VCS	Verified Carbon Standard
VER	Verified Emission Reduction
VCU	Verified Carbon Unit
WB	World Bank
WCMC	World Conservation Monitoring Centre
WWF	World Wide Fund for Nature (formally World Wildlife Fund)
ZANIS	Zambia National Information Services
ZEMA	Zambia Environmental Management Agency
ZFAP	Zambia Forest Action Plan
ZIFLP	Zambia Integrated Forest Landscape Project
ZNBC	Zambia National Broadcasting Services

## LIST OF TABLES

Table 1: Zambia Gross Domestic Product (GDP) shown in current US\$ .....	2
Table 2: Area for each vegetation type in forest land (FRA Class) and predominant species .....	11
Table 3: Relationships among REDD+ strategy, sectoral priorities, strategic objectives and core investment priorities .....	15

## LIST OF FIGURES

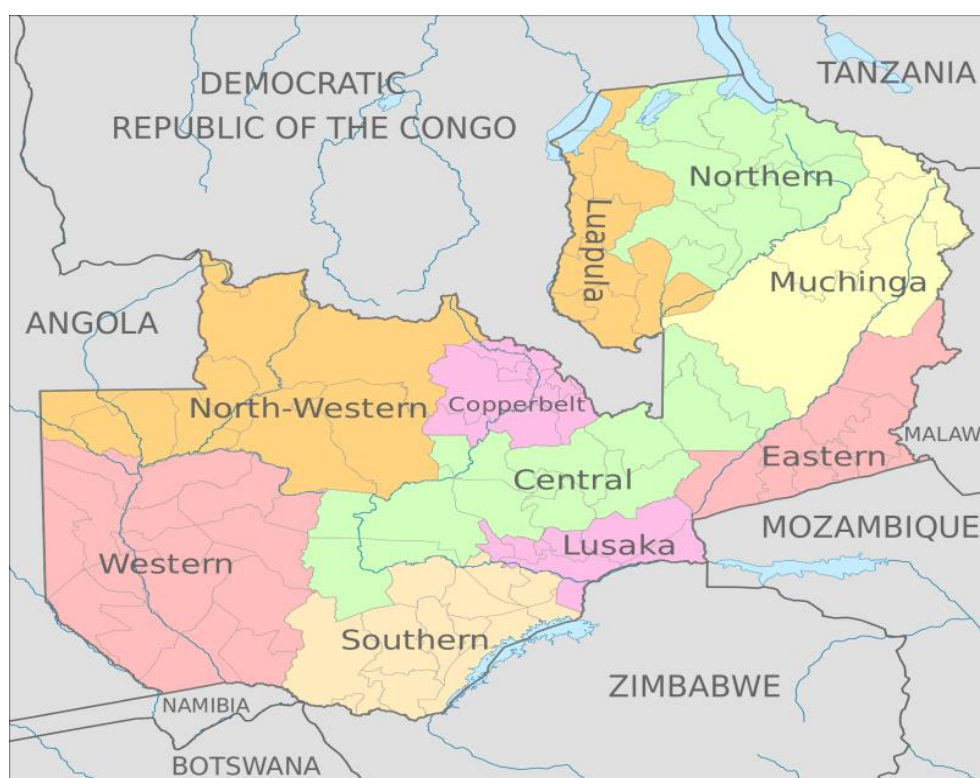
Figure 1: Map of Zambia showing its 10 provinces and location within the SADC region .....	1
Figure 2: Sectoral contribution to Gross Domestic Product (GDP) in 2010 .....	3
Figure 3: Agro-ecological regions of Zambia .....	4
Figure 4: Work undertaken in 2018 to develop the first Sol of Zambia .....	10
Figure 5: Priority focal landscapes for REDD+ implementation in Zambia .....	13
Figure 6: Map showing locations of Bio-Carbon Partners' projects in Eastern Province .....	17
Figure 7: COMACO Landscape Management Project Area .....	18
Figure 8: Steps involved in the SIS development process .....	20
Figure 9: Proposed national institutional arrangements for Zambia's SIS .....	22

## 1. INTRODUCTION

This report has been produced in response to existing agreements under the UNFCCC, to which Zambia is a Party, that request developing countries to periodically submit a summary of information on how safeguards are addressed and respected, throughout the implementation of REDD+ activities, in order to receive results-based finance. As part of the commitment of the Government of the Republic of Zambia (GRZ) in climate change adaptation and mitigation work, and in accordance with the decision by the UNFCCC in relation to policy approaches and incentives in REDD+ implementation, GRZ is hereby submitting its first summary of information on how safeguards listed in decision 1/CP.16 Appendix 1 were addressed and respected in accordance with decisions 12/CP.17, 12/CP.19 and 17/CP.21.

### 1.1 Country Context

Zambia is a landlocked country in Southern Africa (15°00 S, 30°00 E). It shares borders with eight countries, namely; Botswana and Zimbabwe to the south, Tanzania to the north-east, Namibia to the south-west, Angola to the west, Malawi to the east and the Democratic Republic of Congo (DRC) to the north-west (Figure 1). It has a total surface area of 752,614 km<sup>2</sup> and a population estimated at 17.3 million in 2018 based on an annual population growth rate of 2.8%<sup>1</sup>. Zambia is administratively divided into 10 provinces, namely: Central; Copperbelt; Eastern; Luapula; Lusaka; Muchinga; Northern; North-Western; Southern; and Western provinces (Figure 1).



**Figure 1:** Map of Zambia showing its 10 provinces and location within the Southern Africa Development Community (SADC) region (Source: <https://www.nationsonline.org/oneworld/map/zambia-political-map.htm>)

<sup>1</sup> Central Statistical Office (CSO). 2017. Zambia Population and Demographic Projections, 2011-2035

Zambia's Gross Domestic Product (GDP) (at purchasing power parity) per capita which was 44.5 billion US\$ in 2010, is estimated at 73.3 billion US\$ in 2018 and is expected to reach 83.3 billion US\$ in 2020<sup>2</sup> (Table 1). However, real GDP growth has been on the decline, for instance from 10.3% in 2010 to 4.0% in 2018 (Table 1). This is mainly attributed to declining copper prices (copper being the economic engine of the Zambia's economy) and increasing human population. The main industries are mining, transport, construction, manufacturing and agriculture. Zambia is characterized as a service-oriented economy with the tertiary sector at 53.7%; Mining at 12.9%; Agriculture, Forestry and Fisheries at 9.9%; and Manufacturing at 7.9%<sup>3</sup> (Figure 2). Most of the freshwater in the SADC region originates from the Zambezi River Basin of which Zambia takes the greatest share at 41.7% of the basin<sup>4</sup>. The Zambezi River originates from the Upper Zambezi Watershed in North-western Province. Nearly 47% or 35 million hectares of the total land area of Zambia is arable but only 15% of this is under cultivation<sup>5</sup>.

**Table 1: Zambia Gross Domestic Product (GDP) shown in current US\$**

Year	Gross Domestic Product (GDP) (US\$ Billion)	Real GDP Growth (%)
2010	44.5	10.3
2011	47.9	5.6
2012	52.6	7.7
2013	56.1	5.0
2014	59.8	4.7
2015	62.2	2.9
2016	65.3	3.7
2017	68.9	3.6
2018	73.3	4.0
2019	78.2	4.5
2020	83.3	4.5

Source: IMF, 2018

Despite robust annual growth in the recent past, poverty in Zambia remains very high. With a Human Development Index of 0.586, Zambia ranks 139 out of 189 countries globally<sup>6</sup>. Poverty is disproportionately rural. Today 74% of Zambia's rural population still lives in poverty - more than double the level of urban poverty at 35%<sup>7</sup>. Poverty has been identified as the most highly ranked underlying cause of deforestation and forest degradation in Zambia<sup>8</sup> owing to inadequate alternative employment opportunities, limited income generating opportunities, marginally diversified livelihood options and limited energy sources – all key ingredients for high poverty levels. Forests in Zambia provide socio-economic safety nets in terms of food security under unfavourable climate conditions, medicines when people are not able to afford formal hospital fees and Non-Timber Forest Products (NTFPs) for income generation, food and health security.

<sup>2</sup> International Monetary Fund (IMF), 2018. World Economic Outlook (WEO) Database

<sup>3</sup> Central Statistical Office (CSO), 2014. Gross Domestic Product 2010 Benchmark Estimates.

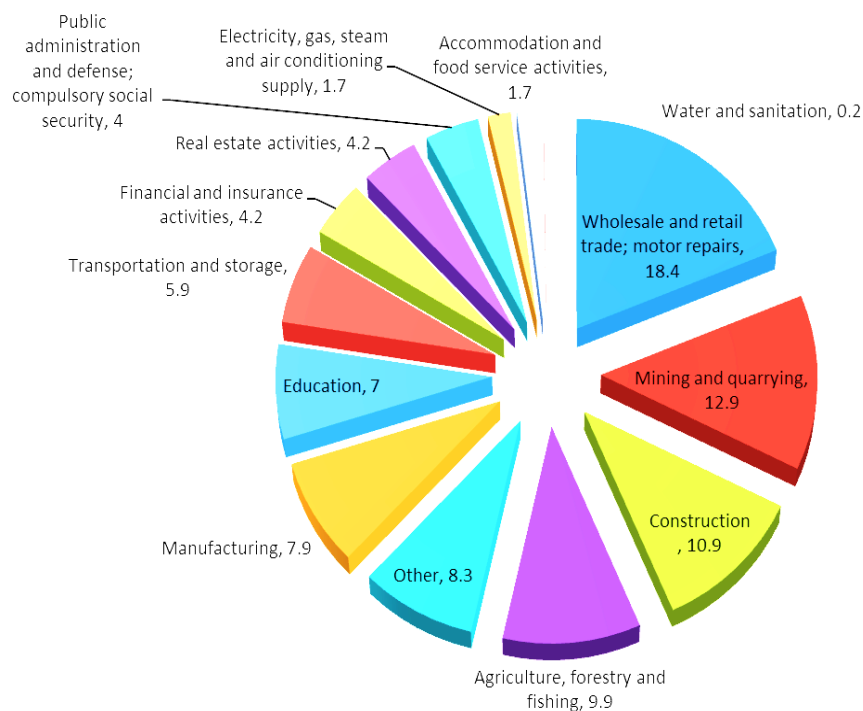
<sup>4</sup> ZAMCOM *et al.*, 2015. Zambezi Environment Outlook 2015.

<sup>5</sup> MNDP, 2017. Seventh National Development Plan (7NDP). Volume 1.

<sup>6</sup> UNDP Human Development Index, 2014

<sup>7</sup> Central Statistical Office (CSO), 2017. Zambia Population and Demographic Projections, 2011-2035.

<sup>8</sup> Matakala, *et al.*, 2015. Zambia National Strategy to Reduce Emissions from Deforestation and Forest Degradation



**Figure 2:** Sectoral contribution to Gross Domestic Product in 2010 (CSO, 2014)

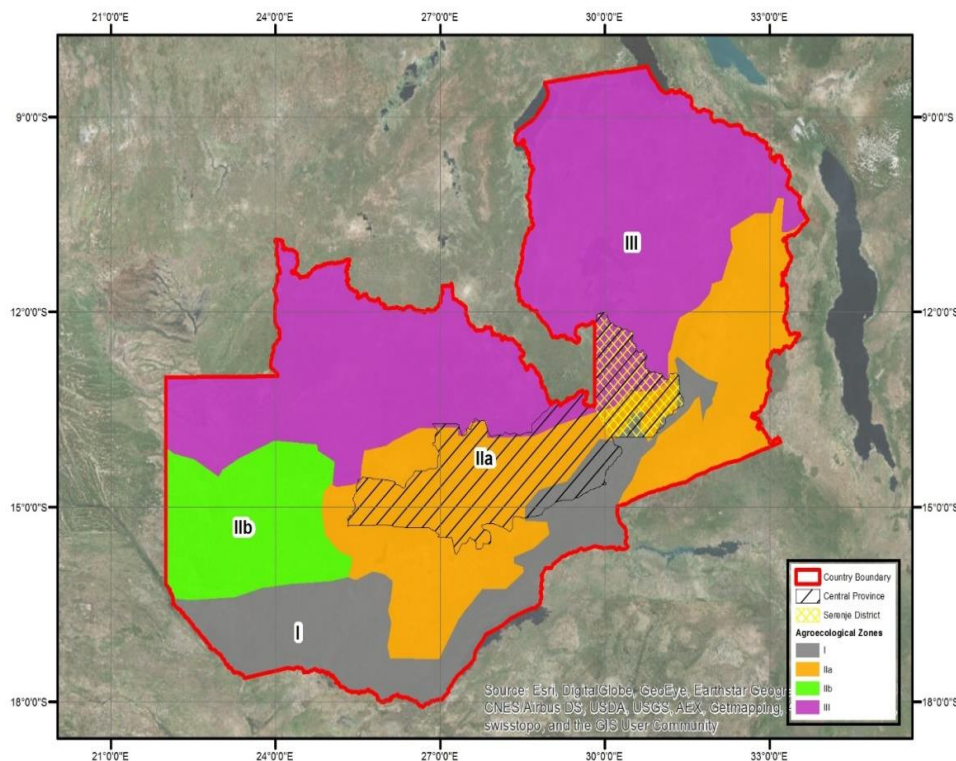
Zambia is already experiencing the impacts of climate change and variability. The main climate change risks that Zambia is likely to face in the future are droughts and floods<sup>9</sup>. These risks will increase the country's vulnerability since it is predominantly dependent on climate-sensitive sectors such as agriculture, water, infrastructure and transport, health, tourism, biodiversity and ecosystems, forests and fisheries. Of the three agro-ecological regions of Zambia, regions I and II have been the most drought and flood prone areas<sup>10</sup> (Figure 3). Some of the effects recorded include<sup>11</sup>:

- a) An increase in the incidence of hunger due to destruction of crops, reduction in cultivatable land and increased soil erosion;
- b) Reduced nutrition and natural resource based livelihoods including livestock;
- c) Loss of shelter, displacement of people and disruption of communication due to destruction of basic infrastructure such as roads and bridges;
- d) An increase in the incidence of health epidemics such as malaria and waterborne diseases;
- e) Reduced forest productivity; and
- f) Reduced water availability.

<sup>9</sup> Ministry of Tourism, Environment and Natural Resources (MTENR). 2010. National Climate Change Response Strategy (NCCRS); African Union (AU). 2014. African Strategy on Climate Change; Inter-Governmental Panel on Climate Change (IPCC). 2014. The IPCC's Fifth Assessment Report. What's in it for Africa?

<sup>10</sup> Region I is a low rainfall area covering the Gwembe, Lunsemfwa and Luangwa valleys, and includes southern parts of western and southern provinces. Region II is a medium rainfall area that covers Sandveld plateau of Central, Eastern, Lusaka and Southern provinces, and the Kalahari sand plateau and Zambezi Flood plains of Western province. Region III has the highest rainfall and is part of the Central African Plateau covering Northern, Muchinga, Luapula, Copperbelt and North-Western provinces.

<sup>11</sup> Assessments of Impacts and Adaptations to Climate Change (AIACC), 2004. Socio-Economic and Flood Impact Assessment Report - A Case Study of Gwembe District; Ministry of Tourism, Environment and Natural Resources (MTENR). 2010. National Climate Change Response Strategy (NCCRS).



**Figure 3: Agro-ecological regions of Zambia**  
(Source: ZEMA *et al.* 2012)

**AER I** covers 12% of Zambia, and includes the major valleys (Gwembe, Lunsemfwa and Luangwa) with altitude of less than 1000 metres above sea level; it has the lowest agricultural potential, with rainfall of less than 800 mm per annum; characterized by higher temperatures than elsewhere in the country; and mostly prone to drought and flooding.

**AER IIa** covers the Sandveld Plateau, the Kalahari Sand Plateau and the Zambezi floodplains of the Western Province considered to have the best agricultural potential with rich soils. Rainfall is between 800–1,000 mm per annum; It has a medium to low risk of drought.

**AER IIb** - While rainfall patterns in Regions IIa and IIb are similar, Region IIb is characterized as semiarid plains with predominantly sandy soils and relatively low agricultural potential; and has higher temperatures making it vulnerable to drought. **AER II** covers 42% of the country.

**AER III** covers 46% of Zambia and receives between 1,000 mm and 1,500 mm annually and sits between 1,000-1,500 metres above sea level in altitude. The risk of drought is almost nil. However, only 52.7% of the land is suitable for cultivation due to the heavily leached soils.

## 1.2 REDD+ in Zambia

In 2010, Zambia benefited from the UN-REDD funding to engage in Phase 1 –readiness of the REDD+ process. Phase I was intended to assist Zambia develop its national REDD+ strategy, initiate national dialogue, facilitate institutional strengthening and on-ground demonstration activities. It was also intended for Zambia to begin addressing the four REDD+ elements as part of the Cancun Agreements (2010) and Warsaw Framework (2013) if Zambia were to benefit from future results-based payments: 1) develop national REDD+ strategy; 2) develop reference levels; 3) develop a National Forest Monitoring System (NFMS); and 4) develop a Safeguards Information System (SIS).

The following milestones were achieved in Phase 1:

- A number of background studies were undertaken to inform development of the National REDD+ Strategy including: (a) IDLO report on enabling legal frameworks for sustainable land-based investments in Zambia: legal assessment report; (b) Assessment of previous, on-going and planned forest management activities with potential for REDD+; (c) Assessing and analyzing direct and indirect drivers of deforestation; (d) Assessing financing, incentives and benefit sharing options for REDD+; (e) Assessing the Role of Safeguards in REDD+; (f) Enhancing private sector engagement in



REDD+; (g) Assessment of REDD+ institutional capacity and capacity needs; (h) Reference Emissions Level (REL) considerations for Zambia; and (i) Study of the Economic Value of Zambia's Forest Ecosystems.

- A National REDD+ Strategy was completed in 2015;
- A decentralized NFMS was developed with 10 laboratories at provincial level across the country to provide near real-time spatial data on deforestation and forest degradation. The NFMS is linked to a web portal (<http://www.zmb-nfms.org>) for easy reporting and transparency purposes and this involved capacity building at provincial level;
- Activity data were collected through the Integrated Land Use Assessment (ILUA II) which were fed into the NFMS and used to construct FREL/FRL for the country and submitted to the UNFCCC in 2016 (<https://redd.unfccc.int/fact-sheets/forest-reference-emission-levels.html>);
- A Stakeholder Analysis and Engagement Plan (SAEP) to ensure that all relevant stakeholders including local communities are effectively involved in all phases of REDD+ development in the country was developed and implemented in 2015 and still on-going; and
- An SIS initial version was developed in 2012, updated in 2018 (Version 1.0) and yet to be finalized in 2019.

Under Phase 2, the following activities supportive of the National REDD+ Strategy implementation are already underway at sub-national level:

- Initial implementation of the REDD+ Strategy at sub-national level is currently happening through three projects (to be further elaborated under Section 3.4). These were designed according to voluntary carbon results-based payments and include: the World Bank funded Zambia Integrated Forest Landscape Project (ZIFLP); the Lower Zambezi REDD+ Project and Luangwa Community Forests Project implemented by Bio-Carbon Partners (BCP); and a REDD+ Carbon Project implemented by Community Markets for Conservation (COMACO). These projects also informed this Sol and provided inputs related to how they address and plan to respect the safeguards.

### **1.3 Cancun Safeguards**

#### **1.3.1 UNFCCC decisions on safeguards**

##### Decision 1/CP.16 (Cancun, 2010)

At its 16th meeting in 2010, the Conference of the Parties (COP) to the UNFCCC adopted the Cancun Agreements<sup>12</sup>, under which it was agreed that Parties which, on a voluntary basis, decide to implement REDD+ should promote and support seven safeguards throughout the implementation of the five REDD+ activities. Referred to as the "Cancun safeguards", these are:

- a) That actions complement or are consistent with the objectives of national forest programmes and relevant international conventions and agreements;
- b) Transparent and effective national forest governance structures, taking into account national legislation and sovereignty;
- c) Respect for the knowledge and rights of Indigenous Peoples and members of local communities, by taking into account relevant international obligations, national

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<sup>12</sup> Decision 1/CP.16: Section C: Policy approaches and positive incentives on issues relating to reducing emissions from deforestation and forest degradation in developing countries; and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries.



- circumstances and laws, and noting that the United Nations General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples;
- d) The full and effective participation of relevant stakeholders, in particular Indigenous Peoples and local communities, in the actions referred to in paragraphs 70 and 72 of this decision;
  - e) That actions are consistent with the conservation of natural forests and biological diversity, ensuring that the actions referred to in paragraph 70 of this decision are not used for the conversion of natural forests, but are instead used to incentivize the protection and conservation of natural forests and their ecosystem services, and to enhance other social and environmental benefits;
  - f) Actions to address the risks of reversals; and
  - g) Actions to reduce displacement of emissions.

In addition, Parties were requested to establish a Safeguards Information System (SIS) to demonstrate how the seven safeguards are being addressed and respected throughout the implementation of the REDD+ activities and provide a summary of information on this to the UNFCCC.

#### Decision 12/CP.17 (Durban, 2011)

The COP at its 17th meeting in Durban<sup>13</sup> decided that the SIS should “*provide transparent and consistent information that is accessible by all relevant stakeholders and updated on a regular basis; be transparent and flexible to allow for improvements over time; ... be country-driven and implemented at the national level; and build upon existing systems, as appropriate.*”

#### Decision 9/CP.19 (Warsaw, 2013)

At COP 19, Parties decided (decision 9/CP.19) that the most recent summary of how all the safeguards have been addressed and respected should be provided before countries become eligible for results-based finance.

#### Decision 12/CP.19 (Warsaw, 2013)

At its 19<sup>th</sup> meeting, the COP (decision 12/CP.19)<sup>14</sup> decided that countries should start providing the summary of information “*after the start of the implementation of [REDD+] activities*” and that the frequency of subsequent presentations of the summary of information “*should be consistent with the provisions for submissions of national communications*” from non-Annex I Parties. The COP also guided that the SOI could be provided, on a voluntary basis, via the web platform on the UNFCCC website.

#### Decision 17/CP.21 (Paris, 2015)

At its 21<sup>st</sup> meeting, the COP (decision 17/CP.21) provided “*Further guidance on ensuring transparency, consistency, comprehensiveness and effectiveness when informing on how all the safeguards referred to in decision 1/CP.16, appendix I, are being addressed and respected*”. The decision urged Parties to periodically provide a Summary of information (SoI) in reporting how safeguards are addressed and respected in accordance with decisions 12/CP.17 and 12/CP.19; summaries of information to include information on national circumstances and based on relevant information to addressing and respecting the safeguards; a description of each safeguard in accordance with national circumstances; and to take a step-wise approach in improving the information provided in the summary of information.

<sup>13</sup> Decision 12/CP.17: Guidance for systems for providing information on how safeguards are addressed and respected and modalities relating to forest reference emission levels and forest reference levels referred to in decision 1/CP.16.

<sup>14</sup> Decision 12/CP.19: The timing and the frequency of presentations of the summary of information on how all the safeguards referred to in decision 1/CP.16, appendix I, are being addressed and respected.

### 1.3.2 GCF pilot programme for results-based payments and its safeguards requirements<sup>15</sup>

GCF is currently using the International Finance Corporation's Performance Standards for Environmental and Social Sustainability as its interim Environmental and Social Safeguards (ESS) Standard<sup>16</sup>, which consists of eight performance standards.

These standards emphasize on defining the requirements to manage environmental and social risks anticipated to be generated by projects and programmes. However, as RBPs relate to achieved results, the environmental and social outcomes and the way the risks and impacts have been managed in the course of implementing the results-generating activities are considered. The REDD+ activities, therefore, will be assessed retroactively based on how the environmental and social risks and impacts have been managed in a manner that is consistent with the applicable and relevant requirements of the GCF ESS standards. In addition, countries applying for results-based payments (RBPs) will have to demonstrate how the Cancun safeguards have been addressed and respected in the implementation of the REDD+ activities, during the relevant year(s) for which payments are being applied for.

At its fourteenth meeting, the Green Climate Fund Board requested the Secretariat to develop a request for proposals (RFP) for REDD+ results-based payments (RBPs), including guidance consistent with the Warsaw Framework for REDD+ and other REDD+ decisions under the United Nations Framework Convention on Climate Change (UNFCCC)<sup>17</sup>.

The RFP encompasses two stages: in the first stage, the GCF receives Concept Notes from countries, and in the second stage, countries that are notified of their eligibility (according to the scoring calculated based on a template and scorecard previously established) are invited to submit a Funding Proposal to the GCF. In this context, here are some safeguards requirements established for the two stages of the RFP.

In relation to the Concept Note Stage, to be eligible for RBP under the pilot programme countries need to have in place and publicly available two safeguards elements:

- safeguards information system (SIS) to inform how the safeguards are addressed and respected; and
- summary of information on how all the Cancun REDD+ safeguards were addressed and respected (during or including the period for which RBPs are requested).

Then, for the development of the Funding Proposal, the second stage, there are some requirements that apply to the past and others that are relevant for future activities or the use of proceeds.

#### Application of GCF policies and procedures to activities undertaken in the past

- **ESS Standard – due diligence:** Accredited Entity needs to provide an assessment of how the GCF interim environmental and social safeguards standards have been met and applied for the REDD+ activities consistent with the Cancun safeguards. This Environmental and Social Assessment (ESA) will describe how the activities leading to the relevant results align with the applicable and relevant

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<sup>15</sup> Information based on the documents GCF/B.17/13 (June 2017) Pilot Programme for REDD+ Results-based Payments and GCF/B.18/06 (September 2017) Request for Proposals for the Pilot Programme for REDD+ Results-based Payments.

<sup>16</sup> Decision B.07/02 (October 2014).

<sup>17</sup> Decision B.14/03 (October 2016)

requirements of the GCF interim environmental and social standards. The ESA should indicate i) how environmental and social risks and impacts have been identified, assessed and managed; ii) how stakeholders were engaged (identified, informed, consulted and how they participated in the activities); and iii) grievance redress mechanisms (how these were accessed, the complaints that were received and how these were resolved).

- **Information disclosure:** disclosing the ESS information on activities proposed for GCF-financing. Environmental and social safeguard information that will need to be disclosed includes the summary of information provided by the countries and the environmental and social assessment provided by the entities.
- **Gender Policy:** the proposal will need to demonstrate how the implementation of results-generating actions met the GCF Gender Policy.
- **Interim Policy on Prohibited Practices:** demonstrate that through the implementation of the activities that lead to the REDD+ results, no prohibited practices occurred during the implementation period, through delivery of an appropriate due diligence report.

#### Application of GCF policies and procedures to the use of RBPs

- **ESS Standard:** Accredited Entity need to undertake the appropriate level of due diligence, through an environmental and social management framework (ESMF). It includes information on the processes that will be undertaken to manage the environmental and social risks and impacts; the policies, laws and regulations that will be applied; the description of further detailed assessments and management plans for the activities; the consultation and stakeholder engagement process that will be followed; and the grievance redress mechanisms that will be used or established.
- **Gender Policy:** describe in the funding proposal how it will undertake activity-level gender assessment and action plan in line with the activities defined.
- **Interim Policy on Prohibited Practices:** the Accredited Entity shall provide information that assures that the activities for implementing the plan for use of proceeds will follow the interim policy on prohibited practices.
- **Indigenous Peoples' Policy:** the accredited entity, as part of its due diligence report and funding proposal, shall describe how the activities will meet the requirements of the policy and guided by the prevailing relevant national laws and/or obligations applicable to the activities under relevant international treaties and agreements.
- **Risk category:** based on the information provided in the Funding Proposal and the ESMF the proposal will be categorized.
- **Monitoring and accountability framework:** A simplified reporting regime be established in place according to the use of RBPs, which should include information on the activities undertaken with GCF funding and reporting compliance with the mentioned GCF policies.
- **Non-carbon benefits:** As an optional element, countries are encouraged to provide evidence of non-carbon benefits associated to the implementation of the REDD+ activities associated with the reported results, including information on the nature, scale and importance of non-carbon benefits for the long-term sustainability of REDD+ activities.

Thus, the evaluation of the safeguards information provided in the Funding Proposal is based on a scorecard that evaluates the compliance with Cancun safeguards through the information that allows understanding how each of the safeguards was addressed and respected in the full period during which results were generated, in a way that ensures transparency, consistency, comprehensiveness and effectiveness. On the other hand, the compliance with GCF policies is assessed.

## 1.4 Objectives and Scope

The purpose of this document is to present the first summary of information (Sol) of REDD+ safeguards in Zambia in accordance with the decisions agreed in the UNFCCC framework and adopted by Zambia. In particular, the guidance established in the Decision 17/CP.21 on ensuring transparency, consistency, comprehensiveness and effectiveness when informing on how REDD+ safeguards are being addressed and respected, was followed when drafting this first Sol, which is intended to communicate how Zambia will address and respect the safeguards in implementing its National REDD+ Strategy and Investment Plan.

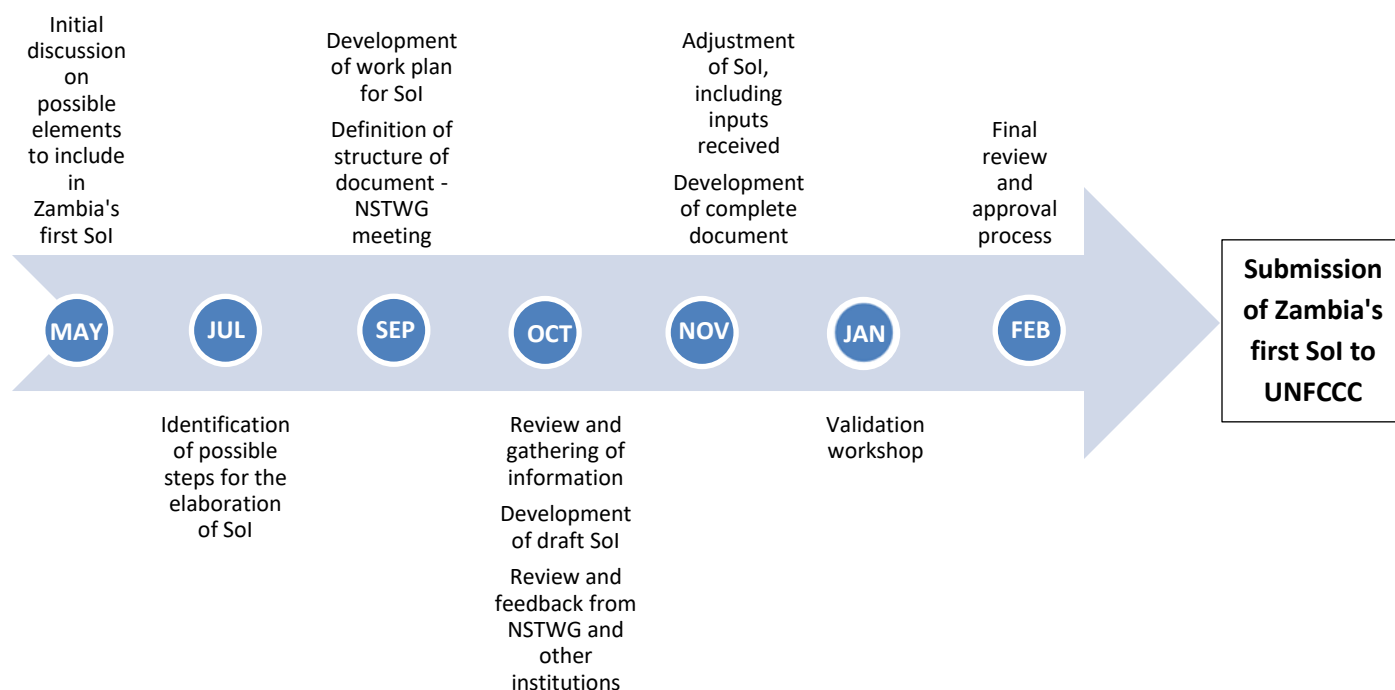
The REDD+ activities that are covered in this Sol (in line with the scope of the National REDD+ Strategy) are:

- (a) Reducing emissions from deforestation;
- (b) Reducing emissions from forest degradation;
- (c) Conservation of forest carbon stocks;
- (d) Sustainable management of forests; and
- (e) Enhancement of forest carbon stocks.

This first Sol is presented in 11 sections: **Section 1** includes the introduction outlining the country context, REDD+ work undertaken, UNFCCC decisions on safeguards and objectives of the summary of information; **Section 2** describes the process of developing this first summary of information outlining the work plan for national consultative meetings including bilateral consultations with key stakeholders; **Section 3** details the national circumstances for addressing and respecting the REDD+ safeguards in Zambia including: the types of forests; management regimes and status of the forests; the National REDD+ Strategy approach; the REDD+ Investment Plan and its core investment priorities (CIPs), key activities; and provides a brief description of subnational REDD+ projects; **Section 4** describes the country approach to safeguards including: the process developed for Risk Benefit Analysis (RBA) of the Policies and Measures (PaMs) from the Investment Plans as well as a summary of the main risks and benefits identified; and steps and inputs considered in constructing the national interpretation of the Cancun safeguards; **Section 5** explains the Safeguards Information System (SIS) design process and progress in the SIS development; **Section 6** provides a detailed account of how the seven Cancun safeguards were interpreted and shall be addressed; **Section 7** presents the conclusions; **Section 8** describes proposals for the development of the next summary of information; **Section 9** provides a glossary of key terms; **Section 10** contains the bibliography; and **Section 11** presents the annexes.

## 2. PROCESS OF DEVELOPING THE FIRST SOI OF ZAMBIA

Work on safeguards started in 2014 when Zambia was preparing to develop its National REDD+ Strategy, which was completed in 2015. The progress made to develop the SIS provided important inputs for this report. Therefore, this Sol builds on the work on safeguards from 2014-2018 culminating into this first summary of information on safeguards. Figure 4 summarizes the work undertaken to develop the first Sol of Zambia in 2019.



**Figure 4:** Work undertaken in 2018 to February 2019 to develop the first Sol of Zambia.

Further information on the activities implemented to elaborate the first Sol is provided in Annex 1, together with other steps taken in relation to safeguards processes in the country.

### 3. NATIONAL CIRCUMSTANCES

#### 3.1 Forests in Zambia

Zambia is one of the most forested countries in southern Africa with approximately 44.17 million hectares representing about 59% of its total land mass<sup>18</sup>. Based on the Global FAO Forest Resource Assessment<sup>19</sup> and Zambia's Integrated Land Use Assessment (ILUA I, 2008; and ILUA II, 2017), Zambia's forests are classified in five major types with associated predominant species: Dry deciduous forest; Moist evergreen forest; Dry evergreen forest; Forest woodland; and Forest plantation (Table 2).

**Table 2:** Area for each vegetation type in Forest Land (FRA Class) and predominant species

Forest Type	Forest Area ('000 ha)	Predominant Species
Dry deciduous forest	1,312.3	<ul style="list-style-type: none"> <li>Baikiaea forests (<i>Baikiaea plurijuga</i>)</li> <li>Kalahari woodland (<i>Baikiaea</i>, <i>Brachystegia</i>, <i>Isoberlina</i>, <i>Guibourtia</i>, <i>Julbernardia</i> and <i>Recinodendron</i> spp.)</li> <li>Mopane woodland (<i>Colophospermum mopane</i>)</li> <li>Munga woodland (<i>Acacia</i>, <i>Combretum</i> and <i>Terminalia</i> spp.)</li> </ul>
Moist evergreen forest	561.0	<ul style="list-style-type: none"> <li>Mavunda forests (<i>Cryptosepalum exfoliatum</i>)</li> <li>Mufinsa (<i>Syzygium guineense</i> spp., <i>afromontanum</i>)</li> <li>Mofu (<i>Entandrophragma delevoiyi</i>)</li> <li><i>Parinari</i> spp. and <i>Syzygium</i> spp.</li> <li>Riverine/riparian forests</li> </ul>
Dry evergreen forest	2,057.4	<ul style="list-style-type: none"> <li>Miombo woodland (<i>Brachystegia</i>, <i>Isoberlina</i>, <i>Julbernardia</i> and <i>Marquesia macropura</i> spp.)</li> </ul>
Forest woodland	40,184.5	<ul style="list-style-type: none"> <li>Bushland and thicket (<i>Acacia</i> spp., <i>Commiphora</i> spp.)</li> <li>Dambo plains with sparse trees (cc 5-10%)</li> </ul>
Forest plantation	55.0	<ul style="list-style-type: none"> <li>Eucalyptus and pine (broadleaved and coniferous spp. including: <i>E. grandis</i>, <i>E. cloeziana</i>, <i>E. tereticornis</i>, <i>E. camaldulensis</i> and tropical pines such as <i>P. kesiya</i>, <i>P. oocarpa</i> and <i>P. merkusii</i>)</li> </ul>
<b>Total</b>	<b>44,170.2</b>	

Sources: Adapted from ILUA I, 2008; and ILUA II, 2017.

Zambia's forest ecosystems contribute about 4.7% of Gross Domestic Product (GDP) to the national economy or US\$ 44.5 billion (based on 2010 figures) to about 6.3% or US\$ 47.3 billion when multiplier effects of forests and tourism-related activities on other sectors are considered (Turpie *et al.*, 2014). Forests are estimated to provide at least 1.4 million jobs, support 60% of rural households heavily dependent on forests and contribute approximately 20% of rural household incomes (Turpie *et al.*, 2014). The true value of forests, including flows of goods and services for which no reliable data are available, is likely higher.

Forest management regimes in Zambia comprise 474 forest protected areas (176 national forest reserves and 298 local forest reserves) with a total combined area 6,831,000 ha, 172 forest concessions (volume rather than area based), 19 national parks with a total area of 6.36 million hectares and 39

<sup>18</sup> Naidoo, S. Davis, C. & Archer van Garderen, E. 2013. *Forests, rangelands and climate change in southern Africa*. Forests and Climate Change Working Paper No. 12. Rome, Food and Agriculture Organization of the United Nations.

<sup>19</sup> FAO. 2014. Global Forest Resource Assessment 2015 Country Report: Zambia.

game management areas with a total area of 16.6 million hectares. Forests occurring on customary lands which account for about 54% of Zambia's total land area (Sitko *et al.*, 2015), are largely under *de facto* management and the very reason they are sometimes referred to as open areas. These are areas under the jurisdiction of local traditional chiefs and their area or village head leaders presiding over their allocation and use but have no management plans. National Forest Reserves (NFRs) are set aside as protected forest areas for their significant value and interest to the country, e.g., water catchment protection, biodiversity conservation, etc. Similarly, Local Forest Reserves (LFRs) are set aside for their local significance to adjacent local communities such as for subsistence livelihoods, biodiversity conservation or cultural significance. Concession licenses occur on all land categories. However, exploitation of forest resources in NFRs and LFRs as well as open areas for commercial purposes requires a government license.

In terms of the status of forests in the country, Zambia has a comparatively high rate of annual deforestation at 276,021 hectares (ILUA II, 2017). The proximate drivers of deforestation and forest degradation in Zambia are agricultural expansion (commercial and subsistence), heavy reliance on wood fuel – energy demand (charcoal and firewood), unsustainable timber extraction (both legal and illegal), infrastructure development (e.g., mining, hydro dams and other large infrastructural developments) and forest fires (Vinya *et al.*, 2011; Matakala *et al.*, 2015). The underlying causes or indirect drivers of deforestation and forest degradation include high poverty levels especially in rural areas where it is estimated at 75% and 35% in urban areas (World Bank, 2012), demographic factors such as high population growth, economic and technological constraints including high unemployment levels currently estimated at 50% (CIA World Factbook, 2018), policy and institutional arrangements including weak policy enforcement and environment factors such as climate change and variability.

### **3.2 National REDD+ Strategy**

#### ***Approach***

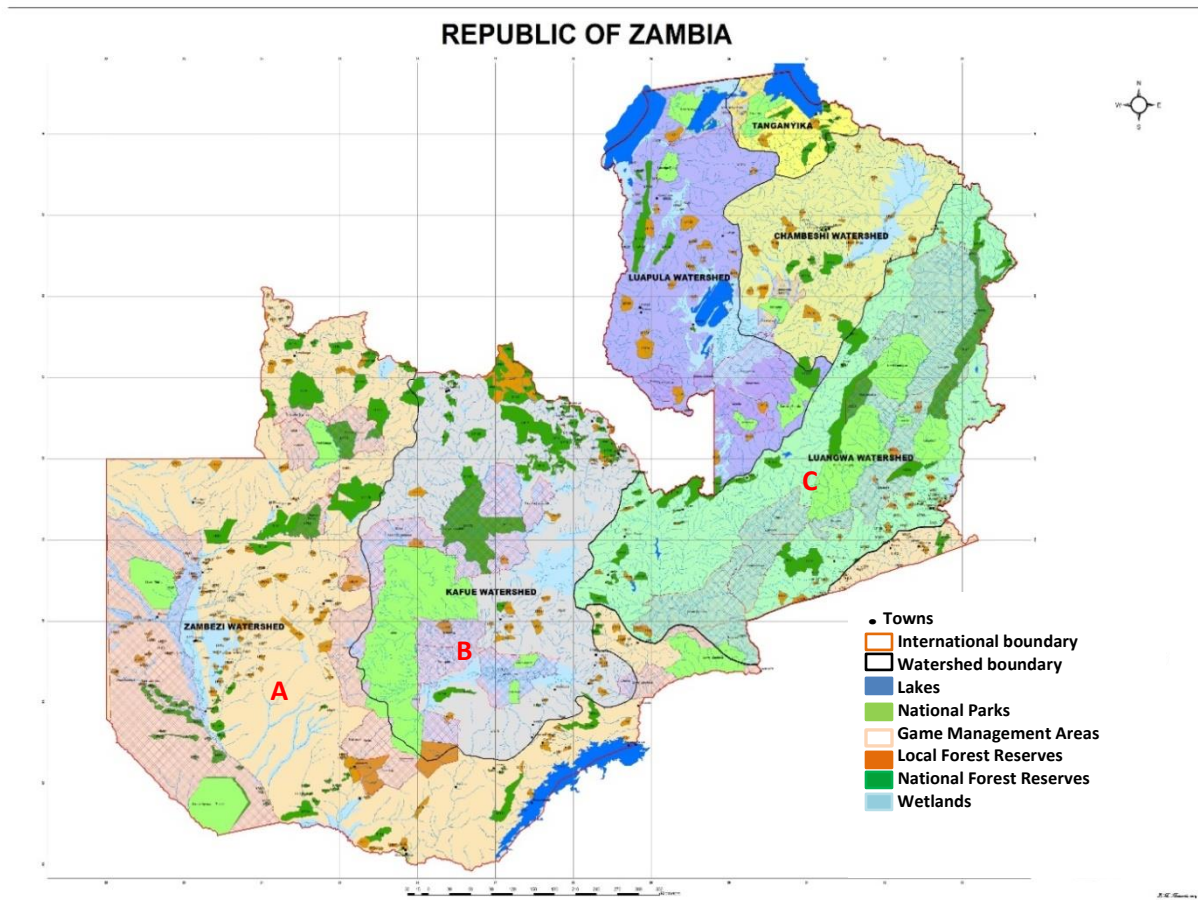
Zambia developed its National REDD+ Strategy in 2015<sup>20</sup> which promulgates a landscape implementation approach, at a watershed level, recognizing that such an approach allows for dealing with drivers of deforestation and forest degradation in an integrated and multidisciplinary manner combining natural resources management with environmental and livelihood considerations. A holistic and integrated approach at watershed level will help avoid duplication, scattering of resources and conflicts among resource managers, which include local communities. The landscape approach will ensure that different aspects are dealt with simultaneously in a manner that coordinates sectoral investments and maximizes outputs and benefits. It also gives traction to the decentralization process to empower communities at lower levels to be active managers of natural resources that underpin their socio-economic well-being.

Zambia has six main watersheds (Figure 5) namely: Zambezi; Kafue; Luangwa; Luapula; Chambeshi; and Tanganyika. Of the six watersheds, three were prioritized as focal landscapes for REDD+ implementation (Zambezi, Kafue and Luangwa) owing to their significant forest cover (accounting for about 70% of total forest resources in the country), heightened levels of both existing and potential deforestation and forest degradation, and high potential for development (e.g., mining, agriculture,

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<sup>20</sup> Matakala, P.W. M. Kokwe and J. Statz. 2015. Zambia National Strategy to Reduce Emissions from Deforestation and Forest Degradation. Report prepared for Forestry Department, Ministry of Lands and Natural Resources and UNDP under the Zambia UN-REDD Programme.

infrastructure, etc.)<sup>21</sup>. Nested within these focal landscapes are protected forest areas (national and local forests), open areas, national parks and game management areas, major wetlands and rivers, agricultural and mining activities, infrastructure developments, human settlements and at jurisdictional level – Traditional Authorities (TAs), Provincial Development Coordinating Committees (PDCCs), District Development Coordinating Committees (DDCCs) and Area Development Committees (ADCs); all overseeing development in their respective jurisdictions.



**Figure 5:** Priority focal landscapes for REDD+ implementation in Zambia – **A, B, and C**  
(Source: Matakala *et al.*, 2015).

### ***Strategic objectives***

The National REDD+ Strategy lists 10 strategic objectives:

- i. By 2030, threatened and unsustainably managed national and local forests are effectively managed and protected to reduce emissions from deforestation and forest degradation and contribute with ecosystem services across selected landscapes;
- ii. By 2030, selected high value forests in open areas are effectively managed and monitored;
- iii. By 2030, all timber concession areas have management plans that are enforced and monitored with the full participation of local communities;

<sup>21</sup> *Ibid.*



- iv. By 2030, good agricultural practices that mitigate carbon emissions adopted;
- v. By 2030, regulated production of wood fuel (charcoal & firewood) and its improved utilization in place;
- vi. By 2020, appropriate and affordable alternative energy sources widely adopted;
- vii. By 2020, threatened and sensitive protected areas legislated as "no-go areas" for mining and infrastructure development;
- viii. By 2025, mining industry contributing to management of surrounding indigenous forests and establishment of forest plantations for own timber needs;
- ix. By 2025, land and resource rights on customary land legislated and secured; and
- x. By 2020, relevant institutions capacitated to enable them to plan, manage, implement and monitor REDD+ programme activities.

### ***Safeguards elements***

The REDD+ strategy advocates national interpretation of the Cancun safeguards and design of a Safeguard Information System. In designing REDD+ SIS for Zambia, the strategy notes it will be important to ensure that the SIS builds on existing systems and country experiences. The strategy identifies ZEMA as the mandated institution under the Environmental Management Act (Part III, section 20) responsible for collecting and publicising information on the quality of the environment including any significant adverse effects that have been caused or are likely to be caused. It is also mandated to report on all international agreements to which Zambia is a party and on their domestic implementation. It is worth noting that there is already a registry existing at ZEMA on environmental information archiving and reporting upon which REDD+ can build on for its SIS.

### **3.3 REDD+ Investment Plan**

Zambia's REDD+ Investment Plan, developed in 2017<sup>22</sup>, identifies three Core Invest Priorities (CIPs):

- (i) Conservation of high-value forest areas;
- (ii) Promotion of resilient landscapes, sustainable agriculture and energy; and
- (iii) Policy and institutions.

In this context, Table 3 below summarizes the relationships between the National REDD+ Strategy's sectoral priorities, strategic objectives and the CIPs of the Investment Plan.

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<sup>22</sup> Matakala, P.W. 2017. Zambia National Investment Plan to Reduce Deforestation and Forest Degradation (2018-2022). Ministry of National Development Planning (MNDP) and Ministry of Lands and Natural Resources (MLNR). Forestry Department, Lusaka, Zambia.

**Table 3:** Relationships among REDD+ Strategy Sectoral Priorities, Strategic Objectives and Core Investment Priorities.<sup>23</sup>

REDD+ Strategy Sectoral Priorities	REDD+ Strategy Strategic Objectives (SOs)	Core Investment Priorities (CIPs)
Forestry	1. Management and protection of national and local forests	#1
	2. Management of high value forests in open areas	#1
	3. Management of forest concession areas	#1
Agriculture	4. Adoption of climate-smart agriculture (CSA)	#2
Energy	5. Regulated and improved wood fuel management	#2
	6. Development and adoption of alternative energy sources	#2
Mining	7. Threatened and sensitive protected areas identified and legislated as “no-go-areas” for mining and infrastructure development	#3
	8. Mining sector contributes to management of forest resources	#1
Land use and infrastructure	9. Land and resource rights legislated and secured	#3
Capacity development	10. Institutions capacitated for REDD+	#3

Source: Matakala, 2017

These investment priorities will, respectively, respond to the combined-three-way aspiration **to conserve, recover and restore** forest production landscapes in Zambia supported by an enabling environment. The third Core Investment Priority focuses on strengthening governance and technical capacities of local communities for forest management and conservation, capacity development, security of land and resource rights and key targeted policy reforms – all through a gender lens and effective knowledge management.

### 3.4 Subnational REDD+ Implementation

Zambia has ongoing REDD+ projects at subnational level that are funded by various bilateral and multilateral donors, but which are aligned with the National REDD+ Strategy and Investment Plan. The country is committed to ensure that safeguards are linked to the implementation of the actions conducted by those projects.

Although the UNFCCC requires that a SIS provides information at a national level, subnational systems could be used to feed into a SIS. This may be particularly important when providing information on how safeguards have been respected over time, i.e. demonstrating how PLRs have been implemented, the social and environmental benefits of REDD+ actions have been enhanced, and the risks are mitigated.

Currently, the operational links between national/subnational REDD+/safeguards implementation are under discussion, however, GRZ is aware of this challenge posed by multiple safeguard processes

<sup>23</sup> The Sectoral Priorities and the Strategic Objectives are taken from the National REDD+ Strategy. Capacity development was not a sectoral priority per se but was included in the Strategy as a cross-cutting priority and included in this IP as a Supportive Programme. The Strategic Objectives are paraphrased here; see Section 3.2 above for a fuller description.

operating in parallel within the country and is committed to harmonizing these processes and creating coherence among these different platforms in the immediate future.

### **3.4.1 Zambia Integrated Forest Landscape Project (ZIFLP)**

The ZIFLP encompasses a series of investments totaling US\$ 33.05M from the Bio-Carbon Fund Initiative for Sustainable Forest Landscapes (BioCF – US\$ 8.0M), Global Environmental Facility (GEF – US\$ 8.05M) and the International Development Agency (IDA –US\$ 17.0M) to ultimately facilitate results-based payments for carbon storage and reduced carbon emissions resulting from reduced deforestation and forest degradation<sup>24</sup>. ZIFLP fits within the National REDD+ Strategy and Investment Plan as well as the Seventh National Development Plan and the longer-term Vision 2030 of the Government of Zambia, to create the necessary enabling environment and finance the livelihood investments in agriculture, forestry, and wildlife as well as biodiversity conservation. Financing from the GRZ itself and a range of other donors will be making the investments necessary to set the stage for results-based payments for emissions reductions.

The Project Development Objective (PDO) of the ZIFLP is to improve landscape management and increase the flow of benefits for targeted rural communities in the Eastern Province covering nine districts, namely: Nyimba; Petauke; Sinda; Katete; Chipata; Lundazi; Chadiza; Vubwi; and Mambwe. However, the project's long-term goal is to cover all 14 districts of Eastern Province. The ZIFLP aims to achieve on average emission reductions of 3.5 million tCO<sub>2</sub>e/year (35 million tCO<sub>2</sub>e in total) in addition to other co-benefits<sup>25</sup>. The project is currently benefiting from REDD+ readiness activities in place at the national level that were supported by the UN-REDD Programme in the process of developing the National REDD+ Strategy.

With respect to safeguards, ZIFLP considers and applies the World Bank policies and safeguards frameworks including the Environmental & Social Management Framework (ESMF), Process Framework (PF), Resettlement Process Framework (RPF), Feedback and Grievance Redress Mechanism (FGRM), a Land Study and Social Impact Assessment (SIA).

However, ZIFLP has just recently fielded a consultancy to undertake a Strategic Environmental and Social Assessment (SESA) in the project area in order to integrate environmental and social considerations into the emission reduction strategies in Eastern Province in a manner consistent with Zambia's Environmental Management Act of 2011, World Bank's environmental and social safeguard policies and the Cancun safeguards, taking into account special consideration to livelihoods, access rights, cultural heritage, ecosystems and natural habitats, gender, vulnerable groups, governance, capacity building and biodiversity.

Considering that Zambia has just recently completed its national interpretation of the Cancun safeguards, the results of the SESA assignment offer an opportunity to map and streamline the results with the national interpretation of the Cancun safeguards – the core element of Zambia's SIS to be finalized in 2019. The SIS will serve as the main repository and information source for all safeguards-related information across the REDD+ programmes, including the ZIFLP. While ZIFLP will not support the development of the SIS, it will support the integration of World Bank safeguards relevant information

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<sup>24</sup> MNDP. 2018. Background to the Terms of Reference to undertake a Strategic Environmental and Social Assessment (SESA) for ZIFLP.

<sup>25</sup> MNDP. 2018. Background to the Terms of Reference to undertake a Strategic Environmental and Social Assessment (SESA) for ZIFLP.

into the SIS through the mapping exercise highlighted above based on Zambia's interpretation of the Cancun safeguards.

### 3.4.2 Voluntary carbon market REDD+ projects

#### 3.4.2.1 Bio-Carbon Partners (BCP)

The BCP is implementing two REDD+ - related projects (Figure 6): (i) the **Lower Zambezi REDD+ Project (LZRP)**; and the **Luangwa Community Forests Project (LCFP)**. The LZRP is supported by the USAID-funded Community Forests Programme and is Zambia's first Verified Carbon Standard (VCS) REDD+ project. The project is aimed at reducing emissions from deforestation and forest degradation (REDD+) on 40,126 ha of privately-owned land in Rufunsa district of Lusaka Province at 187,143 tons of carbon equivalent per year. The Project Area is known as 'Rufunsa Conservancy', and is owned by a Zambian company named Sable Transport Limited. Specific objectives of the LZRP include: community protection of threatened forests; income generation from forest-based enterprises and market access; improved livelihoods; habitat protection for lion, sable, ground hornbill and roan; and supporting conservation in the Lower Zambezi Ecosystem. The population of the LZRP area is approximately 8,300 people living in 28 villages spread within four community zones.

The **LCFP** is a large scale REDD+ project supported by USAID and implemented in Eastern and Lusaka Provinces of Zambia with a project area of 1,000,382 ha. The project objectives are similar to those of the LZRP except the focus for habitat protection is for elephants, wild dogs, leopards, thornicroft giraffe and lions and the support for conservation is in the Luangwa Valley ecosystem. The LCFFP is expected to end early 2019, providing start-up financing to support the establishment of REDD+ in the Zambezi and Luangwa Valley ecosystems. It is being implemented on communal land in 12 chiefdoms falling within Game Management Areas (GMAs) and two private ranches (Figure 6). Implementation is in partnership with the traditional authorities and the Government of the Republic of Zambia.

Both the LZRP and LCFP fit within the National REDD+ Strategy and Investment Plan and In the context of safeguards, BCP is an active member of the National Safeguards Technical Working Group (NSTWG) and intends to follow Zambia's SIS provisions based on the nationally interpreted Cancun safeguards once it starts trading carbon offsets in 2019 from both project sites.



**Figure 6:** Map showing locations of Bio-Carbon Partners' Projects in Eastern Zambia  
(Source: <https://biocarbonpartners.com/our-work/our-work/>)

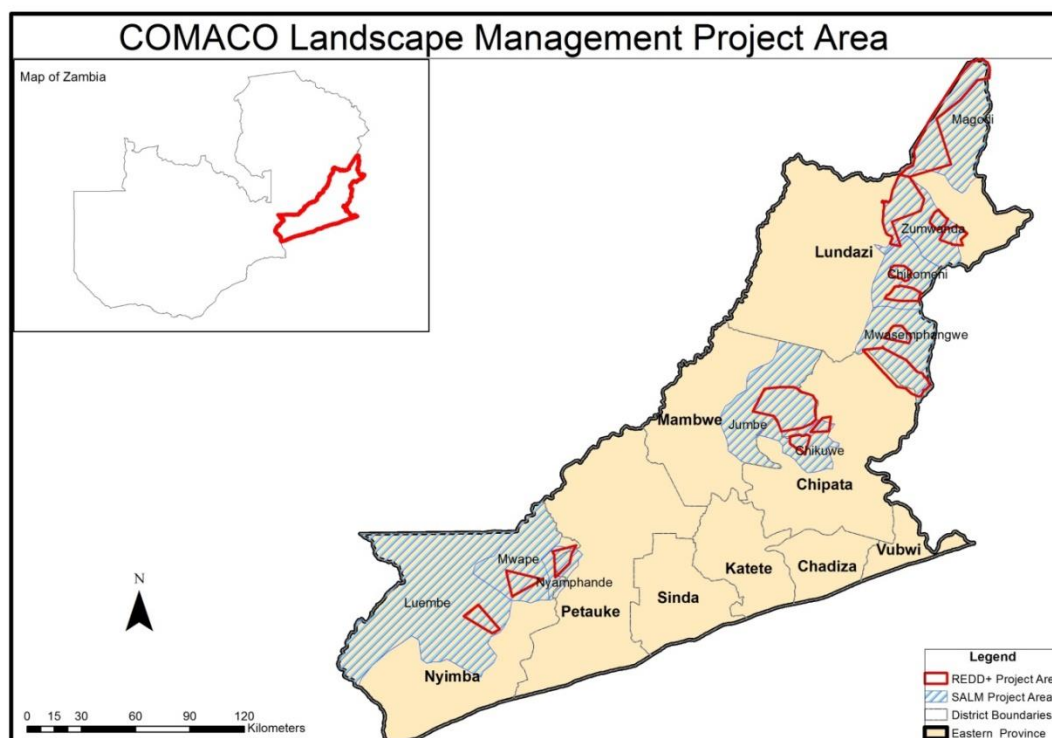
### 3.4.2.2 COMACO Landscape Management Project

Community Markets for Conservation (COMACO) is implementing a World Bank-funded Landscape Management Project in the Eastern Province of Zambia involving 38 chiefdoms across the province (Figure 7). The project approach is avoided deforestation through establishment of Community Conservation Areas (CCAs) which cover over one million hectares of land and promotion of alternative livelihood options through bee-keeping and sustainable agriculture land management (SALM) practices. The project has three expected outcomes (COMACO, 2018):

**Outcome 1:** Improved livelihood of the rural communities living within the project area;

**Outcome 2:** Reduced emissions from deforestation and forest degradation through sustainable forest management and climate smart agriculture; and

**Outcome 3:** Improved community infrastructure supported by the project.



**Figure 7:** COMACO Landscape Management Project Area (*Source: COMACO, 2018*)

With respect to safeguards, and like the ZIFLP, the COMACO Landscape Management Project considers and applies the World Bank policies and safeguards frameworks including the ESMF, PF, RPF, FGRM and SIA. COMACO is an active member of the NSTWG and intends to follow Zambia's SIS provisions in addressing and respecting safeguards based on the nationally interpreted Cancun safeguards.

#### 4. COUNTRY APPROACH TO SAFEGUARDS

Zambia's interpretation of the Cancun safeguards attempted to characterize each safeguard according to the country's context and circumstances. The interpretation, developed in 2018, was informed by four main elements: i) the risks and benefits assessment conducted in the country; ii) inputs regarding relevant policies, laws and regulations, which were determined as part of the National Strategy development process; iii) gaps and gap-filling measures identified during the process of assessing risks and benefits, and iv) discussions and progress made for designing the SIS (details of the steps and actions implemented are provided in Annex 1). Through two workshops, the information considered for building the national interpretation of safeguards was updated and strengthened by the inputs and feedback provided by the NSTWG members and other stakeholders through bilateral consultations.

The environmental and social risks and potential benefits were assessed in relation to the REDD+ actions proposed in the Investment Plan. The results of this work informed adjustments and were incorporated in the mentioned Investment Plan. This assessment was conducted in 2017 through a participatory process that involved NSTWG members and other relevant participants from the Western Province.

A number of benefits and risks associated with the proposed policies and measures from the investment Plan were identified in relation to access to land and resources, quality of environment, governance and socio-economic aspects. A detailed description of the risks and benefits including suggested measures to enhance benefits and mitigate risks can be found in Annex 2.

In addition, the process developed to design the SIS contributed to the determination of the national interpretation of safeguards, as the discussions carried out provided important inputs regarding existing procedures, mandates of institutions, and sources of information relevant for the report on safeguards. More detailed information about the SIS design process can be found below in Section 5.

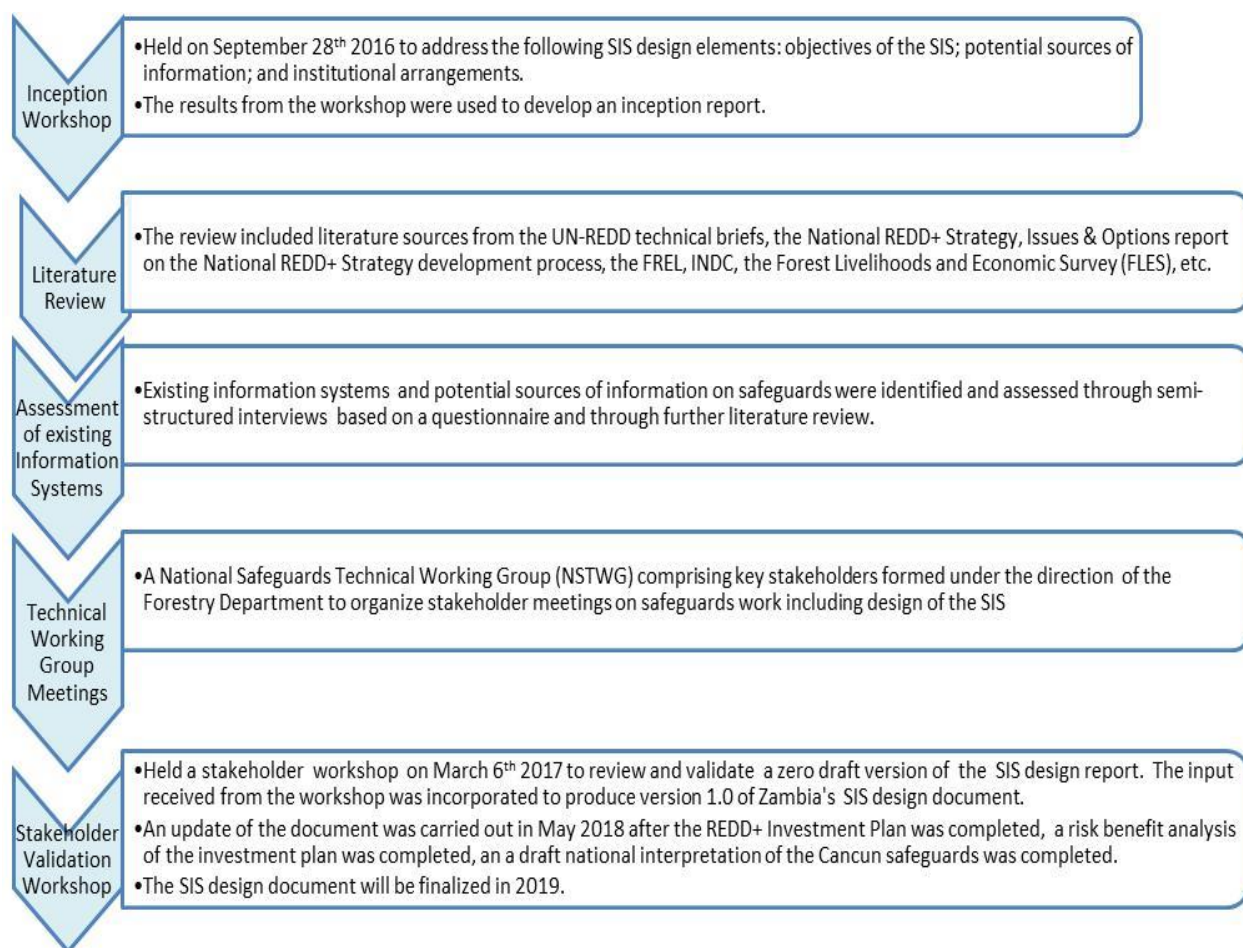
The structure of the information on addressing safeguards included in section 6 of this Sol is guided by the national interpretation of the Cancun safeguards. In that section of the document the country presents key information on relevant policies, laws and regulations, as well as priority gap-filling measures that have been identified.

## 5. SAFEGUARDS INFORMATION SYSTEM (SIS) DESIGN

Zambia developed and updated its Framework Design Document v1.0 of Safeguards Information System (SIS) in 2017. This document will be finalized in 2019.

### 5.1 SIS Design Process

The SIS design process involved the following steps undertaken to design the system (Figure 8).



**Figure 8:** Steps involved in the SIS development process

### 5.2 Progress in SIS Development

#### 5.2.1 Vision and objectives

In line with UNFCCC guidance and to support Zambia's National REDD+ Strategy and Investment Plan, the vision of Zambia's SIS is to be a source for accurate, consistent, comprehensive, up-to-date and accessible REDD+ safeguards information with the following objectives:

- a) to improve the design of REDD+ actions and the National REDD+ Strategy/Investment Plan implementation, based on safeguards information;

- b) to use safeguards information to inform evidence-based reform of national policies, laws and regulations (PLRs), strengthen PLR implementation and identify investment priorities; and after 2020, and when Zambia has built further capacity and acquired more experience in operating its SIS, two other objectives will be considered for adoption –
- c) to improve institutional capacity and the operation of existing information systems; and
- d) to contribute to the implementation of, and reporting to, international conventions and obligations.

## 5.2.2 Information content and structure

The SIS content will focus on key concerns for each safeguard as identified in the national interpretation clarifying what information is needed: Type I; Type II or Type III (see boxes below). At the same time, information on existing PLRs shall be complemented by information on REDD+ specific safeguards measures in order increase their visibility and because this information is more readily available.

### Box 1: Type I Information

**Type I** - Information on how safeguards are being addressed, i.e., what arrangements have been put in place to ensure that REDD+ PaMs will be implemented in line with the safeguards. These arrangements are likely to build on existing PLRs that contribute to meeting the Cancun safeguards. They may also include PLR reforms to close identified gaps in the existing legal framework, efforts to strengthen capacities for PLR implementation, or REDD+-specific arrangements such as procedures for screening proposed PaMs against the Cancun safeguards or guidelines for PaM implementation.

### Box 2: Type II Information

**Type II** - Information on how the safeguards arrangements described under Type I are being implemented in practice. This type of information allows an assessment of whether the safeguards are being **respected**, in terms of whether or not they are reflected in the way REDD+ actions are being undertaken.

### Box 3: Type III Information

**Type III** - Information on the outcomes of REDD+ implementation in relation to the safeguards. This type of information allows an assessment of whether the safeguards are being respected in terms of actual results (e.g., whether the intended social and environmental benefits of REDD+ are achieved and risks avoided).

A *simplified structure* containing a numbered list of information categories shall be used based on concise tables. The information categories include:

1. Text of the safeguard;
2. National interpretation of the safeguard;
3. Potential benefits of REDD+ actions related to the safeguard;
4. Potential risks of REDD+ actions related to the safeguard;



5. How the safeguard is addressed:

Safeguard	Key concerns from national interpretation	Provisions in existing PLRS	REDD+ specific safeguard measures	Measures taken to strengthen implementation	Remaining gaps	Plans to improve safeguard application/ address gaps
a						
b						
Etc.						

6. How the safeguard is respected in the way REDD+ actions are implemented (process):

Safeguard	Key concern from national interpretation	Practice of REDD+ implementation	Areas for improvement
a			
b			
Etc.			

7. How the safeguard is respected in terms of actual outcomes (impact):

Safeguard	Key concern from national interpretation	Outcomes of REDD+ implementation	Opportunities to improve outcomes
a			
b			
Etc.			

### 5.2.3 Institutional arrangements

The institutional arrangements for the SIS include a variety of government agencies executing different roles and responsibilities. Figure 9 highlights the potential institutional arrangements including the coordinating body, host institution for the SIS, primary, secondary and tertiary, all with differentiated roles and responsibilities.

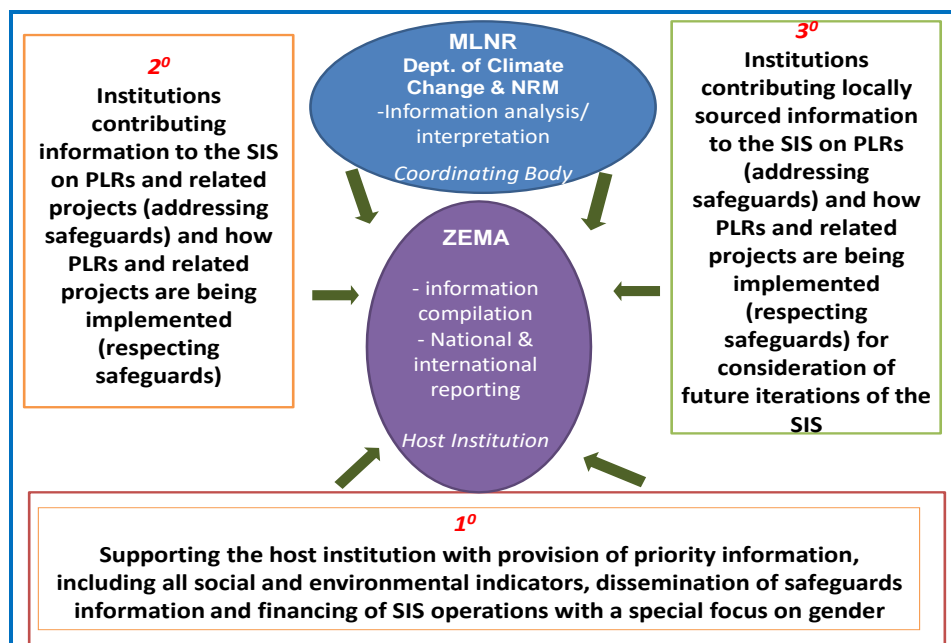


Figure 9: Proposed national institutional arrangements for Zambia's SIS

1. *Coordination* – The Department of Climate Change, Ministry of Lands and Natural resources is the focal point for climate change in Zambia. This Department will be responsible for overall coordination of SIS activities, information analysis and interpretation, cross-sectoral/ministerial liaison and integration.
2. *Hosting SIS* – Zambia Environmental Management Agency (ZEMA) is the proposed host institution for the SIS, responsible for information compilation and management, as well as national and international reporting.
3. *Primary Institutions* – Potential institutions include: the Forestry Department which currently hosts the NFMS with its associated web portal (<http://www.zmb-nfms.org>) for disseminating information, ILUA II and Forest Livelihood Economic Survey (FLES); Ministry of Finance for financing SIS operations through the national budgetary allocation system; the Central Statistical Office (CSO) responsible for the coordination and provision of timely, high-quality and credible official statistics for use by stakeholders and clients for sustainable development. It also reports on FLES. The core responsibility of primary institutions is to support the host institution with provision of priority information, dissemination and financing of SIS operations.
4. *Secondary Institutions* – Potential institutions include: Ministry of Agriculture; Ministry of Mines and Minerals Development; Ministry of Transport and Communications; Department of Energy; Department of National Parks and Wildlife; Department of Water Affairs; and Water Resources Management Authority. The core responsibility of secondary institutions is to contribute information to the SIS on PLRs (addressing safeguards) and how PLRs are being implemented in practice (respecting safeguards). These are agencies generally associated with the direct drivers of deforestation and forest degradation.
5. *Tertiary Institutions* – Potential institutions include: Ministry of Chiefs and Traditional Affairs; Ministry of Local Government and Housing; Ministry of Justice; Ministry of Gender; Department of Resettlement; Research and Academic Institutions; Chamber of Mines; Anti-Corruption Commission; Zambia National Farmers' Union; Private Associations; Non-Governmental Organizations/Civil Society; Media Houses; etc. Generally, these are institutions close to or involved in ground implementation of PLRs and therefore responsible for providing on-ground evidence to the SIS on how safeguards are addressed and respected.

#### 5.2.4 Links to other systems

The Zambian government has taken a strategic approach to building on existing national institutions to incorporate some of the work on REDD+ into their operations. For example, the socio-economic survey instrument of ILUA II, the FLES, is embedded and institutionalized in the CSO. FLES also incorporates the survey needs of REDD+ safeguards information and by institutionalizing the process, the government aims to integrate key elements of REDD+ into its own planning and programming processes. While FLES has valuable information, it does not provide adequate information on all key elements of the national interpretation of the Cancun safeguards (UN-REDD, 2014).

Zambia has a decentralized NFMS operating in 10 provinces. The system is hosted by the Forestry Department, which has since created a web portal for relaying information from the provincial forest monitoring laboratories to the central level and for sharing information (<http://www.zmb-nfms.org>). The NFMS is one of the four key UNFCCC elements for REDD+, and may contribute important

information to a SIS. Zambia's NFMS is based on a combination of three main components (satellite land monitoring system, national forest inventory and greenhouse gas inventory), which provide the following information in the context of REDD+: 1) information suitable for measuring, reporting and verifying (MRV) anthropogenic forest-related greenhouse gas emissions reductions and enhanced removals; and 2) information on forest carbon stock and forest area changes resulting from REDD+ activities.

Both the functions of, and information collected through, the NFMS shall contribute to the SIS, such as through providing information on forest cover change that would be relevant to the Cancun safeguards (e) - natural forests and biological diversity, (f) – reversals, and (g) - displacement. The possible contributions of the NFMS to the SIS shall be assessed jointly by teams working on each system, taking into account associated costs, capacities and institutional arrangements.

### **5.3 SIS Development Process**

To finalize the SIS and ensure that it is functional will require the following actions:

- Use the final national interpretation as primary basis for specifying information needs;
- Identifying existing or needed institutional arrangements to provide information for the SIS, focusing at an initial stage on Type 1 information on how safeguards are addressed;
- In parallel, with compiling Type I information, start to clarify approaches for developing Type II and Type III information on how safeguards are respected;
- Once options for Type II and III information have been assessed, set priorities for information to be included in SIS versions 1.0;
- Revise the design of SIS v1.0 to incorporate lessons learned and close gaps in information coverage, leading to a fully operational SIS v1.1 that meets all objectives identified for Zambia's SIS and undertake a stakeholder engagement process in the revision of the SIS document, incorporating the proposed institutions identified in the institutional arrangements;
- Continue to conduct capacity building for key institutions for SIS (based on further identified capacity need) to meet their capacity needs with respect to their different functional responsibilities in operating the SIS; and
- Develop an operational manual on how to use the SIS, the manual should also be used in the capacity building endeavours.
- Determine IT requirements and work toward building an on-line platform.

## 6. INTERPRETING AND ADDRESSING THE CANCUN SAFEGUARDS

According to the UN-REDD Programme Safeguards Coordination Group (2016), and as understood by Zambia, addressing and respecting safeguards are defined as follows:

- a) **Safeguards are addressed** – is understood to mean that the existing or revised body of PLRs in Zambia, and associated institutional arrangements are in place *on paper* to deal with the potential benefits and risks associated with REDD+ actions; and
- b) **Safeguards are respected** – is understood to mean that these PLRs, through the associated institutional arrangements, are implemented and enforced *in practice*, and that this implementation affects real and positive outcomes on the ground, in line with the Cancun safeguards.

This Summary of information focuses on how Zambia “is addressing” the Cancun safeguards and how it is going to respect those safeguards as it moves towards substantive REDD+ implementation and results-based payments.

### 6.1 *Safeguard (a): [REDD+] actions complement or are consistent with the objectives of national forest programmes and relevant international conventions and agreements.*

#### 6.1.1 National interpretation

REDD+ activities shall be designed and implemented to be consistent with the objectives of all relevant national policies, strategies/plans and programmes in Zambia, including those related to forestry, sustainable agriculture, sustainable land use, climate change and sustainable development<sup>26</sup>. REDD+ activities shall further be designed and implemented to be consistent with the objectives of international and regional agreements including human rights treaties to which Zambia is party<sup>27</sup>.

Consistency in this context means that REDD+ activities should not lead to impacts that could make it more difficult or impossible to reach the objectives of the policies, programmes and agreements identified above, and that they should make a contribution to those objectives wherever possible.

Where potential conflicts are identified between plans for REDD+ and other policies, plans or programmes, these will be referred to the Zambia Environmental Management Agency (ZEMA), the mandated institution for SIS registry, quality control and quality assurance in accordance with institutional arrangements for REDD+ implementation specified in the National REDD+ Strategy and this Sol.

#### 6.1.2 Policies, laws and regulations (PLR) key for addressing this safeguard

**Relevant National Policies:** National Forest Policy 2014; National Biodiversity Strategy and Action Plan (NBSAP 2015); The Seventh National Development Plan (7NDP) 2017-2021; The Zambia Forest Action

<sup>26</sup> These include: the National Forest Policy, 2014; the National Biodiversity Strategy and Action Plan, 2015; the Seventh National Development Plan (7NDP), 2017-2021; the Zambia Forest Action Plan (ZFAP), 1998-2018; the National Gender Policy, 2015; Vision 2030; the National Policy on Environment, 2007; the National Adaptation Plan of Action on Climate Change (NAPA), 2007; the National Climate Change Policy, 2016; the Decentralization Policy Implementation Plan, 2015.

<sup>27</sup> Regional agreements include: the SADC Protocol Against Corruption, 2001; the SADC Protocols on Forests, Water, Wildlife, Energy and Agriculture; the African Charter on Human and People's Rights (ACHPR); the Africa Agenda 2063. International agreements include: UNFCCC; UNCBD; UNCCD; the Ramsar Convention; CITES.

Plan (ZFAP) 1998-2018; The National Gender Policy 2015; Vision 2030; The National Policy on Environment 2007; The National Adaptation Programme of Action on Climate Change (NAPA), 2007; The National Climate Change Policy 2016; The Decentralization Policy 2013; and the National Energy Policy 2008.

**Relevant Laws and Regulations:** The Forests Act of 2015; the Environmental Management Act of 2011; the Protection of Traditional Knowledge, Genetic Resources and Expressions of Folklore Act of 2016; the Zambia Wildlife Act of 2016; the Urban and Regional Planning Act of 2015; the Employment Act 2015; the Water Resources Management Act 2011; the Lands Act 1995; the Lands Regulations (Customary Tenure Convention Regulation, S.I. 89 of 1996); the Chiefs Act (Cap. 287 of the Laws of Zambia).

**Relevant Regional Agreements:** African Charter on Human and People's Rights (ACHPR); Africa Agenda 2063; SADC Protocol Against Corruption 2001; SADC Protocols on Forests, Water, Wildlife, Energy and Agriculture.

**Relevant International Agreements:** UNFCCC; UNCBD (including Aichi Targets); UNCCD; Ramsar Convention; CITES; and United Nations Convention Against Corruption (UNCAC).

An assessment of compatibility and consistency was carried out for Zambia's National REDD+ Strategy (2015) to assess how the Strategy aligns with important national policy, legislative documents on forestry, land, environment, energy, agriculture, mining and infrastructure development, water, wildlife, climate change and development<sup>28</sup> as well as relevant national action plans/strategies on development, forestry, biodiversity conservation, climate change and agriculture. Consistency was also assessed with the African Convention on the Conservation of Nature and Natural Resources and the SADC Protocols on Forests, Water, Wildlife, Fisheries, Agriculture, Energy and Trade. For international conventions, consistency was assessed with the UNCBD, UNCCD, UNFCCC, CITES and the Convention on Wetlands of International Importance especially as Waterfowl Habitat (Ramsar Convention). In addition, a REDD+ legal readiness study<sup>29</sup> was carried out between 2011 and 2013 to assess the legal entry points for REDD+ interventions/actions.

The results of the assessments showed that Zambia was largely ready to engage in REDD+ but with some key gaps that needed to be addressed particularly in the following sectors: agriculture; mining and infrastructure development; energy; forestry; and land. These are the same sectors largely responsible for deforestation and forest degradation in the country.

### 6.1.3 PLR gap-filling measures

This safeguard will mainly be addressed through the coordination structures for REDD+ that are outlined in the National REDD+ Strategy, whose operating procedures will be detailed further through appropriate terms of reference.

It is further recommended to:

- Undertake an assessment of policy, legal and/or regulatory inconsistencies and conflicts within the current policy, legal and regulatory frameworks that are relevant to REDD+ safeguards in Zambia;

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<sup>28</sup> Matakala, P.W. 2014. Technical Paper on the Adequacy of Policy, Legal and Regulatory Instruments for REDD+ Implementation in Zambia: Issues and Options. Ministry of Lands, Natural Resources and Environmental Protection (MLNREP) and UNDP (UN-REDD Programme), Lusaka, Zambia.

<sup>29</sup> FAO, UNREDD and IDLO, Legal Preparedness for REDD+ in Zambia, November 2011.

- Enhance effective inter-ministerial coordination between and among concerned government institutions that have a stake in REDD+ implementation;
- Expedite the establishment and operationalization of the REDD+ Implementation Unit; and
- Expedite the completion and approval of relevant policies such as the national lands policy and the national chieftaincy and traditional affairs policy.

## **6.2 *Safeguard (b): Transparent and effective national forest governance structures, taking into account national legislation and sovereignty.***

### **6.2.1 National interpretation**

REDD+ activities in Zambia shall be designed and implemented to strengthen transparent and effective national and local forest governance structures in line with relevant national laws, regulations and policies. Further, state sovereignty over forest resources shall be respected. This applies to site-level activities as well as national-level REDD+ activities.

The development and updating of strategies and plans for REDD+ and the collection and reporting of information on REDD+ outcomes should be carried out in a transparent way, providing opportunities for stakeholder involvement and sharing of information throughout the process.

To create transparency, both the REDD+ proponent and the relevant government institutions shall ensure that all relevant stakeholders are provided with adequate relevant information throughout the planning and implementation of activities, paying particular attention to the inclusion of disadvantaged, marginalized and/or vulnerable groups, requiring information disclosures, and ensuring that the information provided is clear, easily understandable and accurate. The information shall be made available in a comprehensible format and communicated in the language of the stakeholders.

The Forestry Department shall develop a REDD+ Grievance Redress Mechanism (GRM) through which conflicts and/or complaints over the planning and implementation of REDD+ shall be channeled, in accordance with existing national laws and regulations. The GRM shall be neutral and objective and provide equal space, opportunity and rights to be heard for all stakeholders.

All relevant stakeholders shall endeavour to assess risks of corruption that could affect REDD+ Policies and Measures (PaMs). Such risks shall be identified and addressed in a transparent manner from the design stage of activities and throughout implementation, including in relation to processes such as EIA, SEA, land use planning and development of Forest Management Plans. The Anti-Corruption Commission shall periodically conduct corruption risk assessments for all relevant types of administrative procedures, including tender and purchasing processes, granting of licenses or concessions and the work of the grievance redress mechanism. REDD+ activities in Zambia shall support equal opportunities for both men and women.

Effective and good governance further requires that decisions are based on relevant, up-to-date and sound data and information, and that attention is paid to the capacity needs of those who make, and/or participate in, decisions on forest management, land use, agriculture, mining and infrastructure development, including local communities and government officials at various levels. This entails a need to address capacity gaps as may be needed to support development decisions that are socially, environmentally and economically sustainable.

Disadvantaged, marginalized and/or vulnerable groups (including women and children, the poor, and land users without legal titles) shall be incorporated to play an active role in REDD+ activities, so that they can receive their necessary benefits and elite capture is avoided in the process.

Finally, the national interpretation of the safeguards shall be annexed to the Forest Carbon Management Regulations in order to enforce adherence to the safeguards for all REDD+ activities and those involved in them, in line with national laws and regulations.

Where REDD+ activities are implemented with private sector funding or private sector accesses donor funding to implement REDD+, a concerted effort should be made to ensure that private sector partners with a good environmental and social sustainability record in relation to the application of REDD+ safeguards are chosen, and that government, civil society and local communities are involved in the implementation, monitoring and evaluation of the activities.

**Explanatory note:** *The interpretation is based on the need to: a) clarify definition and understanding of the key terms in the safeguard, i.e. ‘transparency’ and ‘effectiveness’; b) identify risk-reducing measures to address transparency and effectiveness; and c) qualify the term sovereignty.*

*Transparency is understood to comprise the following aspects: stakeholder involvement in all the processes of a REDD+ activity, including identification, site selection, stakeholder analysis, planning, designing, implementation, monitoring and evaluation (see also safeguards c and d); disclosure of information and communication in appropriate format and language for all stakeholders, including disadvantaged, marginalized and vulnerable groups; addressing conflicts in a fair and transparent manner through a grievance redress mechanism; incorporating a system of identifying and addressing corruption risk in REDD+ activities; and avoiding gender and other biases.*

*Effective and good governance is understood to comprise: the design and implementation of REDD+ activities on the basis of clear, intelligible, up-to-date and sound data and information, from identification through planning, and all the way to evaluation; building the capacity of those involved in decision-making where necessary, in order to ensure sustainable outcomes; ensuring the inclusion of disadvantaged, marginalized and/or vulnerable groups in REDD+ activities, to allow them to share in the benefits and avoid elite capture; fully applying REDD+ safeguards to all actors, including private sector partners in the implementation of activities; ensuring the compatibility of plans for REDD+ with other policies and programmes and addressing potential conflicts (see also safeguard a); and, where access restrictions are a necessary element for achieving REDD+ objectives, supporting those whose livelihoods are affected to meet the new requirements (see also safeguard c).*

## **6.2.2 Policies, laws and regulations (PLR) key for addressing this safeguard**

**Relevant National Policies:** National Forest Policy 2014; the Zambia Forest Action Plan (ZFAP) 1998-2018; the National Gender Policy 2015; the Decentralization Policy 2013.

**Relevant Laws and Regulations:** The Forest Act of 2015; the Environmental Management Act of 2011; the Urban and Regional Planning Act of 2015; the Lands Act of 1995 (under revision); the Anti-Corruption Act 2012.

**Relevant Regional Agreements:** African Charter on Human and People’s Rights (ACHPR); SADC Protocol Against Corruption 2001.

### 6.2.3 PLR gap-filling measures

It is recommended to:

- Under the Forests Act 2015, expedite the establishment of community forests and accelerate the drafting and enforcement of the Forest Carbon Management Regulations and expedite the engagement of honorary forest guards;
- Under the Environmental Management Act 2011, expedite the engagement of honorary inspectors;
- Conduct an assessment of gaps, conflicts and inconsistencies in the legal and policy frameworks related to forest governance and land use by MLNR, and work towards their harmonization;
- Build institutional, financial and technical capacities of key stakeholders, particularly Forestry Department staff, at national and district levels, in forest resources and forest monitoring, project design and implementation, and the use of appropriate assessment tools and technologies for monitoring and evaluating projects; and
- Undertake an assessment of corruption risks for REDD+ and in the management of identified real occurrences of corruption, in collaboration with relevant institutions and civil society in corruption risk assessments at the level of individual REDD+ actions.

### 6.3 *Safeguard (c): Respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations, national circumstances and laws, and noting that the United Nations General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples.*

#### 6.3.1 National interpretation

REDD+ activities in Zambia shall be designed and implemented to respect indigenous knowledge and the rights of all members of local communities, regardless of gender or socio-economic status. REDD+ activities shall, in particular, respect the rights (including customary rights) to land, territories and resources, and the right of community members to participate in decision-making on issues that affect, or have the potential to affect them. All REDD+ activities implemented on communal lands shall have Free, Prior and Informed Consent (FPIC) of local communities.

As such, REDD+ activities shall be designed to avoid restrictions on access to land, territories and resources, especially where these could put local livelihoods at risk. To prevent unintended consequences of REDD+ actions that restrict land use in certain areas, such actions shall include measures to help land users obtain compensation. But where access restrictions are an essential component for the foreseeable success of the proposed activities, a transparent compensation mechanism shall be designed with the full participation of the affected stakeholders and appropriate forms of compensation, including the timing of their delivery, shall be agreed before implementation of any activities.

Should local communities feel aggrieved and/or feel that their procedural rights have been violated at any stage during the planning and implementation of a REDD+ activity, they shall have easy access to a transparent Grievance Redress Mechanism (GRM) to address their complaint.

Identification, selection and prioritization of REDD+ policies and measures to be included in national REDD+ programmes shall aim to include activities that support the recognition and clarification of rights



to land, the use of forests and other natural resources. In view of this, all REDD+ projects must follow the Free Prior Informed Consent (FPIC) principle.

**Explanatory note:** *The interpretation is based on: a) the identification of priority concerns with regard to the possible impacts of REDD+ activities on the knowledge and rights of local communities (in particular rights to lands, territories and resources, and the right to participate in decision-making); and b) the use of appropriate terminology for the Zambian context, referring to indigenous knowledge, but not attempting to differentiate between indigenous peoples and local communities.*

### **6.3.2 Policies, laws and regulations (PLR) key for addressing this safeguard**

**Relevant National Policies:** National Forest Policy, 2014; National Biodiversity Strategy and Action Plan, 2015; the Seventh National Development Plan (7NDP), 2017-2021; the Zambia Forest Action Plan (ZFAP), 1998-2018; the National Gender Policy, 2015; Vision 2030; the National Policy on Environment (NPE), 2007; the National Adaptation Programme of Action on Climate Change (NAPA), 2007; the National Climate Change Policy (NCCP), 2016; the Decentralization Policy, 2013; and National Resettlement Policy (2015).

**Relevant Laws and Regulations:** the Forest Act of 2015; the Environmental Management Act of 2011; the Protection of Traditional Knowledge, Genetic Resources and Expressions of Folklore Act of 2016; the Zambia Wildlife Act of 2016; the Urban and Regional Planning Act of 2015; the Lands Act of 1995 (under revision); the National Heritage Conservation Commission Act (Chapter 173 of the Laws of Zambia). Human Rights Commission Act (Cap 48).

**Relevant Regional Agreements:** African Charter on Human and People's Rights (ACHPR); Africa Agenda 2063; SADC Protocol Against Corruption 2001; SADC Protocols on Forests, Water, Wildlife, Energy and Agriculture.

**Relevant International Agreements:** UNFCCC; UNCBD; UNCCD; Ramsar Convention; CITES.

### **6.3.3 PLR gap-filling measures**

It is recommended to:

- Improve the formalization of Honorary Forest guards drawn from within local communities;
- Promote the Protection of Traditional Knowledge, Genetic Resources and Expressions of Folklore Act of 2016 by communications strategies and actions that recognize and document this knowledge;
- Conduct a regulatory assessment of conflicts, contradictions and inconsistencies that may exist between the Protection of Traditional Knowledge Act and other legal/regulatory instruments;
- Conduct communal awareness and capacity-building on patenting indigenous knowledge, genetic resources and expressions of folklore as provided for in the Act;
- Build the institutional and technical capacity of local communities with a stake in REDD+ actions. This could be achieved through approaches such as introduction of REDD+ awareness in the House of Chiefs under the Ministry of Chiefs and Traditional Affairs; and
- Implement the 2013 guidelines for compensation and resettlement of internally displaced persons.

**6.4 Safeguard (d): The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities [in REDD+ actions].**

**6.4.1 National interpretation**

REDD+ activities in Zambia shall be designed and implemented with the full and effective participation of relevant stakeholders. Participation shall be deemed full and effective if there is Free, Prior and Informed Consent (FPIC) of stakeholders especially local communities including:

- a) proponents of REDD+ activities develop and implement a comprehensive Stakeholder Engagement Plan (SEP) that outlines how the relevant stakeholders will be involved in, and at, all stages of the activity, and that sets out clearly defined measures, mechanisms and platforms for stakeholder engagement;
- b) a deliberate focus is placed on the need to include vulnerable and disadvantaged groups, especially women, children, land users without title, and poor and marginalized community members;
- c) all relevant stakeholders are provided with information in good time prior to any meetings or other forms of consultation;
- d) the information provided is clear, concise, in a legible format and comprehensive enough to be understood, and is made available in the language of local communities where these are among the relevant stakeholders;
- e) stakeholders are given adequate time to use this information to decide for or against their participation (or that of their community) in the activity; and
- f) where it is agreed to support the activity, stakeholders can contribute to the terms and conditions of the proposed benefit-sharing mechanisms, as well as to the decisions on where, when and how the activities should be carried out.

For project-type activities, the stages at which stakeholders should be involved include identification, site selection, stakeholder analysis, design, planning, implementation, monitoring and evaluation. For national- or subnational-level activities without a site-based component (such as legal reforms or strengthening of institutions), stakeholder involvement in line with points a) – d) above should take place at the stage of identification and planning and may be implemented for a number of activities at the same time (e.g., during the development of national policy programmes, strategies and action plans for REDD+), using an overall SEP rather than one for each activity. During this stage, requirements for participation at later stages of implementation and monitoring should also be agreed. Points e) and f) above may not be applicable to activities without a site-based component.

The selection of REDD+ activities in national policy programmes, strategies and plans shall further aim at supporting and strengthening the participation of local communities and all relevant stakeholders in decisions on the management of forests, land and natural resources.

**Explanatory note:** *The interpretation of this safeguard is based on the need to clarify key terms, i.e., ‘full and effective’ participation. This safeguard interpretation should be applicable to REDD+ activities at all levels of implementation, be it national, subnational or project level, while acknowledging that different mechanisms for participation may be appropriate for each level.*

#### 6.4.2 Policies, laws and regulations (PLR) key for addressing this safeguard

**Relevant National Policies:** National Forest Policy, 2014; National Biodiversity Strategy and Action Plan, 2015; 7NDP, 2017-2021; ZFAP, 1998-2018; National Gender Policy, 2015; Vision 2030; NAPA, 2007; National Climate Change Policy, 2016; and Decentralization Policy, 2013.

**Relevant Laws and Regulations:** the Protection of Traditional Knowledge, Genetic Resources and Expressions of Folklore Act of 2016; the Zambia Wildlife Act of 2016; the Forest Act of 2015; the Environmental Management Act of 2011, particularly the Environmental Impact Assessment Regulations of 2011; the Lands Act of 1995 (under review); the Chiefs Act (Cap. 287 of the Laws of Zambia).

**Relevant Regional Agreements:** African Charter on Human and People's Rights (ACHPR); Africa Agenda 2063; SADC Protocol Against Corruption 2001; SADC Protocols on Forests, Water, Wildlife, Energy and Agriculture.

**Relevant International Agreements:** UNFCCC, UNCBD, UNCCD, Ramsar Convention, CITES.

#### 6.4.3 PLR gap-filling measures

It is recommended to:

- Address inconsistencies and conflicts in the procedural mechanisms of the EIA regulations of 2011 with regard to participation;
- Expedite the on-going development of the Forest Carbon Management Regulations. Other than the provisions in the Protection of Traditional Knowledge Act of 2016, there are still no explicit rules on benefit-sharing and FPIC mechanisms available to refer to. Involve Civil Society organizations in creating local community awareness around REDD+ in targeted communities. Local communities still have huge capacity gaps in forest management, especially with regard to the development of forest management plans;
- Empower communities to participate effectively, and strengthen stakeholder awareness and accountability in decision-making;
- Put in measures by government do to deal with stakeholders who fail to comply with the policies, including provisions for monitoring the application of key policies and an analysis of the existing procedures to follow when fail to comply is identified;
- Create community trust funds so that communities can benefit from any transactions regarding land use;
- Harmonize local community structures for implementation of REDD+ projects and complementary actions conducted by diverse institutions; and
- Ensure strategies to avoid elite capture by chiefs, in terms of benefits, vis-à-vis, their subjects.

**6.5 Safeguard (e): *[REDD+] actions are consistent with the conservation of natural forests and biological diversity, ensuring that the [REDD+] actions are not used for the conversion of natural forests, but are instead used to incentivize the protection and conservation of natural forests and their ecosystem services, and to enhance other social and environmental benefits.***

##### 6.5.1 National interpretation

REDD+ activities in Zambia shall be selected, designed and implemented to support the conservation of natural forests and biological diversity. This should be achieved by:

- Identifying and mapping natural forests and ecologically sensitive areas and ensuring that relevant interventions are guided by the best available information (e.g., interventions linked to forest protection and land use planning);
- Prioritizing interventions to protect areas where natural forests are under threat of deforestation or degradation; (e.g., promotion of natural regeneration and biodiversity corridors);
- Prioritizing interventions that seek to address these threats over other interventions;
- Ensuring that REDD+ interventions do not convert natural forests (to planted forest or other land uses);
- Ensuring that REDD+ interventions do not convert customary land to titled land or state land;
- Enhancing the application and enforcement of good environmental practices and interventions that promote ecological understanding in the promotion of specific land use practices or economic activities (such as agroforestry, tourism development, marketing of forest products, certification schemes) or the restoration of forests; and
- Enhancing legal regulatory measures that protect ecologically sensitive areas as 'no go' areas (e.g., for mining and infrastructure developments).

REDD+ activities shall also be designed and implemented to strengthen the conservation and restoration of forest ecosystem services that are valued by stakeholders at the local and/or national level, especially those relating to water regulation and purification, maintenance of soil fertility and erosion control, cultural and aesthetic values, including for tourism, and non-timber forest products. To achieve this, forest areas that provide important ecological services will be identified, marked and respected as such in relevant interventions (e.g., interventions linked to forest protection, land use planning and infrastructure development).

REDD+ activities shall be designed and implemented in a way that strongly supports the generation of further social, economic and environmental benefits (additionality). For example, the social and environmental benefits that can arise from more sustainable practices in agriculture, agroforestry and forest use including, but are not limited to, the following:

- ✓ improved food security and nutrition;
- ✓ reduced pollution;
- ✓ improved accessibility and quality of energy sources; and
- ✓ increased potential for sustainable productive use at the landscape level.

Economic benefits which can accrue to local communities include: generation of direct and indirect employment, sustainable supply of timber and income generation through the sale of forestry and non-timber products such as honey, mushrooms and caterpillars, among others. To ensure maximum benefits from REDD+ actions, effective benefit sharing mechanisms will be put in place based on the existing legislative framework.

To enhance the positive impacts, measures should be taken to mitigate potential risks such as:

- ✓ increased conflict over resources;
- ✓ elite capture or the exclusion of vulnerable groups; and
- ✓ negative economic impacts resulting from access restrictions or the failure of investments, or health risks from inappropriate application of new agricultural practices.

***Explanatory note:*** The interpretation of this safeguard is based on the need to clarify: 1) what the priority concerns in Zambia are with respect to enhancing the social and environmental benefits of

*REDD+; and 2) what approaches will be used to guide and inform the development of REDD+ activities in line with the safeguard. The scope of this safeguard shall apply to all REDD+ activities, whether implemented at national, subnational and/or project level.*

### **6.5.2 Policies, laws and regulations (PLR) key for addressing this safeguard**

**Relevant National Policies:** National Forest Policy, 2014; National Biodiversity Strategy and Action Plan, 2015; 7NDP, 2017-2021; ZFAP, 1998-2018; National Gender Policy, 2015; Vision 2030; NAPA, 2007; National Climate Change Policy, 2016; National Policy on Wetlands (2018); National Energy Policy (2008); and Decentralization Policy, 2013.

**Relevant Laws and Regulations:** Environmental Management Act of 2011, particularly, the EIA Regulations of 2011; the Water Resources Management Act No. 21 of 2011; the Protection of Traditional Knowledge, Genetic Resources and Expressions of Folklore Act of 2016; the Zambia Wildlife Act of 2016; the Forest Act of 2015; the Urban and Regional Planning Act No. 3 of 2015; the National Heritage Conservation Commission Act (Chapter 173 of the Laws of Zambia).

**Relevant Regional Agreements:** African Charter on Human and People's Rights (ACHPR); Africa Agenda 2063; SADC Protocol Against Corruption, 2001; SADC Protocols on Forests, Water, Wildlife, Energy and Agriculture.

**Relevant International Agreements:** UNFCCC; UNCBD; UNCCD; Ramsar Convention; CITES.

### **6.5.3 PLR gap-filling measures**

It is recommended to:

- Legislate, by 2020, all ecologically sensitive areas as 'no-go' areas, e.g., for mining, agriculture and infrastructure development;
- Expedite the on-going plans to develop regulatory rules for SEA under the Environmental Management Act of 2011 and build capacity in its application;
- Expedite the on-going review of the EIA regulations under the Environmental Management Act to address gaps and inconsistencies that may be diagnosed therein;
- Complete a regulation on a benefit-sharing for REDD+, in order to forestall conflict over resources, elite capture or the exclusion of vulnerable groups;
- Promote the identification of environmental and social benefits of the use of alternative energy sources and efficient technologies for wood fuel production and utilization;
- Promote climate smart agricultural practices that will lead to reduced pressure on forests and could provide diverse benefits for the environment and the local communities; and
- Contribute to the development of a Biomass Strategic Plan, by providing inputs that seek to highlight the importance of preserving natural forests and their biodiversity.

## **6.6 *Safeguard (f): Actions to address the risks of reversals.***

### **6.6.1 National interpretation**

REDD+ activities in Zambia shall be selected, designed and implemented with a view to reducing the risk of reversals. This should be achieved by:

- a) basing REDD+ strategies and activities on an analysis of the underlying drivers of forest loss and degradation and selecting interventions that address them;

- b) assessing their long-term sustainability as part of the planning process;
- c) ensuring long-term commitment of private funders where applicable; and
- d) mitigating possible risks to the permanence of results.

REDD+ activities shall be designed to prevent unintended consequences of those interventions that may increase the profitability of land use. Such interventions shall be embedded in landscape-level planning processes that prevent uncontrolled agriculture expansion or extractive land use. Land use planning at landscape level shall also guide the siting of REDD+ activities. Where reversals are detected through the monitoring of forest carbon stocks, the risks shall be thoroughly analyzed to inform improvement measures.

***Explanatory note:*** *The interpretation is based on the need to identify potential risk-mitigating actions.*

#### **6.6.2 Policies, laws and regulations (PLR) key for addressing this safeguard**

**Relevant Laws and Regulations:** The Forest Act of 2015 (pending Forest Carbon Management Regulations); the Environmental Management Act of 2011, particularly the EIA Regulations of 2011; the Water Resources Management Act No. 21 of 2011; the Protection of Traditional Knowledge, Genetic Resources and Expressions of Folklore Act of 2016; the Zambia Wildlife Act of 2016; the Urban and Regional Planning Act No. 3 of 2015; the National Heritage Conservation Commission Act (Chapter 173 of the Laws of Zambia).

#### **6.6.3 PLR gap-filling measures**

It is recommended to:

- Expedite the on-going drafting and subsequent enforcement of the Forest Carbon Management Regulations to implement under the Forest Act of 2015. Among other things, the Forest Carbon Management regulations will stipulate how risks of reversals will be addressed, such as by inculcating ownership of REDD+ activities; and
- Strengthen the implementation and coordination of REDD+ related projects at local level.

### **6.7 *Safeguard (g): Actions to reduce displacement of emissions.***

#### **6.7.1 National interpretation**

**REDD+ activities in Zambia shall be selected, designed and implemented to avoid displacement of emissions.** This should be achieved by:

- a) basing REDD+ strategies and activities on the analysis of underlying drivers of forest loss and degradation, and selecting interventions that address them;
- b) assessing potential conflicts with other land uses and impacts on supply or demand for agriculture and forest products during the design stage of activities;
- c) considering displacement risks when assessing the emissions reduction potential of the proposed activities;
- d) supporting the implementation of interventions in line with guidance, principles or rules for reducing displacement risks; and

- e) implementing REDD+ on a national scale, the risk of displacement is accounted for; if any displacement takes place it will be observed in the NFMS and result in an overall lower amount of measured avoided emissions.

The activities shall also be embedded in landscape-level planning processes that prevent uncontrolled expansion of areas under agricultural or extractive use. These activities shall be implemented with recognition of the need to develop alternative livelihoods for affected communities. In the long term, REDD+ activities in Zambia shall be implemented at national level in order to further reduce displacement of emissions risks.

***Explanatory note:*** *The interpretation is based on the need to identify potential risk-mitigating actions.*

#### **6.7.2 Policies, laws and regulations (PLR) key for addressing this safeguard**

The Forest Act of 2015 (pending Forest Carbon Management Regulations); National Resettlement Policy of 2015.

#### **6.7.3 PLR gap-filling measures**

It is recommended to:

- Expedite the on-going drafting and consequent enforcement of the Forest Carbon Management Regulations to implement the Forest Act of 2015. The Forest Carbon Management Regulations will provide a legislative framework which will assist with reducing displacement of emissions; and
- Develop guidelines to identify and measure the displacement of emissions.

## 7. CONCLUSIONS

### KEY MESSAGES

1. This first summary of information is a product of a robust analytical and participatory process, which included a series of workshops, meetings and a review of best practices benefiting from the involvement of diverse stakeholders including key government agencies, civil society organizations, private sector, academia and existing REDD+ projects. This approach made it possible to socialize the process develop to determine the country approach to safeguards among these various stakeholders and generate positive inputs towards construction of this first summary of information.
2. The content of this first summary of information is informed mainly by the UNFCCC guidance and relevant COP decisions on safeguards; the benefit and risk assessment of the National REDD+ Investment Plan; the national interpretation of the Cancun safeguards; and the draft SIS v1.0 design. The elaboration of this first Sol has considered, as key elements, the promotion of transparency, consistency, comprehensiveness and effectiveness in the reporting of information. A stepwise approach to addressing and respecting safeguards will allow improvements over time, to be presented in subsequent summaries of information
3. Having developed its National REDD+ Strategy in 2015, and the REDD+ Investment Plan in 2017, Zambia hopes that this first summary of information can now trigger confidence in local stakeholders to work toward demonstrating REDD+ results linked to the implementation of safeguards. This will lead the way to producing the next Sol in order to inform how safeguards were addressed and respected over the time period results are being reported for.
4. This first summary of information is focused on reporting how Zambia is addressing the safeguards, subsequent summaries of information and developing an operational SIS will provide information on how Zambia is respecting the safeguards through the incorporation of Type II (process) and Type III (outcome) information, wherever possible and available, to facilitate results-based payments.

### WAY FORWARD

Information needs and actions on the following aspects have been identified and will be considered for the next Summary of Information:

1. Indication of a complete institutional framework for the SIS design with clearly differentiated institutional mandates; and
2. Indication of the country's approach to integrating, or nesting, on-going REDD+ related projects at the sub-national level as part of National REDD+ Strategy and Investment Plan implementation, and how safeguards information is to be captured and reported on in the national SIS.

In terms of process for developing the next Sol, the following actions will be important:

3. Develop mechanisms for monitoring and enforcement of the safeguards and test the mechanisms in practice on projects under implementation;



4. Identify technical and capacity gaps to effectively implement developed mechanisms and fill those gaps;
5. Identify and determine, or strengthen an existing, oversight body to review compliance with safeguards requirements;
6. Ensure significant progress with the application of PLR, and associated institutional capacity and implementation of gap-filling measures, as identified in Section 6, to demonstrate stepwise improvements in addressing and respecting safeguards; and
7. Ensure the next Sol is predicated on experiences within the country and of other countries; lessons learned and measures taken to fill the gaps identified by Zambia's first Sol.

## 8. GLOSSARY OF KEY TERMS

**Addressing safeguards** – Ensuring that a coherent body of policies, laws, regulations (PLRs), and associated institutional arrangements, are in place to deal with the potential benefits and risks associated with REDD+ actions, and in doing so, enabling the application of the Cancun safeguards in the country context and to meet country safeguard goals.

**Constituent elements** – substantive *content* (or ‘criteria’) that breakdown, or unpack, the broad objectives of intent (or ‘principles’) that constitute Cancun safeguards in a particular country context, and in relation to the REDD+ activities comprising the national strategy or action plan.

**Country safeguards framework** – national specification of how the Cancun safeguards relate to the particular context and circumstances of the country, achieved through identifying and elaborating their *constituent elements*.

**Governance arrangements** – the collective frameworks and mechanisms a country has (or plans to put) in place to make decisions and implement actions relevant to safeguards; comprises the following main components - *legal framework, institutional framework information systems, grievance redress mechanisms* and *non-compliance mechanisms*.

**Grievance redress mechanisms** – the formal and informal means of settling (through negotiation, mediation or arbitration) complaints or disputes of groups and individuals whose rights may be affected through the implementation of REDD+ activities.

**Information systems** – institutional and technological arrangements for collecting, verifying, managing, analyzing, reviewing, reporting and applying information concerning the implementation of the legal framework, which will be used to gather and share information relevant to how the safeguards are being respected. Required as a key piece of national REDD+ architecture (or “Warsaw Framework for REDD+ pillar”) under the UNFCCC, as well as eligibility for REDD+ results-based payments.

**Institutional arrangements** – In the context of REDD+ safeguards, institutional arrangements refer to the (formal and informal, state and non-state) institutions, their mandates, procedures and capacities for implementing a country’s policies, laws and regulations, (together with private sector standards and customary norms of local communities), serving to define who will be responsible for ensuring safeguards are respected when implementing REDD+ activities. This can include arrangements to strengthen the capacity of different stakeholders to respect safeguards.

**Institutional framework** – the (formal and informal) institutions, their mandates, procedures and capacities for implementing a country’s *legal framework*, serving to define *who* will be responsible for ensuring safeguards are adhered to when implementing REDD+ activities.

**Legal framework** – the national policies, laws, and regulations, in addition to operational plans and programmes to implement the legal framework, that serve to *define how* safeguards are to be adhered to when implementing REDD+ activities in any given country.

**Non-compliance mechanisms** – administrative or judicial penalties or corrective measures, defined by the *legal framework*, that serve to deal with any failure to address and respect safeguards when implementing REDD+ activities.

**REDD+ actions** Specific national and sub-national policies and/or measures, tackling underlying drivers of deforestation and forest degradation, or to support more effective/extensive plus activities, within the five REDD+ activity categories agreed under the UNFCCC:

- (a) Reducing emissions from deforestation;
- (b) Reducing emissions from forest degradation;
- (c) Conservation of forest carbon stocks;
- (d) Sustainable management of forests; and
- (e) Enhancement of forest carbon stocks.

**Respecting safeguards** – Effective application of policies, laws and regulations, through the associated institutional (and individual) arrangements, to ensure they are implemented in practice and affect real and positive outcomes on the ground.

**Safeguard** – “A measure taken to protect someone or something or to prevent something undesirable” (i.e. do no harm). Safeguards have wide remit and can apply to a project, set of projects or more widely to programmes as well as act as policies. In the REDD+ context, the Cancun Safeguards also explicitly seek to enhance environmental and social benefits (i.e., do good).

**Safeguards information system (SIS)** – A system providing information on how all of the Cancun safeguards are addressed and respected throughout the implementation of REDD+ activities. This may consist of a combination of existing systems and sources of information, together with new systems or information to fill gaps as needed. Required as a key piece of national REDD+ architecture (or “Warsaw Framework for REDD+ pillar”) under the UNFCCC, as well as eligibility for REDD+ results-based payments.

**Specifying safeguards** – identifying, and providing information on, a safeguard-by-safeguard breakdown, or unpacking, of the Cancun safeguards into country-specific *constituent elements*.

**Summary of information** – A UNFCCC requirement to obtain REDD+ results-based payments, the summary of information is the means by which REDD+ countries will communicate internationally to the UNFCCC how they are addressing and respecting the safeguards throughout REDD+ implementation. It is likely (although not explicitly required by the UNFCCC) to be a product of a national safeguard information system (SIS).

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## 10. ANNEXES

### Annex 1: Activities undertaken on safeguards in Zambia

ACTIVITY	DATE AND LOCATION	OBJECTIVES	PARTICIPANTS
1. Analysis of REDD+ options and link to safeguards - workshop	September 2014 Ndola, Zambia	<ul style="list-style-type: none"> <li>Introduce Interpretive Framework for Understanding UNFCCC REDD+ Safeguards</li> <li>To safeguard proof the REDD+ options for the National REDD+ Strategy</li> </ul>	<ul style="list-style-type: none"> <li>National stakeholders</li> <li>UN-REDD Programme representatives (FAO, UNDP and UN Environment)</li> <li>Consultants</li> </ul>
2. Discussions on the national interpretation of safeguards - public consultations	2015 – 2017 National level	<ul style="list-style-type: none"> <li>Unpacking the Cancun safeguards in accordance with national circumstances</li> </ul>	<ul style="list-style-type: none"> <li>104 districts in 10 provinces with each district represented by four key stakeholders</li> <li>UN-REDD Programme representatives</li> </ul>
3. Inputs for designing the SIS - workshops	2016 – 2017 National level	<ul style="list-style-type: none"> <li>Design Zambia's v.1.0 of SIS</li> </ul>	<ul style="list-style-type: none"> <li>104 districts in 10 provinces with each district represented by four key stakeholders</li> <li>Zambia UN-REDD Programme</li> </ul>
4. Participative assessment of environmental and social risks and benefits	July 2017	<ul style="list-style-type: none"> <li>Conduct an environmental and social benefits and risks assessment of the proposed National REDD+ Investment Plan</li> </ul>	<ul style="list-style-type: none"> <li>National Safeguards Technical Working Group (NSTWG) members</li> <li>Other key stakeholders</li> <li>UN-REDD Programme representatives</li> </ul>
5. Knowledge exchange	September 2017 Nairobi, Kenya	<ul style="list-style-type: none"> <li>Participate and share learnings in an event of from REDD+ readiness to implementation (included safeguards session)</li> </ul>	<ul style="list-style-type: none"> <li>Representatives from African countries</li> <li>UN-REDD Programme representatives</li> </ul>
6. Inputs for advancing safeguards processes - workshop	May 2018 Chilanga, Zambia	<ul style="list-style-type: none"> <li>Discuss progress and remaining questions regarding national interpretation of the Cancun safeguards</li> <li>Development of initial text of national interpretation of the Cancun safeguards</li> <li>Update of Zambia's SIS design document v.1.0</li> <li>Discuss elements to include in Zambia's first Sol</li> </ul>	<ul style="list-style-type: none"> <li>National Safeguards Technical Working Group (NSTWG) members</li> <li>Other key stakeholders</li> <li>UN-REDD Programme representatives</li> </ul>
7. Regional knowledge exchange on REDD+ Safeguards and Safeguards Information System	June 2018 Accra, Ghana	Share experiences from across Africa on: <ul style="list-style-type: none"> <li>UNFCCC safeguards requirements</li> <li>UNFCCC SIS requirements, key considerations and lessons on Summaries of Safeguard</li> </ul>	<ul style="list-style-type: none"> <li>Country representatives from Zambia, Ghana, DRC, Tanzania, Madagascar, etc.</li> <li>UN-REDD Programme representatives</li> </ul>

		<p>Information (Sol)</p> <ul style="list-style-type: none"> <li>• Environmental and social benefit/risk assessment of REDD+ actions</li> </ul>	
8. Sol planning	July 2018 Lusaka, Zambia	<ul style="list-style-type: none"> <li>• Develop possible steps to be included in the Sol development process roadmap</li> </ul>	<ul style="list-style-type: none"> <li>• National Safeguards Technical Working Group (NSTWG) members</li> <li>• Other key stakeholders</li> </ul>
9. Finalization of national interpretation of safeguards, and progress in planning Sol	September 2018 Lusaka, Zambia	<ul style="list-style-type: none"> <li>• Finalize national interpretation of Cancun safeguards (24<sup>th</sup> September)</li> <li>• Agree on structure for the Sol report (25<sup>th</sup> September)</li> <li>• Approve work plan for completion of the Sol report (25<sup>th</sup> September)</li> </ul>	<ul style="list-style-type: none"> <li>• National Safeguards Technical Working Group (NSTWG) members</li> <li>• Other key stakeholders</li> <li>• UN-REDD Programme representatives</li> </ul>
10. Literature review and bilateral consultations to identify sources of information and socialize the Sol process and purpose	September – October 2018 Lusaka, Zambia	<ul style="list-style-type: none"> <li>• Identify other sources of information for the Sol report</li> <li>• Socialize the Sol process and purpose with key government agencies and other stakeholders including independent experts</li> </ul>	<ul style="list-style-type: none"> <li>• Consultant</li> <li>• National Safeguards Technical Working Group (NSTWG) members</li> <li>• Key government agencies (agriculture, climate change department, Zambia Env. Mgmt. Agency, Central Statistical Office, ZIFL-Programme, etc.)</li> <li>• Independent experts</li> </ul>
11. Preparation and review of draft of the first Sol by NSTWG and other key stakeholders	October 2018 Lusaka, Zambia	<ul style="list-style-type: none"> <li>• Prepare and submit draft of the first Sol report (by consultant) by October 15<sup>th</sup> 2018</li> <li>• Review draft of the first Sol report and provide written comments by 21<sup>st</sup> October 2018</li> </ul>	<p>Reviewers:</p> <ul style="list-style-type: none"> <li>• NSTWG members</li> <li>• UN-REDD Programme representatives</li> <li>• Other key stakeholders</li> </ul>
12. Changes in Sol to incorporate input and address comments	October – November 2018 Lusaka, Zambia	<ul style="list-style-type: none"> <li>• Discuss draft first Sol report 25<sup>th</sup> – 26<sup>th</sup> October 2018</li> <li>• Address received written comments and editing</li> </ul>	<ul style="list-style-type: none"> <li>• Other key stakeholders (25<sup>th</sup> October)</li> <li>• National Safeguards Technical Working Group (NSTWG) members (26<sup>th</sup> October)</li> <li>• UN-REDD Programme representatives</li> </ul>
13. Validation, final review and approval of Sol	December 2018 – February 2019 Lusaka, Zambia	<ul style="list-style-type: none"> <li>• Validation workshop</li> <li>• Final review of first Sol</li> <li>• Country approval of the report</li> </ul>	<p>Validated by:</p> <ul style="list-style-type: none"> <li>• National Safeguards Technical Working Group (NSTWG) members</li> <li>• Other key stakeholders</li> </ul>
14. Submission of final first Sol	March 2019	<ul style="list-style-type: none"> <li>• Submit final first Sol to UNFCCC</li> </ul>	<ul style="list-style-type: none"> <li>• Forestry Department</li> <li>• UNFCCC Secretariat</li> </ul>



**Annex 2:** Summary of environmental and social benefits and risks assessment of the proposed National REDD+ Investment Plan<sup>30</sup>

Benefits	Suggested measures to enhance benefits	Risks	Suggested measures to mitigate risks
<b>Access to land and resources</b>			
Improved recognition of rights to land and resources for local communities as a consequence of landscape-level planning, community forest management and registration of customary tenure, allowing communities to plan and invest in sustainable resource use.	<ul style="list-style-type: none"> <li>Engage community user groups, traditional rulers, and local authorities in formulating and implementation of management plans through an inclusive process.</li> <li>Provide capacity-building on participatory planning and landscape approaches / sustainable land management / sustainable forest management.</li> <li>Monitor implementation of management plans.</li> <li>Community sensitization on opportunities linked to tenure registration.</li> <li>Participatory and inclusive registration process.</li> <li>Promote wide recognition of certificates giving proof of customary land tenure as legal documents.</li> <li>Put regulations in place to prevent unintended consequences of tenure registration (e.g. land grabbing).</li> </ul>	<p>Possible access restrictions for local people (land use, natural resources, cultural significance) due to:</p> <ul style="list-style-type: none"> <li>Protection of ecologically sensitive areas</li> <li>Access regulations in integrated land management plans or forest management plans</li> <li>Ecotourism/game ranching</li> <li>Forest enterprises</li> <li>Allocation of areas for natural regeneration of forest</li> <li>Increasing profitability of agriculture, leading to expansion</li> <li>Use of areas for generation of renewable energy</li> </ul>	<ul style="list-style-type: none"> <li>Compensating for access restrictions through measures such as: <ul style="list-style-type: none"> <li>- Payment for Ecosystem Services;</li> <li>- Support to alternative livelihoods;</li> <li>- Allocating access to other areas; and</li> <li>- Equitable sharing of benefits/employment opportunities.</li> </ul> </li> <li>Engage community user groups, traditional rulers, and local authorities in formulating and implementation of forest management plans, land use plans or economic initiatives (e.g. game ranching, forest enterprises) through an inclusive process.</li> <li>Provide capacity-building on participatory planning (including conflict resolution) and landscape approaches / sustainable land management / sustainable forest management.</li> <li>Develop legislation which will provide security of tenure for forested parcels of land.</li> <li>Combine activities that could lead to access restrictions with activities that aim to enhance tenure security (e.g. customary tenure registration).</li> <li>Consider land demand when planning activities.</li> </ul>

<sup>30</sup> This table was produced on the basis of the results of the benefits and risks assessment workshop held between 26<sup>th</sup> -29<sup>th</sup> July 2017.

Benefits	Suggested measures to enhance benefits	Risks	Suggested measures to mitigate risks
More equitable access to resources through transparent planning processes and community involvement (e.g. community forest management, economic enterprises, public-private partnerships)	Providing training and other support to communities/producer groups (e.g. on negotiation skills, business management, participation and gender mainstreaming)	<p>Risk of elite capture or capture by private sector and disadvantages for vulnerable groups (women, youth, poor people, etc.) due to low ability to participate in activities e.g.:</p> <ul style="list-style-type: none"> <li>• Landscape-level planning</li> <li>• Community forest management</li> <li>• Forest enterprises</li> <li>• Ecotourism/game ranching</li> <li>• Certification schemes</li> <li>• Improved agricultural practices (e.g. agroforestry)</li> <li>• Renewable energy generation</li> <li>• Registration of customary land tenure</li> </ul>	<ul style="list-style-type: none"> <li>• Engage representatives of women, children and vulnerable groups at planning and implementation levels of integrated land management plans.</li> <li>• Involve communities in setting up transparent and fair sharing of benefit and income opportunities from economic activities (possible to use existing legal framework), with particular focus on vulnerable groups e.g. women, youth, persons with disability</li> <li>• Monitoring and control tools.</li> <li>• Identify suitable products for certification schemes, considering opportunities for women and vulnerable groups to participate.</li> <li>• Design certification schemes to increase accessibility to small-scale producers, and subsidize small-scale producers to meet certification requirements.</li> <li>• Provide support to poor farmers with capacity-building and initial investment in new production techniques.</li> <li>• Gender/ vulnerability-based affirmative action system in tenure registration</li> </ul>
		<p>Conflicts among stakeholders (over resources, insufficient consultation, compliance with plans, etc.) surfacing during landscape-level planning processes, community forest management, economic projects (e.g. game ranching, forest enterprises, charcoal production, sustainable agriculture) or tenure registration.</p>	<ul style="list-style-type: none"> <li>• Conflict resolution and mediation mechanisms.</li> <li>• Use of participatory approaches to planning and implementation of community forest management and economic projects.</li> <li>• Assess potential conflict with other uses during planning stage of economic projects</li> <li>• Include benefit sharing from economic projects through measures that benefit the entire community (e.g. schools, health centres, recreation facilities).</li> <li>• Set aside enough time and resources for tenure registration process and develop approaches for dealing with conflict.</li> </ul>

Benefits	Suggested measures to enhance benefits	Risks	Suggested measures to mitigate risks
<b>Quality of environment</b>			
Protection or enhancement of ecosystem services, in particular services related to water (infiltration, purification), soil (fertility/productivity, erosion control, reduced siltation) and cultural/aesthetic values (potential for ecotourism, cultural value for local communities) due to reduced pressure on forests, natural regeneration or adoption of more sustainable agricultural practices.	<ul style="list-style-type: none"> <li>• Map and prioritize ecologically sensitive areas (e.g. HCV and HCS areas) as a basis for landscape-level planning and protection measures.</li> <li>• Capacity-building and development of guidance for those tasked with implementing/enforcing environmental regulations (e.g. EIA/SEA), granting concessions and licenses, setting up protected areas or developing forest management and land use plans.</li> </ul>	<p>Increased pressure on sensitive areas due to:</p> <ul style="list-style-type: none"> <li>• Lack of information on where they are; and</li> <li>• Increased profitability/market access for certain products.</li> </ul>	<ul style="list-style-type: none"> <li>• Map and prioritize ecologically sensitive areas as a basis for landscape-level planning and protection measures.</li> <li>• Capacity-building and development of guidance for those tasked with implementing/enforcing environmental regulations (e.g. EIA/SEA), granting concessions and licenses, setting up protected areas or developing forest management and land use plans.</li> <li>• Embed activities aiming to support income generation (such as investment in improved production techniques, market generation, certification) in landscape-level planning.</li> </ul>
Protection or enhancement of biodiversity.	<ul style="list-style-type: none"> <li>• Nation-wide inventory and mapping of development projects with high risk to high biodiversity areas.</li> <li>• Transparent process for selection of areas for protection.</li> </ul>	Increased resource consumption for tourism, impacts from increased access (opening areas up to influx of people or illegal use).	<ul style="list-style-type: none"> <li>• Develop guidelines for non-consumptive ecotourism.</li> <li>• Develop monitoring and control tools.</li> </ul>
Sustainable use at landscape level – allocating uses to the most suitable areas, thus increasing the potential for sustainable productive uses and reducing degradation of natural resources.	<ul style="list-style-type: none"> <li>• Monitor implementation of land management plans.</li> <li>• Develop legislation on payment for ecosystem services as an incentive.</li> <li>• Stakeholder involvement and capacity-building on sustainable agricultural practices.</li> <li>• Providing locally appropriate information (e.g. through extension services).</li> <li>• Appropriate design of certification criteria.</li> </ul>	Possible negative impacts on non-target wildlife and increased human-wildlife conflicts as a result of game ranching.	<ul style="list-style-type: none"> <li>• Develop guidelines for management of game ranches.</li> <li>• Develop monitoring and control tools.</li> </ul>
Sustained access to timber and non-timber forest products as a consequence of sustainable management and/or natural regeneration, maintaining productivity of forest areas,	<ul style="list-style-type: none"> <li>• Provide capacity-building to communities and other stakeholders on sustainable management of forests and natural resources.</li> <li>• Provide training to farmers on appropriate methods to promote natural regeneration</li> </ul>	Overharvesting of resources due to lack of capacity in community forest management, due to economic interests prevailing in forest enterprises, or due	<ul style="list-style-type: none"> <li>• Provide capacity-building to communities and other stakeholders on sustainable management of forests and natural resources.</li> <li>• Develop by laws and/or other types of regulations on sustainable resource management, apply existing legal framework.</li> </ul>

Benefits	Suggested measures to enhance benefits	Risks	Suggested measures to mitigate risks
improved techniques for charcoal production, certification schemes, etc.	so that biodiversity and ecosystem services can recover.	to increased profitability / market access for certain products.	<ul style="list-style-type: none"> <li>• Line agencies should develop guidelines for setting up natural resources based enterprises.</li> <li>• Ensure there is a connection between forest conservation and benefits.</li> <li>• Target market access support at products that meet sustainability criteria (e.g. through targeting of investment or by promoting certification of socially and environmentally sustainable products).</li> <li>• Conduct studies on risks of overexploitation before supporting economic initiatives.</li> <li>• Embed activities aiming to support income generation (such as investment in improved production techniques, market generation, certification) in landscape-level planning.</li> <li>• Develop monitoring and control tools.</li> </ul>
Less pollution from charcoal production and utilization.	Promote energy efficient charcoal production and utilization technologies.	Investments in more sustainable charcoal production and utilization technologies delaying transition to more sustainable/renewable sources of energy.	Ensure a balance between activities addressing the charcoal value chain, and activities promoting the use of renewable energy.
Sustained access to renewable energy sources.	Promote renewable energy sources such as solar, biogas, wind, liquefied petroleum gas (LPG), mini-hydro and geothermal.	<ul style="list-style-type: none"> <li>• Environmental risks from implementation of renewable energy (including risk of increased land demand for production of biofuel feedstocks).</li> <li>• Limited access due to comparative high cost of renewable energy technologies.</li> </ul>	<ul style="list-style-type: none"> <li>• Capacity-building on sustainable implementation of renewable energy solutions, including appropriate sourcing of feedstocks, design and operation of renewable energy installations, energy mix to compensate fluctuating availability, etc.</li> <li>• Apply existing legal framework (e.g. EIA, SEA), develop by laws and/or other types of regulations on sustainable implementation of renewable energy.</li> <li>• Promotion of fuel woodlots among small scale farmers.</li> <li>• Regulation of renewable energy sources to ensure wide access that supports the national rural</li> </ul>

Benefits	Suggested measures to enhance benefits	Risks	Suggested measures to mitigate risks
			electrification programme in accordance with the national Sustainable Energy for All (SE4ALL) Action Agenda <sup>31</sup> and Investment Plan <sup>32</sup> e.g., price incentives for energy efficiency.
Adoption of sustainable agricultural practices	Promote climate-smart agricultural technologies for improved food and income securities (e.g. conservation agriculture, agroforestry, etc.)	Environmental risks from inappropriate implementation of new agricultural techniques (e.g. unsuitable choice of tree species in agroforestry, misuse of agrochemicals)	<ul style="list-style-type: none"> <li>Stakeholder involvement and capacity-building on sustainable agricultural practices.</li> <li>Providing locally appropriate information (e.g. through extension services).</li> </ul>
<b>Governance</b>			
Improved governance systems at community level resulting from the introduction of community forest management or other forms of community engagement in land management decisions.	Providing training and other support to communities/producer groups to allow them to participate effectively.	Corruption risk or risk of biased decisions in relation to: <ul style="list-style-type: none"> <li>Granting of concessions or licenses;</li> <li>SEA/EIA requirements; and</li> <li>Land use planning/forest management planning.</li> </ul>	Transparency requirements
Reducing illegal activities in the charcoal sector through certification of fuel provenance.	Design certification schemes to make it easy for a range of stakeholders (including holders of customary and communal land rights?) to participate.	Increase in illegal activities due to stricter requirements for concessions, licenses, permits, etc., or as a consequence of access restrictions or lack of ownership in relation to management plans.	<ul style="list-style-type: none"> <li>Awareness-raising and capacity-building on meeting requirements.</li> <li>Improved control mechanisms.</li> <li>Avoiding restrictions on subsistence use unless this is key to achieving goals.</li> <li>Providing alternatives or compensation where access restrictions put local livelihoods at risk.</li> <li>Participatory decision-making.</li> <li>Engage community leaders (including women leaders) in participatory enforcement of local community by-laws.</li> </ul>

<sup>31</sup> Ministry of Energy, (Matakala, P.W. (Ed.). 2017. Zambia Sustainable Energy for All (SE4ALL) Action Agenda: Sustainable for ALL Initiative. Department of Energy (DOE). Lusaka, Zambia.

<sup>32</sup> Ministry of Energy, (Matakala, P.W. (Ed.). 2017. Zambia Sustainable Energy for All (SE4ALL) Investment Prospectus: Sustainable for ALL Initiative. Department of Energy (DOE). Lusaka, Zambia.

Benefits	Suggested measures to enhance benefits	Risks	Suggested measures to mitigate risks
Increased efficiency and cost-effectiveness of government policy-making, planning, and policy implementation through better policy alignment	<ul style="list-style-type: none"> <li>• Design the processes for policy alignment to avoid some policy priorities being given undue precedence over others.</li> <li>• Develop national standards and codes of practice for environmental sustainability and train developers in their application.</li> </ul>	Overburdening of institutions due to increased responsibilities in relation to environmental regulations such as SEA/EIA.	Increasing capacity of institutions.
Promoting dialogue and collaboration between government, private sector and communities (e.g., through public-private partnerships)	<ul style="list-style-type: none"> <li>• Providing training and other support to communities/producer groups to allow them to participate effectively.</li> <li>• Develop participatory management systems.</li> </ul>	Lack of or limited investment to promote the dialogue.	Engage government, private sector and donors (bilateral, multilateral and private) to support the dialogue with participation of civil society and communities.
<b>Socio-economic aspects</b>			
Additional funding from the private sector for activities such as community forest management, making charcoal value chains more sustainable, etc.	Providing training and other support to communities/producer groups to allow them to participate effectively.	Increased dependence on private sector funding for activities such as community forest management leading to lack of long-term perspective, reduced government ownership and input, lack of coherence between initiatives or reduced ability to apply accountability.	<ul style="list-style-type: none"> <li>• Foster long-term engagement of private funders..</li> <li>• Retain government oversight or provide guidelines and standards, as appropriate.</li> <li>• Transparency requirements.</li> </ul>
Employment opportunities, additional income, diversified livelihoods and opportunities to support community projects (education, health care, etc.) as a result of activities such as ecotourism and game ranching, community forest management, community-based forest enterprises, public-private partnerships, market creation, certification of forest products (including wood fuel), introduction of more efficient	<ul style="list-style-type: none"> <li>• Involve communities in planning and implementation, encouraging wide participation.</li> <li>• Capacity building for communities to negotiate and manage their role in partnerships.</li> <li>• Ensure benefits flow to household level.</li> <li>• Provide training to local people to qualify them for jobs (e.g. animal husbandry, tour guides).</li> <li>• Provide seed funds for communities to acquire processing equipment or invest in marketing systems, to allow for value</li> </ul>	Reduction of available areas for development as a consequence of landscape-level planning processes could reduce inflow of Foreign Direct Investment	Identify alternative areas that are suitable for development

Benefits	Suggested measures to enhance benefits	Risks	Suggested measures to mitigate risks
production techniques (agriculture, charcoal), introduction of renewable energies.	addition on forest and agricultural products. <ul style="list-style-type: none"> <li>• Transparent site selection for interventions including ecological and social criteria.</li> </ul>		
Increased availability of more efficient fuels due to investments in charcoal value chain	Promote sale of certified charcoal at premium price across the value chain.	Reduced access to fuel for poor or otherwise disadvantaged groups, due to price increases or supply shortages following measures to support more sustainable charcoal production.	<ul style="list-style-type: none"> <li>• Complement activities targeting the charcoal value chain with activities to increase wood supply.</li> <li>• Ensure a balance between activities addressing the charcoal value chain, and activities promoting the use of renewable energy.</li> <li>• Consider implications for prices and environmental impact when choosing charcoal production methods to be supported.</li> </ul>
Increased energy sufficiency, availability and reliability through renewable energy solutions.	<ul style="list-style-type: none"> <li>• Designing schemes to allow for decentralized energy production and broad participation.</li> <li>• Supporting participation of public institutions (e.g. schools, hospitals).</li> </ul>	Investments in renewable energy solutions too low to make any significant impact.	<ul style="list-style-type: none"> <li>• Government commitment to renewable energy solutions through national budgetary allocations and investment</li> <li>• Mobilization of external financing (bilateral, multilateral, private and innovative sources) for renewable energy solutions.</li> </ul>
Better nutritional status due to introduction of agroforestry (availability of more diverse products) and reduction of post-harvest losses.	<ul style="list-style-type: none"> <li>• Stakeholder involvement and capacity building on agroforestry practices.</li> <li>• Facilitate access to raw materials, e.g., seed, seedlings and markets.</li> <li>• Investment in storage facilities for agricultural produce.</li> <li>• Public sensitization on better nutrition.</li> </ul>	Loss of investment in new agricultural practices and techniques (e.g. agroforestry, soil conservation practices) due to inappropriate location, choice or implementation of methods.	<ul style="list-style-type: none"> <li>• Stakeholder involvement and capacity-building on sustainable agricultural practices.</li> <li>• Providing locally appropriate information (e.g. through extension services).</li> <li>• Investment in storage and marketing infrastructure.</li> <li>• Strengthened extension services on sustainable agricultural practices, marketing and better nutrition.</li> </ul>
Reduced dependence on synthetic fertilizers and higher yields due to more sustainable agricultural practices.	Build the capacity of farmers to apply the most suitable practices.	Farmers unwilling to adopt suitable and sustainable practices due to lack of knowledge.	Strengthen agriculture extension services to disseminate information on use of organic fertilizers and appropriate soil management techniques for increased crop yields.