



CEO Endorsement (CEO) entry – Full Sized Project – GEF - 7

Ecosystem conservation and community livelihood enhancement in North Western Zambia

Part I: Project Information

GEF ID

10192

Project Type

FSP

Type of Trust Fund

GET

CBIT/NGI

CBIT No

NGI No

Project Title

Ecosystem conservation and community livelihood enhancement in North Western Zambia

Countries

Zambia

Agency(ies)

UNEP

Other Executing Partner(s)

The Nature Conservancy

Executing Partner Type

CSO

GEF Focal Area

Multi Focal Area

Taxonomy

Focal Areas, Sustainable Development Goals, Forest, Drylands, Biodiversity, Financial and Accounting, Conservation Finance, Protected Areas and Landscapes, Terrestrial Protected Areas, Productive Landscapes, Community Based Natural Resource Mngt, Mainstreaming, Forestry - Including HCVF and REDD+, Agriculture and agrobiodiversity, Tourism, Fisheries, Biomes, Rivers, Temperate Forests, Tropical Dry Forests, Climate Change, Climate Change Adaptation, Livelihoods, Community-based adaptation, Ecosystem-based Adaptation, United Nations Framework Convention on Climate Change, Paris Agreement, Land Degradation, Sustainable Land Management, Community-Based Natural Resource Management, Income Generating Activities, Integrated and Cross-sectoral approach, Sustainable Agriculture, Restoration and Rehabilitation of Degraded Lands, Sustainable Forest, Improved Soil and Water Management Techniques, Sustainable Livelihoods, Sustainable Fire Management, Ecosystem Approach, Food Security, Influencing models, Strengthen institutional capacity and decision-making, Transform policy and regulatory environments, Demonstrate innovative approach, Convene multi-stakeholder alliances, Deploy innovative financial instruments, Stakeholders, Civil Society, Community Based Organization, Non-Governmental Organization, Communications, Public Campaigns, Education, Behavior change, Awareness Raising, Type of Engagement, Participation, Information Dissemination, Consultation, Partnership, Local Communities, Private Sector, SMEs, Individuals/Entrepreneurs, Large corporations, Financial intermediaries and market facilitators, Beneficiaries, Gender Equality, Gender results areas, Participation and leadership, Access and control over natural resources, Access to benefits and services, Capacity Development, Gender Mainstreaming, Sex-disaggregated indicators, Capacity, Knowledge and Research, Learning, Indicators to measure change, Adaptive management, Enabling Activities, Innovation, Knowledge Exchange, Knowledge Generation, Targeted Research

Rio Markers**Climate Change Mitigation**

Climate Change Mitigation 0

Climate Change Adaptation

Climate Change Adaptation 1

Submission Date

5/26/2021

Expected Implementation Start

9/1/2021

Expected Completion Date

2/28/2026

Duration

60In Months

Agency Fee(\$)

507,165.00

A. FOCAL/NON-FOCAL AREA ELEMENTS

Objectives/Programs	Focal Area Outcomes	Trust Fund	GEF Amount(\$)	Co-Fin Amount(\$)
BD-1-1	Mainstream biodiversity across sectors as well as landscapes and seascapes through biodiversity mainstreaming in priority sectors	GET	1,776,485.00	3,915,000.00
LD-1-1	Maintain or improve flow of agro-ecosystem services to sustain food production and livelihoods through Sustainable Land Management (SLM)	GET	1,151,430.00	4,585,000.00
LD-1-2	Maintain or improve flow of ecosystem services, including sustaining livelihoods of forest-dependent people through Sustainable Forest Management (SFM)	GET	2,410,670.00	11,880,000.00
Total Project Cost(\$)			5,338,585.00	20,380,000.00

B. Project description summary**Project Objective**

To strengthen community-based sustainable management of forest landscapes, and provide improved livelihood opportunities for targeted forest-dependent rural communities in Zambia's North West Province.

Project Component	Financing Type	Expected Outcomes	Expected Outputs	Trust Fund	GEF Project Financing(\$)	Confirmed Co-Financing(\$)
Component 1: Developing the enabling regulatory and planning frameworks for community-based, sustainable forest management	Technical Assistance	Outcome 1: Sustainable forest management (SFM) mainstreamed in local development plans in target	1.1 Comprehensive assessment of forests and communities in the project area (sex and age disaggregated)	GET	1,173,137.00	4,705,000.00
		Community Forest Management Areas (CFMAs)	1.2 In-depth awareness raising on inclusive, gender sensitive CFMA creation leading to the declaration by government of the new or modified CFMG			
			1.3 Sustainable forest and natural resource management promoted in gender responsive			
			District Integrated Development Plans and CFMA management plans			

1.4 Knowledge
management system
developed in support
of gender sensitive
community
management of
forests and natural
resources

1.5 Subsidiary
legislation for forestry
reviewed and revised
in support of gender
responsive
sustainable forest
management

Component 2: Promoting the conservation and sustainable use of natural resources in community-managed forests (TA and INV)	Technical Assistance	Outcome 2: Improved management of forest resources for gender equality and enhanced welfare and livelihoods	<p>2.1 Training and deployment of a corps of gender sensitive community forest guards in targeted CFMAs</p> <p>2.2. Gender responsive business plans developed in support of each community forest management group</p> <p>2.3. Gender responsive community-based enterprises developed based on the business plan</p> <p>2.4 Capacities developed for gender responsive good governance, NRM and business management</p>	GET	2,919,830.00	8,980,000.00
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Component 3: Enhancing the sustainability and productivity of agricultural practices on the lands zoned for agriculture adjacent to community-managed forests (TA and INV)	Technical Assistance	Outcome 3: Improved productivity, gender equality and climate resilience from sustainable agricultural practices on the lands zoned for agriculture adjacent to community-managed forests	3.1 Gender responsive network of actors developed and capacity built to deliver sustainable agricultural practices on the lands zoned for agriculture adjacent to community-managed forests 3.2. Capacity building provided to encourage the adoption of gender-responsive, sustainable agricultural practices in agricultural zones in villages adjacent to community forests 3.3. Crop and livestock male, female and young farmers adjacent to CFMAs equally assisted to sustainably improve their productivity and net income.	GET	979,870.00	4,755,000.00
Sub Total (\$)					5,072,837.00	18,440,000.00
Project Management Cost (PMC)						
GET					265,748.00	1,940,000.00
Sub Total(\$)					265,748.00	1,940,000.00
Total Project Cost(\$)					5,338,585.00	20,380,000.00

Please provide justification

N/A.

C. Sources of Co-financing for the Project by name and by type

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Investment Mobilized	Amount(\$)
Recipient Country Government	Ministry of Lands and Natural Resources	In-kind	Recurrent expenditures	7,200,000.00
Recipient Country Government	Ministry of Agriculture	In-kind	Recurrent expenditures	1,900,000.00
Recipient Country Government	Ministry of Tourism and Arts	In-kind	Recurrent expenditures	750,000.00
Civil Society Organization	The Nature Conservancy (TNC)	In-kind	Recurrent expenditures	300,000.00
Civil Society Organization	The Nature Conservancy (TNC)	Grant	Investment mobilized	1,700,000.00
Civil Society Organization	World Wildlife Fund (WWF)	In-kind	Recurrent expenditures	3,780,000.00
Civil Society Organization	Trident Foundation Ltd for Kalumbila Minerals Limited	In-kind	Recurrent expenditures	2,250,000.00
Private Sector	First Quantum Minerals	In-kind	Recurrent expenditures	2,500,000.00
Total Co-Financing(\$)				20,380,000.00

Describe how any "Investment Mobilized" was identified

The Government of Zambia Investment are dedicated to the development and extension of sustainable community forest management and agricultural systems. TNC's investment mobilized will provide financial and technical support to the rural communities at the Project sites. WWF's investment has been mobilized from their programme 'A Resilient Zambezi River Basin for the Benefit of People and Nature - Phase 2 2021-2024'. Trident Foundation Ltd is a civil society organization funded by the CSR program of Kalumbila Minerals Ltd. Their investment mobilized will support Components 2 and 3 of the project as part of their support for sustainable rural development. First Quantum Minerals investment mobilized is a continuation of their support for the conservation of the West Lunga Complex that they have funded since 2014. Their funding will be split between \$500,000 for project management costs and \$2,000,000 for Components 1 and 2. Where 'investment mobilized' has been indicated, it refers to Co-Financing that excludes recurrent expenditures, as defined in the Co-Financing guideline. Changes to co-financing from the PIF: Cofinancing commitments realized at CEO have been affected by the ongoing Pandemic crisis and will be reassessed at project start. While Government of the Republic of Zambia (GRZ) co-financing has been reduced from US\$30,000,000 to US\$9,850,000 and TNC co-financing remains unchanged, the project has found additional sources of co-financing such as through WWF that will provide cofinancing amounting to US\$ 3,780,000 for the conservation of aquatic biodiversity and for the sustainable management of of riverine sheries. The original co-financing from the 'Not for Profit' organization Trident Foundation of US\$4,000,000 has been increased to US\$4,750,000 and split in two between the Trident Foundation and the West Lunga Conservation

Project, which may eventually expand Community Forest Management (CFM) to over a million hectares of GMA. Successful approaches developed by the GEF-7 Project will be replicated by them across this area. The co-financing from the GEF Agency could not be confirmed due to substantially reduced investments from REDD and transition to a new program. A concept note for a large project to be funded by the GCF is well advanced and the GEF Agency hopes to possibly increase the original amount. This information will be confirmed before the project start.

D. Trust Fund Resources Requested by Agency(ies), Country(ies), Focal Area and the Programming of Funds

Agency	Trust Fund	Country	Focal Area	Programming of Funds	Amount(\$)	Fee(\$)
UNEP	GET	Zambia	Biodiversity	BD STAR Allocation	1,776,485	168,765
UNEP	GET	Zambia	Land Degradation	LD STAR Allocation	3,562,100	338,400
Total Grant Resources(\$)					5,338,585.00	507,165.00

E. Non Grant Instrument

NON-GRANT INSTRUMENT at CEO Endorsement

Includes Non grant instruments? **No**

Includes reflow to GEF? **No**

F. Project Preparation Grant (PPG)

PPG Required **false**

PPG Amount (\$)

150,000

PPG Agency Fee (\$)

14,250

Agency	Trust Fund	Country	Focal Area	Programming of Funds	Amount(\$)	Fee(\$)
UNEP	GET	Zambia	Biodiversity	BD STAR Allocation	49,500	4,703
UNEP	GET	Zambia	Land Degradation	LD STAR Allocation	100,500	9,547
Total Project Costs(\$)					150,000.00	14,250.00

Core Indicators

Indicator 1 Terrestrial protected areas created or under improved management for conservation and sustainable use

Ha (Expected at PIF)	Ha (Expected at CEO Endorsement)	Ha (Achieved at MTR)	Ha (Achieved at TE)
0.00	60,000.00	0.00	0.00

Indicator 1.1 Terrestrial Protected Areas Newly created

Ha (Expected at PIF)	Ha (Expected at CEO Endorsement)	Total Ha (Achieved at MTR)	Total Ha (Achieved at TE)
0.00	0.00	0.00	0.00

Name of the Protected Area	WDPA ID	IUCN Category	Total Ha (Expected at PIF)	Total Ha (Expected at CEO Endorsement)	Total Ha (Achieved at MTR)	Total Ha (Achieved at TE)
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Indicator 1.2 Terrestrial Protected Areas Under improved Management effectiveness

Ha (Expected at PIF)	Ha (Expected at CEO Endorsement)	Total Ha (Achieved at MTR)	Total Ha (Achieved at TE)
0.00	60,000.00	0.00	0.00

Name of the Protected Area	WDPA ID	IUCN Category	Ha (Expected at PIF)	Ha (Expected at CEO Endorsement)	Total Ha (Achieved at MTR)	Total Ha (Achieved at TE)	METT score (Baseline at CEO Endorsement)	METT score (Achieved at MTR)	METT score (Achieved at TE)
Chibwika-Ntambu Game Management Area	4086	Protected Landscape/Seascape		50,000.00			53.00		
Kasonso-Busanga Game Management Area	4082	Protected Landscape/Seascape		10,000.00			61.00		

Indicator 3 Area of land restored

Ha (Expected at PIF)	Ha (Expected at CEO Endorsement)	Ha (Achieved at MTR)	Ha (Achieved at TE)
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5000.00	0.00	0.00	0.00
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Indicator 3.1 Area of degraded agricultural land restored

Ha (Expected at PIF)	Ha (Expected at CEO Endorsement)	Ha (Achieved at MTR)	Ha (Achieved at TE)
5,000.00			

Indicator 3.2 Area of Forest and Forest Land restored

Ha (Expected at PIF)	Ha (Expected at CEO Endorsement)	Ha (Achieved at MTR)	Ha (Achieved at TE)

Indicator 3.3 Area of natural grass and shrublands restored

Ha (Expected at PIF)	Ha (Expected at CEO Endorsement)	Ha (Achieved at MTR)	Ha (Achieved at TE)

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Indicator 3.4 Area of wetlands (incl. estuaries, mangroves) restored

Ha (Expected at PIF)	Ha (Expected at CEO Endorsement)	Ha (Achieved at MTR)	Ha (Achieved at TE)

Indicator 4 Area of landscapes under improved practices (hectares; excluding protected areas)

Ha (Expected at PIF)	Ha (Expected at CEO Endorsement)	Ha (Achieved at MTR)	Ha (Achieved at TE)
100000.00	70000.00	0.00	0.00

Indicator 4.1 Area of landscapes under improved management to benefit biodiversity (hectares, qualitative assessment, non-certified)

Ha (Expected at PIF)	Ha (Expected at CEO Endorsement)	Ha (Achieved at MTR)	Ha (Achieved at TE)

Indicator 4.2 Area of landscapes that meets national or international third party certification that incorporates biodiversity considerations (hectares)

Ha (Expected at PIF)	Ha (Expected at CEO Endorsement)	Ha (Achieved at MTR)	Ha (Achieved at TE)

Type/Name of Third Party Certification

Indicator 4.3 Area of landscapes under sustainable land management in production systems

Ha (Expected at PIF)	Ha (Expected at CEO Endorsement)	Ha (Achieved at MTR)	Ha (Achieved at TE)
20,000.00	10,000.00		

Indicator 4.4 Area of High Conservation Value Forest (HCVF) loss avoided

Ha (Expected at PIF)	Ha (Expected at CEO Endorsement)	Ha (Achieved at MTR)	Ha (Achieved at TE)

80,000.00

60,000.00

Documents (Please upload document(s) that justifies the HCVF)**Title****Submitted**

Justification of Targeted Sites in Northwestern Province to qualify as HCVFs

Indicator 5 Area of marine habitat under improved practices to benefit biodiversity (excluding protected areas)**Ha (Expected at PIF)****Ha (Expected at CEO
Endorsement)****Ha (Achieved at MTR)****Ha (Achieved at TE)****Indicator 5.1 Number of fisheries that meet national or international third party certification that incorporates biodiversity considerations****Number (Expected at PIF)****Number (Expected at CEO
Endorsement)****Number (Achieved at MTR)****Number (Achieved at TE)**

Type/name of the third-party certification

Indicator 5.2 Number of Large Marine Ecosystems (LMEs) with reduced pollutions and hypoxia

Number (Expected at PIF)	Number (Expected at CEO Endorsement)	Number (achieved at MTR)	Number (achieved at TE)
0	0	0	0

LME at PIF

LME at CEO Endorsement

LME at MTR

LME at TE

Indicator 5.3 Amount of Marine Litter Avoided

Metric Tons (expected at PIF)	Metric Tons (expected at CEO Endorsement)	Metric Tons (Achieved at MTR)	Metric Tons (Achieved at TE)

Indicator 6 Greenhouse Gas Emissions Mitigated

Total Target Benefit	(At PIF)	(At CEO Endorsement)	(Achieved at MTR)	(Achieved at TE)
Expected metric tons of CO ₂ e (direct)	0	5837315	0	0
Expected metric tons of CO ₂ e (indirect)	0	0	0	0

Indicator 6.1 Carbon Sequestered or Emissions Avoided in the AFOLU (Agriculture, Forestry and Other Land Use) sector

Total Target Benefit	(At PIF)	(At CEO Endorsement)	(Achieved at MTR)	(Achieved at TE)
Expected metric tons of CO ₂ e (direct)		5,837,315		
Expected metric tons of CO ₂ e (indirect)				
Anticipated start year of accounting		2041		
Duration of accounting				

Indicator 6.2 Emissions Avoided Outside AFOLU (Agriculture, Forestry and Other Land Use) Sector

Total Target Benefit	(At PIF)	(At CEO Endorsement)	(Achieved at MTR)	(Achieved at TE)
Expected metric tons of CO ₂ e (direct)				

Expected metric tons of CO ₂ e (indirect)
Anticipated start year of accounting
Duration of accounting

Indicator 6.3 Energy Saved (Use this sub-indicator in addition to the sub-indicator 6.2 if applicable)

Total Target Benefit	Energy (MJ) (At PIF)	Energy (MJ) (At CEO Endorsement)	Energy (MJ) (Achieved at MTR)	Energy (MJ) (Achieved at TE)
Target Energy Saved (MJ)				

Indicator 6.4 Increase in Installed Renewable Energy Capacity per Technology (Use this sub-indicator in addition to the sub-indicator 6.2 if applicable)

Technology	Capacity (MW) (Expected at PIF)	Capacity (MW) (Expected at CEO Endorsement)	Capacity (MW) (Achieved at MTR)	Capacity (MW) (Achieved at TE)
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Indicator 11 Number of direct beneficiaries disaggregated by gender as co-benefit of GEF investment

	Number (Expected at PIF)	Number (Expected at CEO Endorsement)	Number (Achieved at MTR)	Number (Achieved at TE)
Female	500	4,000		

Male	500	6,000		
Total	1000	10000	0	0

Part II. Project Justification

1a. Project Description

1a. *Project Description.*

The project design has not changed significantly from the project concept. It is only the description and articulation of issues that has been improved in line with findings during the preparation phase. With reference to table B above, changes were made in stating some of the outputs. Those changes have been detailed through the sections in this project description and where relevant in the respective tables that follow.

1) the global environmental and/or adaptation problems , root causes and barriers that need to be addressed (systems description);

The total forest cover for the Republic of Zambia is estimated to be 45.9 million ha and represents 61.04% of the country's land surface area.^[1] The largest forest cover is located in North Western Province (NWP), which represents 19.23% of total national forest cover. A forest, according to the Forests Act No. 4 of 2015, means any land with a tree canopy cover of more than ten percent and area of more than zero point five hectares and includes young stands that have not yet reached, but are expected to reach, a crown density of ten percent and tree height of five metres that are temporarily under stocked areas.

Forest income accounts for more than 20% of the total household income in Zambia^[2]. Some households are more forest dependent than others, a function of factors such as proximity to urban markets and total income levels. It was noted that traders at the markets in urban and rural townships had no licences from the Forestry Department. The forests Act No. 4 of 2015 provides for free trade in non-wood forest products, while major forest products (timber, firewood, charcoal etc.) require a permit.

North-Western Province covers an area of 125,826 km². The population of the province was 727,044 and a population density of 5.80 per square kilometre as of 2010^[3]. It is the most sparsely populated province in the country. Solwezi is the provincial capital. The rural population constituted 77.45%, while the urban population was 22.55%. North-Western Province is bordered along Angola in the west, the Democratic Republic of Congo (DR Congo) in the north, Copperbelt Province in the southeast, Central in the south, and Western Province in the west.

The dryland forests of NWP are much wetter than most dryland forests and have, correspondingly, a higher level of carbon sequestration per unit area than other dryland forests. Conserving these forests will have significant positive impacts for climate change mitigation. The NWP contains biodiversity of global (typified by high levels of endemics with Guineo-Congolian origins) and regional (typified by the biodiversity of the forest-savanna mosaic) importance. The province is home to six Important Bird Areas (IBAs): Hillwood; Source of the Zambezi; Chitunta Plain; West Lunga National Park and Lukwakwa; part of Kafue National Park; and Jimbe Drainage. The province is rich in wildlife species diversity, with notable wildlife species including the African elephant, African buffalo, sitatunga, puku, roan and sable antelopes, lion, cheetah, leopard, African wild dog, hyaena and jackal.

Most of the miombo forests across southern Africa are secondary forests that started out as mvunda or similar forests, but were degraded by man's repeated use of fire for hunting and agriculture.^[4] Most of these mvunda forests have long since been converted to miombo, making their conservation a high priority. Mvunda occurs in several large blocks in the border regions of Zambia, Angola and the Democratic Republic of Congo but the West Lunga Management Area (WLMA) is the only sector that has any formally recognised protective status. Mvundu is an important forest type in the West Lunga

Complex. The three districts where the Project sites are located are in the zone of highest diversity of flowering plants with an average of 90 to 120/ha^[5]. The NWP lies in the watershed between DR Congo and Zambezi river systems. It is also the major source of the Kafue river basin. The western extremity of the province includes the Zambezi River, and its wide Barotse Floodplain, representing a vast and aquatic wildlife habitat.

NWP is losing 20,000 ha of forest/yr or 0.77%/yr to deforestation, primarily to conversion to smallholder agriculture. Forest degradation is much more difficult to monitor and there are no area estimates of it although it is occurring over large areas due primarily to selective harvest of the best species for saw timber and for charcoal. Late dry season fires are another major cause of forest degradation. There are no sustainable, continuous cropping systems developed for the major crops in NWP. A large part of the cropping is slash-and-burn. The cropping cycle can be extended with the use of chemical fertilizers, but then yields drop off substantially after a few years. The main problem for biodiversity is the very widespread poaching of wildlife. Wildlife habitat is largely intact, but wildlife populations, even in the high priority West Lunga Complex, are severely reduced and a number of species have gone locally extinct.

North Western Province is endowed with a rich natural resource base of which forests form a very important component. 8,833,712 ha of the 12,582,637 ha^[6] of the province are covered by forests. This is 19% of Zambia's total forest cover. Two national parks are found in NWP - the north-western part of Zambia's biggest National Park, Kafue National Park (KNP) and West Lunga National Park (WLNP). In Addition, there are seven Game Management Areas (GMAs)^[7], 34 National Forests and 27 Local Forests. The National Forests cover an area of 2,080,476 ha while the Local Forests cover an area of 419,842 ha. The province has the most intact forest cover in the country, and the highest concentration of carbon storage. The majority of the people in the province depend on these forests for a significant part of their livelihoods and for supplements to their diet. These forests provide both wood and non-wood forest products. However, deforestation and forest degradation remain major problems in the dryland forests of NWP, with the third highest rate of deforestation for the ten provinces in Zambia. Direct and indirect causes are analysed in section 2.3 of the project document.

Rural communities living in communal areas and adjacent to the GMAs in NWP depend heavily on the dryland forests for their day-to-day subsistence, income generation and ecosystem services. About 75% of rural households earn income from the sale of agricultural crops, while more than 50% earn income from the sale of forest-based products. Rain-fed small-scale subsistence agriculture in maize, beans, soya beans, groundnuts, pineapples and cassava production are the main livelihood activities; along with livestock (cattle, goats, pigs and sheep) and poultry farming. There is also a high degree of dependency of these rural households on forest resources for home consumption and income; including firewood, poles, charcoal, honey, mushrooms, roots, grass, wild fruits and caterpillars.

Rural poverty is severe. More than 77% of the population of the NWP live in rural areas, with 46% living in 'extreme poverty'. The majority of all households (90%) in the province do not have access to electricity. Most depend on natural forest resources, which provide an important source of energy for cooking; 72% of households rely on firewood, and more than 22% on charcoal. Households in the NWP reportedly clear on average 0.53 ha of forest per annum. Low domestic earnings, coupled with high demand for fuelwood, have combined to exert pressure on forest resources in rural NWP. Poverty is also limiting the extent to which households in the province can choose more sustainable alternatives to wood fuel and make long-term decisions about land management. Further, population growth and internal movements of people into the province (often associated with open pit, artisanal copper and cobalt mining operations and agricultural expansion) has further increased the pressure on previously uninhabited areas of forests both on communal and state land.

Compounding the challenges of rural poverty is a changing climate, which models suggest will continue to change dramatically over the coming decades. The country is already experiencing climate-induced hazards. Droughts and floods have increased in frequency and intensity over the past few decades and have adversely affected food and water security, water quality, energy generation, and livelihoods of people, especially in rural communities. The future trends in the country are toward a higher average temperature, a possible decrease in total rainfall, and some indication of more intense rainfall events. Rural poor communities, living in forest landscapes and dependent largely on agriculture and natural resource use, are increasingly vulnerable to this inherently highly variable climate.

Refer to section 2.3 of the project document for a detailed description of threats, root causes and barrier analysis and note that the problem analysis in the Project document is structured differently from that in the PIF. The PIF identifies the causes of deforestation and forest degradation and their drivers. The drivers are presented collectively for all the causes. There is one set of barriers to "The effectiveness of efforts to address the drivers of deforestation and forest degradation". In the Project document, the causes of deforestation are identified separately from the causes of forest degradation. The causes of unsustainable agriculture are done separately as are the causes of biodiversity loss. The drivers of each direct cause is analysed separately. Finally, the barriers to sustainable management of forests and other natural resources are identified separately from the barriers to biodiversity conservation which are identified separately from the adoption of technologies for sustainable agriculture.

2) the baseline scenario and any associated baseline projects;

In the baseline scenario without the GEF-7 project, nearly all work on the creation of CFMA in Zambia is done with donor support. The associated baseline projects are summarized in table 15, in section 2.6 of the project document.

The Forestry Department (FD) in NWP has a total staff complement of 76 (including 3 forestry officers, 36 for forest extension staff and 9 forest guards)^[8] and an annual budget of US\$130,337 (US\$651,685 over the 5-year time frame of the project). Forestry Department staff levels in NWP are therefore very low at an average of 4 per district – mostly forestry extension agents. They have responsibility for promoting community involvement in forest management, but most have little in terms of guidelines or training on how to go about doing this except for those who were involved in the Finnish-funded Decentralised Forest and other Natural Resources Management Programme. Forestry staff with such experience in Kasempa District have recently completed the first phase of the creation of two new, large CFMA. The second phase of development of forest management plans are still to be done. Department of National Parks and Wildlife staff levels in the province is very low and is organised according to regions where National Parks and Game Management Areas are located. The Department of Fisheries staff levels are low with an average staff of 3 per district and with limited mobility. The Department of Agriculture is the one institution that is well structured and present in all the districts. At district level, each district is divided into Blocks and further into Camps. Extension Staff at community level (Camps) on average is about 25 per district – Kalumbila District has 30. Most staff lack any means of transport and extension messages have a strong emphasis on the use of chemical fertilizers and little involvement in sustainable agricultural technologies. The only donor-funded project presently working towards the creation and capacity development of CFMA in NWP at present is the FQM support for the West Lunga Conservation Project – and they are in the very early stages of awareness raising.

Under this scenario there are no viable examples of established CFM initiatives in NWP that are operational with tested, proven sustainable forest management systems and that are generating substantially more benefits than costs for communities and their members. Similarly, there are no clearly successful sustainable agriculture initiatives that are both successful in maintaining soil fertility and that enjoy high rates of farmer adoption. Without the GEF Project, this is not expected to change substantially as the CFMGs created under the Finnish project have no functioning sustainable forest management systems and have created no new benefits for communities while creating new obligations. There has been an almost a total absence of business development expertise applied to the existing CFMG. Very exceptionally, two new and very large CFMG were just created in Kasempa Province in August 2020 with the help of the local forest department staff and without the assistance of any donor project. While this is a very promising development, it has not addressed the fundamental weaknesses of the existing model of CFM, the need to strengthen the capacity of government agencies to provide technical advice to the communities, the need for sustainable financing opportunities, and the need for revising the statutory instrument to better enable CFM to develop at scale.

The one promising development towards more effective CFM models comes from the initiative for the West Lunga Complex. The approach there was evolving rapidly during the preparatory phase and was almost certainly influenced by the ideas put forward by the PPG team. The West Lunga Conservation Project plans to take a strongly enterprise-based approach and has recently decided to create new CFMG in the West Lunga GMA. However, their thinking is primarily about business development for individual value chains and not viewing the community management of forest/natural resources itself as a community enterprise that covers natural resource management costs out of profits to secure its sustainability. Without the GEF 7 Project, these limited initiatives would probably increase the profitability of individual value chains, but it is not clear that this would result in tested proven systems of community management of forests and natural resources as indicated in the previous paragraph.

For sustainable agriculture, the major finding of the preparatory phase was the very low farmer adoption rates for conservation farming. The key challenge to SLM on agricultural lands is that of maintaining soil fertility and agricultural productivity at high levels. The complex of technologies that go under the heading of conservation farming in Zambia is perhaps the most successful at maintaining soil fertility and agricultural productivity at high levels. The barriers to adoption that have led to this have been insufficiently identified and certainly include the increased level of labour required to implement conservation

agricultural practice coupled with the long lead time before the benefits of adoption become apparent in crop yields. Food insecure households also face a limited choice set due to the costs and perceived risks of adaptation, imperfect access to input and output markets, and lack of insurance and credit. This has led the project to put a greater emphasis on in-depth surveys of farmers and extension agents to better identify those SLM technologies that are both effective and that have high adoption rates and to better understand the barriers to the adoption of technologies that are technically sound but with low adoption rates. Under the baseline scenario, this barrier will remain poorly defined and only partially addressed.

The baseline table 8 in section 2.6 of the project document starts out with a summary of GEF initiatives, four ongoing and two completed. Exceptionally, there will be four five-year GEF projects in Zambia starting in 2021 and targeting SFM and sustainable or resilient agriculture. They will however all operate in different parts of the country, not in NWP, and without the GEF project, this great opportunity for collaborating on knowledge management and finding solutions at scale based on best practice for the differentiated needs across the wider landscape will not be realized.

The following projects/programmes have been added to the baseline projects indicated in the PIF:

- *UNEP/GEF Building the resilience of local communities in Zambia through the introduction of Ecosystem-based Adaptation (EbA) into priority ecosystems, including wetlands and forests.* Project No. 8034 with US\$6,185,000 in GEF funding. The project aims to achieve a reduction in the climate change vulnerability of rural communities living around wetlands and forests in Zambia through the improved and continued provision of services from these ecosystems. The project will maintain a dialogue to explore synergies in terms of community forest management approaches.
- *Forest and Farm Facility Programme.* It is supported by FAO and implemented in Southern and Eastern Provinces amounting to US\$350,000. The project focuses on building forest-based enterprises. This programme provides opportunities to learn from their approaches to enterprise development.
- *The FAO/GEF Climate Change Adaptation in Forest and Agriculture Mosaic Landscapes,* GEF ID 10186 with \$7,019,700 in GEF funding. We plan to collaborate on the synthesis of lessons learned and on knowledge management.
- *Strengthening climate resilience of agricultural livelihoods in Agro-Ecological Regions I and II in Zambia (SCRALA)* The UNDP, FAO and WFP US\$32m Green Climate Fund (GCF) funded project. This project is of interest for Component 3 of the GEF 7 Project.
- *Supporting the improved management of the Lunga Luswishi GMA.* (2019 – 2021). A privately funded (US\$200,000) TNC project in the Mujimanzovu Chiefdom, adjacent to Kasempa District. Potential extension to 2024 for a total of US\$500,000. Developing a nature-based business model for 44,000ha of communal land, part in and part out of the GMA. Visioning process, development of a business plan, securing customary title to conservation lands, development of a CRB, deployment of scouts, management for wildlife, honey, berries, possibly carbon credits, potential creation of a CFMG. The overall approach is very similar to that of the GEF 7 Project. TNC's experience and lessons learned from this project should be of great value for strengthening the governance of CFMG and CRB at the Project sites and in the development of nature-based community-level enterprises.

3) the proposed alternative scenario with a brief description of expected outcomes and components of the project

The Project Objective is to strengthen community-based sustainable management of forest landscapes and provide improved livelihood opportunities for targeted forest-dependent rural communities in Zambia's North West Province.

Baseline conditions, targets, monitoring milestones and risks related to the Project Objective are described in the Results Framework (Appendix 4), the Workplan and Timetable (Appendix 5), Key Deliverables and Benchmarks (Appendix 6) and the Costed M&E Plan (Appendix 7). The project objective will be achieved through the key inputs under three targeted Components (see Section 3.3 of the project document for details).

The project will be implemented through 3 components and related outcomes as follows:

Component 1 will develop the necessary capacity and governance environment for sustainable community forest management through improving tenure and access rights over forests and establishing the governance structures around those forests to avoid deforestation. Participatory land use planning will be a key tool for assessing land suitability, constraining the clearing of forests for agriculture and for identifying and agreeing on the ecologically sensitive areas and the lands for community forest management (CFM). Sustainable community forest and natural resources management will be mainstreamed into district integrated development plans (DIDP). Ensuring the participation of district councils in embedding CFM into planning is critical to sustainability and the scaling

up potential of the projects outcomes and will lead to the development of districts as a more active stakeholder in sustainable natural resource management. This component will leverage the work of other initiatives also raising awareness of CFM, supporting the strengthening of community based natural resource management (CBNRM) over forest resources and facilitating the development of CFM governance structures, including West Lunga Conservation Project, TNC and Trident Foundation. Through these intervention areas, the project advances the objectives of the Forest Act of 2015 and with the statutory instrument of 2018 for the Forest Act and will take advantage of the opportunities for community forest management afforded by these progressive legal instruments. Component 1 of the Project will make significant contributions to the GRZ target of achieving land degradation neutrality by 2030. Component 1 will incorporate a key lesson from USAID's Community Forest Management Project (2014 – 2019) being the need for the establishment of robust and transparent community governance structures in advance of any revenue flow from sustainable forest management (SFM). The UNDP GEF project "Promoting Climate Resilient Community-based Regeneration of Indigenous Forests in Zambia's Central Province" provided the lesson that capacity building of government staff is essential to allow them to maximise support to community forest management.

Component 2 will place a priority on SFM contribution to decreasing fragility, increasing human resilience and delivering substantial development co-benefits. This component will focus on the identification of natural resource-based products, services and value chain of the greatest potential for new revenue generation, on the identification of the best natural resource-based value-added investment opportunities, on the development of business plans for each CFM unit and on the development of sustainable financing mechanisms for the self-financing of forest management costs and for community development. This component will provide for synergy with the efforts of West Lunga Conservation Project and TNC to facilitate the development of carbon markets in North Western Province. It advances the objectives of the National Forest Investment Plan (FIP 2018 - 2022) for Zambia, specifically the investment areas of the FIP around the conservation and management of High Value Conservation Forests. The UNDP GEF project "Promoting Climate Resilient Community-based Regeneration of Indigenous Forests in Zambia's Central Province" provided the lesson that size of community forest areas is critical – too small a forest area and the revenue generation potential is insufficient to cover operational costs and to provide for appropriate benefit sharing arrangements.

Components 1 and 2 are highly supportive of the GRZ program for achieving land degradation neutrality (LDN). The Ministry of Water Development, Sanitation and Environmental Protection has sent us their targets and their proposed measures for achieving their targets. Zambia has set the objective of achieving land degradation neutrality by 2030. To achieve this overarching target, they have set 13 other targets, each of them supported by 2 to 15 proposed measures. The GEF 7 Project provides support for 9 of the 13 LDN targets and supports 32 of the 62 proposed measures.

Component 3 seeks to address the threat related to agricultural expansion into forests and other natural ecosystems resulting from declining productivity on traditional lands. This work will focus on production landscapes where agricultural management practices underpin the livelihoods of poor rural farmers, to advance the promotion of smallholder agricultural technologies and practices that contribute to the maintenance and enhancement of productivity on existing agricultural lands and enhancing the resilience of their agricultural systems. This component will therefore focus on innovative approaches to increase access to finance and technical assistance for smallholders and small businesses that can be scaled up to maximize global benefits for the environment while addressing the issues of biodiversity, climate change, and local livelihoods. It will take into account the lessons learned from conservation farming in Zambia and from Trident Foundation's original conservation farming programme in Kalumbila District in which adoption of conservation farming practices was inadvertently incentivized by the offer of subsidized inputs and adoption levels dropped drastically when the input subsidies were scaled back. The UNDP GEF project "Promoting Climate Resilient Community-based Regeneration of Indigenous Forests in Zambia's Central Province" provided the lesson that the combined 'market services' offered by Community Markets for Conservation (COMACO) of extension and agricultural market access were very effective at supporting the generation of farm income. This component offers collaboration opportunities with honey export companies, carbon project development companies, COMACO and other actors in the nature-based value chains. The measurement and monitoring of climate resilience within the smallholder economy are essential to ensure the project is making progress in advancing resilience and to allow for adaptive implementation measures if progress is not being made. In this regard, the project will explore the use of specific tools such as the "Self-evaluation and Holistic Assessment of Climate Resilience of farmers and Pastoralists" (SHARP) tool developed by FAO which aims to address the need to better understand and incorporate the situations, concerns and interests of farmers relating to climate resilience and agriculture.

No changes have been made to components or to outcomes with the exception of outcome 3 to clarify the area where Component 3 can operate. The table below highlights the changes made at output level. It is worth noting that all of the outputs have been revised in line with recommendations from the gender analysis, to ensure that gender equality is mainstreamed in the project. Those that have been modified beyond that reference to gender, are included in the table below. For the detailed description of outputs and activities refer to section 3.3 of the project document.

PIF Text	CEO ER Text	Comments from Project Proponents
<u>Output 1.2 Outreach pro</u>	Output 1.2. In-depth awaren	Outputs 1.2 and 1.3 in the PIF cover the same ground as out

<p>gramme undertaken to raise awareness in communities about CFM and JFM across the project area</p> <p><u>Output 1.3</u> Declaration of CFMAs or Joint Forest Management Areas (JFMAs) in targeted CFM/PFM areas (for each JFMA/PFMA:</p>	<p>ess raising on inclusive, gender sensitive CFMA creation leading to the declaration by government of the new or modified CFMG</p>	<p>put 1.2 in the Project document. The formulation of output 1.2 has been revised, reflecting on the fact that awareness raising needs to be done at each phase of the creation and empowerment of CFMGs. E.g. It will be critical to raise awareness of the entire CFM process before embarking on a comprehensive assessment of forests and communities (i.e. also under Output 1.1). Outputs 1.2 and 1.3 in the Project document have also been merged to better reflect the requirements of the legal framework for CFM as the 2018 Statutory Instrument No. 18 to the 2015 Forest Act requires the declaration of a CFMG first, followed by the elaboration and approval of its forest/natural resource management plan. Reference to JFM have been dropped because no gazetted "local forests" are being targeted.</p>
<p><u>Output 1.4</u> SFM promoted in the Integrated District Plans and plans for each targeted CFMA/ JFMA</p>	<p>Output 1.3. Sustainable forest and natural resource management promoted in gender responsive District Integrated Development Plans and CFMA management plans</p>	<p>Numbering has changed accordingly and the formulation tightened as the management plans may include community management of wildlife resources as this was identified as an opportunity to promote a more integrated approach to CFM during project preparation in line with the new draft national policy on community-based natural resources management.</p>
<p>Elements of KM are found, but they are not raised to the level of an output.</p>	<p>Output 1.4 Knowledge management (KM) system developed in support of gender sensitive community management of forests and natural resources</p>	<p>This output was added based on the new Barrier 4 (refer to section 2 of the project document) that came out strongly during PPG problem analysis.</p>
<p>Not in PIF</p>	<p>Output 1.5 Subsidiary legislation for forestry reviewed and revised in support of gender responsive sustainable forest management</p>	<p>This output was added based on the new Barrier 2 (refer to section 2 of the project document) identified during PPG problem analysis.</p>
<p><u>Output 2.1</u> Training and deployment of a corps of community forest guards in targeted CFMAs /PFMAs</p>	<p>Output 2.2 Gender responsive community-based enterprises developed based on the business plan</p>	<p>Most of the CFMG will be organized at a scale that will be large enough to permit them to employ their own professional and technical staff, including forest guards. Output 2.1 from the PIF has been integrated into the new Output 2.2 which includes an activity for recruiting professional and technical staff</p>

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Not in PIF	Output 2.2 Gender responsive business plans developed in support of each community forest management group	This is a new output that has been added to respond to Sub-barrier c) under Barrier 1 identified in section 2 of the project document.
<u>Output 2.2</u> Small-scale forest-based enterprises in targeted CFMAs /PFMAs benefit from investments. Provide seed capital...	Output 2.3 Gender responsive community-based enterprises developed based on the business plan	These two are similar with these notable differences: a) 2.3 will be based on the business plan; b) 2.3 will include a mechanism for each CFMG to reinvest a portion of their revenues to cover forest management costs – as a cost of doing business – including the costs of professional and technical staff.; c) 2.3. In a similar fashion, a portion of revenues will be invested in new value chain enterprises as laid out in the business plan. This will permit each CFMG to be able to continue to make new investments identified in the business plans beyond the end of the project.
<u>Output 2.3</u> Structured programme of Assisted Natural Regeneration (ANR) implemented in degraded forest areas in targeted CFMAs /PFMAs		Nearly all degraded sites have an abundance of live stumps and regeneration from stump sprouts is easy if fires are controlled. The exception would be a) abandoned fields that have had their stumps removed – but few farmers would permanently abandon such fallows after investing in stump removal, and; b) mine spoils from artisanal mines. Artisanal mining has not been identified as a cause of land degradation at the project sites. Emphasis has been put in avoiding the destructive late dry season fires, so that nearly all degraded forest lands will quickly regenerate because of the abundance of living stumps.
<u>Output 2.4</u> Adoption of more environmentally-friendly technologies promoted and incentivized in targeted CFMAs/PFMAs (for each JFMA/PFMA: develop and implement incentives that promote the use of energy-efficient		The adoption of improved charcoal kilns is clearly an investment option and has been retained as an activity. It has been dropped at the output level for the following reasons: a) the promotion of energy efficient kilns has a very low success rate in Africa. Okaka (2013) makes this statement about the promotion of more efficient charcoal kilns: "...their adoption in African countries is still unsatisfactory..." Nearly all of the most efficient kilns are stationary brick or metal kilns and charcoal makers do not have the means to transport the wo

t kilns for charcoal making; provide household subsidies for the procurement of energy-efficient stoves;		od to the kilns. Recent trials around Lubumbashi, DRC and in Zambia have focused on small, portable metal kilns. Biocarbon Partners is promoting a portable metal kiln in Zambia. Its profitability will be analysed and investments can be made in them under Output 2.3 if the analysis is positive; b) No long term source of funding for subsidies for energy efficient stoves was identified. Stove adoption that is reliant on subsidies is not sustainable beyond the end of a project. Also, the promotion of wood stoves would require adding project sites in larger urban centres (greatly complicating the project) and would require expertise completely different from that needed for developing CFM.
Outcome 3. Enhancing the sustainability and productivity of agricultural practices in community-managed forests	Outcome 3: Improved productivity, gender equality and climate resilience from sustainable agricultural practices on the lands zoned for agriculture adjacent to community-managed forests	Under the Forest Act and its Statutory Instrument, it is illegal to do agriculture inside of a CFMA in Zambia. Beyond the legal aspect, agriculture and SFM are generally considered to be incompatible because one has to cut all of most of the forest down before one can do agriculture.
Output 3.2 Technical and financial assistance provided to incentivise the adoption of sustainable agricultural practices	Output 3.2 Capacity building provided to encourage the adoption of gender responsive, sustainable agricultural practices in agricultural zones in villages adjacent to community forests	The provision of financial assistance has been dropped from Output 3.2. Providing subsidies to encourage adoption usually results in very high rates of disadoption after the end of the project. That has been a major cause of low farmer adoption rates of conservation agriculture in Zambia, including the extension program of Project co-financing partner, Trident Foundation Ltd. Outputs 3.1 and 3.3 are largely unchanged although the wording has been modified.

4) alignment with GEF focal area and/or Impact Program strategies

No changes have been made to this section.

5) incremental/additional cost reasoning and expected contributions from the baseline, the GEFTF, LDCF, SCCF, and co-financing;

While there have been some projects and initiatives to strengthen community-based sustainable management of forest landscapes, and provide improved livelihood opportunities for targeted forest-dependent rural communities in Zambia's North West Province, this is the first time that a suite of investments will be coordinated to respond to a key driver of biodiversity decline, deforestation and forest degradation. Please refer to the project document for details on the incremental contribution of this project.

The incremental costs and benefits of the GEF-7 Project are summarized in the incremental cost matrix below. The incremental cost of the project, US\$ 25,718,585 is required to achieve the global environmental benefits from the project activities. Of this amount, US\$ 5,338,585 is requested as cash funding from the GEF Trust Fund. The remaining US\$ 20,380,000 will be provided by the Government of the Republic of Zambia and co-financing implementing partners (TNC, First Quantum Minerals, Trident Foundation Ltd. and WWF) as both in-kind and investment contributions to the total project cost.

BASELINE	ALTERNATIVE	INCREMENT
(A)	(B)	(B) - (A)
COMPONENT 1: Developing the enabling regulatory and planning frameworks for community-based, sustainable forest management		
<p>On two of the three sites, communities have not been structured and empowered to conserve and manage their forests.</p> <p>Only one of the Kasempa sites have any communities that have been structured and recognized as CFMG with the rights to control access and to manage their forests and to harvest and market products from their forests. Six established CFMA in Kasempa District cover an area of 19,439 ha. and two very recently created new CFMA without management plans cover about 170,000ha.</p> <p>There has been no participatory zoning of communal lands at the four Project sites to set aside separate areas for community forests, for farmland and for settlements.</p> <p>CFM has not been mainstreamed into any of the District Integrated Development Plans. There has been no identification of priority forest areas that are best suited, or strategically the most important, for being put under CFM. The importance of CFM for rural development has not been quantified or recognized in district development planning and the role of the districts in the promotion of CFM has not been defined.</p>	<p>Communities at all sites will have been structured and empowered as CFMG with the rights to control access and to manage natural forest lands. A total of at least 120,000 ha will be covered by the CFMG. All participation will have been voluntary and based on awareness raising of the potential benefits, costs and risks. All CFMA/CFMG planning will have been based on a thorough assessment of forest resources and on the socio-economic conditions of the communities. The main opportunities for increased benefits/revenue generation will have been analysed/identified and will have been integrated in to forest management objectives and plans. The optimal economic scale of forest enterprise development will have been taken into consideration in the definition of the geographic scale for each CFMG.</p> <p>All CFMG communities on communal lands will have completed participatory zoning to delineate areas for community forestry, agriculture, settlements, etc.</p> <p>All CFMG will have approved management plans that integrate conservation priorities with enterprise development and revenue generation.</p> <p>All CFMG will have developed rules for the sharing of benefits using a participatory methodology.</p> <p>At least two districts will have mainstreamed CFM into their District Integrated Development Plans, including the identification of priority areas for conservation through CFM and the definition of district responsibilities and</p>	<p>Communities have been empowered to manage at least 120,000 ha of natural forest land, about 60,000 of which are in Protected Areas (GMAs).</p> <p>The institutional framework and planning have been established for the development of strong incentives for forest conservation through SFM.</p> <p>SFM planning is developed with a strong orientation towards forest and natural resource management as a business enterprise.</p> <p>CFM lessons learned and best practices have been greatly strengthened through a dynamic knowledge management component that is active at the local, provincial, national, regional and global levels, with strong linkages to the GEF-7 Dryland and Sustainable Landscapes Impact Program.</p> <p>The regulations for CFM have been revised to provide a straight-forward, easily applicable legal framework for CFM</p>

COMPONENT 2: Promoting the conservation and sustainable use of natural resources in community-managed forests

At all sites, there are large incentives for individual households to clear forests on communal lands to convert them into their own *de facto* privately owned croplands. There are almost no incentives to conserve forest lands on communal lands and little incentive to conserve forest lands in GMA. Rural populations do not have the right to protect their forests from deforestation.

There are no tested, proven models of community management of forests in NWP. The six CFMG that were created in the Kasempa District do not have viable forest management systems. Those CFMG communities have new obligations (self-enforcement, early burning, ban on cutting trees for harvest of honey, caterpillars, etc.) but little or nothing for new benefits. People were already collecting timber and NTFP prior to CFMA creation and little or no new revenues have been generated since the creation of the CFMG. Each of the six CFMG have forest management plans, but they are so over-simplified that they have little effectiveness. For example, there are no management rules to avoid the over-exploitation of wood fuels or saw timber. The reliance of the CFMG on volunteer labour for honorary enforcement officers and for early burning is a high-risk strategy. Little has been done for capacity building for good governance, forest and natural resource management and for enterprise development.

The six established CFMA in Kasempa District cover 19,439 ha. Although they are located inside a GMA with its own CRB, there has been no collaborative system developed to integrate wildlife management with forest management. There are no riverine species management systems at any of the four sites. There is one CRB for each of the four GMA in the West Lunga Complex but there has been no integration of forest or species management.

CFMG have been structured or restructured in order to achieve economies of scale for community level, forest-based enterprises. Forest management plans include detailed rules and measures to ensure abundant regeneration of all trees, wildlife and species species/products that have been harvested destructively and new silvicultural systems have been developed. Forest-based enterprise development in CFMA is generating substantial new revenues and benefits for community members and the community as a whole. They are also contributing to the coverage of forest management costs and are generating revenues for further investments in other forest-based enterprises as defined in each CFMG's business plan. The community forest has been designated as a permanent community forest estate through participatory land use zoning and anyone wishing to convert the community forest into private cropland has a legally recognized and incentivised community institution preventing it. Agricultural development is connected to the agricultural zone in the community's land use zoning plan.

Enterprise development in the CFMG is based on a professional business plan that is in turn based on SFM, community-defined for forest management objectives and a thorough analysis of costs, benefits and risks. Many CFMG employ technical and professional staff that allows them to operate more sophisticated and profitable businesses than they could manage on their own.

Over 120,000 ha are under CFM. All of them are covered by approved forest management plans.

Communities have developed solid capacities for good governance, NRM and enterprise development. CFMG begin to have some level of economic and political clout.

There are strong incentives for communities and community members to conserve the forests of their CFMA. Communities are motivated to prevent farmers from clearing their forests for cropland. The benefits of CFM are clearly superior to the costs. The community managed forests are delivering ecosystems services that include biodiversity conservation, hydrological functions, climate change mitigation through carbon sequestration, recycling of nutrients, development and maintenance of fertile soils, greater resilience against climate change while at the same time generating revenues and employment for rural populations. CFM is a largely self-financing strategy for forest conservation and SLM.

The development of tested, proven models of CFM removes a major barrier to forest conservation.

ment.		
COMPONENT 3: Enhancing the sustainability and productivity of agricultural practices in community-managed forests		
<p>Extensification of slash-and-burn agriculture is continuously driving the conversion of more and more forest into croplands. Insufficiently tested, proven systems of productive sustainable agriculture practices for smallholders. Maintenance of soil fertility is the most critical challenge for agricultural sustainability, especially on inherently infertile miombo soils. The set of agricultural technologies known as conservation agriculture (CA) has been widely promoted across Zambia and in NWP and has been shown to be effective in maintaining soil fertility and crop productivity at high levels but it has very low farmer adoption rates. Reasons for farmer rejection of the technologies are poorly documented and poorly understood but include the opportunity cost of labour required to implement conservation agriculture and the negative to neutral income benefits that are derived in the first few years of adoption. There is no well-defined set of sustainable agricultural technologies that are tested and proven and ready for large scale extension in NWP. Slash-and-burn agriculture quickly leads to soil fertility depletion, requiring that more forest be cleared. The use of chemical fertilizers, as presently employed, eventually has adverse effects on soil fertility.</p>	<p>Sustainable agricultural practices are enhanced. In-depth farmer surveys identify technologies ready for scaling up and barriers to adoption of otherwise effective technologies. Promotion of sustainable agriculture technologies that contribute to maintenance and improvement of productivity, reducing the need for extensification. Accent on soil health and climate resilience. Spatial focus on croplands around CFMA. Multiple channels used for extension of sustainable agricultural technologies that include irrigated vegetables, small livestock, poultry and tree crops. Accent on capacity building for extension agents and lead farmers. Technical assistance, demonstration sites, and involvement of agricultural input suppliers. Annual adaptive management reviews. Better access to markets.</p>	<p>Adoption of sustainable agricultural practices through refining tested, proven sustainable agricultural technologies. More sustainable agricultural technologies practiced on at least 10,000 ha. Reduced conversion of forests to agriculture. More carbon sequestered in cropland soils. Reduced emissions of CO₂. Greater food security leads to reduced poaching of wildlife. Greater resilience to climate change for SA adopters</p>

6) global environmental benefits (GEFTF) and/or adaptation benefits (LDCF/SCCF)

The overall global environmental benefits to be delivered by the project remain as per PIF, with the following changes:

PIF Text	CEO ER Text	Comments from Project Proponents
Indicator 3.2 Area of forest and forest land restored: 5,000 ha	0 ha	The PIF foresaw 5,000 ha being reforested through farmer assisted natural regeneration. Farmer assisted natural regeneration is an appropriate tool for the reforestation of cropland that belongs to farmers. There will be no farming or croplands permitted inside the CFMA and the project does will not attempt to restore forest on farmers' croplands outside the CFMA. Inside the CFMA, it is only former croplands for which stumps have been removed that would need active intervention (other than fire management that minimizes destructive late dry season fires and that will be a standard forest management tool). The PPG analysis did not identify any significant amount of deforested land in CFMA that needs to be reforested.
Area to be put under CFM: 80,000 ha.	130,000 ha	The project preparation consultations identified high demand from local communities and G RZ, under the leadership of the Forestry Department, to participate in the project and improve the management of forests across the Province. Further details on the opportunities identified during the preparatory phase are provided in the project document. As a result, the project is proposing to increase of the amount of land to be put under sustainable community forest management from the minimum of 80,000ha indicated in the PIF to 120,000ha, giving a total area of sustainable land/forest management of 130,000 ha.

7) innovativeness, sustainability and potential for scaling up.

The sustainability of the GEF investment is premised on the notion that by devolving the control of forests and forest resources to communities, and then supporting community enterprises and households within these communities to sustainably increase their productivity and incomes through net revenues from forest-based value chains and from the sale of their crops, this will provide sufficient incentive for those communities to continue to invest in the long-term stewardship of these forests beyond the term of the project. The sustainability of the community-based forest and natural resource management systems developed by the project need to be at the social, financial, institutional and ecological levels.

Social sustainability is based on incentives and equitability. Project design is based on the principle that perceived benefits of CFM of all kinds, both monetary and non-monetary, must be greater than perceived costs of all kinds, both monetary and non-monetary. The sharing of costs and benefits must be perceived as fair and equitable by the different stakeholders in the community, especially by men, women and youth. The forests, wildlife and fisheries resources are common resources entrusted to community management and must benefit not just the community-based enterprises, but must also benefit the community as a whole. Community participation will be voluntary and based on a straightforward presentation of potential benefits and risks. The Project places a strong emphasis on support for good governance at all levels, especially for the community management structures, and on the enhancement of gender equality.

Financially sustainability. The main project strategy for financial sustainability is to focus first on developing CFM as a profitable, self-financing community enterprise with a portion of revenues reinvested back into forest/natural resource management costs, including the cost of the CFMG's professional, technical and resource protection staff. To better accomplish this, the project will encourage communities to organize themselves into CFMA of a large enough scale to realize the financial economies of scale needed for profitability. This includes the CFMG investment in professional and technical staff that can only be profitable for the CFMG if they operate at a large enough scale. Another project strategy for increasing the profitability of the CFMG is the focus on CFM business and investment planning to better realize the economic potential of the forests, fisheries and wildlife. A major private sector partnership of high

potential is the partnership between carbon project development companies and our elderly partners. The major carbon project development company in Zambia is BioCarbon Partners (BCP). They have recently targeted the GMAs around the Kafue National Park as a high potential site for replicating their existing REDD+ Luangwa Community Forests Project, and are starting an in-depth feasibility study and FPIC process in the forests and communities in all of Kafue's GMAs. There are preliminary discussions also with the Kasempa Community Development Foundation. There is a very good potential for negotiating a higher percentage of revenues for the communities, because the proposed project CFMG will already have self-financing mechanism for covering the costs of forest guards/resource protection/enforcement – costs that are typically borne by the carbon project development companies in Zambia. As it takes about five years for such a partnership to begin to generate substantial funds for the communities, this is a partnership that will kick-in at that critical point when project funding is coming to an end. The duration of contracts between a carbon project development company and a community "trading" its carbon rights is typically 20 years, offering communities a long-term performance-based payment for conservation.

TNC and West Lunga Conservation Project are also in the early stages of developing a similar forest carbon feasibility study for the West Lunga Complex, in collaboration with Mirova Natural Capital which will also explore the opportunity for layering in to a REDD+ project other innovative conservation financing mechanisms such as biodiversity offsets. First Quantum Minerals, and their subsidiary, Kalumbila Minerals, Ltd have demonstrated their commitment to a strong CSR program, including nature conservation and sustainable agriculture. They are providing co-financing for two of the project sites at West Lunga and Kalumbila. Their mine is estimated to last for at least another 17 years and there is a strong chance that they will maintain some level of support for CFM and for sustainable agriculture over that period. They could potentially fund the replication of CFM beyond the end of the project. Honey has been identified as the highest priority value chain for immediate development at all three sites. Our elderly partner, Trident Foundation/West Lunga Conservation Project, already has a strong working partnership with Nature's Nectar at the West Lunga site. The project will explore a range of options for new and revised partnerships with the honey companies, with the CFMG business units taking over many of the investments and technical support functions presently held by the honey companies. This should lead to new partnerships with a significantly larger share of the end market price going to local beekeepers and the CFMG compared to the present partnership.

With project support, the CFMG business units will be exploring and analysing opportunities for other partnerships with private sector operators in all of the value chains. There is good potential over the mid to long term to develop partnerships with private actors in what are presently the rather chaotically, unstructured NTFP value chains. To the extent that the CFMG will be able to provide reliable, aggregated, bulk marketing of quality NTFP products, this should lead to the development of professional traders willing to develop partnerships with the CFMG in the medium to long term.

Institutional sustainability. Community resource managers generally have need of a minimum of ongoing technical and professional support beyond the end of the project that assisted their creation. To avoid reliance on one single source of such support, the Project will pursue multiple additional options for this: a) ongoing institutional support from FD, DNPW, Departments of Agriculture and Fisheries; b) support from private sector partners in the value chains; c) support from private sector service providers engaged by the community managers and paid out of the forest management fund or the investment fund; d) support from districts as defined in the integrated district development plans to be developed; e) support from the corporate social responsibility units of the mining companies providing co-financing, and; f) technical and professional staff employed directly by the community management structures.

Ecological sustainability is facilitated by the fact that the Miombo woodlands are one of the most robust forest ecosystems in the world and have a very strong capacity for regeneration from stump sprouts and from naturally occurring seedlings following even severe disturbances. Ecologically sensitive ecosystems of all types will be identified and protected or managed accordingly. Great attention to safeguards will be made for any production of food products and for the harvest of the relatively few NTFP whose harvest is currently done destructively and which require management interventions to ensure their regeneration. Through conservation of wildlife habitat, this project will address the most widespread form of degradation of the forest ecosystems of NWP: the loss of most of its wildlife. The integrated natural resource management approach promoted by the project will build on the opportunities provided by the new, draft national policy on community-based natural resources management (CBNRM Policy). Any opportunities offered by reforms achieved during

the Project will be analysed and integrated into community business plans. The sustainability of agriculture in Component 3 requires special mention. The key challenge to agricultural sustainability is the development of technologies that will simultaneously sustain soil fertility, provide an economic return to farmers and reduce the risks to the farming enterprise from climate change. Sustainable and 'regenerative' agricultural technologies and practices, including conservation farming technologies widely extended in Zambia, have been found to be successful in maintaining soil fertility but suffer from low adoption rates. These technologies and practices will be promoted and tailored to the project areas so that they both sustain soil fertility and productivity and enjoy high farmer adoption rates.

Lack of national capacity for replicating community forest management is the key barrier to widespread adoption of community management systems across Africa. National capacities must include both sources of funding and institutional and human resource capacities. One source of funding with a good probability for continued replication is the corporate social responsibility programme of Kalumbila Minerals Limited (The CSR program of Lumwana Mining Company in Kalumbila District could also become a potential source of funding in the future). Another source of funding that could be applied is the growing interest in the development of forest carbon projects generating credits through avoided deforestation in Zambia, specifically for the Kafue ecosystem and the West Lunga Complex. Sources of expertise and institutional support for replication will include FD, DNPW, Department of Agriculture, the three district authorities and private sector services enterprises. The community management structures and the community enterprises will be excellent sources of expertise and targets of exchange visits for future replication, especially those CFM structures that employ professional foresters and business managers. There will be multiple examples of viable community management systems available for exchange visits. Finally, the knowledge management system developed by the project will have captured, synthesized and disseminated the key lessons learned and best practices developed by the Project and other similar relevant efforts, in particular the FAO/GEF Forest and Agriculture Mosaic Landscapes Project and the GEF Global Coordination Project for SFM Drylands Sustainable Landscapes Impact Program.

[1] Integrated Land Use Assessment (ILUA) II, 2016

[2] Mulenga and Jumbe, 2007. The contribution of dry forests to rural livelihoods and to the national economy in Zambia

[3] Central Statistics, 2010

[4] Evans, Monica. 2020. Miombo Forests: the vast southern African drylands forests hiding in plain sight.

<https://news.globallandscapesforum.org/45792/miombo-woodlands-the-vast-southern-african-dryland-forests-hiding-in-plain-sight/>

[5] 2nd National Biodiversity Strategy and Action Plan

[6] Integrated Land Use Assessment (ILUA), 2016

[7] The Kafue National Park, Kansonso Busanga GMA, Lunga-Luswishi GMA and East Lunga National Forest also collectively form an integral part of the trans-national Kavango-Zambezi Transfrontier Conservation Area (KAZA TFCA), an area located in the Kavango and Zambezi river basins where Angola, Botswana, Namibia, Zambia and Zimbabwe converge.

[8] The approved organogram for the FD in NWP makes provision for 130 staff (i.e. 54 posts are currently unfilled).

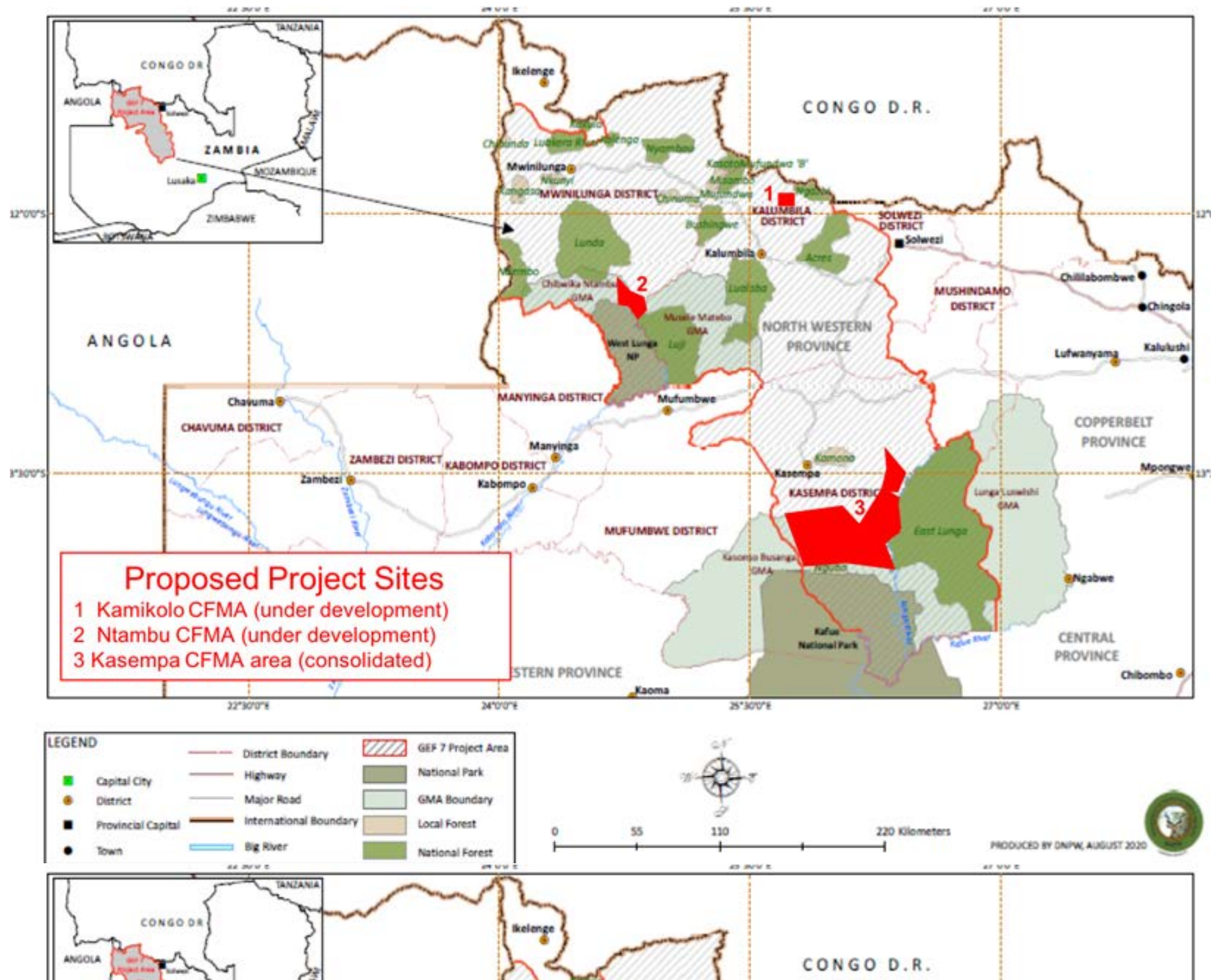
1b. Project Map and Coordinates

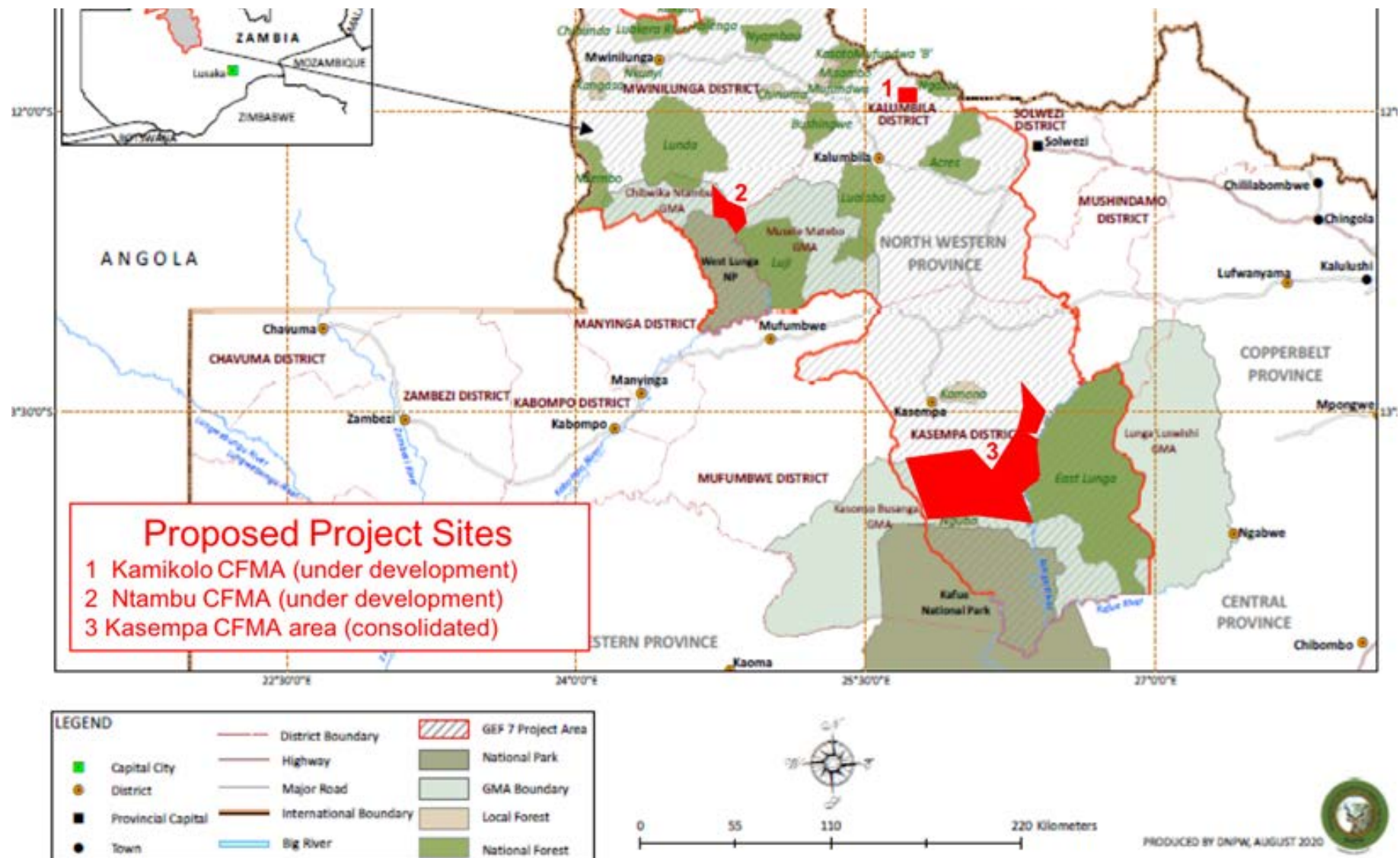
Please provide geo-referenced information and map where the project interventions will take place.

There are 3 main project sites covering a project area that is consolidated in the map on the next page and a series of maps of the different existing and planned Community Forest Management Areas (CFMAs) provided in Annex E. The project areas cover a total of 140,000ha.

1. The Mwinilunga District site (Ntambu CFMA – 50,000ha) focuses on the north central portion of the West Lunga Complex (comprising the West Lunga National Park and its surrounding Game Management Areas (GMAs) with its high biodiversity value and strong co-funding from WWF and the West Lunga Conservation Project.
2. The Kasempa District sites (50,000ha) are part of the Greater Kafue Ecosystem comprising the Kafue National Park and its surrounding GMAs. The sites include five of the six CFMA in Kasempa District that were created by the Finnish-funded project “Decentralised Forest and other Natural Resources Management Programme (DFNRMP)” that concluded in 2019. The five are inside Kasonso Busanga GMA. Although the project ended before viable forest management systems could be developed, the existing community CFMG structures would allow management planning and implementation and enterprise development to develop at an early date. Two large and newly established CFMAs are adjacent to the East Lunga National Forest and are connected to Kafue National Park through the Lunga Luswishi GMA.
3. The Kalumbila District (Kamikolo CFMA – 20,000ha) site focuses on forests found on communal lands east-southeast of Kalumbila town. Although the forest is relatively undisturbed for now, it is in an area with major influx of migrants attracted by the economic prospects that the mines bring with them. The Kalumbila site also enjoys co-funding from FQM, and both the Mwinilunga and Kalumbila sites will continue to benefit from FQM's strong environmental and social investments for at least the life of mine, projected for another 17 years.

North Western Province and project Area in the three Target Districts





1c. Child Project?

If this is a child project under a program, describe how the components contribute to the overall program impact.

2. Stakeholders

Select the stakeholders that have participated in consultations during the project identification phase:

Civil Society Organizations Yes

Indigenous Peoples and Local Communities

Private Sector Entities

If none of the above, please explain why:

Please provide the Stakeholder Engagement Plan or equivalent assessment.

Stakeholder group	Engagement Action/focus	Materials to be used	Location/ Timing of engagement	Responsible organisation, person
Councils/ Traditional Leadership/ Municipalities	Participate in planned district and provincial development meetings	<ul style="list-style-type: none"> - Reports, presentation - Brochures, leaflets, factsheets (where available) 	District Administration Offices / Quarterly	PIU
Communities, Traditional Leadership and marginalised groups	<ul style="list-style-type: none"> - Adherence to FPIC and other participatory processes - There is a great deal of detail in the activities for Components 1 & 2 – their involvement in deciding whether or not to invest in CFM, their involvement in participatory land use planning of their village lands, definition of the optimal geographic scale of the CFMG, definition of management objectives, development of the benefit sharing plan, of their constitution, development of the forest management plans, identification of the most promising value chains, development of business plans, etc. - Hold meetings and/or provide written information packages 	<ul style="list-style-type: none"> - Presentations; - Booklets and - progress reports - Information leaflets/factsheets/leaflets; - Audio and visual equipment 	Project district and sites/ Quarterly	PIU Project Staff/consultants

	<ul style="list-style-type: none"> - Provide information and updates on project implementation, g - Get opinions and concerns during public meetings or other contacts; - Register, analyse and address grievances or comments submitted - Conduct trainings as appropriate 			
External Stakeholders [1]	<p>Hold meetings (physical and virtual) or provide written feedback to address the following:</p> <ul style="list-style-type: none"> - Sustaining information exchange; - Share concerns and workout corrective measures; - Address any grievances; - Planning and pulling resources together and avoid possibilities of dividing target audiences during engagements 	<ul style="list-style-type: none"> - Electronic equipment for communication - Space for physical engagement - Printed materials (reports, leaflets/factsheets/fiers; etc) 	Annually	PMU Coordinator/manager
Ministries and government department	<ul style="list-style-type: none"> - Proactive position on policy review issues, e.g. CBNRM Policy - Prepare and sign data and information sharing and reporting protocol including project data handling responsibility 	<ul style="list-style-type: none"> - Presentation in meetings using electronic and print equipment - Reports, Bulletin, Circulars, Memo 	<p>Ministry/Departmental HQs</p> <p>Project Office/Annually</p>	<p>GEF Focal Points</p> <p>Relevant Directors</p>
Private Sector players	<ul style="list-style-type: none"> - Information exchange on business opportunities for groups 	<ul style="list-style-type: none"> - Presentations; - Booklets and progress reports - Information leaflets/factsheets/fiers; - Audio and visual equipment 	<p>Relevant Provinces</p> <p>Project Districts</p> <p>Project Sites/Annually</p>	Business Managers

		ent		
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[1] External stakeholders – stakeholder indirectly involved in project implementation, e.g. BINGOs, CSO, Research/Academia

In addition, provide a summary on how stakeholders will be consulted in project execution, the means and timing of engagement, how information will be disseminated, and an explanation of any resource requirements throughout the project/program cycle to ensure proper and meaningful stakeholder engagement

The table above provides detailed information on how stakeholders will be consulted in project execution, the means and timing of engagement, how information will be disseminated, and resource requirements throughout the project/program cycle to ensure proper and meaningful stakeholder engagement.

Select what role civil society will play in the project:

Consulted only;

Member of Advisory Body; Contractor; Yes

Co-financier;

Member of project steering committee or equivalent decision-making body;

Executor or co-executor;

Other (Please explain)

3. Gender Equality and Women's Empowerment

Provide the gender analysis or equivalent socio-economic assesment.

Context of gender issues in Zambia

Zambia's estimated population in 2019 was 17.4 million, of which 56.9 percent is rural and 43.1 percent urban. The population is youthful, with children (under 18) representing 54.4 percent – a total of 9.4 million. 80 percent of the population are below the age of 35. This represents an opportunity for economic development, but also presents challenges due to the demand for social services and employment (CSO 2019).

The GRZ is committed to gender equality and the empowerment of women to promote socio-economic transformation. Zambia is a signatory to various international commitments, including the: i) Convention on the Elimination of All Forms of Discrimination against Women (CEDAW); ii) African Charter on Human and Peoples' Rights (ACHPR); and iii) SADC Declaration on Gender and Development and Protocol (SADC Declaration). These and other commitments are domesticated through Articles 11, 51, 53(b) and 60-61 of Zambia's 2016 Constitution which guarantee equality between women and men and includes affirmative action measures to increase women's roles in decision-making and participation in the development process. The Parliament of Zambia also passed the Gender Equity and Equality Law in 2015 that gives effect to the CEDAW, ACHPR and SADC Declaration. The GRZ has also set up a dedicated Ministry of Gender that is mandated to ensure greater gender equality in the country. In addition, several CSOs in Zambia are undertaking activities – including advocacy, lobbying and training – to increase legal literacy/awareness and access to services especially for poor women.

However, despite the GRZ's commitment to gender equality, Zambia lags behind many other countries in gender equality. The country was ranked 125th among 159 countries in the Gender Inequality Index and categorized as Group 3 in the Gender Development Index by the United Nations Development Programme in 2018. Poverty in Zambia has a distinctive rural and female face, while sociocultural norms undermine livelihood strategies and resource access in a gendered manner. Despite consistent economic growth in Zambia, rural poverty is on the rise (from 72% in 2010 to 75% in 2015) and a majority of households work in low-productivity, informal jobs. The rural poverty baseline is tempered with the gendered access, tenure and management rights to resources women tenuously wield on the basis of cultural norms and practices. According to the Zambia Vulnerability Assessment by the International Monetary Fund, ~56% of households in Zambia are classified poor – ~60% of whom are female-headed households (FHHs) as compared to ~51% that are male-headed (MHHs). Additionally, FHHs also tend to be more food-insecure and show greater incidence of stunting and wasting.

Against this background, a gender assessment was conducted in the three Project districts in early 2020. The gender analysis report is available as Appendix 12 of the project documents. The summary of findings, conclusions and recommendations of the gender report are presented here:

Summary of findings

Key policy documents used by the Forest Department Officers do not acknowledge the importance of gender, nor do they outline what gender issues or concerns they are supposed to address. Thus, gender is not included in the daily operations at the Forest Department. The study reveals that only two (2) Officers were trained in gender in 2017, whereas eight (8) have not received training. It was established the 2 officers were trained during the Decentralised Forest and other Natural Resources Management Programme (DFNRMP) in Mwinilunga.

Women were not actively participating in high value forest products like timber, honey and charcoal. Traditional/cultural beliefs hinder women from accessing and participating in natural resources management. Youths, both girls and boys are not actively involved in forest matters. It was found that in Mwinilunga and Kasempa women are involved in the community groups but do not hold key positions in the Community Forest Management Groups, therefore this is dominated by the males.

In Kapundu area, in Mwinilunga the community members were trained in gender as a result of the Decentralised Forest and other Natural Resources Management Programme (DFNRMP); but in Shalamba (Kalumbila) and Muchila (Mwinilunga) and Lubofu (Kasempa) community have not been trained.

Conclusions

- Policy and project documents are gender blind. Most documents are gender neutral.
- Key staff and community members have not received any formal gender training.
- Previous projects had strong gender component and this helped both officers and the community members.
- Women do not actively participate in high value chain products like timber, honey, charcoal etc.
- Women and young girls are negatively affected by traditional/cultural beliefs.
- Women and young girls are illiterate compared to men.
- Men dominate Community Forest Management groups executive committee members.
- Youths both girls and boys are not included in forest projects.
- Participatory Forest Management initiatives from the previous project DFNRMP still benefiting women.

Recommendations/ Implications for the project document

- Policy and the new project document need to explicitly include gender issues/concerns.
- Key project implementing staff and Forest Department officers and community members should be trained on gender issues/ concerns.
- A gender training manual should be developed to assist implementing Officers in their day to day execution of duties,
- Project document needs to provide guidelines on equal participation of women and men in decision making positions at community level. This should be strengthened by providing written guidelines such as provision of a quota system for leadership positions.
- Project document needs to explicitly include youth in project activities.
- Gender actions should be included as key result area for assessing staff in performance appraisal so that each staff is assessed on progress in addressing gender issues in the work. This will also be a good tool to identify staff training needs that have to be met.
- Project should formulate a gender profile which shows gender issues, such as common livelihood sources and social practices for women/girls and men/boys, sex composition in committees etc, in each project site at inception stage of its gender program. The gender profile should be updated periodically as a monitoring tool indicating progress being made or lack of it.
- Project should develop a gender sensitive Monitoring and Evaluation, and Reporting system to track progress the programs are making or lack of it in promoting gender equality.

The project has taken on the recommendations and has developed a Gender Mainstreaming and Action Plan (refer to Appendix 13 of the project document). As a result, the results framework includes outputs, indicators and targets in support for enhanced gender equality. Likewise, gender sensitive objective and outcome-level indicators form an integral part of the results framework to better quantify the impact of the project on gender. CFM is a highly participatory undertaking and community participation is strictly voluntary. In most cases, the choice of the specific communities that the Project will support have not yet been finalized. In order to tailor the project interventions in support of gender equality to the specific conditions at our project sites, a gender audit will be conducted during the first year to further enhance the gender action plan, after the selection of the CFM communities has been completed. The gender audit

will establish the baseline for gender inequities at each site. It will identify specific gender gaps and biases, barriers to enhanced gender equality and priorities. It will cover the communities at each site, the PIU staff and the district level staff for FD, DNPW, Fisheries and Agriculture. It will identify the constraints to the participation of women and youth in the different nature-based value chains, especially those that generate the greatest revenues. The audit will identify the gender training needs of everyone that provides support services to the Project communities – especially the full-time consultants for business development, natural resources management and sustainable agriculture. The gender action plan defines objectives and targets for enhancing gender equality. It defines the actions that will be taken by the Project to begin to overcome the barriers to gender equality identified in the gender audit for each of the project sites. It will develop a full program of the training needed at the levels of the communities, the PIU and the district staff. A particular focus of the gender action plan is to identify measures to increase the access and participation of women and youth across the value chains and to increase the participation of women in decision-making positions in the CFMG structures and in the staff employed by the CFMG.

Does the project expect to include any gender-responsive measures to address gender gaps or promote gender equality and women empowerment?

Yes

Closing gender gaps in access to and control over natural resources; Yes

Improving women's participation and decision making Yes

Generating socio-economic benefits or services for women Yes

Does the project's results framework or logical framework include gender-sensitive indicators?

Yes

4. Private sector engagement

Elaborate on the private sector's engagement in the project, if any.

The Project will assist CFMG/community enterprises to develop mutually beneficial partnerships with private sector enterprises in the various forest and natural resource-based value chains. Table 6 in the project document provides a detailed analysis, prioritisation and potential private sector partners for the value chains at each of the three project sites (Section 2). There are good opportunities and established partnerships with companies like Nature's Nectar and Bee Sweet. These companies provide technical assistance, equipment and a guaranteed market for the product. The major investment needed is in modern beehives. A carbon project development company (BioCarbon Partners) has expressed strong interest in working with the Project for West Lunga and Kasempa. The social enterprise Community Markets for Conservation (COMACO) is interested in partnering to develop the presently unstructured value chains for caterpillars and mushrooms and they are also interested in honey. The initial contacts and meetings organized with potential partners from the private sector have been affected by the COVID-19 constraints and further discussions will be prioritized from early stages of project implementation as the project seeks to identify and develop the options that provide the greatest returns for the community producers while still yielding benefits for the private sector companies engaged. There is the whole range of NTFP value chains and the different private sector actors in each one and partnerships - as detailed in Table 6 - to explore further from the initial findings during early project preparation stages.

Furthermore, the Project enjoys strong support from Trident Foundation and First Quantum Minerals. First Quantum has been contributing to wildlife and ecosystem conservation in the West Lunga Complex since 2014 and will continue this work through collaboration with the GEF-7 Project for the next five years. The corporate and social responsibility (CSR) program of these entities has provided support in the following areas:

- A core commitment to minimise energy consumption by continually challenging the status quo, improving efficiencies and reducing wastage.
- A core commitment to minimise water withdrawal and discharge by adopting new technologies, continually improving efficiencies and on site water reuse. Sentinel Mine records a 67% water reuse.
- Implementation of Environmental Management System (EMS) at all of its operations. The EMSs, which are aligned with the ISO14001:2015 standard, are subject to regular external compliance audits.
- Investment of over \$4.5 million in conservation activities in and around the West Lunga Management Area since 2014, under a Memorandum of Understanding with DNPW. The funding enabled recruitment, training, equipping and pay for wildlife rangers, vehicle maintenance and transport. FQM has recently supported the development of a community game reserve in the Ntambu area, which represents an investment of about US\$150,000 over the next two years.

One of the greatest potential advantages of working with the private sector is their long-term engagement. It is very difficult to develop self-sustaining community management bodies in five years. The estimated life of their operations is for another 17 years, with a high chance that they will provide at least a minimum level of follow-on support to the CFM and sustainable agriculture components – follow-on support that is so crucial to their long-term success.

5. Risks to Achieving Project Objectives

Elaborate on indicated risks, including climate change, potential social and environmental risks that might prevent the project objectives from being achieved, and, if possible, the proposed measures that address these risks at the time of project implementation.(table format acceptable):

The Project has the full support of the Forestry Department at the Ministry of Lands and Natural Resources and The Nature Conservancy (TNC), together with implementing partners DNPW, Department of Agriculture and other local partner agencies, WWF Zambia, Trident Foundation and the West Lunga Conservation Project. The table below highlights the specific risks that are related to the key assumptions that could impact on the successful implementation of project activities, together with the risk mitigation measures to be applied.

Risks	Rating	Mitigation
The benefits of CFM for communities and traditional leaders will not be great enough for them to take on, and maintain, the responsibility for managing forests and forest resources	Medium-High	<p>The project will initially implement a targeted outreach program to raise awareness in all the communities in the planning domain about the potential benefits and risks, and legal obligations associated with, CFM. Benefits and costs are only approximations at this stage.</p> <p>For those communities who express interest, the project will make a much greater effort to identify and to analyze the benefits and enhanced resilience from their participation in the sustainable management of the targeted forest areas. Communities will have the opportunity to develop forest management plans that will be oriented around the production of the products selected. Forest management plans will be complemented by business plans that lay out the main investment opportunities that the communities may develop over time. Seed money will be provided by the project for initial high yielding investments that can generate revenues for implementing the business plan.</p> <p>A portion of revenues must be reinvested to cover forest management costs. One of the key questions to be decided is the optimal scale of operations for community forest management. Small-scale CFMG composed of just one or a few villages will never be able to employ the professional and technical staff needed to optimize the benefits generated by the forest. But CFMG created at a larger scale could develop a technical support unit that could employ, for example, a forester, a business manager and an accountant. The Project will encourage communities to avoid reliance on volunteer labour.</p> <p>Benefits, of course, are not effective incentives if they are not shared equitably. The communities themselves must decide how costs and benefits can be shared equitably. The Project will provide support for the development of the governance capacities for this crucial function.</p>

<p>The key responsible institutions abrogate responsibility for supporting the ongoing management of these community-managed forests once they are declared, and do not provide adequate support to sustain the CFMG and CRB, especially beyond the end of the project.</p>	<p>Medium</p>	<p>The project will develop multiple sources of support for community managers and enterprises to minimize these risks. The strongest option is for the communities to operate at a large enough scale for them to employ their own professional and technical support staff, but it doubtful that all CFMG will be able to, or will choose that option. Small-scale CFMG may be able to hire the services of the technical support units of the larger CFMG or they may be able to employ private companies who offer business support services. In addition to the technical services of the D F, the DNPW, the DoF and the Department of Agriculture, the project will seek to develop strong support from the district councils, through the integration of community management into the integrated district development plans. The Project will also support communities to develop strong and mutually beneficial partnerships with private sector partners. Finally, for the three project sites receiving co-financing from mining companies, the Project will seek commitments that these companies will continue to provide a minimum of support beyond the end of the project. The project will also contribute to strengthening the capabilities (skills and knowledge, equipment, technologies, etc.) of the key responsible institutions to better enable them to support the continued establishment and administration of CFMG.</p>
<p>COVID 19 impacts: A resurgence of COVID 19 could put Project staff, collaborators, and communities in danger and could inhibit Project implementation. The mining companies and others who have made co-financing commitments may find themselves unable to honor them because of the rapidly developing economic impacts of the COVID 19 pandemic that are just now starting to manifest themselves on a world-wide scale.</p>	<p>Medium-High</p>	<p>The risks and measures need to address them will be addressed at project inception and every three months after that – and more frequently as needed. Indicators will be identified and monitored and thresholds for implementing increasingly strict security measures will be identified. Measures may include PPE including masks, social distancing, portable hand sanitizer stations, limits of crowd size for meetings, etc.</p> <p>Loss of co-financing would primarily affect the scale of operations of the project, causing the project to work with a smaller number of communities and with a smaller hectareage of forest to be brought under CFM. But it would not prevent the project from developing solid SLM models of community forest management and sustainable agriculture that can give satisfaction at the ecological/technical, financial and economic and socio-cultural levels. If co-financing is lost, the entire project could increase its emphasis on developing new partnerships with private sector partners specialized in carbon accounting and the marketing of carbon credits. At this point, it is very difficult to predict how long the pandemic will last and how it will evolve. Social distancing, wearing of masks, contact tracing and other measures will impact the project as long as the pandemic lasts. Electronic or virtual meetings can be used by those who have electricity, but this is not possible in rural areas. COVID 19 May also present new opportunities to integrate green recovery and resilience principles into projects and programs – Project partners should make use of the GEF guidance on this that was issued in August 2020 titled "Project Design</p>

COVID 19 may hinder project execution.		<p>of the GEF guidance on this that was issued in August 2020, titled, "Project Design and Review Considerations in Response to the COVID-19 Crisis and the Mitigation of Future Pandemics"</p> <p>A more thorough analysis of COVID 19 risks and of mitigation measures is presented in Annex 16.</p>
Cultural resistance prevents any significant progress on gender equality and, by suppressing the innovations of women and youth impedes progress on the economic and environmental fronts	Medium	<p>The project conducted a gender analysis during PPG and developed a gender action plan that is integrated into all of the outputs of the Project. A gender audit will be done at the Project sites during the first six months of the Project and it will be used to revise and strengthen the action plan and to revise indicators and targets. A sizable budget has been allocated for a gender specialist consultant to assist the Project each year for life-of-project. The Project Manager will have primary responsibility for implementing the gender action plan. The Project will adopt a non-confrontational approach to gender but will seek every opportunity to advance the agenda for gender equality.</p>
The high level of knowledge, skills and capacities needed to establish, manage and maintain viable community-based agricultural and natural resource-based enterprises puts these enterprises at risk.	Low-Medium	<p>Project activities have been designed to explicitly address vulnerabilities to these climate hazards. The project will provide diversified livelihood alternatives to enhance adaptation and resilience; reduce over-dependence on natural resources; and mitigate GHG emissions from agriculture, forestry, and other land use. Project support to GAP - such as agroforestry, Conservation Agriculture, and Integrated Soil Fertility Management practices - will strengthen farmers' capacity to adapt to climate change and risks and mitigate yield loss and variability. Project support to sustainable use of forest-based resources will further improve the management and conservation of natural resources, create income opportunities that enhance adaptation and resilience, strengthen food security and generate carbon benefits.</p>

6. Institutional Arrangement and Coordination

Describe the institutional arrangement for project implementation. Elaborate on the planned coordination with other relevant GEF-financed projects and other initiatives.

The project document details the institutional framework and implementation arrangements for this project (Section 4 of Project document). This project will be executed nationally by The Nature Conservancy on behalf of the Department of Forestry of the Ministry of Lands and Natural Resources. UNEP will be the GEF Implementing Agency.

The Project Implementation Unit (PIU) is responsible for the day-to-day implementation of the Project and is headed by the Project Manager, and co-staffed by Forestry Department and TNC and works under the supervision of the Project Steering Committee (PSC) chaired by the Permanent Secretary of the Ministry of Lands and Natural Resources on the part of the Government of the Republic of Zambia, and the supervision of UNEP as the Implementing Agency for the Global Environment Facility (GEF). The Project Technical Committee will play an advisory support role to the PIU.

UNEP

Overall project supervision will be the responsibility of UNEP's Ecosystem Division, with UNEP's GEF Task Manager providing support and working closely with FD, TNC and the Project Implementation Unit. The GEF Task Manager is located at UNEP headquarters in Nairobi, Kenya. She/he will ensure that the Project remains consistent with GEF and UNEP policies and procedures and will provide regular operational oversight for the project. Operational oversight will include ensuring that the project practices due diligence with regard to Environmental, Social and Economic Review Note (ESERN). UNEP will also have representation on the PSC with regard to general project implementation.

UNEP will provide overall coordination and ensure that the project remains in line with UNEP's Medium-Term Strategy and its Programme of Work, as approved by the UNEP's Governing Council. Project supervision missions by the Task Manager will be described in the project supervision plan, which will be developed. UNEP will also report to the GEF Secretariat on progress against milestones outlined in the CEO Endorsement Request (CEO ER), as well as inform the GEF Secretariat of any substantive changes in co-financing that could impact on the project objectives, scope, conformity with GEF criteria, outcome of the project, or likelihood of project success. UNEP will also be responsible for the following:

- Providing consistent and regular Project oversight to ensure that GEF policies and criteria are adhered to and that the project meets its objectives and achieves expected outcomes,
- Performing the liaison function between the project and the GEF Secretariat,
- Application of UNEP policy and criteria to strengthen execution arrangements,
- Ensuring that both GEF and UNEP guidelines and standards are applied and met (technical, financial, M&E),
- Ensuring timely disbursement/sub-allotment to executing agencies, based on agreed legal documents,
- Provide technical guidance, as necessary, for project implementation,
- Providing guidance if requested to main TORs/MOUs and subcontracts issued by the project,
- Follow-up with EA for progress, equipment, financial and other reports,
- Certify project operational completion
- Submission of overall annual Project Implementation Review (PIR) to the GEF Secretariat and Evaluation Office, which will include an annual rating of the project in terms of progress meeting project objectives, project implementation progress, risk, quality of project monitoring and evaluation

- Review and clearance of reports and other documents prepared by TNC, as Executing Agency, before publication
- Review and agree any communications on the project prior to publication/dissemination
- Arrange for independent mid-term evaluation and ensure that UNEP's Evaluation Office arranges a terminal evaluation and submits its report to the GEF Evaluation Office.

The Project Implementation Unit

The PIU will be split between a central unit located at the offices of the Forestry Department to ensure that policy and regulation-related requirements of the project are quickly and effectively met, and a Technical Support Unit located in Kalumbila, as it is centrally located and with good services and amenities. The full-time staff of:

- Project Manager: Reporting contractually and on all financial and administrative issues to TNC, and reporting to the Director, Forestry Department on technical and operational issues.
- Project Coordinator: Reporting to Director, Forestry Department and working closely with and providing technical support to the Project Manager.
- M&E Specialist: Reporting to the Project Manager, organize and supervise data collection, analysis and reporting of all project indicators.
- Project Accountant/Administrative Assistant: Reporting to the Project Manager, responsible for financial reporting, liaison with the TNC financial management system, local procurement and project administration.

Each of the targeted districts in the project area will have implementation units consisting of Forestry Department staff and partner organisation staff, supported by PIU staff and external technical expertise and reporting to the PIU.

The Project Manager

The Project Manager (PM) will be responsible for overall guidance and oversight of the Project implementation and the day to day supervision of project staff to achieve project objectives. She/he is accountable to the Executing Agency, TNC, for financial management and contractual issues. He/she will also be accountable to FD for technical and operational issues. She/he maintains regular and transparent communication with the PSC, the UNEP-GEF Task Manager and all key project stakeholders.

The Project Coordinator

The Project Coordinator (PC) provides day-to-day support to the Project Manager and provides an institutional link to the Forestry Department. She/he is a key technical staff within the PIU and also provides administrative support to the PM.

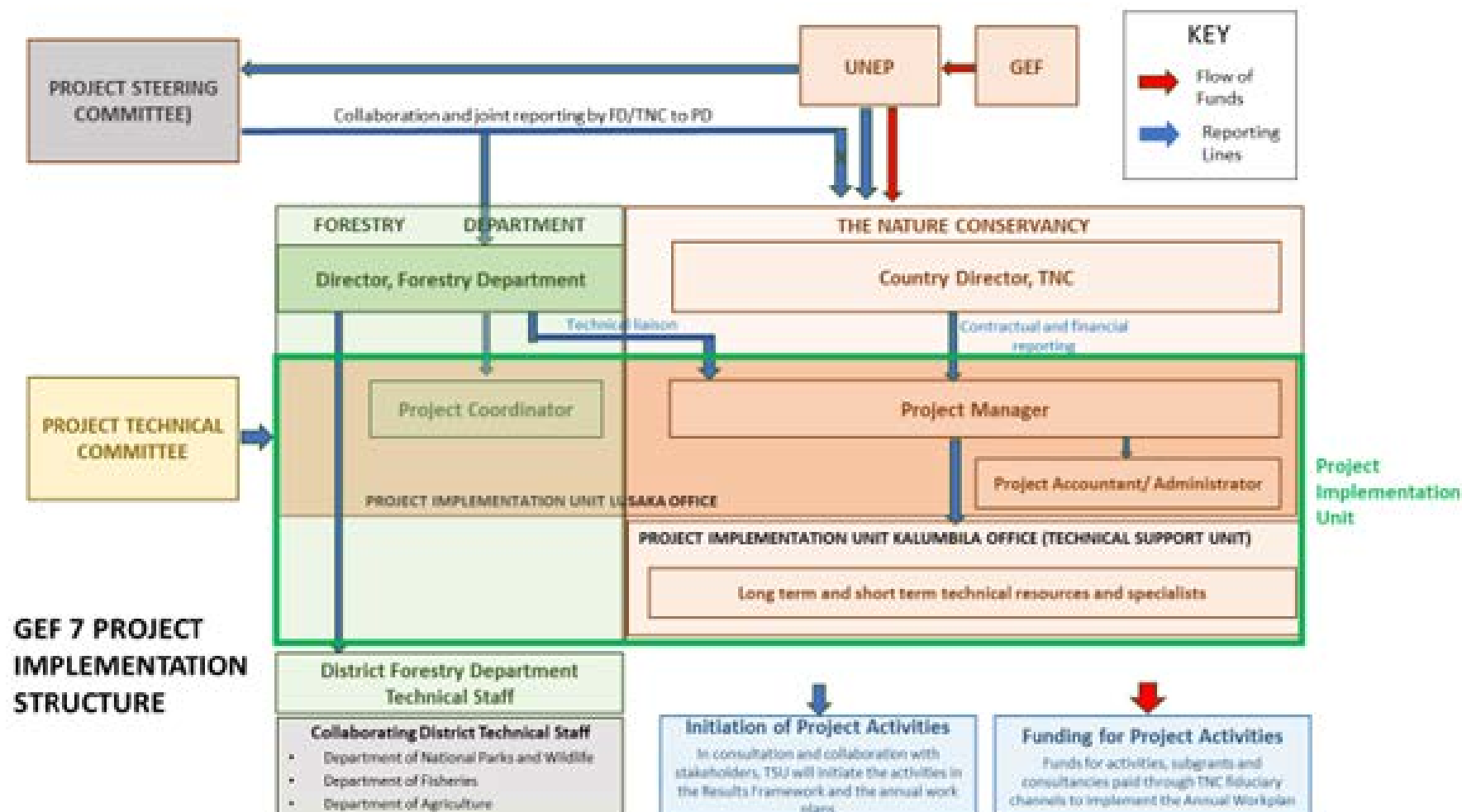
The Project Steering Committee (PSC)

The PSC will provide general oversight and guidance to the project, facilitate interagency coordination, and monitor performance, and make decisions for necessary remedial measures. The PSC for the GEF-7 project will comprise senior individuals representing key sectors and institutions relevant to the project, and will ensure the project fits within local, national, and international needs.

The Project Technical Committee (PTC)

The Project Technical Committee (PTC) is the primary oversight organ providing regular technical oversight of the Project manager and the PIU. It is also responsible for joint decisions on operational and financial matters above the threshold of the Project Manager. The PTC will comprise technical specialists of government agencies and the private sector and NGOs as relevant.

Terms of Reference for each function are outlined in Appendix 11 of the Project document and the following diagram reflects the project implementation structure:



7. Consistency with National Priorities

Describe the consistency of the project with national strategies and plans or reports and assessments under relevant conventions from below:

NAPAs, NAPs, ASGM NAPs, MIAs, NBSAPs, NCs, TNAs, NCSAs, NIPs, PRSPs, NPFE, BURs, INDCs, etc.

This project is nested within the programmatic framework of the National Forest Investment Plan (FIP) for Zambia, and will contribute to the implementation of the National REDD+ Strategy. The project has specifically been designed to operationalise the three main investment areas – Enabling environment; Conservation and management of High Value Conservation Forests; and Resilient landscapes, sustainable agriculture and energy - of the FIP (2018-2022) in the priority 'Kafue Watershed' landscape.

The country's REDD+ ambitions, described and quantified in the Intended Nationally Determined Contribution (INDC) that Zambia proposed at the UNFCCC's COP21 in 2015, establishes a goal of mitigating 38,000 Gg CO₂eq by 2030. Of this amount, about 29,000 Gg CO₂eq is attributed to land use change and forestry. Zambia will achieve its greenhouse gas emissions reductions solely through sustainable forestry, sustainable agriculture, renewable energy and energy efficiency. This project will thus contribute to meeting Zambia's NDC commitments. Zambia also embarked on the establishment of the National Forest Monitoring System (NFMS). In January 2016, the country submitted its Forest Reference Emissions Level to the UNFCCC, and is engaged in the Technical Assessment process. The country is also engaged in the design of the first iteration of a Safeguards Information System (SIS), which seeks to make information readily available on how safeguards are being addressed in REDD+ implementation.

The project will also assist the country in meeting the following targets identified in the National Biodiversity Strategy and Action Plan (NBSAP, 2015-2025): '25% reduction in deforestation rate'; and '>65% of area (ha) under national and local forest reserves sustainably managed'.

The project will operationalise elements of the following 'programme areas of intervention' in the National Action Plan under UNCCD (NAP, 2002): Forestry, ecosystems and species conservation; Water catchment and energy conservation; Extension, public awareness and information dissemination; Easy-to-use environmental friendly technologies including indigenous knowledge; Livelihood improvement; and Food self sufficiency and food security.

Components 1 and 2 are highly supportive of the GRZ program for achieving land degradation neutrality (LDN). The Ministry of Water Development, Sanitation and Environmental Protection recently set their targets and their proposed measures for achieving their targets. Zambia has set the objective of achieving land degradation neutrality by 2030. To achieve this overarching target, they have set 13 other targets, each of them supported by 2 to 15 proposed measures. The GEF 7 Project provides support for 9 of the 13 LDN targets and supports 32 of the 62 proposed measures.

The project also supports the implementation of the 7th National Development Plan (NDP, 2017-2021) and its linked national sectoral policies and plans (including policies and plans for the agriculture, mining, water and forestry sectors), specifically as they relate to: environmentally and socially sustainable development; reduction of poverty and vulnerability; and improved agricultural production and productivity.

The Integrated Land-Use Assessment Project has established reliable baseline data for the state of Zambia's forests. This includes bio-physical statistics for forest cover, volume of growing stock, tons of biomass and carbon, tree species abundance and regeneration. The Forest Livelihood and Economic Survey further provides complementary baseline statistics of the household dependencies on forests and forest resources. The National Forest Monitoring System maintains ongoing information on the status of forests, changes in carbon stock and GHG emissions resulting from deforestation and forest degradation, and from the conservation and enhancement of carbon stocks and SFM practices. The Project is in strong conformity with the Forest Act of 2015 and with the statutory instrument of 2018 for the Forest Act.

The gender equality efforts promoted by the project are in line with articles 11, 51, 53(b) and 60-61 of the Constitution of the Republic of Zambia of 2016 that guarantee equality between women and men and includes affirmative action measures to increase women's roles in decision-making and participation in the development process. The Parliament of Zambia also passed the Gender Equity and Equality Law in 2015 that gives effect to the CEDAW, ACHPR and SADC Declaration. The project will work with the dedicated Ministry of Community Development and Social Services (MCDSS) that is mandated to ensure greater gender equality in the country and with relevant provincial and district authorities.

Section 3.6 of the project, document provides complementary details on consistency with national priorities or plans.

8. Knowledge Management

Elaborate the "Knowledge Management Approach" for the project, including a budget, key deliverables and a timeline, and explain how it will contribute to the project's overall impact.

Knowledge Management is a key part of the Project approach for both CFM (Components 1 and 2) and sustainable agriculture (Component 3). The Project document Baseline documents the rich and varied history of community forest and natural resource management initiatives in Zambia. However, little has been done to document and disseminate lessons learned and best practices. Output 1.4 'Knowledge management (KM) system developed in support of community management of forests and natural resources' addresses this KM gap and will result in the mainstreaming of CFM in university and technical college curricula. Output 1.4 will see the strengthening of the knowledge management system as a means of more efficiently and more rapidly identifying lessons learned and best practices and integrating them into community forest and natural resource management systems. Similarly, Output 3.1. 'Knowledge management developed in support of the development and extension of sustainable agriculture technologies' will focus on the development of knowledge management in support of enhanced capacities for the extension of sustainable agriculture technologies for existing governmental, NGO and private sector extension agents in NWP. A Knowledge Management Sustainable Agriculture Group (KMSAG) will be established and will meet annually to share results, best practices and lessons learned and to progressively improve their extension packages. The meetings will include on-farm field visits and formal training on sustainable agriculture. The baseline survey will be repeated before the final evaluation of the Project.

Knowledge management will be also done in collaboration with the GEF-7 FAO project 'Climate Change Adaptation in Forest and Agriculture Mosaic Landscapes' and the GEF-7 Drylands Sustainable Landscapes Global Project under the SFM Impact Program. This will include: a) support for three participatory reviews to identify, synthesize and disseminate lessons learned and best practices (at start-up and just before mid-term and final evaluations); b) participation in the regional knowledge management exchange through the GEF-funded Sustainable Forest Management Impact Program on Drylands Sustainable Landscapes, and; c) integration of CFM into the curricula at the university and technical college levels. The related activities as outlined in the Project the document further describes the KM approach for the project (refer to Section 3).

9. Monitoring and Evaluation

Describe the budgeted M and E plan

The project will follow UNEP standard monitoring, reporting and evaluation processes and procedures. Reporting requirements and templates are an integral part of the UNEP legal instrument, the Project Cooperation Agreement (PCA) to be signed between the executing agency and UNEP in which the substantive and financial project reporting requirements will be detailed.

The project M&E plan is consistent with the GEF Monitoring and Evaluation policy. The Project Results Framework presented in Appendix 4 includes SMART indicators for each expected outcome as well as mid-term and end-of-project targets. These indicators along with the key deliverables and benchmarks included will be the main tools for assessing project implementation progress and whether project results are being achieved. The means of verification and the costs associated with obtaining the information to track the indicators are summarized in the table below. Other M&E related costs are also presented in the Costed M&E Plan and are fully integrated in the overall project budget. The M&E plan will be reviewed and revised as necessary during the project inception workshop to ensure project stakeholders understand their roles and responsibilities vis-à-vis project monitoring and evaluation. Day-to-day project monitoring is the responsibility of the project management team but other project partners will have responsibilities to collect specific information to track the indicators. It is the responsibility of the Project Manager to inform UNEP of any delays or difficulties faced during implementation so that the appropriate support or corrective measures can be adopted in a timely fashion.

The project Steering Committee (PSC) will receive periodic reports on progress and will make recommendations to UNEP concerning the need to revise any aspects of the Results Framework or the M&E plan. Project oversight to ensure that the project meets UNEP and GEF policies and procedures is the responsibility to the Task Manager in UNEP-GEF. The Task Manager will also review the quality of draft project outputs, provide feedback to the project partners, and establish peer review procedures to ensure adequate quality of scientific and technical outputs and publications.

Baseline data gaps will be addressed during the first year of project implementation.

Project supervision will take an adaptive management approach. Project supervision missions by the Task Manager will be described in the project supervision plan. The emphasis of the Task Manager supervision will be on outcome monitoring but without neglecting project financial management and implementation monitoring. Progress vis-à-vis delivering the agreed project global environmental benefits will be assessed with the Steering Committee at agreed intervals. Project risks and assumptions will be regularly monitored both by project partners and UNEP. Risk assessment and rating is an integral part of the Project Implementation Review (PIR). The quality of project monitoring and evaluation will also be reviewed and rated as part of the PIR. Key financial parameters will be monitored quarterly to ensure cost-effective use of financial resources.

In-line with the GEF and UNEP Evaluation requirements, the project will be subject to an independent Terminal Evaluation (TE). Additionally, a performance assessment will be conducted at the project's mid-point. The Evaluation Office will decide whether a Mid-Term Review, commissioned and managed by the Project Manager, is sufficient or whether a Mid-Term Evaluation, managed by the Evaluation Office, is required.

The TE will provide an independent assessment of project performance (in terms of relevance, effectiveness and efficiency), and determine the likelihood of impact and sustainability. The project performance will be assessed against standard evaluation criteria using a six-point rating scheme. It will have two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP staff and implementing partners. The direct costs of the evaluation will be charged against the project evaluation budget. The TE will typically be initiated after the project's operational completion. If a follow-on phase of the project is envisaged, the timing of the evaluation will be discussed with the Evaluation Office to feed into the submission of the follow-on proposal. The draft TE report will be sent by the Evaluation Office to project stakeholders for comment. Formal comments on the report will be shared by the Evaluation Office in an open and transparent manner. The final determination of project ratings will be made by the Evaluation Office when the report is finalised. The evaluation report will be publicly disclosed and will be followed by a recommendation compliance process. The evaluation recommendations will be entered into a Recommendations Implementation Plan template by the

Evaluation Oce. Formal submission of the completed Recommendations Implementation Plan by the project manager is required within one month of its delivery to the project team. The Evaluation Oce will monitor compliance with this plan every six months for a total period of 12 months from the nalisation of the Recommendations Implementation Plan.

Costed M&E workplan

Type of M&E Activity	Responsible Parties	GEF Budget (US\$)	Co-finance (US\$)	Time Frame
Inception Workshop	Project Implementation Unit (PIU) / Project Board	9,480		Within 2 months of project start-up
Inception Report	PIU	Staff time		1 month after project inception meeting
M&E Expert	M&E Specialist	90,000		Full time
Conducting project eld monitoring - travel	Project Steering Committee and Project Technical Committee	11,000	2,500	Objective, outcome and output indicators
Conducting project eld monitoring - travel	PIU & Technical Specialists	50,000		Objective, outcome and output indicators
Conducting project eld monitoring - travel	Monitoring and Evaluation by M&E Specialist	24,765		Objective, outcome and output indicators
Meetings of Project Technical Committee providing strategic and technical oversight in monitoring implementation and performance of the Project	Project Technical Committee, PIU	54,480		Regular meetings of PTC to review progress on achievement of objectives, outcomes and outputs
Measurement of project indicators (outcome, progress and performance indicators, GEF tracking tools) including baseline data collection. The Project Coordinator and Project Manager are responsible for overall measurement of indicators.	M&E Specialist Project Manager PIU Technical Specialists FD GIS units	Staff time	12,000	Outcome indicators: start, mid and end of project Progress/performance indicators: annually

Semi-annual Progress reports to UNEP	Project Manager M&E Specialist PIU	Staff time		Within 1 month of the end of reporting period (i.e. on or before 31 Jan. and 31 Jul.)
Reports of Project Steering Committee and Project Technical Committee meetings	Project Manager (with inputs from PIU staff & partners) UNEP representative	Staff time		PSC will meet twice/y the first 2 years and once/y the last 3 years. PT C will meet 4 times/y the first 2 years and twice/y the last 3 years
Project Implementation Review (PIR)	Project Manager PIU UNEP Task Manager	Staff time		Annually
Mid Term Review	UNEP TM/UNEP Evaluation Office	39,000		At mid-point of project implementation
Terminal Evaluation	UNEP TM/UNEP Evaluation Office	39,000		Within 6 months of end of project implementation
Project Final Report	Project Manager PIU Consultants for lessons learnt evaluation	Staff time	5,500	Within 2 months of the project completion date
Synthesis and dissemination of Lessons Learnt and other project documents	Project Manager PIU	Staff time	4,700	Annually - annual reports & Project Final Report & KM reports
Total M&E Plan cost		317,725	24,700	

10. Benefits

Describe the socioeconomic benefits to be delivered by the project at the national and local levels, as appropriate. How do these benefits translate in supporting the achievement of global environment benefits (GEF Trust Fund) or adaptation benefits (LDCF/SCCF)?

The generation of benefits for communities from forests and other natural resources is a crucial part of the strategies for generating global environmental benefits. Communities will invest in the protection and sustainable management of forests and natural resources if this generates substantial employment, revenues and other benefits for them. This project makes exceptional efforts to maximize enterprise development and inclusive revenue generation within the bounds of sustainable forest management. On the other hand, individuals and households will freely invest in the destruction of forests in order to convert them into de facto privately owned crop land. Conversion of forests to crop land is the greatest cause of forest loss in NWP and in Zambia. A global desk study funded by USAID has recently shown that any form of agricultural intensification that results in an increase in the profitability of agriculture will ultimately lead to greater loss of forest. To counter this, the Project seeks to increase the profitability of the community forests and to generate additional revenues for community enterprises and for the community as a whole, with emphasis on benefit sharing and gender equality. Output 1.1. will include a socio-economic review that will be repeated before the TE to document changes in revenues/benefits.

The Project has therefore been designed to deliver socio-economic benefits to Zambia at the local level through activities at the target sites to empower communities to identify livelihood projects that they see as a priority for their area while delivering global environment benefits. By improving the governance of forests in Game Management Areas and bordering communal lands, more sustainable forest and natural resource management will generate tangible socio-economic benefits. At the target sites, socio-economic benefits will accrue to the communities through recruitment into the Community Forest Management Groups, forest guards and the training that will be provided. This will lead to improved employment opportunities, with increased revenues for individuals, as well as the trickle-down effect on local vendors and service providers. The measurement and monitoring of climate resilience within the smallholder economy are essential to ensure the project is making progress in advancing resilience and to allow for adaptive implementation measures if progress is not being made. In this regard, the project will explore the use of specific tools such as the "Self-evaluation and Holistic Assessment of Climate Resilience of farmers and Pastoralists" (SHARP) tool developed by FAO which aims to address the need to better understand and incorporate the situations, concerns and interests of farmers relating to climate resilience and agriculture.

11. Environmental and Social Safeguard (ESS) Risks

Provide information on the identified environmental and social risks and potential impacts associated with the project/program based on your organization's ESS systems and procedures

Overall Project/Program Risk Classification*

PIF

CEO Endorsement/Approval MTR

TE

Low

Measures to address identified risks and impacts

Elaborate on the types and risk classifications/ratings of any identified environmental and social risks and impacts (considering the GEF ESS Minimum Standards) and any measures undertaken as well as planned management measures to address these risks during implementation.

The project is in the low-risk category. However, due diligence on potential safeguard issues is recommended throughout the project. UNEP ESSF guiding principles– resilience and sustainability; human rights, gender equality and women empowerment, accountability and leave no one behind–are still applicable for all UNEP projects. Project level grievance mechanism (if the government does not have such venue) should be established for any complaints to be handled swiftly at the project level.

The project is committed to be inclusive of communities and marginalized groups by informing them regularly on project implementation and hearing their views. Land ownership, location, language and other issues may affect who get benefited from the project. Therefore, it will be good to know who they are and how they will be engaged in smart and sustainable farming technology. Stakeholder Engagement Plan can be further elaborated during the early phase of the project implementation.

*Note that details on the envisaged Grievance Mechanism System are provided in the Stakeholder Engagement Plan attached (sections 9 and 10).

Supporting Documents

Upload available ESS supporting documents.

Title	Module	Submitted
Annex P_GEF 7 Zambia NWP_Stakeholder Engagement Assessment and Plan_revised May 2021	CEO Endorsement ESS	
Annex M_ESERN for GEF7 Zambia NWP_signed	CEO Endorsement ESS	

ANNEX A: PROJECT RESULTS FRAMEWORK (either copy and paste here the framework from the Agency document, or provide reference to the page in the project document where the framework could be found).

Project Objective	Objective level Indicators	Baseline	Targets and Monitoring Milestones	Means of Verification	Assumptions & Risks	UNEP MTS reference*
To strengthen community-based sustainable management of forest landscapes, and provide improved livelihood opportunities for targeted forest-dependent rural communities in Zambia's North West Province	<p>a. Hectares of dryland forests and lands under improved, more sustainable management</p> <p>b. % change in the income of women, men and youth from forest-based products and services.</p>	<p>a. 189,339ha transferred to CFMG, but without viable SFM systems</p> <p>b. To be estimated by a socioeconomic survey to be done in the first six months of the Project (disaggregated by gender and product/service)</p>	<p>a. EOP: 130,000 ha Mid-Point Target: 50,000 ha</p> <p>b. EOP: 15% increase Mid-Point target: None – no survey</p>	<p>a. Collected by community guards, district DF & DNPW agents, PIU staff.</p> <p>b. Semi-annual and Annual reports verified by Mid-Term and Final Evaluation teams. Baseline survey redone in Yr 5.</p>	<p>a. Benefits of CFM provide adequate incentives for forest conservation. Low risk of inadequacy</p> <p>b. Profitable enterprises developed. Low to moderate risk enterprises not profitable.</p>	Healthy and productive ecosystems
Project Outcome	Outcome Indicators	Baseline	Targets and Monitoring Milestones	Means of Verification	Assumptions & Risks	MTS EA
<u>Outcome 1:</u> Sustainable forest management (SFM) mainstreamed in local development plans in target Community Forest Management Areas (CFMAs)	<p>a. Area covered by recognized CFMAs with operational forest/NR management systems</p> <p>b. Number of District Integrated Development Plans with SFM mainstreamed addressing gender equality</p> <p>a. Number of CFMG receiving funds from their investments and disbursements</p>	<p>a. 78,347ha covered by existing CFMA in Kasempa District, but w/o viable management systems.</p> <p>b. No. DIDP mainstreaming CFM in the 3 districts</p>	<p>a. End of project Target: 120,000 ha. Mid-Point Target: 120,000 ha.</p> <p>b. EOP: 2 MTT: 1</p>	<p>a) The legal documents creating the CFMA, Mid-term and EOP evaluations</p> <p>b) Copies of approved DIDP. MT & EOP evaluations</p>	<p>a. Community stakeholders develop capacities for accountability, transparency, sound management of funds and equitable sharing of costs and benefits. Low risk they fail to develop capacities</p> <p>b. District councils commit to support for CFM development. Moderate risk of inadequate support.</p>	EA (a) The health and productivity of marine, freshwater and terrestrial ecosystems are institutionalized in education, monitoring and cross-sector and transboundary collaboration frameworks at the national and international levels

Project outputs:

- 1.1. Comprehensive assessment of forests and communities in the project area – sex and age disaggregated.
- 1.2. In-depth awareness raising on inclusive, gender sensitive CFMA creation leading to the declaration by government of the new or modied CFMG
- 1.3. Sustainable forest and natural resource management promoted in gender responsive District Integrated Development Plans and CFMA management plans

- 1.4. Knowledge management (KM) system developed in support of gender sensitive community management of forests and natural resources
- 1.5. Subsidiary legislation for forestry reviewed and revised in support of gender responsive sustainable forest management
- 2.1. Training and deployment of a corps of gender sensitive community forest guards in targeted CFMAs
- 2.2. Gender responsive business plans developed in support of each community forest management group
- 2.3. Gender responsive community-based enterprises developed based on the business plan
- 2.4. Capacities developed for gender responsive good governance, NRM and business management
- 3.1. Gender responsive network of actors developed and capacity built to deliver sustainable agricultural practices on the lands zoned for agriculture adjacent to community-managed forests
- 3.2. Capacity building provided to encourage the adoption of gender responsive, sustainable agricultural practices in agricultural zones in villages adjacent to community forests
- 3.3. Crop and livestock male, female and young farmers adjacent to CFMAs equally assisted to sustainably improve their productivity and net income

ANNEX B: RESPONSES TO PROJECT REVIEWS (from GEF Secretariat and GEF Agencies, and Responses to Comments from Council at work program inclusion and the Convention Secretariat and STAP at PIF).

GEF Secretariat recommendations	Agency Response
- Please confirm co-financing, not only a letter, but explain the role of co-financing in the project to also better demonstrate the added value of GEF resources;	Co-financing has been confirmed as summarized in Appendix 2 of the project document. The roles of the co-financing partners in project execution is presented in Table 13 in Section 4 of the project document. Their roles are broken down by Outcome, Output and by Site. Co-financing by the MLNR and the Ministry of Agriculture will cover the cost of human resources that are dedicated to the development and extension of sustainable CFM and agricultural systems. TNC's Investment Mobilized will be split between \$0.5 million for project management costs and \$1.5 million for financial and technical support to the rural communities at the three Project sites. WWF's co-financing will provide the scientific baseline and the technical expertise for aquatic biodiversity conservation and sustainable community fisheries management at the three sites. Trident Foundation Ltd is a not for profit organization funded by the CSR program of Kalumbila Minerals Ltd. Their investment mobilized will support Components 2 and 3 of the project as part of their support for sustainable rural development. First Quantum Minerals investment mobilized is a continuation of their support for the conservation of the West Lunga Complex that they have funded since 2014. Their funding will be split between \$500,000 for project management costs and \$2,000,000 for Components 1 and 2. The funding from Trident and First Quantum is of special importance because their CSR programmes will run through the remaining 17 years of the life of the mine, providing the critically needed ongoing support beyond the life of the mine.

	mine, providing the critically needed ongoing support beyond the life of the 5-year GEF project.
- Please, confirm the core indicators and the numbers;	The changes made from the PIF are detailed in Annex F and in Part II, section 6 of the CEO Endorsement Request and the reasons for the changes are explained.
- The number of beneficiaries seem low (1,000);	It was indeed too low. The changes from the PIF are detailed in Part II, section 6 of the CEO Endorsement Request and the reasons for the changes are explained.
- Please, check appropriate indicators related to LD: # of ha under SLM is the core indicator, but change in land productivity, carbon stocks, land cover change, Improved livelihoods in rural areas, or value of investments in SLM may be considered at CEO endorsement.	Indicators related to carbon stocks, improved livelihoods in rural areas, climate resilience and value of investments in community, nature-based businesses made by the Project and by the CFMG Business Unit SLM, disaggregated by gender have been added. The project is also considering the best approach to put in place a system to monitor land cover change through the CFMGs and baseline and targets will be defined at project start.
- Please confirm how the gender issues will have been included in the project design.	The project has taken on the recommendations and the results framework includes indicators and targets in support for enhanced gender equality. Likewise, gender sensitive objective and outcome-level indicators form an integral part of the results framework to better quantify the impact of the project on gender. CFM is a highly participatory undertaking and community participation is strictly voluntary. In most cases, the choice of the specific communities that the Project will support have not yet been finalized. In order to tailor the project interventions in support of gender equality to the specific conditions at our project sites, a gender audit and a gender action plan will be done during the first year after the selection of the CFM communities has been completed. The project results framework above and Section 3 in Part II of the CEO Endorsement Request provides further detail.
- Provide a background check on potential partners to protect the GEF from reputation risks.	<p>Much of First Quantum Minerals (FQM)'s social and environmental work is conducted by its wholly-owned CSR subsidiary, Trident Foundation. Its social and environmental record follows:</p> <ul style="list-style-type: none"> Carbon Emissions: The Company has a core commitment to minimise energy consumption by continually challenging the status quo, improving efficiencies and reducing wastage. All FQM's carbon emissions are calculated in accordance with the Greenhouse Gas Protocol; A Corporate Accounting and Reporting Standard (WRI, WBCSD, 2001). It reports its Greenhouse Gas emissions data and relevant emissions management efforts annually to the Carbon Disclosure Project (CDP) Water Use: Large quantities of water are essential for mining and mineral processing activities. FQM's water consumption is seen as having a material impact across its operations. First Quantum has a core commitment to minimise water withdrawal and discharge by adopting new technologies, continually improving efficiencies and on site water reuse. Sentinel Mine records a 67% water reuse. Environmental Incidents: First Quantum believes that an effective Environmental Management System (EMS) is key to sound environmental practice and to reducing environmental risk. The Company has implemented EMSs at all of its operations. The E

MSs, which are aligned with the ISO14001:2015 standard, are subject to regular external compliance audits. The Company has established EMS compliance targets for selected sites to further reduce environmental risk across the group

- **Resettlement:** The resettlement of 624 families and 1 631 subsistence farmers is nearing completion at Sentinel in accordance with requirements set out in the Resettlement Action Plan approved by the Zambian Environmental Management Agency (ZEMA). All project affected people received their compensation on time prior to the mine's development. The resettlement included 24 036 formal stakeholder engagement meetings with local authorities, PAP and traditional leadership held between 2010 and 2018. First Quantum has secured title deeds for displaced farmers in conjunction with livelihood conservation farming restoration, specialized water upgrades and sanitation. Other socio-economic programs are being implemented and managed. Engagement with ZEMA is ongoing

- **Biodiversity Support:** First Quantum Minerals, through the Trident Foundation, has invested over \$4.5 million in conservation activities in and around the West Lunga Management Area since 2014, under a Memorandum of Understanding with DNPW. The funding enabled recruitment, training, equipping and pay for wildlife rangers, vehicle maintenance and transport. FQM has recently supported the development of a community game reserve in the Ntambu area, which represents an investment of about US\$150,000 over the next two years.

- **Community Engagement:** Management of First Quantum's community engagement is overseen by a corporate Community Relations and Development Manager who provides clear, focused guidance on local community relations activities and who ensures that First Quantum's corporate standards on community engagement are met. The Company's internal audit function periodically reviews site practice against corporate expectations as needed. Each site is staffed appropriately to manage community relations, including a local community relations manager. In Zambia, FQM has:

- o Entered into a Memorandum of Understanding with the Ministry of General Education to strengthen access to quality education in Solwezi and Kalumbila districts; Throughout FQM's history in Zambia, it has invested over \$70 million in education. We have built school buildings, delivered desks and donated more than 100,000 textbooks.

- o Provided lunch to 6 000 school children every day which, has been credited with raising average attendance rates among local students from 64% to 87% ;

- o Worked with 7 000 farmers in conservation farming and holistic family nutrition programming;

- o Supported 7 000 individuals in First Quantum-sponsored village banking programming.

- **Human Rights:** Respect for human rights is fundamental to FQM's Company values and how it conducts its business activities. This commitment is embedded in its corporate Human Rights Policy as well as its operational management processes. FQM's approach is guided by the United Nations Guiding Principles on Business and Human Rights and the Voluntary Principles on Security and Human Rights (VPSHR). The Company's security practices are guided by the VPSHR which set out rules for engagement with the police that provide external security and response assistance, and provide guidelines on contractual requirements, the use of force and human rights training. All security personnel follow the VPSHR and have received human rights training and all security service providers are required to abide by the VPSHR code of conduct and they have to provide a quarterly certificate declaring that they (1) induct and train all new employees on these principles and (2) monitor the adherence to these principles by their employees. FQM has a goal of zero human rights violations by the Com

	<p>pires by their employees. FQM has a goal of zero human rights violations by the company and contractors. In 2019 it achieved that goal.</p>
- Provide geo-referenced data of targeted forests and landscapes.	<p>Maps of the three project sites are presented in Section 2 of the Prodoc and in Annex E.</p>
- Please provide details about the connection between the private sector and community-based farmer networks, agriculture enterprises, and nature-based enterprises.	<p>Currently the linkages between existing Community Forest Management Groups and private market actors is weak. The low levels of business management capacity at organizational level and the informal nature of most market actors in the forest products sector mean that most commercial relationships between community groups and micro-entrepreneurs within the communities are ad hoc, transactional and in many instances exploitative to the producer.</p> <p>A similar situation exists in the agricultural sector in which there are few buyers or input suppliers willing to invest in long term and mutually beneficial relationships with smallholders and this situation is exacerbated by a distortive and subsidized public intervention in maize input and output markets, which discourages long term private investment in Zambia's largest grain market. Through improving the production, business and financial management capacity of the Community Forest Management Groups, small local businesses and other relevant business units, and through brokering relationships with beneficial private market actors, the project intends to facilitate the development of strong and mutually beneficial relationships between producers and the private sector.</p>
- Please reinforce the rationale for sustainability innovation and scaling up	<p>This has been very substantially reinforced as reflected in Section 7 on Innovativeness, Sustainability and Replication.</p>
GEF Council Member Comment	Updated Agency Response
<p><i>"Finally, recognizing that the intent of these projects is to mitigate or reverse deforestation, the United States needs to officially confirm for internal purposes that the following projects will not involve any logging of primary forests."</i></p>	<p>The dominant forest type at the three project sites is the miombo. The miombo forest is an anthropic form of secondary forest resulting from human disturbance, especially man's use of fire. While the miombo is widespread at present, it has not always been that way. Much of the land covered by miombo today is believed to have supported different forest types such as muhulu: dense, evergreen dry forests dominated by tall muvunda (<i>Cryptosepalum exfoliatum</i>) trees and <i>Entandrophragma devoyi</i>, a relative of the mahogany, in the past. But as humans burned the land for agriculture and hunting – which they have done in the area since at least the Iron Age – miombo was the forest type that tended to grow back. These days, muhulu forests are confined to a few very isolated, uninhabited areas in western Zambia, adjacent Angola and the Katanga area of the Democratic Republic of Congo (DRC), where soil is poor and human pressure is limited. "They're a bit like the <i>araucariaceae</i> in that they're windows into the past in terms of what the vegetation used to be like," says Robert Nasi (Director</p>

	<p>General of CIFOR). "And it is very likely that if you protect [miombo] forests from r e f or a long time, they (the original primary forest types) will re-establish."^[1]</p> <p>The Project will not support logging in any primary forests like the muhulu. It will inve st in the development of silvicultural systems for ensuring adequate regeneration of t he miombo species, especially those harvested.</p>
STAP Comment	Updated Agency Response
No theory of change in PIF	The TOC in Section 3.4 has been redone in response to comments, showcasing path ways and supplemental text to the table in section 3.1 provides further explanations.
STAP recommends that the results from the livelihoods survey be made spatially explicit and integrated with the land use planning pr ocess, if possible.	The site specic socioeconomic surveys will provide detailed data for each of the thr ee sites and will inform the land use planning at each site.
STAP further recommends that the project make use of readily avai lable, open access remote sensing and other data to monitor land c over and land use changes over time, including remote sensing dat asets from Global Forest Watch and elsewhere to monitor forest co ver over time after – and after the project ends to determine sustai nability of outcomes. For land degradation and Land Degradation N eutrality (LDN), the tool Trends.Earth would be very useful in this re spect.	Remote sensing will clearly be part of the monitoring and evaluation process. \$200 0/year is included in the budget on land use planning for remote sensing work. TNC a lso has remote sensing capacity.
Finally, STAP's paper on "Local Commons for Global Benets" reco mmends that projects to strengthen or establish community-based management should adopt a number of fundamental design chara cteristics related to land tenure, value, governance, etc (all of which appear to be strongly embedded in this project) (see Child, B. and C ooney, R., 2019. Local Commons for Global Benets: Scientic and Technical Advisory Panel to the Global Environment Facility. Washi ngton, DC.	The Forest Act and the 2018 statutory instrument to the Forest Act provide a legal m echanism for structuring and empowering communities to control access, to manag e and to harvest and market good coming from their forest. The application of these texts is fully in line with the STP recommendation in "Local Commons for Global Ben ets" and this is at the core of the strategy for CFM development adopted by the Proj ect.
No explicit mention is made of adaptive management in the PIF.	Adaptive management is an integral principle in UNEP/GEF project implementation t hat has been discussed largely with the project execution partners during project des ign. There are specic activities for annual adaptive management reviews in Outcom e 2 for CFM and Outcome 3 for sustainable agriculture.

[1] Evans, Monica. July 2020. Miombo woodlands: the vast southern African dryland forests hiding in plain sight.
<https://news.globallandscapesforum.org/45792/miombo-woodlands-the-vast-southern-african-dryland-forests-hiding-in-plain-sight/>

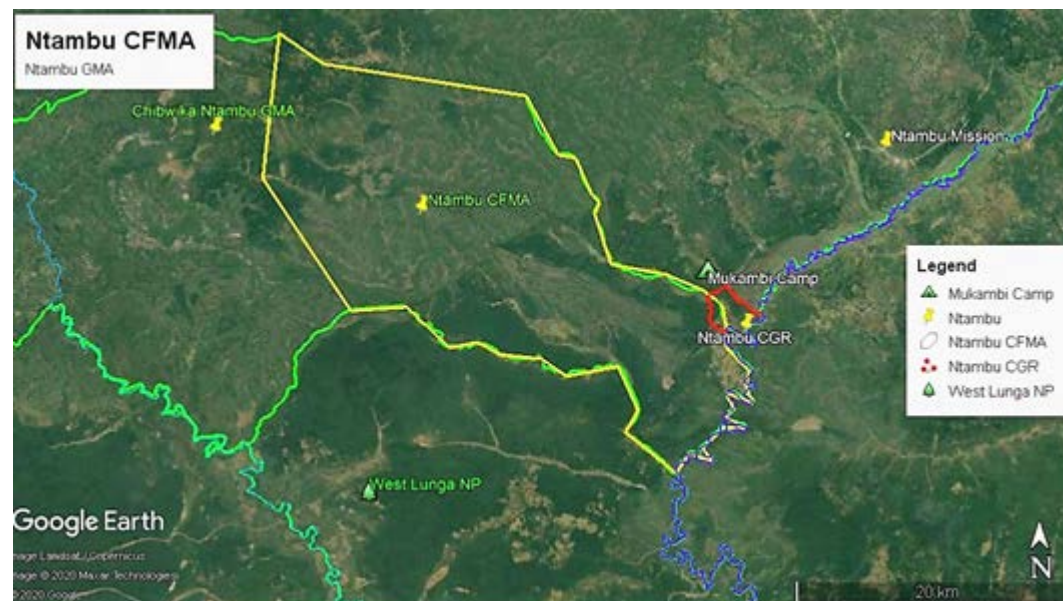
ANNEX C: Status of Utilization of Project Preparation Grant (PPG). (Provide detailed funding amount of the PPG activities financing status in the table below:

PPG Grant Approved at PIF: 150,000			
<i>Project Preparation Activities Implemented</i>	<i>GETF/LDCF/SCCF Amount (\$)</i>		
	<i>Budgeted Amount</i>	<i>Amount Spent To date</i>	<i>Amount Committed</i>
National Consultants	55,750	53,727	2023
International Consultants	45,000	40,500	4,500
Travel on Ocial Business	22,250	18,008	4,241
Stakeholder Consultation/meetings/workshops	27,000	15,958	11,042
Total	150,000	128,193	21,806

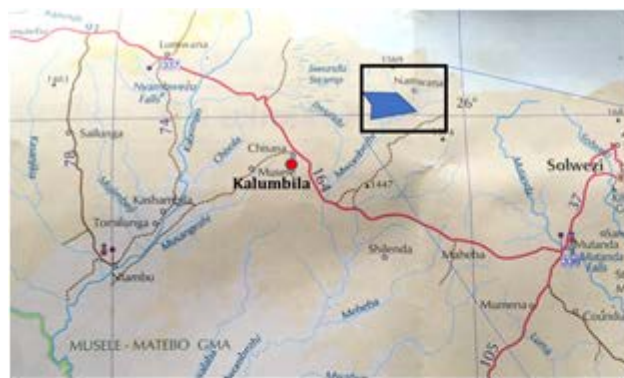
ANNEX D: Project Map(s) and Coordinates

Please attach the geographical location of the project area, if possible.

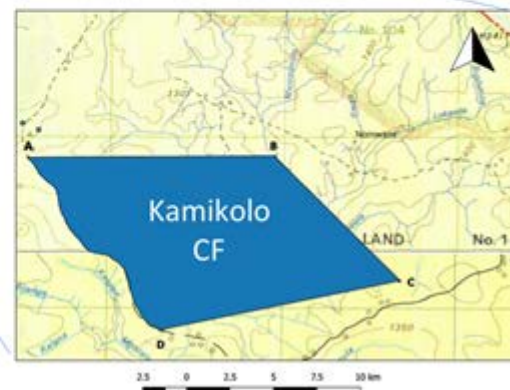
Project site 1 : Ntambu CFMA in Mwinilunga District



Project site 2: Kalumbila District – Kamikolo CFMA



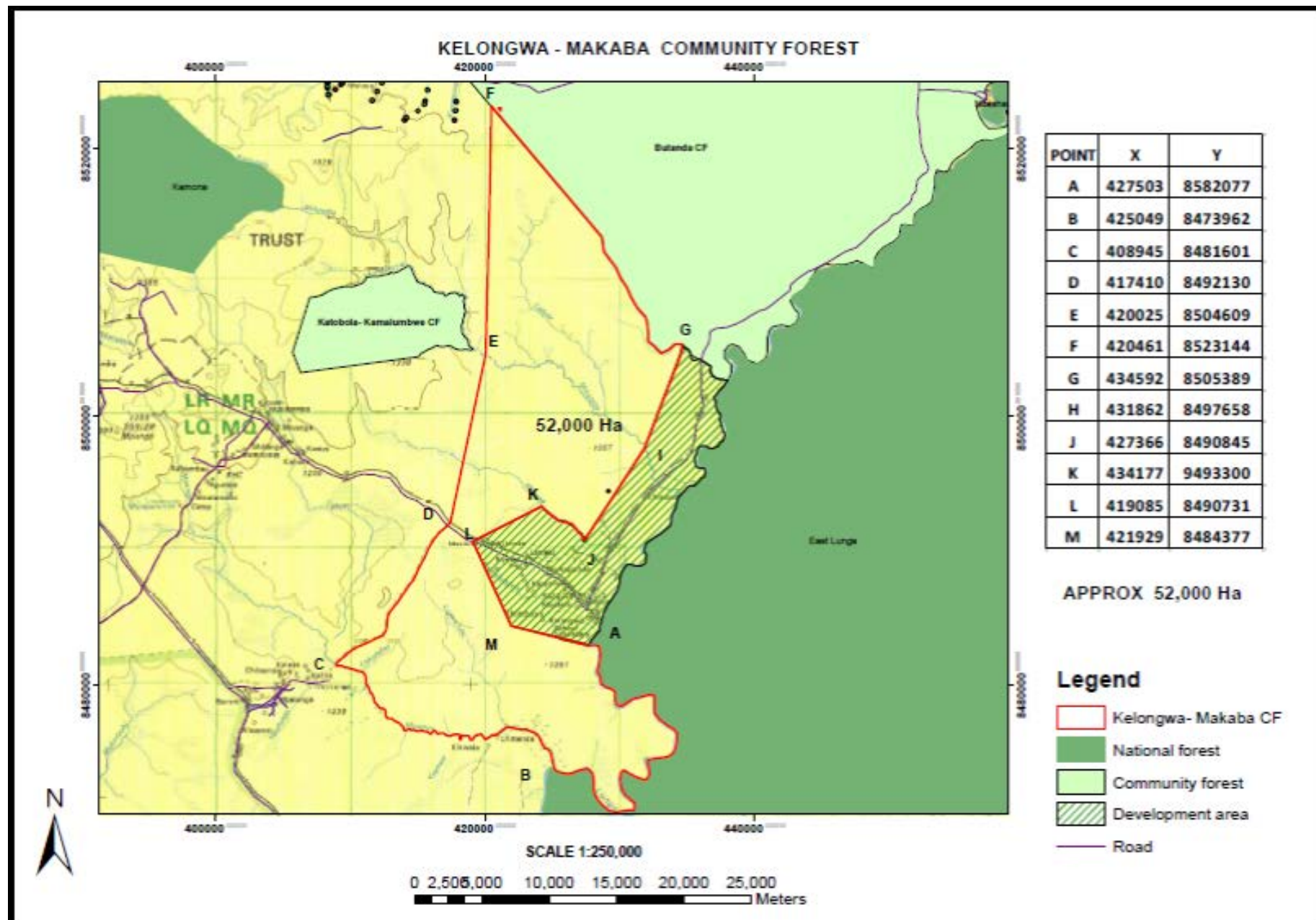
Proposed Community Forest Kalumbila District



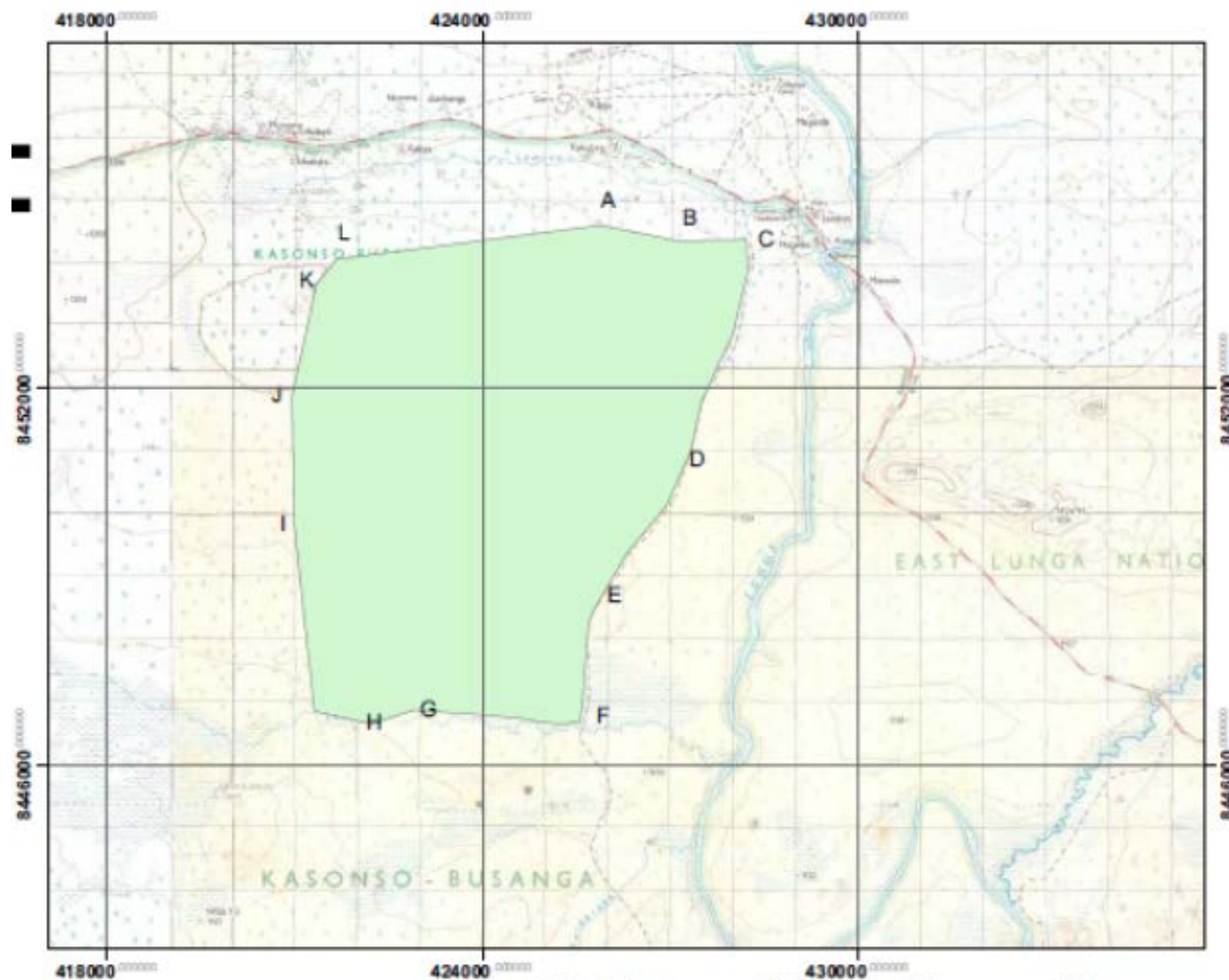
Coordinates

A	B	C	D
25.6722	25.8015	25.8678	25.7431
-11.9513	-11.9495	-12.0150	-12.0431

Project site 3: CFMAs in Kasempa District: Kelongwa Makaba, Lujika Jifumpa. Kotobola Kamalumbwe Lubofu, Kamakechi Ngubo, Kanongo-Kalasa Ngubo, Mukunashi-Kanyola (individual maps follow).



LUJKA COMMUNITY FOREST - JIFUMPA



POINTS	X	Y
A	421713	8454114
B	425886	8454595
C	427078	8454386
D	428218	8454366
E	427249	8450680
F	425817	8448539
G	425628	8446664
H	422895	8446813
I	422154	8446679
J	421041	8449850
K	420955	8451841
L	421362	8453645

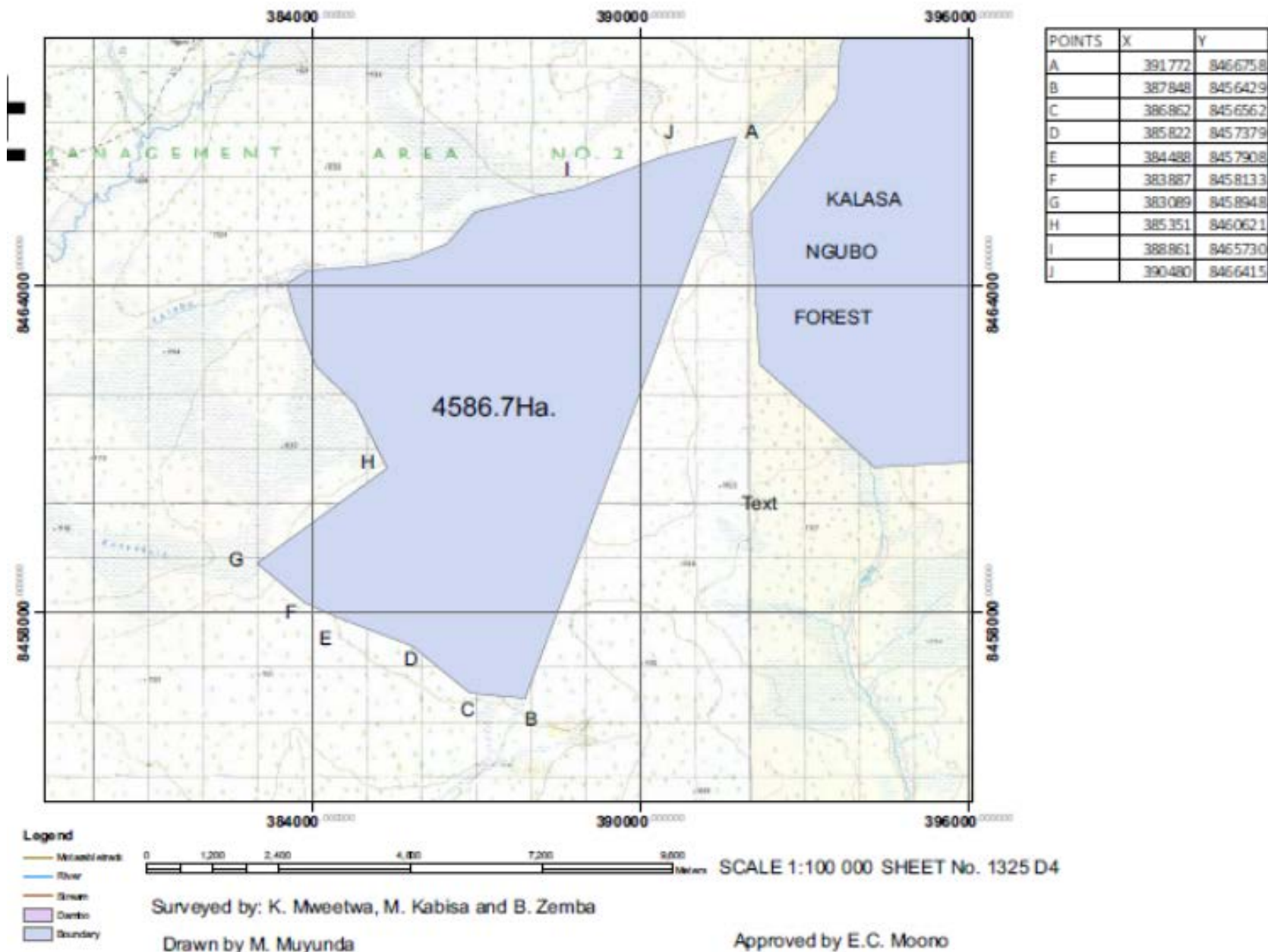
SHEET No. 1326 C4 SCALE 1:100 000

Surveyed by: T. Moono, C. Lwiindi & J. Mbala

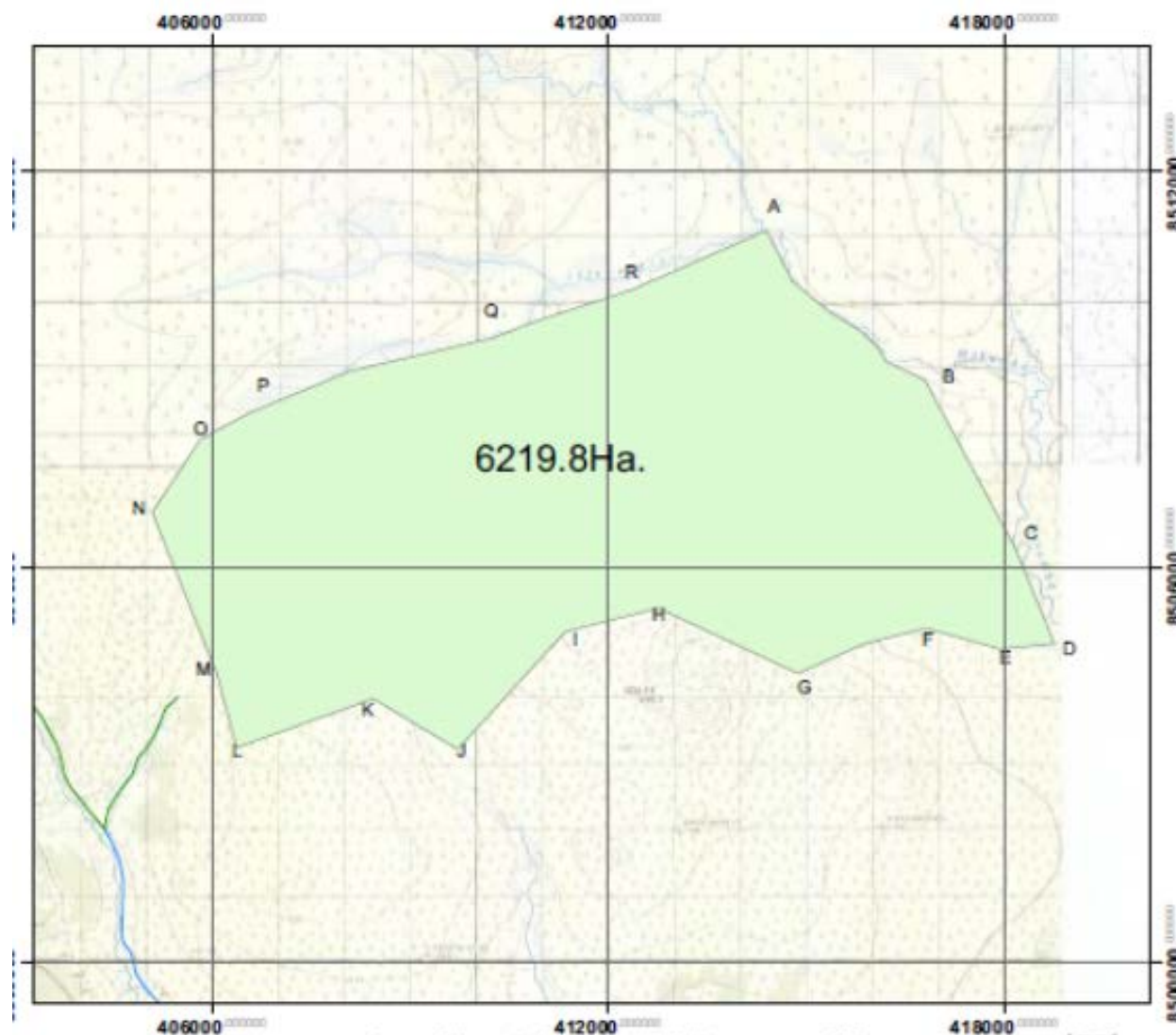
Drawn by: M. Muyunda

Approved by E.C. Moono

KANYOLA COMMUNITY FOREST - MUKUNASHI



KOTOBOLA KAMALUMBWE COMMUNITY FOREST-LOBOFU



POINTS	X	Y
A	414330	8511121
B	416811	8508758
C	418110	8506293
D	418815	8504836
E	417936	8504743
F	416752	8505083
G	414828	8504343
H	412716	8505410
I	411312	8504979
J	409738	8503252
K	408394	8503997
L	406412	8503217
M	406054	8504396
N	405136	8506815
O	405868	8507917
P	406617	8508399
Q	410328	8509471
R	412387	8510181

SHEET No. 1326 C1 SCALE 1:100 000

Surveyed by: T. Moono, C. Lwini & J. Mbata

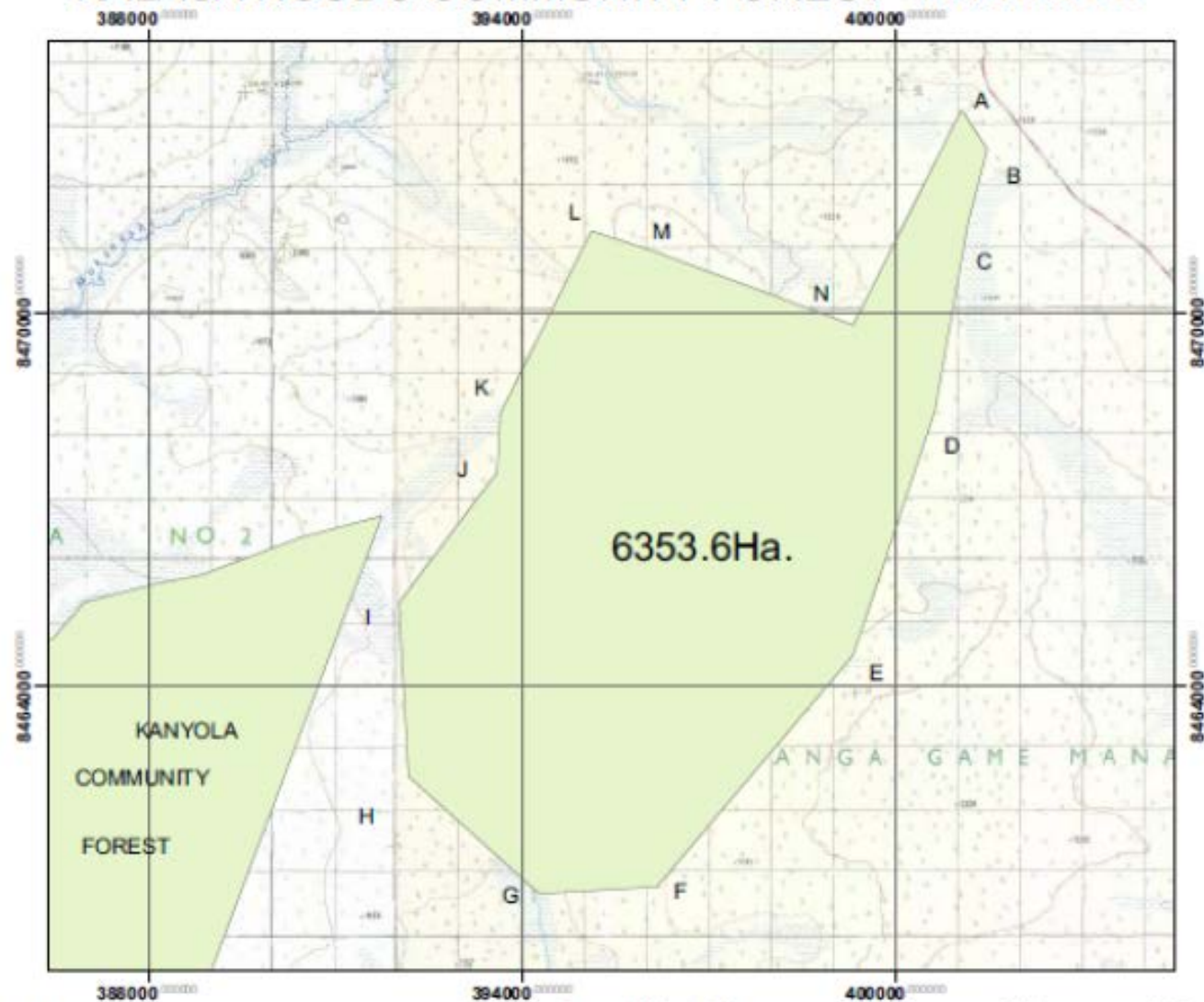
Drawn by: M. Muyunda

Approved by: E. C. Moono

Legend

- Boundary
- Water
- Forest
- Settlement
- Other

KALASA NGUBO COMMUNITY FOREST - KANONGO



POINTS	X	Y
A	401095	8473184
B	401441	8472544
C	401039	8471189
D	399327	8469639
E	400550	8468198
F	399182	8464274
G	396227	8460791
H	394251	8460634
I	392092	8462572
J	391931	8465285
K	393638	8467567
L	393674	8468428
M	395238	8471437
N	396241	8471047

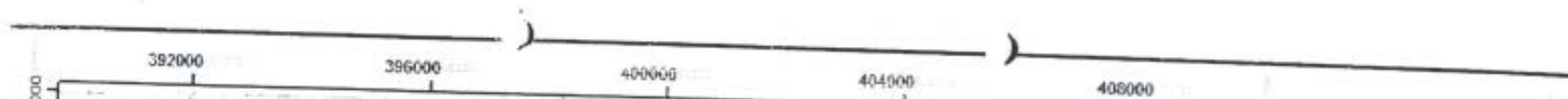
Legend
 Boundary
 River
 Stream
 Contour

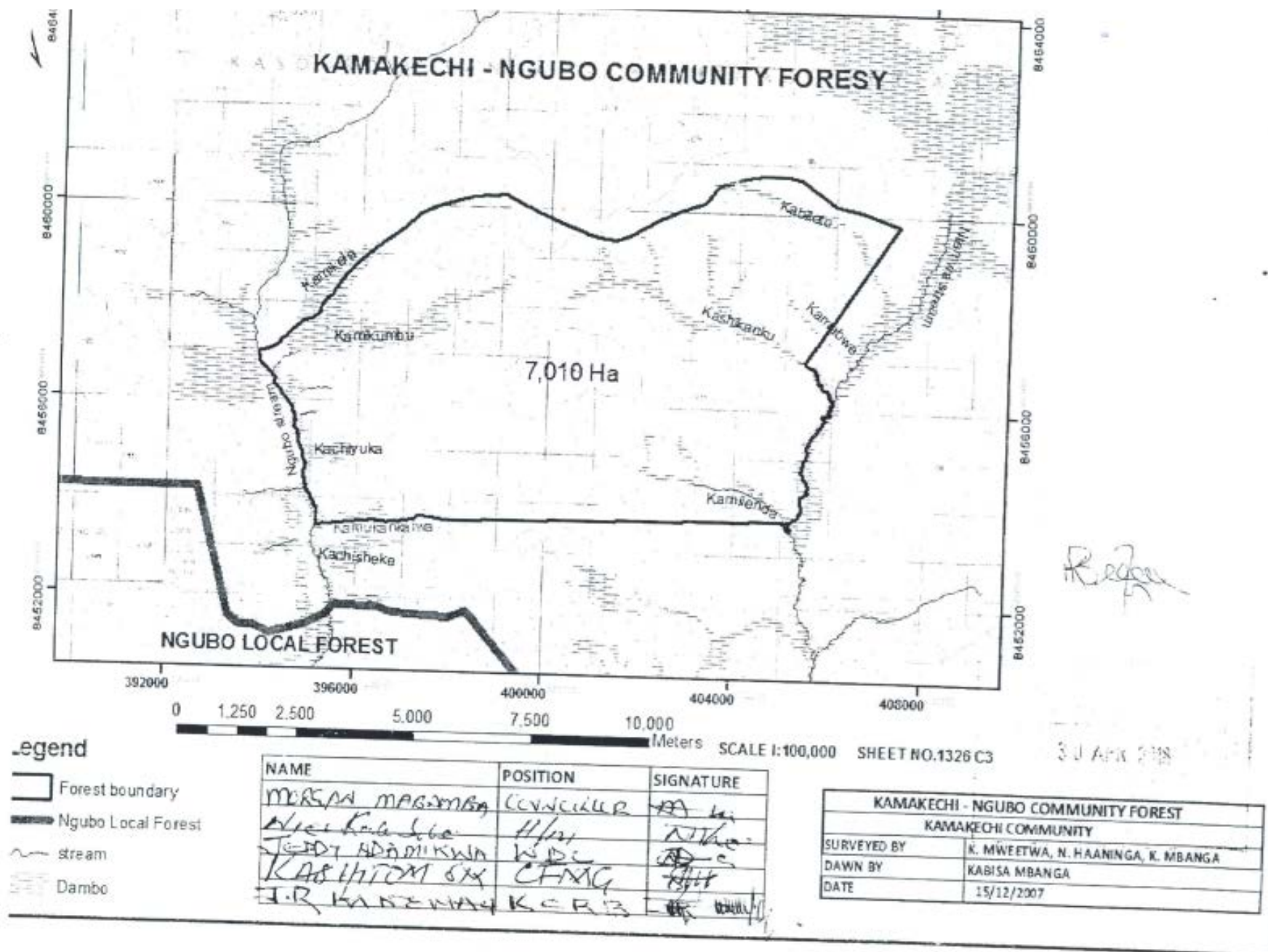
SHEET No. 1325 D4 SCALE 1:100 000

Surveyed by: T.Moono, C. Lwindi & J.Mbala

Drawn by: M.Muyunda

Approved by: E.C.Moono





ANNEX E: Project Budget Table

Please attach a project budget table.

BUDGET SUMMARY TABLE

UNEP Budget Line	Expenditure per project component					
	1	2	3	M&E	PMC	TOTAL
Project personnel	38,667	38,667	38,667	90,000	206,000	412,000
Consultants	25,667	86,667	6,667	-	-	119,000
Administrative Support	-	-	-	-	25,000	25,000
Travel on ocial business	50,647	73,116	57,000	63,000	7,556	251,319
Sub-contracts (cooperating agencies)	58,800	1,780,144	701,626	-	-	2,540,570
Group training	846,638	618,711	70,000	-	-	1,535,349
Meetings/Conferences	31,810	-	-	86,725	-	118,535
Equipment and premises	15,000	164,500	-	-	7,192	186,692
Operation and maintenance of equipment	-	52,119	-	-	-	52,119
Evaluation	-	-	-	78,000	20,000	98,000
TOTAL	1,067,229	2,813,924	873,960	317,725	265,748	5,338,584

		Expenditure by project component/activity					
		1	2	3	M&E	PMC	Total
PERSONNEL COMPONENT							
1100	Project personnel						
1101	Project Manager	38,667	38,667	38,667		116,000	232,000
1102	Project Coordinator					-	
1103	Finance Specialist					90,000	90,000
1104	M&E Specialist				90,000	-	90,000
1199	Sub-total	38,667	38,667	38,667	90,000	206,000	412,000
1200	Consultants/Technical Support Staff						
1201	Natural Resource Management Specialist		40,000			-	40,000
1202	Business Development Specialist		40,000				40,000
1203	Gender Specialist	6,667	6,667	6,667			20,000
1204	Legal Specialist	19,000	-	-	-	-	19,000
1299	Sub-total	25,667	86,667	6,667	-	-	119,000

1300	Administrative Support						
1301	Project Field office and utilities costs-Kalumbila	-	-	-	-	25,000	25,000
1399	Sub-total	-	-	-	-	25,000	25,000
1600	Travel on official business						
1601	Local/National	40,647	58,116	37,000	63,000	7,556	206,319
1602	IPs and community representatives attend regional KM meetings	10,000	15,000	20,000	-	-	45,000
1699	Sub-total	50,647	73,116	57,000	63,000	7,556	251,319
Component total		114,981	198,450	102,334	153,000	238,556	807,319
SUB-CONTRACT COMPONENT							
2100	Sub-contracts (MOUs/LOAs for cooperating agencies)						
2101		-	-	-			-
2199	Sub-total	-	-	-	-	-	-
2200	Sub-contracts (MOUs/LOAs for supporting organizations)						
2201	Support to business and financial management strengthening		250,000				250,000
2202	Support to assess conservation value of natural resources	20,000	-	-	-	-	20,000
2203	Support to miombo-based silvicultural studies	22,800	-	-	-	-	22,800
2204	Support to integrate CFM into curriculum for tertiary education	16,000	-	-	-	-	16,000
2206	Support to CFMGs to establish nature-based enterprise	-	702,397		-	-	702,397
2207	Support to CFMGs to recruit and hire professional CFMG management		475,491	-	-	-	475,491
2208	Support to CFMGs to recruit, train and hire resource protection staff	-	352,256	-	-	-	352,256
2209	Support to training of farmers and extension agents in sustainable agricultural practices	-	-	107,797	-	-	107,797
2210	Support to the development of sustainable agriculture demonstration sites of "best practice"	-	-	140,000	-	-	140,000
2211	Support to agricultural field days at sustainable agriculture demonstration sites	-	-	136,000	-		136,000
2212	Support to facilitating access to markets for farmers practicing sustainable agriculture	-	-	221,000	-	-	221,000

	farmers practicing sustainable agriculture						
2213	Support to a participatory survey of farmers and extension agents to establish a baseline for sustainable agricultural training	-	-	30,000	-	-	30,000
2214	Support to annual participatory adaptive management reviews with farmers agricultural stakeholders on sustainable agricultural management	-	-	66,829	-	-	66,829
2299	Sub-total	58,800	1,780,144	701,626	-	-	2,540,570

TRAINING COMPONENT							
3200	Group training						
3201	GIS training	28,494	-	-	-	-	28,494
3202	Training of communities on potential benefits, obligations and risks of CFM	195,183	-	-	-	-	195,183
3203	Training on roles, responsibilities, opportunities, risks of CFM leading to geographic and economic definition of CFMA	151,583	-	-	-	-	151,583
3204	Training of project stakeholders on gender, and training of gender 'ambassadors', mainstreaming gender into all project activities	60,000	130,000	70,000	-	-	260,000
3205	Training a CFM Planning Sub-Team and support a participatory process for integrating CFM into the District Integrated Development Plan	71,320	-	-	-	-	71,320
3206	Training of communities and CFMGs in constitution development and governance strengthening	103,521	-	-	-	-	103,521
3207	Training in participatory integrated land use planning (ILUP) and mapping of the communal lands of CFMG communities	230,297	-	-	-	-	230,297
3208	Training in participatory definition of natural resource management objectives and rules	6,240	-	-	-	-	6,240
3209	Training in the development of business plans for CFMGs		205,577	-	-	-	205,577

3210	Staffing needs assessment and training of CFMG and CFMG staff in business and financial management		242,826	-	-	-	242,826
3211	Annual adaptive management reviews to strengthen capacities for governance, NRM and enterprise development	-	40,308	-	-	-	40,308
3299	Sub-total	846,638	618,711	70,000	-	-	1,535,349
3300	Meetings/Conferences						
3301	Project Inception, internal progress, knowledge management and technical reviews and regional meetings				42,245		42,245
3302	Draft subsidiary legislation and regulations for Forest Act 2015 stakeholder review meetings - national inception meeting	7,100	-		-	-	7,100
3303	Draft subsidiary legislation and regulations for Forest Act 2015: stakeholder review meetings - two regional consultative meetings	15,230	-	-	-	-	15,230
3304	Draft subsidiary legislation and regulations for Forest Act 2015: stakeholder review meetings - national validation meeting	9,480	-	-	-	-	9,480
3305	Project Technical Committee providing strategic and technical oversight in monitoring implementation and performance of the Project	-	-	-	44,480	-	44,480
3399	Sub-total	31,810	-	-	86,725	-	118,535
Component total		878,448	618,711	70,000	86,725	-	1,653,884

EQUIPMENT AND PREMISES COMPONENT							
4100	Expendable equipment						
4101	Stationery for field offices					2,192	2,192
4102	Forest guard personal equipment		40,500				40,500
4199	Sub-total	-	40,500	-	-	2,192	42,692
4200	Non-expendable equipment						
4201	Hardware and software for CFM management and monitoring		22,000			5,000	27,000
4202	GIS equipment for Forestry Dept and forest guards	15,000	30,000				45,000
4203	Motorbikes for CMFG management mobility		12,000				12,000
4204	Project specific Vehicle	-	60,000	-		-	60,000
4299	Sub-total	15,000	124,000	-	-	5,000	144,000
Component total		15,000	164,500	-		7,192	186,692
MISCELLANEOUS COMPONENT							
5100	Operation and maintenance of equipment						
5102	Project specific Driver		18,000		-	-	18,000
5103	Repairs, maintenance and equipment running costs - vehicle	-	24,219	-	-	-	24,219
5103	Repairs, maintenance and equipment running costs - CFMG motorbikes	-	9,900	-	-	-	9,900
5199	Sub-total	-	52,119	-	-	-	52,119
5500	Evaluation						
5501	Conducting Audit on Project financial operations	-	-	-	-	20,000	20,000
5502	Project Mid-term Review	-	-	-	39,000	-	39,000
5503	Project Terminal Evaluation	-	-	-	39,000	-	39,000
5599	Sub-total	-	-	-	78,000	20,000	98,000
Component total		-	52,119	-	78,000	20,000	150,119
GRAND TOTAL		1,067,229	2,813,924	873,960	317,725	265,748	5,338,584

ANNEX F: (For NGL only) Termsheet

Instructions. Please submit an analyzed termsheet in this section. The NGI Program Call for Proposals provided a template in Annex A of the Call for Proposals that can be used by the Agency. Agencies can use their own termsheets but must add sections on Currency Risk, Co-financing Ratio and Financial Additionality as defined in the template provided in Annex A of the Call for proposals. Termsheets submitted at CEO endorsement stage should include all terms and conditions of the financing.

ANNEX G: (For NGI only) Reflows

Instructions. Please submit a reflows table as provided in Annex B of the NGI Program Call for Proposals and the Trustee excel sheet for reflows (as provided by the Secretariat or the Trustee) in the Document Section of the CEO endorsement. The Agency is required to quantify any expected financial return/gains/interests earned on non-grant instruments that will be transferred to the GEF Trust Fund as noted in the Guidelines on the Project and Program Cycle Policy. Partner Agencies will be required to comply with the reflows procedures established in their respective Financial Procedures Agreement with the GEF Trustee. Agencies are welcomed to provide assumptions that explain expected financial reflow schedules.

ANNEX H: (For NGI only) Agency Capacity to generate reflows

Instructions. The GEF Agency submitting the CEO endorsement request is required to respond to any questions raised as part of the PIF review process that required clarifications on the Agency Capacity to manage reflows. This Annex seeks to demonstrate Agencies' capacity and eligibility to administer NGI resources as established in the Guidelines on the Project and Program Cycle Policy, GEF/C.52/Inf.06/Rev.01, June 9, 2017 (Annex 5).

Annex H: Consultants to be hired

<i>Position Titles</i>	<i>\$ USD/ Person Week</i>	<i>Estimated Person Weeks*</i>	<i>Tasks to Be Performed</i>
For Project Management			
Local			
Project Manager	\$446	260	Administrative/project management tasks (50%) <ul style="list-style-type: none"> Supervise and coordinate all aspects of the day-to-day work of the PIU, its staff, and Project Partners as necessary; Supervise and coordinate the production of project outputs, as per the project document; Supervise and coordinate the work of all project staff, consultants and sub-contractors; Ensure the smooth financial management of the project within limits and financial thresholds approved

			<ul style="list-style-type: none"> • Ensure the smooth financial management of the project. Within limits and financial controls approved by the PSC, the PM will make operational and financial decisions that promote smooth implementation of project activities. • Liaise with UNEP, relevant government agencies, and all project partners, including private sector, donor organizations and NGOs for effective coordination of all project activities; • Serve as Executive Secretary and provide support to the PSC in coordinating policy-related project implementation at the national level • Organize, conduct and participate as Executive Secretary in the PTC meetings where technical advice will be generated to advance the project • Disseminate project reports and respond to queries from concerned stakeholders
Finance Specialist	\$346	260	Administrative/project management tasks <ul style="list-style-type: none"> • Maintain the project account books to the standards of TNC, UNEP and GEF • Ensure quick and fully documented payments process • Manage the financial disbursement and reporting process for sub-grantees • Prepare for annual external and internal audits • Undertake all administrative and programme assistance tasks; • Assist the CFMG to set up their account books; • Assist the CFMG to set up their administrative systems; • Work with the Business Development Specialist and the CFMGs to support the creation of CFMG forest management funds and CFMG investment funds
For Technical Assistance			
Local Long Term Technical Assistance			
Project Manager	\$446	260	Technical tasks (50%) <ul style="list-style-type: none"> • Ensure the timely and effective implementation of all components of the project; • Assist relevant government agencies and project partners with development of essential skills through training workshops and on the job training thereby upgrading their institutional capabilities; • Provide technical advice, training-of-trainer capacity and technical support to the project implementing team and project partners in the field including but not limited to <ul style="list-style-type: none"> • Training of trainer activities in CFM opportunities, benefits, obligations and risks • Business and investment planning • Land and resource use planning • Organisation governance capacity building • Business and financial management • Lead the development of strategies and approaches for the support for CFM and SA in the communities; • Lead the mainstreaming of gender into all project component

			<p>Lead the mainstreaming of gender into all project components</p> <ul style="list-style-type: none"> • Lead annual adaptive management reviews to strengthen capacities for governance, NRM and enterprise development • Coordinate the work in the communities of the PIU staff; • Play a lead role in KM activities and communications for the project.
<p>Business Development Specialist</p> <p>(project duration, full time, \$8,000/year)</p>	\$154	260	<p>Functions:</p> <ul style="list-style-type: none"> • Develop strategies/approaches/tools for community awareness raising on the advantages, disadvantages and risks of investing in community forest management; • Develop training modules for communities, community members and community support institutions on business and financial management; • Identify all actual and potential products and services from the forests at the Project sites; • Conduct in-depth analysis of the value chains of these products and services. Develop a database of all the actors in each value chains, including names, addresses, telephone numbers and profiles; • Identify the key products and services for each CFMG that have the highest potential for generating additional revenues for the CFMG and its members; • Identify the investment opportunities for each CFMG, analyse the investment costs and revenues, the technical and professional expertise needed, the risks and the profitability of each investment opportunity. • Assist each CFMG to identify, recruit and train a technical and professional management cohort • Assist each CFMG to develop a business plan including an investment plan that goes beyond the end of the project; • Assist CFMG in the development of their forest/natural resource management funds and investment funds; • Identify additional sources of expertise needed for the development of capacities for good governance and enterprise development and for the development of forest/natural resource-based investment opportunities; • Provide capacity building for local GRZ staff in business and financial management to enable them to continue to support business development post-project
<p>Natural Resources Management Specialist</p> <p>(project duration, full time, \$8,000/year)</p>	\$154	260	<ul style="list-style-type: none"> • Play the lead role in the organising and completing the assessment of forest/natural resources at the Project sites – condition, trends, threats and root causes and conservation value and contribute to the identification of current forest and natural resource based products and services and potential. • Identify all NTFP that are harvested destructively and that therefore require management interventions to ensure and to improve their regeneration. Work with the CFMG during the full life of the project to develop and perfect those management techniques. • Play the lead role in supporting and advising the CFMG for the development of sustainable forest and natural resource management plans for the CFMA; • Coordinate very closely with wildlife and fisheries experts engaged to support the development and integration of wildlife and fisheries management into CFM; • Work closely with the Business Development Specialist on the identification and analysis of for

			<p>est-product based value chains, especially for community sawmilling and for improved charcoal kilns;</p> <ul style="list-style-type: none"> · Develop and implement training modules on forest and NRM; · Participate in the annual adaptive management reviews in the CFMG and in the modifications of work plans and techniques resulting from these reviews; · Participate in, and contribute to KM for CFM; · Draft articles for the Project newsletter; · Participate in the Internet-based CFM discussion group established in collaboration with the FAO Project; · Support Forestry Department, Fisheries Department and Department of National Parks and Wildlife staff in their engagements with and training of CFMGs, communities and small businesses in the NRM sector · Broker mutually beneficial relationships between smallholders, smallholder groups and private market actors in the NRM sector
M&E Specialist (duration of project, full time \$18,000/year)	\$346	260	<ul style="list-style-type: none"> · Design a data collection and management system for quantitative and qualitative data resulting from the activities of the project for annual and quarterly reporting · Train project staff and staff from partner government departments and organizations to use the data collection tools · Maintain a live tracking system for the performance of the project's activities against environmental, socio-economic and gender benchmarks · Manage the monitoring and results measurement system and be responsible for the ultimate collection and quality control of qualitative and quantitative results for input into project reports and other external-facing documents · Prepare accurate, timely and concise project reports for submission to the Project Manager · Place the highest level of priority on the monitoring of the core environmental indicators and the 2nd level priority on the monitoring of the results framework indicators; · Support the design and implementation of internal and external impact evaluation surveys · Work with community-based organisations to develop their own simple reporting systems to improve internal management;
Gender Specialist (duration of project, part time \$4,000/year)	\$400	50	<ul style="list-style-type: none"> · Undertake baseline gender capacity assessment and training needs assessment · Develop training content for project stakeholders (communities, CFMGs farmer groups, government staff and partner staff) · Deliver gender training to project stakeholders · Train gender 'ambassadors' to champion gender mainstreaming · Work with project implementation team and partner staff to ensure all project activities are gender-sensitive and address the needs and aspirations of women and men
Short Term Consultants:			
Legal Specialist (review and drafting of supporting regulation and legislation related to the Forest Act 2015)			(£500/day x 30 days = \$15,000 plus travel and associated cost)

(US\$ 3000/day x 30 days = \$10,000 plus travel and associated costs = \$19,000	
International	
Justification for travel, if any:	Nil Nil No provision