



ADAPTATION FUND

AFB/PPRC.37/41
April 7-8, 2026

Adaptation Fund Board
Project and Programme Review Committee
Thirty-seventh meeting
Bonn, Germany

Agenda Item 8 a)

**LOCALLY-LED ADAPTATION REGIONAL
PROPOSAL FOR ESWATINI, ZAMBIA,
ZIMBABWE**

1. The Board through Decision B.39/61, approved the Fund's new Medium-Term Strategy (MTS-II) for the 2023 – 2027 period. The strategy introduced a special emphasis on promoting locally led adaptation (LLA) in the Fund's work and included a new cross-cutting theme to "Promote locally based and locally led adaptation action including by devolving access and decision-making on adaptation finance to national, subnational, and local levels."

2. The Board also requested the secretariat to "prepare, for each proposed type of new or adjusted grant and funding window, a specific document containing objectives, review criteria, expected grant sizes, implementation modalities, review process and other relevant features, and present them for consideration by the Board, in accordance with the tentative timeline contained in the Annex I to document AFB/B.40/5/Rev.1." (Decision B.40/72, para (b) (iii)).

3. The implementation plan identified the following actions for the implementation of the cross-cutting theme "Promote locally-based or locally-led adaptation actions":

Under the action pillar

- (a) The Fund will continue to support concrete adaptation projects and programmes that meaningfully involve and deliver benefits to local actors and the Board will be invited to consider enhanced project review criteria, proposal templates and guidelines, as well as revised project reporting requirements.
- (b) To expand support to modalities that promote locally led action, and expand the reach of the Fund, it is proposed to enhance measures, including the existing Enhanced Direct Access window, a new Global MIE Aggregator programme for channeling grants for LLA to non-accredited entities, and opening the option for EDA-type national programmes for MIEs and RIEs.
- (c) The proposed new aggregator programme would resemble the model of the AF Climate Innovation Accelerator (AF CIA) but would be focused on LLA. Accredited MIEs could be invited to express interest for administering such a programme, especially those MIEs that are active in LLA relevant themes, sectors and target groups.
- (d) Such a vehicle for LLA grants through global MIE aggregators would also be an opportunity, among others, for the Board to identify, on a pilot basis, sectors, themes or target groups with high impact potential or relevance for adaptation and/or that are currently being underrepresented in adaptation, such as related to health, biodiversity and nature-based solutions, fragile and conflict-affected settings, Indigenous Peoples etc.

4. As mandated by the Board's request in paragraph b (iii) of Decision B.40/72, the document AFB/PPRC.33/39 'Additional delivery modalities for expanding support to locally led adaptation' was developed, leading to Decision B.42/36.

5. Subsequently, as mandated by Decision B.42/36 in paragraph (m), the secretariat presented options for the new window on regional projects for LLA in document [AFB/PPRC.35/9/Rev.1](#) for consideration at the forty-fourth meeting of the Board.

6. Having considered the recommendation of the Project and Programme Review Committee, the Adaptation Fund Board (the Board) decided:

- (a) *The maximum size of regional LLA projects to follow the policy governing the maximum size of regional projects and programmes ;*
- (b) *The maximum size of project formulation grants policy as established under decision B.42/37, paragraphs (c) and (d) (i) and (ii).*

(Decision B.44/40)

7. Having considered the recommendation of the Project and Programme Review Committee, the Board decided to include in its work programme for fiscal year 2026 a provision for an amount of US\$ 30 million for LLA regional proposals (B.44/41).

8. The following fully-developed proposal document titled “*Financing Locally Led Adaptation and Nature-based Solutions for Catchment Resilience in Southern Africa*” was submitted by the UN Development Programme (UNDP), which is a Multilateral Implementing Entity of the Adaptation Fund.

9. This is the third submission of the fully-developed proposal using the one-step process.

10. The current submission was received by the secretariat in time to be considered in the forty-sixth Board meeting. The secretariat carried out three technical reviews of the project proposal, with the Project ID number AF00000493.

11. In accordance with a request to the secretariat made by the Board in its 10th meeting, the secretariat shared this review sheet with UNDP and offered it the opportunity of providing responses before the review sheet was sent to the PPRC.

12. The secretariat is submitting to the PPRC the summary and, pursuant to decision B.17/15, the final technical review of the project, both prepared by the secretariat, along with the final submission of the proposal in the following section. In accordance with decision B.25/15, the proposal is submitted with changes between the initial submission and the revised version highlighted or with track changes.



ADAPTATION FUND

ADAPTATION FUND BOARD SECRETARIAT TECHNICAL REVIEW OF PROJECT/PROGRAMME PROPOSAL

PROJECT/PROGRAMME CATEGORY: LLA Regional Fully-developed proposal

Country/Region: Eswatini, Zambia, Zimbabwe
Project Title: Financing Locally Led Adaptation and Nature-based Solutions for Catchment Resilience in Southern Africa
Thematic Focal Area: Ecosystem Based Adaptation
Implementing Entity: UNDP
Executing Entities: Eswatini Ministry of Tourism and Environmental Affairs, Zambia Ministry of Green Economy and Environment, Zimbabwe Ministry of Environment, Climate and Wildlife
AF Project ID: AF00000493
IE Project ID:
Requested Financing from Adaptation Fund (US Dollars): USD 30,000,000
Reviewer and contact person: Rywon Yang **Co-reviewer(s):** Alyssa Gomes
IE Contact Person:

<p>Technical Summary</p>	<p>The project "Financing Locally Led Adaptation and Nature-based Solutions for Catchment Resilience in Southern Africa" aims to finance the design and implementation of Catchment Investment Programmes(CIPs) comprised of locally led adaptation initiatives, planned, developed, implemented and coordinated by local communities with the support of government and non-governmental organizations. This will be done through the three components below:</p> <p><u>Component 1:</u> Technical assistance to all catchment stakeholders for governance and participatory design of nature-based solutions for watershed management and relevant financial instruments (USD 3,791,100);</p> <p><u>Component 2:</u> Demand-driven financing for LLA grants and establishment of complementary non-grant financing mechanisms to sustain locally led climate adaptation solutions (USD 18,425,866)</p> <p><u>Component 3:</u> Global learning and knowledge management system (USD 2,328,490).</p> <p><u>Requested financing overview:</u> Project/Programme Execution Cost: USD 2,727,272 Total Project/Programme Cost: USD 27,272,728</p>
---------------------------------	---

	<p>Implementing Fee: USD 2,727,272 Financing Requested: USD 30,000,000</p> <p>The first technical review raises several issues, including insufficient clarification on the target areas and beneficiaries, inclusion of vulnerable groups, stakeholder consultation, full cost of adaptation reasoning, clarifications related to the execution arrangements and sustainability, as reflected in the Clarification Requests (CRs) and Corrective Action Requests (CARs) raised in the review.</p> <p>The second technical review finds that while many of the CRs and CARs have been addressed, a few pending issues related to project activity clarification, IE fees, and the supporting stakeholder consultation documentation still require clarification.</p> <p>The third technical review find the pending CRs and CARs to be addressed.</p>
Date:	March 5, 2026

Review Criteria	Questions	Comments 1 st Review [January 26, 2026]	Comments 2 nd Review [March 5, 2026]	Comments 3 rd Review [March 10, 2026]
Country Eligibility	1. Are all of the participating countries parties to the Paris Agreement and/or the Kyoto Protocol?	Yes.	-	-
	2. Are all of the participating countries developing countries particularly vulnerable to the adverse effects of climate change?	Yes. Countries in the Southern African Development Community (SADC) are developing countries particularly vulnerable to the adverse effects of climate change due to their high dependence on climate-sensitive land and water resources, widespread poverty, and limited adaptive capacity. Recurrent droughts, floods, and cyclones combined with rising temperatures,	-	-

		<p>increasing aridity, and rainfall variability, have already resulted in significant food and water insecurity, ecosystem degradation, and livelihood losses across shared river basins in the region.</p> <p>Within this regional context, Zimbabwe, Zambia, and Eswatini are particularly vulnerable, as evidenced by recurrent droughts, including the 2023/2024 drought that triggered national states of emergency in Zimbabwe and Zambia, alongside increasing floods and extreme heat, which directly undermine rain-fed agriculture, water availability, and rural livelihoods. Climate projections indicate continued temperature increases, a rise in the number of days exceeding 35°C, longer and more arid dry seasons, and more intense extreme rainfall events, trends that are expected to further exacerbate existing socio-economic vulnerabilities and place additional strain on already limited institutional and financial</p>		
--	--	---	--	--

		capacities for climate adaptation.		
Programme Eligibility	1. Have the designated government authorities for the Adaptation Fund from each of the participating countries endorsed the project/programme?	<p>Yes.</p> <p>As per the endorsement letter of November 18th, 2025 for Eswatini.</p> <p>As per the endorsement letter of December 5th, 2025 for Zambia.</p> <p>As per the endorsement letter of December 19th, 2025 for Zimbabwe.</p>	<p>Yes. However, please revise the recorded date of government endorsement for Eswatini in Part IV (page 95) of the proposal.</p> <p>As per the updated endorsement letter of February 12th, 2026 for Eswatini.</p> <p>As per the updated endorsement letter of February 6th, 2026 for Zimbabwe.</p>	
	2. Does the length of the proposal amount to no more than one hundred(100) pages for the fully-developed project document, and one hundred(100) pages for its annexes?	<p>Yes.</p> <p>The proposal amounts to 116 including the annex.</p> <p>Please consider consolidating the main proposal document and all annexes into a single, integrated document to facilitate review and ensure clarity and consistency across sections.</p>	-	
	3. Does the proposal describe how the project/programme components will contribute to climate resilience? Does the proposal describe how it will source locally-led small grant proposals,	<p>Needs clarification.</p> <p>The proposal describes how the Programme's components contribute to climate resilience through an integrated, catchment-based approach. Climate resilience is strengthened</p>	<p>CR 1: Not cleared.</p> <p>The response clarifies that catchment-level platforms will be operationalized through at least one participatory workshop per catchment during CIP development, with additional workshops where</p>	<p>CR1: Cleared (Pages 14-15).</p> <p>The revised proposal text clarifies that multi-stakeholder catchment platforms will serve as standing governance and coordination mechanisms</p>

	<p>and screen them for the potential to support concrete adaptation actions to assist the participating countries in addressing the adverse effects of climate change and build in climate resilience?</p>	<p>by linking landscape-scale Nature-based Solutions (e.g. ecosystem restoration, improved water resource management) with farm-level climate-resilient agriculture and livelihood diversification, thereby improving hydrological services, reducing climate risks, and enhancing adaptive capacities of local communities. Locally led adaptation actions are embedded within Catchment Investment Programmes (CIPs), which are designed through participatory processes and aligned with national adaptation priorities.</p> <p>The proposal also outlines how locally led grant initiatives will be sourced and screened. Local communities and organizations identify and co-design adaptation initiatives through catchment workshops and multi-stakeholder platforms under Component 1, supported by technical assistance. These initiatives are then reviewed against agreed eligibility criteria, including concreteness of adaptation actions,</p>	<p>necessary to ensure inclusive engagement. It further explains that diverse stakeholder groups, including smallholder farmers, women, youth and marginalized communities, will be invited through targeted outreach, and that the platform will serve as the primary forum for identifying climate risks, prioritizing adaptation options, and developing CIP proposals before submission to the NCAC.</p> <p>However, although the proposal refers to the formal establishment of multi-stakeholder catchment governance platforms (Activity 1.2.3)—which appear to constitute a key mechanism for operationalizing locally led adaptation principles—it does not clearly explain the operational details described in the response, including the participatory outreach approach and engagement modalities. While contextual flexibility across catchments is understood, the absence of indicative participation parameters and clarification on continuity makes it</p>	<p>established during the Catchment Investment Plan (CIP) development process and continuing throughout implementation. The platforms will support participatory analysis of climate risks, prioritization of adaptation and NbS options, validation of the CIP and grant portfolio, knowledge sharing, and adaptive management. They will typically convene 40–80 representative stakeholders per session, complemented by additional sub-catchment meetings where needed to broaden participation.</p> <p>The revised text also describes a structured stakeholder identification and outreach process to ensure inclusive participation of local government, producer organizations, civil society, women’s and youth groups, and other marginalized communities, including accessibility measures to enable meaningful engagement.</p> <p>At the governance level, the platforms will function as the primary consultative forum, while a National Catchment Adaptation</p>
--	--	--	--	---

		<p>alignment with CIP objectives, and relevance to identified climate risks before final approval by the National Catchment Adaptation Committees (NCACs).</p> <p><u>NCAC and Catchment platform</u></p> <p>The proposal refers to local stakeholders being consulted and participating in catchment workshops/platforms during Component 1.</p> <p>CR 1: Please clarify how these platforms will be constituted and function in practice, including:</p> <ul style="list-style-type: none"> • the intended scale and breadth of participation (e.g. indicative number of participants per catchment/workshop and across the CIP process); • how stakeholders will be identified, invited and selected, including outreach approaches, language and accessibility arrangements, and measures to ensure inclusive participation 	<p>difficult to assess whether the platform can function as a structured and representative governance mechanism rather than a one-off consultation exercise. Please provide a broad indication of the expected scale of participation per catchment, clarify the platform’s anticipated continuity beyond the initial workshop(s), and reflect these elements explicitly in the proposal narrative.</p> <p>CR 2: Not cleared. (pages 14-15)</p> <p>The response clarifies that the NCAC retains final decision-making authority over platform proposals and that NCAC members and their organizations are ineligible for grants, both of which are reflected in the revised proposal. It further explains that the NCAC structure draws on UNDP’s experience with the GEF Small Grants Programme and that decisions will generally be taken by consensus.</p> <p>However, the response does not yet provide the</p>	<p>Committee (NCAC) will provide national oversight and retain final authority over CIP approval and grant decisions. Inputs from the platforms will be documented and transmitted to the NCAC. Measures for conflict-of-interest management, transparency, and gender-responsive safeguards are also described.</p> <p>CR2: Cleared (Page 16). The revised proposal text</p>

		<p>of vulnerable groups, women, youth and marginalized communities;</p> <ul style="list-style-type: none"> the intended role of catchment-level review (e.g. advisory/consultative versus screening), and how inputs from catchment platforms will be synthesized and considered by the NCAC in reaching final decisions on CIP priorities and grant approvals; and how potential conflicts of interest will be identified and managed, particularly where platform participants may also be involved in proposing, implementing or benefiting from grant-supported initiatives. <p>CR 2: Please clarify the expected size and composition parameters for each NCAC (e.g., number of members, representation requirements/quotas, quorum and decision rules), and describe how conflicts of interest will be managed—particularly</p>	<p>expected size or minimum composition parameters of each NCAC, as originally requested. Given that this is the full funding proposal stage and that the NCAC holds final approval authority, an indicative range of members and basic structural parameters (e.g., quorum or minimum representation principles) should be specified. Please provide an indicative range of members and basic representation parameters, including majority structure and quorum principles, to enable assessment of representation and decision-making robustness.</p> <p>CR 3: Cleared (page 19) The response clarifies that the USD 9 million figure was illustrative and that the budget table (USD 8.74 million) provides the accurate allocation. It further explains that the estimated number of grants was calculated using the upper limits of UNDP’s Low Value Grant modality, and that the actual number of grants may exceed 100 depending on the size of</p>	<p>clarifies that each National Catchment Adaptation Committee (NCAC) will comprise 8–12 members, with a majority from non-government stakeholders representing sectors relevant to locally led adaptation and catchment resilience (e.g., ecosystem restoration, rural development, women’s and youth organizations, and producer associations). Members will serve in their personal capacity, and each committee will include a gender expert. UNDP and the National Executing Entity and/or the Adaptation Fund Designated Authority will serve as permanent members, while other government entities may participate without forming a majority. The NCAC will provide national oversight and decision-making, meeting periodically to review the CIP and grant initiatives. Consensus-based decision-making, quorum requirements, conflict-of-interest procedures, and periodic membership review are also outlined.</p>
--	--	--	---	--

		<p>where NCAC members' organizations may submit or benefit from grant-funded initiatives.</p> <p>The proposal indicates an estimated minimum of 108 regular grants and six strategic grants (illustratively totaling USD 9 million), while the budget table reflects a total of USD 8.74 million for grant financing and the results framework refers to "at least 100 initiatives."</p> <p>CR 3: Please clarify how these figures relate to each other (e.g. indicative planning numbers vs. minimum commitments, and any assumptions underlying the budgeted total).</p> <p><u>Target area and beneficiaries</u></p> <p>The proposal identifies the target catchments for the three CIPs (Upper Mkushi in Zambia, Greater Usuthu in Eswatini, and Sanyathi in Zimbabwe) in page 29.</p> <p>CR 4: Please provide a brief, high-level contextual description of each selected</p>	<p>individual awards.</p> <p>CR 4: Cleared (pages 31-32)</p> <p>The revised proposal now includes a clear and sufficiently detailed high-level contextual description of each selected catchment in Zambia, Eswatini, and Zimbabwe, including geographic location, relative scale, key climate risks, livelihood characteristics, and environmental pressures.</p> <p>CR 5: Not cleared.</p> <p>The response provides a clearer explanation of the methodology used to estimate beneficiaries, including the use of catchment size, population density and agricultural dependence, as well as the distinction between direct and indirect beneficiaries. It also notes that grant allocation and support to local organizations will be scaled in proportion to catchment size and beneficiary numbers. However, the response does not yet clearly articulate how the expected numbers of local</p>	
--	--	--	--	--

		<p>catchment in the main proposal text (e.g. geographic location within the country, relative scale, and key climate and livelihood challenges).</p> <p>CR 5: Please clarify how the selected catchments relate to the programme's beneficiary estimates and operational scale, including how the expected numbers of local organizations, grant initiatives and direct/indirect beneficiaries are conceptually distributed across the three CIPs.</p> <p>CR 6: Given the institutional, regulatory and market risks associated with PES and CRA financing, please clarify how the programme will adapt if certain mechanisms prove unviable in specific country contexts (e.g. decision points, alternative pathways, or criteria for scaling back).</p>	<p>organizations, grant initiatives, and beneficiaries are conceptually distributed across the three CIPs. Given the full funding proposal stage, a clearer indication of the anticipated proportional allocation (even at a high level) would strengthen understanding of the programme's operational scale and internal coherence. Please clarify how grant numbers, beneficiary estimates and organizational support are expected to be distributed across the three catchments.</p> <p>CR 6: Cleared. (page 31) The response clarifies that the programme will adopt a phased and adaptive approach to PES and CRA financing, with decision points linked to market demand, institutional and regulatory readiness, stakeholder validation, and early performance. It further outlines alternative pathways, including piloting at smaller scale, delayed rollout, and template development where full deployment proves unviable, and notes that this</p>	<p>CR5: Cleared (Page 22) The revised proposal text clarifies that Local Value Grants (LVGs) will support a mix of climate-resilient agriculture (CRA) adoption and catchment restoration/protection (NbS) actions, with the balance determined through the CIP process in each catchment. It further indicates that the programme anticipates a comparable order of magnitude of initiatives across the three catchments (approximately 28–38 initiatives per CIP), while allowing grant sizes, thematic focus, and organizational support to vary depending on catchment characteristics</p>
--	--	---	--	---

			<p>approach has been reflected in the revised description of Output 2.3.</p>	<p>such as cropland versus rangeland systems, restoration needs, and the structure of local organizations.</p> <p>This provides a high-level explanation of programme design and distribution logic. The more detailed reasoning in the response (farming systems, downstream beneficiaries, rangelands vs cropland, etc.) is included in the response sheet.</p>
--	--	--	--	---

	<p>4. Does the project/programme align with the LLA principles?</p>	<p>Needs clarification.</p> <p>The proposal demonstrates strong conceptual alignment with the eight LLA principles and provides a comprehensive narrative linking these principles to the CIP framework and governance structures.</p>		

		<p>While gender and youth targets are clearly articulated in the Results Framework, the proposal refers to other vulnerable groups under LLA Principle 2 (e.g. Indigenous Peoples, displaced persons, persons with disabilities) largely at a general or principled level, without clearly specifying how their inclusion will be operationalized during implementation.</p> <p>CR 7: Please clarify how vulnerable groups beyond women and youth (e.g. Indigenous Peoples, displaced persons, persons with disabilities) will be systematically identified within the selected catchments and operationally integrated into grant design and implementation, including through concrete mechanisms such as eligibility or prioritization criteria, targeted outreach, tailored participation or accessibility measures, and/or specific forms of support, rather than relying on general principles of inclusion.</p>	<p>CR 7: Cleared. (page 15) The response clarifies that vulnerable groups will be systematically identified during project onset through NCAC review of preparation studies, with NCs providing targeted technical assistance to support grant proposal development, and a dedicated focal point for vulnerable groups seated on the NCAC. These elements are reflected in the revised proposal.</p>	
--	--	---	---	--

	<p>5. Does the proposal describe how the project/programme would build added value through the regional or multi-regional approach, compared to implementing similar activities in each country individually?</p>	<p>Yes. (pages 15, 21)</p> <p>The proposed programme adds value through a regional approach by enabling economies of scale in capacity building, knowledge generation and policy dialogue across countries. Common CIP methodologies and locally led adaptation approaches are shared through peer learning, while engagement with transboundary water governance bodies (including Water Basin Commissions and SADC) reflects the shared nature of major river basins in Southern Africa. Regional design also allows non-grant financing mechanisms, such as PES and climate-resilient agriculture lending, to be piloted in one country and adapted or scaled in others, increasing efficiency and sustainability compared to stand-alone national interventions.</p>	-	
	<p>6. Does the proposal describe how it will screen small grant proposals for their potential to provide economic, social and environmental benefits,</p>	<p>Yes. (pages 32-33, 65-67)</p> <p>While the proposal describes expected economic, social and environmental benefits of CIP-funded initiatives in a</p>	-	

	<p>particularly to vulnerable communities, including gender considerations, while avoiding or mitigating negative impacts, in compliance with the Environmental and Social Policy and Gender Policy of the Fund?</p> <p>Does the project/programme address structural inequalities faced by women, youth, children, people with disabilities, people who are displaced, Indigenous Peoples and marginalized ethnic groups?</p>	<p>descriptive manner in page 32, the proposal elsewhere explains that small grant proposals will be subject to environmental and social screening, risk categorization and ESMPs, and that equity and gender considerations are integrated through the CIP and NCAC review processes.</p> <p>A Gender Assessment and a corresponding Gender Action Plan have also been submitted as Annex 4 in compliance with the Fund's Gender Policy.</p>		
	<p>7. Does the programme describe or provide an analysis of the cost-effectiveness of the proposed programme and explain how the regional or multi-regional approach would support cost-effectiveness</p>	<p>Yes. (pages 33-36)</p> <p>Section E provides a qualitative justification of the programme's cost-effectiveness, emphasizing the lower costs of nature-based solutions compared to grey infrastructure, reduced administrative layers through direct community financing, and increased ownership and sustainability of locally led initiatives. It also explains how the regional approach enhances cost-</p>	-	

		effectiveness by providing shared technical guidance, standardized methodologies, cost benchmarks, and centralized knowledge management across countries.		
	8. Is the programme consistent with national, sub-national or local sustainable development strategies, national, sub-national or local development plans, poverty reduction strategies, national communications and adaptation programs of action and other relevant instruments. If applicable, it is also possible to refer to regional plans and strategies where they exist.	<p>Yes. (pages 36-44)</p> <p>The proposal demonstrates alignment with relevant regional and national development and climate strategies. At the regional level, it is consistent with the SADC Climate Change Adaptation Strategy for the Water Sector.</p> <p>At the national level, the programme aligns with key policy and planning frameworks in Eswatini, including the National Climate Change Policy (2016), National Adaptation Plan (under development), National Drought Plan (2020), Disaster Resilience Strategy and Action Plan (2017), and the National Emergency Response, Mitigation and Adaptation Plan (NERMAP) 2016–2022.</p> <p>In Zambia, the programme is consistent with the</p>	-	

		<p>Zambia Water Investment Programme (ZIP) 2022–2030, the National Water Policy (revised 2010) and Water Resources Management Act No. 21 of 2011 (including Statutory Instruments 18/19/20 of 2018), the 8th National Development Plan (8NDP), and the Water and Sanitation Strategic Plan 2022–2026, as well as related national urban and rural WSS programmes.</p> <p>In Zimbabwe, the programme aligns with the national water governance framework, including the Zimbabwe National Water Act (1998), ZINWA and Catchment/Sub-Catchment Councils, and the National Water Plan, as well as the Zimbabwe Climate Change Policy (2017), Nationally Determined Contributions (Revised 2021 and NDC 3.0), the National Adaptation Plan (2024–2030), and the Climate Change Learning Strategy (2021).</p>		
	9. Does the proposal describe how it will screen small grant proposals for meeting	<p>Needs clarification.</p> <p>The proposal describes a clear procedural approach</p>	<p>CR 8: Not cleared.</p> <p>While the response clarifies that no dedicated technical standards manuals exist in</p>	<p>CR8: Cleared (Pages 48-50).</p> <p>The revised proposal text now provides illustrative</p>

	<p>the relevant national technical standards, where applicable, in compliance with the Environmental and Social Policy of the Fund?</p> <p>Does the project provide support to local actors and build their capacities to comply with the standards?</p>	<p>for screening small grant proposals against national technical standards and the Fund’s Environmental and Social Policy, including the roles of UNDP Country Offices and the NCAC, as well as mechanisms for proposal revision where needed. It also notes that local communities will receive coaching and technical assistance during proposal development. However, the proposal does not identify specific national technical standards applicable to the proposed activities, nor does it clearly explain how capacity building for local actors will specifically support compliance with such standards.</p> <p>CR 8: Please provide illustrative examples, by country, of the types of national technical standards expected to apply to small grant-funded initiatives (e.g. water management, construction, ecosystem restoration).</p> <p>CR 9: Please clarify how local actors will be specifically supported and trained to understand and</p>	<p>the three countries and that relevant policies and sector strategies will guide implementation, it does not provide sufficiently concrete country-specific examples of the applicable regulatory or technical frameworks. Even where key water legislation is referenced (e.g. Zambia’s Water Resources Management Act or Zimbabwe’s Water Act), the anticipated range of activities — including ecosystem restoration, land management, climate-resilient agriculture and potentially small-scale infrastructure — suggests that additional environmental and sectoral regulatory frameworks are likely to apply. These may include, for example, Environmental Management Acts and related EIA regulations in Zambia and Zimbabwe, forestry or land-use legislation, and environmental and planning regulations in Eswatini.</p> <p>Please provide a few illustrative examples, by country, of the principal legal or sectoral frameworks expected to govern grant-funded</p>	<p>country-specific examples of the principal legal and sectoral frameworks expected to govern grant-funded activities in Eswatini, Zambia, and Zimbabwe. These include relevant environmental management legislation and EIA requirements, water resource management frameworks, forestry and land-use regulations, and sectoral agriculture and land management policies. The text also clarifies that each initiative will be screened for applicable legal requirements during design and that any required permits, environmental assessments, or regulatory approvals will be obtained prior to implementation.</p>
--	--	--	---	---

		comply with these standards during proposal design and implementation.	activities and reflect these explicitly in the proposal text. CR 9: Cleared The response clarifies that local actors will be supported through technical expert presentations at CIP development workshops, with follow-on training provided depending on technical complexity, and milestones and indicators for standards compliance embedded in initiative designs.	
	10. Is there duplication of project/programme with other funding sources? Does the programme enhance collaboration across sectors and enhance efficiencies	Cleared. (pages 45-48) The proposal demonstrates that the programme does not duplicate existing initiatives and instead complements them	-	-

	<p>and good practice?</p>	<p>strategically at regional and country levels. The proposal shows strong collaboration across sectors by aligning Catchment Investment Programmes with ongoing government-, IFI-, and donor-supported projects, while focusing on underserved and highly vulnerable catchments. The regional learning and knowledge management platform further enhances efficiency and good practice by facilitating cross-country learning, coordination, and avoidance of duplication.</p>		
	<p>11. Does the project/programme have a learning and knowledge management component to capture and feedback lessons, in particular managing traditional and/or indigenous knowledge, where relevant? Does it contribute to building and institutionalizing local capacities?</p>	<p>Yes. (pages 48-50)</p> <p>The proposal includes a comprehensive learning and knowledge management component that captures, codifies and feeds back lessons from locally led adaptation initiatives at catchment, national and regional levels. It places strong emphasis on participatory learning, learning-by-doing, and the management and transmission of local, traditional and Indigenous knowledge through structured mechanisms such as Learning Leaders, NCACs and a regional</p>	<p>-</p>	<p>-</p>

		knowledge management system.		
	<p>12. Has the proposal described what consultative process has taken or will take place, and describing the involvement of all key stakeholders, and vulnerable groups, and including gender considerations? Does the consultative process consider and address gender-based, economic and other inequalities in compliance with the Environmental and Social Policy and Gender Policy of the Fund?</p>	<p>Needs clarification.</p> <p>The proposal describes a consultative process at national, catchment and regional levels, including plans for inclusive participation of vulnerable and marginalized groups during CIP development and implementation. However, the stakeholder consultation report presented in Annex 5 provides limited detail on the timing of consultations, the number and profile of participants, and the gender balance among participants.</p> <p>CAR 1: Please provide additional details on the stakeholder consultation report presented in Annex 5, including the dates and locations of meetings; the number of participants; gender balance; and any evidence of participant (lists, pictures, any other evidence etc.) noting that Annex 5 currently identifies participating institutions but does not provide participant-level</p>	<p>CAR 1: Partially cleared. Annex 5 has been revised to include participant-level consultation details (e.g., meeting dates and locations, number of participants, and gender information), attendance lists. However, the supplementary annex mentioned with details of participant list and photographs could not be located in the revised submission. Please confirm the information in presented in full in Annex 5.</p> <p>CR 10: Cleared (page 14 of Annex 5)</p> <p>The response explains how gender balance and the meaningful participation of vulnerable groups were considered during the consultation process, including the use of participatory methods, sex- and age-disaggregated sessions, and the involvement of female facilitators. The undertaking of a dedicated Gender Analysis further strengthens the approach.</p>	<p>CAR1: Cleared, revised Annex 5.</p>

		<p>information.</p> <p>CR 10: Please explain how gender balance and the meaningful participation of vulnerable groups were considered and ensured in the consultation process.</p> <p>While Annex 5 describes how the outcomes of stakeholder consultations informed elements of the programme design, this linkage is not clearly reflected in the main proposal text.</p> <p>CR 11: Please incorporate a concise summary in the proposal text explaining how consultation findings influenced key design choices.</p>	<p>CR 11: Cleared (pages 53-54)</p> <p>The revised proposal now includes a clear summary explaining how stakeholder consultations across the three countries directly informed key programme design choices, including the integrated catchment restoration approach, CRA finance design, PES mechanisms, and gender and inclusion standards.</p>	
	<p>13. Is the requested financing justified on the basis of full cost of adaptation reasoning?</p>	<p>Needs clarification.</p> <p>The proposal provides a general rationale for the Programme in Section K, however it does not clearly present a baseline (without-Programme/without-AF) scenario and the project scenario (with AF support) in a way that demonstrates the full cost of adaptation / incremental reasoning.</p> <p>CR 12: Please explain,</p>	<p>CR 12: Cleared (pages 56-57)</p> <p>The revised proposal distinguishes between the baseline and project scenarios and articulates the incremental cost rationale, including clarification that AF resources are sufficient to deliver the Programme's core adaptation outcomes independently of complementary finance. The additional explanation</p>	

		<p>through a comparison with the baseline scenario, how Adaptation Fund financing covers the additional costs required to achieve the proposed adaptation outcomes.</p> <p>The proposal presents the Adaptation Fund as anchor financing and indicates that additional public and private finance (e.g. PES mechanisms, trust funds and CRA loan facilities) will contribute to sustaining and scaling Catchment Investment Programmes (Figure 1, p.21). However, AF projects should be able to deliver their outcomes and outputs regardless of the success of the other project(s).</p> <p>CR 13: Please clarify which outcomes and outputs will be fully achieved with Adaptation Fund financing alone, and which elements of the programme depend on the mobilization of additional public or private finance.</p>	<p>of how AF financing covers incremental adaptation costs beyond standard development practice is noted.</p> <p>CR 13: Cleared. (pages 56-57)</p> <p>The revised proposal clarifies which components are fully financed and delivered through Adaptation Fund resources and which are designed as complementary or scaling mechanisms supported by additional finance. It confirms that AF resources fully finance the Programme's core adaptation outcomes and outputs, including CIPs, LLA and NbS grants, governance platforms, diagnostics, monitoring systems, and capacity strengthening, and that these do not depend on the mobilization of additional finance. Complementary mechanisms such as CRA and PES are appropriately positioned as catalytic and not required for delivery of AF-funded results.</p>	

	14. Is the programme aligned with AF's results framework?	<p>Yes.</p> <p>The proposed programme aligns with Outcome 3, 5, 6 of AF's Results Framework.</p>	-	-
	15. Has the sustainability of the programme outcomes been considered when designing the programme, including in the screening of the locally-led small grants projects? Does the project/programme support long-term development of local governance processes, and improve the capacity of local institutions to ensure that communities can effectively implement adaptation actions over the long term?	<p>Needs clarification.</p> <p>The proposal presents a strong conceptual approach to sustainability through locally led catchment governance, capacity building and pathways to long-term finance; however, further clarification is needed on how sustainability considerations are applied in the screening and selection of locally led small grant projects.</p> <p>CR 14: Please clarify how all key dimensions of sustainability (economic, social, environmental, institutional and financial) are systematically assessed and addressed in the programme design.</p> <p>CR 15: Please clarify how sustainability considerations are operationalized in the screening and selection of locally led small grant projects, including the criteria used to assess institutional, financial and</p>	<p>CR 14: Cleared. (pages 58-59)</p> <p>The response clarifies that all five sustainability dimensions — economic, social, ecological, institutional, and financial — will be systematically assessed during CIP development workshops, facilitated by the NC in dialogue with technical experts, and that sustainability is a key NCAC review criterion.</p> <p>CR 15: Cleared. (pages 58-59)</p> <p>The revised text in Section L now provides clearer criteria for assessing</p>	-

		<p>governance sustainability at sub-project level.</p> <p>CR 16: Please also clarify the minimum level of sustainability that will be achieved with Adaptation Fund resources alone, and how longer-term sustainability mechanisms (e.g. CRA loans, PES funds) complement rather than condition the programme's outcomes.</p>	<p>institutional, financial and governance sustainability at sub-project level, including review of organizational capacity, partnership strength, long-term financing strategies and governance characteristics.</p> <p>CR 16: Cleared. (pages 56-57) The response clarifies that AF resources alone are sufficient to achieve a minimum level of sustainability given the low-capital nature of CRA and ecosystem restoration activities, and that longer-term mechanisms such as CRA loans and PES funds complement rather than condition the achievement of AF-funded outputs and outcomes.</p>	
	<p>16. Does the project/programme provide an overview of environmental and social impacts / risks identified, in compliance with the Environmental and Social Policy and Gender Policy of the Fund?</p>	<p>Yes.</p> <p>The proposal provides an overview of environmental and social risks through UNDP's SESP screening and appropriately classifies the Programme as Category B, with an ESMP and grievance mechanism in place, including provisions for unidentified sub-projects.</p>	<p>-</p>	

Resource Availability	1. Is the requested project/programme funding within the parameters for regional LLA funding window set by the Board?	Yes.	-	-
	2. Is the Implementing Entity Management Fee at or below 10 per cent of the project/programme for implementing entity (IE) fees and at or below 10 per cent of the project/programme cost for the execution costs?	<p>Needs clarification.</p> <p>While the Implementing Entity (IE) fee remains within the 10% cap, Project Execution Costs exceed the Adaptation Fund's maximum allowable ceiling. The proposal indicates total execution costs of 11.5%, justified by the application of a 3% UNDP "operational support services" charge to DIM-executed budget lines. Annex 6 indicates that UNDP operational support services are charged at 3%, while the detailed budget shows that a substantial share of execution-related costs under the DIM modality is managed and implemented directly by UNDP.</p> <p>Under the Adaptation Fund's cost and fee policies, any execution services provided by an Implementing Entity on behalf of Executing Entities constitute, which are only permitted on an exceptional</p>		

		<p>basis, are subject to specific procedural requirements, and capped at 1.5% of the relevant project costs (AFB decisions B.17/17 and B.18/30). The use of UNDP's DIM modality does not in itself constitute an exception to these requirements.</p> <p>While the Adaptation Fund Board has recognized some flexibility for Locally Led Adaptation and innovation projects (decisions B.38/42 and B.41/11), these provisions apply under specific circumstances. In particular, decision B.41/11 applies where Executing Entities are not yet identified, which is not the case for this programme, as designated national Executing Entities are identified for Eswatini, Zambia, and Zimbabwe.</p> <p>CAR2: Please revise the Project Execution Costs to bring them fully into compliance with the Adaptation Fund's cost and fee policies. In particular, please:</p> <ol style="list-style-type: none"> 1. Revise the Project Execution Costs to 	<p>CAR 2: Cleared.</p> <ol style="list-style-type: none"> 1. The EE costs remain within 10% cap, and UNDP's EE costs are also under 1.5%. 2. The proposal distinguishes between functions executed by national entities and those supported directly by UNDP, with justification of UNDP's role and corresponding budget allocation. (pages 62-63, Annex 7) 3. The breakdown of EE costs is provided. (pages 91-92) 4. Standalone component for project execution is removed. 5. The revised proposal includes a service-by-service justification table, and some elements — particularly LVG grant administration and regional component 	
--	--	---	---	--

		<p>remain within the 10% overall cap and ensure that any execution services undertaken by UNDP on behalf of the Executing Entities comply with the applicable 1.5% ceiling.</p> <p>2. Clearly delineate, in the proposal main text and relevant annexes, which execution functions are:</p> <ul style="list-style-type: none"> ○ executed by the designated national Executing Entities; and ○ executed directly by UNDP, including a transparent justification for why UNDP is best positioned to perform those functions instead of national or subnational entities, in 	<p>execution — reflect a plausible basis for UNDP's involvement.</p> <p>CAR 3: Cleared. (pages 72, 73, 93 and the annex 7 IE fee sheet) Audit cost is now included under the IE fee.</p>	
--	--	--	---	--

		<p>line with decision B.38/42.</p> <ol style="list-style-type: none">3. Provide a complete and disaggregated breakdown of Project Execution Costs, clearly linking each cost line to the responsible executing party.4. Remove the standalone project component for project execution.5. If UNDP proposes to provide Direct Project Services (e.g. procurement, payment management, or grant administration) on behalf of the Executing Entities, submit the required supporting documentation, including written requests from the Executing Entities and endorsement from the designated authorities, in accordance with Adaptation Fund policy. <p>The detailed budget appears to include audit-</p>		
--	--	--	--	--

		<p>related costs under Project Execution Costs(budget note 50), whereas audit cost should be covered under the Implementing Entity (IE) fee in accordance with Adaptation Fund cost and fee policies.</p> <p>CAR 3: Please clarify this allocation and revise the budget to ensure that audit costs are appropriately reflected under the IE fee.</p>		
Eligibility of IE	1. Is the programme submitted through an eligible Multilateral or Regional Implementing Entity that has been accredited by the Board? Is the programme submitted by an entity that has been invited by the Board to do so?	Yes. The accreditation is to be expired by the 11 October 2029.	-	-
Implementation Arrangements	1. Does the proposal include adequate arrangement for programme management at the multi-regional/regional level, including coordination arrangements within countries and among them? Has the potential to partner with national	Yes. (pages 57-61) The proposal presents a detailed and multi-layered programme management and coordination structure at regional, national and local levels, including clear roles for UNDP, National Executing Entities and national coordination bodies.	-	-

	institutions, and when possible, national implementing entities (NIEs), been considered, and included in the management arrangements?			
	2. Are there measures for financial and project/programme risk management?	<p>Yes. (pages 61-63)</p> <p>The proposal identifies key financial, institutional, implementation and environmental risks and proposes mitigation measures, particularly at the level of locally led grants.</p>	-	-
	3. Are there measures in place for the management of environmental and social risks, in line with the Environmental and Social Policy of the Fund? Are there measures in place to enhance the capacity of local actors contribute to developing and managing these measures?	<p>Needs clarification.</p> <p>While the proposal clearly describes environmental and social risk management measures at programme level through the ESMF and subsequent ESMPs, it does not sufficiently explain how local actors will be supported and capacitated to actively contribute to the identification, implementation and monitoring of these measures, in line with the Environmental and Social Policy of the Fund.</p>	<p>CR 17: Cleared. (pages 76-78 of Annex 2)</p> <p>The ESMF (Annex 2) now includes a section</p>	-

		CR 17: Please clarify how local actors will be supported and capacitated to contribute to the development, implementation and monitoring of environmental and social risk management measures, including the types of capacity-building activities, timing, and roles envisaged under the ESMF and ESMP processes.	explaining capacity building and training framework for all project stakeholders including communities including training areas, timing and R&Rs.	
	4. Is a budget on the Implementing Entity Management Fee use included?	Yes. Annex 7 but needs to be included in the proposal main text.	This is included in the proposal text. (pages 93-94)	-
	5. Is an explanation and a breakdown of the execution costs included?	Needs clarification. While execution costs are reflected in the budget breakdown, additional clarification is required regarding their amount and allocation, as outlined in CAR 2.	Cleared. See CAR 2	-
	6. Is a detailed budget including budget notes included?	Yes. (Annex 7). Please include it in the Main Text and include the IE and EE fee breakdowns in the main text.	This is included in the proposal text. (pages 84-94)	-
	7. Are arrangements for monitoring and evaluation clearly defined, including budgeted M&E plans and sex-disaggregated data, targets, and indicators, in	Needs clarification. While the proposal refers to participatory assessments related to grant initiatives, MRV systems at CIP level, and learning and knowledge feedback		

	<p>compliance with the Gender Policy of the Fund? Do monitoring and evaluation arrangements enable monitoring by the community and local actors (including by deploying innovative tools)?</p>	<p>mechanisms under Component 3, the roles of communities and local actors in monitoring and evaluation are not clearly defined.</p> <p>CR 18: Please clarify how community- and initiative-level monitoring is carried out in practice, what specific roles communities and local actors play in monitoring and evaluation, how this monitoring feeds into CIP-level MRV and the programme's M&E system.</p> <p>CAR4: The M&E budget does not include a line for undertaking baseline data collection, please add it as necessary. Also be advised that the total evaluation budget, which includes baseline collection, MTR and TE needs to be 1-5% of the total project cost.</p>	<p>CR 18: Not cleared. The response and revised M&E section clearly describe the multi-tiered community monitoring system, including community focal points, NC field verification, platform-level review, and aggregation into CIP-level MRV. (pages 70). Please reflect the relevant monitoring roles and arrangements also in the description of project activities of Part II. A.</p> <p>CAR 4: Not cleared. While the M&E activity table on page 71 refers to baseline data collection (USD 45,000, indicated under the IE fee), this cost does not appear in the IE fee breakdown on page 73, 93 or in Annex 7. Please clarify this discrepancy and ensure that baseline data collection costs are included under the IE fee, in line with Decision B.41/20, rather than under project component costs.</p>	<p>CR18: Cleared (Page 23). The proposal text reflects the monitoring roles and arrangements described in the M&E section within Part II.A. Specifically, the proposal clarifies under Activity 2.2 that monitoring of grant initiatives will be carried out through a participatory multi-tiered system, including community/initiative focal points tracking progress and submitting updates, field verification by the National Coordinator (with NCAC participation where relevant), catchment-level reflection through platform monitoring focal points, and aggregation of verified data through the CIP-level MRV system for adaptive management and reporting.</p> <p>CAR4: Cleared (Pages 73-74).</p>
	<p>8. Does the M&E Framework include a break-down of how implementing entity IE fees will be utilized in</p>	<p>Needs clarification.</p> <p>CAR5: Please include a submission schedule and budget allocation for the</p>	<p>CAR 5: Not cleared. The proposal appears to include the required reporting schedule and associated costs under the IE fee implementation</p>	<p>CAR5: Cleared (Page 73-74).</p>

	<p>the supervision of the M&E function?</p>	<p>project performance and reporting documents, including Financial Statements and the Project Completion Report.</p>	<p>category (pages 71–72). However, the specific provision for the Project Completion Report is not explicitly identified and may be assumed to be covered under the reporting activities mentioned in the response. Please clarify and explicitly indicate the submission schedule for the Project Completion Report and where the associated costs are reflected within the IE fee budget allocation.</p>	
	<p>9. Does the project/programme’s results framework align with the AF’s results framework? Does it include at least one core outcome indicator from the Fund’s results framework?</p>	<p>Needs clarification. (Page 74)</p> <p>CAR6: The alignment table provided needs to ensure consistency of alignment between AF outcomes and AF outputs. In this case the project indicates to be aligned with outcomes 3, 5 and 6 and we would expect the project to include alignment with outputs related only to those outcomes, instead we see alignment with AF output 7 as well. In addition, please note that the grant amount needs to be disaggregated per each outcome and</p>	<p>CAR 6: Cleared. (pages 82-83) The alignment table has been revised to ensure consistency between the selected AF outcomes and outputs, and the grant amount is now disaggregated by outcome and output.</p> <p>CAR 7: Cleared. (page 74) The results framework now includes the core indicator on natural assets protected or rehabilitated, ensuring consistency with the AF core indicators referenced on page 81.</p>	

		<p>output.</p> <p>While the proposal includes two core impact indicator “Number of Beneficiaries” and “Natural Assets protected or rehabilitated” in page 74, the project results framework includes different core impact indicators at the project objective level.</p> <p>CAR 7: Please clarify the alignment between the core impact indicators referenced in page 74 and those reflected in the results framework and revise as necessary to ensure consistency.</p>		
	10. Is the timeframe for the proposed activities adequate?	Yes. Page 11.	-	-
	11. Is a disbursement schedule with time-bound milestones included?	Yes. Page 76.	-	-



ADAPTATION FUND

FULLY DEVELOPED PROPOSAL FOR REGIONAL LLA PROGRAMME

PART I: PROGRAMME INFORMATION

Title of Programme: Financing Locally Led Adaptation and Nature-based Solutions for Catchment Resilience in Southern Africa

Countries: Eswatini, Zambia, Zimbabwe

Thematic Focal Area: Ecosystem based Adaptation

Type of Implementing Entity: Multilateral Implementing Entity

Implementing Entity: UNDP

Executing Entities: Eswatini Ministry of Tourism and Environmental Affairs
Zambia Ministry of Green Economy and Environment
Zimbabwe Ministry of Environment, Climate and Wildlife

Amount of Financing Requested: USD 30 million

Letters of Endorsement (LOE) signed for all countries: Yes No

Stage of Submission:

This proposal has been submitted before including at a different stage (pre-concept, concept, fully developed proposal)

This is the first submission ever of the proposal at any stage

TABLE OF CONTENTS

PART I: PROGRAMME INFORMATION.....	1
PROGRAMME BACKGROUND AND CONTEXT.....	3
PROGRAMME OBJECTIVES	9
PROGRAMME COMPONENTS AND FINANCING.....	10
Projected Calendar	11
PART II: PROGRAMME JUSTIFICATION	12
A. Programme Components	12
B. Comprehensive application of the eight Principles of LLA.....	28
C. Sourcing and screening locally-led small grant proposals for the potential to support concrete adaptation actions	31
D. Economic, social and environmental benefits	35
E. Cost-effectiveness of the proposed Programme	36
F. Consistency with national, sub-national and local sustainable development strategies	39
G. Meeting relevant national technical standards	48
H. Potential duplication of Programme with other funding sources	50
I. Learning and knowledge management components.....	54
J. Consultative processes.....	56
K. Justification for funding requested, focusing on the full cost of adaptation reasoning.	58
L. Sustainability	60
M. Overview of the environmental and social impacts and risks identified as relevant to the Programme.....	61
PART III: IMPLEMENTATION ARRANGEMENTS	64
A. Arrangements for Programme management at the regional and national levels, including coordination arrangements within countries and among them.....	64
B. Measures for financial and project/Programme risk management.....	69
C. Measures for environmental and social risk management, in line with the Environmental and Social Policy of the Adaptation Fund	71
D. Monitoring and evaluation arrangements and a budgeted M&E plan.....	72
E. Results framework for the project/Programme proposal, including milestones, targets and indicators.....	75
F. Programme alignment with the Results Framework of the Adaptation Fund.....	83
G. Disbursement schedule with time-bound milestones	94
PART IV: ENDORSEMENT BY GOVERNMENTS AND CERTIFICATION BY THE IMPLEMENTING ENTITY.....	95
A. Record of endorsement on behalf of the government.....	95
B. Implementing Entity certification	95
PART V: ANNEXES.....	97

PROGRAMME BACKGROUND AND CONTEXT

The 16 countriesⁱ of the Southern Africa Development Community (SADC) experience climate change through complex interactions between drivers of climate and dynamic socio-economic-ecological systems. In particular, the impact of climate on hydrological processes, and the corresponding effects on ecological functions and agricultural and grazing systems, is a primary pathway through which climate change affects economies and societies that are dependent on land and water resources. More specifically, climate change will affect hydrological dynamics in the region's 13 major shared watercourses or river basins with potential consequences for runoff, erosion and sedimentation and downstream flooding, and the corresponding effects on streamflow and groundwater availability for irrigation and consumption, power generation, industry and other resilience-enhancing uses. Many changes affecting water flows upstream in one basin or country will influence water volumes and availability for those living in downstream areas or countries. As a result, water resources must be carefully managed to avoid increasing the vulnerability of smallholders and herders or generating conflicts.

In these basins the people, their livelihoods and the environmental services upon which they rely are particularly vulnerable to the impacts of climate change due to poverty, high pre-existing disease burden, fragmented health services, high levels of land degradation, and water and food insecurity. Widespread water scarcity and land degradation, exacerbated by climate change, have profound implications for food security, poverty alleviation, and sustainable economic development in these countries and river basins, particularly as the majority of the rural population depends on rain-fed agriculture and local sources of water. Vulnerability to climate change-related hazards is therefore multi-faceted. The individual factors affecting this vulnerability vary between and within countries and are not homogeneous across the region. These complex relationships between direct and indirect causes of vulnerability and the spatial and contextual variation across the region require a systems-based approach which, while focusing on the main climate change impacts, is sufficiently flexible to adapt to the differences in hazards and socio-economic circumstances found in catchments across the region.

Historical climate and observed impacts: Countries in SADC often experience climate- and weather-related hazards. Severe droughts are frequent in the western and central parts of the region, with heavy rains and cyclones in the east leading to widespread crop failures in Zimbabwe and southern Zambiaⁱⁱ. Widespread droughts occurred throughout the region during 1982-1984, 1991-1992, 2015-2016, 2018-2021 and recently in 2023/2024. These droughts are often associated with El Niño events with the 2015-2016 and 2023/2024 events being the worst in the last 4 decades and affecting over 40/60 million people respectively, with evidence that the 2015 and 2018 droughts were at least partly attributable to climate change¹. During 2020, severe drought exposed millions of Zimbabweans to food and water insecurity, with the subsequentⁱⁱⁱ 2023/2024 drought leading to a state of emergency being declared in both Zimbabwe and Zambia with reduced food production, livestock losses, reduced access to clean water and the activation of anticipatory actions by World Food Programme (WFP), Food and Agricultural Organisation (FAO) and NGOs, including the International Federation of the Red Cross (IFRC).

In recent decades Southern African countries have experienced a warming trend, with temperatures increasing at 0.4°C per decade since 1961², further exacerbating the impacts of drought noted above. These warming trends have been positive and statistically significant (at the 95% confidence interval or higher) across all countries in south-eastern Southern Africa^{iv} during all seasons. Though trends are more heterogeneous for precipitation, Southern Africa has furthermore experienced increases in extreme precipitation (IPCC WGI Interactive Atlas: regional synthesis), which often leads to flooding in areas of all three programme countries (Zambia, Zimbabwe and Eswatini). ^vWidespread flooding is often associated with tropical cyclones from the South Indian Ocean, which affect the eastern parts of southern Africa, including Zimbabwe and Eswatini. Most notable of these have

¹ Seneviratne, S.I., X. Zhang, M. Adnan, W. Badi, C. Dereczynski, A. Di Luca, S. Ghosh, I. Iskandar, J. Kossin, S. Lewis, F. Otto, I. Pinto, M. Satoh, S.M. Vicente-Serrano, M. Wehner, and B. Zhou, 2021: Weather and Climate Extreme Events in a Changing Climate. In *Climate Change 2021: The Physical Science Basis. Contribution of Working Group I to the Sixth Assessment Report of the Intergovernmental Panel on Climate Change* [Masson-Delmotte, V., P. Zhai, A. Pirani, S.L. Connors, C. Péan, S. Berger, N. Caud, Y. Chen, L. Goldfarb, M.I. Gomis, M. Huang, K. Leitzell, E. Lonnoy, J.B.R. Matthews, T.K. Maycock, T. Waterfield, O. Yelekçi, R. Yu, and B. Zhou (eds.)]. Cambridge University Press, Cambridge, United Kingdom and New York, NY, USA, pp. 1513–1766, doi:[10.1017/9781009157896.013](https://doi.org/10.1017/9781009157896.013).

² Davis-Reddy, C.L. and Vincent, K. 2017: *Climate Risk and Vulnerability: A Handbook for Southern Africa* (2nd Edition), Council for Scientific and Industrial Research, Pretoria, South Africa

occurred in recent years; both long-lived cyclones Idai in March 2019 (the deadliest in the region with more than 1500 deaths in Zimbabwe, Mozambique and Malawi) and Freddy in February-March 2023 (the longest lived and most energetic ever recorded globally). The impacts of these cyclones, including flash floods, landslides and mudflows have been exacerbated by unsustainable land clearing and deforestation for agriculture and domestic fuel use. Specific historical climate observations for the three programme countries are presented in Annex 3. [22]

Climate change projections:

While the recent IPCC 6th Assessment report (AR6) notes that there is still uncertainty in modelled estimates of precipitation changes in the near term under all scenarios (medium confidence with low model agreement), increases in temperature (and associated evapotranspiration) are projected with high confidence (model agreement) and precipitation decreases are more confidently projected during winter and spring. Specifically, amongst other changes the AR6 lists the following for West Southern Africa (WSA), East Southern Africa (ESA) and Madagascar³:

- Observed decreases in precipitation (WSA & ESA);
- Observed and projected increases in aridity, agricultural and ecological drought (WSA & ESA);
- Projected increases in heavy precipitation and pluvial flooding (WSA, ESA & Madagascar);
- Projected increases in dryness (WSA) and meteorological drought (ESA & Madagascar) from 1.5°C global warming levels;
- Projected increases in fire weather and mean wind speed (WSA & ESA), tropical cyclone winds, rainfall and proportion of highest intensity category 4 & 5 (ESA & Madagascar).

It is evident from the AR6 report that many countries in the SA region are projected to experience similar changes in climate in the future and that changes in these climate variables will have widespread impacts on both water resources and agricultural productivity in the region. Mean surface temperatures are likely to increase (high confidence) across the region leading to increases in evapotranspiration and reduced soil water (assuming rainfall remains constant). Although projections of future annual rainfall are subject to considerable uncertainty, most projections based on General Circulation Models (GCMs) indicate reduced annual rainfall for the region (medium confidence)⁴, with reductions consistently predicted for winter June-August (JJA) and early summer September-November (SON)⁵. An increase in heavy precipitation that can lead to pluvial floods is also likely (high confidence), even as increasing dry climatic impact-drivers (aridity, hydrological, agricultural and ecological droughts and fire weather) are generally projected over southern African (high confidence)⁶. Evidence for increases in rainfall amounts during single events are shown in section 6.3 of the Pre-Feasibility Study (PFS). Given increases in evapotranspiration (high confidence) and reductions in winter and spring rainfall (medium confidence), the length and aridity of the dry season will likely increase (medium confidence).^{iv}

Further details on simulated changes in climate across the three initial countries of the Programme proposed here – Eswatini, Zambia, Zimbabwe - and their associated impacts are provided in Annex 3 and are summarised below in Table 1. Note: where the term ‘likely’ is used it refers to the median response of the model ensemble. Zambia in particular displays strong latitudinal gradients in the simulated climate changes, with northern wetting regions offsetting southern drying regions in the country averages noted in the table below:

³ IPCC 6th assessment report WGI. Regional fact sheet – Africa.

https://www.ipcc.ch/report/ar6/wg1/downloads/factsheets/IPCC_AR6_WGI_Regional_Fact_Sheet_Africa.pdf

⁴ Trisos, C.H., I.O. Adelekan, E. Totin, A. Ayanlade, J. Efitre, A. Gameda, K. Kalaba, C. Lennard, C. Masao, Y. Mgaya, G. Ngaruiya, D. Olago, N.P. Simpson, and S. Zakieldeen, 2022: Africa. In: Climate Change 2022: Impacts, Adaptation and Vulnerability. Contribution of Working Group II to the Sixth Assessment Report of the Intergovernmental Panel on Climate Change [H.-O. Pörtner, D.C. Roberts, M. Tignor, E.S. Poloczanska, K. Mintenbeck, A. Alegría, M. Craig, S. Langsdorf, S. Lösche, V. Möller, A. Okem, B. Rama (eds.)]. Cambridge University Press, Cambridge, UK and New York, NY, USA, pp. 1285–1455, doi:10.1017/9781009325844.011

⁵ Shongwe, Mxolisi & Van Oldenborgh, Geert Jan & Hurk, Bart & De Boer, Bas & Coelho, Caio & Aalst, Maarten. (2009). Projected Changes in Mean and Extreme Precipitation in Africa under Global Warming. Part I: Southern Africa. *Journal of Climate*. 22. 10.1175/2009JCLI2317.1

⁶ Ranasinghe, R., A.C. Ruane, R. Vautard, N. Arnell, E. Coppola, F.A. Cruz, S. Dessai, A.S. Islam, M. Rahimi, D. Ruiz Carrascal, J. Sillmann, M.B. Sylla, C. Tebaldi, W. Wang, and R. Zaaboul, 2021: Climate Change Information for Regional Impact and for Risk Assessment. In *Climate Change 2021: The Physical Science Basis*. Contribution of Working Group I to the Sixth Assessment Report of the Intergovernmental Panel on Climate Change [Masson-Delmotte, V., P. Zhai, A. Pirani, S.L. Connors, C. Péan, S. Berger, N. Caud, Y. Chen, L. Goldfarb, M.I. Gomis, M. Huang, K. Leitzell, E. Lonnoy, J.B.R. Matthews, T.K. Maycock, T. Waterfield, O. Yelekçi, R. Yu, and B. Zhou (eds.)]. Cambridge University Press, Cambridge, United Kingdom and New York, NY, USA, pp. 1767–1926, doi:10.1017/9781009157896.014.

Table 1. Summary of expected (median model) changes and associated confidence categories for the SA region and each country under RCP4.5 and RCP8.5 for near term (2011–2040), mid-century (2041–2070) and late century (2071–2100).

Country	Scenario	2011–2040	2041–2070	2071–2100
Southern African region	RCP4.5 & RCP8.5	Days >35°C: increasing ↑ (high confidence) Maximum consecutive dry days (CDD): increasing ↑ (medium confidence) Temperature increases 1-1.5°C above 1971-2000 baseline, higher increases inland Rainfall decreases 5-15%.	Similar patterns with increasing severity (5-20% decreases in rainfall, 1.5-2.0°C increases in temperature) More consistent indication of later start to rainfall season and more intense extreme rainfall during the season ⁷ .	Similar patterns with increasing severity
Eswatini	RCP4.5	Days >35°C: ↑ ~13 days (high confidence); Rainfall: ↓ mid-winter & early spring; ↑ mid-summer (low confidence); CDD: ↑ (low confidence) Temperature increase 0.8-1.2°C, higher in lowveld vs middle/high veld	Similar pattern; rainfall changes more apparent (low confidence) Temperature increase 0.5-2.0°C, higher in lowveld vs middle/high veld. Decreases in rainfall on the highveld (-150mm) with increases (+20%) in the lowveld ⁸ .	Similar pattern; rainfall changes more apparent (low confidence)
Eswatini	RCP8.5	Days >35°C: ↑ ~45 days (high confidence); Rainfall: ↓ mid-winter & early spring; ↑ mid-summer (low confidence); CDD: ↑ (low confidence) Temperature increase 1.2-1.5°C with similar spatial patterns	Intensifying rainfall changes (low confidence) Temperature increase 2.2-2.5°C with similar spatial patterns Rainfall larger reductions than RCP4.5, greater variability in Lowveld	Stronger forcing → more pronounced rainfall changes (low confidence)
Zambia	RCP4.5	Rainfall: ↓ July–Oct; ↑ Dec–Feb (low confidence). Annual reduction 0-5%; CDD: ↑ steadily. Later onset, fewer raindays and heavier rainfall events. Temperature increase 1.0-1.2°C with higher increases to the south and west	Same pattern; confidence increases slightly. Annual reduction rainfall 5-10%. Temperature increase 1.8-2.2°C with greater increases to the south and west	Same pattern; confidence increases slightly
Zambia	RCP8.5	Days >35°C: minimal increase early on; Rainfall: ↓ July–Oct; ↑ Dec–Feb (low confidence). Annual reduction 0-5%; CDD: ↑ steadily. Later onset, fewer raindays and heavier rainfall events. Temperature increase 1.2-1.5°C with greater increases to the south and west	Days >35°C: ↑ ~30 days (high confidence); Rainfall: same pattern. Annual reduction 10-15%. Temperature increase 2.5-3.0°C with greater increases to the south and west	Days >35°C: ↑ ~88 days (high confidence); Rainfall: same pattern

⁷ [https://cridf.net/RC/wp-content/uploads/2020/01/Knowledge Product Tool-4 Southern Africa Projections and Impacts Guidance Paper v1.0.pdf](https://cridf.net/RC/wp-content/uploads/2020/01/Knowledge_Product_Tool-4_Southern_Africa_Projections_and_Impacts_Guidance_Paper_v1.0.pdf)

⁸ https://www.swazimet.gov.sz/ADVISORY/NEW_BULLETINS/state_of_the_climate.pdf

Zimbabwe	RCP4.5	Days >35°C: ↑ >10 days (high confidence); Rainfall: ↓ winter & spring (low confidence). Annual rainfall reduces by 10%; CDD: ↑ steadily Temperature increases 1.0-1.5°C.	Same pattern; rainfall reductions intensify (10-15%). Shorter rainfall season and delayed onset of rains. Temperature increases 1.8-2.2°C	Same pattern; reductions intensify
Zimbabwe	RCP8.5	Days >35°C: ↑ >10 days (high confidence); Rainfall: ↓ winter & spring (low confidence). Annual rainfall reduces by 10%; CDD: ↑ steadily Temperature increases 1.0-1.5°C	Same pattern; reductions intensify (15-20%). Shorter rainfall season and delayed onset of rains. Temperature increases 2.5-3.0°C	Rainfall: ↓ ~11 mm by 2081–2100 (low confidence); CDD: ↑ steadily

Climate related impacts and risks

While the impact of a single climate hazard/event is relatively well understood, multiple changes in climate often act together, e.g., longer dry seasons combined with increases in temperature and evapotranspiration leading to drier soils and reduced biomass⁹. Such localized impacts are often linked to changes, due to both climate and non-climate drivers, as a result of systemic links between different sectors and regions e.g. drought affecting food production and prices in one region, which increases the socio-economic vulnerability of people and hence risk of drought impacts in another region¹⁰. This may occur within a country or between countries where it becomes a transboundary impact, e.g. upstream climate change induced decreases in river flow affecting downstream availability of water for agricultural production. More variable (less frequent and more intense) rainfall, as a primary climate impact, will affect agriculture and livestock in particular, with increases in temperature (and associated evapotranspiration) exacerbating these impacts. Smallholder farmers and herders, who are responsible for the majority of agricultural production in the Southern Africa region, are primarily reliant on rainfall for crop and livestock production and are increasingly exposed to climate-driven weather hazards, droughts and changes in rainfall patterns.

Water volume and quality will also be reduced and more variable due to both changes in rainfall variability, particularly less average rainfall and increases in the intensity of short duration events, as well as increases in temperature and evapotranspiration. The availability of this water for agricultural and domestic consumption is also a function of ecosystem services, specifically hydrological provisioning and regulating services. Performance of ecosystem services is closely linked to the extent and intensity of land use and changes to ecosystem structure and function.

Addressing droughts and floods sustainably requires the use of comprehensive approaches that are cost-effective and equitable while building socio-ecological resilience. Watershed management – coordinated, comprehensive sustainable land use management in catchments - is essential to enhancing the climate resilience of ecosystems and societies in production or mosaic catchments. Nature-based solutions, such as watershed management, include actions such as forest and wetland restoration, sustainable rangeland management and protection of riverine and streambank vegetation to improve freshwater flows and reduce soil erosion. These solutions aim at regulating the use of water, soil and biomass – “land use” – to protect and improve the quality and volume of water within a watershed by managing these resources in a comprehensive manner for human use and ecological productivity and sustainability under climate change.

⁹ Wolski, P., Lobell, D., Stone, D., Pinto, I., Crespo, O., Johnston, P., (2020) [On the role of anthropogenic climate change in the emerging food crisis in southern Africa in the 2019–2020 growing season](https://doi.org/10.1111/gcb.15047) *Global Change Biology* doi:10.1111/gcb.15047

¹⁰ Verschuur, J., Li, S., Wolski, P. et al. (2021) Climate change as a driver of food insecurity in the 2007 Lesotho-South Africa drought. *Sci Rep* 11, 3852. <https://doi.org/10.1038/s41598-021-83375-x>

Local communities (LCs) in Southern Africa are especially vulnerable to climate change impacts due to the synergies of a range of ecological, social and economic factors in the catchments where they live and work. Dependence on water resources for production implies significant risk stemming from climate change impacts on ecosystemic hydrological services. Mitigating this risk requires appropriate adaptive land use decisions by local communities operating within their inter-related economic, social and ecological contexts and systems. Locally-led action for climate adaptation means local communities have individual and collective agency over defining, prioritizing, designing, implementing, monitoring and evaluating their climate actions. This includes climate change adaptation through a range of Nature-based Solutions, including ecosystem restoration, climate resilient agricultural production and other livelihoods, water resource management, forest management and other locally defined priorities and locally supported possibilities and innovations.

Addressing climate impacts and safeguarding ecosystem services through locally led adaptation deploying Nature-based Solutions

Nature-based Solutions are *defined as actions to protect, conserve, restore, sustainably use and manage natural or modified terrestrial, freshwater, coastal and marine ecosystems that address social, economic and environmental challenges effectively and adaptively, while simultaneously providing human well-being, ecosystem services, resilience and biodiversity benefits* (UNEP, 2022a).

Access to and productive management of water and land in a climate-impacted catchment is most effectively tackled ecologically at the level of hydrological systems (catchments). Given the structure of hydrological systems, it is indispensable that local stakeholders undertake this holistic response concretely – *through Locally Led Adaptation (LLA)* - at the level of first and second order streams within a catchment and coordinated with other stakeholders in contiguous catchments across broader watersheds or river basins in order to generate and sustain the broadest possible impacts on ecosystem function and hydrological services.

To ensure sustainability, locally led measures must be linked to clear financing pathways. Payment for Ecosystem Services (PES) and PES-type mechanisms can translate downstream benefits from upstream restoration, such as improved water flow reliability and quality, reduced sediment loads, and attenuated flood risk, into predictable revenue streams to sustain upstream restoration or prevent degradation in the first place. These instruments are best structured within a transparent catchment/environmental fund and may combine public allocations with grant contributions from a variety of donors, as well as voluntary or contractual private contributions from beneficiaries. Over time, such revenues together with other funding can cover operation, maintenance and stewardship, enabling replication across contiguous watersheds.

Upstream restoration and other landscape-level NbS improve the biophysical conditions under which farms operate, leading to more reliable soil moisture and streamflow, reduced erosion and sedimentation, and moderated flood/drought extremes¹¹. These effects support the sustainability and productivity of farming systems and, although difficult to attribute precisely at individual farm level, in aggregate they reduce the climate-related impacts and volatility noted above, as well as allowing for a more efficient use of farm inputs such as water, fertilizer and seeds. Building on this foundation, the adoption of CRA practices such as efficient irrigation, soil-moisture conservation measures, crop rotation or inter-cropping, stress-tolerant varieties and rangeland management, helps stabilize and increase yields and cash flows, thereby lowering borrower risk and improving credit eligibility of farmers. This can incentivize financial institutions to extend credit to farmers, ideally through green credit lines with terms (maturity, rate, repayment schedule) specifically tailored to the CRA practices. De-risking tools such as partial guarantees and the presence of crop off-take agreements will further mitigate credit risk and facilitate loan approval and disbursement. In this way, landscape-scale NbS and farm-level CRA investments are linked - the former creates enabling land use and hydrological conditions, while the latter converts those conditions along with the application of CRA practices into increased and more stable farm income and, as a result, farmer bankability. The systemic analysis of the factors driving increasing socio-ecological

¹¹ Miralles-Wilhelm, Fernando. "Nature-Based Solutions in Agricultural Landscapes for Reducing Tradeoffs between Food Production, Climate Change, and Conservation Objectives." *Frontiers in Water* 5 (2023): Article 1247322. <https://doi.org/10.3389/frwa.2023.1247322>

vulnerability in Southern Africa identifies synergistic relationships between increasing climate impacts, declining yields, growing land degradation, and increasing poverty. These obstruct the ability of rural stakeholders to accumulate capital and/or secure funding to invest in resilience-enhancing production technologies and systems and adopt appropriate water, soil and biomass management practices that mitigate climate impacts at scale and address underlying vulnerability drivers. A holistic response to enhancing and sustaining climate resilience is therefore required that aims squarely at access and management of water as the most essential input, whilst also enabling access to other required inputs.

Nevertheless, at national and local levels, catchment stakeholders lack the level of organizational, technical, financial and other capacities required to invest in, plan and manage catchment resources to enhance climate resilience of ecosystems, production catchments and agricultural livelihoods. While watershed or catchment management has been a part of public sector water policy in most countries in Southern Africa, it has not fully resulted in specific local plans, programmes or projects that successfully address the emerging impacts of climate change. The government institutions responsible for land and water use are insufficiently able to provide the technical assistance, financial resources or knowledge needed to enable catchment planning and management – they suffer from weak technical capacities and resources to invest in catchment scale planning dialogues, processes and implementation capacities, the inability to provide sufficient financing or to leverage private investment in watershed management, and a generally weak capacity to generate and disseminate critical knowledge and information for adaptive management.

Local communities (LCs) in Southern Africa are especially vulnerable to climate change due to convergence in a range of ecological, social and economic factors. For example, dependence on water resources for livestock exposes smallholders and pastoralists to a great deal of risk from drought, erratic rainfall, and flooding. This risk, along with rising temperatures, can affect meat and dairy yields, forage quality and drive overall land degradation from erosion and overgrazing, with knock-on effects on agricultural productivity, animal health, market stability, livelihoods and income, as well as augmenting the potential for conflicts over access to water and suitable production lands.

To adapt effectively to climate change, local communities in Southern Africa must be capable and resourced to implement actions in line with a comprehensive watershed management plan, exercising their agency and making their own decisions with ready access to consistent and reliable technical expertise, and knowledge and information vital to managing climate risk. In particular, they need “patient and flexible” financing that starts with grants and other forms of pre-investment to address climate resilient local level development priorities in alignment with their country’s Nationally Determined Contributions (NDCs) and National Adaptation Plans (NAPs) – recognizing that farmer bankability from NbS and CRA will follow.

LLA provides local stakeholders with increased freedom and opportunity to take a primary role in governance and management of critical land and resources. This governance and management role, embodied in community-driven, multi-stakeholder platforms at local catchment level, is essential to identifying, analysing and addressing structural inequalities faced by local communities in Southern Africa, as necessary elements of enhancing adaptive capacities. The multi-stakeholder catchment platforms provide an organized structure for inclusion, participation, and partnership-building that mitigates the risk of elite capture given the diversity of representation as well as oversight by the National Catchment Adaptation Committees established by the project. These platforms provide a space for identifying and assessing climate risk and uncertainty, together with equitable adaptation measures, including nature-based solutions. Although local communities carry out collective climate action using locally available resources, including cash and labour, the requirements of effective, long-lasting climate adaptation *at scale* almost certainly require greater and more flexible volumes of finance, particularly in the context of increasing climate vulnerability.

As climate impacts accelerate, LLA must be urgently scaled-up to meet this challenge. Mobilizing stronger finance and technical assistance for LLA – where finance and decision-making power is shifted to the local level in response to local priorities, needs, interests, rights, solutions and implementation, and in direct support of NDCs – is a key priority for UNDP and the Adaptation Fund.

PROGRAMME OBJECTIVES

The proposed Programme, *Financing Locally led Adaptation and Nature-based Solutions for catchment resilience in Southern Africa* will finance the design and implementation of *Catchment Investment Programmes (CIPs) comprised of locally led adaptation initiatives*, planned, developed, implemented and coordinated by local communities with the support of government and non-governmental organizations. The Programme will overcome important barriers to local leadership of adaptation efforts by providing them and supportive institutions with an adaptable catchment planning and management framework (through CIPs); a participatory methodology that will build local stakeholder capacities for catchment planning, investment, management, and governance; and direct access to grant funding for investment in their catchment adaptation activities. The resulting catchment investment pipelines will serve to localize the NDCs, NAPs and SDGs and other relevant national adaptation plans, linking local initiatives to national priorities and programmes. The CIP approach builds on the lessons and 12experience of the Nature Conservancy’s Water Funds¹² in Africa as well as other regions. As such, the proposed program aligns with priorities consistently highlighted in the countries’ National Adaptation Plans (NAPs), the Global Goal on Adaptation (GGA), and the Adaptation Fund’s 2023–2027 strategy, which emphasize systemic resilience and equity.

Building on UNDP’s decades-long experience of supporting local action and adaptation the Programme will enable local communities in the three targeted countries to exercise their agency in decision making through learning-by-doing, supported by technical assistance, grant financing, and knowledge from traditional and scientific sources, as well as from evaluations of their own experience in implementing CIPs.

Projected outcomes of this Regional Programme are mutually reinforcing and provide a comprehensive approach to enhancing and sustaining the socio-ecological resilience of smallholders/herders and their production and other land use systems:

- 1.0 Agricultural livelihoods and ecosystem resilience are improved through the participatory design and operationalization of CIPs by local communities in the countries of Southern Africa, starting with selected catchments in Eswatini, Zambia and Zimbabwe;
- 2.0 Improvements in water access and security from resilient watershed land-use, including ecosystem restoration and CRA, are financed through access to robust grant investment and, where appropriate, the establishment of non-grant instruments with relevant financing partners, namely PES/PES-type mechanisms and blended finance solutions such as CRA loan facilities (green credit lines, partial guarantees/risk-sharing) in the selected catchments;
- 3.0 Adaptive management of the selected catchments, and policies in support of watershed management, are strengthened as local stakeholder grantee organizations are empowered, mobilized and capacitated through technical assistance for generation of evidence-based knowledge and results, facilitation of learning-by-doing and peer-to-peer sharing across catchments. Evaluation of CIP design and implementation generates inputs to policy discussions aimed at upscaling Locally Led Adaptation in country and the region.

These integrated outcomes will also produce a number of co-benefits, to greater or lesser degree depending on the socio-ecological context, as well as individual CIP priorities, and include: 1) greater food security; 2) improved health and welfare; 3) increased carbon sequestration from SLM and ecosystem restoration; 4) greater gender equality and local stakeholder empowerment through participatory watershed planning and management; 5) improved smallholder/herder incomes from CRA and herding that sustain further investments in resilience-enhancing agriculture and herding technologies and systems.

¹² <https://www.nature.org/en-us/about-us/where-we-work/africa/stories-in-africa/water-funds-overview/>
<https://www.nature.org/media/freshwater/latin-america-water-funds.pdf>

PROGRAMME COMPONENTS AND FINANCING

Programme Components	Expected Outcomes	Expected Outputs	Countries	Amount (US\$)
1. Technical assistance to all catchment stakeholders for governance and participatory design of nature-based solutions for watershed management and relevant financial instruments	Outcome 1: Catchment Investment Programmes (CIPs), consisting of multiple complementary resilience-enhancing initiatives, reviewed and prepared by relevant stakeholders.	<p>Output 1.1: Multi-stakeholder National Catchment Adaptation Committees established (NCACs)</p> <p>Output 1.2: Multi-stakeholder catchment management and governance platforms in the target catchments established</p> <p>Output 1.3: Catchment Investment Programme confirmed in each participating country</p> <p>Output 1.4: Priority community and catchment level initiatives in the CIPs identified and designed</p>	Eswatini Zambia Zimbabwe	3,787,0903,791,100
2. Demand-driven financing for LLA grants and establishment of complementary non-grant financing mechanisms to sustain locally-led climate adaptation solutions	Outcome 2: LLA initiatives financed and implemented to meet CIP objectives for enhanced socio-ecological resilience to climate change, with complementary non-grant mechanisms established to sustain and scale results	<p>Output 2.1: LLA initiatives designed and implemented, according to CIP objectives</p> <p>Output 2.2: Capacities of local organizations strengthened for grant project design, implementation and MRV</p> <p>Output 2.3: Establishment of non-grant financing mechanisms for sustained implementation of LLA initiatives</p>		18,425,8,366

3. Global learning and knowledge management system	<p>Outcome 3: Evidence generated from CIPs and their catchment management initiatives is used to strengthen climate adaptation policies and strategies, and to improve adaptive management and stakeholder learning across catchments</p>	<p>Output 3.1: Development and implementation of a peer-to-peer learning and exchange Programme at national and local levels for upscaling and adaptive management</p> <p>Output 3.2: Establishment of a regional mechanism for analysis and discussions of lessons learned, their relevance and potential application to policy, programming, and partnership development</p> <p>Output 3.3: Development of a regionwide Adaptation Learning Programme from catchment planning and implementation experience for national, regional and global engagement</p>		2,330,000,28,490
Project/Programme Activities Cost				24,545,456
Project/Programme Execution cost				2,727,272
Total Project/Programme Cost				27,272,728
Implementation Entity Fee				2,727,272
Amount of Financing Requested				30,000,000

Projected Calendar

Milestones	Expected Dates
Start of Project/Programme Implementation	January 2027
Mid-term Review	July 2029
Project/Programme Closing	July 2032
Terminal Evaluation	October 2032

PART II: PROGRAMME JUSTIFICATION

A. Programme Components

The development of the regional programme for **Catchment Resilience in Southern Africa** is in part based on UNDP's experience of more than 30 years of direct support to local actors for environmental and sustainable development benefits. This proposal builds on the development and implementation of a signature management approach using a highly participatory model developed and refined over the past¹³ through the GEF Small Grants Programme, and on adaptation projects supported by AF, GEF, LDCF, GCF and bilateral donors, UNDP has over three decades of experience supporting local level CSOs to design and implement sustainable development initiatives- particularly through the UNDP Small Grants Programme -that produce global adaptation and socio-ecological benefits (e.g. biodiversity conservation, sustainable land management), now in over 127 countries. Community-driven initiatives have built stakeholder capacities through learning-by-doing, generated knowledge from participatory analysis of the design and implementation experience, and produced benefits to local incomes, productivity, collective action, empowerment, and environmental impacts. Successful community level initiatives have been upscaled and financed from a variety of sources, including government and non-governmental donors, as well as through improved market access. It also builds on experience and alignment with the work of UNDP's Climate Promise, which supports more than 120 countries to implement their NDCs and to continue to increase their NDC ambition, as well as in developing ambitious and integrated climate, nature and development plans in alignment with UNDP's Nature Pledge and Climate Promise.

The Programme focuses on three components critical to the success of locally led adaptation efforts and to financing these over the long term: 1) capacity for collective action, 2) funding to support implementation of stakeholder-identified adaptation priorities, and 3) access to and generation of knowledge and information for upscaled adaptive management. In the first component, **Catchment Investment Programmes (CIPs)**, comprising multiple complementary resilience-enhancing initiatives, are identified, prepared and operationalized through structured consultations that bring together all key stakeholders in each catchment, including local communities, utilities and other businesses, commercial farmers, government agencies and community-based organizations. Together, these stakeholders will co-design and support the implementation of priority interventions by local stakeholder communities, as well as supportive activities or interventions of key government agencies. Each CIP is built around a single, shared catchment vision, consistent with the TNC Water Fund approach, potentially containing several streams of work (e.g., ecosystem restoration, climate-resilient agriculture, and sustainable rangeland management). This multi-stakeholder, participatory catchment-wide process of learning-by-doing is assisted by thematic experts in technical dialogue with the relevant catchment-based stakeholders, drawing on traditional knowledge and relevant scientific approaches to define priorities and potential actions. In the second component, stakeholder organizations' initiatives are financed and implemented to meet the CIP priorities they have agreed to. Local community organizations – farmers' associations, cooperatives, women's clubs, youth groups, etc. - will select the initiatives they feel comfortable assuming responsibility for. With technical assistance from extension agencies, NGOs and Programme staff (Output 1.4), these organizations design initiatives for grant funding and proceed to implement them, again building capacities through learning-by-doing. At the same time, key government agencies may provide support with programmatic interventions in extension and temporary employment.

In parallel, the programme will scope and seek to establish non-grant financing pathways led by hired experts along with partner national financial institutions and relevant CIP stakeholders to ensure durability of results (see Output 2.3 for details). This will include: (i) a PES fund at catchment level with an inclusive and transparent governance structure, underpinned by an MRV system that quantifies downstream benefits of upstream NbS and

¹³ COMDEKS. *Publications*. Community Development and Knowledge Management for the Satoyama Initiative. Accessed November 18, 2025. <https://comdeksproject.com/knowledge-management-products/publications/>

informs contributions from downstream beneficiaries, together with a performance-based disbursement mechanism that channels those resources back to upstream communities for the sustained implementation of agreed NbS measures; and/or (ii) a climate-resilient agriculture (CRA) loan facility with partner financial institutions (e.g., green credit lines possibly with risk-sharing/guarantees provided by international finance institutions or similar organizations, and terms tailored to CRA implementation) to support on-farm CRA investments that are deemed bankable. In the third component, local stakeholders assisted by Programme staff assess the performance of their initiatives, identify lessons and best practice for improved adaptive management, including NbS, exchange this knowledge with other communities in the catchment and country, and transmit this knowledge to policy makers, with the assistance of Programme-supporting institutions and UNDP.

The ***Catchment Investment Programmes (CIPs)*** have been scoped and conceptualized during pre-submission Programme formulation by government and local catchment actors and organizations in an initial process of stakeholder consultations (see Annex 5). With approval of this Programme proposal, these local catchment community organizations will formalize multi-stakeholder catchment management and governance platforms involving all key stakeholders, mentioned above. These groups will, through a process of participatory inquiry and research, review and analyze the social, economic and ecological vulnerability to climate change of their production systems and the ecosystem services that sustain them. Resilience-enhancing measures identified during initial Programme consultations will be reviewed and confirmed by the local groups and designed with assistance from national experts and institutions and prioritized for action. During inception, the Programme will also complete the detailed design and operational arrangements for the PES fund (governance, MRV protocols, level of contributions, and payment rules) and agree, with the identified participating financial institutions (ZANACO, Eswatini Bank, FBC Bank), the CRA facility details (eligible investments, underwriting approach focused on CRA cash flows rather than collateral, CRA-tailored loan terms, possible risk-sharing parameters with additional financiers, reporting etc.). The designed initiatives will be reviewed and approved by National Catchment Adaptation Committees for grant funding. The programme will channel resources directly to local community organizations to enhance the resilience of the critical catchments where they live and work, while contributing to the nationally-determined adaptation targets of their NDCs and NAPs.

The Programme's proposed structure consists of three Components and Outcomes:

Component 1: Catchment Investment Programmes

Outcome 1: Catchment Investment Programmes, consisting of multiple complementary resilience-enhancing initiatives, prepared by local communities and organizations and relevant stakeholders.

This component will support local stakeholder design, establishment and operationalization of three *Catchment Investment Programmes (CIPs)* – one each in Eswatini, Zambia and Zimbabwe - driven by priorities identified by local communities (LCs) and organizations in dialogue with relevant government counterparts, commercial farmers, NGOs and catchment-based enterprises.

A *CIP* will comprise multiple complementary community and catchment-wide grant-funded initiatives reviewed and designed by local stakeholders, with technical assistance from local experts and government institutions, and coordinated across the selected catchment by a locally led multi-stakeholder platform to achieve catchment scale socio-ecological resilience benefits.

The grant-funded initiatives comprising each CIP are together intended to produce complementary or synergistic socio-ecological benefits that contribute to an overall increase in resilience to climate change impacts across the catchment. Locally-led initiatives are aimed at producing direct and indirect medium to long-term impacts on the hydrological cycle, with water access and availability crucial to ecosystem function and economic production (agriculture, pastoralism, etc.). This would mean, in general, that the initiatives would aim to decrease run-off in order to increase water infiltration into the soil profile and aquifer (e.g. through erosion control, agroforestry, improved tillage, sustainable grazing, revegetation, etc.) and improve the efficiency of water use (e.g. through improved irrigation methods and systems, including community water management and governance mechanisms). In addition, these initiatives will develop solutions grounded in traditional knowledge,

including indigenous water management techniques and governance. Locally-led initiatives will also support activities that revitalize and/or deploy traditional ecological knowledge (TEK) to provide observed data on land use change as a result of the CIP actions, aiding in the development of community-based monitoring approaches to complement monitoring information on key variables derived from satellite remote sensing data (Component 3)¹⁴. Complementary initiatives in the catchment will produce aggregate hydrological impacts at the catchment (and eventually watershed) scale needed to maintain and enhance ecosystem services.

The grant-financed initiatives of each CIP therefore focus on nature-based solutions, involving improved water resource management; ecosystem restoration (e.g. revegetation of wetlands, regeneration of forests); smallholder agro-ecological production; and sustainable grazing and climate resilience-enhancing livestock management. These would be complemented in the catchment by diversification of livelihoods; and community empowerment with locally led governance. These initiatives, as the constituent elements of each CIP, are locally coordinated across the catchment by a multi-stakeholder platform consisting of representatives of locally led community organizations, local and national government institutions and supportive organizations.

The multi-stakeholder catchment platforms will continue beyond the initial workshops where they will be established and will function as standing, locally owned forums for catchment-level governance, coordination, learning and feedback. The platforms will serve as: 1) venues for participatory analysis of emerging trends and patterns in land use, ecosystem services and climate risks; 2) spaces for discussion of local initiatives funded by this project as well as other relevant initiatives in the catchment; 3) venues for potential organization of advocacy activities and resource mobilization if desired by platform members; 4) spaces for discussion and dissemination of relevant new knowledge and information; and 5) venues for ad hoc capacity strengthening or, where appropriate, organization of more systematic capacity development events. The platforms are essential to forming leadership for collective action in the catchments and sustaining locally led implementation, and constitute a precondition for scaling up and long-term sustainability. In each country, a multi-stakeholder **National Catchment Adaptation Committee (NCAC)** will be established to provide national-level oversight and approve the CIP and its grant-funded initiatives.

In terms of continuity and timing, platforms will be convened during the CIP development process through structured participatory workshops and will then continue beyond CIP finalization. During CIP development, platforms will be used to carry out participatory diagnosis and prioritization of adaptation and NbS options, and to validate the draft CIP and its proposed grant portfolio before submission to the NCAC. Following completion of the CIP development process, platforms can be expected to meet 1–2 times per year to continue to assess CIP performance and impacts, identify emerging risks and opportunities, support adaptive management, and generate knowledge as contributors to and recipients of learning generated under Output 3 of the project.

The platforms constitute flexible structures readily adaptable to the dimensions and context of each catchment. Depending on catchment geography and CIP strategy, a catchment platform may elect to organize and link smaller platforms in sub-catchments to ensure inclusive coverage and to strengthen planning, capacity development and implementation outcomes. This is particularly relevant for actions that require collective organization and coordination across multiple actors, including Payment for Ecosystem Services and other incentive-based mechanisms, as well as broader support to the CIP.

Stakeholder identification, outreach and participation modalities will be operationalized through an initial stakeholder mapping led by the National Coordinator and validated by the NCAC, drawing on local government and customary structures, producer organizations and farmer associations, water user associations, civil society and community-based organizations, women's groups, youth groups, organizations representing persons with disabilities and other marginalized groups, and relevant private sector actors. Participation will be ensured through a combination of open calls disseminated through local administrative channels and targeted outreach to underrepresented groups. Engagement will be conducted in locally appropriate languages, with accessibility

¹⁴ For example, see Rehman et al.2025. <https://www.sciencedirect.com/science/article/pii/S2666719325003334>

measures as needed (e.g., accessible venues, adapted facilitation formats, and support for transport/participation costs where required) to enable meaningful participation of women, youth, persons with disabilities and other marginalized groups.

The expected scale of participation per catchment is difficult to calculate with precision prior to project onset; however, participation will be structured and representative. As a broad indicator, platform sessions during CIP development would typically convene a core group of approximately 40–80 participants per session, with representation across sub-catchments and key stakeholder categories, complemented by smaller sub-catchment meetings where needed to broaden coverage. Over the CIP development process, outreach and participation is expected to reach a substantial share of catchment households through representative participation and targeted sub-catchment engagement, complemented by participation of non-community entities such as local government agencies and private sector actors where relevant.

In terms of role in decision-making, the catchment platform functions as the primary consultative forum for identifying and prioritizing adaptation needs, validating proposed initiatives, and surfacing implementation risks and opportunities. Inputs from the platform will be documented and synthesized by the National Coordinator and provided to the NCAC as part of the CIP package and periodic review processes. The NCAC retains final screening and approval authority over CIP priorities and grant decisions, and will consider platform inputs in reaching final decisions.

Conflicts of interest will be identified and managed through disclosure at the start of platform meetings and through recusal where participants have an actual or perceived conflict (including where platform participants may also be involved in proposing, implementing or benefiting from grant-supported initiatives). This will be reinforced through transparent documentation of discussions and decisions, and through the NCAC's ineligibility and conflict-of-interest provisions for final grant approvals. In addition, Please refer to Annex 4 (Output 1.5 of the Gender Action Plan, and Section 6) for a description of the programme-wide gender-responsive risk prevention, safeguards, grievance and SEAH system.

Each CIP is governed nationally by a multi-stakeholder **National Catchment Adaptation Committee (NCAC)**¹⁵ that is co-chaired by both local community representatives (representing the majority of members), other relevant stakeholders and government institutional representatives. The National Catchment Adaptation Committee, once formed, provides technical guidance from traditional and conventional sources; strategic planning support; introductions to potential partners such as other government agencies and private sector entities and others; and general oversight of the development and implementation of the CIP. The NCAC has a majority non-government membership, which ensures local communities' full decision-making power over prioritizing, designing and implementing adaptation actions. NCACs are comprised of representatives of local communities, experts in locally-led adaptation measures (agroecology, sustainable pastoralism, etc.), gender experts, government representatives or delegates, National Implementing Entities, wherever applicable, UNDP in its capacity of Implementing Entity, youth organizations, and academic and traditional knowledge institutions and others, as agreed by the NCAC.

NCAC structure and function is based on UNDP's thirty years of experience with the GEF-financed Small Grants Programme and its corresponding National Steering Committees (NSCs). Each NSC is comprised of civil society representatives – who form the majority – and institutional/organizational representatives, including UNDP and the government's GEF Focal Point as permanent members, as well as non-governmental organizations, where appropriate. The NCAC will follow this structure with the exception of the GEF Focal Point who will be replaced by the AF Focal Point (where these are different institutions or people). NCAC decisions will be generally taken by consensus – as is done with the SGP Country Programme – though where intractable disagreements occur, UNDP will have the final say. Given NCAC authority to approve grant proposals, NCAC members or their

¹⁵ UNDP's experience with the Small Grant Programme (SGP) National Steering Committees since 1992 has shown that multi-stakeholder platforms increase transparency and promote accountability on all sides, including among CSOs/CBOs, and government entities, among others.

organizations will not be eligible for grants. It is anticipated that the NCAC will not include catchment stakeholder representatives; civil society representatives on the NCAC will be identified at national or sub-national level. These representatives may come from a variety of backgrounds, including national associations of smallholder farmers or herders, non-governmental sustainable development or environmental organizations, or others.

Grant funded initiatives to be financed through CIPs are developed and consulted with local stakeholders and reviewed, and their design adapted where necessary, prior to submission to the NCAC for review and approval. The NCACs are built on existing multi-stakeholder platforms (e.g. the SGP National Steering Committee), incorporating experts, organizations, institutions, enterprises or others to ensure representative membership of local communities, and high-quality technical and strategic advice and inputs to knowledge generation, capacity development, M&E, reviews, etc. Each NCAC guides the catchment multi-stakeholder platform and the local communities with a participatory methodology used successfully in UNDP's locally-led landscape approach programming with GEF (SGP) and Japanese funding (COMDEKS)¹⁶.

The NCACs will comprise an indicative range of 8–12 members. Non-government members will constitute a majority and will include individuals drawn from sectors and constituencies relevant to locally led adaptation and catchment resilience, such as sustainable rural development, ecosystem services and restoration, vulnerable or marginalized groups, women's organizations, youth organizations, and smallholder/herder production associations. Members will serve in their personal capacity and not as formal representatives of a particular entity. Each NCAC will specifically include a gender expert.

UNDP and the National Executing Entity and/or the Adaptation Fund Designated Authority will constitute permanent members. Other government entities may be included as relevant to CIP development and implementation, but will not constitute a majority of the NCAC. Technical and/or thematic experts may also be included; where appropriate, a separate Technical Advisory Group may be established to provide scientific and traditional knowledge inputs and advice to the NCAC regarding the CIP and its constituent grant initiatives.

The NCAC will meet periodically, starting at project onset, and will schedule meetings thereafter based on the project's timeline for CIP development, review and approval of initiatives, and oversight of implementation. Decisions will be made by consensus with a quorum of at least 75% of members present. Conflicts of interest will be managed through mandatory disclosure of any actual or perceived conflicts and recusal from deliberation and decision-making on any relevant initiative or grant. NCAC membership and composition will be subject to annual review by UNDP and the National Executing Entity and/or the Adaptation Fund Designated Authority to ensure robust representation, effectiveness and continued alignment with locally led adaptation principles.

NCACs support a participatory analysis and strategic planning process where local stakeholders review and discuss catchment adaptation objectives identified during consultations (e.g. improved ecosystem services; enhanced productivity; alternative livelihoods, etc.) and agreed outputs (e.g. restoration or assisted natural forest regeneration of headwaters; improved climate resilient yields, etc.). Women's and girls' empowerment is prioritized in recognition of their status as primary stakeholders in catchment management – water, soils, biomass - and their essential roles in agropastoral production.

The priorities identified during this participatory strategic planning process determine the kinds of activities to be funded by the grants awarded under Component 2. Local stakeholders will confirm or adapt these priorities by coming together in a catchment workshop at Programme approval for ongoing participatory analysis and strategic planning. Once they have confirmed desired catchment level objectives, they proceed to review those outputs needed to achieve the objectives. These outputs may be relatively general in scope e.g. ecosystem restoration of headwaters, revegetation of grazing lands, improved agricultural practices, etc. With the outputs defined at this level, workshop participants identify activities that they feel their community or group can implement with grant funding and their own labour provided in kind to achieve them; these would more specifically focus on concrete

¹⁶ <https://comdeksproject.com/>

targets, indicators, projected impacts, etc., as part of the grant initiative design process (X hectares under improved agroecological management, Y hectares of land restored to optimize ecosystem function in light of climate change, etc.). Workshop participants work with technical assistance to design and operationalize their initiative for submission to the NCAC for review and approval.

NCACs identify overall grant eligibility criteria adapted or derived from AF criteria, the eight LLA principles, the IUCN Global Standard for NbS, and the overall Programme objectives to produce knowledge, capacity and adaptation impacts. These criteria are contextualized locally and may encompass such aspects as potential target grantees (e.g. women smallholders or inclusion of a particular ethnic group), maximum grant amount, or other factors.

During project onset, a review of project preparation studies and analyses will be undertaken by the formally established NCAC, whose membership will comprise experts and other knowledgeable people who will identify critical gaps to be addressed in catchment consultations and outreach tours. This would include systematic identification of all vulnerable groups. Consultations and outreach to these groups would involve explanations of specific eligibility and prioritization criteria to encourage their participation in CIP formulation workshops. At the same time, the project's NCs will provide specific technical assistance and facilitation to these groups to ensure development of eligible grant proposals. Vulnerable groups will also be represented on the catchment's multi-stakeholder platform, and a specific focal point for vulnerable groups will sit on the NCAC to practice due diligence in regard to their participation and inclusion in discussions and decision making.

Regional approach

A regional approach to establish locally-led CIPs in multiple countries generates economies of scale in terms of capacity building, knowledge generation and exchange, and policy dialogue. The regional approach will permit the constituents of the different CIPs to receive similar training materials and participate in regional or sub-regional capacity strengthening events for peer-to-peer exchange of information, experience and knowledge. Additionally, the regional approach will allow for technical cooperation and strategic discussions regarding upscaling of CIP development within and between the Water Basin Commissions (ZAMCOM and INMACOM) relevant to the three countries. This approach will also involve the Southern African Development Community (SADC) to ensure a common platform for dialogue, exchange, and development of long-term and sustainable climate change adaptive capacities. As such, the project will not only contribute to basin level plans and strategies but also to the implementation of region-wide coordination and action on the SADC Drought Risk Management and Mitigation Strategy and the SADC Great Green Wall Initiative, particularly the investment Pillar 1 on Water for all, Pillar 3 on Productive and resilient ecosystems (land, biodiversity & climate change) and Pillar 5 on Resilient food systems. The three CIPs will be linked in a CIP Community of Practice to share experiences related to their operations, CIP planning and strategies, knowledge generation, participatory methodologies (CIP design, implementation, M&E), and other topics. At the same time, economies of scale may be achieved with multi-country capacity building workshops and enabling regional cross-institutional exchange for government and partners on locally-led adaptation and application of NbS; provision of technical assistance systemically to similar initiatives across the participating countries; partnership development; and advocacy.

This regional community of CIP practitioners will also arrange peer-to-peer exchanges and contribute to a regional knowledge management system (see Component 3, below) with lessons learned by local communities, evaluations of the CIPs, and other experiences. The knowledge generated in one catchment can be transmitted to the others in the regional Programme, helping to strengthen the community of practice, learning and sharing among catchment organizations of all kinds. The knowledge generated will be codified and presented as analyses and inputs from national representatives to different regional or sub-regional policy discussion venues, complemented by analytical studies assessing factors relevant to CIP establishment in other catchments. Finally, as a regional Programme, dialogues with potential financiers from public and private sectors will be facilitated given the potential upscaling of catchment interventions across multiple countries and the overall perspective of systematically applying the CIP method and approach to multiple catchments in the water basins of Southern

Africa.

There are four Outputs under this Outcome and Component:

Output 1.1: Multi-stakeholder National Catchment Adaptation Committees established (NCACs)

Activities:

- 1.1.1 UNDP and governments discuss and agree NCAC composition with stakeholder organizations at national and local levels
- 1.1.2 UNDP, participating governments, commercial farmers, NGOs and relevant catchment stakeholders formally establish NCACs
- 1.1.3 Each NCAC discusses and agrees grant project eligibility criteria

Output 1.2: Multi-stakeholder catchment management and governance platforms in the target catchments established

Activities:

- 1.2.1 Conduct consultations with all catchment communities, as well as government, traditional government, local businesses, NGO, academic, religious institutions, to discuss and confirm interest expressed in pre-submission consultations
- 1.2.2 Organize catchment level multi-stakeholder platforms and first meetings
- 1.2.3 Formally establish multi-stakeholder catchment platforms responsible for CIP design and governance in each of the target catchments.

Output 1.3: Catchment Investment Programme confirmed in each participating country

Activities:

- 1.3.1 Catchment Investment Programme analysis and operationalization workshop in each catchment
- 1.3.2 Local actors discuss and confirm catchment socio-ecological Objectives
- 1.3.3 Local actors discuss and confirm potential outputs to achieve catchment Objectives
- 1.3.4 CIP workshops confirm Objectives and outputs and formalize CIPs

Output 1.4: Priority community and catchment level initiatives in the CIPs identified and designed

Activities:

- 1.4.1 Local actors in their organizations discuss and agree the solutions to achieve CIP outputs in dialogue with Programme and government staff and design locally led initiatives for grant financing under Component 2
- 1.4.2 Local organizations discuss and agree any *joint or complementary efforts* together to achieve CIP outputs and design locally led strategic initiatives for grant financing under Component 2
- 1.4.3 Grant proposals are socialized for comments and inputs by members of the catchment platforms

Component 2: Demand-driven financing for LLA grants and establishment of complementary non-grant financing mechanisms to sustain locally-led climate adaptation solutions

Outcome 2: LLA initiatives financed and implemented to meet CIP objectives for enhanced socio-ecological resilience to climate change, with complementary non-grant mechanisms established to sustain and scale results

The aim of this component will be to effectively operationalize the CIPs prepared during pre-submission consultations and reviewed by local communities under component 1 by providing capacity building and financing to the locally-led grant-funded initiatives identified and designed as constituent parts of the CIPs. Grant-funded initiatives are expected to focus almost exclusively on nature-based solutions (Nbs) that build the resilience and productivity of production systems and ecosystem services, with a particular emphasis on those related to

hydrological services in catchments. NbS will include development and implementation of innovative, cost-effective adaptation approaches to soil, water and biomass management that produce multiple ecosystem benefits, for example, agricultural systems like agroforestry that build organic matter (and its fertility, structure and water-holding capacity), increase water infiltration into the soil profile, reduce erosion, and preserve biodiversity. Grant proposals will include adaptation solutions grounded in traditional knowledge and refined through technical dialogues with thematic experts, including pastoral mobility, rotational grazing, and traditional water management techniques; strengthening tenure security through community mapping and land use planning; capacity building for catchment governance, and community-based monitoring; knowledge exchange between communities, with a focus on intergenerational learning and documentation of traditional climate resilience strategies.

As such, CIPs will focus on optimizing ecosystem function in the chosen catchment, implementing initiatives that are aimed primarily at enhancing and sustaining hydrological provisioning and regulating services, for example, upstream reforestation, wetland restoration and/or erosion control to reduce runoff and the risk of flooding from extreme weather events (see Table 2, below).

Implementation of CIPs generates the resilience impacts of locally-led adaptation measures, systems and approaches. To do so, the Programme will build the capacities of local community organizations, farmers associations, co-operatives, and others to individually and collectively assess their socio-ecological vulnerability to climate change impacts, identify potential resilience solutions, design and implement a catchment management and investment Programme of locally-led adaptation initiatives, and evaluate their performance and the performance of their selected solutions to extract lessons, knowledge and inputs for ongoing adaptive management towards sustainability.

Under Component 1 – and as described in detail in section IIC, below - local communities participate in a process of identifying catchment objectives and outputs that frame the concrete activities they will choose to implement with grant funding. As a final part of the CIP development process, they are assisted in defining their chosen activities in dialogue with local technical experts and others and designing their proposals for grant financing. Under Component 2, local communities receive technical assistance, as well as any capacity building needed to effectively implement them. The designed initiatives are discussed and analysed with other catchment stakeholders in a process of peer review before submitting them to the National Catchment Adaptation Committee for review and approval for funding. This tight turn-around in a single workshop between CIP review and activity design for grant funding maintains local stakeholder enthusiasm and confidence in CIP implementation and governance; strengthens stakeholder commitment to the agreed outputs for socio-ecological resilience; increases the efficiency of grant disbursement by reducing transactions and logistical and organizational challenges; and builds the community of catchment stakeholders with peer-to-peer exchanges of knowledge and experience, as well as heightens stakeholder adherence to agreed rules of resource management within the catchment governance framework.

Capacity strengthening of participating local community organizations will be based on technical dialogues between local stakeholders and thematic experts (identified during CIP development, sourced locally from peers, technical institutions, NGOs, etc.), incorporating traditional knowledge and modern science, as vulnerabilities are assessed and potential solutions identified in a participatory process. For example, pastoralists might identify and propose methods for fire management on grazing lands, whose agroecological foundations would be confirmed in dialogue with local agronomic experts. Ecosystem restoration activities to improve hydrological function in a catchment could be designed based on discussions and agreements about species mixes, NTFP harvesting rates, and land use planning of micro-watersheds. Water-efficient cultivation systems and practices could be identified by local smallholders and tweaked as necessary in dialogue with local experts (for example, adaptation of the indigenous *zai* method of water harvesting in the Sahel). Government extension agencies may provide capacity strengthening support through Farmer Field Schools and temporary employment projects.

Given the participatory process - grounded in CIP consultations and development and supported by Programme

staff and technical experts - the eligibility of proposals developed is likely to be very strong. When a proposal is returned to a local community for further work it is accompanied by detailed steps to be carried out to achieve approval and may also include a micro-grant of up to USD 2,000. This micro-grant will be based on an assessment by the NCAC of the proposed initiative's eligibility and feasibility, and cover the costs of technical experts, capacity development workshops, consultations, or other inputs needed to ensure that the grant proposal meets the CIP's eligibility criteria.

As mentioned under Component 1, above, the local stakeholder review and selection of initiatives comprising the CIP is highly contextual and based on locally assessed vulnerability to emerging climate impacts. During the CIP development process, local communities discuss in detail the kinds of initiatives needed and then select those that they feel they can design and implement to augment their socio-ecological resilience to climate change. See below under Output 2.1 for descriptions of the kinds of relatively common local initiatives selected by local communities, based on UNDP's 30 years of experience implementing the GEF-funded Small Grant Programme. These initiatives are examples only, as each catchment will require solutions fit-for-purpose.

Grant project eligibility criteria are framed by the concreteness mandate of the Adaptation Fund (activities producing visible and tangible results on the ground); adequateness of the proposed activities in light of the climate threats identified; by the eight Locally-led Adaptation Principles and by the priorities in the country's national climate strategy; engagement and consultation with IPs; and supportiveness of the DAs. The criteria will be contextualized to adequately reflect local ecological, social and economic circumstances, local stakeholder priorities and strategic considerations, as well as alignment with the eight criteria of the IUCN Global Standard for Nature-Based Solutions (address societal challenges, informed by scale, net gain to biodiversity and ecosystem integrity, economic viability, based on inclusive and transparent governance, adaptive management, and others). To ensure they are driven by LLA and community priorities, grant initiative eligibility criteria will be finalized by the NCACs (formed by a majority of community representatives) at the start of CIP implementation. When proposals are approved, grant funding is released on a schedule of payments tied to completion of agreed project milestones, in line with UNDP's Low Value Grant modality. The process of project design, submission, review and approval and the first payment can be as little as 2-3 months based on UNDP experience.

Actual amounts awarded as grants will vary according to the total costs of the different initiatives. However, in line with UNDP's Low Value Grant modality and experience with similar grant-making mechanisms, a maximum grant amount of USD 75,000 will be set per regular grant and a maximum grant amount of USD 150,000 per strategic grant which is aimed at (i) enabling scale up and replication of tested approaches and tools in multiple locations/communities; and (ii) consolidation efforts of several local communities. It is anticipated that this three-country Programme will fund approximately 100 regular grant initiatives at \$75,000 and six strategic grants at \$150,000 for a total of USD 8.74 million. The individual grant amounts may vary, while remaining under the LVG maximum limits, in accordance with CIP objectives, proposed activities and NCAC policies; this may result in higher numbers of grant initiatives with lower grant amounts. Individual NCACs may wish to establish maximum grant amounts based on a thorough analysis of needs, organizational absorptive capacities and other factors.

LVGs will fund a mixture of CRA adoption and catchment restoration/protection (NbS) actions, with the specific balance determined through the CIP consultation process in each catchment and confirmed through NCAC review. At a high level, the programme is designed to support a comparable order of magnitude of locally led initiatives in each catchment under the CIP approach (in the order of 28–38 initiatives per CIP), while allowing grant sizes and thematic focus to vary by catchment context. The exact number and size of grants will ultimately depend on a considered balance across (i) the share of cropland versus rangeland systems, (ii) the restoration/protection needs expressed in hectares, (iii) the structure and reach of local organizations and producer groups, and (iv) the size and complexity of initiatives proposed during CIP development. Organizational support (capacity building, facilitation, and technical assistance to local CSOs/CBOs and producer groups) will be scaled accordingly.

There are three Outputs under this Outcome and Component:

Output 2.1: Locally-Led Adaptation initiatives designed and implemented, according to CIP objectives

Grants will finance the demand-driven, locally led initiatives designed under Component 1 as part of each CIP. These can be grouped for illustrative purposes under Potential CIP Priorities with corresponding Potential CIP Streams of Work, as per the table below:

Table 2: Illustrative adaptation actions through CIPs under different streams of work

Potential CIP Priorities	Potential CIP Streams of Work
<p>Greater resilience of ecosystem services from improved ecosystem and water resource management</p>	<p>Revegetation of headwaters and other areas, including reforestation and wetland restoration: the longer-term impacts of this kind of activity are aimed at increasing groundwater recharge, particularly in aquifers but also in soils. Farmer Managed Natural Regeneration (FMNR) is a low-cost method of revegetation.</p> <p>Construction of barriers to reduce the rate of surface flow across the landscape: under this kind of initiative the aim is to increase infiltration of rainwater into the soil profile by enhancing the length of time water is resident on the soil surface by slowing its flow behind gully plugs, check dams, gabions or other devices.</p> <p>Establishment of water harvesting systems: In areas where water sources are scarce, local stakeholders may promote rainwater harvesting techniques (e.g., dug-out wells, water pans, and check dams) to store water during the wet season for use during dry periods.</p> <p>Community-managed water points: Local community organizations may pursue training in the management and maintenance of water points, such as boreholes, wells, and solar-powered water pumps, ensuring that they are sustainable and resilient to climate variability.</p> <p>Water conservation practices: Local Communities may adopt water-efficient technologies (e.g., drip irrigation for small-scale gardening or tree planting) and promote traditional knowledge for managing water resources sustainably.</p>
<p>Improved food security from enhanced sustainable grazing management</p>	<p>Pasture and rangeland restoration: Pastoralists may implement rangeland restoration techniques, such as rotational grazing, reseeding of native grasses, and the protection of critical grazing areas (e.g., wetlands, water points) from overgrazing. This will improve soil fertility, increase grass cover, and enhance biodiversity, which is essential for maintaining healthy ecosystem function and services as well as livestock productivity.</p> <p>Community-based grazing management plans: Pastoralist organizations might develop community-led grazing management plans that balance the needs of pastoralists with the sustainable capacity of the grazing lands. These plans would include the establishment of grazing corridors and "rest periods" for overgrazed lands.</p> <p>Monitoring land health: Local communities may wish to be trained to monitor and assess land degradation and soil health using participatory land-use mapping tools and mobile technology. This can help pastoralists make informed decisions about grazing locations and movement patterns.</p>
<p>Climate resilience-enhancing livestock management</p>	<p>Diversification of livestock breeds: Pastoralists may build their capacities for breeding and rearing of climate-resilient livestock species that are better adapted to heat stress and water scarcity.</p> <p>Livestock mobility agreements: In collaboration with local governments, pastoralist organizations may create livestock mobility agreements between neighbouring communities or regions.</p> <p>Alternative or diversified feed production: Pastoralists may seek to hedge against risk by producing additional feedstocks e.g. silage for use during times of drought.</p>

<p>Greater food security from enhancing the resilience of smallholder agricultural production</p>	<p>Agroforestry systems: cultivating annual crops with trees or shrubs reduces the soil surface exposed to raindrop impact, reduces soil temperatures, increases organic matter, and can improve soil nitrogen and other elements. The net effect of initiatives promoting agroforestry is increased soil moisture content, reduced runoff, and overall greater infiltration into the soil of rainwater.</p> <p>Resilience-enhancing agricultural cultivation practices: Practices that improve soil moisture, structure and fertility are adaptable to smallholder farms; for best ecological results aimed at enhancing resilience to climate change impacts, these practices should be adopted at scale i.e. as broadly as possible within and across the catchment.</p> <p>Agrobiodiversity: initiatives that support traditional farmers can play a significant role in meeting the challenges of climate change. Traditional farmers possess invaluable knowledge of their local environments, including soil types, rainfall patterns, pests, and diseases. Over generations, they have selected and maintained crop varieties (landraces) that are well-adapted to these specific conditions. This inherent adaptation can provide a crucial foundation for breeding crops that are resilient to changing climate conditions in those same areas. Traditional farming systems often maintain a high level of genetic diversity within and among crop species.</p>
<p>Diversification of livelihoods</p>	<p>Agro-pastoralism: Pastoralist organizations may promote sustainable agro-pastoral practices, where they diversify their livelihoods by incorporating drought-resistant crops, such as millet, sorghum, and legumes, alongside livestock. This will help buffer climate-related shocks to livestock.</p> <p>Alternative income sources: Based on assessments of market demand and access, initiatives may encourage the development of alternative income-generating activities such as beekeeping, eco-tourism, handicrafts, and small-scale agro-processing (e.g., milk or meat products). This will reduce individual dependence on a single livelihood and improve community resilience to climate impacts.</p>
<p>Community empowerment and governance</p>	<p>Strengthening local institutions: Grants can be provided to support the formation or strengthening of local community-based organizations (CBOs), smallholder associations, pastoralist associations, and women’s groups that can advocate for climate adaptation needs, manage resources, and mobilize funds for local initiatives.</p> <p>Inclusive decision-making: Grants to marginalized groups, especially women and youth, can be provided to promote their inclusion in decision-making processes related to climate adaptation. This will empower women and improve the long-term sustainability of the CIPs.</p> <p>Policy advocacy: Grants can be provided to community organizations to work with local governments and regional bodies to ensure that policies support the rights of smallholder farmers and pastoralists, such as access to farmland, grazing land, water resources, microcredits, markets and other.</p>

These interventions will be complemented by capacity building for local governance, implementation, and monitoring, as relevant. Details of the locally led interventions pre-identified for catchments in Zambia and Eswatini are available based on extensive stakeholder consultations and will be validated under Component 1. For Zimbabwe, scoping, identification and validation will all be undertaken during Component 1, although stakeholder consultations in the potential target catchment identified a number of locally-led activities that are prioritized in the different districts. Government led interventions in extension and/or temporary employment will also be aligned with CIP objectives and support the activities of the corresponding multi-stakeholder catchment platform.

Monitoring of grant initiatives will be carried out through a participatory multi-tiered system: community/initiative focal points will track progress against milestones and submit periodic updates to the National Coordinator; the National Coordinator will conduct field verification visits (including jointly with NCAC members where relevant); platform monitoring focal points will support catchment-level reflection; and verified initiative data will be entered and aggregated through the CIP-level MRV system for adaptive management, learning and reporting.

Activities:

- 2.1.1 Grant proposals designed under Output 1.4 are submitted to the NCAC for review and approval

- 2.1.2 Funding is transferred to local organizations on an agreed schedule of milestone-based disbursements
- 2.1.3 Monitoring, reporting and verification (MRV) of hydrological/ecosystem and livelihood objectives featuring adaptive learning; this activity is linked to Outputs 3.1 and 3.3.

Output 2.2 Capacities of local organizations strengthened for grant project design, implementation and MRV and broader NbS interventions implemented for CIP objectives.

This output equips community organizations, cooperatives, and local authorities to implement CIP-aligned NbS/CRA measures safely, effectively, and accountably, and to track results for adaptive management. It also supplements LVG implementations with activities directly implemented by government agencies contributing to overall CIP implementation. Support will focus on practical skills for field execution (plans, workflows, O&M), institutional competencies (safeguards, gender and inclusion, fiduciary basics), and community-level MRV (data collection, quality control, reporting, and learning). Delivery will combine targeted trainings, on-site coaching, and peer exchange through catchment platforms, with materials adapted to local contexts and languages. Training will be delivered through training of trainers/lead farmer and field school models, cascading down to individual producers with simple MRV of attendance and practice adoption. Competencies developed under this output will also underpin participation in PES/PES-type arrangements and access to complementary finance.

Activities:

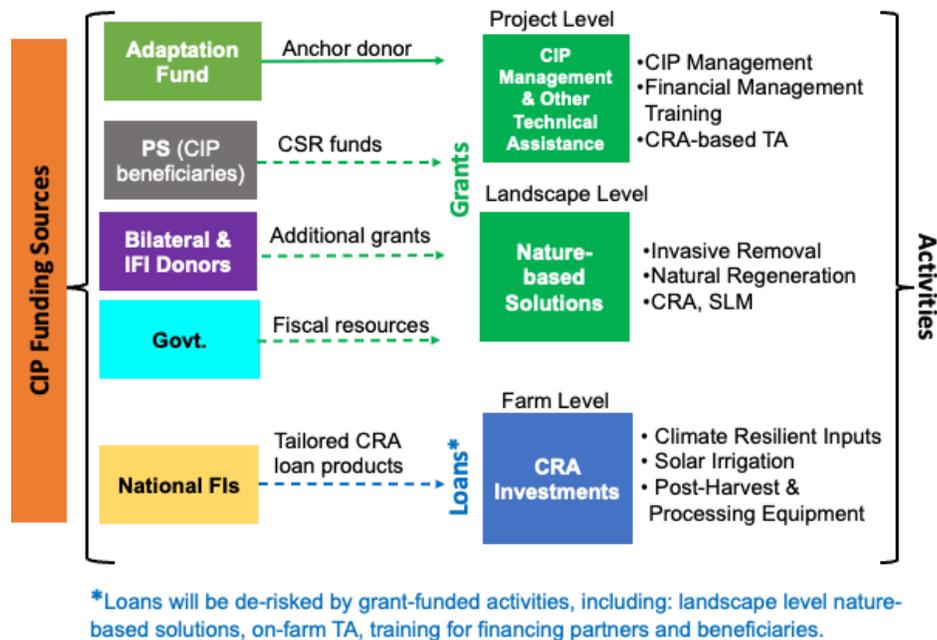
- 2.2.1 Local stakeholders, including community organizations, cooperatives and local authorities, identify capacity gaps and potential solutions, including training needs
- 2.2.2 Targeted training in Farmer Field Schools for stakeholders and implementation of relevant NbS activities by government agencies.
- 2.2.3 Training on community-level MRV protocols and data management, with facilitated knowledge exchange and learning across catchments; this activity is linked to Outputs 3.1 and 3.3.

Output 2.3 Establishment of non-grant financing mechanisms for sustained implementation of LLA initiatives

This output establishes non-grant financing pathways that sustain locally led adaptation beyond the duration of the programme. It is important to note that beneficiaries will have an inherent incentive to maintain the LLA initiatives during and after the project duration. NbS will have tangible adaptation benefits that beneficiaries will want to continue enjoying in the medium and long term; maintenance of the “minimum viable” level of NbS in most cases boils down to labor, which beneficiaries can provide in-kind in recognition of the benefits derived. Furthermore, the implementation of CRA leads to quantifiable financial gains in the medium term, in the form of higher agricultural yields – gains that can be often obtained with limited additional investment and primarily a modification of farming practices. The sustainability of the LLA initiatives is therefore not dependent on establishing non-grant financing mechanisms. Such mechanisms however can help upscale the LLA initiatives after the expiry of the Adaptation Fund project, both in area (expanding to areas adjacent to those addressed by the project) and in range of activities (e.g. financing the purchase of more expensive equipment by CRA farmers, leading to further increases in yields and income).

With this background, two complementary mechanisms will be pursued across all three countries: (i) catchment PES/ Environmental Trust Fund arrangements that aggregate recurrent payments from beneficiaries of improved hydrological services (e.g. water utilities/boards, irrigation schemes, hydropower, agribusiness/off-takers, municipalities) among other financing sources; and (ii) CRA lending facilities with national financial institutions to finance bankable, on-farm CRA investments. In Zambia, where groundwork is most advanced, the focus will be on operationalizing the CRA loan facility. In Eswatini and Zimbabwe, work will first complete preparatory analytics (market demand, borrower needs, instrument design) and help establish small pilots, applying lessons from Zambia to accelerate set up.

Figure 1: Financing Sources and Flows for Illustrative Program Activities



Note on Figure 1: Adaptation Fund resources are sufficient to deliver all Programme outcomes and outputs. Additional public and private finance pathways illustrated above are complementary and intended to support post-project scaling and sustainability, where viable.

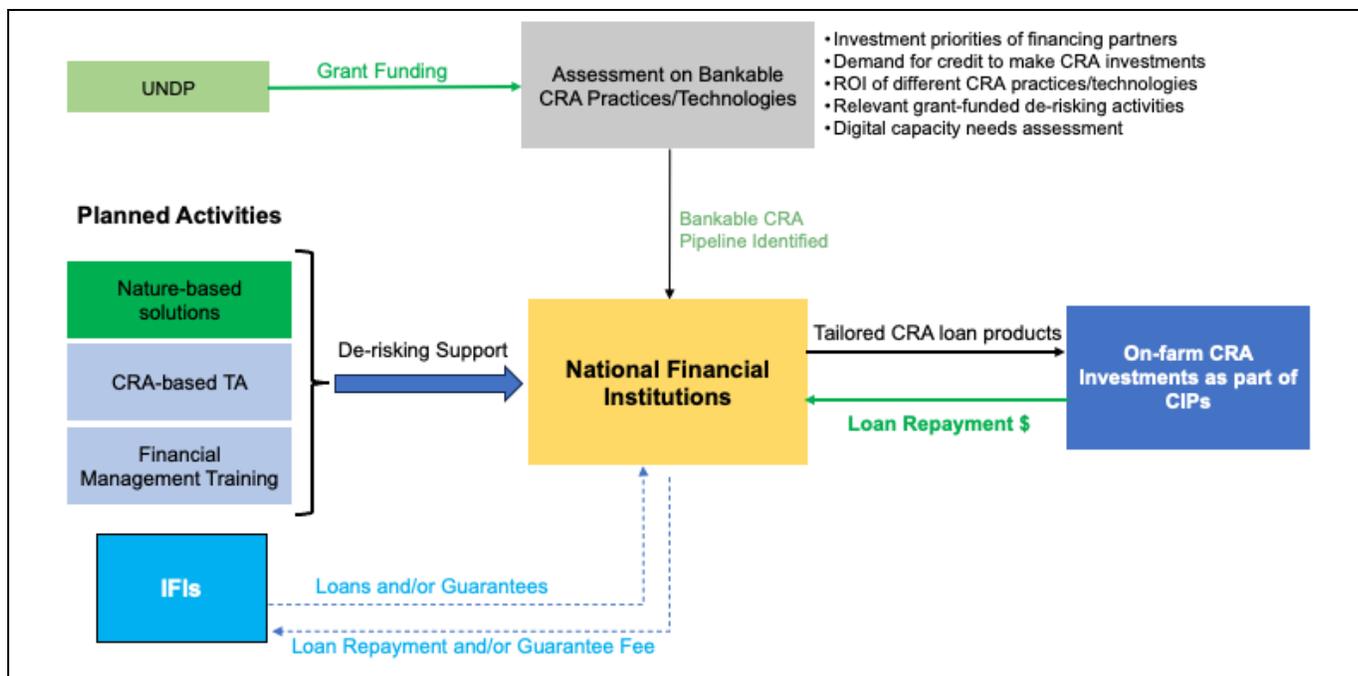
For PES/Trust Funds, the Programme will define the services to be remunerated and the performance proxies (e.g., hectares restored, sediment/turbidity indices, dry-season flow proxies) and will establish transparent governance and oversight arrangements. Grant-financed LLA initiatives under Output 2.1 will provide the initial portfolio of self-sustaining NbS interventions, whose amplification and replication can be financed through PES. Under this output the Programme will pilot PES transactions in which downstream beneficiaries (e.g., water utilities/boards, irrigation schemes, hydropower operators, agribusiness off-takers etc.) make recurrent payments into Environmental Trust Funds, and disbursements to upstream implementers are tied to agreed performance indicators. Where appropriate and if the necessary social and political buy-in is present, these payments will be institutionalized within participating public entities through specific tariffs or earmarked budget lines, with the resulting revenues transferred to and managed through the catchment Environmental Trust Fund and ring-fenced for upstream NbS and related CRA investments, thereby anchoring PES contributions in regular public finance systems while preserving their dedicated use. If social and political buy-in cannot be obtained during the project period, the three countries will still benefit from the PES schemes designed and piloted by the project, as templates/frameworks that can be quickly implemented once the social and political conditions are more receptive.

For the CRA loan facilities, grant resources will be used catalytically to support participating banks in the design of such facilities. Grants will underwrite the public-good costs that lenders are typically less inclined to cover, including preparatory analytics (market demand, borrower needs, instrument design), producer training, verification of practice adoption, borrower onboarding, pipeline aggregation through cooperatives, MRV and extension support, and facilitation of market linkages with off-takers to anchor loan repayment. These activities reduce perceived risk and lower unit transaction costs for financial institutions, allowing CRA loan programs to be designed, tested and scaled sustainably beyond the grant cycle. Partner financial institutions will be encouraged to link eligibility for CRA loans to verified training and practice adoption.

Building on this foundation, the Programme will co-design earmarked CRA credit facilities (including concessional loans and guarantees, where feasible) with participating banks using eligibility criteria tied to training, verified practice adoption and catchment improvements. It will also strengthen lenders' capacity for CRA credit appraisal and, drawing on market-demand and digital-capacity assessments, will support operationalizing the facilities by

closing systems gaps at partner institutions (e.g., borrower onboarding, data capture, risk analysis, portfolio monitoring). On the borrower side, producer groups will be linked to structured off-take agreements to improve bankability and repayment performance, complementing capacity building under Output 2.2.2. As previously noted, since CRA in its most essential application entails primarily a modification of farming practices, with limited need for expensive capex, it is expected that Adaptation Fund grants will be sufficient to guarantee CRA adoption at satisfactory scale during the project period. Supporting financial institutions in the design and implementation of CRA facilities, however, will allow a further CRA “boost” at the end of the project period, for instance through financing of more comprehensive farm mechanization. Consultations with Eswatini Bank, ZANACO and FBC Bank are summarized in the Stakeholder Engagement Report (Annex 5).

Figure 2: Financial Flow Structure for CRA Loan Facilities



In practice, Zambia is most likely to proceed to launch the CRA facility. Because ZANACO will need to source concessional finance to capitalize the on-lending facility, the Programme and ZANACO will organize a joint investor round to present the facility business model to prospective financiers, including its pipeline, risk-sharing structure, expected returns and climate resilience impact. Grant resources will finance the enabling work (documentation, due diligence, origination systems, borrower readiness, and pipeline preparation), not the capitalization itself. If first close occurs before Programme approval, grant support will pivot to post-close operationalization and early portfolio origination, while transferring lessons to Eswatini and Zimbabwe, which will undertake targeted assessments and design work to define the right loan product and verification model before rollout. Under activities 2.3.1-2.3.5, country-tailored activities for Eswatini and Zambia will include completing market-demand, borrower-need analytics and offtaker mapping; developing lender systems/credit-process diagnostics that cover onboarding, data capture, risk, portfolio monitoring and capacity development plans; structuring MoUs with identified offtakers that can anchor debt repayment; and pitching facility business model to crowd-in further finance from additional investors.

For each financing mechanism, the Programme will apply a phased and adaptive approach, with explicit decision points embedded in implementation. Progression from analytics to piloting and scaling will be contingent on completion of preparatory assessments (including market demand, payer or borrower readiness, and institutional feasibility), stakeholder validation, and early pilot performance. These decision points will be reviewed through annual work planning and Programme Board oversight. Where conditions are not yet sufficient to support full deployment of PES or CRA financing, activities will pivot to smaller pilots, delayed rollout, and development of templates for future implementation by the relevant counterparts. The Adaptation Fund grants will ensure that

adaptation outcomes are delivered while managing institutional, regulatory and market risks associated with innovative financing mechanisms.

Activities:

- 2.3.1 Map and engage prospective payers/beneficiaries and financial partners for PES/Trusts and CRA lending.
- 2.3.2 Define eligible performance-based services and payment rules, aligning verification with CIP M&E system
- 2.3.3 Establish PES/Trust governance and fiduciary arrangements (custodian selection, operating rules, community representation) and pilot disbursements.
- 2.3.4 Co-design CRA loan facilities with participating banks and build lender capacity
- 2.3.5 Facilitate market linkages between producers and offtakers to support lending
- 2.3.6 Zambia CRA facility operational readiness and pilot launch support

Component 3: Global Learning and Knowledge Management System

Outcome 3: Evidence generated from CIPs and their catchment management initiatives is used to strengthen climate adaptation policies and strategies, and to improve adaptive management and stakeholder learning across catchments

Local stakeholder grantee organizations will be empowered, mobilized and capacitated through technical assistance for generation of evidence-based knowledge and results, facilitation of learning-by-doing and peer-to-peer sharing across catchments. Each initiative and each CIP will have an agreed monitoring protocol integrating indicators and targets to assess achievement of or progress towards grant project outputs and CIP objectives. Local community organizations will identify the indicators and targets at project design and meet periodically during Programme implementation to assess progress, as well as at the end of project funding. Post project analysis by the LC grantee organization will include identification of adaptive management measures to be taken to overcome obstacles, deficiencies or failures potentially affecting performance of a future initiative or continued activities.

The Programme will document lessons from the application of traditional knowledge systems and tenure-secure adaptation strategies. Knowledge products will include community-led climate indicators, guidelines on customary land tenure recognition, and case studies on locally led catchment governance models. These will be disseminated locally, nationally, and internationally, contributing to policy influence within the UNFCCC, UNCCD, and CBD processes.

The Programme's Learning and Knowledge Management system (LKM) will build on existing UNDP-supported KM systems for local action and climate adaptation, in particular the SGP Knowledge Management system(<https://sgp.undp.org/our-approach-153/knowledge-management.html>). This system, given UNDP's global reach and presence in 170 countries, will contribute to rapid acceleration of the development and adaptation of innovations in consultation with the UNFCCC Local Communities and Indigenous Peoples Platform (LCIPP). The knowledge obtained from locally-led experiences and lessons learned will be socialized through UNDP's national, regional and global networks of stakeholder organizations and will broaden the UNDP and other knowledge repositories and be used in upscaling successful initiatives. The increased capacity of community-level stakeholders to generate, access and use information and knowledge is expected to increase the sustainability of project activities beyond the life of grant funding. Targeted knowledge management and communications activities will aim to share lessons and experiences and showcase results of gender mainstreaming, as well as inclusion of vulnerable and marginalized groups.

Grantee organizations will meet in a participatory process of analysis, reflection and discussion to assess implementation progress and identify successes and mistakes based on the agreed targets and indicators they

identified in their grant-financed proposals. This process of learning-by-doing will build their capacities to undertake this kind of evidence-based knowledge generation beyond their project lifetimes. The resulting knowledge will be recorded and codified for simple interim implementation information, as well as for a final initiative report. The knowledge resulting from these reports and analyses will be codified and compiled in the LKM, which will integrate learning and knowledge generated at national and local levels as part of Components 1 and 2 and other relevant CIP processes. This knowledge and information will be systematically disseminated or made available through the LKM to local communities, climate adaptation policy makers, national level NGOs, government agencies and institutions, AF National Implementing Entities, and relevant regional institutions and networks.

The Programme will also build institutional capacities at national (e.g. Ministerial) levels to acquire and manage information and knowledge from multiple national and international sources, which can then be used in CIP design, implementation, monitoring and adaptive management; national and regional policy making; and upscaling strategies and Programmes in shared watercourses. This will include a regional coordinating mechanism for analysis and discussions of lessons learned and their potential application to policy, programming and partnership development, including climate resilient investment planning. The Regional Programme will generate and disseminate knowledge from CIPs through the regional coordinating mechanism, based on lessons learned, impact evaluations and ongoing participatory action research, to all SADC countries using relevant media, peer-to-peer exchanges, SADC-related technical meetings and academic and practitioner networks. In particular, the Programme will systematize and disseminate the country-level, multi-variate analytical methods used in guiding national authorities in catchment selection and prioritization. Key results of this output will be strategies and policy proposals at national and regional levels to upscale and strengthen watershed-focused climate resilient investment planning and programming.

The Programme will analyze the data and experience from the development of economic instruments and financial mechanisms, particularly PES and CRA loan facilities, to synthesize lessons and best practices in relation to their financial sustainability and the economic benefits to participating stakeholders.

Under this Outcome, the program will support the Watercourse Commissions and Technical Committees, SADC and the relevant Ministries and local authorities to adopt NbS solutions at scale across shared river basins, contributing also to the Great Green Wall (GGW) pillars on exchange of information and knowledge as well as the scaling up of lessons learned across the region for informed policy making.

There are three Outputs under this Outcome and Component:

Output 3.1: Development and implementation of a peer-to-peer learning and exchange Programme at national and local levels for upscaling and adaptive management

Activities:

- 3.1.1 Catchment platforms – under the leadership of local Learning Leaders (see Output 3.3) - discuss and agree context-specific learning and knowledge generation goals, objectives and outputs and define relevant grant proposal formats and requirements for M&E and knowledge generation and dissemination;
- 3.1.2 Local organizations identify and integrate learning objectives into grant proposals consistent with catchment level learning and knowledge generation goals;
- 3.1.3 Local organizations budget learning costs in grant proposal budgets;
- 3.1.4 Catchment platforms agree on and organize a Farmer to Farmer (F2F) system of peer-to-peer exchanges among groups and communities across the catchment, as well as with interested communities nationally;
- 3.1.5 Local organizations reflect on project design and implementation experience with Programme staff assistance and produce locally accessible reports and other material for distribution to peer organizations and others.

Output 3.2: Establishment of a regional mechanism for analysis and discussions of lessons learned, their relevance and potential application to policy, programming, and partnership development

- 3.2.1 Establish mechanism governance and operational structure incorporating learning and sharing elements from a variety of sources, including The Nature Conservancy's Conservation Training and Water Funds, FAO's Global Farmer Field School Platform and the Watercourse Commissions
- 3.2.2 Analyses of multivariate method of assessment of catchment factors for upscaling, together with ongoing assessments of CIP experiences
- 3.2.3 Development of a regional M&E regime and strategy to identify and fill gaps in knowledge related to socio-ecological processes and factors to enable adaptive management of catchments.
- 3.2.4 Systematization and dissemination of the country-level, multi-variate analytical methods applied during Funding Proposal development and used in guiding national authorities in catchment selection and prioritization
- 3.2.5 Execution of independent expert evaluations and assessments of key CIP processes and their performance in enhancing socio-ecological resilience and final collation into a practitioner-oriented tool.

Output 3.3: Development of a regionwide Adaptation Learning Programme from catchment planning and implementation experience for national, regional and global engagement

Activities:

- 3.3.1 Establishment of Learning Leaders (LLs) in each CIP platform and NCAC to lead development and execution of an Adaptation Learning Programme
- 3.3.2 Training and coaching of LLs in credible knowledge generation methods as part of CIP and grant project design
- 3.3.3 Identification by Regional Programme staff in concert with NCACs and CIP platform LLs of recurrent or common themes and key topics (e.g. customary land tenure regulation; catchment or resource governance structures; market access issues; community CC indicators and early warning, etc.);
- 3.3.4 Compilation of information and knowledge regarding key topics, production of knowledge products, and development of a learning and dissemination plan; Knowledge products disseminated nationally, regionally and globally and stored on Learning and Knowledge Management system accessible publicly
- 3.3.5 Lessons learned and knowledge from CIP and grant project implementation is reviewed and assessed by NCAC and CIP LLs and Regional Programme staff for relevant policy contributions
- 3.3.6 UNDP, NCACs and Regional Programme staff together produce a series of products for specific presentations to governments and regional bodies

B. Comprehensive application of the eight Principles of LLA

The Programme proposed here integrates the eight LLA principles as the framework guiding the development, implementation and adaptive management of Catchment Investment Programmes, as demonstrated in the table below.

Table 3: Application of the Eight LLA Principles Across the Catchment Investment Programme Cycle

LLA Principle	LLA explanation	How the proposal upholds these principles
1. Devolving decision making to the lowest appropriate level	Giving local institutions and communities more direct access to finance and decision-making power over how adaptation actions are defined, prioritized, designed, implemented; how progress is monitored and how success is evaluated.	Local communities focusing on enhancing the resilience to climate change impacts in their selected catchments will have direct access to grant funding to finance locally-led adaptation initiatives. They identify, co-design and implement these initiatives as part of a Catchment Investment Program (CIP) that they co-design with other communities in the targeted catchment. The design of the CIPs and their constituent grant-funded initiatives will include indicators and targets that local communities will use to monitor progress and assess success.
2. Addressing structural inequalities faced by women, youth, children, people with disabilities, people who are displaced, Indigenous Peoples and marginalized ethnic groups	Integrating gender-based, economic and political inequalities that are root causes of vulnerability into the core of adaptation action and encouraging vulnerable and marginalized individuals to meaningfully participate in and lead adaptation decisions.	Integration of gender-based, economic and political inequalities will be integrated into the core of Catchment Investment Programs by: <ul style="list-style-type: none"> • Ensuring robust representation on National Catchment Adaptation Committees; • Ensuring equitable representation on multi-stakeholder catchment platforms • Including a focus on addressing gender-based, economic and political inequalities in CIP Strategies as well as grant eligibility criteria; • Specifically targeting IPs and marginalized ethnic groups for grant development • Providing direct technical assistance to organized youth, children, people with disabilities, people who are displaced and others to develop proposals for funding.
3. Providing patient and predictable funding that can be accessed more easily	Supporting long-term development of local governance processes, capacity and institutions through simpler access modalities, as well as longer term and more predictable funding horizons to ensure that communities can effectively implement adaptation actions.	Locally-led adaptation initiatives exemplify collective action by organized groups, whether formally or non-formally constituted. These groups are represented on the NCAC and multi-stakeholder catchment platforms, where they play decisive roles in program and catchment governance. Outside of these structures, these groups act as informal governance mechanisms as they develop a vision and objectives underpinning their collective voice along with commitment and peer pressure to apply for compliance with strategic objectives. This collectivity can be used to advocate policy reforms and new programs, negotiate with private entrepreneurs, or negotiate credit with lenders. Only as an organized group or network will longer term and more predictable funding be possible, whether by private investors, donors or government. With their participation and ownership of the CIPs and engagement with financial backers, local communities build their capacities through learning-by-doing and can continually propose adaptations to catchment and Programme governance, including simpler access modalities. The approach proposed here will provide predictable funding to local communities that can be accessed more easily and more quickly building on and complementing initiatives identified in Part II.I of the proposal. This

Programme will explore the potential for Payment for Ecosystem Services in the selected catchments with the aim of establishing PES systems that benefit catchment stakeholders and encourage them to maintain resilience-enhancing NbS.

4. Investing in local capabilities to leave an institutional legacy

Improving the capabilities of local institutions to ensure they can understand climate risks and uncertainties, generate solutions and facilitate and manage adaptation initiatives over the long term without being dependent on project-based donor funding

The program proposed here invests in building the capacities of local communities to identify their vulnerabilities to climate risks and uncertainties and from there, to generate and innovate solutions, implement them and then analyze their performance for subsequent lessons to be applied in an ongoing process of adaptive management. LC grant proposals incorporate capacity development both in a learning-by-doing mode, as well as through explicit training aimed at achieving grant project objectives.

The strengthening of local capabilities is both purposeful – e.g. technical workshops, training – and organic in that the informal interactions and exchanges between Local communities in the catchment and with local government institutions create and sustain a culture of climate adaptation awareness. Over the long-term, this network of Local communities in a catchment strengthens relationships with local governments, develops partnerships with entrepreneurs and local businesses, as well as NGOs, and advocates policy reforms.

At the same time, training and capacity improvement activities will be carried out with relevant national and local institutions supporting local communities and producers' associations.

5. Building a robust understanding of climate risk and uncertainty

Informing adaptation decisions through a combination of local, traditional, Indigenous, generational and scientific knowledge that can enable resilience under a range of future climate scenarios.

Stakeholder development and implementation of locally-led adaptation initiatives ~~exemplifies~~ **exemplify** collective action by organized groups, whether formally or non-formally constituted. These groups' grant proposals embrace local, traditional, Indigenous, generational and scientific knowledge in proposal design and implementation. Multi-stakeholder catchment platforms and the NCAC –with local community representatives - will also assess the logic rationale for their proposals and refer proponents to knowledge sources both individually or in combinations of traditional, conventional, generational, etc.

6. Flexible programming and learning

Enabling adaptive management to address the inherent uncertainty in adaptation, especially through robust monitoring and learning systems and flexible finance and programming.

The participatory M&E method proposed in this Programme ensures learning and generation of knowledge useful to adaptive management by local communities.

Each grant proposal is aimed at producing three fundamental things: adaptation impacts, strengthened individual and organizational capacities, and knowledge stemming from the experience of design and implementation. Each proposal identifies targets and indicators for each of these foundational elements, which are monitored and assessed to determine progress, obstacles, failures and successes. Local communities practice adaptive management by using this information to

identify lessons and, using these lessons, to plan subsequent phases of the implemented initiative in an ongoing process of climate change adaptation.

7. Ensuring transparency and accountability	Making processes of financing, designing and delivering programs more transparent and accountable downward to local stakeholders.	The processes of locally-led identification, design, implementation and evaluation of CIPs and their constituent initiatives follow a participatory method that ensures transparency and enhances local leadership and accountability. Collective action by local communities bolsters compliance by their members of group rules and catchment strategies and objectives. The NCAC also monitors the financing, designing and delivering of the CIPs and reports to UNDP on their findings.
8. Collaborative action and investment	Collaboration across sectors, initiatives and levels to ensure that different initiatives and different sources of funding (humanitarian assistance, development, disaster risk reduction, green recovery funds, etc.) support each other, and their activities avoid duplication to enhance efficiencies and good practice.	Local communities' networks at catchment level are positioned to collaborate with different programs and projects funded from other sources that are active in their catchments. The multi-stakeholder catchment platforms and local communities' networks are best placed to ensure that their activities avoid duplication, generate synergies, and socialize and use best practice to enhance efficiency. This will become more effective as local communities and their networks grow and mature with time through learning-by-doing at individual, organizational and network levels and by participating in catchment governance. The multi-stakeholder NCAC will bring information and knowledge to local participating institutions, improving cross-sectoral dialogue, understanding and coordination, as well as assisting in partnership development and the pursuit of further financing.

C. Sourcing and screening locally-led small grant proposals for the potential to support concrete adaptation actions

The regional programme for *Financing locally led nature-based adaptation solutions for catchment resilience in Southern Africa* will provide direct access to grant funding to local communities of smallholders and herders in catchments identified during proposal scoping and formulation by government authorities in consultation with other multiple stakeholders. At the start of the program, multi-stakeholder **National Catchment Adaptation Committees (NCACs)** will be established based on the National Steering Committees in each country of the UNDP Small Grants Programme. The NCACs will establish multi-stakeholder Catchment Platforms to design, confirm and operationalize **Catchment^[1] Investment Programmes (CIPs)** consisting of locally-led initiatives developed and coordinated by the Platforms within an agreed participatory catchment planning and management framework. These initiatives can be readily linked to domestic finance that aligns with local climate adaptation priorities as well as larger national and regional financing bodies such as AF National Implementing Entities and National Climate Funds. In addition, these CIPs will serve to localize the NDCs, LDNs, NBSAPs and SDGs and other relevant national development plans, linking local initiatives to national priorities.

Each country will establish a National Catchment Adaptation Committee, which will provide technical guidance; strategic planning support; introductions to potential financiers, government agencies and private sector entities and others; and general oversight of the development and implementation of a country's CIP, as well as due diligence of CIP processes overall. Each NCAC will include membership by the relevant government representative

and UNDP as permanent institutional members, with majority membership by representatives from local smallholder and herder communities. In general, the NCAC will be comprised of at least one government representative, a representative of UNDP, a representative from the AF National Implementing Entity, and experts in locally-led adaptation, gender, and other locally relevant topics, local entrepreneurs (where relevant), representatives of smallholder associations, pastoralist organizations, academic and expert institutions and others.

The NCAC will be served by a **National Coordinator (NC)** who will manage the CIP, liaising between the Regional Programme, the national executing entity and responsible party partners, and the NCAC, as well as between the NCAC and local communities and other partners in the catchments. The NC will act as secretary to the NCAC. The NCAC will review and approve the CIP development process (described below) coordinated by the **NC**, including adapting and/or developing grant project selection criteria as well as proposals for funding and pursuing potential complementarity or alignment with other donors and strategies. Through their role in the NCACs, representatives of the National Implementing Entities will be strongly involved in the programme, including in the sourcing and screening of the locally-led small grant proposals.

The NCAC will enhance alignment and coordination of climate policies, plans and implementation across different levels of government, leveraging the potential of each respective level through collective efforts and promoting top-down and bottom-up information exchange.^[2] Top down/bottom up vertical integration efforts together will support CIPs over time to address more complex adaptation and mitigation challenges with financial support, technical guidance, advice and expertise from the national level, including the private sector, academia and civil society.

Catchment Investment Programme – stepwise development and implementation process

1. Catchment selection: catchment context, consultations, multi-stakeholder platform

The local catchments to be considered for CIPs have been identified and defined through consultative processes carried out with multiple stakeholders including local communities and in combination with multi-criteria analyses during proposal scoping and formulation by UNDP and government authorities, building on the NDC and other relevant studies and policy documents. These target catchments include the Upper Lunsemfwa and Mkushi in Zambia, the Upper Usuthu in Eswatini, and Sanyati catchment in Zimbabwe.

In Zambia, the Upper Lunsemfwa and Mkushi sub-catchments are located in Mkushi District in Zambia's Central Province, within the Luangwa basin, and encompasses the headwaters of the Lunsemfwa and Mkushi rivers. The area is a nationally important agricultural zone and supports a mix of smallholder subsistence farmers and large commercial farming blocks, alongside downstream hydropower generation. The catchment is increasingly affected by climate variability, including more frequent droughts, erratic rainfall and flash flooding, which have intensified water stress and competition among users. Environmental degradation is pronounced, driven by deforestation for charcoal production, expansion of agriculture and mining activities, frequent wildfires, and soil erosion. Tree cover loss in the Mkushi area has exceeded national averages, contributing to declining water quality, increased sedimentation of rivers and reservoirs, and reduced dry-season flows. Livelihoods are highly dependent on rainfed agriculture and surface water sources, making communities particularly vulnerable to climate shocks. These combined pressures have weakened ecosystem services, heightened conflicts over water use, and increased risks to food, water and energy security, underscoring the need for integrated catchment-level adaptation and restoration interventions.

In Eswatini, The Upper Usuthu Catchment is located in central and western Eswatini and forms part of the Usuthu River Basin, the largest river basin in the country, covering approximately two-thirds of Eswatini's land area and supporting the majority of national water demand. The catchment spans multiple administrative regions, including Manzini and Hhohho, and encompasses predominantly rural and peri-urban communities whose livelihoods depend largely on smallholder crop production, livestock rearing, and natural resource use. The Upper Usuthu Catchment is highly vulnerable to climate variability and change, experiencing recurrent droughts, increasing rainfall variability, and more intense rainfall events that contribute to soil erosion, land degradation,

and sedimentation of downstream water infrastructure. These pressures are compounded by widespread degradation of rangelands and riparian zones and the proliferation of invasive alien plant species, which reduce water availability and agricultural productivity. National multi-criteria vulnerability assessments consistently rank the Upper Usuthu Catchment among the most climate-vulnerable areas in Eswatini, both historically and under future climate scenarios, supporting its selection for targeted locally led adaptation and nature-based solutions under the Programme.

In Zimbabwe, the Sanyati catchment, a major sub-basin of the Middle Zambezi system located in Midlands and Mashonaland West Provinces, spans the districts of Sanyati, Hurungwe, Gokwe North and Kariba. The catchment drains into Lake Kariba, making it strategically important for downstream water security, hydropower generation, fisheries, and ecosystem services at national and regional levels. The landscape is predominantly semi-arid to sub-humid, characterized by extensive smallholder farming systems, communal rangelands, forest and woodland areas, and mixed crop–livestock livelihoods. The catchment is highly vulnerable to climate change impacts, including recurrent droughts, rising temperatures, increasing rainfall variability, and more frequent dry spells, which are exacerbating land degradation, deforestation, declining soil fertility, and water scarcity. These pressures are undermining agricultural productivity, livestock health, and natural resource-based livelihoods, while increasing erosion and sedimentation in rivers and reservoirs. High levels of poverty and reliance on climate-sensitive livelihoods heighten vulnerability, underscoring the need for integrated, catchment-scale, locally led adaptation approaches that address both ecosystem resilience and livelihood sustainability.

With proposal approval, NCACs will be established and, assisted by the NC, dialogue with representatives of local community organizations (smallholder associations, pastoralist groups, et al.), national and local agencies and NGOs, donor representatives and private sector partners to inform them of proposal approval and further steps in CIP development and operationalization. The NCAC will discuss potential stakeholder inputs or concerns and confirm their interest and commitment to supporting a locally-led CIP process of participatory design and implementation.

Catchment selection is confirmed through dialogues with and among local stakeholders and national or subnational authorities based on analyses of climate vulnerability and potential longer-term socio-ecological impacts. The socio-ecological vulnerability of each catchment will be socialized based on a review of existing publications, studies and other material, and further validated and refined through field visits and in-depth conversations with local community representatives and their organizations. As part of this process, a rapid participatory vulnerability assessment might be made by local experts with stakeholders as a step towards broader understanding of catchment socio-ecological dynamics.

Development of the CIP starts by bringing together local catchment stakeholders – local farmers’ associations, livestock herders, women and youth groups, local government, utilities, supportive institutions, commercial farmers, and others - to establish a **catchment level multi-stakeholder platform** consisting of representatives of local government and local community organizations with an emphasis on inclusion of the most vulnerable populations under a Leave No One Behind policy. This platform – with a majority civil society membership - will be responsible for planning, operationalization and management of the CIP, with technical support from government, NGOs, and other sources of expertise. These multi-stakeholder catchment governance platforms are responsible for analysis and decision making, supported by technical assistance, financing and knowledge from traditional sources and appropriate experts and institutions.

2. Catchment Investment Programme development: workshop, participatory analysis and design

Once local stakeholder participation in the catchment platform is confirmed, a catchment level workshop involving all resident local communities is carried out. Development of the CIP in this workshop follows a participatory process of analysis (climate change impacts; socio-ecological vulnerability; socio-economic mapping, financial resources, etc.), identification of trends in vulnerability (increase, decrease, steady state), and delineation of causal pathways.

Workshop participants determine desired **catchment level objectives** for ecosystem services; sustainable production; alternative livelihoods (where relevant); and governance, management, and financing to grow and sustain investments in catchment ecosystem and community resilience. Outcomes may be relatively broad e.g. increased water availability for irrigation or increased and more stable agricultural yields. Under each objective, workshop participants identify and prioritize **outputs to achieve the objective** – for example, for increased water availability, activities might include headwaters forest restoration; wetlands restoration and management; more efficient irrigation methods, etc. With each output the corresponding **indicators and targets** will be established for periodic review and assessment (M&E) during and after CIP implementation.

The multi-stakeholder platform identifies the suite of investments needed to achieve the socio-ecological resilience objectives identified by the catchment's local stakeholder communities, based on the qualifying/exclusionary criteria to be developed and refined during CIP preparation. The platform organizes them strategically with, for example, grants to de-risk follow-on investments in irrigation infrastructure; or to farmers' associations for resilience-enhancing agricultural training and inputs. As part of this exercise, potential external and internal (to the catchment) partners are identified, consulted and engaged. Local communities are then positioned to discuss these locally identified investments and the activities and financing required to achieve them. CIP implementation is envisioned through a two-pronged approach – one set of actions led by local communities through low-value grants and another set of complementary activities through direct implementation by government and local partners. The sections below specifically focus on local adaptation action through grants approach.

3. Locally led small grant proposals: sourcing and selection

With the CIP objectives and outputs providing the locally identified framework for resilience-enhancing action, local stakeholder communities can then decide which of the outcomes and outputs they wish to focus on and support with grant financing. **The NC will work with interested communities at the workshop to develop their priority ideas and draft proposals aimed at producing interlinked results under three broad categories: adaptation or resilience impacts, individual and organizational capacities, and evidence-based knowledge.**

The NC assists local communities in technical development of proposals and ensures that the LC proposals fulfil the criteria required by the AF – compliance with national technical standards, non-duplication with other projects and programmes, alignment with national climate adaptation plans and strategies, gender responsiveness, etc. – as well as contextual criteria adopted by the NCAC – prioritization of women, youth, pastoralists, smallholders; maximum grant amounts (e.g. less than \$ 75,000), etc. LCs finalize their proposals and submit them to the NCAC for review and approval.

4. Implementation of small grant proposals

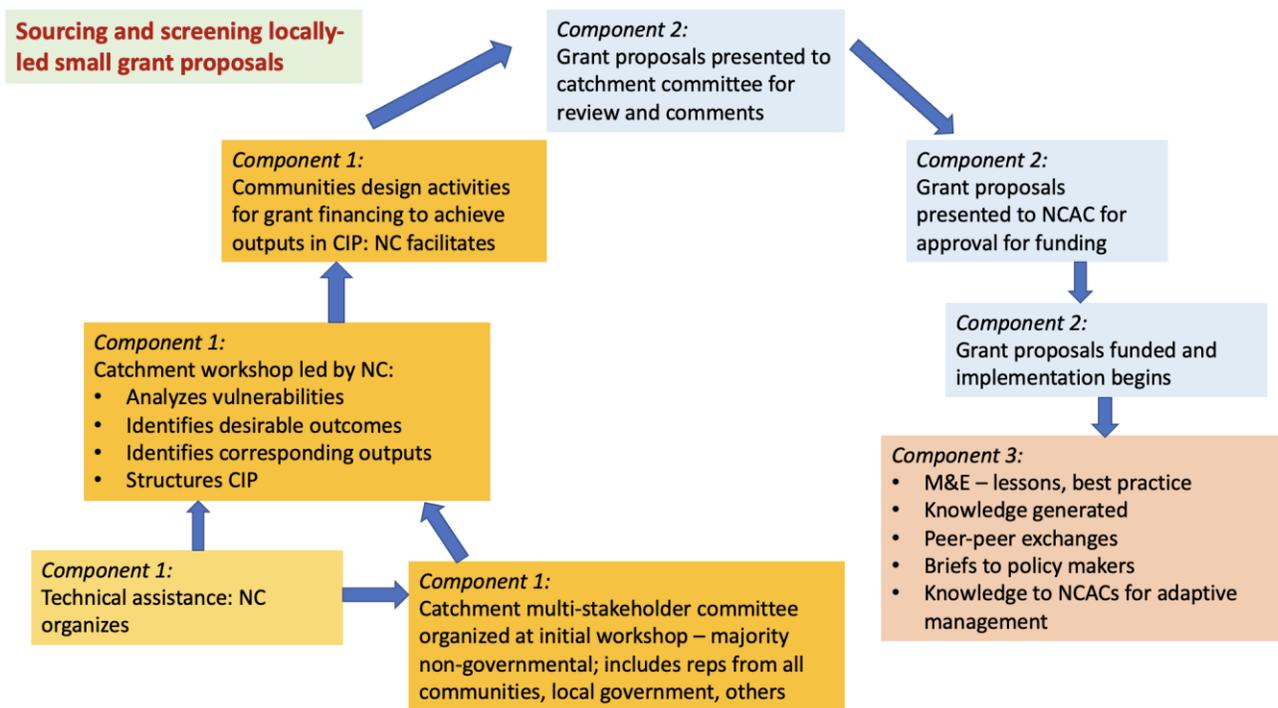
With approval of grant proposals, local stakeholder communities proceed to the formulation and implementation of annual work plans for the different funded initiatives, punctuated by periodic assessments of progress and application of adaptive measures, where needed. Grant funding is accessed by different LCs for their different initiatives and disbursed against a schedule of initiative-specific milestones.

The multi-stakeholder catchment platform will meet periodically to assess progress on implementation of the CIP overall and to make adaptive management decisions based on lessons learned, new information, evolving capacities, innovations or other factors. The CIPs will be monitored and evaluated using SMART indicators identified by the multi-stakeholder catchment platforms during CIP formulation.

CIP implementation is supported by the NC in coordination with government partners and programme staff, who supports local NCAC by practicing due diligence at platform meetings and for all activities; working with LCs to overcome obstacles to efficient implementation; reporting on implementation progress of the initiatives and the CIP, identifying potential local partners for marketing; and other tasks.

Each LC proposal will also include a participatory M&E plan with indicators and targets, as well as a schedule of reviews of project progress, including a final participatory assessment of what worked and didn't work in terms of the expected results. This knowledge will be codified in a final report for dissemination to NCAC members, to partner communities and organizations in the catchment, in the country and in the region, and to relevant NGOs and Ministries, as well as to the global Learning and Knowledge Management System of UNDP. The LCs will use this knowledge and information to adapt their catchment planning and management to follow-on efforts.

Figure 3: CIP Implementation Process for Low value grants



D. Economic, social and environmental benefits

The CIP programming methodology and framework is aimed directly at enhancing socio-ecological resilience from coordinated locally-led activities that improve or sustain ecosystem services, agricultural and other production, and alternative livelihoods, as well as governance, management and financing capacities and mechanisms. Locally identified grant proposals will highlight economic, social, and environmental benefits that will be quantified whenever possible. Grant project eligibility criteria contextualized for each CIP will include references to the equitable distribution of benefits to vulnerable communities, households, and individuals.

The CIPs will focus on the participation of local communities, including marginalized/minority groups and their empowerment through design and implementation of initiatives of their choosing. This will ensure that benefits specific to their needs and circumstances are considered and that risks of marginalization are negligible.

Benefits to CIP participant local communities – based on the UNDP's three decades of support to local sustainable development efforts through its SGP and other Programmes – will fall within three broad categories: economic, social and environmental (ecological). These benefits interlock to produce the ultimate benefit - socio-ecological catchment resilience to climate change impacts:

Environmental benefits from ecosystem restoration initiatives and ecologically sustainable production systems - e.g. improved ecosystem function leading to increased water accessibility and availability, biodiversity, and soil quality. These underpin:

Economic benefits (greater food security and incomes from increased agricultural and pastoral yields and sustainability) from greater access to and increased availability of water in soils, streams and aquifers, which improve:

Social benefits from inclusive stakeholder participation on the multi-stakeholder catchment platforms during analysis of climate vulnerability; ongoing formulation and management of CIPs; identification, design and implementation of CIP constituent initiatives; monitoring and knowledge generation from learning by doing and, finally, the empowerment from exercise of their agency that will encourage them to continue on indefinitely with adaptive management of resilience-enhancing activities. Local communities will also benefit from increased capacities for planning and project management, advocacy, organizational development, community engagement and adaptive management.

Economic benefits will also include the benefits to downstream CIP beneficiaries, such as the households and companies receiving a steadier water supply (despite the effects of climate change) from water utilities reliant on the restored watersheds.

Climate co-benefits will be derived from the reduction in GHG emissions from reforestation and similar NbS solutions put in place.

Local communities in the catchment identify CIP objectives and activities in dialogue with government institutions and NGOs and then are assisted in developing their locally-led initiatives to achieve activities and objectives. Given this participatory methodology of CIP development, equitable distribution of benefits will be a constant guiding feature and criteria of all grant-funded initiatives. Each proposal will be reviewed by the NCAC for equity in benefits accruing to individuals, households, organizations and communities.

An initial assessment of potential beneficiaries was undertaken during the design phase of this Programme, including socio-economic characteristics, geographical locations and relevant specificities of expected beneficiaries (Local Communities) as well as marginalized and minority groups. This is reflected in Annex 5, the consolidated stakeholder engagement report. Gender analyses were also carried out at country level, which allowed the development of a Programme-level gender action plan (please see Annex 4).

E. Cost-effectiveness of the proposed Programme

The proposed programme is intrinsically more cost-effective than any conventional alternative, especially any grey infrastructure investments to secure water supply. NbS, complemented by the widespread adoption of CRA, is effective in protecting water catchments from the effects of climate change while carrying a low upfront cost. With proper training of local stakeholder and beneficiaries, the ongoing maintenance of NbS, after the initial implementation, is also not very costly and often entails primarily in-kind labor contributions from beneficiaries. This observation is true not only for the Programme countries but more broadly, with studies finding that Nature-based solutions (NbS) for infrastructure are 50% cheaper than traditional man-made infrastructure.¹⁷

The cost effectiveness of the programme is also rooted in its localized design and implementation process. By providing funding directly to local communities and minimizing the CIP approval and implementation layers, the programme reduces (though not eliminates) institutional, administrative and operational costs associated with established programmes that aim at motivating change to the behavior of local stakeholders. Conversely, grey infrastructure investments with a high upfront cost would also require heavier involvement of central and regional government authorities, which would extend implementation periods and come with additional administrative costs. Grey infrastructure is also more costly from an environmental and social safeguard perspective, since it entails hard interventions on the local ecosystem and potential disruptions to the local communities.

More conventional programmes can be less effective on the ground than a programme of locally-led initiatives,

¹⁷ <https://www.weforum.org/stories/2023/01/climate-change-cities-nature-based-solutions-wef23/>

because while local communities may be consulted, they are rarely involved in the identification of desired objectives and activities or decision making in the design of local level projects. These constraints on local communities cripple commitment and ownership, reducing the potential for robust impacts and sustainability.

The proposed programme will be executed building upon lessons learned from the UNDP-implemented GEF-supported Small Grants Programme, and learning from programs like AFCIA which support local adaptation entrepreneurs, which are more cost effective in comparison to similar on-granting programmes implemented by international NGOs or multilateral institutions¹⁸.

Direct access to funding for locally developed and implemented initiatives within the framework of a locally-led Catchment Investment Programme will increase ownership by local communities of CIP objectives. The methodology of participatory vulnerability analysis, identification of outcomes and activities, capacity strengthening from learning-by-doing and the generation of knowledge from reflecting on implementation performance will all contribute to ownership, commitment and the building of a landscape community of local stakeholders with vision and the capacity for adaptive management. These are the foundations for sustainability of local level adaptation efforts.

Regional support to Catchment Investment Programmes will support cost-effectiveness primarily in delivering technical guidance (methodologies, tools, innovations) to NCACs and NCs; transmitting knowledge and information to NCACs and NCs; and providing a communications and knowledge generation system and platform for peer-to-peer exchanges of experience, lessons, expertise, traditional knowledge, etc. The technical guidance provided by the regional support will include clear quantitative cost benchmarks for NbS (e.g. sourcing of seedlings for reforestation, implementation costs per hectare, typical implementation time, costing of future maintenance), to ensure that local communities adhere to the strictest cost control standards. Cost benchmarking across Programme countries and CIPs will help with the early identification of cost outliers and the re-design or re-budgeting of local activities that exceed the costs of similar activities elsewhere in the Programme.

A demonstration of the programme cost-effectiveness by component is provided in the table below:

Table 4: Programme Cost-Effectiveness by Component

Programme component	Alternative/Conventional approaches	Programme approach
1. Catchment Investment Programmes (CIPs) Catchment Investment Programmes, consisting of multiple resilience-enhancing initiatives, prepared by Local Communities	Conventional approaches to landscape management are typically designed by external non-landscape actors – sectoral agencies, experts, and academics. Catchment plans are often formulated in depth well in advance of consultations with local stakeholders. Consultations are often superficial, and local stakeholder agency in design is limited to approving or discussing the draft plan. When government agencies or contractors are used to implement the plan, local stakeholders may be subcontracted as essentially employees with virtually no participation in decision making in the field. This limits the sense of ownership and responsibility of local stakeholders.	Local Communities focusing on enhancing the resilience to climate change impacts on their selected landscapes will have direct access to grant funding to finance locally-led adaptation initiatives. They identify, design and implement these initiatives as part of a Catchment Investment Program that they co-design with other communities in the targeted landscape. The design of the CIP and its constituent initiatives will include indicators and targets that Local Communities will use to monitor progress and assess success, including clear cost benchmarks for different types of NbS measures. With the LLA approach advocated by this programme, more funding arrives at ground level than under the

¹⁸ See https://www.gefio.org/content/search?search_api_fulltext=SGP for Joint Evaluations (2008, 2015, 2021) of the Small Grants Programme (SGP).

	<p>As a result, activities implemented by local stakeholders are carried out with little enthusiasm or commitment to the sustainability of project impacts, and worse they are alienated from engaging in discerning adaptive management needs and measures.</p> <p>With conventional top-down approaches, funding is expected to reach ground-level actors after processing through sectoral government institutions at multiple levels – national, district, local. Project funding is allocated to building the capacities of these multiple levels who then may allocate funding to different local communities to implement portions of the top-down design of the landscape management plan. Less funding arrives at ground level and what does arrive is to pay for stakeholder implementation of initiatives designed by others as sub-contracted employees.</p>	<p>conventional approach. Local stakeholders drive and implement landscape planning and management with targeted technical assistance, resulting in an enhanced sense of ownership and agency and ultimately in responsibility for project management and sustainability.</p> <p>A regional approach will provide consistent technical and operational tools and guidance to NCACs and the NC for their use when engaging with local stakeholders, including NbS cost benchmarks across countries and CIPs to eliminate cost outliers on the upside.</p>
<p>2. Demand-driven LLA grants, capacity building support to local communities and complementary implementation for locally-led climate adaptation solutions</p> <p>LC stakeholder capacities built and LLA initiatives designed, financed and implemented to meet CIP objectives for improved climate resilience of LC selected landscapes</p>	<p>Conventional programmes or projects do not provide local stakeholders with direct access to grant funding for initiatives they design. Landscape activities are designed by sectoral agencies or experts, and local stakeholders are seen as contracted implementors with little agency to adapt implementation to on-the-ground conditions. The conventional approach relies on funding channeled through administrative and operational agencies. Less funding arrives at ground level as a result and, given the weak ownership of programme activities at local level, what does arrive suffers from decreased enthusiasm and more inefficient implementation.</p>	<p>The program proposed here invests in building the capacities of Local Communities to identify their vulnerabilities to climate risks and uncertainties and from there, to generate and innovate solutions, implement them – including rigorous and cost-effective budgeting – and then analyze their performance for subsequent lessons to be applied in an ongoing process of adaptive management. Local Communities grant proposals incorporate capacity development both in a learning-by-doing mode, as well as through explicit training aimed at achieving grant project objectives. While this implementation of this proposed project cannot fully eliminate funding channelled through administrative agencies, it does ensure a locally led planning process and development of CIP and its constituent management plans, and the agency led activities under Component 2 are designed to complement those implemented through the low value grants’ accessed by community groups.</p>

<p>3. Global Learning and Knowledge Management System</p> <p>Co-production of knowledge by local stakeholder practitioners and western trained scientists for improved adaptive management and stakeholder learning</p>	<p>Knowledge generation from project implementation is often expert driven, with the aim of providing it to agencies and funders while minimizing its importance to local stakeholders as valuable tools for adaptive management. Once this knowledge is codified, it is often in forms inaccessible to local stakeholders. Where knowledge is generated from country-specific projects, it may be useful to that particular country, but it is rarely shared with landscape level stakeholders in other countries in a form they can access. Without a central coordinating mechanism for compilation, translation and dissemination, knowledge dissemination generated by multiple projects must rely on each country's project management and institutional structures to prepare and disseminate knowledge and information to other countries. This makes KM more expensive and less effective than through a central KM mechanism and subject to multiple risks to transmission.</p>	<p>Given that resilience-enhancing adaptation to ongoing climate change is not a one-off effort and must be continually practiced as conditions and circumstances evolve, local knowledge for local stakeholders is a priority in LLA initiatives.</p> <p>Stakeholder development and implementation of locally-led adaptation initiatives exemplify collective action by organized groups, whether formally or non-formally constituted. These groups' grant proposals embrace local, traditional, Indigenous, generational and scientific knowledge in proposal design and implementation. Multi-stakeholder landscape platforms and the NCAC – both with LC and other representatives - will also assess the logic rationale for their proposals and refer proponents to knowledge sources both individually or in combinations of traditional, conventional, generational, etc.</p> <p>A coordination mechanism – a Global Learning and Knowledge Management System – will ensure that all CIPs and CIP constituent initiatives follow similar evaluation and knowledge generation protocols and will be codified for accessibility by local stakeholders in all participating countries. Based on the evidence from the participatory evaluations of CIPs and their initiatives, the System will produce syntheses of key lessons and their implications for climate policy at both national and regional levels.</p>
---	---	--

F. Consistency with national, sub-national and local sustainable development strategies

At country and catchment level: in addition to the relevant strategies and plans already identified at design stage in each country (see table below), grant proposal eligibility criteria for LC initiatives to be reviewed by the NCAC will also include references to consistency with national, sub-national and/or local sustainable development strategies, plans and Programmes. Providers of technical assistance to local communities in the design of proposals will receive information and training on the need to ensure that the LCs' concepts and proposals are consistent with and supportive of the most relevant development strategies and plans. These proposals will be submitted to the NCAC through Programme staff who will execute due diligence in reviewing the submitted proposals for compliance with AF requirements, as described under Component 2 of this document. In their review of the grant proposals, the NCAC will identify and analyse the consistency of LC grant proposals with

national, sub-national and/or local development strategies and, if needed, recommend adjustments to the proposals to achieve consistency.

At regional level: as demonstrated in the below table, the purpose, scope and objectives of this regional Programme are broadly consistent with the goals and elements of a variety of emerging African sub-regional frameworks for climate change Programmes, including the SADC water and resilience frameworks, UNCCD’s Drought Risk Management and Resilience Framework, etc. These sub-regional frameworks focus on strengthening resilience, adapting to climate impacts, and exploring mitigation opportunities. They prioritize a harmonized approach, focusing on both adaptation and mitigation, and often incorporate goals aligned with Agenda 2063. They also emphasize the need for equity and fairness in climate action, acknowledging the historical responsibility of industrialized nations for greenhouse gas emissions. These frameworks support or build on a longer list of sub-regional investment and technical assistance Programme. Key aspects of these sub-regional frameworks include:

- Stocktaking and Gap Analysis
The frameworks assess existing climate change initiatives within the sub-region, identifying gaps in implementation and suggesting improvements.
- Policy and Program Development
They promote the development of new policies and programs that align with national and regional climate action goals, considering existing intergovernmental decisions.
- Coordination and Harmonization
The frameworks facilitate greater synergies between different actors, including sub-regional commissions, coordinating bodies, and national governments.
- Adaptation and Mitigation
They consider both adaptation measures (e.g., in agriculture and coastal zones) and mitigation actions (e.g., in renewable energy).
- Capacity Building
The frameworks include initiatives for training, policy review, and funding mechanisms to support the implementation of climate change programs.
- Regional Climate Resilience
They aim to strengthen the resilience of communities and ecosystems to the impacts of climate change, including through initiatives like the Regional Climate Resilience Program for Eastern and Southern Africa (see below)
- Integration of Climate Action with Development Goals
The frameworks recognize that climate change action is an opportunity for socio-economic improvement, aligning with development goals like food security, economic growth, and job creation.

Table 5: Alignment of the Programme with Relevant Regional Strategies and Plans

Relevant strategies and plans	Description and scope	Programme consistency with the plans and strategies
<i>At regional level</i>		
SADC Climate Change Adaptation (CCA) Strategy for the Water Sector	The main goal of the strategy is to lessen impacts of climate change through adaptive water resources development and management in the Southern African region. SADC intends to achieve this goal	The proposed regional Programme’s objective of socio-ecological catchment resilience is consistent with this strategy, particularly regarding its focus on water management as crucial to decreasing climate vulnerability. The

	<p>through development of all aspects of the water sector as a means for decreasing climate vulnerability and ensuring that water management practices cope with increased climate variability.</p> <p>The Climate Change Adaptation (CCA) Strategy recognizes that water issues impact a range of sectors, including Energy, Health, and Agriculture. Likewise, adaptation measures are required at different levels of governance and management oversight. Therefore, water use in the region requires an Integrated Water Resources Management (IWRM) approach, which offers a goal-oriented system of controlling use of water as a means of slowing the effects of climate change in the region.</p>	<p>IWRM approach advocated by the Strategy is echoed in the regional Programme’s approach to CIP development based on watershed and catchment management, which advocates understanding and management of soil, water and biomass resources to enhance and stabilize the hydrological cycle.</p> <p>The CCA Strategy also recognizes the need for adaptation measures to be designed and carried out at different levels of governance and management, which is supported by the regional Programme’s emphasis on establishing multi-stakeholder catchment governance and management platforms.</p>
<p>Africa Adaptation Acceleration Program (AAAP)</p>	<p>The Africa Adaptation Acceleration Program (AAAP) is a joint initiative of the African Development Bank and the Global Center on Adaptation (GCA). The program seeks to accelerate the implementation of National Adaptation Plans (NAPs) and enhance the capacity of African countries to adapt to climate change. The AAAP aims to scale up climate adaptation efforts across the continent. It focuses on four pillars:</p> <p>The Climate-Smart Digital Technologies for Agriculture and Food Security Pillar has a goal to scale up access to climate-smart digital technologies, and associated data-driven agricultural and financial services for at least 30 million farmers in Africa. It supports food security in 26 African countries, more efficient catchment restoration efforts, and ultimately increase productivity by between 40% and 70%.</p> <p>The African Infrastructure Resilience Accelerator Pillar aims to scale up new technologies, designs, and nature-based solutions to adapt urban and rural infrastructure to Africa’s current and future climate.</p> <p>The Youth Empowerment for Entrepreneurship and Job Creation in Climate Adaptation and Resilience Pillar has the goal of developing the skills of 1 million African youth (aged 18-35) to prepare them for green jobs and</p>	<p>The regional Programme will support CIP development in participating country catchments that aims at enhancing food security through increased productivity based on more sustainable agricultural production and improved ecosystem hydrological services from catchment restoration and sustainable agropastoral systems.</p> <p>The Programme will rely on nature-based solutions that enhance the catchment’s hydrological function i.e. increase the capacity of a catchment or area to capture, store, and release water. This includes the processes of infiltration, runoff, and groundwater recharge. Nature-based solutions may include wetland protection and restoration, revegetation of grazing lands or forested land, agricultural production systems that diminish soil erosion and augment water infiltration into the soil profile and aquifers, and others.</p> <p>The regional Programme will encourage CIP platforms to engage youth in grant initiative development and implementation, which will build their capacities for green production and entrepreneurship.</p>

	<p>entrepreneurial opportunities. This program also unlocks \$500 million in credit for adaptation action from innovative youth-led enterprises (of which 50% will be women-led) to address climate challenges faced by vulnerable communities in Africa.</p> <p>The Innovative Financial Initiatives for Africa Pillar aims to make substantive headway towards closing the adaptation finance gap. In the initial phase, the technical assistance program supports public and private sector entities in at least 20 African countries to mobilize more than \$3 billion in new concessional finance.</p>	
Regional Climate Resilience Program for Eastern and Southern Africa	<p>Financed by the World Bank, this project aims to improve water-related climate impacts in the region and ensure prompt responses to climate-related emergencies. It focuses on enhancing the management of water resources and implementing effective response measures in case of crises or emergencies. The project also aims to improve national decision-making to reduce vulnerability and support community resilience.</p> <p>Key aspects of the program include:</p> <ul style="list-style-type: none"> • Improved water management; • Emergency response to climate-related emergencies, such as floods or droughts; • Vulnerability reduction to climate impacts by strengthening national decision-making processes; • Development of community resilience to climate change; • Climate justice aligned with the concept of climate justice by addressing the disproportionate impacts of climate change on vulnerable communities. 	The regional Programme will support CIP development aimed at improved water management, vulnerability reduction to climate impacts through design and implementation of grant initiatives, knowledge generation and production of policy briefs and other inputs to strengthen national decision-making processes, and prioritize IPs, LCs and other vulnerable communities in the development of community resilience to climate change.
At National Level		
Eswatini		
National Climate Change Policy (2016), National Adaptation Plan (in development), National Drought Plan (2020),	These frameworks together set Eswatini's climate resilience agenda. The National Climate Change Policy (NCCP) calls for an integrated, climate-resilient catchment management approach, climate-smart agriculture, drought risk coordination, and mainstreaming climate change into	The Programme directly implements these policy priorities by financing locally led, climate-resilient catchment management; restoring degraded ecosystems to stabilize hydrological services and reduce drought risk; supporting climate-resilient agriculture and rangeland management to protect food

<p>Disaster Resilience Strategy and Action Plan (2017), and the National Emergency Response, Mitigation and Adaptation Plan (NERMAP) 2016–2022</p>	<p>national planning. The (draft) NAP prioritizes resilient agriculture, water security, ecosystem protection, institutional capacity and finance mobilization. The National Drought Plan shifts the country from reactive crisis response to proactive drought risk reduction, including long-term water security and land/soil protection. The Disaster Resilience Strategy and Action Plan and NERMAP frame nationally coordinated preparedness, early action, and recovery, with a strong emphasis on safeguarding food and water security and addressing underlying vulnerability (poverty, degraded land, weak water storage).</p>	<p>security; and strengthening local governance and planning capacity for risk-informed water and land use. It also helps structure sustainable finance mechanisms (PES/Trust arrangements and CRA credit lines), responding to the stated need for domestic resource mobilization for adaptation.</p>
<p>Water governance and catchment management: Water Act (2003); Water Resources Master Plan (2016–2025); National Water Policy (2018); River Basin Authorities and basin-level management plans</p>	<p>Eswatini’s water framework establishes water as a national resource, mandates integrated water resources management (IWRM), and decentralizes decision-making to basin authorities (Lomati, Komati, Mbuluzi, Usuthu, Ngwavuma). The Water Act (2003) and National Water Policy (2018) call for equitable, sustainable water allocation, protection of riparian and wetland ecosystems, and active stakeholder participation (including communities and traditional authorities). The Water Resources Master Plan prioritizes monitoring of surface water, catchment protection, and removal of invasive alien plants to maintain ecological function and water supply reliability, particularly under increasing climate stress.</p>	<p>The Programme establishes and operationalizes Catchment Investment Programmes (CIPs) that are explicitly organized around basin hydrology; strengthens multi-stakeholder catchment platforms that mirror/ reinforce River Basin Authority roles; finances on-the-ground ecosystem restoration and wetland/riparian rehabilitation to improve water quantity and quality; and supports locally led rules for water access, grazing, and land/soil management upstream to protect downstream users. Monitoring, reporting and verification (MRV) systems under the Programme feed into national water information systems and basin-level planning.</p>
<p>Biodiversity, natural resources, and invasive species management: National Biodiversity Strategy and Action Plan (NBSAP, revised 2014); Swaziland Environment Action Plan (SEAP); National Forestry Policy (2002); National Strategy for the Control and Management of Invasive Alien Plant Species (2020–</p>	<p>The NBSAP integrates biodiversity conservation into national development and rural poverty reduction, promotes community-based resource management, and targets protection/restoration of priority ecosystems. The SEAP provides the national framework for sustainable environmental management, pollution control, and coordinated stakeholder action. The National Forestry Policy (2002) advances sustainable woodland/forest use, community woodlots, agroforestry, rangeland and watershed protection, and tenure/security for local users. The National Strategy for Control and Management of Invasive Alien Plant Species (2020–2030) sets national priorities for preventing, removing, and controlling invasive alien plant species</p>	<p>The Programme channels grants to community organizations, cooperatives and traditional authorities to (i) clear invasive alien species; (ii) revegetate riparian zones, wetlands, rangelands and communal grazing areas with climate-appropriate native species; (iii) implement sustainable grazing and rotational pasture use; (iv) strengthen community-based natural resource management; and (v) pilot alternative livelihood activities linked to restoration (e.g. non-timber products, sustainable fodder systems). These measures directly advance national biodiversity, forestry, wetland, and IAPS strategies by restoring ecosystem function, improving watershed regulation, and reducing land degradation pressures that drive vulnerability.</p>

2030); wetlands and river basin management initiatives	(IAPS), recognizing their role in degrading rangelands, reducing baseflows, and increasing fire/flood risk. Wetland policy development, basin master plans, and River Basin Authorities reinforce these objectives through targeted wetland protection, catchment regulation, and pollution control (including in the Usuthu system).	
Agriculture and water–food–livelihood systems: Comprehensive Agriculture Sector Policy (2005); National Irrigation Policy (2005); National Agricultural Investment Plan (2015–2025)	These policies aim to increase smallholder productivity and resilience through sustainable land management, efficient water use/irrigation, climate-smart production systems, and stronger farmer organizations and market access. They prioritize diversified, higher-value production; improved soil and water conservation; equitable irrigation access; and support services (extension, input access, finance, value-chain integration). They also emphasize linking small-scale producers to buyers, finance and infrastructure to move from subsistence toward commercially viable, climate-resilient production.	The Programme supports climate-resilient agriculture (CRA) and rangeland management through training, peer-to-peer extension models, and practical adoption of soil/water conservation, mulching/cover crops, rotational grazing, fodder/water-point management and other agri-based NbS. It also works with financial institutions to operationalize CRA credit facilities tailored to smallholder cash flow and production cycles, and links organized producer groups to offtake agreements. This directly responds to national priorities on irrigation efficiency, smallholder commercial viability, and access to finance and markets as a pathway out of climate-driven livelihood insecurity.
National development and poverty reduction: National Development Strategy (Vision 2022); National Development Plan (2019/20–2021/22 and successor under preparation); Strategic Road Map (2019–2022); Poverty Reduction Strategy and Action Plan (PRSAP, 2007)	These frameworks articulate Eswatini’s long-term development vision: pro-poor, climate-resilient growth; improved water security; job creation (especially for youth); reduced inequality; and more reliable, locally anchored service delivery. They link economic recovery and fiscal stability to sustainable natural resource management, drought resilience, inclusive rural growth, and decentralized participation. The PRSAP in particular highlights that poverty reduction depends on access to safe water, sustainable land and grazing management, and diversification of rural income.	The Programme is aligned with these development priorities by (i) targeting vulnerable smallholder and pastoralist communities and women/youth groups in high-risk catchments; (ii) creating green and land-restoration jobs (e.g. invasive species clearance, revegetation, rangeland stewardship); (iii) improving water security for productive use through catchment-scale nature-based solutions; (iv) strengthening local institutions so they are active decision-makers in land and water governance; and (v) structuring recurrent finance (PES/Trust arrangements and CRA lending facilities) so that resilience gains are fiscally sustainable rather than one-off.
Zambia		
Zambia Water Investment Programme (ZIP), 2022–2030	The ZIP is Zambia’s national response to the Continental Africa Water Investment Programme. It positions water as an engine for socioeconomic development, job creation, and energy and food security. It prioritizes catchment restoration, improved allocation and regulation of water resources, and crowding-in of public and private finance for water security. It explicitly links hydrological health to reliable supply for	The Programme mirrors this approach by structuring Catchment Investment Programmes (CIPs) in priority sub-catchments (Upper Lunsemfwa and Mkushi) to mobilize long-term finance for nature-based solutions that secure flows, reduce sediment loads, and stabilize dry-season water availability. The programme’s PES/Trust Fund mechanism and CRA lending facility are both designed to operationalize ZIP’s vision of sustained, climate-resilient water services by aligning upstream land/soil management with

	agriculture, hydropower, and domestic use	downstream water users' needs and payment capacity.
National Water Policy (revised 2010) and Water Resources Management Act No. 21 of 2011 (plus Statutory Instruments 18/19/20 of 2018)	The National Water Policy and WRM Act set the national framework for water resources protection, allocation, licensing and use. The Ministry of Water Development and Sanitation oversees policy and resource management, while the Water Resources Management Authority (WARMA) regulates abstraction, protects surface/groundwater, and issues water-use rights. The framework emphasizes sustainable, equitable access, protection of recharge zones, reduced pollution, and improved cross-sector coordination across agriculture, mining, hydropower, municipal supply, and conservation.	The Programme directly supports this framework by: <ul style="list-style-type: none"> • Establishing multi-stakeholder catchment platforms that address exactly the coordination gaps WARMA flagged (e.g. between agriculture, mining, energy and local authorities) • Promoting catchment-level restoration, erosion control and invasive species management to protect headwaters and reduce siltation in hydropower and irrigation assets • Piloting PES / Trust Fund arrangements that formalize ongoing contributions from large water users toward watershed maintenance, in line with sustainable cost recovery and stewardship ambitions of the WRM Act.
8th National Development Plan (8NDP)	The 8NDP frames water, agriculture and energy security as core to inclusive economic growth and poverty reduction. It emphasizes: climate-resilient agriculture and livestock systems; improved water storage and allocation for irrigation and hydropower; rural livelihoods and food security; and better service delivery for water and sanitation, especially for vulnerable rural populations that remain heavily dependent on natural resources.	The Programme advances 8NDP priorities by: <ul style="list-style-type: none"> • Scaling CRA and grazing practices with smallholders and pastoralists in the Upper Lunsemfwa / Mkushi catchments • Restoring degraded forests, riparian corridors and rangelands to protect water supply for irrigation, municipal use and hydropower (addressing recurrent drought-driven load shedding) • Strengthening local producer groups' market access and financial inclusion (CRA loan facility), which aligns with the 8NDP focus on rural income, jobs, and diversification away from climate-sensitive, low-productivity practices.
Water and Sanitation Strategic Plan 2022–2026 and related programs (National Urban WSS Program 2011–2030; National Rural WSS Program 2019–2030)	These strategies seek to expand safe, reliable water and sanitation services, improve efficiency and sustainability of utilities, and reduce vulnerability of supply systems to climate shocks. They acknowledge that declining raw water quality, sedimentation, and reduced dry-season flows are driving higher treatment costs and service instability, especially for utilities in Central Province drawing from the Lunsemfwa system.	By investing in upstream riparian restoration, erosion control, and sustainable land and water management in the Lunsemfwa/Mkushi sub-catchments, the programme aims to improve source water quality and stabilize flows. That, in turn, lowers treatment and pumping costs for water utilities and small town councils, and protects hydropower reservoirs whose performance underpins urban water supply reliability. The programme therefore complements service-delivery plans not by funding pipes and pumps directly, but by safeguarding the catchments those systems depend on.
Zimbabwe		
National water-governance framework: Zimbabwe National Water Act (1998),	Zimbabwe's water resources are governed as a public good under the Water Act, 1998, which vests ownership of all surface and groundwater in the State and delegates day-to-day	The proposed Programme is fully consistent with this framework. First, its CIP approach mirrors Zimbabwe's own decentralized water-management architecture by working through catchment/sub-catchment platforms and by

<p>ZINWA and Catchment/Sub-Catchment Councils, National Water Plan.</p>	<p>management to the Zimbabwe National Water Authority (ZINWA) and to Catchment and Sub-Catchment Councils. The Act’s core intent is to: (i) plan and allocate water at catchment level; (ii) regulate and license water use; (iii) clarify user rights and obligations; and (iv) ensure safety and maintenance of dams and related infrastructure. The more recent National Water Plan reinforces this model and calls for stronger inter-ministerial coordination, cost-recovery for service provision, and integration of climate change into water planning and investments.</p>	<p>financing measures that protect the hydrological base of water services (alien-species clearance, riparian restoration, soil and water conservation, rangeland recovery). Second, by supporting locally led monitoring, O&M and performance reporting, the Programme directly addresses one of the main constraints identified in Zimbabwe’s water sector — the long-term decline in service levels and asset maintenance due to under-investment and weak revenues. Third, the Programme’s emphasis on integrating climate risk, ecosystem services and water productivity into local planning responds to the National Water Plan’s call to “climate-proof” water resources management and to improve coordination across agriculture, environment and WASH.</p>
<p>National Climate Change Response Strategy (NCCRS, 2015)</p>	<p>The framework provides an early, comprehensive approach to integrating climate adaptation and resilience across key sectors, including agriculture, water, health, infrastructure, and disaster risk management. It establishes sector-specific priorities and cross-cutting pillars such as finance, technology, governance, and awareness. Its strategic objectives focus on mainstreaming climate change into national development planning, enhancing the adaptive capacity of communities and ecosystems, promoting low-carbon development where feasible, strengthening institutional and technical capacity, mobilising climate finance, and improving public awareness and participation. The framework also emphasises systematic implementation, monitoring, and evaluation of climate response actions.</p>	<p>The regional Programme will support the formulation and implementation of Catchment Investment Programmes (CIPs) across the Sanyati catchments of Zimbabwe. Its overarching goal is to strengthen food security by enhancing agricultural productivity through sustainable production systems and by restoring the ecosystem services that underpin climate-resilient agro-pastoral livelihoods.</p> <p>A core component of the Programme is the adoption of nature-based approaches that improve the hydrological performance of the catchment—specifically its ability to capture, retain, and regulate water flows. These interventions will promote improved infiltration, reduced runoff, and enhanced groundwater recharge. Priority actions will include wetland conservation and rehabilitation, restoration of degraded grazing and forested landscapes, and promotion of agricultural practices that minimise soil erosion while increasing soil moisture retention and aquifer recharge.</p>
<p>Zimbabwe Climate Change Policy (2017)</p>	<p>The policy provides the foundation for integrating climate change into national development planning and decision-making (covers adaptation, mitigation, institutional arrangements, and mainstreaming into sector policies). It builds on the National Climate Change Response Strategy (NCCRS) and strengthens institutional responsibilities.</p>	<p>The Programme will further support locally led; grant-funded initiatives identified through the CIPs. These grants are expected to focus predominantly on nature-based solutions (NbS) that strengthen the resilience, productivity, and sustainability of local production systems and the ecosystem services on which they depend.</p>
<p>Nationally Determined Contributions (NDCs) — Revised (2021) and NDC3.0 (2025)</p>	<p>Zimbabwe’s Nationally Determined Contributions (NDCs)—including the revised 2021 commitments and the forthcoming NDC 3.0 (2025)—are supported by the National Adaptation Plan (NAP), approved in 2024, which serves as the country’s operational</p>	

	<p>framework for integrating climate adaptation into national and sub-national planning, budgeting, and sectoral programmes.</p> <p>The NAP aims to embed adaptation across government ministries and agencies, the private sector, civil society, and local communities. It prioritises key socioeconomic sectors such as agriculture, water resources, infrastructure, disaster risk management, ecosystems and forestry, and health, aligning closely with Zimbabwe’s NDC adaptation commitments.</p> <p>The plan promotes both hard measures (infrastructure and technical systems) and soft measures (policy reform, institutional strengthening, climate-information systems, monitoring frameworks, and private-sector engagement). Zimbabwe estimates that USD 10.3 billion will be required by 2030 to close its adaptation finance gap under the NAP</p>	
<p>National Adaptation Plan (NAP) — National Climate Change Adaptation Plan 2024–2030</p>	<p>Zimbabwe’s NDC commits to a <i>40% reduction in per capita emissions by 2035</i>, conditional on international support. Adaptation priorities span six sectors:</p> <ul style="list-style-type: none"> • Agriculture: drought-tolerant crops, conservation agriculture, early warning systems. • Water: dam rehabilitation, water harvesting, and IWRM. • DRR: cyclone monitoring, community preparedness, resilient infrastructure. • Health: heat-stress readiness and strengthened disease surveillance. • Ecosystems: wetland and watershed restoration, EbA measures. • Infrastructure: climate-proofing roads, energy systems, and housing. 	
<p>Climate Change Learning Strategy (national learning strategy, 2021)</p>	<p>The initiative aims to integrate climate change into national curricula, develop educator resources, and strengthen both formal and informal learning systems. It promotes skills development and innovation for mitigation and adaptation, ensures gender mainstreaming, and enhances multi-stakeholder collaboration. The approach is structured around four pillars: Capacity Development – advancing education, research, development, and communication; Governance and Implementation – strengthening institutions and networks; Finance and</p>	<p>The Programme will also generate and document lessons on traditional knowledge and tenure-secure adaptation practices. Its knowledge products—such as community-derived climate indicators, guidelines on recognizing customary land tenure, and case studies on locally led climate governance—will be disseminated at local, national, and international levels, informing broader policy dialogues under the UNFCCC, UNCCD, and CBD frameworks.</p>

	<p>Investment – mobilizing partnerships and domestic/international financing; Communication and Advocacy – improving information management and producing strategic Information Education & Communication materials.</p>	
--	---	--

G. Meeting relevant national technical standards

UNDP Country offices will ensure that grants are awarded and initiatives implemented in compliance with national technical standards, as per standard UNDP programming. Country Offices will support the identification of all relevant national technical standards during further CIP development and implementation and help Programme staff to assist local communities to address the specific requirements of national technical standards, whenever required. As part of this, UNDP COs will identify relevant authorities to be consulted, as necessary.

Grant proposal eligibility criteria will include reference to applicability of national technical standards for proposal elements and activities and their compliance with the Environmental and Social Policy of the Fund. Those people providing technical assistance to local communities in the design of proposals will receive information and training on national technical standards and compliance with the Fund’s Environmental and Social Policy.

Finally, as part of their review of the grant proposals, the NCAC will identify those with technical elements and assess the applicability of and compliance with national technical standards and the Fund’s Environmental and Social Policy. If needed, the NCAC can recommend revisions to proposals to achieve compliance, as required. In general, local communities will receive coaching and guidance during grant initiative formulation to identify potential technical issues and will be assisted in adapting initiative elements where necessary to comply with national standards. If needed, the NCAC can award up to USD 2,000 to support the process of adapting the design of initiatives to comply with national technical standards.

Illustrative examples of principal national legal and sectoral frameworks expected to govern grant-funded activities are provided below (noting that these are indicative and will be applied as relevant to the specific initiative types supported under each CIP):

Eswatini

Grant-funded initiatives (e.g., watershed rehabilitation, wetland/riparian restoration, erosion control, agroforestry, climate-resilient agriculture, and small-scale water harvesting structures) will comply with Eswatini’s national environmental, water, land-use and ecosystem management frameworks, including in particular:

- Environmental Management Act (2002), including requirements for environmental screening and, where applicable, Environmental Impact Assessment (EIA) processes and related environmental assessment/audit regulations administered by the Eswatini Environment Authority. This is expected to apply to initiatives involving land rehabilitation, wetland restoration, riverbank protection, or small infrastructure with potential environmental impacts.
- Water Act (2003) and associated water allocation and permitting systems administered through national and basin-level water institutions, relevant to activities such as water abstraction, water harvesting, spring protection, small irrigation improvements, and catchment water management measures.
- National Water Policy (2018), which provides the integrated water resources management (IWRM) policy framework underpinning catchment management, wetland protection, and stakeholder participation in water governance.
- Forestry Policy (2002) and related forest management guidance, relevant to afforestation, agroforestry,

assisted natural regeneration, and rehabilitation of degraded forest/riparian areas.

- Agriculture and land management policy frameworks such as the Comprehensive Agriculture Sector Policy (2005), National Irrigation Policy (2015), and the Eswatini National Agricultural Investment Plan (2015), which guide soil and water conservation practices and climate-resilient agricultural approaches supported through locally led initiatives.
- Water Pollution Control Regulations (2010) and related provisions under environmental legislation, relevant where initiatives could affect water quality (e.g., erosion control, livestock management near waterways, small infrastructure works).

Zambia

Small grant-funded initiatives (e.g., restoration/assisted natural regeneration, community forestry, soil and water conservation, small-scale water management structures, and climate-resilient agriculture investments) will be implemented in compliance with Zambia's national environmental and sectoral regulatory frameworks, including:

- Environmental Management Act No. 12 of 2011 and Zambia Environmental Management Agency (ZEMA) regulations and procedures, which require environmental and social screening of proposed activities and, where relevant, preparation/approval of an ESIA and associated ESMP (and where applicable, resettlement planning instruments) prior to implementation of higher-risk works (e.g., small water infrastructure, post-harvest or market linkage infrastructure).
- Forests Act No. 4 of 2015 and Community Forest Management Regulations (Statutory Instrument No. 11 of 2018), including requirements for establishment of Community Forest Management Groups and development/registration of community-led forest management plans for initiatives involving community forestry, forest landscape restoration, and sustainable forest resource management.
- Water Resources Management Act No. 21 of 2011 (and related statutory instruments and permitting processes), relevant to initiatives involving water abstraction, water harvesting structures, riverbank protection, and catchment/watershed management measures.
- Relevant national agriculture/land management guidance applied by responsible line ministries for soil conservation, sustainable land management and climate-resilient agriculture practices (as applicable to the initiative types supported under the CIP).

Zimbabwe

Small grant-funded initiatives (e.g., rangeland rehabilitation and protection, assisted natural regeneration, agroforestry, erosion control, climate-resilient agriculture, and small-scale water management structures) will comply with Zimbabwe's national environmental, planning and natural resource governance frameworks, including:

- Environmental Management Act (Chapter 20:27) (2003) and associated environmental assessment requirements administered by the Environmental Management Agency, applicable to initiatives involving land rehabilitation, watercourse works, or small infrastructure with potential environmental impacts.
- Regional Town and Country Planning Act (29:12) and applicable building bylaws, which govern planning approvals and construction standards for any small-scale infrastructure works undertaken through grant initiatives.
- Forest Act (Chapter 19:05) and Communal Lands Forestry Produce Act (19:07), which regulate conservation and sustainable use of forest resources and community-based forest/land rehabilitation approaches relevant to assisted natural regeneration, reforestation, sustainable harvesting, and degradation control.
- Parks and Wildlife Management Act (Chapter 20:14), relevant where initiatives are implemented within or adjacent to protected areas or sensitive ecosystems (including wetlands and wildlife habitats), to ensure compliance with protected area and biodiversity management requirements.

- Climate policy and planning instruments (e.g., national climate change adaptation planning frameworks) will also guide alignment of initiative design with national adaptation priorities, alongside the sectoral regulations above.

In practice, across the three countries, each proposed grant initiative will be screened for applicable national legal and sectoral requirements during design (supported by UNDP and the NCAC). Where permits, authorizations, or environmental assessments are required under national law (e.g., environmental impact assessments, water abstraction permits, forestry management approvals, planning/building approvals), these will be obtained prior to implementation, and compliance measures will be built into initiative workplans, budgets and monitoring.

Local actors will be supported and trained to understand and comply with the above standards and norms beginning with presentations and discussions at the CIP development workshops in which potential solutions to climate vulnerabilities are identified. Technical and policy experts will explain the norms and standards specific to an identified solution e.g. CRA methods, practices and systems; ecosystem restoration activities like reforestation, and will identify and discuss design criteria for proposed grant initiatives to comply with them. Depending on the technical complexity of the proposed solution and the corresponding standards and norms, the technical and policy experts will provide follow-on training and accompany the initiative design process. The design of the initiative will include milestones and indicators consistent with compliance with the standards and norms. Programme staff will the catchment platform monitoring and reporting arrangements described in the monitoring and evaluation section. Through implementation of their initiative with attention to and support for compliance, local actors will learn by doing.

H. Potential duplication of Programme with other funding sources

There are currently no regional or global programmes systematically providing direct access to adaptation finance by local community organizations in Southern Africa. The programme proposed here will build on UNDP's grant-making experience and UNDP's operational efficiencies at country and global levels. The regional programme will enhance national capacities at multiple levels to address climate change – national institutions (government and NGO), through their participation on the NCAC, will learn the purpose, design and implementation elements of the catchment approach as well as innovative methods of engaging with local stakeholders and supporting their leadership in designing and implementing catchment management for socio-ecological resilience; local governments will build their technical capacities to operationally and financially support their constituents' efforts to adapt to climate change. The regional programme, through the LKM, will bring together the CIP practitioners, government institutions, NGOs, second and third level organizations of smallholders, IPs, pastoralists and others in a community of practice to exchange information, knowledge and experience. This community at regional level may become a source of advocacy with regional institutions regarding catchment management in shared watersheds and other transboundary areas. The programme will complement and support the work of NIEs, where applicable - for instance, by building their capacity in LLA-specific approaches, the catchment approach and ecosystem services, engagement with IPs etc.

At country level, programme stakeholders during proposal formulation have reviewed and analyzed existing programmes and projects in the target catchments and determined the scope for potential duplication, complementarity or synergy with their respective Catchment Investment Programmes (see the table, below).

The CIP to be operationalized and implemented by local stakeholders will not duplicate activities of existing initiatives as each one will focus on a specific, underserved, and highly vulnerable catchment that is not directly targeted by current programs. The target catchments were selected after extensive consultations with relevant government institutions and local community stakeholders during project formulation. CIP operationalization and implementation will complement these initiatives methodologically (e.g. by demonstrating participatory planning

and analytical processes with local leadership), strategically (e.g. by building capacities of local stakeholders for longer-term, ongoing adaptive management) and operationally (e.g. by providing direct access to grant financing to local stakeholder organizations).

An initial country-level screening of relevant initiatives, and related synergies and complementarities is presented below.

Table 6: Synergies with Relevant On-going and Upcoming Initiatives

Relevant on-going or upcoming initiatives	Synergies/Complementarities
Eswatini	
Financial Inclusion and Cluster Development Project (FINCLUDE) – Led by Ministry of Finance and IFAD (2018–2025). Supports smallholder farmers, women and youth to form climate-resilient production clusters; strengthens market linkages; and improves access to rural finance and tailored financial products.	The Programme’s CRA lending facility will complement FINCLUDE by co-designing climate-resilient loan products with local banks and linking producer groups/cooperatives to offtake agreements. Both interventions aim to unlock finance for climate-resilient agriculture and value chains, particularly for youth and women.
Smallholder Market-led Project (SMLP) / Climate-Smart Agriculture Livelihoods (CSARL) – Implemented by the Ministry of Agriculture (2023). Trains smallholders (many of them women) in climate-smart agriculture; restores wetlands and degraded communal land; establishes natural resource management committees; and uses lead-farmer and SMS extension to scale practice adoption.	The Programme will fund locally led grants for CRA, wetland/riparian rehabilitation, rotational grazing, and soil/water conservation in priority catchments. It will build on SMLP/CSARL’s peer-to-peer farmer training model, demonstration plots, and governance structures at chiefdom level, while operating in different geographic areas to avoid overlap.
Lower Usuthu Smallholder Irrigation Project (LUSIP I & II) – Led by Government of Eswatini/IFAD. Expands smallholder irrigation in the Usuthu system through bulk water storage (dams), conveyance infrastructure, and farmer support for irrigated production and market access.	The Programme’s upstream catchment restoration and improved land/soil management (e.g. invasive species removal, riparian restoration, erosion control) aim to stabilize baseflows and improve water quality and dry-season reliability, which benefits downstream irrigation schemes such as LUSIP. Lessons from LUSIP on farmer outreach, branding, and market-facing extension will inform the Programme’s local engagement and communications.
Mbuluzi River Basin Integrated Natural Resource Management Project (GEF) – Executed by national institutions (approved 2023). Promotes catchment-scale ecosystem restoration through sustainable land management, rehabilitation of degraded communal areas and riparian zones, and strengthened policy/legislative frameworks for integrated natural resource management, with explicit gender and youth inclusion.	The Programme will apply a CIP model to finance rangeland restoration, riverbank/wetland rehabilitation, and community stewardship in target areas, complementing the ecosystem restoration done in the Mbuluzi catchment. It will also reinforce multi-stakeholder catchment platforms and help operationalize performance-based financing (PES/Trust arrangements) that sustain ecosystem restoration gains beyond grant support.
Strengthening the National Protected Areas System of Swaziland (SNPAS) – Led by Eswatini Environment Authority and UNDP (2014–2021). Improves management effectiveness of protected areas, develops landscape-level plans, advances invasive alien plant species (IAPS) control, wetland protection, and community-linked alternative livelihoods.	The Programme extends similar ecosystem restoration approaches (IAPS clearance, native revegetation, wetland/riparian protection) into productive and communal landscapes outside formal protected areas in priority catchments. It will also draw on SNPAS lessons on community stewardship, women’s economic participation in restoration-linked value chains, and use of spatial monitoring to track ecological gains.
Eswatini Livestock Value Chain Development Programme (ELVCDP) – Government of Eswatini / EU (2020–2025). Seeks to increase livestock productivity, create jobs for women and youth, and improve market access for smallholders by strengthening the beef/livestock value chain and promoting sustainable rangeland use in targeted chiefdoms.	The Programme’s sustainable rangeland management package (rotational grazing, fodder and water-point management, reseeding/restoration of communal grazing areas) directly complements ELVCDP’s focus on productive, climate-resilient agropastoral systems. The Programme will also support producer groups to secure

	<p>offtake arrangements and use those contracts to strengthen the bankability of CRA lending.</p>
<p>Strengthening Integrated Transboundary Management of the Incomati and Maputo River Basins – UNDP / GWP Southern Africa (GEF-funded, 2023–ongoing) in Eswatini, Mozambique and South Africa. Supports source-to-sea governance, basin-level coordination (including INMACOM), information sharing, and livelihoods demonstrations in the Incomati–Maputo system</p>	<p>The Programme’s CIP approach and WEFE Nexus framing align with this basin-wide effort to link ecosystem health, water security and livelihoods. The transboundary project strengthens institutional and data systems (including basin monitoring, knowledge platforms, and coordination mechanisms), which the Programme can dovetail with by piloting locally led NbS, community stewardship, and PES/Trust-style resource flows in targeted sub-catchments in Eswatini.</p>
<p>Zambia</p>	
<p>Zambia Water Investment Plan (ZIP): The ZIP is the national vehicle for implementing the Continental Africa Water Investment Programme (AIP, 2021–2030). It was launched in 2022 to mobilize finance for water security as a driver of jobs, economic empowerment and growth. It explicitly positions catchment-level water management and long-term financing as core to national development.</p>	<p>The proposed programme’s CIP model directly supports ZIP’s objective to treat water security as an economic and social priority, not only an environmental one. By structuring a long-term CIP around NbS for hydrological resilience and establishing sustainable financing (including PES-type arrangements and engagement with local financial institutions), the Programme provides a concrete delivery mechanism for ZIP’s investment agenda at catchment scale.</p>
<p>Lunsemfwa Hydro Power Company (LHPC) initiatives: LHPC is an independent hydropower producer whose generation depends on flows from the upper Lunsemfwa catchment. The company is already funding and delivering on-the-ground measures such as conservation agriculture support to local farmers (inputs and training), headwater and fisheries protection in collaboration with local authorities, and tree planting with the Forestry Department.</p>	<p>LHPC already invests in upstream land and water management to protect generation assets. The Programme will be able to formalize and expand these kinds of contributions within the CIP as part of a PES model: e.g. upstream restoration, headwater protection, reforestation and grazing management that maintain dry-season baseflows and reduce sediment loads. This creates an early pathway for a PES mechanism in Zambia, using LHPC and other water users as anchor funders.</p>
<p>UNDP GCF project “Strengthening climate resilience of agricultural livelihoods in Agro-Ecological Regions I and II in Zambia (SCRALA)”: SCRALA targets smallholder farmers in several provinces (Eastern, Lusaka, Muchinga, Southern and Western). It provides climate information services, promotes climate-resilient inputs and practices, supports sustainable water management, and develops alternative livelihoods using a value-chain approach. Final evaluations are expected in late 2025.</p>	<p>SCRALA has already developed delivery channels for reaching dispersed smallholder farmers with climate information, extension on CRA, and improved access to inputs and alternative livelihoods. While SCRALA operates in different provinces, the regional Programme can borrow: a) farmer-facing extension and climate information model, b) value-chain approach to market access, c) lessons on barriers to adoption of climate-resilient production. These lessons will inform both CIP-supported CRA practices and the design of CRA lending facilities with national financial institutions. In particular, SCRALA’s final evaluation (expected late 2025) will feed directly into how farmer creditworthiness and repayment risk are framed under Component 2 of the Programme, helping to operationalize CRA finance in Zambia.</p>
<p>GIZ “Accelerate Water and Agricultural Resources Efficiency in Zambia (AWARE)” project: AWARE supports climate-smart water resources management and efficient agricultural water use for smallholders in the Lower Kafue Sub-Catchment. It applies a gender-sensitive approach and is moving toward a second phase.</p>	<p>Although AWARE works in a different catchment (Lower Kafue), it is addressing similar issues: climate-smart water allocation, efficient use of water in smallholder systems, and gender-responsive governance of water resources. The Programme can draw on AWARE’s tested approaches for working with smallholder irrigators and community water governance structures, saving design time and avoiding duplication. The AWARE Phase II process is also an opportunity to coordinate messaging to government</p>

	around national standards for integrated catchment management and smallholder water efficiency.
Zimbabwe	
Communal Areas Management Programme for Indigenous Resources (CAMPFIRE): Govt of Zimbabwe / USAID (ongoing). Community-based natural resource management and wildlife-based revenues in communal areas.	Provides ready-made community institutions the Programme can use to channel LLA grants for rangeland/NbS restoration. CAMPFIRE benefit-sharing and accountability practices can inform local performance-based disbursement under Component 2.
Zimuto–Mshagashe Integrated Catchment Rehabilitation and Sustainable Development Project Ministry of Environment & Tourism / Dept. of Natural Resources / IUCN (completed). Wetland/riparian rehabilitation, agroforestry, soil/erosion control.	Offers tested approaches for community-led wetland and riparian restoration that can be replicated in priority sub-catchments. Lessons on combining conservation with livelihoods feed directly into design of CIP grants and NbS menus.
Integrated transboundary river basin management for the sustainable development of the Limpopo River Basin GWP-SA / UNDP (ongoing). IWRM, gender-responsive stakeholder engagement, basin knowledge, pilots.	Strong alignment with the Programme’s catchment investment planning and KM (Component 3). The Programme can plug Zimbabwe catchment data and MRV into Limpopo IWRM knowledge products, and use Limpopo pilots (sedimentation, land management, community–private engagement) as models for Zimbabwe CIPs.
Strengthening local communities’ adaptive capacity and resilience to climate change through sustainable groundwater utilization in Zimbabwe UNESCO / Ministry of Lands, Agriculture, Water, Climate and Rural Resettlement (ongoing). Groundwater and institutional capacity in lower Gwayi and Upper Save.	Complementary on water-source diversification: while the Programme restores catchment functions and reduces siltation/pollution, the groundwater project strengthens institutions and community capacity for sustainable abstraction. Joint MRV and shared community platforms will help integrate surface- and groundwater adaptation measures in CIP target areas.
Smallholder Irrigation Revitalization Programme (SIRP) MoLAFWRD / IFAD (ongoing). Rehabilitation of smallholder irrigation schemes, CSA.	Upstream NbS and soil/water conservation funded by LLA grants will protect and stabilize water for SIRP schemes; SIRP farmer groups can be priority borrowers for CRA lending under Component 2.3.
Smallholder Agriculture Cluster Project (SACP) 2021 -2027 Implementing Agency – Ministry of Lands, Agriculture, Fisheries, Water, and Rural Development (MLAFWRD) Operating in 18 districts, including those in the Sanyati Catchment – Chegutu, Zvimba, Sanyati, Binga & Kwekwe, Lupani, Nkayi	The SCAP project integrates climate change, gender, and nutrition across its three implementation components. Its focus areas include addressing gaps in smallholder value chains that limit productivity and incomes, and advancing the commercialization of smallholder agriculture by improving irrigation and domestic water supply systems, as well as upgrading local feeder roads. The project also strengthens coordination mechanisms and facilitates policy dialogues with beneficiaries.
Enhanced Climate Change Adaptation in Semi-arid Areas of Zimbabwe through Sustainable Business Models This is an upcoming 4-year UNDP project (2026-2030) aimed at addressing adaptation in semi-arid zones of Zimbabwe (Chipinge, Insiza, Chivi & Binga), with a focus on sustainable business models.	This project is complementary as it strengthens climate-resilient business models in districts facing similar climate stresses. Both initiatives focus on de-risking livelihoods, improving market access, and expanding adaptation finance for vulnerable communities. Lessons on locally led planning and practice adoption from the AF Programme will inform this project, while insights on enterprise viability and market dynamics from the latter will feed back into the AF Programme’s adaptive management creating a two-way learning loop.
Climate Adaptation Water and Energy Infrastructure Programme (CAWEP)	CAWEP and the AF LLA Programme are strategically aligned in supporting Zimbabwe’s climate-adaptation priorities through integrated water, energy, and

<p>The CAWEP Project is a 3-year (2022 -2026) project that aims to support the Government of Zimbabwe in attaining its climate change goals. The project will support vulnerable communities and institutions’ adaptation and resilience capacity to climate shocks in the Chipinge, Insiza, Chivi, and Binga districts.</p>	<p>livelihoods resilience. CAWEP’s experience with climate-resilient infrastructure, community engagement, and productive-use energy systems offers practical lessons that can inform LLA catchment planning, livelihood design, and sustainability strategies. In turn, the AF LLA Programme’s work on governance, nature-based solutions, and CRA finance provides insights into soft-system strengthening that can enhance the long-term effectiveness of CAWEP-type infrastructure. Together, the two initiatives contribute knowledge and methodologies that reinforce national adaptation planning and implementation.</p>
--	--

I. Learning and knowledge management components

All CIPs and their component initiatives will produce knowledge generated by participatory and expert assessments of CIP and initiative performance against agreed targets and indicators. This knowledge will be codified in "lessons learned" reports, peer-to-peer technical information, and policy briefs. Local community organizations will use the reports and technical information in adaptive management of their catchment and its resources. In particular, they will be learning by doing i.e., by leading, experiencing and consciously directing the adaptation and implementation of the catchment approach:

- Multi-stakeholder catchment governance and collaboration involving all local stakeholders that also supports conflict management among stakeholders;
- Participatory analysis of socio-ecological vulnerability and identification of potential solutions generating a consensus for planning and action;
- Capacity strengthening of community-based organizations, such as smallholder associations or pastoralist groups, as well as catchment level networks built from the ground up;
- Studying and understanding ecosystem structures, functions and services that sustain farm and community enterprises and well-being, and identify opportunities to link upstream ecosystem services to downstream communities and enterprises;
- Developing collaborative Catchment Investment Programmes that build shared responsibilities and decision-making among all stakeholders, which increases ownership, equitable benefits, accountability and compliance with agreed measures and values;
- Including vulnerable and marginalized actors in all aspects of catchment planning and management, particularly women and girls, IPs, people with disabilities, youth, and others;
- Participatory monitoring and transparent evaluation that promotes learning, trust and accountability through monitoring of catchment socio-ecological factors during application of the CIP;
- Generating knowledge for adaptive management and evidence-based inputs to policy dialogues, as well as for dissemination and exchange with other actors in other catchments and countries.

With the production of knowledge, its codification for legibility and accessibility by all stakeholders, and its dissemination and exchange, CIP design, implementation and adaptive management will increase in efficiency and effectiveness. By implementing a regional system of generation and dissemination, efficiency and effectiveness gains will be more widely distributed among catchment organizations and government and NGO supporters. This knowledge will also be disseminated to other institutions and organizations, particularly if they are members of the NCACs, where coordination and collaboration will occur on M&E, KM and Learning through joint webinars, workshops, production of joint KM products, south-south exchange activities, etc.

Increasing multi-stakeholder collaboration around knowledge generation and dissemination will strengthen the capacities of participating countries to respond to climate events. This systematic exchange of lessons learned

and best practices will form the basis of an emerging culture and community of knowledge that will build trust and accountability. This will lead to more timely, efficient and effective interventions in responding to climate change in the region, in participating countries and in the CIP catchments.

Component and Outcome 3 of this programme - Component 3: *Global Learning and Knowledge Management System* and Outcome 3: *Knowledge from CIPs and catchment planning and management initiatives used to strengthen climate adaptation policies and strategies, as well as for improved adaptive management and stakeholder learning* – aim directly at developing the culture and community of knowledge generation and dissemination for catchment adaptive management and policy dialogue. To implement the Programme’s knowledge management system, different actions at the three levels of regional, national and grant level are envisaged.

At the catchment level, the programme will capture local communities’ experience of CIP initiative design, implementation and governance through dedicated volunteer Learning Leaders (LLs). Knowledge management activities at the catchment project level could include peer-to-peer learning, training and facilitated exchange of knowledge. Each grant-funded initiative – based on targets and indicators defined by local community organizations themselves with the support of LLs - will be assessed using a participatory methodology to evaluate project impact on ecosystem services, agricultural and livestock productivity, organizational and individual technical capacities and the overall production of knowledge. At the same time, knowledge from the design and implementation experience of CIPs and their constituent initiatives will be specifically codified for transmission to government institutions and agencies through the NCAC.

At the national level, each country will have an NCAC, CIP and Programme staff working directly as Learning Leaders with the catchment’s local communities to (i) assist them to capture their lessons; (ii) conduct knowledge exchanges; (iii) organize training workshops; (iv) establish and nurture networks of NGO’s and local communities; (v) and help to plan the scale-up and replication of best practices and lessons learned in adaptive management activities. Led by the corresponding LL, each CIP will outline a knowledge management plan. In addition, NCACs, CIP and Programme Learning Leaders will provide guidance and develop local stakeholder capacities to standardize the uptake and organization of information, identify lessons learned and best practices and present findings and conclusions. Based on these experiences, Learning Leaders will routinely produce knowledge materials in local languages, including project fact sheets, informational brochures and case studies, to disseminate at key national events and conferences and to present to policy makers and other authorities. Some of the specific activities carried out at the national level will include knowledge fairs; stakeholder methodology workshops; and creating or strengthening catchment knowledge and advocacy networks.

At the regional level, the Programme will provide guidance and methodological tools for capture and dissemination of knowledge to Learning Leaders at the local level as well as aggregated and exchanged at the regional level. It will share technical publications, organize regional workshops to exchange knowledge and provide training to staff; and share good practices emerging from the portfolio at global conferences and events.

Knowledge management and learning are integral parts of UNDP’s local action approach since 1992. The knowledge obtained from this programme’s project experiences and lessons learned will be socialized through national, regional and global networks of stakeholder organizations, where it can be used in replication, upscaling and adaptive management. The increased capacity of community-level stakeholders to generate, access and use credible information and knowledge is expected to increase the sustainability of project activities beyond the life of grant funding. Targeted knowledge management and communications activities will aim to share lessons and experiences and showcase results of gender mainstreaming, as well as inclusion of vulnerable and marginalized groups. UNDP also establishes partnerships to disseminate the lessons learned and best practices of its considerable portfolio in case studies, fact sheets, publications, and new media. Key global level knowledge management practices include the knowledge management platforms (i.e., digital library of community innovations, communities connect platform); bringing local community voices to global forums; portfolio reviews

and case studies; best practices; coaching and mentorship; storytelling, mapping technologies and expert locators; and communities of practice (CoPs).

J. Consultative processes

Given the demand-driven approach of this regional programme, consultations occur at two different points in time, in general: 1) pre-submission of this proposal and 2) at the onset of programme implementation as part of CIP scoping and development in each country.

At national levels, UNDP COs have met with government authorities, NGOs, private sector actors and other organizations and authorities to explain the regional SAP LLA programme proposal – the catchment approach and participatory methods, the funding mechanism, the role of the NCAC (NSC, adapted), among others. Minutes or notes from each consultation have been kept, including lists of stakeholders consulted (principles of choice, role, dates), descriptions of the consultation techniques (bilateral discussion, FGD), and key findings from the consultations with any concerns, conclusions, or next steps. All consultations were gender-responsive and demonstrate how they encourage meaningful participation and leadership from vulnerable and marginalized groups. These initial consultations regarding this regional programme proposal at pre-submission, are summarized in Annex 5. These consultation findings have influenced key design choices which are described in more detail below.

Consultations during programme design phase: Between 2022 and 2025, programme preparation drew on national technical and finance consultations, catchment- and community-level engagements (including women and youth-focused discussions), and targeted PES consultations with upstream communities and downstream water users across Eswatini, Zambia and Zimbabwe. Across the three countries, stakeholders consistently emphasized that plot-level climate resilient agriculture alone will not be durable where catchments are already degraded and water reliability is declining. As a result, the programme is designed around an integrated package that couples nature-based catchment restoration and improved water governance with market-linked CRA finance and locally led adaptation support. This regional structure also responds to stakeholder interest in applying shared tools and lessons across countries, particularly for CRA lending and PES mechanisms, while tailoring interventions to country-specific degradation drivers and institutional mandates.

Consultations directly informed four core design choices. First, stakeholders highlighted worsening catchment degradation and weak enforcement capacity, leading to a dedicated Catchment Investment pillar with common principles (prioritizing high-impact sub-catchments, establishing hydrological/ecological baselines, and financing a defined menu of NbS such as riparian buffers, gully control, IAPS removal, fire management and agroforestry) while allowing country-specific targeting and sequencing. Second, financial institutions and value-chain actors across all countries stressed that CRA lending is not viable without de-risking, stronger market structures, and repayment alignment to production cycles; this shaped the programme's finance spine, including CRA product design with risk-sharing/technical assistance, borrower aggregation and off-taker arrangements, and practical digital/data tools for farmer profiling and monitoring. Third, targeted PES consultations confirmed broad willingness to participate where benefits are predictable, transaction costs are low, and rules are transparent, which led to a PES design approach that prioritizes simple, credible MRV bundles and governance arrangements anchored in catchment-level committees linked to relevant national authorities, alongside country-specific legal and tariff analyses before pilots launch. Fourth, stakeholders in all three countries underscored that "gender mainstreaming" is insufficient; community sessions and gender-focused consultations (including women-only breakouts) shaped minimum standards for meaningful participation and benefit-sharing, including targeted provisions to expand women's and vulnerable groups' access to CRA finance and LLA support, inclusive representation in catchment governance structures, and engagement protocols that address time-poverty, mobility and safety constraints.

Together, these consultation findings are reflected in the programme's component architecture, sequencing

(restoration and governance alongside finance and market linkages), and its common regional framework for catchment diagnostics, investment planning and monitoring, adapted to each national context.

Consultations at the onset of Programme implementation: These will occur at regional level, as well as in each country in relation to the selected catchment as part of CIP scoping and development.

At catchment level, with the catchment approach (CIP development, operationalization and implementation) proposed by this programme, further consultations with local stakeholders in the catchment are advisable at the very beginning of project implementation i.e. as part of catchment confirmation. A practical step-wise protocol for these consultations will be made available once the overall regional programme starts.

Once the National Catchment Adaptation Committees (NCACs) are established - comprised of representatives of key stakeholder groups, including Designated Authorities, UNDP, NIEs whenever possible, and other relevant institutions and NGOs, as appropriate, including women's organizations and other vulnerable groups – National Coordinators will liaise with target catchments' communities to first confirm awareness and interest in the catchment programme and confirm local stakeholder interest. Once interest has been confirmed, NCs will then organize formal gender-responsive consultations involving all catchment communities as part of a workshop in which they will identify and voice climate impact vulnerabilities and sustainable development priorities. In the workshop, stakeholders, including women and other vulnerable and marginalized groups, will set desired adaptation objectives for the programme in the catchment and will identify and analyse the outputs and activities needed to achieve the objectives. The workshop participants will then develop a CIP in which they prioritize the activities and analyse how, when and by whom the activities will be carried out, what the cost estimates might be, what they might learn from the different activities, what capacities might be needed to effectively implement them, etc. With the knowledge and information from this planning process, local stakeholder communities will then select those activities that they want to implement and formulate proposals for grant financing with the assistance of the National Coordinators or others.

In the workshop, eligibility criteria for grant proposals will be discussed in detail. These will include reference to both the Fund's Environmental and Social Policy and its Gender Policy, as well as criteria adopted by the NCAC itself. The local consultations will be documented as part of the workshop report. Minutes or notes from each consultation will be kept, including a list of stakeholders consulted (principles of choice, role, dates), a description of the consultation techniques (bilateral discussion, FGD), and key findings from the consultations with any concerns, conclusions, or next steps.

At national level, further consultations will be carried out in more detail with relevant stakeholders and authorities, including land use and other ministries, NGOs, academic institutions, local and provincial governments, potential private sector partners, and others. These consultations are gender-responsive and prioritize the most vulnerable and marginalized for support in enhancing their resilience to climate change impacts. These consultations may take place through bilateral discussions or in workshop settings or focus groups.

At the regional level, UNDP will directly contact counterparts in the institutions listed in the table below, explain the scope, objectives and methodology of the proposed programme, and invite comments and discussion. The explanation will touch on specific aspects of the approach, in particular gender-responsiveness of CIP development and implementation and a preferential focus on vulnerable and marginalized groups in the selected catchments.

In general, all institutions are expected to be interested in the participatory approach to be followed for CIP development and implementation, as well as support for the programme in terms of information and knowledge sharing, as well as potential coordination or collaboration at country level. Country level representatives from these institutions, where they exist, are also posited as potential members of the National Catchment Adaptation Committees. The institutional representatives listed in the table will also receive periodic briefings on programme

performance.

Potential coordination or collaboration at country level will also be discussed with these regional entities, but it is expected that for it to effectively occur, it will have to be negotiated separately in each country.

K. Justification for funding requested, focusing on the full cost of adaptation reasoning

This Programme highlights the urgent need for better coordination, innovation, and financing to enhance climate change adaptation efforts, particularly in vulnerable catchments. The Programme addresses the fragmented nature of climate adaptation projects by promoting and executing a participatory catchment planning and management approach to enhance the socio-ecological resilience of ecosystem function and agropastoral production. An important objective of this catchment approach is to ensure that locally-led climate adaptation initiatives are not siloed but instead leveraged collectively to achieve greater impact at scale from ecological (hydrological) and socio-economic synergies. Without such a coordinated catchment approach, the opportunities to maximize socio-ecological resilience benefits through grant funding of locally-led initiatives and the generation and dissemination of knowledge are lost. This coordination also serves to enhance monitoring and learning activities that can inform and improve ongoing efforts.

A central premise of the Regional Programme and its constituent CIPs is that climate change disproportionately affects vulnerable populations, such as women, the elderly, youth, local communities, and the poor. The IPCC 6th Assessment Report underscores that under all emissions scenarios, climate change reduces societies' adaptive capacities and heightens risks of poverty, food insecurity, and forced economic transitions, especially in fragile ecological contexts. It emphasizes the need for adaptation strategies that are inclusive, rights-based, and poverty-focused. These strategies are more effective at minimizing the residual risks of climate change. In this context, the Regional Programme will support CIP development and implementation built on supporting local communities to design and implement innovative, community-based solutions to enhance resilience.

Despite growing awareness of the importance of adaptation, the financial and technological support landscape remains heavily tilted toward mitigation rather than adaptation. This proposal found a number of sources (IPCC, UNEP, World Bank) emphasizing that adaptation innovations are underfunded and face multiple barriers, including lack of capacity, weak technology ecosystems, and insufficient access to finance in developing countries. The Regional Programme will work to close this gap by supporting local community leadership in identifying, designing, implementing and evaluating their own resilience-enhancing initiatives, expediting technical assistance and capacity development, facilitating bottom-up/top-down innovation and the organic emergence of an innovation system, and supporting local communities to generate knowledge for dissemination to peers, policy makers and others.

The Programme's support to locally-led CIP development and implementation represents a targeted approach to address the obstacles to the autonomous exercise of agency by local stakeholders, particularly recognizing and respecting traditional knowledge and experience and the capacity benefits from learning-by-doing and participatory evaluation of their activities. This approach represents the core of innovation i.e. conscious design of identified priority activities with indicators and targets, implementation and periodic monitoring of milestones, final evaluation of what has worked and not, generation of information and knowledge (lessons), and next steps with adaptations to improve performance.

De facto, local communities innovate in managing their mosaic production ecosystems but often without a consistent methodology that can produce actionable conclusions with confidence – the Regional Programme will provide a coherent approach to identifying, supporting and disseminating locally-generated innovations. The CIPs promote stakeholder-driven entrepreneurial responses to climate challenges by providing grant financing to foster innovative technologies, practices, systems and business models aimed at enhancing climate resilience. Given the general lack of other sufficient investment in adaptation, especially for local communities, the Regional Programme will provide critical seed funding for resilience-enhancing initiatives. Through the NCACs and Programme staff it will also connect grantee organizations with potential funders for scaling purposes.

Grant resources will also be used catalytically to crowd-in parallel loan finance through CRA facilities with participating banks. Grants will lay the groundwork for establishing CRA loan facilities and de-risk lending for CRA investments by financing the public-good costs that lenders will not cover. In Zambia, where groundwork is most advanced, the programme will focus on operationalizing the CRA loan facility. In Eswatini and Zimbabwe, initial effort will complete preparatory analytics (market demand, borrower needs, instrument design etc.) using lessons from Zambia to shape the facilities (see Output 2.3 for details on planned activities in each country). This Regional Programme proposal emphasizes that to effectively combat climate change impacts, particularly for the most vulnerable populations, adaptation efforts must be better coordinated, more inclusive, locally-led and significantly better funded. Innovation, technology transfer, and local empowerment through targeted finance and technical assistance are essential pillars of this effort.

At national level, CIPs will benefit from the experience of UNDP's grant-making mechanisms, including SGP and LVG, as well as the systems and procedures in place to effectively monitor implementation and grant administration and disbursement. In line with UNDP's experience implementing similar grant-making programmes, contributions from grantees will be encouraged, whenever possible, to combine with the grant funding provided by the Regional Programme, with an indicative target of reaching a 1:1 ratio.

Baseline and project scenario: incremental cost rationale

In the absence of programme financing (baseline scenario), adaptation actions in the target catchments would remain fragmented, small-scale and largely project-based. While some investments are being made through existing public expenditures, donor-funded initiatives and community efforts, these focus primarily on short-term livelihoods support or sector-specific interventions, with limited coordination at catchment scale, weak integration of climate risk into planning, and insufficient financing for nature-based solutions and CRA. Access to affordable finance for smallholders and value-chain actors remains constrained, and institutional capacity for catchment-level governance, monitoring and learning is insufficient to address accelerating climate-driven land degradation and water insecurity. Under this baseline, adaptation benefits would be localized, temporary and inadequate to manage increasing climate risks.

With AF support (project scenario), the Programme finances the full incremental cost of adaptation required to achieve durable, climate-resilient outcomes that would not occur under the baseline. AF resources enable the establishment and operationalization of CIPs and participatory governance platforms; the provision of grant financing for locally led adaptation and nature-based solutions that directly address climate risks beyond standard development practice; and the generation of catchment diagnostics, monitoring systems and learning mechanisms required for climate-responsive planning and decision-making.

Importantly, AF grant financing is sufficient to support the implementation of CRA and NbS practices at community and landscape level. CRA practices promoted under the Programme are primarily based on changes in land and farm management, cropping systems, soil and water practices, and timing of operations, rather than on capital-intensive technologies. These practices rely on training, extension support, local knowledge, and modest, locally available inputs, and therefore do not entail materially higher costs than conventional practices. AF grants cover these incremental adaptation costs directly through LLA grants, capacity building, and technical assistance

AF resources also ~~also~~ finance the public-good costs of preparing, piloting and de-risking complementary financing mechanisms, (e.g. CRA loan facilities and PES mechanisms), including analytics, institutional strengthening and stakeholder engagement. These mechanisms are not required for the successful delivery of AF-funded adaptation outcomes, but are intended to complement and scale successful practices over time, enabling larger investments, market access and longer-term sustainability where conditions allow.

In this way, AF financing alone delivers the Programme's core adaptation outcomes, including improved catchment condition, enhanced water security, strengthened adaptive capacity and climate-resilient livelihoods, while also creating optional pathways for longer-term sustainability and scaling beyond the project.

Coherence with UNDP's Global Portfolio on LLA

This regional Programme contributes directly to UNDP's global portfolio on LLA, including the Adaptation Fund Climate Innovation Accelerator (AFCIA), the Global LLA Aggregator program and other UNDP initiatives that support community-driven adaptation solutions. While AFCIA and similar programmes focus on accelerating local innovations and piloting community-level models, this Programme strengthens the systemic foundations required for LLA to operate at scale by embedding adaptation decision-making, planning, and resource allocation within formal catchment-governance structures. Through the establishment of NCACs, catchment platforms, and participatory CIPs, the Programme provides an institutional architecture that enables local innovations to be replicated, integrated, and sustained within broader resilience strategies.

In addition, the Programme enhances UNDP's LLA portfolio by creating structured pathways for scaling community-led solutions through non-grant finance mechanisms such as PES schemes and climate-resilient agriculture loan facilities. Its regional learning system, driven by Learning Leaders, analytical mechanisms, and cross-country knowledge exchanges, will generate evidence and lessons that feed into UNDP's global LLA learning platforms, including AFCIA, SGP and other program-related communities of practice. In doing so, it strengthens cross-learning between countries, complements AFCIA's innovation window, and advances UNDP's strategic ambition to institutionalize LLA approaches within national systems and regional frameworks.

L. Sustainability

The sustainability of programme outcomes is premised on a number of principles: one, socio-ecological resilience requires a catchment approach that encompasses ecosystem function at the appropriate scale and is owned, driven and led by local communities in a process of collective planning, management and governance. The Programme engages local stakeholders in analysing climate impacts on ecosystem function and their production systems; involves them in identifying and crafting innovations and other solutions to their vulnerabilities to climate impacts as part of a strategic approach to catchment investment, and uses participatory monitoring and evaluation to distil lessons for use in adaptive catchment management and policy dialogues.

A key ingredient of sustainability is the motivation by land and resource users to adopt, innovate, apply and continuously adapt resilience-enhancing practices, inputs, and systems. Local communities are highly unlikely to adopt new practices or systems if their costs are not recovered by increases in income or food security. New practices and systems require investment and knowledge, together with the capacity to apply these efficiently. While adoption requires capital, financial institutions perceive investment risk in financing local communities given their lack of experience with innovative resilience-enhancing practices and systems. This Programme will provide grant funding to local communities to build their capacities through learning-by-doing, thereby making them more capable of accessing credit or loans for CRA or entering into partnerships with outside investors. As they build their capacities, knowledge and experience, local communities will become more adept at accessing markets and more effective business managers. To sustain these gains beyond grant support, the Programme will also seek to institutionalize CRA loan facilities with national banks so that, once training and verification systems are in place, producers can access affordable asset and working-capital finance with repayments revolving to maintain lending and continue adaptation investments post-project. The Programme will also support the design of PES funds that are capitalized by CIP downstream beneficiaries and use the proceeds to maintain in the long-term the NBS solutions initially implemented by the Programme with grants.

By developing CIPs, local communities experience and own a step-by-step, participatory framework for systematically identifying, defining and prioritizing investments in a catchment, including capacity building, partnership establishment, and market analysis and access. In developing the CIPs, local communities practice non-formal, unofficial catchment governance by prescribing peer-to-peer compliance with consensus-based land management rules. With the experience gained and the organizational strengthening of local communities and catchment networks, local communities are empowered to advocate relevant policy reforms and participate in

formal, official governance at catchment and other levels, as well as to continue to develop non-formal governance practice and learning.

Sustainability is carefully considered as part of CIP development, as well as in grant project design. A key factor in assessing the viability and eligibility of potential resilience-enhancing solutions is the sustainability of their impacts over the longer term. During the corresponding workshop discussions, all key dimensions of sustainability are systematically assessed by the workshop participants in dialogue with technical experts and other participants. Workshop analyses of sustainability – economic, social, ecological, institutional and financial – are facilitated by the NC who ensures that all dimensions are thoroughly interrogated. Grant project proponents will consider multi-dimensional sustainability in their proposals, and sustainability will be a key factor for NCAC review.

Criteria used to assess institutional, financial and governance sustainability will include the following:

Institutional sustainability will be assessed at different levels. At the level of the proponent group itself, the group’s organizational stability and capabilities will be assessed by a review of their history, structure and operations (previous grants, partnerships, projects, etc.). At the level of critical partnerships with government institutions, an assessment will be made as to the strength of government support, its commitment to continued support, its role in grant proponent projects, potential for damage to project implementation should support be withdrawn.

Financial sustainability will be assessed by reviewing the grant proposal for an analysis of potential investment needs and strategy over the short, medium and long terms. The analysis will identify, as needed, potential funding sources for follow-on activities ex post AF funding.

Governance sustainability will be assessed at the level of the proponent organization – democratic, transparent, structured, strategic – as well as in the context of the catchment itself and the organization’s participation in the multi-stakeholder catchment platform.

M. Overview of the environmental and social impacts and risks identified as relevant to the Programme.

The outcome of the screening carried out as part of the development of the programme through the use of UNDP’s SESP (Annex 1) is provided below.

Checklist of environmental and social principles	No further assessment required for compliance	Potential impacts and risks – further assessment and management required for compliance
<i>Compliance with the Law</i>		As per the AF ESP, this principle always applies. There is a risk that the grant-funded initiatives do not comply with applicable domestic and international laws including but not limited to planning permission, environmental permits, construction permits, permits for water extraction. Management measures are described in the ESMP presented in part III.C of this proposal.
<i>Access and Equity</i>		There is a risk that the Programme does not provide fair and equitable access to benefits, particularly with respect to the groups it plans to support (local communities). Management measures are described in the ESMP presented in part III.C of this proposal.
<i>Marginalized and Vulnerable</i>		The participation of marginalized groups may not adequately be considered or supported during the design and implementation of

<i>Groups</i>		CIPs or grant initiatives.
<i>Human Rights</i>		As per the AF ESP, this principle always applies. During implementation, the programme will monitor any implications the above special procedure and status with respect to international treaties might have and define mitigation measures as necessary – see ESMP presented in part III.C.
<i>Gender Equity and Women’s Empowerment</i>		The programme approach, design and activities might not fully reflect views, priorities and constraints of women and girls and might not ensure equitable opportunities for their involvement in implementation and accessing the project benefits. Management measures are described in the ESMP presented in part III.C of this proposal.
<i>Core Labour Rights</i>		The programme may support activities where working conditions might not meet national labor laws and international commitments. Management measures are described in the ESMP presented in part III.C of this proposal.
<i>Indigenous Peoples</i>		Indigenous Peoples might be excluded from fully participating in decisions that may affect them; and there may be grievances or objections arising from potentially affected stakeholders. Management measures are described in the ESMP presented in part III.C of this proposal.
<i>Involuntary Resettlement</i>	The programme is not expected to lead to involuntary resettlement, neither in physical nor economic terms.	
<i>Protection of Natural Habitats</i>		Poorly designed or executed activities supported by the programme may affect natural habitats; may include harvesting of natural forests, plantation development, or reforestation; may be related to animal husbandry or harvesting of fish populations or other aquatic species. Management measures are described in the ESMP presented in part III.C of this proposal.
<i>Conservation of Biological Diversity</i>		Poorly designed or executed activities supported by the programme may affect biodiversity sensitive areas. Management measures are described in the ESMP presented in part III.C of this proposal.
<i>Climate Change</i>	The programme is not expected to result in any significant or unjustified increase in greenhouse gas emissions or other drivers of climate change, due to the nature and characteristics of expected grant-funded activities that do not generate any direct emission of carbon dioxide gas, methane and nitrous oxide, halocarbons, aerosols or ozone.	
<i>Pollution Prevention and Resource Efficiency</i>		Some interventions might involve agrochemicals which may result in the release of pollutants to the environment. Management measures are described in the ESMP presented in part III.C of this proposal.
<i>Public Health</i>		Some interventions might involve agrochemicals, which may result in the release of pollutants to the environment, negatively impacting workers’ health. Management measures are described in the ESMP presented in part III.C of this proposal.
<i>Physical and Cultural Heritage</i>		The programme may support initiatives impact tangible or intangible cultural heritage in the target catchments-seascapes. Management measures are described in the ESMP presented in part III.C of this proposal.
<i>Lands and Soil Conservation</i>	The programme is not expected to pose any risks to land and soil conservation but rather will aim to address challenges related to climate change including land degradation and promoting sustainable land management and erosion control. Checks	

	and balances in terms of environmental and social impact will be included in the sourcing phase to ensure no adverse effects can be envisioned from this programme.	
--	---	--

Based on this assessment, the Programme falls within the Category B.

The Regional Programme proposed here includes activities that are critically dependent for their formulation on the outcome of other project/programme activities and that can only be fully formulated on the basis of these prior achievements. This is the case for this Programme and the CIPs which include a grants mechanism, where applications for funding of grant activities will be invited during implementation, within an objectives and operational framework (the CIPs) that is clearly defined in the proposal.

For locally-led adaptation to be successful, intensive local stakeholder involvement is required in the development of the objectives and operational framework of CIPs. The process of developing the CIPs builds ownership, agency and capacity so that participant Indigenous Peoples and Local Communities are enthusiastic and able to identify the grant activities required to fulfil CIP objectives and objectives. Their participation is a pre-condition for the formulation of the CIP grant activities. The environmental and social risks associated with these grant activities can only be discerned during CIP formulation and analysis of CIP grant activities and CIP initiative development.

Given the fact that the grant-funded initiatives will only be identified or confirmed and sourced at the outset of the proposed Programme, this represents a case of Unidentified Sub-Project (USP), which justifies the assigned programme ESP categorization (B).

At programmatic level, and in line with the guidance document for projects/programmes with USPs, the ESMP provides mechanisms to track identified ESP-related risks, ensuring that appropriate mitigation measures are identified and implemented, and that they are properly monitored and reported on. An Environmental and Social Management Plan (ESMP) and a Grievance Mechanism are outlined in part III.C and Annex 4 of this proposal, respectively. The ESMP will be revised during implementation based on USP risk screening. Each grant-funded initiative will be subject to its own screening, in line with the Guidance document for Project/Programmes with unidentified sub projects.

PART III: IMPLEMENTATION ARRANGEMENTS

A. Arrangements for Programme management at the regional and national levels, including coordination arrangements within countries and among them.

Implementation Modality and Overall Arrangements

At the request of the Governments of Eswatini, Zambia and Zimbabwe, UNDP will serve as the Implementing Entity (IE) for the Programme in accordance with the Adaptation Fund accreditation framework and the approved Technical Budget and Work Plan. UNDP will also serve as the Executing Entity (EE) for activities implemented under Direct Implementation Modality (DIM), as specified below.

The Programme is structured as a regional programme comprising three country-level child projects implemented in Eswatini, Zambia and Zimbabwe. It includes:

- A regional component, implemented directly by UNDP under Direct Implementation Modality (DIM); and
- Three country-level child projects, implemented under National Implementation Modality (NIM) by designated National Executing Entities (NEEs) in each participating country.

Under the NIM arrangements, the NEEs retain full responsibility and accountability for execution of country-level activities and achievement of results. UNDP Country Offices will provide UNDP Operational Support Services, at the request of the IPs, in accordance with UNDP Programme and Operations Policies and Procedures, to support effective and timely implementation.

UNDP Operational Support Services may include, among other things, support for procurement, recruitment of project personnel and consultants, financial transactions and payments, grant administration, travel and logistics, and other operational services, as requested by the IPs and reflected in the approved budget. Provision of these services does not transfer execution responsibility or accountability from the IPs to UNDP.

The table below summarizes the support services and the justification for UNDP's added value.

Table 7: Summary of Support Services:

Support Type	Provided Support Services	Justification
Procurement	Purchase of : <ul style="list-style-type: none"> - complex, high-risk, or internationally sourced services and equipment not available in the SA market, - bulk materials, as applicable. 	<ul style="list-style-type: none"> - Ensures compliant procurement processing, risk controls and timely contracting, while preserving NEE accountability. - Offer economies of scale, ensure value-for-money, and ensuring alignment with objective of the catchment.
Recruitment/Contracting	Contracting international consultants, specialized facilitators and regional staff	The procurement of specialized expertise (for PES, climate modelling, or CIP) design is complex and may exceed MTEA/EEA's internal capacities. UNDP ensures standardized contracting,

		compliance and technical quality in line with timely mobilization and fiduciary requirements.
Financial transactions & payments	Executing payments/transactions under UNDP procedures for purchases of goods and services whose procurement was done through UNDP system and if requested by the relevant EE.	Strong fiduciary controls/audit trail and timely processing to meet AF/UNDP requirements.
Low-Value Grants Administration (LVGs)	Operational administration of LLA/LVG grants, including: <ul style="list-style-type: none"> - preparation and issuance of grant agreements following approval by NCACs - processing grant disbursements and payments - fiduciary compliance checks in line with AF and UNDP policies - monitoring grant-level fiduciary performance and reporting 	UNDP has extensive experience administering small-grant mechanisms (e.g. SGP-type instruments) and provides robust fiduciary systems, audit trails, and compliance controls, while all grant selection, approval, and strategic decision-making remain with national institutions. This ensures fiduciary integrity without displacing locally led decision-making.
Regional Component Execution	The UNDP country office assuming the role of lead country, Zimbabwe, Implements regional coordination, learning/KM, regional monitoring/reporting, safeguards & gender QA for DIM scope.	Regional delivery requires cross-country coordination and consolidation; UNDP as accredited IE can implement and ensure compliance.

Implementation Modalities by Component

The regional component of the Programme (including Component 3 and designated regional activities under Component 2) will be implemented directly by UNDP under DIM. These activities include regional coordination, knowledge management and learning, regional monitoring and reporting, safeguards and gender quality assurance at regional level, and technical assistance that is regional in nature.

Country-level activities under Components 1 and 2 will be implemented under NIM by the National Executing Entities (NEEs) in each country. These NEEs will lead planning, execution, coordination and reporting of country-level activities, including engagement with local stakeholders and delivery of Catchment Investment Programme (CIP) activities.

Low-Value Grants (LVGs) to community-based organizations, civil society organizations and other eligible local entities will be managed by UNDP as part of its Operational Support Services, in accordance with UNDP's Low-Value Grant Policy, and at the request of the national Implementing Partners. The NEE retains overall accountability for grant outcomes, while UNDP administers LVGs strictly as an operational support service. The authority for grant approval, oversight and strategic guidance will rest with the National Catchment Adaptation Committees (NCACs), as described below.

Programme Management Arrangements

The Programme will be supported by a Regional Programme Management Unit (PMU), hosted by the UNDP Zimbabwe country office and operating under DIM, which will be responsible for day-to-day coordination and management of the regional component. The Regional PMU will support coherence across the three country-level child projects, consolidate monitoring and reporting, and facilitate regional learning and exchange.

At country level, each NEE will establish and manage a country project team responsible for implementation of the child project under NIM. Project personnel at country level will be engaged under the authority of the NEEs. UNDP Country Offices may provide operational support services for the recruitment and contracting of such personnel, at the request of the NEEs, without assuming execution responsibility for country-level activities.

Governance and Coordination

Each country will establish a National Catchment Adaptation Committee (NCAC) to provide strategic guidance, oversight and approval of CIP priorities and LVG-supported initiatives. The NCACs will include representatives from government, civil society and other stakeholders, with UNDP Country Offices participating in an oversight and advisory capacity.

At regional level, a Programme Board will provide overall strategic oversight, risk management and performance review for the Programme, in line with UNDP and Adaptation Fund requirements.

At Global and Regional Level

In its capacity as the Implementing Entity (IE), UNDP will be accountable to the Adaptation Fund Board for overall oversight of Programme implementation and compliance with Adaptation Fund and UNDP policies and procedures. This includes consolidated oversight of Programme performance, fiduciary compliance, risk management and safeguards across both the regional component (DIM) and the country-level child projects (NIM).

UNDP, as IE, will provide Programme-level functions including: (i) Programme planning, coordination and consolidated reporting to the Adaptation Fund; (ii) oversight of risk management and social and environmental standards compliance; (iii) oversight of financial management and consolidated financial reporting; (iv) approval of consolidated work planning and review of annual delivery; and (v) coordination of Programme-level monitoring, evaluation and learning requirements in line with Adaptation Fund policies.

Regional component (DIM): UNDP will directly implement the regional component under Direct Implementation Modality (DIM) through a Regional Programme Management Unit (Regional PMU) hosted by the UNDP Zimbabwe Country Office. The UNDP Zimbabwe Country Office will serve as the operational host of the Regional PMU, providing day-to-day management, fiduciary oversight and administrative support for all regional-level activities.

The Regional PMU will be responsible for coordination and execution of the regional component, including regional learning and knowledge management activities, consolidation of Programme monitoring and reporting inputs, regional safeguards and gender quality assurance functions, and regionally scoped technical assistance. The Regional PMU will also ensure coherence across the three country-level child projects and will act as the Secretariat to the Programme Board.

Programme Governance and Oversight

The Programme will be governed by a Programme Board, established at regional level, in line with UNDP's programme governance requirements and Adaptation Fund expectations for oversight, transparency and accountability. The Programme Board is the senior body responsible for strategic oversight of Programme implementation and performance – both the regional component and the country-level child projects.

The key functions of the Programme Board include: (i) reviewing Programme performance based on progress reporting, risk logs and evaluation evidence; (ii) reviewing and advising on major Programme risks and agreeing remedial actions; (iii) providing strategic guidance to maintain coherence across the regional component and country child projects; and (iv) endorsing key implementation decisions that affect delivery, risk exposure, and long-term sustainability.

Composition of the Programme Board: The Board will comprise 5–7 members appointed by UNDP, including:

- Programme Executive: An UNDP representative who chairs (or co-chairs) the Board and represents Programme ownership. This role will be fulfilled by the UNDP Climate Hub Director or designee.
- Beneficiary Representatives: Representatives from UNDP Country Offices or the Regional Bureau for Africa (on a rotating basis), representing the interests of Programme beneficiaries.
- Development Partner Representative: A representative of the UNDP Vertical Fund Directorate

Programme Assurance: UNDP will fulfil the Programme Assurance function through designated quality assurance and compliance roles separate from day-to-day execution. Programme Assurance supports the Programme Board by providing objective oversight related to risk management, fiduciary compliance, and application of UNDP Social and Environmental Standards, including safeguards, gender equality and SEAH risk mitigation measures. Programme Assurance does not perform execution functions.

At Country Level

Country child projects (NIM): Each country child project (Eswatini, Zambia and Zimbabwe) will be implemented under National Implementation Modality (NIM) by the designated National Executing Entity (NEE). The NEE is accountable for the execution of the child project and for delivery of country-level outputs and results, including planning and coordination of activities, management of technical work at national and catchment level, engagement with stakeholders, and timely technical and financial reporting in line with agreed workplans. The NEEs for each country are:

- Eswatini Ministry of Tourism and Environmental Affairs
- Zambia Ministry of Green Economy and Environment
- Zimbabwe Ministry of Environment, Climate and Wildlife

UNDP Country Offices (oversight and Operational Support Services): UNDP Country Offices will maintain their oversight/assurance role in line with UNDP policies, including participation in governance structures and application of UNDP quality assurance processes. In addition, and at the request of the NEE, UNDP Country Offices will provide UNDP Operational Support Services to facilitate efficient and compliant implementation. Operational Support Services may include procurement support (including for international consultants and firms), recruitment/contracting support for project personnel, financial transactions and payments, travel and logistics, and grant administration functions, as reflected in the approved budget and agreed implementation arrangements. Provision of Operational Support Services does not transfer execution responsibility or accountability from the NEE to UNDP.

Low-Value Grants (LVGs): LVGs to eligible local entities (including community-based organizations and civil society organizations) will be administered by UNDP as part of UNDP Operational Support Services, at the request of the NEE, and in accordance with UNDP's Low-Value Grant Policy and applicable fiduciary and safeguards requirements. Grant-making processes, selection/approval arrangements and oversight will be carried out through the country governance structures described below.

National Governance and Coordination Arrangements

National Catchment Adaptation Committee (NCAC): Each participating country will establish a National Catchment Adaptation Committee to provide strategic guidance and oversight for the Catchment Investment Programme (CIP) process and associated initiatives. The NCAC will provide linkage to national policy processes and support inclusive participation of government, civil society and other stakeholders. It will be composed of government and non-governmental representatives, with majority membership by non-governmental stakeholders; this aims at ensuring that AF resources reach local actors directly and efficiently. The NCAC will play a central role in guiding CIP priorities and reviewing and approving community-level initiatives proposed for grant support in line with agreed criteria, safeguards, and gender and inclusion requirements. UNDP Country Offices will participate in the NCAC in an oversight and advisory capacity consistent with their assurance role. The respective UNDP Resident Representative or designated representative will serve on the NCAC, which will have two permanent members: a representative of the NEE, as well as UNDP.

Where needed, a Technical Advisory Group (TAG) may support the NCAC by providing technical review and advice on proposals and technical designs without substituting for NCAC decision-making authority. The TAG consists of a pool of voluntary experts who help review proposals and provide advice in relation to specific areas of programming and partnership development

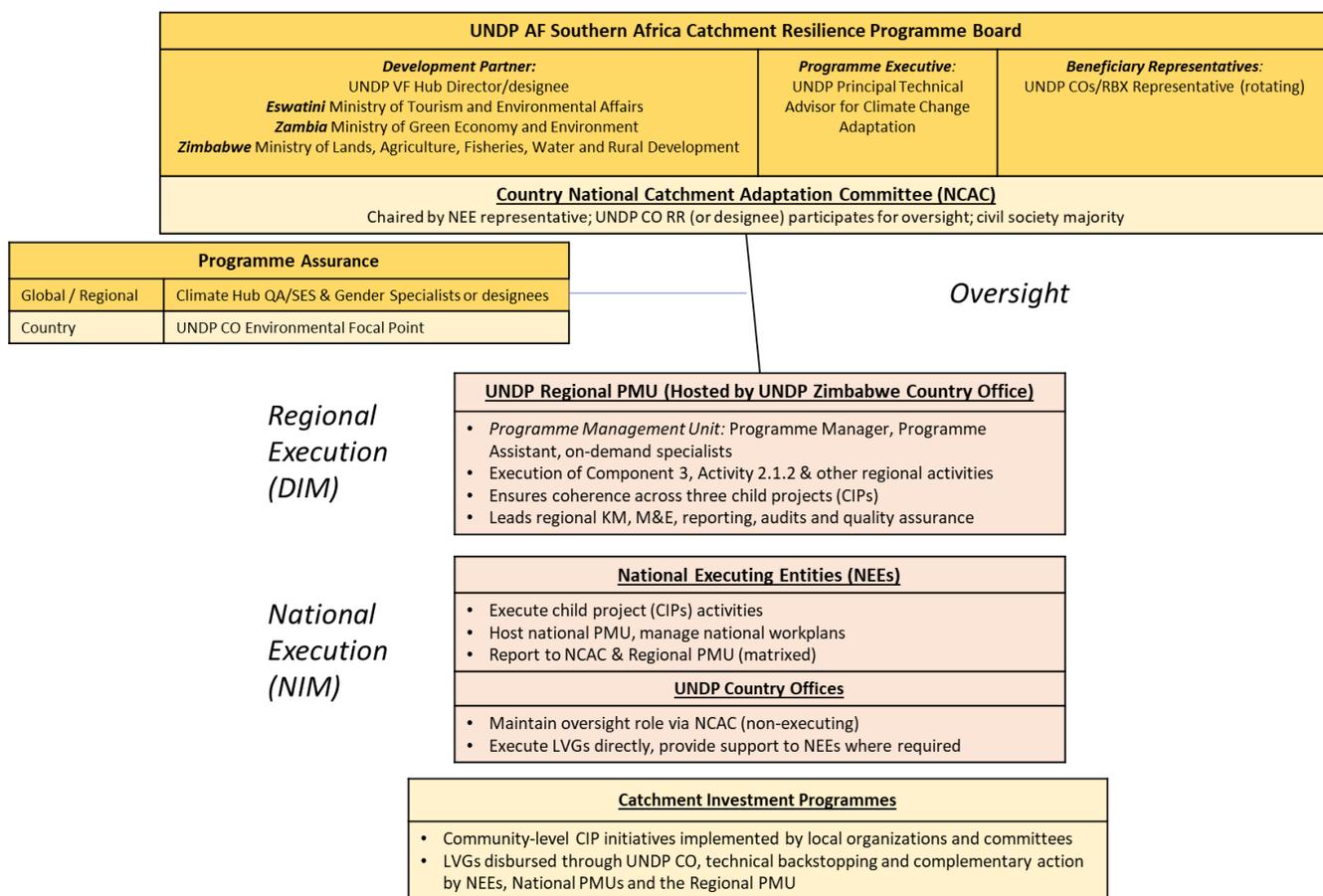
Country Implementation Structure

Country Project Team: Each NEE will maintain a country project team responsible for day-to-day implementation and coordination of the child project under NIM, including technical coordination of CIP processes, stakeholder engagement, planning and reporting, and coordination with catchment-level actors. Project personnel work under the authority and leadership of the NEE. Where requested by the NEE, UNDP Country Offices may support contracting and payment processes as part of UNDP Operational Support Services, without assuming execution responsibility.

Programme Stakeholders and Target Groups

Primary stakeholders and direct partners include local communities and local organizations in target catchments that will lead and implement locally-led adaptation initiatives supported through the CIP process. Secondary stakeholders include relevant government agencies, civil society organizations, private sector actors and regional institutions whose roles may include participation in governance bodies, provision of technical services, and support for knowledge exchange, policy uptake and sustainability of programme results.

Figure 4: Programme Implementation Arrangements & Governance Structure



B. Measures for financial and project/Programme risk management

Through the participatory vulnerability assessment and catchment planning process, including the identification of proposals for grant funding, local stakeholders gain a full understanding of project risks and are able to identify and design mitigating measures, with different roles and contributions to risk management. Periodic meetings of the proponent local communities with the Programme Staff to evaluate project progress will also include review of identified risks and assessment of trends and potential counter measures. Depending on different factors, emergent risks to a project that are beyond the management capacities of the local communities are elevated to the NCAC for advice and support.

This Regional Programme will monitor the CIPs in participant countries, involving the NEEs and UNDP COs and providing due diligence regarding risks and mitigation measures.

Table 8: Risk Assessment and Mitigation Measures

Risk description	Level (Low, Moderate High)	Mitigation measures
<p><i>Financial –</i></p> <p>Financial management risk is present at the level of individual grant management by local</p>	<p>Medium</p>	<p>The programme will implement the following measures to minimize and mitigate risk associated with grant provisioning and management:</p> <ul style="list-style-type: none"> • Recognizing that local communities may have relatively little experience with financial management, Programme staff and the NCAC will work with requesting organizations to identify and minimize financial management risks in the design and execution of grant proposals;

community organizations, as well as at the level of CIP management and implementation.

- Grants will be awarded by the UNDP Country Office upon approval by the NCAC, and after critical assessment of the financial needs of the proposed initiative;
- Grants will be disbursed on a schedule corresponding to specific implementation milestones agreed with proponent grantees;
- Grantee initiatives will be financially monitored on a set schedule determined during NCAC review and approval processes;
- Grantees will receive training in grant resource management, where needed, as a condition for grant approval.
- Regular audits at country-level of the NEE's and UNDP's CIP financial administration will be conducted to ensure compliance with UNDP financial rules and procedures. Transparent financial reports will be made to all stakeholders, including AF, ADA, NCAC members, and grantees.

Institutional –

Medium

Government agencies and institutions may try to pressure local stakeholders (i.e. local community organizations) to support alternative government-led programs and projects and thereby cede exercise of their agency and autonomy

The programme will implement the following measures to minimize and mitigate risk associated with aggressive pressure by government agencies to conform to top-down project planning and implementation:

- During start-up consultations with stakeholders at national and local levels, carefully review the benefits and opportunities for collaboration with Local Communities in pursuit of catchment objectives;
- Ensure that all consulted parties are aware of FPIC as a requirement for CIPs and initiatives, including human rights as foundational to the CIP design and implementation;
- Ensure representation of appropriate local and national authorities on the NCAC, mindful of its civil society majority membership;
- With LC participation, identify collaborative arrangements where possible with government agencies and programs for complementary activities around grant-financed initiatives;
- Determine roles for appropriate government agencies in capacity development and knowledge generation and dissemination.

Implementation-

Medium

The obstacles facing local communities in implementing their initiatives may stress their organizational capacities to effectively and efficiently meet initiative milestones leading to internal disagreement and dysfunction.

The programme will implement the following measures to minimize and mitigate risk associated with LC organizational capacity deficiencies for initiative implementation:

- Programme staff will work with local communities to discuss and analyze their ideas, concepts and proposals and determine general capacity needs and gaps for implementation;
- NCAC review of submitted proposals will assess grantee capacities and gaps and will recommend specific capacity development activities to be carried out as a condition for approval;
- Programme staff will monitor LC organizational capacities and function and troubleshoot potential conflicts, disruptions or other issues both within organizations as well as between them;
- Programme staff will link all grantee organizations in a catchment network where periodic meetings, peer-to-peer exchanges, mentorship, and information and knowledge exchange enhance a community of practice and the confidence and capacities of local stakeholders.

Environmental

Medium

Project outputs and outcomes may be

As part of the participatory CIP development, hazard assessments for target catchments have been conducted in partnership with local stakeholders and will be reviewed, providing additional details with respect to potential disaster and climate risks and, ultimately, to inform

affected by climate change and natural disasters, which may impact the project beneficiaries, activities, implementation processes and expected results

the activity plans of the grant-funded initiatives and incorporate appropriate preparedness and mitigation measures. The CIP will incorporate information on climate and disaster hazards and key stakeholders responsible for disaster risk reduction and management. Officers from local governmental entities in the project catchments will be invited to provide input and guidance on developing targeted mitigation plans – where relevant - and managing any risks identified in the grant proposals. Under the catchment approach, the project will promote regular coordination between the grantees and the local stakeholders for early warning, and disaster preparedness updates and awareness.

C. Measures for environmental and social risk management, in line with the Environmental and Social Policy of the Adaptation Fund

An Environmental and Social Management Framework (ESMF) has been prepared in support of the proposal for a regional programme titled “Financing Locally Led Adaptation and Nature-based Solutions for Catchment Resilience in Southern Africa” designed by the UNDP and partners to support access to critically needed climate finance by countries in Southern Africa.

The programme interventions focus on resilience-enhancing actions to address water and food security needs within catchments in three river basins in Southern Africa (corresponding to territory in Eswatini, Zambia and Zimbabwe).

This proposal responds to needs expressed by country governments and stakeholders, including the private sector (PS), to address the interlinked stressors of climate change impacts leading to water stress and land uses leading to increasing degradation in watersheds across Southern Africa.

The programme will support government and local communities to develop and execute: (i) climate risk-informed watershed restoration and management, and (ii) climate resilient practices and technologies for agricultural production and sustainable pasture management, within an overarching framework of Catchment Investment Programs (CIPs).

By providing evidence and knowledge from analysis of CIP performance, the programme aims at supporting regional bodies of SADC, including the River Basin Organizations (RBOs) and Watercourse Commissions to scale up the adoption of tested CIP methods and approaches. Technical partners in the design stage include World Food Programme (WFP), the Nature Conservancy (TNC), FAO, and local organizations and stakeholders in project countries.

To achieve its objective, the programme will invest in enabling poor/near-poor smallholders to adapt to increasing climate-driven rainfall variability and drought through implementation of three inter-linked Outcomes:

Outcome 1: Catchment Investment Programmes, consisting of multiple complementary resilience-enhancing initiatives, reviewed and prepared by local stakeholder communities

Outcome 2: LLA initiatives financed and implemented to meet CIP objectives for enhanced socio-ecological resilience to climate change, with complementary non-grant mechanisms established to sustain and scale results

Outcome 3: Evidence generated from CIPs and their catchment management initiatives is used to strengthen

climate adaptation policies and strategies, and to improve adaptive management and stakeholder learning across catchments

The programme will enable the three target countries (Eswatini, Zambia and Zimbabwe) to adopt a paradigm shift in the way smallholder agricultural development is envisioned and supported through an integrated approach to agricultural resilience starting with planning for climate risk based on identification and analysis of agroecosystem vulnerabilities; enhancing water security and guaranteeing access; scaled up adoption and application of climate-resilient agricultural practices and cropping systems; and creating partnerships among value chain stakeholders to ensure access to market and credit.

This programme will also produce important environmental, social, and economic co-benefits. With increasing adoption of agroforestry and other multi-cropping systems, including resilience-enhancing soil, water and biomass management practices, the land degradation processes currently underway will be slowed. The programme will empower women and ethnic minorities with the skills and confidence to participate more widely in community and organizational affairs, as well as to establish formal business partnerships and access the market for climate-resilient agricultural products.

The programme has been screened using UNDP's Social and Environmental Standards Procedure and compared with AF ESP. The programme risk was assessed using the UNDP Social and Environmental Screening Template (SESP) and deemed to be a moderate risk programme (see Annex 1 for SESP). The ESMF has been prepared based on the risks identified through screening of activities. The risks are considered to be acceptable and manageable through the application of mitigation measures (see Annex 2 for ESMF)

The ESMF provides an outline of the management measures required to be implemented as part of the programme to manage the environmental and social risks identified. Additional targeted studies and assessments will be required at the level of country CIPs and these will result in the development of ESMPs tailored to each sub-project.

D. Monitoring and evaluation arrangements and a budgeted M&E plan

Monitoring of community and initiative level activities is embedded in implementation and will be carried out through a participatory, multi-tiered system. At initiative level, community groups and local implementing partners will track progress against agreed milestones using simple, participatory monitoring tools (e.g. activity checklists, photo documentation, attendance records, basic outcome tracking), supported by training under Output 2.2. Designated community or initiative focal points will consolidate this information and submit periodic updates to the National Coordinator.

The National Coordinator will undertake regular field visits, in some cases jointly with NCAC members, to verify reported progress, support problem-solving, and validate results with communities. In parallel, catchment multi-stakeholder platforms will designate monitoring focal points to review initiative-level progress across the catchment and facilitate collective reflection during platform meetings.

Verified initiative-level data will be entered into the CIP-level MRV system and aggregated at catchment level, forming a core input to the programme M&E system. This information will be used for performance tracking, adaptive management, learning products, and reporting, and periodically reviewed by NCACs to inform strategic adjustments and policy-relevant insights

The regional programme as well as the individual CIPs will be monitored and evaluated under distinct budgets and protocols, in line with the Adaptation Fund Evaluation Policy. The M&E plan described below will ensure the management of environmental and social risks at regional programme and national/catchment levels.

Programme-level monitoring and evaluation will be undertaken in compliance with the UNDP policies and procedures, UNDP Evaluation Policy and with the Adaptation Fund Evaluation Policy and Environmental and Social Policy. The Programme Manager, under the oversight of UNDP as the IE, will be responsible for monitoring compliance and alignment of the progress of the regional programme against these policies and related instruments, including the ESMF and Gender Action Plan. Any delays or challenges experienced during the implementation phase will be communicated to UNDP by the Programme Manager, so that any appropriate support and corrective measures required can be acted on efficiently. UNDP will also ensure that all programme staff maintain transparency, responsibility and accountability in monitoring and reporting on programme results. This monitoring will also include assessment of the management of environmental and social risks identified during programme formulation.

Monitoring by the Programme Manager to be conducted during the implementation phase include reviews of the three CIPs and due diligence of CIP development processes (consultations, workshops, etc.); reviews of CIP initiative portfolios and conformity with CIP objectives; reviews of overall knowledge generation activities in the three countries and dissemination of products through the LKM; interviews with government and UNDP representatives on the NCAC, and others.

In each of the three countries, the UNDP COs will monitor CIP development and implementation, including the management of environmental and social risks. UNDP will provide due diligence of the CIP development process (consultations, workshop, etc.), as well as NCAC establishment (LC majority; representation of marginalized groups; gender expert(s); technical experts, government representative, etc.). The NCs will monitor implementation of each grant initiative through field visits, focus groups, interviews, etc., and report to the NCAC (of which UNDP is a permanent member). Implementation of each grant initiative will be monitored against milestones agreed at programme approval as well as for compliance with environmental and social safeguards. Grant initiative evaluations will be undertaken in the field following a participatory assessment process facilitated by the NCs and/or expert in stakeholder empowerment and locally-led development.

The costs associated with undertaking the necessary monitoring, and assessments required to inform regional programme evaluations are presented below and in section G.

Table 9: Monitoring and Evaluation Budget for Project Implementation

M&E activity	Responsible Party	Budget (USD)	Timeframe
Supervision/development of the Baseline Data Report	Three National Programme staff Coordinator	4538,000 (IE Fee)	Baseline data report with in first year of implementation not later than submission of annual PPR
Inception Workshop (s)	Project Manager UNDP	20,000 (IE Fee)	Within first two months of project start up
Review of CIPs and due diligence of CIP development processes	Programme Manager	5,000	Within three months of programme onset

Review of CIP initiative portfolios and conformity with CIP objectives	Programme Manager	5,000	Within one year of programme onset
Review of overall knowledge generation activities in the three countries and dissemination of products through the LKM	Programme Manager	10,000	Starting in year two of programme implementation
Check-ins with government and UNDP representatives on the NCAC regarding environmental and social risk management	Programme Manager	2,000	At programme onset and annually; ad hoc troubleshooting
Monitoring of implementation of each grant initiative through field visits, focus groups, interviews, etc., and report to the NCAC (of which UNDP is a permanent member) against milestones agreed at project approval as well as for compliance with environmental and social safeguards.	Three national Programme staff	120,000	At least once a year over four years
Participatory assessment of grant initiatives facilitated by Programme staff and/or expert in stakeholder empowerment and locally-led development.	Three national Programme staff	120,000	Starting in year two or three and continuing until end of programme
Project Review (Steering Committee)	Project Manager	None	Annually
AF Project Performance Review (PPR)-	Project Manager UNDP	10,000 (IE Fee)	Annually
AF Project Completion Report (PCR)	Project Manager UNDP	7,000 (IE Fee)	6 months after project completion
Independent Mid-term Review (MTR)	International Expert	20,000 (IE Fee)	At project implementation mid-point
Independent Terminal Evaluation (TE)	International Expert	20,000 (IE Fee)	End of year 5
Monitoring missions for SESP, ESMP, stakeholder engagement plan, gender action plan	Programme Manager	30,000 (IE Fee)	
External Audit	Audit Firm	80,000 (IE Fee)	Annually
		4872,000	(1.62% of total budget)

One or more inception workshops will be held in each country once the Programme has been approved by the AF Board to: i) refamiliarize national level stakeholders (government, local community organizations, NGOs, others) regarding the programme strategy and discuss any changes in the overall context that may influence programme implementation; ii) discuss the roles and responsibilities of the programme team at global and national/local levels, including reporting and communication lines and conflict resolution mechanisms; iii) review the programme's Results Framework; iv) discuss reporting, monitoring and evaluation roles and responsibilities; v) review the financial reporting procedures and mandatory requirements; and vi) finalise the first year annual work plan for the programme. The final inception report will be submitted to the AF Secretariat.

An annual programme performance report (PPR) will be prepared by the IE. UNDP will ensure that the indicators included in the Programme Results Framework are monitored annually and that the results from regular M&E

activities are presented in the AF PPR. Any challenges and delays experienced during the implementation phase will be monitored by the Programme Manager and reported in the AF PPR. Additionally, the project completion report (PCR) will be submitted six months after Project completion, and the final PPR is considered as a project completion report.

UNDP as part of its programme oversight function will be responsible for managing the independent mid-term and Final Evaluations of the programme, to provide an assessment of programme performance against its targets at the programme’s mid-term (end of Year 2). Following the mid-term evaluation, UNDP will develop a management response to the evaluation recommendations along with an implementation plan for undertaking the required actions.

An independent consultant will be contracted by UNDP to conduct the Final Evaluation Report at the end of programme implementation. This evaluation will include an independent assessment of the programme’s overall performance against standard evaluation criteria (e.g. strategic relevance, effectiveness, efficiency, likelihood of impact and sustainability), as well as against the programme indicators presented in the Results Framework. This evaluation will be based on evidence, field observation visits and key informant interviews. Following completion of the evaluation, the Final Evaluation report will be submitted to the Adaptation Fund secretariat.

~~Breakdown of how the IE fee will be utilized in the supervision of the M&E function:~~

Description of M&E activities	Budget in USD
Inception workshop(s)	20,000
Preparation of the annual report to AF	10,000
Independent Mid-term Review (MTR)	20,000
Independent Terminal Evaluation (TE)	20,000
Monitoring missions for SESP, ESMP, stakeholder engagement plan, gender action plan, CIP-performance	50,000
Programme quality assurance / technical assistance	50,000
External audit	80,000
Total	250,000

E. Results framework for the project/Programme proposal, including milestones, targets and indicators

Regional Project Objective:					
To increase the adaptive capacity and resilience of vulnerable communities in Zambia, Eswatini and Zimbabwe by financing locally-led Catchment Investment Programmes (CIPs), strengthening multi-stakeholder governance platforms, and establishing complementary non-grant financing mechanisms to sustain and scale climate-resilient livelihoods and ecosystem management.					
Project Objective	Objective Level Indicators	Baseline	Target at Project Completion	Means of Verification	Risks and Assumptions
To increase the adaptive capacity and resilience of vulnerable communities in Zambia, Eswatini and Zimbabwe by financing locally-led Catchment Investment Programmes (CIPs), strengthening multi-stakeholder governance platforms, and establishing complementary non-grant financing mechanisms to sustain and scale climate-resilient livelihoods and ecosystem management.	<p>01: AF Core Indicator: Number of beneficiaries (direct and indirect) with increased adaptive capacity, disaggregated by sex and age</p> <ul style="list-style-type: none"> • Direct beneficiaries (male and female) • Indirect beneficiaries (male and female) 	0 0	<p><i>Direct Beneficiaries</i></p> <p><i>Total: (estimated); 180,802</i></p> <p><i>Female: 92,420</i></p> <p><i>Male:</i></p> <p><i>Youth: 37,218</i></p> <p><i>Indirect Beneficiaries</i></p> <p><i>Total: 591,576</i></p> <p><i>Female: 304,445</i></p> <p><i>Male: 287,131</i></p> <p><i>Youth: 119,247</i></p>	<p>CIP beneficiary registries (sex- and age-disaggregated)</p> <p>CIP annual progress reports</p> <p>NCAC meeting records</p> <p>MTR and Final Evaluation reports</p> <p>Monitoring database (PMU)</p>	<p>Assumptions: Baseline data will be collected early through community profiling and CIP consultations. Local communities remain willing to participate.</p> <p>Risks: Weak local capacity to generate beneficiary data; climate shocks (drought/floods) may disrupt activities and reduce the realized number of active beneficiaries.</p>
	<p>02: AF Core Indicator: Number Natural assets protected or rehabilitated</p> <ul style="list-style-type: none"> • Total hectares under resilience-enhancing management through CIP-supported initiatives 	0	(43,170 hectares (country-level estimates to be finalized during CIP formulation))	<p>GIS and remote sensing analysis</p> <p>Field surveys</p> <p>Implementation reports</p> <p>MRV system outputs</p>	<p>Assumptions: Communities adopt proposed land-use and ecosystem-restoration practices.</p> <p>Risks: Drought, land disputes or fires reduce effective hectares under management.</p>
Outcome	Outcome Indicators	Baseline	Target at Project Completion	Means of Verification	Risks and Assumptions
<i>Outcome 1: Catchment Investment Programmes (CIPs), consisting of multiple complementary resilience-enhancing initiatives, are reviewed, prioritized, and prepared by local stakeholder communities through functional multi-stakeholder catchment governance platforms.</i>	1.1 Number of CIPs designed, validated, and under implementation in the three countries.	0	3 CIPs prepared, validated, and under implementation (Eswatini, Zambia, Zimbabwe)	<p>CIP design documents</p> <p>CIP validation workshops</p> <p>NCAC minutes approving CIPs</p> <p>PMU Quality Assurance Reports</p>	<p>Assumptions: Local communities are willing and able to participate in CIP formulation; NCACs function effectively and reach consensus.</p> <p>Risks: Political or institutional delays in validation; capacity gaps in local facilitation</p>

	1.2 Number of multi-stakeholder catchment platforms (NCACs + catchment governance committees) established and functional.	0	At least 3 NCACs formally established and meeting regularly; at least 3 catchment platforms functional at local level.	NCAC TORs NCAC membership lists (sex-disaggregated) Platform meeting minutes Attendance registers	Assumptions: Relevant stakeholders including ministries and local leaders support the multi-stakeholder governance model. Risks: Turnover of representatives; weak participation of women/youth; competing priorities at district or national level.
<i>Outcome 2: Locally-Led Adaptation (LLA) initiatives are designed, financed, and implemented to meet CIP objectives for enhanced socio-ecological resilience to climate change, with complementary non-grant financing mechanisms established to sustain and scale results.</i>	2.1 Number of LLA initiatives designed and implemented in line with CIP priorities.	0	At least 100 initiatives implemented across the 3 countries (approx. 33 per CIP)	CIP initiative registry Grant agreements Progress reports Field verification	Assumptions: Local communities have capacity and interest to design proposals; grant mechanism functions smoothly. Risks: Proposal quality varies; delays in disbursement; elite capture excludes vulnerable groups.
	2.2 Number of PES / -CRA / non-grant mechanisms established to sustain and scale LLA initiatives.	0	At least 1 financing mechanism mobilized in each country (to be defined during design of financial mechanisms)	PES/CRA portfolio reports Bank partner reports Financial agreements	Assumptions: Financial institutions cooperate and adopt inclusive lending. Risks: Macroeconomic instability reduces credit appetite; high default risk due to climate impacts.
	2.3 Number of initiatives that include at least 50% women and 20% youth	0	At least 70% initiatives have at least 50% women and 20% youth	Beneficiary registry (sex/age-disaggregated) Loan and grant agreements Pre-loan training attendance	Assumptions: It is viable to have 50% women participating in these initiatives Risks: Gender norms limit decision-making and participation among women
<i>Outcome 3: Evidence generated from CIPs and their constituent initiatives is used to strengthen national and regional climate adaptation policies, and to improve adaptive management and stakeholder learning across catchments.</i>	3.1 Number of CIP initiatives with performance, lessons, and gender-responsive analyses completed and used for adaptive management.	0	100% of all CIP constituent initiatives undergo participatory evaluation (incl. gender analysis) and feed results into adaptive management processes.	Participatory evaluation reports CIP annual progress reports NCAC meeting minutes.	Assumption: Local communities participate in evaluation and reflection processes. Risk: Climate shocks or institutional disruptions delay evaluation timelines.
	3.2 Number of gender-responsive knowledge products (case studies, evidence notes, briefs, videos) produced and disseminated nationally and regionally.	0	At least 30 gender-responsive knowledge products are developed	Published products Web analytics	Assumption: Sufficient evidence and stories are generated; communities and NCs contribute. Risk: Weak reporting by implementers limits quality of documentation.
	3.3 Number of policy influence	0	At least 10 policy briefs /	Policy briefs	Assumption: Policymakers remain

	outputs (policy briefs, recommendations, technical notes) informing national adaptation strategies, NAP/NDC updates or catchment policy reforms.		recommendations, with explicit gender-responsive content, submitted to governments and regional bodies.	Submissions to ministries Consultation workshop reports	engaged and receptive. Risk: Political turnover or policy fatigue affects uptake.
Output	Output Indicators	Baseline	Target at Project Completion	Means of Verification	Risks and Assumptions
Output 1.1: Multi-stakeholder National Catchment Adaptation Committees (NCACs) established	1.1.1 NCACs formally established with approved ToRs and gender-balanced membership.	0	3 NCACs established (one per country) with at least 50% representation of women/youth	NCAC ToRs and membership lists National Coordinator reports Meeting minutes	Assumption: Government endorses NCAC mandates. Risk: Resistance to gender-balanced membership in some contexts.
	1.1.2 Number of NCAC meetings convened to guide CIP development.	0	At least 12 meetings each year (4 per year across the 3 countries)	Attendance Sheets Agenda and decision logs Meeting minutes	Assumption: Regular meeting schedules are feasible. Risk: Travel disruptions or competing government priorities.
	1.1.3 Percentage of NCAC members trained on gender, GBV/SEAH safeguards, climate-risk analysis, and CIP appraisal.	0	100% of NCAC members oriented and trained	Training reports Evaluation forms Attendance registers	Assumption: Training venues accessible; participants available. Risk: Staff turnover requires repeated orientations.
Output 1.2: Catchment management and governance platforms established at sub-catchment/community level	1.2.1 Number of sub-catchment governance platforms established and functional.	0	At least 3 platforms established (one per CIP)	Platform ToRs Attendance sheets Governance platform progress reports	Assumption: Traditional authorities and local governments agree to participate. Risk: Community-level disputes or elite capture.
	1.2.2 Number of consultation workshops held with inclusive participation (women, youth, vulnerable groups).	0	All consultations, with participation featuring at least 50% women and 20% youth across all sessions	Consultation summaries Sex- and age-disaggregated attendance records	Assumption: Communities are available for workshops. Risk: Seasonal workloads limit availability (especially women).
	1.2.3 Percentage of consultations applying SEAH-safe and gender-responsive protocols.	0	100% of consultations	Facilitation guidelines SEAH compliance checklists	Assumption: Facilitators follow required protocols. Risk: Limited capacity or inconsistent oversight.
Output 1.3: Catchment Investment Programmes (CIPs) validated	1.3.1 Number of CIP drafts produced incorporating climate risks, gender analysis, and ecosystem-based adaptation priorities.	0	3 CIP drafts developed	CIP drafts Technical review reports	Assumption: Sufficient technical support from PMU and national experts. Risk: Data gaps or limited technical capacity.

	1.3.2 CIPs validated through inclusive processes (gender-balanced participation).	0	3 validated CIPs, each with at least 50% women participating in validation	Validation workshop reports	Assumption: Validation workshops are accessible. Risk: Low participation by marginalized groups.
	1.3.3 Percentage of CIPs incorporating gender-responsive indicators, MRV systems, and grievance / SEAH mechanisms.	0	100%	Final CIP documents Gender specialist verification	Assumption: Gender expertise is available. Risk: Weak integration of gender and safeguards if review processes are rushed.
Output 1.4: Priority community and catchment-level initiatives identified for CIP investment	1.4.1 Number of potential initiatives identified by communities (women, men, youth).	0	At least 100 initiatives identified across countries	Initiative concept notes Community scoring sheets NCAC prioritization records	Assumption: Communities have sufficient time/resources to participate. Risk: Initiative identification processes dominated by local elites.
	1.4.2 Percentage of proposed initiatives that are women-led or include women in leadership positions.	0	At least 30% women-led or women-co-led	Participant lists Gender analysis reports Proposal review matrices	Assumption: Women's groups mobilize effectively. Risk: Social norms restrict women's leadership roles.
Output 2.1: LLA initiatives designed and implemented according to CIP objectives	2.1.1 Number of LLA initiatives designed using participatory, gender-responsive processes.	0	100% of initiatives designed	Proposal templates Screening Matrices Consultation Reports	Assumption: Communities can identify viable technical solutions. Risk: Proposal fatigue in some communities
	2.1.2 Percentage of initiatives with at least 50% women participating in design, decision-making, and MRV.	0	70% of initiatives include at least 50% women	Sex-disaggregated attendance sheets MRV planning documents	Assumption: Barriers to participation are removed (time, location, childcare). Risk: Women's time poverty constrains engagement.
	2.1.3 Percentage of initiatives screened using gender-responsive and SEAH-safe safeguards checklist.	0	100%	Screening checklists Safeguard reports Field verification	Assumption: Facilitators are trained. Risk: Capacity constraints at district level
Output 2.2: Capacities of local organizations strengthened for grant design, implementation, and MRV	2.2.1 Number of local organizations receiving training in project design, climate risk assessment, MRV, gender, and SEAH safeguards.	0	At least 100 organizations trained across 3 countries	Training curricula Attendance sheets (sex/age disaggregation) Post-training evaluation surveys	Assumption: Local CSOs/communities ready to engage. Risk: Staff turnover erodes capacity.

	2.2.2 Percentage of training packages fully gender-responsive and SEAH-compliant.	0	100%	Training materials Gender Specialist validation	Assumption: Gender specialist remains engaged. Risk: Limited budget/time for customization.
	2.2.3 Percentage of participants who show increased knowledge in climate-resilient agriculture, financial literacy, and safeguards.	0	At least 70% report improved knowledge	Pre/post-training tests Participant surveys	Assumption: Training methods appropriate for local literacy levels. Risk: Low literacy hinders absorption.
	2.2.4 Percentage of women and youth participating in trainings.	0	At least 50% women and 20% youth participation	Attendance sheets	Assumption: Trainings designed to be accessible to women. Risk: Cultural constraints limit youth/women attendance.
Output 2.3: Establishment of non-grant financing mechanisms (CRA, PES, guarantees) to sustain and scale LLA initiatives	2.3.1 Number of CRA/PES/non-grant financing mechanisms established, piloted or operationally prepared (one per country expected).	0	At least 3 mechanisms (1 per country)	Partnership agreements Bank reports Financial mechanism design documents	Assumption: Financing partners commit to mechanism design. Risk: Institutional resistance or political turnover.
	2.3.2 Number of women and youth accessing loans, PES payments, or other non-grant financing.	0	At least 50% women and 20% youth	Financial product databases Sex-disaggregated borrow lists Payment records	Assumption: Collateral-light lending options adopted. Risk: GBV/SEAH risks linked to control of funds.
	2.3.3 Percentage of supported financial products integrating gender clauses, flexible repayment schedules, and safeguards.	0	100% of financial products	Loan agreements Product terms Safeguards review	Assumption: Banks accept revisions. Risk: Banks prefer conventional collateralized lending.
	2.3.4 Number of lenders (banks, utilities, MFIs) trained in gender-responsive interaction and SEAH protocols.	0	At least 1 institution per country	Training materials Attendance sheets Certification lists	Assumption: Banks willing to adopt training. Risk: Staff turnover in banks.
Output 3.1 A structured peer-to-peer learning and exchange programme implemented at national and local levels, supporting adaptive management and upscaling.	3.1.1 Number of peer-learning events (local, national, regional) delivered, applying gender-responsive and SEAH-safe protocols.	0	At least 12 events (at least 4 per country), all SEAH-safe.	Event reports Participant lists (sex-disaggregated) Photos Training materials	Assumption: Local institutions mobilize participants; logistics are stable. Risk: Travel or weather disruptions delay exchanges.

	3.1.2 Percentage of participants who are women and youth	0	At least 50% women, 20% youth	Sex-disaggregated attendance sheets Event evaluations.	Assumption: Outreach effectively reaches women; scheduling accommodates care burdens. Risk: Social norms limit women's participation in some areas.
	3.1.3 Number of gender-responsive learning materials developed and circulated (learning packs, toolkits, videos).	0	At least 15 learning materials, and at least 40% documenting women innovators or women-led initiatives.	Learning materials repository Dissemination lists.	Assumption: Local NCs and PMU have capacity to produce materials.
Output 3.2: Regional mechanism established for analysis, synthesis, and policy-relevant learning on catchment management and socio-ecological resilience	3.2.1 Regional learning and analysis mechanism established and fully operational.	0	1 regional mechanism fully established, with governance structure, TORs, and annual workplan approved.	TORs Governance documentation Annual meeting minutes	Assumption: Regional institutions cooperate. Risk: Delays in agreeing on governance structure.
	3.2.2 Number of analytical products produced by the regional mechanism (e.g., multivariable analyses, resilience assessments, cross-country reviews).	0	At least 6 analytical products produced (at least 2 per year per country from Year 3 onward)	Analytical reports Technical briefs	Assumption: Data from countries remains available and consistent. Risk: Insufficient data quality for analysis.
	3.2.3 Number of independent expert evaluations and performance assessments conducted on CIPs / socio-ecological processes.	0	At least 6 independent evaluations completed (2 per country – 1 mid term review and one terminal evaluation)	Evaluation reports Evaluator TORs	Assumption: Qualified experts retained. Risk: Evaluation timelines slip due to extreme weather or access issues.
Output 3.3: A nationwide Adaptation Learning Programme developed and disseminated across national, regional, and global levels.	3.3.1 Number of Learning Leaders (LLs) trained and leading the Adaptation Learning Programme in each country.	0	At least 7 Learning Leaders (2 per country: 1 NCAC, 1 CIP platform rep, and one regional rep) trained and active	Training records LL workplans Attendance sheets	Assumption: LLs remain engaged. Risk: Turnover in NCACs or local organizations.
	3.3.2 Number of knowledge products produced and disseminated under the Adaptation Learning Programme (policy briefs, learning notes, cross-country syntheses).	0	At least 24 knowledge products disseminated (8 per country)	Published products Website analytics	Assumption: PMU and NCACs produce timely material. Risk: Slow reporting by local partners.
	3.3.3 Number of presentations / policy engagements with governments, regional bodies, and global platforms informed by the Adaptation Learning Programme.	0	At least 6 policy engagements (e.g., SADC platforms, ministries, global forums).	Meeting minutes Presentation decks Policy engagement records	Assumption: Policy bodies receptive to evidence. Risk: Political changes reduce engagement opportunities

Adaptation Fund Core Impact Indicator “Number of Beneficiaries”				
Date of Report	Proposal submission date			
Project Title	Financing Locally Led Adaptation and Nature-based Solutions for Catchment Resilience in Southern Africa			
Country	Eswatini, Zambia, Zimbabwe			
Implementing Agency	UNDP			
Project Duration	5 years			
	Baseline <i>(absolute number)</i>	Target at project approval <i>(absolute number)</i>	Adjusted target first year of implementation <i>(absolute number)</i>	Actual at completion ⁷ <i>(absolute number)</i>
Direct beneficiaries supported by the project	0	180,802		
<i>Female direct beneficiaries</i>	0	92,420		
<i>Youth direct beneficiaries</i>	0	37,218		
Indirect beneficiaries supported by the project	0	591,576		
<i>Female indirect beneficiaries</i>	0	304,445		
<i>Youth indirect beneficiaries</i>	0	119,247		

Beneficiaries in the table above were estimated separately for each country, assuming that direct beneficiaries were comprised of: i) Farmers receiving direct support for climate-resilient agricultural interventions; ii) Rural downstream irrigation farmers receiving the benefits of improved water security (water quantity and quality). Indirect beneficiaries were calculated as the remainder of the population in the downstream areas who benefit from improved ecosystem services, including the regular and increased supply of high-quality water. The number of female beneficiaries were taken as the total direct/indirect beneficiaries multiplied by the female proportion of the rural population in each country (51-52%). The number of youth benefiting was taken as the total direct/indirect beneficiaries multiplied by the proportion of 15-24 year olds making up the rural population in each country (20-21%).

Adaptation Fund Core Impact Indicator “Natural Assets Protected or Rehabilitated”				
Date of Report	Proposal submission date			
Project Title	Financing Locally Led Adaptation and Nature-based Solutions for Catchment Resilience in Southern Africa			
Country	Eswatini, Zambia, Zimbabwe			
Implementing Agency	UNDP			
Project Duration	5 years			
	Baseline	Target at project approval	Adjusted target first year of implementation	Actual at completion ⁹
Natural Asset or Ecosystem				
<i>Catchments</i>				
Change in state	0	43,170 ha		
<i>Ha under resilience-enhancing management</i>				
Total number of natural assets or ecosystems protected/rehabilitated	0	43,170 ha		

F. Programme alignment with the Results Framework of the Adaptation Fund

Project Objective(s) ¹⁹	Project Objective Indicator(s)	Fund Outcome	Fund Outcome Indicator	Grant Amount (USD)
To increase the adaptive capacity and resilience of vulnerable communities in Zambia, Eswatini, and Zimbabwe by financing locally-led Catchment Investment Programmes (CIPs), strengthening multi-stakeholder governance platforms, and establishing complementary non-grant financing mechanisms to sustain and scale climate-resilient livelihoods and ecosystem management	<p>AF Core Indicator: Number of beneficiaries (direct and indirect) with increased adaptive capacity, disaggregated by sex and age.</p> <p>AF Core Indicator: Number of natural assets protected or rehabilitated (under CIPs)</p>	<p>Outcome 3: Strengthened awareness and ownership of adaptation and climate risk reduction processes</p> <p>Outcome 5: Increased ecosystem resilience in response to climate variability and change</p> <p>Outcome 6: Diversified and strengthened livelihoods and sources of income for vulnerable people in targeted areas</p>	<p>3.1: People with strengthened awareness of climate change risks and how to better address them</p> <p>3.2: People implementing new or improved adaptation actions</p> <p>5. Number of natural assets strengthened or brought under improved management, and total area (hectares) under improved, climate-resilient management</p> <p>6. Number of households/communities adopting diversified, climate-resilient livelihood strategies as a result of programme support (tracked with sex-disaggregated data at beneficiary level).</p>	29,284,245 million
Project Outcome(s)	Project Outcome Indicator(s)	Fund Output	Fund Output Indicator	Grant Amount (USD)
Outcome 1: CIPs, consisting of multiple complementary resilience-enhancing initiatives, reviewed and prepared by local stakeholder communities	<p>Number of CIPs designed and under implementation</p> <p>Number of multi-stakeholder catchment platforms established (with at least 50% women/youth participation).</p>	FO-3.1: Targeted population groups participating in adaptation and risk reduction awareness activities	3.1: Number of targeted population groups participating in adaptation planning and risk-reduction processes	3,787,791 million
Outcome 2: LLA initiatives designed, financed and implemented to meet CIP objectives for enhanced socio-ecological resilience, with complementary non-grant mechanisms established to sustain and scale results.	<p>Number of locally-led initiatives designed and implemented (incl. % women-led)</p> <p>Total land area under resilience-enhancing management</p> <p>% women/youth accessing PES/Trust/CRA finance</p> <p>% finance beneficiaries completing pre-loan training and SEAH orientation</p>	<p>FO-5.1: Vulnerable ecosystem services and natural resource assets strengthened in response to climate change impacts, including variability</p> <p>FO-6.1: Targeted individual and community livelihood strategies strengthened in relation to climate change impacts, including variability</p>	<p>5.1: Ecosystems and natural resources targeted by activities to improve protection, restoration, and/or management</p> <p>6.1: Number of households adopting improved and/or new climate-resilient livelihood practices</p>	4,011,829 million 7,616,485 million

¹⁹ The AF utilized OECD/DAC terminology for its results framework. Project proponents may use different terminology but the overall principle should still apply

Outcome 3: Evidence generated from CIPs and catchment management initiatives is used to strengthen climate adaptation policies/strategies and improve adaptive management and stakeholder learning.	Number of peer-learning events (incl. % women and youth participants) Number of analytical/learning products produced (incl. gender-responsive No. of policy briefs/engagements informed by project evidence	FO-3.2: Strengthened capacity of national and subnational stakeholders and entities to capture and disseminate knowledge and learning	3.2.2: No. of tools and guidelines developed (thematic, sectoral, institutional) and shared with relevant stakeholders	2.33028 million
--	--	--	---	-----------------

Note: FO-5.1 finances NbS, catchment restoration, ecosystem MRV and PES preparation; FO-6.1 finances CRA practices, livelihood diversification, training and CRA finance readiness. AF core indicators (“Number of beneficiaries” and “Natural assets protected or rehabilitated”) are applied at the Project Objective level. Outcome- and output-level indicators represent intermediate results that directly contribute to these core indicators and do not replace them.

G. Detailed budget with budget notes, broken down by country, a budget on the Implementing Entity management fee use, and an explanation and a breakdown of the execution costs.

Detailed budget by project activity and Budget Notes

Quantum Outcome (AF Component)	Quantum Output (AF Outcome)	Quantum Fund ID	Quantum Donor ID	Quantum Responsible Party	Quantum Activity (AF Output)	Quantum Budgetary Account Code	Quantum Budget Account Description	Amount Year 2026	Amount Year 2027	Amount Year 2028	Amount Year 2029	Amount Year 2030	Total (USD)	Budget Note No.
Component 1: Catchment Investment Programmes	Outcome 1: CIPs, consisting of multiple complementary resilience-enhancing initiatives, reviewed and prepared by local stakeholder communities	62040	011602	UNDP	Activity 1.1 (Output 1.1)	71400	Contractual Services-Individuals	30,000	60,000	60,000	30,000	30,000	210,000	1
						71600	Travel	4,500	10,500	10,500	4,500	4,500	34,500	4
				IP		71800	Contractual Services-Imp Partn	90,000	180,000	180,000	90,000	90,000	630,000	2
						75700	Training, Workshops & Conferences	25,000	50,000	25,000	25,000	25,000	150,000	3
						71600	Travel	11,190	8,100	8,100	2,100	2,100	31,590	4
				UNDP	Activity 1.2 (Output 1.2)	71200	International Consultants	25,000	70,000				95,000	5
						71400	Contractual Services-Individuals	60,000	60,000	60,000	60,000	60,000	300,000	6
				71600		Travel	4,000	12,000	6,000	4,000	4,000	30,000	7	
				IP		75700	Training, Workshops & Conferences	45,000	70,000	40,000	30,000	25,000	210,000	3
					71600	Travel	2,000	10,000	4,000	2,000	2,000	20,000	7	
					71800	Contractual Services-Imp Partn	80,000	185,000 191,550	185,000 191,550	80,000 75,990	70,000 64,920	6004,0010	8	
				UNDP	Activity 1.3 (Output 1.3)	72100	Contractual services-companies	60,000	90,000	80,000			230,000	9
						71400	Contractual services-individuals	90,000	100,000	120,000	110,000	100,000	520,000	10
						71600	Travel	10,000	16,000				26,000	11
72400	Communic & Audio Visual Equip	20,000	60,000						80,000	13				
71600	Travel	5,000	15,000						20,000	11				
IP	72500	Supplies	30,000	50,000				80,000	12					
	75700	Training, Workshops & Conferences	60,000	100,000				160,000	14					

				IP	Activity 1.4 (Output 1.4)	71600	Travel	6,000	14,000				20,000	15				
							75700	Training, Workshops & Conferences	35,000	105,000				140,000	16			
				UNDP			71600	Travel	6,000	14,000				20,000	15			
							71400	Contractual Services-Individuals	45,000	90,000	45,000			180,000	17			
Component 1 Total								743,690	1,369,376,600	8230,600,150	437,360,590	412,600,407,520	3,797,090,379,110					
Component 2. Demand-driven financing for LLA grants and establishment of complementary non-grant financing mechanisms to sustain locally-led climate adaptation solutions	Outcome 2: LLA initiatives designed, financed and implemented to meet CIP objectives for enhanced socio-ecological resilience to climate change, with complementary non-grant mechanisms established to sustain and scale results	62040	011602	IP	Activity 2.1 (Output 2.1)	71600	Travel	4,000	4,500	3,500	3,000		15,000	18				
								UNDP	Activity 2.2 (Output 2.2)	72300	Materials & Goods	89,400	229,400	159,400	159,400	159,400	797,000	19
								UNDP	Activity 2.3 (Output 2.3)	72100	Contractual Services-Companies	120,000	400,000	280,000			800,000	21
				IP	Activity 2.3 (Output 2.3)	72800	Information Technology Equipmt	30,000	30,000				60,000	23				
				IP	Activity 2.3 (Output 2.3)	72100	Contractual Services-Companies	130,000	300,000				430,000	29				
				UNDP	Activity 2.3 (Output 2.3)	71200	International Consultants		80,000	80,000			160,000	30				
				IP	Activity 2.3 (Output 2.3)	71600	Travel		17,500,15,000				157,0500	31				
				IP	Activity 2.3 (Output 2.3)	71400	Contractual Services-Individuals	70,000	155,000	155,000	100,000	50,000	530,000	32				
				IP	Activity 2.3 (Output 2.3)	71600	Travel		2,500				2,500	31				
				IP	Activity 2.3 (Output 2.3)	74200	Audio Visual&Print Prod Costs		2,000				2,000	33				

						75700	Training, Workshops & Conferences		12,000				12,000	34	
Component 2 Total								1,517,188	5,873,168	6,443,190	4,235,400	359,400	18,425,386	6	
Component 3. Global Learning and Knowledge Management System	Outcome 3: Evidence generated from CIPs and their catchment management initiatives is used to strengthen climate adaptation policies and strategies, and to improve adaptive management and stakeholder learning across catchments	62040	011602	UNDP	Activity 3.1 (Output 3.1)	71400	Contractual services- individuals		100,000	100,000	100,000	100,000	400,000	35	
						71600	Travel			25,000	25,000	20,000	70,000	37	
				IP	Activity 3.1 (Output 3.1)	75700	Training, Workshops & Conferences			65,000	55,000	50,000	170,000	36	
						71600	Travel			25,000	25,000	20,000	70,000	37	
				UNDP	Activity 3.2 (Output 3.2)	71400	Contractual Services- Individuals	25,000	50,000	50,000	50,000	25,000	200,000	38	
						72100	Contractual services- companies		50,000	100,000	50,000	25,000	225,000	39	
						71200	International Consultants			50,000	50,000	50,000	150,000	40	
						71600	Travel	6,000	18,500	18,500	18,500	18,500	80,000	41	
						75700	Training, Workshops & Conferences		3,710	5,430	5,430	5,430	20,000	42	
						71600	Travel	4,000	3,798	11,173	500	11,173	500	48,490	41
				IP	Activity 3.2 (Output 3.2)	75700	Training, Workshops and Conferences		4,790	15,070	15,070	15,070	50,000	42	
						75700	Training, Workshops & Conferences		5,000	5,000	10,000	10,000	30,000	43	
				UNDP	Activity 3.3 (Output 3.3)	71600	Travel		10,000	10,000	12,000	13,000	45,000	46	
						72400	Communic & Audio Visual Equip	20,000					20,000	44	
						71200	International Consultants		50,000	50,000	50,000	50,000	200,000	45	
71600	Travel		10,000			20,000	23,000	27,000	80,000	46					
72100	Contractual Services- Companies		50,000			100,000	50,000		200,000	47					
71400	Contractual Services- Individuals	30,000	60,000			60,000	60,000	60,000	270,000	48					
Component 3 Total								85,000	84,798	423,500	710,500	610,500	500,500	2,330,28,000	490

Project/Programme Activities Cost	2,345,878.67	7,666,670.28	7,978,372.90	5,283,279.50	1,276,250.00	24,545,456
	6	8011	513	0163	93	
Project/Programme Execution Cost	563,718	641,888	548,888	503,889	468,889	2,727,272
Total Project/Programme Cost	2,909,596.39	8,308,558.17	8,527,261.80	5,787,088.49	1,745,138.93	27,272,728
	4	6899	8401	51	983	
Implementing Entity Fee	423,170	658,613	658,613	658,613	328,263	2,727,272
Total Amount of Funding Requested	3,332,766.56	8,967,171.28	9,185,873.63	6,445,746.98	2,073,401.86	30,000,000
	4	9512	1014	2664	46	

Budget Note No.	Project Output (Description)
1	Southern Africa Regional Programme Coordinator: Overall coordination of the Regional Programme team and Technical Assistance (TA) to support the NCACs, catchment platforms and CIP grantees (and guidance to the COs while delivering the project). Brings all the lessons learned from UNDP-supported LLA activities and projects, as well as from other catchment or landscape management programmes and projects elsewhere. Maintains relationships and partnerships with governments, regional bodies, collaborative NGOs, donors and private sector entities. Assists and supports COs to establish NCACs and engage NCs. Coordinates the design and implementation of the regional knowledge management programme. Troubleshoots country level supervision of CIP development and implementation.
2	National Coordinators for each Program Country: manages the implementation of Components 1 and 2. Provides or engages technical assistance for development of the CIP at country level, establishment of the NCAC and multi-stakeholder catchment platforms. Facilitates CIP development workshops, consultations and partnerships. Coordinates with local stakeholders to identify, promote, and support innovative climate adaptation solutions, ensuring integration of gender equality and women's empowerment and addressing priority climate risks identified during CIP development workshops. Assists community stakeholders in the design of grant proposals for the identified solutions consistent with the CIP. Presents grant proposals to the catchment platform and the NCAC for the latter's approval for funding. Oversees in-country delivery of activities, monitors progress, and ensures timely reporting to the Regional Programme Coordinator. Contributes to the regional knowledge management system, and supports grant recipients in meeting project goals and compliance requirements.
3	Training and workshops: with government institutional staff, consultants, NGOs, national smallholder and herder federations, donors and others to familiarize them with the CIP approach and overall governance mechanism (NCAC)
4	Local Travel: in country and to project sites to engage key institutions and organizations in establishing the NCAC in each country
5	International consultants: one expert in participatory research and planning processes and methods, particularly in regard to land use planning and rural development and adaptation. One Catchment restoration expert for engagement process and co-development intervention plans for each target catchment
6	Gender & Safeguards experts (regional): one gender and one safeguards expert to provide technical backstopping support to each country expert (details in budget note 8) and part time program associate
7	Travel of IC (participatory planning), local consultant (community engagement - see budget note 15), safeguards experts and gender experts to catchments and within catchments for establishment of CIP multistakeholder platforms
8	Safeguards experts (national): one national safeguard expert for each country to provide technical support and quality assurance regarding safeguards commitments throughout the project lifecycle, including monitoring of the ESMF
	Gender experts (national): One national gender expert for each country for provision of technical expertise to ensure gender-responsive and transformative implementation of CIP and grantee initiatives, including integrating gender into activities, monitoring gender-specific indicators, and advising on stakeholder engagement and capacity building. Including Monitoring the implementation of the GAAP - three country level experts, one regional.

9	Contractual Services - Companies: baseline assessments of biophysical, ecological and socioeconomic trends, patterns, factors and systems in each CIP
10	Contractual services - individuals: Experts in agro-ecology, ecosystem ecology and hydrology, smallholder economics and enterprise development, agrarian organization; to accompany CIP confirmation, development, operationalization; particularly grant proposal design; and part time procurement and finance analyst
11	Travel of consultants to countries and to and around catchments; travel of NCs, NCACs to catchments for CIP formulation
12	Supplies: for workshop presentations, participatory mapping, vulnerability analysis, agro-ecosystem analyses
13	Info tech equipment - data storage, audiovisual, communications
14	Training, workshops: CIP development workshops featuring extensive community engagement, including participatory vulnerability analyses, catchment management objective identification and plan development, adaptation solution identification and prioritization, design of CIP constituent initiatives, and initial preparation of LVG proposals.
15	Travel: of local experts (budget note 17) to and around catchments
16	Training , workshops: with all catchment organizations together to identify viable solutions to their vulnerability to climate change impacts; review and discuss project design, finalize designs for grant financing
17	Contractual services - individuals: local experts in traditional knowledge, communication, leadership to support community consultations, CIP design, identification and implementation in each country
18	Travel: IC, consultants to countries and to and around catchments; travel of NCs to catchments to support design of CIP constituent initiatives
19	Materials and goods: project inputs related to CIP initiatives including ecosystem restoration reforestation, IAS removal, CRA, etc.
20	Low Value Grants (LVG) to NGOs/CSOs for CIP solutions on an agreed schedule of milestone-based disbursements, following the UNDP policy on Low Value Grants.
21	Contractual services - Companies: Services to engage communities and support the development of CFM systems, including community consultation and co-development of CFM areas with local communities, as well as technical assistance to government institutions for setting up and formalizing CFMGs.
	Contractual services - Companies - Companies: services to develop community-based restoration and agroforestry processes
	Contractual services - Companies: establish demonstration sites, each supporting lead farmers; and develop training material, including pictural references and translation to local languages.
	Contractual services - Companies: agricultural training institute to provide training services to extension officers
	Contractual services - Companies: expert institutions and/or organizations with experience in design of PES and CRA facility development and implementation
	Contractual services - Companies: to develop the monitoring and evaluation framework for CIPs, including key performance indicators (KPIs)
22	Equipment and furniture for small CIP office in each catchment
23	Info tech equipment: data storage, audiovisual presentations, communications, digital monitoring
24	Contractual services - Companies: establishment of wood lots, rangeland water points; complement NBS actions by LVGs, establish and implement Farmer Field Schools for stakeholders on implementation of relevant NbS activities, including capacity building on social and environmental safeguards, gender and inclusion, financial management and operations and maintenance; training on community-level MRV protocols and data management, with facilitated knowledge exchange and learning across catchments

25	International consultants: training and technical assistance to government institutions for design and implementation of extension, employment and training programs for CRA, CFM, ecosystem restoration, rangeland management
26	Contract services - individuals: Training delivered through training of trainers/lead farmer and field school models, cascading down to individual producers with simple MRV of attendance and practice adoption. Focus on practical skills for field execution (plans, workflows, O&M), institutional competencies (safeguards, gender and inclusion, fiduciary basics), and community-level MRV (data collection, quality control, reporting, and learning). Delivery will combine targeted trainings, on-site coaching, and peer exchange through catchment platforms, with materials adapted to local contexts and languages.
27	Supplies: seeds, tools, equipment, learning materials
28	Training and workshops: grant project organization and management skill building; monitoring of project performance, record keeping, reporting; organizational dynamics, effectiveness, planning, digital tools, presentations, etc.; training and capacity building of local stakeholder organizations regarding safeguards, gender and inclusion, financial management, operations, maintenance, etc., including MRV protocols and data management
29	Contractual services - companies: Services to perform financial modelling in program countries to quantify the economic benefits and costs (ROI), and the financial risks of the prioritized NbS options, helping to assess their viability from a financial perspective; sensitize potential investors and donors on the outcomes of the business case; and co-develop the MoU documents with the CIP governance team and the potential buyers of ecosystem services
	Contractual services - companies: Services to support CRA loan facility preparation in Eswatini and Zimbabwe through: (i) market demand assessment and yield analysis to validate the CRA lending business case, (ii) co-design of bankable, risk-tiered loan products with partner banks, and (iii) scoping of digital platform requirements and integration pathways. In Zambia where this groundwork is already completed, the consultancy will focus on developing the digital lending platform, producing training materials for banks and beneficiaries, delivering capacity-building, supporting MoUs with anchor offtakers, and pitching the facility model to additional investors to crowd in finance.
30	International consultants: experts in economic instruments and financial mechanisms regarding Payment for Ecosystem Services (PES) and CRA lending (50 days each); performance-based services, payment rules, etc. CRA finance expert will support development of CRA loan product in 3 countries, role will include input into product design including tailoring the loan product to CRA-specific needs, such as aligning loan terms with agricultural cycles; developing pitches to crowd in additional funds from co-financiers; supporting in the development of operational guidelines, risk mitigation strategies, and monitoring frameworks; and technical backstopping of national CRA loan facility coordinator.
31	Travel - Travel for ICs under budget note 30 (CRA finance and PES/NbS finance experts), for Zambia agricultural/climate expert to support CRA training manual development (budget note 32)
32	Contractual services - individuals: one Legal Expert in Zambia to compile the legal documents required for the establishment of the CRA loan product, and one Local agricultural/climate expert to provide input for the training manual on CRA practices tailored to Zambia's context. Legal experts in Eswatini and Zimbabwe to support design of PES / Environmental Trust Fund mechanism
	Contractual services-individuals - National Coordinators for CRA Loan Facility & Environmental Trust Fund in each country. CRA Coordinator responsible for overseeing and supporting relevant consultancies and engaging in required stakeholder consultations with current and potential financing partners, government entities and other project personnel. Environmental Trust Fund Coordinator responsible for overseeing and supporting relevant consultancies, help establish fiduciary and governance arrangements, build consensus, and engage in required stakeholder consultations with current and potential financing partners, private sector entities, government entities and other project personnel. Both roles part-time.
33	AV and printing production - printing and distribution of PES and CRA facility guidelines, learning material, case studies, training manuals
34	Training and workshops - Meetings, consultations and workshops to map and engage prospective payers/beneficiaries and financial partners in PES development and implementation and CRA lending Workshop; CRA finance expert to train extension officers in both crop and livestock sectors on business skills and financial literacy, including application for new CRA loan products
35	Contractual services-individuals - development of Farmer to Farmer system of knowledge exchange; local experts in traditional knowledge, communication

36	Training, Workshops and Conferences - national and catchment Knowledge Fairs to exchange lessons and best practices, methods for creating and testing innovations, use of traditional knowledge
37	Travel: Farmer to Farmer participants travel within catchments as well as nationally and regionally to share knowledge and lessons learned
38	Performance and Data analysts: Responsible for streamlining the data collection process from all grantees and supporting institutions and NGOs. Supports the design of impact indicators (to be included in LVGAs) with training and materials. Tracks results progress in line with the Results Framework. Includes capture of lessons learned and development of KM publications and other materials.
39	Contractual services for MRV system
40	International consultant - Expert in design of regional mechanism for data and information collection, organization, presentation and sharing across countries and regional bodies
41	Travel - consultations with regional bodies (SADC, WCs) as well as key knowledge brokers (FAO, TNC, UNU, CGIAR, etc)
42	Workshops/trainings with national and regional authorities and experts for design and implementation of regional LKM system; two per catchment/country per year; regional meetings with Watercourse Commissions, TNC/experts/ includes DSA / per diem for participants, etc.
43	Training and workshops - workshops re learning strategies, methods, outcomes, outputs for design of learning programme
44	Info tech equipment - data storage, information retrieval, communications
45	International consultants - expert in participatory methods for locally led knowledge generation; development of Regional Programme KM strategy, including generation, publication and dissemination, using multiple media targeted to specific audiences (government, donors, communities, private sector, etc.); integration of knowledge generated by CIPs, grant proposals and systematization of methods and experience is integrated into Learning and Knowledge Management system
46	Travel for regional exchange, learning and scaling activities
47	Contractual services - companies to produce digital decision support and knowledge management tool for scaling CIPs
48	Contractual services - individual: One national KM officer per country participates in KM strategy development and works closely with NCACs, NCs and community stakeholders in its implementation; one regional KM officer in charge of liaising with national KM focal points, managing ICs, and delivering Component 3 and part-time regional programme associate.

Project Execution Costs breakdown

Project Execution Costs									
Quantum Budgetary Account Code	Quantum Budget Account Description	Responsible	Amount Year 2026	Amount Year 2027	Amount Year 2028	Amount Year 2029	Amount Year 2030	Total (USD)	Budget Note
71400	Contractual Services- Individuals	UNDP	170,000	270,000	270,000	230,000	190,000	1,130,000	Contractual services - individuals : Project manager, Driver and Programme Associate for each country
72500	Supplies	UNDP	5,000	1,000	1,000	1,000	1,000	9,000	Project office supplies: three offices (one per CIP)
71200	International Consultants	UNDP		30,000	45,000	45,000	45,000	165,000	International Consultants - expert advice to NCACs and CIP platforms re learning strategies, objectives, outputs; methods; programme structure, functions

72400	Communic & Audio Visual Equipment	UNDP	10000	15,000				25,000	Info tech equipment - computers, printer and accessories
71600	Travel	UNDP	21,976	32,266	32,266	32,266	32,265	151,039	Travel: costs for IE staff for site visits, supervision missions or coordination meetings
72200	Equipment and furniture	UNDP	184,000	92,000				276,000	Equipment and furniture for offices and 2 vehicles per country used for field monitoring, consultations and implementation support.
74500	Miscellaneous Expenses	UNDP	11,600	11,600	11,600	11,600	11,600	58,000	Comprehensive insurance for project vehicles over the period of the project
73400	Rental & Maint of Other Equip	UNDP		13,250	13,250	13,250	13,250	53,000	Routine maintenance of project vehicles
64397	Services to Projects - GOE	UNDP	81,818	81,818	81,818	81,818	81,818	409,090	UNDP operational support services, including procurement, recruitment/contract management, travel, financial payment/transaction services, and grants management.
71600	Travel	IP	8,324	13,454	13,454	13,455	13,456	62,143	Travel: costs for IE staff for site visits, supervision missions or coordination meetings
72200	Equipment and furniture	IP	6,000	6,000				12,000	Equipment and furniture for offices and 2 vehicles per country used for field monitoring, consultations and implementation support.
73100	Rental & Maintenance- Premises	IP	5,000	5,500	5,500	5,500	5,500	27,000	Rental and maintenance: costs of three project office premises
71800	Contractual Services-Imp Partn	IP	60,000	70,000	75,000	70,000	75000	350,000	Contractual services - individual IP costs for delivering on 2.2
Total			563,718	641,888	548,888	503,889	468,889	2,727,272	

IE Fee Breakdown

Category	Services Provided by UNDP	IE Fee (USD)
Identification, Sourcing and Screening of Ideas	<p>Provide information on substantive issues in adaptation and innovation associated with the purpose of the Adaptation Fund (AF).</p> <p>Engage in upstream policy dialogue related to a potential application to the AF.</p> <p>Verify soundness & potential eligibility of identified ideas for AF.</p>	136,364
Feasibility Assessment / Due Diligence Review	<p>Provide up-front guidance on converting general idea into a feasible project/programme.</p> <p>Source technical expertise in line with the scope of the project/programme.</p> <p>Verify technical reports and project conceptualization.</p> <p>Provide detailed screening against technical, financial, social and risk criteria and provide statement of likely eligibility against AF requirements.</p> <p>Determination of execution modality and local capacity assessment of the executing entity.</p> <p>Assist in identifying technical partners. Validate partner technical abilities. Obtain clearances from AF.</p>	409,093
Development & Preparation	<p>Provide technical support, backstopping and troubleshooting to convert the idea into a technically feasible and operationally viable project/programme.</p> <p>Source technical expertise in line with the scope of the project/programme needs.</p> <p>Verify technical reports and project conceptualization.</p> <p>Verify technical soundness, quality of preparation, and match with AF expectations.</p> <p>Negotiate and obtain clearances by AF. Respond to information requests, arrange revisions etc.</p>	545,454
Implementation	<p>Technical support in preparing TORs and verifying expertise for technical positions.</p> <p>Provide technical and operational guidance project teams. - Verification of technical validity / match with AF expectations of inception report.</p> <p>Provide technical information as needed to facilitate implementation of the project activities.</p> <p>Provide advisory services as required.</p> <p>Provide technical support, participation as necessary during project activities.</p> <p>Provide troubleshooting support if needed. Provide support and oversight missions as necessary.</p> <p>Provide technical monitoring, progress monitoring, validation and quality assurance throughout.</p> <p>Allocate and monitor Annual Spending Limits based on agreed work plans.</p> <p>Receipt, allocation and reporting to the AFB of financial resources.</p> <p>Oversight and monitoring of AF funds, including <u>annual audits</u>.</p> <p>Return unspent funds to AF.</p>	1,227,274
Evaluation and Reporting	<p>Provide technical support in preparing TOR and verify expertise for technical positions involving evaluation and reporting (including for the Mid-Term- and Terminal Evaluations).</p> <p>Participate in briefing / debriefing (including for the Mid-Term and Terminal Evaluations).</p> <p>Verify technical validity / match with AF expectations of all evaluation and other reports (including <u>supervision/development of the Baseline Data Report, Project Performance Report, Project Completion Report, and</u> the Mid-Term and Terminal Evaluations).</p> <p>Undertake technical analysis, validate results, and compile lessons</p> <p>Disseminate technical findings</p>	409,091
Total IE Fee		2,727,272

The detailed budget breakdown with the MIE fee including a summary delineating activities per responsible party is presented as a separate file in **Annex 7**.

H. Disbursement schedule with time-bound milestones

Disbursement dates are indicative and aligned with Adaptation Fund timelines. Following Board approval, the Legal Agreement signature may occur within up to four months. The Project Start Date corresponds to the inception workshop, which will take place no later than six months after the first disbursement of funds. The disbursement schedule reflects these assumptions and may be adjusted in accordance with Adaptation Fund procedures.

	Upon Agreement signature	One Year after Project Start	Year 2	Year 3	Year 4	Total
Scheduled Date	8/1/2026	1/1/2027	1/1/2028	1/1/2029	1/1/2030	
Project Funds	2,909,394	8,308,176,311.89	8,5326,178,401	5,7837,389,051	1,73541,983,89	27,272,728
Implementing Entity Fees	1,265,485,472.44	498,490,713.94	511,571,944.06	347,243,346,983.06	104,483,158.50	2,727,272
Total	4,175,174,081.66	8,806,810,613.66	9,037,044,345.74	6,1340,632,034	1,8450,872,142	30,000,000

PART IV: ENDORSEMENT BY GOVERNMENTS AND CERTIFICATION BY THE IMPLEMENTING ENTITY

A. Record of endorsement on behalf of the government²⁰

Provide the name and position of the government official and indicate date of endorsement for each country participating in the proposed project/ Programme. Add more lines as necessary. The endorsement letters should be attached as an annex to the project/Programme proposal. Please attach the endorsement letters with this template; add as many participating governments if a regional project/Programme:

Ms. Dlamini Hlobisile Khangeziwe Mabuza , Principal Secretary (a.i), Ministry of Tourism and Environmental Affairs	Date: November 18, 2025 February 12, 2026
Mr. Washington Zhakata, Chief Director, Ministry of Environment, Climate and Wildlife	Date: February 06, 2026
Dr. Douty Chibamba, Permanent Secretary, Ministry of Green Economy and Environment	Date: December 5, 2025

B. Implementing Entity certification

I certify that this proposal has been prepared in accordance with guidelines provided by the Adaptation Fund Board, and prevailing National Development and Adaptation Plans (including National Communications to the UNFCCC, national adaptation strategies and plans, disaster risk reduction strategies and action plans etc.) and subject to the approval by the Adaptation Fund Board, <u>commit to implementing the project/Programme in compliance with the Environmental and Social Policy of the Adaptation Fund</u> and on the understanding that the Implementing Entity will be fully (legally and financially) responsible for the implementation of this project/Programme.	
<p><i>Nancy Bennet</i> <i>Executive Coordinator,</i> <i>Vertical Fund Programme Support, Oversight and Compliance Unit</i> <i>Bureau for Policy and Programme Support</i> <i>United Nations Development Programme</i></p> <p><i>Implementing Entity Coordinator</i></p>	
Date:	Tel. and email: Nancy.Bennet@undp.org
<p>Project Contact Person:</p> <ul style="list-style-type: none"> ▪ Radhika Dave, Principal Technical Advisor, UNDP HQ ▪ Shovon Kibria, Private Sector Engagement Specialist & Regional Technical Advisor, UNDP IRH 	
<p>Tel. and Email:</p> <ul style="list-style-type: none"> ▪ +905344641378; shovon.kibria@undp.org ▪ radhika.dave@undp.org 	

⁶ Each Party shall designate and communicate to the secretariat the authority that will endorse on behalf of the national government the projects and Programmes proposed by the implementing entities.

- Zimbabwe's mean annual precipitation has declined by ~5% since 1915, especially since the 1970¹. Since 1900, average temperatures have increased by 0.9°C, with most of this warming (0.3–0.5°C) occurring in the decades from 1980¹. The number of hot days has increased since the 1950s, with daily minimum and maximum temperatures rising by 2.6°C and 2.0°C, respectively¹. Since 1970, mean annual temperature in Zimbabwe increased by ~0.03°C/yr¹.

These observed changes in climate (reduced annual and seasonal rainfall, increasing temperatures/evapotranspiration/CDD/heavy precipitation and changes in seasonal boundaries) increase the likelihood of droughts and floods/runoff which have impacts on ecosystems, agriculture and water sectors. Evidence for these impacts in the Project countries are documented in Table 1.

Table 10. Observed impacts of droughts and flooding/heavy rainfall on agriculture, water and ecosystems.

Floods/heavy rainfall	Droughts
<p>Eswatini</p> <ul style="list-style-type: none"> • Damage to agricultural land caused an increase in intensity of rainfall events and resultant flash floods in Eswatini's Highveld, Middleveld and Lubombo Plateau regions (Matondo et al. 2004). • Heavy rainfall and flash floods in the country's hilled areas and Highveld, trigger landslides, the loss of fertile topsoil and degradation of soil quality (World Bank, 2021). • Flash floods in the Highveld, Middleveld and Lubombo Plateau regions have damaged dam infrastructure and adversely impacted water resources (Matondo et al. 2004). <p>Zambia</p> <ul style="list-style-type: none"> • In 2003 and 2004, floods in Western and North-western Zambia resulted in the Zambezi River damaging lowland staple crops, including maize, millet, sorghum and rice (UN Resident Coordinator for Zambia 2004). • In 2004, flooding in the Mongu, Senanga and Lukulu regions prevented access to undertake vaccinations against Contagious Bovine Pleura Pneumonia (CBPP) (UN Resident Coordinator for Zambia 2004). • Flooding limits market access and transporting agricultural goods; in Senanga, most roads become impassable and plains can only be crossed via canoe during floods (UN Resident Coordinator for Zambia 2004). • Floods have displaced thousands of families, destroyed houses, washed away roads and contaminated water supplies (USAID 2016). • In Lusaka, flooding has resulted in latrines overflowing and contaminating shallow wells (Heath and Weatherhead 2010). • Heatwaves, floods and droughts are negatively impacting Lukanga Swamp wetlands, which are home to many endangered species (UNEP 2022). <p>Zimbabwe</p> <ul style="list-style-type: none"> • January 2020 floods destroyed houses, crops and livestock. In particular, small livestock (goats, sheep and chickens) were affected as they were swept away (Floodlist 2020). 	<p>Eswatini</p> <ul style="list-style-type: none"> • 30–40% drop in the production of maize caused by severe El Niño-induced-drought (2015–2016) (Mohammed and Dlamini 2018). • Severe droughts in 1990, 2001, 2004, 2006, and 2016 (most severe drought in 35 years), have resulted in food shortages, drying up of rivers, as well as livestock deaths (Mlenga et al. 2019). • Lowering of water levels in the main Hawane dam serving the capital and the drying up of boreholes in rural areas caused by severe El Niño-induced-drought (2015–2016) (UN Country Team in Switzerland, 2016). • The 2015–2016 drought period caused long-term negative impacts on groundwater supply — on which 90% of the rural population depends (Pietersen and Beekman 2016). • Reduced precipitation combined with the proliferation of invasive alien species are accelerating the drying up of streams (Government of Eswatini 2016, 2021). <p>Zambia</p> <ul style="list-style-type: none"> • High sensitivity of agriculture sector — which comprises ~9% of Zambia's GDP and predominantly consists of rainfed, subsistence farming — to droughts (UNDP 2021). • Failure of millet, maize and sorghum crops linked to the 2004–2005 droughts. • Water levels in Lake Kariba, a 5,500 km² lake used for electricity generation and irrigation, have dropped by six metres in the past three years (Novo 2020). • Reduced water availability has increased water access and irrigation costs, which in turn reduces profitability among smallholder farmers (Ngoma et al. 2019). • Reduced surface water and groundwater water availability (e.g. Chongwe) cause local women to queue for prolonged periods to access limited water from boreholes (De Nys 2020, Gibbons 2020). • Droughts and higher temperatures increase the risk of wildfires in Miombo woodlands, grasslands and the southern baikiaea woodlands, a source of export teak (Wilkins 2016, Government of the Republic Zambia 2007, 2010, USAID 2012). <p>Zimbabwe</p> <ul style="list-style-type: none"> • Recent drought (2019) exposed ~5.5 million people in rural areas and ~3 million in urban areas to extreme levels of vulnerability and food insecurity in the first half of 2020¹. • Reduced precipitation in catchment areas reduces the reliability of the country's major water sources (needed by 90% of the population) (USAID 2020).

<ul style="list-style-type: none"> • Intense rainfall during the 2020–2021 rainy season flooded 1,462 ha of cropland (ReliefWeb 2022). • Cyclone Eline caused floods in the eastern and southern parts which affected 500,000 people within sectors related to inter alia water, food, and agriculture (Samu and Akintuğ 2020). • Flooding and erratic precipitation, combined with land use change, increase soil erosion and the incidence of pests and diseases affecting forests (e.g., blue gum chalcid, bronze bug) (Reynolds et al. 2015, Moyo 2016). 	<ul style="list-style-type: none"> • Recurrent episodes of drought coupled with variable rainfall patterns cause fluctuating water levels in Lake Kariba (used for irrigation and provides ~33% of Zimbabwe’s power) (USAID 2020). • Declines in groundwater recharge are likely to impact ~70% the country’s rural population, who depend on groundwater as their main source of drinking water (USAID 2020). • Reduced rate of water infiltration has led to increased water insecurity for communities relying on shallow wells and boreholes for their water needs (Mambondiyani 2020). • Droughts, rising temperatures, and reduced precipitation increase the risk of forest fires, reducing species and ecosystem services, compounded by land use changes (Mongabay 2011, Government of Zimbabwe 2014, Reynolds et al. 2015, UNFCCC 2015, UNDP 2017).
---	---

VID-19 pandemic. *Nat. Clim. Chang.* (2020).

PART V: ANNEXES

Annex 1: Social and Environmental Screening Procedure (SESP)

Included as a separate file in this proposal.

Annex 2: Social and Environmental Management Framework (ESFM)

Included as a separate file in this proposal.

Annex 3: Climate Rationale Summary

Included as a separate file in this proposal.

Annex 4: Gender Assessment and Action Plan

Included as a separate file in this proposal.

Annex 5: Stakeholder Engagement Report

Included as a separate file in this proposal.

Annex 6: Letter of justification for the proposed management arrangements and PMC

Included as a separate file in this proposal.

Annex 7: Detailed Budget and Breakdown of the IE Management Fee

Included as a separate file in this proposal.

Annex 8: Letters of endorsement from the governments

Included as a separate file in this proposal.

i

Angola, Botswana, Comoros, Democratic Republic of Congo, Eswatini, Lesotho, Madagascar, Malawi, Mauritius, Mozambique, Namibia, Seychelles, South Africa, United Republic of Tanzania, Zambia, Zimbabwe

ii Available at: <https://reliefweb.int/report/mozambique/food-security-southern-africa-end-season-update-201819-and-overview-food-security>

ⁱⁱⁱ Phillips, C.A., Caldas, A., Cleetus, R. *et al.* Compound climate risks in the CO and can be summarised as:

- Eswatini, a 12% increase in days with temperatures over 35°C has been recorded over the 1995–2010 period, along with up to 50% declines in precipitation during the rainy season (September–October). Recurrent and increasingly intense droughts have resulted in decreases in both crop and livestock productivity across Eswatini with average production under rainfed conditions declining by more than 30% over the past decade.
- In Zambia, observed multi-decadal trends show that temperatures have increased, while rainfall has decreased, and extreme events have increased in frequency and intensity, with mean annual temperature increases of 1.3°C since the 1960s.
- Zimbabwe's mean annual precipitation has declined by ~5% since 1915, especially since the 1970ⁱⁱⁱ. Since 1900, average temperatures have increased by 0.9°C, with most of this warming (0.3–0.5°C) occurring in the decades from 1980ⁱⁱⁱ. The number of hot days has increased since the 1950s, with daily minimum and maximum temperatures rising by 2.6°C and 2.0°C, respectivelyⁱⁱⁱ. Since 1970, mean annual temperature in Zimbabwe increased by ~0.03°C/yrⁱⁱⁱ.



KINGDOM OF ESWATINI

MINISTRY OF TOURISM AND
ENVIRONMENTAL AFFAIRS

OUR REF:

DATE: 12 February 2026

To: The Adaptation Fund Board
c/o Adaptation Fund Board Secretariat
Email: Secretariat@Adaptation-Fund.org
Fax: 202 522 3240/5

Dear Sir/Madam,

Subject: Endorsement Letter for Financing Locally Led Adaptation and Nature-based Solutions for Catchment Resilience in Southern Africa

In my capacity as designated authority for the Adaptation Fund in Eswatini, I confirm that the above regional programme proposal is in accordance with the Government of Eswatini's Climate Change Policy, Nationally Determined Contribution (NDC 3.0) commitment to Paris Agreement and the National Development Strategy as well as the SADC Climate Change Strategy and Action Plan priorities in implementing adaptation activities to reduce adverse impacts of, and risks, posed by climate change in the Eswatini.

Accordingly, I am pleased to endorse the above programme proposal with support from the Adaptation Fund. If approved, the programme will be executed (Executing Entity -EE) by the Ministry of Tourism and Environmental Affairs (MTEA) and implemented by the United Nations Development Programme (UNDP) as the accredited Implementing Entity under by the Adaptation Fund Board.

Sincerely,


DLAMINI HLOBISILE
PRINCIPAL SECRETARY (a.i.)



All communication should be addressed to the
Permanent Secretary
Telephone: 0211-252395
0211-252394
0211-252391



REPUBLIC OF ZAMBIA

In reply please quote

No. **NDA/6/7/1**

MINISTRY OF GREEN ECONOMY AND ENVIRONMENT

OFFICE OF THE PERMANENT SECRETARY

Corner of John Mbita & Nationalist Road

P.O BOX 30147

Lusaka-Zambia

5th December, 2025

The Adaptation fund Board
C/O Adaptation Fund Board Secretariat
Email: Secretariat@Adaptation.fund.org
Fax: 202 522 324/5

RE: ENDORSEMENT FOR FINANCING LOCALLY-LED ADAPTATION AND NATURE-BASED SOLUTIONS FOR CATCHMENT RESILIENCE IN SOUTHERN AFRICA

In my capacity as designated authority for the Adaptation Fund in Zambia, I confirm that the above regional project proposal is in accordance with the government's national priorities in implementing adaptation activities to reduce adverse impacts of, and risks, posed by climate change in the southern African Region.

Accordingly, I am pleased to endorse the above Project Proposal with support from the Adaptation Fund. If approved, the project will be implemented by the United Nations Development Programme (UNDP) and executed by the Ministry of Green Economy and Environment.

A handwritten signature in blue ink, appearing to read 'D. Chibamba'.

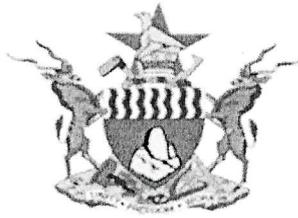
Dr. Douy Chibamba
Permanent Secretary

MINISTRY OF GREEN ECONOMY AND ENVIRONMENT

All communications should be addressed, "The Secretary for Environment, Climate and Wildlife."

P Bag 7753 Causeway,
Zimbabwe
Telephone: 701681/3
Fax: 252673

Your Ref.:
Our Ref:



ZIMBABWE

MINISTRY OF ENVIRONMENT,
CLIMATE AND WILDLIFE
11th Floor, Kaguvi Building
Cnr 4th Street/Central Avenue
Harare
ZIMBABWE

06 February 2026

To: The Adaptation Fund Board
c/o Adaptation Fund Board Secretariat
Email: Secretariat@Adaptation-Fund.org
Fax: 202 522 3240/5

Subject: Endorsement for project titled: Financing Locally-Led Adaptation and Nature-based Solutions for Catchment Resilience in Southern Africa

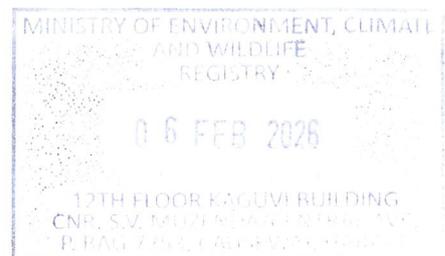
On behalf of the Climate Change Management Department, in its capacity as Designated Authority (DA) for the Adaptation Fund in Zimbabwe, I confirm that the above regional project proposal is in accordance with the government's national priorities in implementing adaptation activities to reduce adverse impacts of, and risks, posed by climate change in the Sanyathi catchment area.

Accordingly, I am pleased to endorse the above project proposal with support from the Adaptation Fund. If approved, the project will be implemented by UNDP and executed by The Ministry of Environment, Climate and Wildlife.

Sincerely,

A handwritten signature in black ink, appearing to be 'W. Zhakata'.

Mr Washington Zhakata
Chief Director – Environment, Climate and Wildlife





KINGDOM OF ESWATINI

MINISTRY OF TOURISM AND
ENVIRONMENTAL AFFAIRS

OUR REF:

DATE: 6 February 2026

Ms. Nancy Bennet
Executive Coordinator
Vertical Funds Hub,
UNDP

Subject: Letter of Support to request UNDP Support Services for Southern African Programme for Financing Locally Led Adaptation and Nature-based Solutions for Catchment Resilience in Southern Africa

1. On behalf of the Ministry of Tourism and Environmental Affairs (MTEA), as the designated National Executing Entity for the Adaptation Fund–financed project “*Financing Locally Led Adaptation and Nature-based Solutions for Catchment Resilience in Southern Africa*”, we hereby formally request UNDP Eswatini Country Office to provide Support Services under the National Implementation Modality (NIM).

2. The requested support services are limited to fiduciary and procedural assistance functions and do not transfer execution responsibility or decision-making authority from (the EE) to UNDP.

The support services provided by UNDP Eswatini as the Implementing Entity (IE) are expected to include:

- **Procurement support**, including administration of procurement processes, contracting for international consultants and purchase of complex and internationally sourced goods and bulk materials as necessary in compliance with Adaptation Fund and UNDP policies;
- Executing payments/transactions under UNDP procedures for purchases of goods and services whose procurement was done through UNDP system and if requested by the relevant EE.
- **Grant administration support**, including fiduciary checks and processing of disbursements following approval by the National Catchment Adaptation Committee;

3. The execution services to be provided by The Ministry of Tourism and Environmental Affairs (MTEA) through the Eswatini Environmental Authority (EEA) are expected to include:

- Provide national oversight and ensure policy alignment;

- Lead formation and operation of the Catchment Investment Programme
- Prepare and Approve project work plans, budgets, and safeguard instruments;
- Develop Terms of Reference for the procurement of consultants and service providers;
- Supervise the implementation of field activities;
- Approve grants and disbursement requests;
- Monitor project performance and results.

All implementation, decision-making, grant approval, consultant selection, supervision of outputs, and delivery of project results will remain the responsibility of The Ministry of Tourism and Environmental Affairs, and local implementing partners such as the Eswatini Environment Authority.

We appreciate UNDP Eswatini Country Office's continued support in ensuring effective, compliant, and timely implementation of this nationally executed project.

4. Support services, including those provided by UNDP will be described in detail in the AF Full Project Proposal and accompanying project/program documents, including the project/program budget.

Sincerely,



DLAMINI HLOBISILE
Principal Secretary (a.i.)

Ministry of Tourism and Environmental Affairs

Government of Eswatini





MINISTRY OF GREEN ECONOMY AND ENVIRONMENT

OFFICE OF THE PERMANENTS SECRETARY
Corner of John Mbita & Nationalist Road
P.O BOX 30147
Lusaka-Zambia

6th February, 2026

Ms. Nancy Bennet,
Executive Coordinator,
Vertical Funds Hub,
UNDP

LETTER OF SUPPORT TO REQUEST ADAPTATION AGENCY SUPPORT SERVICES FOR SOUTHERN AFRICAN PROGRAMME FOR FINANCING LOCALLY LED ADAPTATION AND NATURE-BASED SOLUTIONS FOR CATCHMENT RESILIENCE IN SOUTHERN AFRICA.

On behalf of the Government of Zambia, as the designated National Executing Entity (EE) for the Adaptation Fund-financed project "*Financing Locally Led Adaptation and Nature-based Solutions for Catchment Resilience in Southern Africa*", we hereby formally request UNDP Zambia Country Office to provide Support Services under the National Implementation Modality (NIM).

The requested support services are limited to fiduciary and procedural assistance functions and do not transfer execution responsibility or decision-making authority from (the EE) to UNDP.

The support services provided by UNDP Zambia as the Implementing Entity (IE) are expected to include:

- Procurement support, including administration of procurement processes, contracting for international consultants and purchase of complex and internationally sourced goods and bulk materials as necessary in compliance with Adaptation Fund and UNDP policies;
- Executing payments/transactions under UNDP procedures for purchases of goods and services whose procurement was done through UNDP system and if requested by the EE.

- Grant administration support, including fiduciary checks and processing of disbursements following approval by the National Catchment Adaptation Committee;

The execution services to be provided by the Ministry of Green Economy and Environment through the office of the National Designated Authority (NDA) are expected to include:

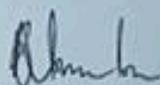
- Provide **national oversight and ensure policy alignment**;
- Lead formation and operation of the **National Catchment Adaptation Committee (NCAC)**;
- **Prepare and Approve project work plans**, budgets, and safeguard instruments;
- **Develop Terms of Reference** for the procurement of consultants and service providers;
- **Supervise** the implementation of field activities;
- **Approve grants** and disbursement requests;
- **Monitor project performance** and results.

All implementation, decision-making, grant approval, consultant selection, supervision of outputs, and delivery of project results will remain the responsibility of the Ministry of Green Economy and Environment, and local implementing partners.

We appreciate UNDP Zambia Country Office's continued support in ensuring effective, compliant, and timely implementation of this nationally executed project.

Support services, including those provided by UNDP will be described in detail in the AF Full Project Proposal and accompanying project/program documents, including the project/program budget.

Please accept, the assurances of my highest consideration.



Dr. Douty Chibamba
Permanent Secretary

MINISTRY OF GREEN ECONOMY AND ENVIRONMENT

All communications should be addressed, "The Secretary for Environment, Climate and Wildlife."

P Bag 7753 Causeway,
Zimbabwe
Telephone: 701681/3
Fax: 252673

Your Ref.:
Our Ref:



ZIMBABWE

MINISTRY OF ENVIRONMENT,
CLIMATE AND WILDLIFE
11th Floor, Kaguvi Building
Cnr 4th Street/Central Avenue
Harare
ZIMBABWE

06 February 2026

To: The Adaptation Fund Board
c/o Adaptation Fund Board Secretariat
Email: Secretariat@Adaptation-Fund.org
Fax: 202 522 3240/5

Subject: Letter of Support to request the Adaptation Fund Agency Support Services for the "Financing Locally-Led Adaptation and Nature-based Solutions for Catchment Resilience in Southern Africa" Project Proposal

1. In my capacity as the Executing Entity for Zimbabwe, I hereby request UNDP, the Adaptation Fund implementing agency for the aforementioned project, to also carry out support services for the above project/program, on an exceptional basis.

2. The support services provided by UNDP are expected to include:

- Procurement support, including administration of procurement processes, contracting for international consultants and purchase of complex and internationally sourced goods and bulk materials as necessary in compliance with Adaptation Fund and UNDP policies;
- Executing payments/transactions under UNDP procedures for purchases of goods and services whose procurement was done through UNDP system and if requested by the relevant Executing Entity.
- Grant administration support, including fiduciary checks and processing of disbursements following approval by the Catchment Council;

As Zimbabwe assumes the lead country role, it will execute the regional project components.

3. The execution services to be provided by the Ministry of Environment, Climate and Wildlife are expected to include:

- Provide national oversight and ensure policy alignment;
- Lead capacity and operational strengthening of the Catchment Council;
- Prepare and approve project work plans, budgets, and safeguard instruments;

- Develop Terms of Reference for the procurement of consultants and service providers;
- Supervise the implementation of field activities;
- Approve grants and disbursement requests;
- Monitor project performance and results.

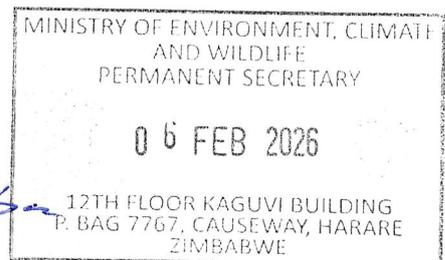
4. Support Services, including those provided by UNDP will be described in detail in the Adaptation Fund Full Project Proposal and accompanying project/program documents, including the project/program budget.

Sincerely,



Ambassador T. T. Chifamba

Secretary for Environment, Climate and Wildlife





KINGDOM OF ESWATINI



MINISTRY OF TOURISM AND
ENVIRONMENTAL AFFAIRS

OUR REF:

DATE: 6 February 2026

The Adaptation Fund Board
c/o Adaptation Fund Board Secretariat
Email: Secretariat@Adaptation-Fund.org
Fax: +1 202 522 3240/5
United States of America

RE: Letter of Endorsement For UNDP Operational Support Services Under NIM for the Southern African Programme: Financing Locally Led Adaptation and Nature-Based Solutions for Catchment Resilience in Southern Africa

Dear Secretariat,

I write in my capacity as the **Designated Authority (DA) for the Adaptation Fund in the Kingdom of Eswatini** to confirm my support for the proposed regional programme titled “**Financing Locally Led Adaptation and Nature-based Solutions for Catchment Resilience in Southern Africa**”, for which UNDP is the Adaptation Fund Implementing Entity.

I hereby **formally endorse** the proposal and **confirm Eswatini’s concurrence** with the provision of **UNDP Operational Support Services** by the **UNDP Eswatini Country Office** under the **National Implementation Modality (NIM)**, as requested by the National Executing Entity. This request is made to ensure timely, compliant and efficient implementation support, particularly for functions that require UNDP systems and specialized operational capacity.

For avoidance of doubt, this endorsement is provided on the understanding that **execution authority and accountability remain with national institutions under NIM**. In Eswatini, the project will be **executed by the Ministry of Tourism and Environmental Affairs (MTEA) as the National Executing Entity**, with national governance and oversight provided through the relevant national coordination and catchment-level mechanisms established for the programme. Specifically, I confirm support for UNDP to provide **Operational Support Services** on behalf of the Executing Entity, as required, including (as applicable and agreed in the project arrangements).

Please accept this letter as the Designated Authority's endorsement of the proposal and confirmation of Eswatini agreement to the above-described arrangement.

Yours sincerely,



DLAMINI HLOBISILE
Principal Secretary (a.i.)

Ministry of Tourism and Environmental Affairs

Government of Eswatini



All correspondence should be addressed to the
Permanent Secretary
Telephone: 0211 -252395
0211 -252394
0211 -252391



REPUBLIC OF ZAMBIA

In reply please quote
NDA/71/21/9

MINISTRY OF GREEN ECONOMY AND ENVIRONMENT

OFFICE OF THE PERMANENT SECRETARY
Corner of John Mbita & Nationalist Road
P.O BOX 30147
Lusaka-Zambia

6th February, 2026

The Adaptation Fund Board
c/o Adaptation Fund Board Secretariat
Email: Secretariat@Adaptation-Fund.org
Fax: 202 522 3240/5

UNITED STATES OF AMERICA

LETTER OF SUPPORT TO REQUEST EXECUTION SUPPORT SERVICES BY UNDP, AF IMPLEMENTING ENTITY, FOR SOUTHERN AFRICAN PROGRAMME FOR FINANCING LOCALLY LED ADAPTATION AND NATURE-BASED SOLUTIONS FOR CATCHMENT RESILIENCE IN SOUTHERN AFRICA.

I confirm my support of the proposed UNDP support services under the National Implementation Modality (NIM) for the titled regional project.

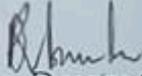
Accordingly, I am pleased to endorse the above grant proposal with support from the Adaptation Fund. If approved, the project will be implemented by UNDP and executed by Ministry of Green Economy and Environment.

In my capacity as designated authority for the Adaptation Fund in Zambia, I hereby formally confirm our concurrence with and support for the provision of Operational Support Services by UNDP Zambia Country Office under the National Implementation Modality (NIM) for the Adaptation Fund-financed project *"Financing Locally Led Adaptation and Nature-based Solutions for Catchment Resilience in Southern Africa."*

Whereas all execution responsibilities—including planning, decision-making, grant approval, supervision of consultants and grantees, implementation of environmental mitigation measures, and monitoring of field-level activities—remain with national institutions, the National Catchment Adaptation Committee, and local implementing partners.

The Zambia Ministry of Green Economy and Environment fully supports this arrangement as an appropriate mechanism to ensure fiduciary assurance, safeguards compliance, and technical quality, while maintaining national ownership and locally led implementation.

Please accept, the assurances of my highest consideration.



Dr. Douty Chibamba
Permanent Secretary

MINISTRY OF GREEN ECONOMY AND ENVIRONMENT

All communications should be addressed, "The Secretary for Environment, Climate and Wildlife."

P Bag 7753 Causeway,
Zimbabwe
Telephone: 701681/3
Fax: 252673

Your Ref.:
Our Ref:



ZIMBABWE

MINISTRY OF ENVIRONMENT,
CLIMATE AND WILDLIFE
11th Floor, Kaguvi Building
Cnr 4th Street/Central Avenue
Harare
ZIMBABWE

06 February 2026

To: The Adaptation Fund Board
c/o Adaptation Fund Board Secretariat
Email: Secretariat@Adaptation-Fund.org
Fax: 202 522 3240/5

Subject: Letter of Support to request execution support services by UNDP, Adaptation Fund implementing entity, for Southern African Programme for, "Financing Locally Led Adaptation and Nature-based Solutions for Catchment Resilience in Southern Africa" project.

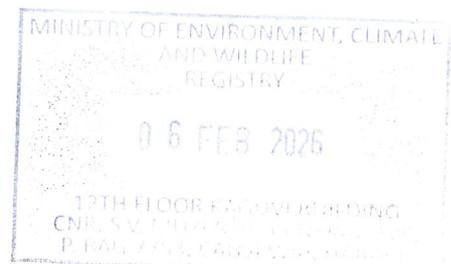
On behalf of the Climate Change Management Department in its capacity as the designated authority for the Adaptation Fund in Zimbabwe, I hereby formally confirm our concurrence with and support for the provision of Operational Support Services by UNDP Zimbabwe Country Office under the National Implementation Modality (NIM) for the Adaptation Fund-financed project, "*Financing Locally Led Adaptation and Nature-based Solutions for Catchment Resilience in Southern Africa*". Whereas all execution responsibilities—including planning, decision-making, grant approval, supervision of consultants and grantees, implementation of environmental mitigation measures, and monitoring of field-level activities—remain with national institutions, the Catchment Council, and local implementing partners.

The Climate change Management Department fully supports this arrangement as an appropriate mechanism to ensure fiduciary assurance, safeguards compliance, and technical quality, while maintaining national ownership and locally led implementation.

Sincerely,

A handwritten signature in black ink, appearing to be 'W Zhakata'.

Mr Washington Zhakata
Chief Director – Environment, Climate and Wildlife



Annex 1 – Social and Environmental Screening Procedure

Financing Locally Led Adaptation and Nature-based Solutions for Catchment Resilience in Southern Africa

UNDP Social and Environmental Screening Template (v. July 2022)

The completed template, which constitutes the Social and Environmental Screening Report, must be included as an annex to the Project Document at the design stage. Note: this template will be converted into an online tool. The online version will guide users through the process and will embed relevant guidance.

Project Information

Project Information	
1. Project Title	<i>Financing Locally Led Adaptation and Nature-based Solutions for Catchment Resilience in Southern Africa</i>
2. Project Number (i.e. Atlas project ID, PIMS+)	PIMS+ 6639
3. Location (Global/Region/Country)	Southern Africa (multiple countries: Eswatini, Zambia and Zimbabwe)
4. Project stage (Design or Implementation)	Design – Funding Proposal
5. Date	December 2025

Part A. Integrating Programming Principles to Strengthen Social and Environmental Sustainability

QUESTION 1: How Does the Project Integrate the Programming Principles in Order to Strengthen Social and Environmental Sustainability?

Briefly describe in the space below how the project mainstreams the human rights-based approach

The Programme is designed to support the Southern Africa Development Community (SADC) and the three target countries in developing and executing a new paradigm of land and water resources management based on application of an integrated-systems analysis approach to building and sustaining resilience to climatic stressors in critical watersheds. The Programme will facilitate access to financing, with supporting technical assistance, for a host of public and private actors, including farmers and livestock producers, agro-processors, and those in the agro-forestry space more broadly, along with irrigation, technical assistance, and other service providers.

This Programme will assist the governments of Eswatini, Zambia and Zimbabwe to conceptualize, design, execute and coordinate projects that strengthen climate resilience of watershed ecosystems and vulnerable smallholder production systems. The Programme will increase the capacities of government institutions, NGOs, private sector entities and smallholder producers to collaborate and implement an integrated systems-based approach to climate resilience-enhancing agriculture, herding and watershed management.

The upstream components of the model focus on ‘water towers’ within upper catchments — key areas that are the primary source of water for the catchment, storing water within the aquifer and feeding the river downstream. These upstream areas are generally populated by rural communities that are heavily reliant on natural resources for their livelihoods — including smallholder farmers and pastoralists.

The proposed programme will mobilise investment in the agroecological landscape of eSwatini, Zambia and Zimbabwe through the establishment of Catchment Investment

Programmes (CIPs), which will serve as the vehicles for financing and implementing activities across the target catchments. CIPs are grounded in a simple circular model through which investments are made in upstream areas that generate ecosystem service benefits for downstream water users, who, in turn, pay for those ecosystem services, with payments being reinvested upstream to maintain and expand the benefits.

The CIPs will focus smallholder farmers who are the most vulnerable to climate change considering their poverty, low productivity, disease burden, and insufficient government services, in particular those related to climate adaptation. The Programme will promote collective, multi-stakeholder actions to implement local, climate risk management solutions that are straightforward and sustainable with market access and without extensive post-project assistance from external partners. Climate risk for smallholders will be reduced through improved agro-ecosystem management, strengthened access to critical water resources and augmented productivity, value chain collaboration, value addition and marketing practices.

Strengthening smallholder resilience, including women smallholders, to climate change requires integrated adaptation programming, including understanding the hydrological cycle in the country's watersheds and managing their water, soil and biomass to optimize ecosystem services, primarily water provision.

The Programme will follow a human-rights based approach (HRBA), which mandates adherence to and promotion of the core human rights principles of participation, non-discrimination, transparency, and accountability. Following an HRBA also means that the Programme will ensure the recognition of and respect for rights under applicable international law – a commitment that has several implications for how the Programme approaches stakeholder engagement. The UNDP SES mandates the protection and promotion of human rights.

Briefly describe in the space below how the project is likely to improve gender equality and women's empowerment

Smallholder farmers are responsible for more than 80% of agricultural production in southern Africa. Women constitute most of the rural smallholder farming population (60-80%) and are disproportionately affected by climate change impacts given their role in ensuring food production and security and because they have less access to productive assets and resources relative to their male counterparts.

Warming leads to enhanced probabilities of heatwaves affecting the health and productivity of agricultural workers, including women and children and other vulnerable groups, and exceeding heat tolerance of crops. Studies show that the impacts of heat stress on people and labour productivity are likely to be high and debilitating.

Strengthening women smallholder resilience to climate change requires integrated adaptation programming. By applying an integrated-systems approach to adapting water resources management and agricultural production to climatic stressors the resilience of vulnerable smallholders, particularly women smallholders, will be enhanced by improving ecosystem services, maximizing water productivity and security in agriculture, reducing and reversing land and freshwater degradation processes, and adopting resilience-enhancing production practices.

Each country project will help transform existing gender norms around women's capacity to manage soil, water, and biomass resources, as well as crops and livestock, and to participate fully within the selected crop and livestock value chains. The Projects will address underlying gender norms and constraints contributing to women's vulnerability, as well as assist women to leverage and use their basic assets, training and agency to better face the increasing climate risks.

The Southern Africa LLA programme prioritizes engagement with local communities and civil society organizations to ensure that the voices of women and other vulnerable groups are included in decision-making processes. This participatory approach is crucial for fostering a sense of ownership among local populations, enhancing social cohesion, and ensuring that the project outcomes are equitable and beneficial to all stakeholders.

The Programme will aim to achieve gender-equal participation in all activities as well as promoting gender equality and women's opportunity through women's empowerment activities. By engaging in climate-resilient agricultural production and partnerships for market linkages and value chain development, women will generate their own stream of income. With an increase in income, they may allocate a larger portion of their budgets to education and health maintenance of their households. With this increase in their autonomy and agency, women will provide a positive role model for adolescent girls within those households. Moreover, as women and girls become more empowered members of their communities and decision-making bodies, they can more effectively advocate community level improvements in infrastructure and institutions to better serve their needs, which can increase the adaptive capacity of their communities.

Country project activities draw on lessons learned from previous successful interventions that recognized women's central importance in agricultural production and their potential for accessing market linkages and strengthening value chains. The country activities will emphasize gender relations at the household and community levels, with interventions and trainings designed to change norms around women's mobility and the shifting community perceptions around 'appropriate' work for women. The project will aim at challenging the beliefs and norms which contribute to women's marginalization and hence their disproportionate vulnerability to climate shocks. The project will aim not only at empowering women through project activities to increase women's agency and decision-making capacity within their households and communities, but also to support governments to develop more gender responsive approaches to both agricultural development and rural livelihoods.

Throughout the project, gender equality principles will be mainstreamed. The project targets women, youth and other vulnerable groups. Gender Assessment and Action Plans will be prepared for the country projects. Capacity building, peer-to-peer training, support networks and improved access to water, diversified crops and markets will assist the women farmers in the project areas.

Briefly describe in the space below how the project mainstreams sustainability and resilience

The Programme, by providing technical assistance to countries, focuses on enabling them to

- protect those most vulnerable to climate risks who have low levels of adaptive capacity;
- prevent people from adopting negative coping strategies that degrade land and ecosystem function as a result of risks to weather-dependent livelihoods;
- promote resilience through livelihood diversification to withstand climate-related shocks; and
- transform social relations to help address underlying causes.

AF resources will be used to build institutional capacities to use systems thinking in analyzing, planning and managing watershed resources for enhanced ecosystem services, and to generate and disseminate relevant climate information to assist farmers' climate risk management strategies. The Programme will strengthen the social capital of smallholders, so they are motivated and empowered to take collective action for watershed restoration and climate-resilient production; collective/cooperative marketing strategies and capacities to enable smallholders to generate the capital to sustain resilience-enhancing investments indefinitely.

Briefly describe in the space below how the project strengthens accountability to stakeholders

The Programme will work to strengthen capacity and accountability in the target countries at a variety of levels: government, private sector, NGOs, CBOs and communities including:

- Improve the coherence across institutions, policies and plans focused traditionally on individual sectors (e.g. water resources, agricultural development and risk reduction, land degradation, land use/forestry and biodiversity) and enhance support for governance at multiple scales to enable climate adaptation.
- Enhanced supportive policies and institutions at multiple scales, from national to local levels, to incentivise smallholder farmers to adopt innovative practices in farming, restore land and ecosystem services, and build climate resilience within the whole inter-linked socio-ecological and economic system.
- Working with government development banks, micro-credit providers, and commercial investors to identify potential engagement with smallholder production associations, buyers and processors – multi-stakeholder platforms will provide a venue for partnership development during the formulation of value chain strategies and a feedback mechanism.

Enhanced coordination and engagement of diverse stakeholders, including smallholder farmers, input providers, buyers, extension personnel, local governments and others, for collective action to build transformative change across institutions governing multiple sectors and with diverse interests, and strengthen the integration of climate adaptation across the integrated water-agriculture-food systems.

Part B. Identifying and Managing Social and Environmental Risks

Question 4: Which SES Programing Principles and Standards are triggered by the project?					
UNDP SES Principles and Standards	S&E Risk Events	S&E Risk Causes	Impacts	Risk Significance I: Impact L: Likelihood	Treatment
Human Rights Principle	P.2 Limited capacities of duty bearers to meet human rights obligations	All outputs	<ul style="list-style-type: none"> Limited institutional and stakeholder capacity reduces the impact of project interventions and the ability of the implementing partners to ensure the programme’s activities do not lead to human rights infringements. Limited capacities of the relevant stakeholders/ duty bearers and lack of awareness of human rights obligations amongst the stakeholders might affect project implementation and possible occurrence of human rights violations. 	I = 2 L = 4 Moderate	<ul style="list-style-type: none"> Country-level capacity assessments to determine SES training and support required. Country-specific Stakeholder Engagement Plan (SEP) to ensure comprehensive and inclusive consultation and including a gender-sensitive Grievance Redress Mechanism (GRM). Catchment plans will be developed by communities through a participatory process. Community capacity building will be enhanced as part of project activities.
	P.3, P.5 Limited capacities of rights-holders to claim their rights, inequitable impacts		<ul style="list-style-type: none"> Project will facilitate development of catchment plans that have the potential to affect stakeholders who do not fully understand the CIP governance framework and might not have the ability to defend their interests or otherwise participate meaningfully in the planning process. 		
Gender Equality and Women’s Empowerment Principle	P.10, P.11 Risk of discrimination against women	All Outputs Output 2.2 – SEAH risks associated with training	<ul style="list-style-type: none"> Lack of women involvement in project activities. Women gaining substantially lesser benefits from the project interventions as compared to men. Potential GBV and/or harassment. Reduced involvement of women as a result. 	I = 3 L = 3 Moderate	<ul style="list-style-type: none"> Country-specific Gender Analysis and Action Plan (GAAP) to be developed at inception. The gender analysis will identify gender-specific information on resource use, access, and control of natural resources as well as barriers for the meaningful participation of women in the programme. GRM to include procedure for GBV/SEAH complaints. Mainstreaming of gender considerations into training activities (Output 2.2).
	P.12 Risk of gender-based violence, including sexual exploitation and abuse				
Accountability Principle	<p>P3.13 Risks of potential exclusion of affected stakeholders</p> <p>P3.14 Risks of stakeholder grievances</p>	<ul style="list-style-type: none"> All outputs 	<ul style="list-style-type: none"> Lack of capacity / knowledge of catchment management processes, data collection, equipment and information management. Inability to access finance facilities set up by project. Lack of equitable knowledge sharing. Lack of secure mechanism to report any project-related concerns during project planning and implementation stage. 	I = 3 L = 2 Moderate	<ul style="list-style-type: none"> Country-specific Stakeholder Engagement Plan (SEP) that identifies all stakeholder groups in each catchment, especially vulnerable/marginalized groups, and appropriate engagement/consultation mechanisms. Capacity building regarding use of Knowledge Platforms.

Sustainability and Resilience Principle	P4.16 Generic sustainability and resilience risks	Outputs 1.3 – CIPs confirmed in each country Output 1.4 – Identification of adaptation initiatives in CIPs	<ul style="list-style-type: none"> The implementation of interventions under the CIPs might lead to various environmental and social impacts that cannot be fully analyzed at this stage. 	I = 3 L = 3 Moderate	A country-specific targeted E&S assessment of potential impacts and risks associated with the adaptation initiatives as defined in Outputs 1.3 (Catchment Investment Programme confirmed in each country) and 1.4 (priority community and catchment level initiatives in the CIPs identified).
1. Biodiversity Conservation and Sust. Nat. Resource Mgmt.	S1.1 Adverse impacts to habitats S1.2 Risks to critical habitats S1.6 Introduction of invasive species	Output 1.4 – selection of CIPs Output 2.1 – implementation of CIPs	<ul style="list-style-type: none"> Programme interventions within or adjacent to ecologically sensitive areas, including (but not limited to) legally protected areas (protected wetlands, reserve parks), that may lead to sediment during ecosystem restoration and deployment of nature-based solutions, and contamination of water resources and local habitats. Project interventions aimed at biodiversity restoration inadvertently have adverse effects on the environment or maladaptation. Introduction of invasive species. 	I = 3 L = 3 Moderate	<ul style="list-style-type: none"> Risks to critical habitats will be analysed as part of the targeted E&S assessment of potential impacts and risks associated with the adaptation initiatives as defined in Outputs 1.3 (Catchment Investment Programme confirmed in each country) Environmental and Social Management Plans (ESMPs) will be developed for each catchment with extensive consultations with local biodiversity experts and local communities – to ensure that adverse effects which can potentially impact project interventions are addressed.
	S1.7 Risks of soil degradation	Output 2.1 – implementation of CIPs	<ul style="list-style-type: none"> Increased erosion because of soil disturbance associated with some CIP activities e.g., revegetation, wood lots, farming. 		<ul style="list-style-type: none"> Country (catchment)-specific targeted E&S assessments. Screening of : <ul style="list-style-type: none"> Mitigation measures as needed to be included in the catchment-specific ESMPs. Catchment plans will provide holistic mechanism for planning activities.
	S1.8 Forestry/plantation -related risks to biodiversity	Output 2.1	<ul style="list-style-type: none"> The project will promote revegetation and/or reforestation as part of the watershed restoration and protection. Risks include the non-selection of correct species, appropriate management, including preventing illegal harvesting. 		<ul style="list-style-type: none"> Project will promote the use of native climate resilient plants. ESMPs (country specific) – to specify use of native plants; seed to be weed free; no plants known to be invasive to new environments.
	S1.9 Agriculture-related risks to biodiversity S1.10 Animal husbandry or fish harvesting risks to biodiversity	Output 2.1 – some of the CIPs Output 2.3 – funding available to farmers	<ul style="list-style-type: none"> Project includes improved access to funding for farmers, therefore will lead to impacts associated with agricultural production animal husbandry or harvesting of fish populations or other aquatic species. Unsustainable farming practices may pollute waterways and impact on traditional communities. Intensification of agricultural practices by farmers due to increased access to funding might lead to adverse environmental effects. 		<ul style="list-style-type: none"> Capacity building will include raising awareness of the importance of biodiversity, potential upstream/downstream impacts of farming activities, and best practice. Formation of National Catchment Adaptation Committees and community-led catchment plans will reduce risk. Country-specific targeted E&S assessment of potential impacts and risks associated with the adaptation initiatives as defined in Outputs 1.3 (Catchment Investment

					Programme confirmed in each country) and 1.4 (priority community and catchment level initiatives in the CIPs identified). <ul style="list-style-type: none"> Screening of
2. Climate Change and Disaster Risks	S2.1 Hazard/disaster-related risks	All Outputs under Component 2	<ul style="list-style-type: none"> The areas that the project will operate over are significant in size (river basin scale), therefore it will cover areas potentially subject to hazards such as earthquakes, floods, landslides, severe winds etc. Natural disasters (fire, floods, landslides) could result in interventions being significantly impacted or even failing. 	I = 3 L = 3 Moderate	<ul style="list-style-type: none"> ESMPs will be developed for each catchment, with natural hazard risks to be assessed and mitigation strategies developed.
	S2.2 Risks due to sensitivity to climate change or disasters	Output 2.1 – activities conducted under CIPS could be impacted by climate change and/or disasters	<ul style="list-style-type: none"> The benefits of the project are vulnerable to climate change. Project interventions focused on restoration cause adverse effects on the environment. 		<ul style="list-style-type: none"> Resource and energy efficient technologies/methods/processes are incorporated to implement project interventions. ESMPs to include Emergency Response Plans.
3. Community Health, Safety and Security	S3.1 Construction-related risks	Output 2.2. – implementation of CIPs	Some construction may be involved in some of the CIP activities, therefore OHS risks could exist.	I = 2 L = 3 Low	<ul style="list-style-type: none"> ESMPs to include OHS requirements e.g., PPE, good practices. Labour Management Procedures.
	S3.2 Emissions, noise, traffic, hazards and effluent risks		Project will involve farming and revegetation therefore there is potential for pollution (erosion, generation of waste, emissions from machinery) and hazards associated with vehicles and manual labour		<ul style="list-style-type: none"> ESMPs
5. Displacement and Resettlement	S5.2 Economic displacement risks S5.4 Changes to land tenure	Outputs 1.3 and 1.4, 2.1 and 2.3. Catchment plans to be developed by a participatory process, therefore stakeholders at risk to be given opportunity to participate.	<ul style="list-style-type: none"> Risk of restrictions placed on community access to natural resources (potentially adverse impacts on, or changes to land tenure arrangements and/or community-based property rights/customary rights) resulting in economic displacement. Potential grievances and objections from affected communities. 	I = 2 L=3 Moderate	<ul style="list-style-type: none"> Screening for each country. Equitable, gender sensitive consultation – Stakeholder Management Plan. Participatory processes for catchment management plans and identification of livelihoods (and stakeholders) potentially affected. The project includes introduction and promotion of alternate non-forest timber product livelihoods (e.g., bee keeping) to help reduce potential impacts of economic displacement. If required, Livelihood Plans may need to be developed.
6. Indigenous Peoples	S6.1 Risks associated with activities taking place where	All outputs As the Programme is	<ul style="list-style-type: none"> Unintended impacts from catchment scale plans or CIPs could have impacts to Ips. IP rights not being recognized. 	I = 3 L = 2 Moderate	<ul style="list-style-type: none"> ESMF to include screening process includes identifying if IPs present. SEP – to ensure that engagement is inclusive.

	<p>indigenous peoples are present</p> <p>S6.2 Risks associated with activities taking place on lands, territories claimed by indigenous peoples</p> <p>6.3 Potential (positive or negative) on indigenous peoples</p> <p>S6.4 Risk that activities will take place without meaningful, effective informed participation of indigenous peoples</p>	<p>regional, it includes areas where indigenous peoples/ethnic minority groups may be present.</p>	<ul style="list-style-type: none"> • Potential to not consider traditional knowledge and practices. • FPIC processes may not be applied. 		<ul style="list-style-type: none"> • Application of UNDP Standard 6 (particularly when developing child-projects) – may require development of IPPF/IPP.
<p>7. Labour and Working Conditions</p>	<p>S7.1 Risks of substandard labour & working conditions</p> <p>S7.5 Discriminatory working conditions</p> <p>S7.6 Occupational hazards</p>	<p>Output 2.1 and Output 2.3</p>	<ul style="list-style-type: none"> • Project seeks to engage private sector entrepreneurs for investment in production, value addition and commercialisation of smallholder and pastoralist products. • Risk that laws/bilateral agreements associated with labour and working conditions (implementation of CIPS) are not complied with. • Unsafe and non-compliant labor practices. • Unsafe work environment. 	<p>I = 2 L = 3 Moderate</p>	<ul style="list-style-type: none"> • SES applied to all activities • ESMF • GRM • Labour agreements and policies - • The project should require the relevant responsible parties and project contractors to provide their workers with labour and working conditions that meet the national labour laws and international conventions - and: <ul style="list-style-type: none"> • (a) Ensure decisions regarding employment are not made on basis of personal characteristics unrelated to inherent job requirements (e.g. gender, race, nationality, political opinion, affiliation to a union, ethnic, social or indigenous origin, religion or belief, marital or family status, disability, age, sexual orientation or gender identity) and that women and men are provided with equal remuneration for equal work performed. • (b) Provide project workers with clear and understandable information on

					<p>terms and conditions of their employment (e.g. payment in a timely manner, written notice of termination, and payment of all wages and benefits on termination, etc.).</p> <ul style="list-style-type: none"> • (c) Prevent and address violence, harassment, intimidation, or exploitation, including any form of gender-based violence. • (d) Ensure that workers engaged have appropriate health and insurance. • (e) Exclude unsafe working practices and implement relevant occupational health and safety.
8. Pollution Prevention and Resource Efficiency	S8.1 Risks of pollutants release	Output 2.1	<ul style="list-style-type: none"> • Project interventions leading to waste generation. • Project will involve farming and revegetation therefore there is potential for pollution (erosion, generation of waste, emissions from machinery) • As part of CIPs, farming and revegetation may involve the use of pesticides. • Project activities and interventions may pose risk of consumption of raw materials, water and energy which may lead to depletion of natural resources and environmental degradation 	I = 2 L = 2 Low	<ul style="list-style-type: none"> • Pollution, waste generation and resource efficiency risks will be analyzed in more detail as part of the targeted E&S assessment conducted for Outputs 1.3 and 1.4. • Based on the results of the targeted assessment, recommended measures for the mitigation of these risks/impacts will be included in the ESMP, including Waste Management Plan or other plans/tools as required. • Questions for the identification of these risks at the intervention/site-level will be included in the screening form to be used during the design and implementation of CIPs. • Training on best practice for pollution, waste and resource management to be included in the safeguards capacity building as part of Output 2.2. • ESMF – screening of sub-activities to include consideration of sustainability, particularly in design and implementation of CIPs.
	S8.2 Risks of inadequate waste management				
	S8.5 Risks associated with pesticide use				
	S8.6 Risks associated with consumption of raw materials, energy, and water				

Note: Online SESP also requires identification of the Risk Owner, risk time frame (Risk Valid From/To), Risk Treatment fields (person, timeplan, effect)

Final Sign Off

Final Screening at the design-stage is not complete until the following signatures are included

Signature	Date	Description
QA Assessor		UNDP staff member responsible for the project, typically a UNDP Programme Officer. Final signature confirms they have “checked” to ensure that the SESP is adequately conducted.
QA Approver		UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have “cleared” the SESP prior to submittal to the PAC.
PAC Chair		UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks		
INSTRUCTIONS: The risk screening checklist will assist in answering Questions 2-6 of the Screening Template. Answers to the checklist questions help to (1) identify potential risks, (2) determine the overall risk categorization of the project, and (3) determine required level of assessment and management measures. Refer to the SES toolkit for further guidance on addressing screening questions.		
Overarching Principle: Leave No One Behind		Answer (Yes/No)
Human Rights		
P.1	Have local communities or individuals raised human rights concerns regarding the project (e.g. during the stakeholder engagement process, grievance processes, public statements)?	No
P.2	Is there a risk that duty-bearers (e.g. government agencies) do not have the capacity to meet their obligations in the project?	Yes
P.3	Is there a risk that rights-holders (e.g. project-affected persons) do not have the capacity to claim their rights?	Yes
<i>Would the project potentially involve or lead to:</i>		
P.4	adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	No
P.5	inequitable or discriminatory impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups, including persons with disabilities? ¹⁶	Yes
P.6	restrictions in availability, quality of and/or access to resources or basic services, in particular to marginalized individuals or groups, including persons with disabilities?	No
P.7	exacerbation of conflicts among and/or the risk of violence to project-affected communities and individuals?	No
Gender Equality and Women's Empowerment		
P.8	Have women's groups/leaders raised gender equality concerns regarding the project, (e.g. during the stakeholder engagement process, grievance processes, public statements)?	No
<i>Would the project potentially involve or lead to:</i>		
P.9	adverse impacts on gender equality and/or the situation of women and girls?	No
P.10	reproducing discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	Yes
P.11	limitations on women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? <i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i>	Yes
P.12	exacerbation of risks of gender-based violence? <i>For example, through the influx of workers to a community, changes in community and household power dynamics, increased exposure to unsafe public places and/or transport, etc.</i>	Yes

¹⁶ Prohibited grounds of discrimination include race, ethnicity, sex, age, language, disability, sexual orientation, gender identity, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender and transsexual people.

Accountability		
<i>Would the project potentially involve or lead to:</i>		
P.13	exclusion of any potentially affected stakeholders, in particular marginalized groups and excluded individuals (including persons with disabilities), from fully participating in decisions that may affect them?	Yes
P.14	grievances or objections from potentially affected stakeholders?	Yes
P.15	risks of retaliation or reprisals against stakeholders who express concerns or grievances, or who seek to participate in or to obtain information on the project?	No
Sustainability and Resilience: Screening questions regarding risks associated with sustainability and resilience are encompassed by the Standard-specific questions below		
P.16	Does the portfolio MYWP/project include activities with unknown design parameters for which potential SES risks cannot yet be determined and will require further activity-level screening and potential assessment for risks associated with sustainability and resilience?	Yes
Project-Level Standards		
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management		
<i>Would the project potentially involve or lead to:</i>		
1.1	adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	Yes
1.2	activities within or adjacent to critical habitats and/or environmentally sensitive areas, including (but not limited to) legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	Yes
1.3	changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	No
1.4	risks to endangered species (e.g. reduction, encroachment on habitat)?	No
1.5	exacerbation of illegal wildlife trade?	No
1.6	introduction of invasive alien species?	Yes
1.7	adverse impacts on soils?	Yes
1.8	harvesting of natural forests, plantation development, or reforestation?	Yes
1.9	significant agricultural production?	Yes
1.10	animal husbandry or harvesting of fish populations or other aquatic species?	Yes
1.11	significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	No
1.12	handling or utilization of genetically modified organisms/living modified organisms? ¹⁷	No
1.13	utilization of genetic resources? (e.g. collection and/or harvesting, commercial development) ¹⁸	No
1.14	adverse transboundary or global environmental concerns?	Yes
Standard 2: Climate Change and Disaster Risks		
<i>Would the project potentially involve or lead to:</i>		

¹⁷ See the [Convention on Biological Diversity](#) and its [Cartagena Protocol on Biosafety](#).

¹⁸ See the [Convention on Biological Diversity](#) and its [Nagoya Protocol](#) on access and benefit sharing from use of genetic resources.

2.1	areas subject to hazards such as earthquakes, floods, landslides, severe winds, storm surges, tsunami or volcanic eruptions?	Yes
2.2	outputs and outcomes sensitive or vulnerable to potential impacts of climate change or disasters? <i>For example, through increased precipitation, drought, temperature, salinity, extreme events, earthquakes</i>	Yes
2.3	increases in vulnerability to climate change impacts or disaster risks now or in the future (also known as maladaptive or negative coping practices)? <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	No
2.4	increases of greenhouse gas emissions, black carbon emissions or other drivers of climate change?	No
Standard 3: Community Health, Safety and Security		
<i>Would the project potentially involve or lead to:</i>		
3.1	construction and/or infrastructure development (e.g. roads, buildings, dams)? (Note: the GEF does not finance projects that would involve the construction or rehabilitation of large or complex dams)	Yes
3.2	air pollution, noise, vibration, traffic, injuries, physical hazards, poor surface water quality due to runoff, erosion, sanitation?	Yes
3.3	harm or losses due to failure of structural elements of the project (e.g. collapse of buildings or infrastructure)?	No
3.4	risks of water-borne or other vector-borne diseases (e.g. temporary breeding habitats), communicable and noncommunicable diseases, nutritional disorders, mental health?	No
3.5	transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	No
3.6	adverse impacts on ecosystems and ecosystem services relevant to communities' health (e.g. food, surface water purification, natural buffers from flooding)?	No
3.7	influx of project workers to project areas?	No
3.8	engagement of security personnel to protect facilities and property or to support project activities?	No
Standard 4: Cultural Heritage		
<i>Would the project potentially involve or lead to:</i>		
4.1	activities adjacent to or within a Cultural Heritage site?	No
4.2	significant excavations, demolitions, movement of earth, flooding or other environmental changes?	No
4.3	adverse impacts to sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	No
4.4	alterations to landscapes and natural features with cultural significance?	No
4.5	utilization of tangible and/or intangible forms (e.g. practices, traditional knowledge) of Cultural Heritage for commercial or other purposes?	No
Standard 5: Displacement and Resettlement		
<i>Would the project potentially involve or lead to:</i>		
5.1	temporary or permanent and full or partial physical displacement (including people without legally recognizable claims to land)?	No

5.2	economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	Yes
5.3	risk of forced evictions? ¹⁹	No
5.4	impacts on or changes to land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	Yes
Standard 6: Indigenous Peoples		
<i>Would the project potentially involve or lead to:</i>		
6.1	areas where indigenous peoples are present (including project area of influence)?	Yes
6.2	activities located on lands and territories claimed by indigenous peoples?	Yes
6.3	impacts (positive or negative) to the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)? <i>If the answer to screening question 6.3 is “yes”, then Standard 6 requirements apply, and the potential significance of risks related to impacts on indigenous peoples must be Moderate or above. *</i>	Yes
6.4	the absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	Yes
6.5	the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.6	forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources? <i>Consider, and where appropriate ensure, consistency with the answers under Standard 5 above</i>	No
6.7	adverse impacts on the development priorities of indigenous peoples as defined by them?	No
6.8	risks to the physical and cultural survival of indigenous peoples?	No
6.9	impacts on the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices? <i>Consider, and where appropriate ensure, consistency with the answers under Standard 4 above.</i>	No
Standard 7: Labour and Working Conditions		
<i>Would the project potentially involve or lead to: (note: applies to project and contractor workers)</i>		
7.1	working conditions that do not meet national labour laws and international commitments?	Yes
7.2	working conditions that may deny freedom of association and collective bargaining?	No
7.3	use of child labour?	No
7.4	use of forced labour?	No
7.5	discriminatory working conditions and/or lack of equal opportunity?	Yes
7.6	occupational health and safety risks due to physical, chemical, biological and psychosocial hazards (including violence and harassment) throughout the project life-cycle?	Yes

¹⁹ Forced eviction is defined here as the permanent or temporary removal against their will of individuals, families or communities from the homes and/or land which they occupy, without the provision of, and access to, appropriate forms of legal or other protection. Forced evictions constitute gross violations of a range of internationally recognized human rights.

* Note: revised July 2022 modifying presumption of risk significance from Substantial or higher to Moderate or higher.

Standard 8: Pollution Prevention and Resource Efficiency		
<i>Would the project potentially involve or lead to:</i>		
8.1	the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	Yes
8.2	the generation of waste (both hazardous and non-hazardous)?	Yes
8.3	the manufacture, trade, release, and/or use of hazardous materials and/or chemicals?	No
8.4	the use of chemicals or materials subject to international bans or phase-outs? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Montreal Protocol, Minamata Convention, Basel Convention, Rotterdam Convention, Stockholm Convention</i>	No
8.5	the application of pesticides that may have a negative effect on the environment or human health?	Yes
8.6	significant consumption of raw materials, energy, and/or water?	Yes

¹ In particular, children and women who experience the brunt of heatwaves due to water stress, malnutrition from failed crops or lack of food sovereignty, different type of diseases, fever and others.

Annex 2 – Environmental & Social Management Framework

Financing Locally Led Adaptation and Nature-based Solutions for Catchment Resilience in Southern Africa

QUALITY INFORMATION

Document: AF SA LLA Programme ESMF

Prepared by: Phillip Hawes

Revision History

Revision	Revision Date	Details
0	October 2025	SA Programme for LLA ESMF Working Draft
1	10 November 2025	Internal review/comments
2	10 December 2025	Internal review/comments

CONTENTS

QUALITY INFORMATION	ii
Executive Summary	v
1 Introduction.....	7
1.1 Background.....	7
1.2 Purpose of the ESMF	7
2 Overview of the Programme	8
2.1 Description of the Programme.....	8
2.1.1 Component 1: Catchment Investment Programmes	8
2.1.2 Component 2: Demand-driven financing for LLA grants and establishment of complementary non-grant financing mechanisms to sustain locally-led climate adaptation solutions.....	9
2.1.3 Component 3: Global Learning and Knowledge Management System	10
2.2 Target countries	11
2.2.1 Description of the Catchments	11
2.2.2 Land Issues.....	14
2.2.3 Indigenous Peoples	17
3 Applicable policy and legal framework.....	19
3.1 UNDP Social and Environmental Standards	19
3.2 Adaptation Fund Environmental and Social Policy.....	20
3.3 Applicable Country Law.....	26
3.3.1 Relevant International Treaties and Conventions	26
3.3.2 National legislation	28
3.3.3 Comparison and Gaps in Policy Framework	30
4 Potential Social and Environmental Impacts	59
5 Procedures for Screening, Assessment and Management	66
5.1 Screening.....	66
5.1.1 Screening of investments.....	66
5.1.2 Programme screening.....	68
5.2 Assessment.....	69
5.2.1 Targeted E&S Assessment	69
5.2.2 Country/Site-Specific Assessment and Management Requirements	69
5.3 Environmental and social management.....	69
5.3.1 Overarching Plans and Requirements.....	69
5.3.2 Catchment-specific Environmental and Social Management Plan (ESMP).....	69
7 Institutional Arrangements for ESMF Implementation	70
7.1 General Management Structure and Responsibilities.....	70
7.2 Roles and Responsibilities for Implementing ESMF	70

SA LLA Programme Environmental and Social Management Framework

Adaptation Fund

7.2.1	Programme Institutional Framework	71
7.2.2	Programme Assurance:.....	71
7.2.3	At country level.....	71
7.2.4	Safeguards implementation monitoring and reporting.....	72
8	Stakeholder Engagement and Information Disclosure	74
8.1	Stakeholder Consultation /Engagement Plans	74
8.2	Stakeholder Consultation	75
8.3	Monitoring and Reporting of Engagement Activities	75
8.4	Disclosure	76
9	Grievance mechanisms	78
9.1	Introduction.....	78
9.2	Country-level GRM	78
9.3	UNDP’s Accountability Mechanism	80
9.4	Adaptation Fund Response Mechanism.....	81
10	Monitoring and Evaluation Arrangements	81
10.1	Parameters to be measured	81
11	Budget for ESMF Implementation.....	84
12	Appendices	84

EXECUTIVE SUMMARY

This Environmental and Social Management Framework (ESMF) has been prepared in support of a programme proposal for “Financing Locally Led Adaptation and Nature-based Solutions for Catchment Resilience in Southern Africa” designed by the UNDP and partners to support access to critically needed climate finance by countries in Southern Africa.

The programme interventions focus on resilience-enhancing actions to address water and food security needs within catchments in three river basins in Southern Africa (corresponding to territory in Eswatini, Zambia and Zimbabwe).

This proposal responds to needs expressed by country governments and stakeholders, including the private sector (PS), to address the interlinked stressors of climate change impacts leading to water stress and land uses leading to increasing degradation in watersheds across Southern Africa.

The programme will support government, private sector and communities to develop and execute: (i) climate risk-informed watershed restoration and management, and (ii) climate resilient practices and technologies for agricultural production and sustainable pasture management, within an overarching framework of Catchment Investment Programs (CIPs).

The programme is expected to work closely with regional bodies of SADC, including the River Basin Organizations (RBOs) and Watercourse Commissions to scale up the adoption of tested CIPs. Technical partners in the design stage include World Food Programme (WFP), the Nature Conservancy (TNC), FAO, and local organizations and stakeholders in project countries.

To achieve its objective, the programme will invest in enabling poor/near-poor smallholders to adapt to increasing climate-driven rainfall variability and drought through implementation of three inter-linked outputs:

- Output 1: Regional technical assistance mechanism established to support the design, implementation, and scaling of catchment management programmes
- Output 2: Sufficient finance and investment identified and secured for each CIP and a facility for future regional upscaling
- Output 3: Multi-scalar monitoring, learning and exchange to continuously improve the design, implementation, monitoring and adaptive management of initiatives for upscaling to enhance climate resilience of catchments across shared river basins.

The programme will enable the three target countries (Eswatini, Zambia and Zimbabwe) to adopt a paradigm shift in the way smallholder agricultural development is envisioned and supported through an integrated approach to agricultural resilience starting with planning for climate risk based on identification and analysis of agroecosystem vulnerabilities; enhancing water security and guaranteeing access; scaled up adoption and application of climate-resilient agricultural practices and cropping systems; and creating partnerships among value chain stakeholders to ensure access to market and credit.

This programme will also produce important environmental, social, and economic co-benefits. With increasing adoption of agroforestry and other multi-cropping systems, including resilience-enhancing soil, water and biomass management practices, the land degradation processes currently underway will be slowed. The programme will empower women and ethnic minorities with the skills and

confidence to participate more widely in community and organizational affairs, as well as to establish formal business partnerships and access the market for climate-resilient agricultural products.

The programme has been screened using UNDP's Social and Environmental Standards Procedure (SESP) and compared with the Adaptation Fund's (AF) Environmental and Social Policy (ESP). The overall risk category of the programme is 'Moderate' (Category B as per AF's ESP). Moderate risk projects consist of activities with potential limited adverse social and environmental risks and impacts, that can be managed through targeted/specific assessments and management plans and best practices.

The safeguards instruments that will need to be developed at implementation phase include the following:

- Country-specific Stakeholder Engagement Plan (SEP) for each of the three catchments, including a gender-sensitive Grievance Redress Mechanism (GRM)
- Country-specific Gender Action Plan (GAP) for each of the three catchments
- A targeted catchment-specific environmental and social assessment that will analyse the specific environmental and social (E&S) risks associated with the activities that will be implemented under the Catchment Investment Programmes (CIPs).
- Based on the results of the targeted E&S assessment, an Environmental and Social Management Plan (ESMP) will be developed outlining the mitigation measures required for the types of activities to be implemented under the CIPs and the E&S procedures that should be followed from the design to the implementation of these activities.

1 INTRODUCTION

This Environmental and Social Management Framework (ESMF) has been prepared for the Adaptation Fund (AF) “Financing Locally Led Adaptation and Nature-based Solutions for Catchment Resilience in Southern Africa”. As this programme is supported by UNDP in its role as an AF’s Accredited Entity, the programme has been screened using UNDP’s Social and Environmental Screening Procedure and deemed a Moderate risk programme.

The programme is a multi-country (i.e., Eswatini, Zambia and Zimbabwe) programme and not all sites have been selected for the interventions. Therefore, as a Moderate risk programme, an Environmental and Social Management Framework (this document) has been prepared describing the procedures required for managing social and environmental risks during implementation.

1.1 BACKGROUND

The Governments of Eswatini, Zambia and Zimbabwe, with support from UNDP, have formulated a programme to integrate climate resilience into agriculture and water resource management across selected catchments in these three Southern African Development Community (SADC) countries..

The main goal of the programme is to promote the massive adoption of effective resilience-enhancing watershed management in the shared watercourses of Southern Africa.

The programme aims to realize and substantiate innovative catchment planning and management models to Watercourse Authorities and participating Ministries in three countries with territory in one of two targeted river basins: the Zambezi (Zambia) and the Maputo (Eswatini). The three selected catchments are: i) Usuthu in eastern Eswatini; ii) Luangwa in eastern Zambia; and iii) Sanyati in Zimbabwe.

The programme will use an integrated systems approach and well tested methodology to design and implement Catchment Investment Programmes (CIPs). The CIPs will overcome financial and capacity barriers by leveraging grant funding to unlock private sector finance and apply lessons from successful ongoing initiatives to increase the capacities of government, the private sector and smallholder producers to: i) coordinate and implement climate risk-informed ecosystem restoration; ii) undertake resilience-enhancing agriculture and livestock farming; iii) govern watersheds with adaptive management for socio-hydrological resilience to climate change; and iv) generate and disseminate knowledge gleaned from CIP implementation to policy makers and programming institutions.

Institutional capacity barriers will be addressed through targeted activities at the appropriate Watercourse Commissions and national Ministries and agencies to establish or strengthen the foundations for these entities to promote and support massive upscaling of catchment investment programming throughout their respective watersheds.

1.2 PURPOSE OF THE ESMF

This ESMF is a management tool to assist in managing potential adverse social and environmental impacts associated with programme activities, in line with the requirements of UNDP’s Social and Environmental Standards (SES).

The Implementing Partner of the programme and the relevant members of the programme management unit will follow this ESMF during programme implementation to ensure the environmental and social risks and impacts are assessed and management measures are in place prior to the implementation of the relevant programme activities.

This ESMF identifies the steps for detailed screening and assessment of the programme's potential, identified social and environmental risks, and for preparing and approving the required management plans for avoiding, and where avoidance is not possible, reducing, mitigating, and managing the identified adverse impacts. Its scope covers all components of the programme, with additional targeted assessments.

The ESMF also references the additional safeguard measures that apply to the programme during the implementation, including but not limited to:

- Country-specific Stakeholder Engagement Plan (SEP) for each of the three catchments, including a gender-sensitive Grievance Redress Mechanism (GRM)
- Country-specific Gender Action Plan (GAP) for each of the three catchments
- A targeted environmental and social assessment that will analyse the specific environmental and social (E&S) risks associated with the activities that will be implemented under the Catchment Investment Programmes (CIPs).
- Based on the results of the targeted E&S assessment, an Environmental and Social Management Plan (ESMP) will be developed outlining the mitigation measures required for the types of activities to be implemented under the CIPs and the E&S procedures that should be followed from the design to the implementation of these activities.

This ESMF will be publicly disclosed in line with UNDP's Information Disclosure Policy and SES. The ESMF will be updated from time to time by the implementing Programme Management Unit (PMU) in consultation with the UNDP to incorporate changes that may occur during programme implementation.

2 OVERVIEW OF THE PROGRAMME

2.1 DESCRIPTION OF THE PROGRAMME

The Programme's proposed structure consists of three Components and Outcomes:

- **Component 1:** Catchment Investment Programmes.
- **Outcome 1:** Catchment Investment Programmes, consisting of multiple complementary resilience-enhancing initiatives, reviewed and prepared by local stakeholders.
- **Component 2:** Demand-driven financing for LLA grants and establishment of complementary non-grant financing mechanisms capacity building support to local communities (LCs) to sustain for locally-led climate adaptation solutions.
- **Outcome 2:** LLA initiatives designed, financed and implemented to meet CIP objectives for enhanced socio-ecological resilience to climate change, with complementary non-grant mechanisms established to sustain and scale results,
- **Component 3:** Global Learning and Knowledge Management System
- **Outcome 3:** Evidence generated from CIPs and their catchment management initiatives is used to strengthen climate adaptation policies and strategies, and to improved adaptive management and stakeholder learning across catchments

The components, outputs and their activities are summarised below.

2.1.1 Component 1: Catchment Investment Programmes

This component will support local stakeholder design, establishment and operationalization of three *Catchment Investment Programmes (CIPs)* – one each in Eswatini, Zambia and Zimbabwe - driven by priorities identified by local communities (LCs) in dialogue with relevant government counterparts.

A CIP will comprise multiple complementary community and catchment-wide grant-funded initiatives reviewed and designed by local organizations, with technical assistance from local experts or others, as needed, and coordinated across the selected Catchment by a locally led multi-stakeholder platform to achieve catchment scale socio-ecological resilience benefits.

CIP initiatives are anticipated to revolve around nature-based solutions, involving improved water resource management; ecosystem restoration (e.g. revegetation of wetlands, forests); smallholder agro-ecological production; and sustainable grazing and climate resilience-enhancing livestock management. These would be complemented in the catchment by diversification of livelihoods; and community empowerment and governance.

There are four Outputs under this Component:

Output 1.1: Multi-stakeholder National Catchment Adaptation Committees established (NCACs)

Activities under Output 1.1 include:

- UNDP and governments discuss and agree NCAC composition with stakeholder organizations at national and local levels
- UNDP and participating governments and catchment stakeholders formally establish NCACs
- Each NCAC discusses and agrees grant project eligibility criteria.

Output 1.2: Multi-stakeholder catchment management and governance platforms established

Activities under Output 1.2 include:

- Conduct tour of all catchment communities, as well as government, NGO, academic, religious institutions, to discuss and confirm interest expressed in pre-submission consultations
- Organize catchment level multi-stakeholder platforms and first meetings
- Formally establish multi-stakeholder platforms.

Output 1.3: Catchment Investment Programme confirmed in each participating country

Activities under Output 1.3 include:

- Catchment Investment Programme analysis and operationalization workshop in each catchment
- Local actors discuss and confirm catchment socio-ecological Outcomes
- Local actors discuss and confirm potential outputs to achieve Outcomes
- CIP workshop confirms Outcomes and outputs and formalizes CIP.

Output 1.4: Priority community and catchment level initiatives in the CIPs identified

Activities under Output 1.4 include:

- Local actors in their organizations discuss and agree solutions to achieve CIP outputs
- Local organizations discuss and agree joint or complementary efforts to achieve CIP outputs.

2.1.2 Component 2: Demand-driven financing for LLA grants and establishment of complementary non-grant financing mechanisms to sustain locally-led climate adaptation solutions.

There are three Outputs under this Component:

Output 2.1: Locally-Led Adaptation initiatives-designed and implemented, according to CIP objectives

Activities under Output 2.1 include:

- Local catchment organizations work with Programme staff to design their grant proposals
- Grant proposals are socialized for comments and inputs by members of the catchment platforms

- Finalized grant proposals are submitted to the NCAC for review and approval
- Funding is transferred to local organizations on an agreed schedule of milestone-based disbursements
- Monitoring, reporting and verification (MRV) of hydrological/ecosystem and livelihood outcomes featuring adaptive learning

Output 2.2 Capacities of local organizations strengthened for grant project design, implementation and MRV.

Activities under Output 2.2 include:

- Local stakeholders, including community organizations, cooperatives and local authorities, identify capacity gaps and potential solutions, including training needs.
- Targeted training for stakeholders on implementation of relevant NbS activities, including capacity building on social and environmental safeguards, gender and inclusion, financial management and operations and maintenance.
- Training on community-level MRV protocols and data management, with facilitated knowledge exchange and learning across catchments.

Output 2.3 Establishment of non-grant financing mechanisms for sustained implementation of LLA initiatives

Activities under Output 2.3 include:

- Map and engage prospective payers/beneficiaries and financial partners for PES/Trusts and CRA lending.
- Define eligible performance-based services and payment rules, aligning verification with CIP M&E system.
- Establish PES/Trust governance and fiduciary arrangements (custodian selection, operating rules, community representation) and pilot disbursements.
- Co-design CRA loan facilities with participating banks and build lender capacity
- Facilitate market linkages between producers and offtakers to support lending.

2.1.3 Component 3: Global Learning and Knowledge Management System

There are three Outputs under this Component:

Output 3.1: Development and implementation of a peer-to-peer learning and exchange Programme at national and local levels for upscaling and adaptive management

Activities under Output 3.1 include:

- Catchment platforms discuss and agree context-specific learning and knowledge generation goals, outcomes and outputs and define relevant grant proposal formats and requirements for M&E and knowledge generation and dissemination.
- Local organizations identify learning objectives into grant proposals consistent with catchment level learning and knowledge generation goals.
- Local organizations budget learning costs in grant proposal budgets.
- Catchment platforms agree on and organize a system of peer-to-peer exchanges among groups and communities across the catchment, as well as with interested communities nationally.
- Local organizations reflect on project design and implementation experience and produce locally accessible reports and other material for distribution to peer organizations and others.

Output 3.2: Establishment of a regional mechanism for analysis and discussions of lessons learned, their relevance and potential application to policy, programming, and partnership development

Activities under Output 3.2 include:

- Establish mechanism governance and operational structure incorporating learning and sharing elements from a variety of sources, including The Nature Conservancy's Conservation Training and Water Funds, FAO's Global Farmer Field School Platform and the Watercourse Commissions
- Analyses of multivariate method of assessment of catchment factors for upscaling, together with ongoing assessments of CIP experiences
- Development of a regional M&E regime and strategy to identify and fill gaps in knowledge related to socio-ecological processes and factors to enable adaptive management of catchments.\
- Systematization and dissemination of the country-level, multi-variate analytical methods applied during Funding Proposal development and used in guiding national authorities in catchment selection and prioritization
- Execution of independent expert evaluations and assessments of key CIP processes and their performance in enhancing socio-ecological resilience

Output 3.3: Development of a regionwide Adaptation Learning Programme from catchment planning and implementation experience for national, regional and global engagement

Activities under Output 3.3 include:

- Establishment of Learning Leaders (LLs) in each CIP platform and NCAC to lead development and execution of an Adaptation Learning Programme
- Training and coaching of LLs in credible knowledge generation methods as part of CIP and grant project design
- Identification by Regional Programme staff in concert with NCACs and CIP platform LLs of recurrent or common themes and key topics (e.g. customary land tenure regulation; catchment or resource governance structures; market access issues; community CC indicators and early warning, etc.);
- Compilation of information and knowledge regarding key topics, production of knowledge products, and development of a learning and dissemination plan; Knowledge products disseminated nationally, regionally and globally and stored on Learning and Knowledge Management system accessible publicly
- Lessons learned and knowledge from CIP and grant project implementation is reviewed and assessed by NCAC and CIP LLs and Regional Programme staff for relevant policy contributions
- UNDP, NCACs and Regional Programme staff together produce a series of products for specific presentations to governments and regional bodies

2.2 TARGET COUNTRIES

2.2.1 Description of the Catchments

This is a multi-country programme. At present, the countries included in the programme are Eswatini, Zambia and Zimbabwe. Through modelling vulnerable watersheds across the target countries were identified¹. The Greater Usuthu, Luangwa and Sanyati catchments have been identified as the most vulnerable and prioritized watersheds in Eswatini, Zambia and Zimbabwe.

The Greater Usuthu catchment stretches across central Eswatini from east to west and is an integral part of the larger Maputo River Basin. The Usuthu covers approximately 6,700 km² and is primarily

¹ C4 Reports on Hydrological Modelling and Report for Agricultural Modelling

characterised by croplands, forests, herbaceous vegetation, scattered water bodies, and wetlands. Figure 1 is a land-use map of the Usuthu catchment and level 6 sub-catchments in Eswatini.

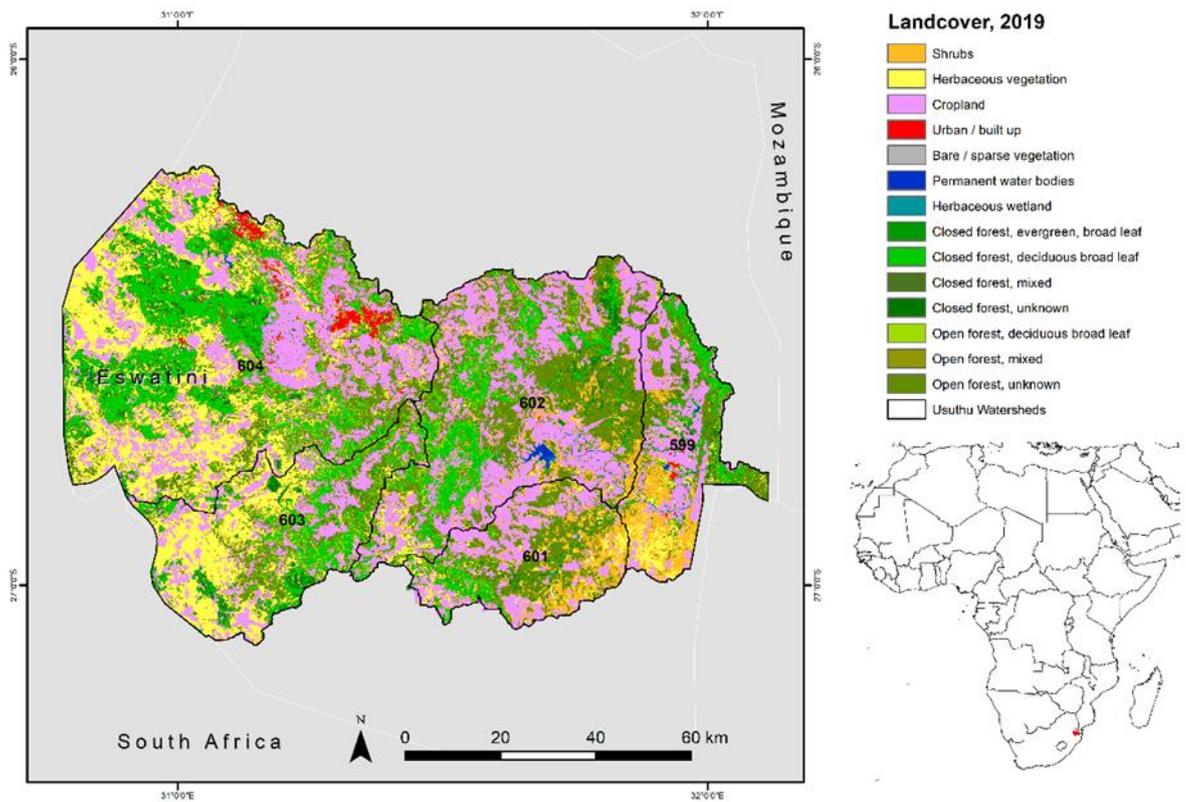


Figure 1 Land use in the Usuthu catchment in Eswatinin based on 2019 landcover data

The Luangwa catchment is situated in eastern Zambia and is an integral part of the larger Luangwa River Basin. This catchment covers approximately 129,700 km² and is primarily characterized by forests, shrublands and herbaceous vegetation, with some croplands at the edges of the catchment. Figure 2 **Error! Reference source not found.** is a land-use map of the Luangwa catchment and level 5 sub-catchments, including in Zambia.

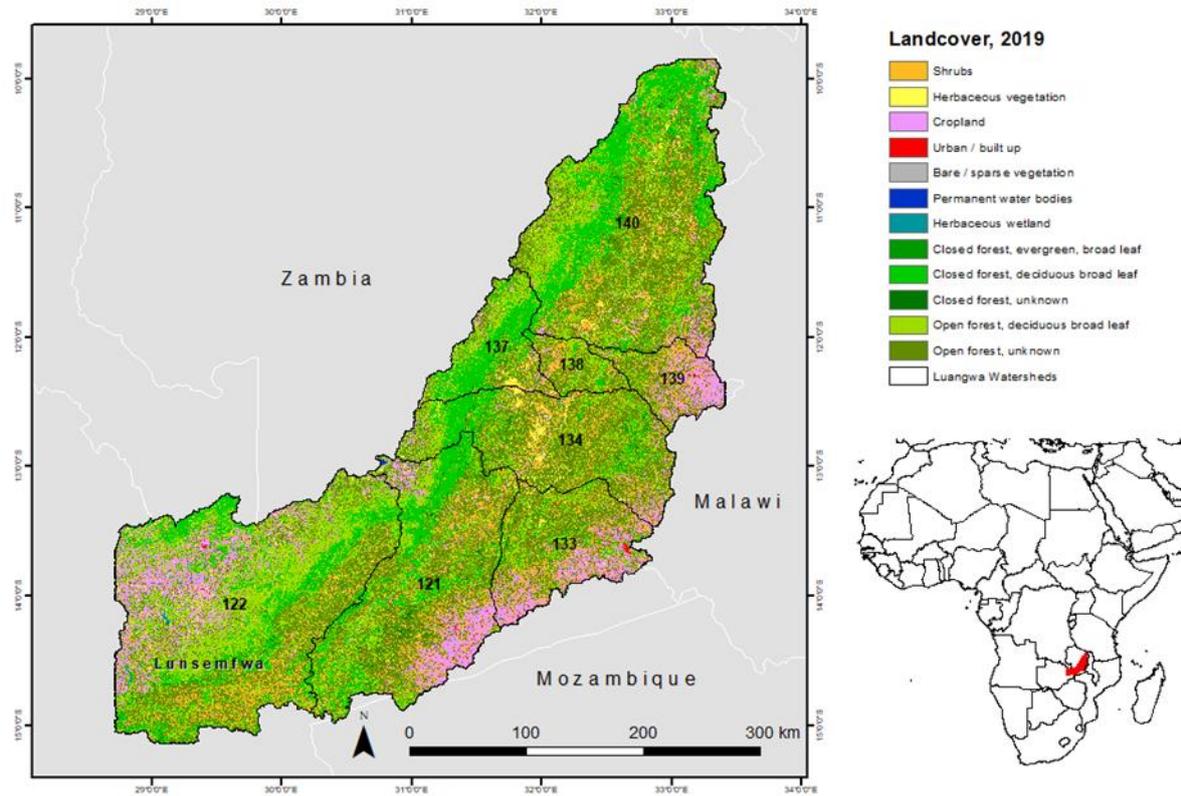


Figure 2. Land use in the Luangwa catchment of Zambia based on 2019 landcover data

The Sanyati catchment is in the midlands of Zimbabwe. This catchment covers an area of approximately 67,950 km² and is primarily characterized by forests, croplands and shrublands, with permanent water bodies to the northwest. Figure 3 is a land-use map of Zimbabwe's Sanyati catchment and level 6 sub-catchments.

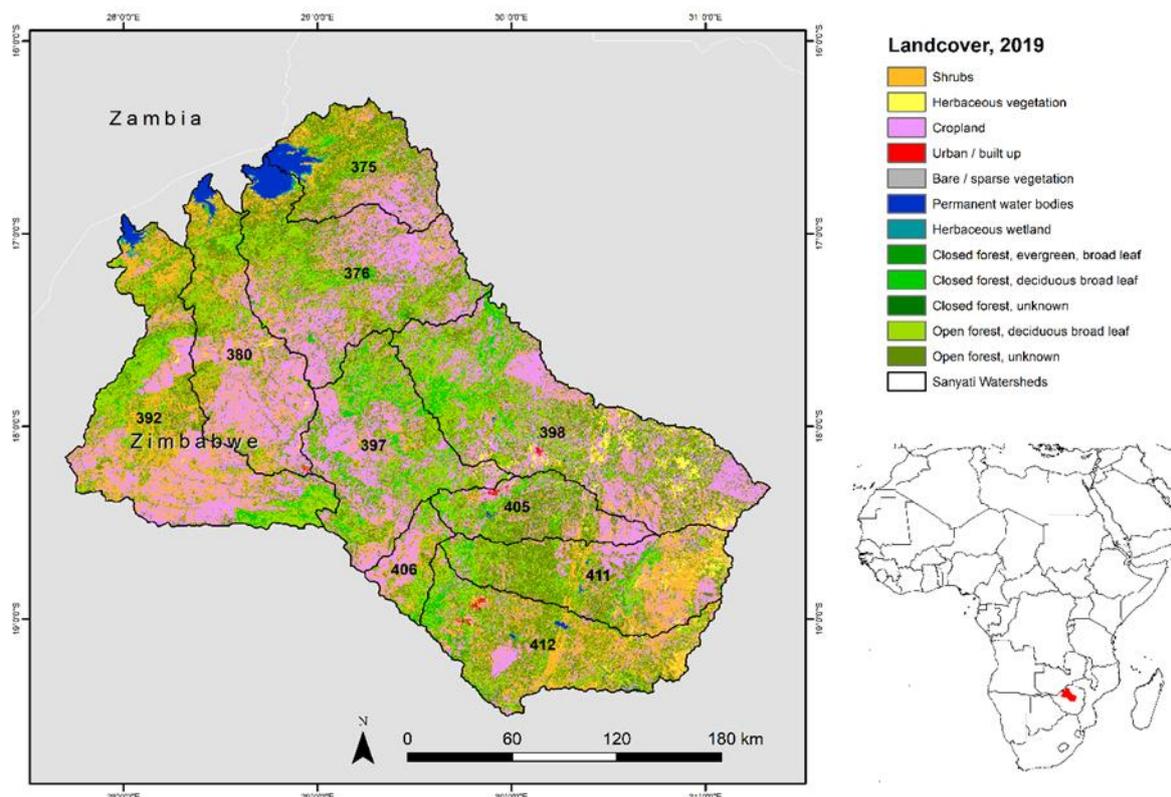


Figure 3 Land use of the Sanyati catchment of Zimbabwe based on 2019 landcover data

2.2.2 Land Issues

All three target countries have complex land tenure structures.

Eswatini

The land governance framework in Eswatini is characterized by a dual structure comprising both modern and traditional institutions. Traditional practices involve land allocation based on allegiance to the King and respective chiefs. Modern governance encompasses the central government, the Tinkhundla administration, local urban administration, and regulatory bodies.

Eswatini's primary legal reference for land governance is the Constitution, which grants the King full rights in land tenurial arrangements. This absence of specific land legislation has led to a prolonged impasse since 1999, with traditional structures cautiously opposing changes proposed by contemporary government institutions. In urban areas, the governance is shared between chieftaincy and municipal or city councils, sometimes leading to differences in perspectives. Issues related to national land are typically resolved through the chieftaincy system and established customary law. In contrast, issues concerning land held under freehold title fall under the jurisdiction of courts applying Roman-Dutch law².

The nation experiences several land-related challenges, including tenure insecurity, the need for land redistribution and improved access, the complexities of the dual land governance system, and judicial backlogs causing delays in dispute resolution³. Ambiguities in tenure and overlapping rights frequently

² Manyatsi & Singwane. Land governance in eSwatini. "2019 Land governance in Southern Africa symposium" The NUST-NELGA Hub — Windhoek, Namibia, 3–4 September 2019.

³ The Kingdom of Eswatini. 2020. Country strategy paper 2020–2024. Supporting sustainable, diversified and more inclusive growth. Available at: <https://www.afdb.org/en/documents/eswatini-country-strategy-paper-2020-2024>

result in differences of opinion, posing challenges to development initiatives⁴. Moreover, marginalised groups, particularly women and rural communities, often encounter limited access to land, which can restrict their economic empowerment⁵. The inefficiency of land administration systems, encompassing registration and information management, further complicates the assurance of tenure security and effective land management.

During development of the projects and selection of project sites, farmers proposing to participate will be asked if they have proof of access to land (eg a title deed or a Chief's letter).

Zambia

Zambia has complex land tenure systems characterized by three categories of land: State land (formerly Crown land during the colonial era), reserves (formerly "native reserves") and trust land (formerly "native trust land"). The land tenure system in State land is based on the principles of English land law, whereas in the reserves and trust land, customary land tenure applies.

The land tenure systems in Zambia have evolved in the following way⁶:

Pre-colonial era - In the period before colonialism, land was governed by customary law - a host of tribal laws existing in different tribal customs. Land was never viewed as a saleable commodity. Although landownership was communal, systems of regulation of communal rights existed.

Colonial era - Custom was recognized as law only when it was found not to conflict with written law. In 1928, two categories of land were created: Crown land and native reserves. Crown land consisted of land reserved for European settlements and mining. In these areas, freehold tenure was applied as prescribed in English law. The reserves were vested in the Secretary of State for Colonies for the sole and exclusive occupation by the natives in perpetuity. The concept of reserves was subsequently found unsuitable for both the Africans and the Europeans, but for different reasons. The Africans resisted the concept because the reserves were overcrowded and impoverished. The Europeans wanted access to larger areas of land, which resulted in resentment of colonial rule by the Africans.

The colonial administration responded to the demands of the European settlers by introducing the concept of native trust land. Under this arrangement, all unalienated land (i.e. land not categorized as either Crown land or native reserve) that was suitable for non-native settlement or that contained mineral deposits was brought into the category of Crown land; the remainder was categorized as native trust land. On both native reserves and trust land, land administration was governed by customary law. The difference was that on trust land, the Secretary of State for Colonies could grant rights of occupancy to non-natives, whereas reserve land was for the exclusive settlement of native Africans. The reservation of the good fertile land for the exclusive settlement of whites provided the impetus for the independence struggle, especially in predominantly agricultural areas such as Southern Province.

Independence - At independence in 1964, Crown land was renamed State land, and the reserves and trust land were retained. All land in Zambia (except the Barotse reserve) was vested in the President for and on behalf of the people of Zambia. English law continued to apply to State land while customary law continued to apply to reserves and trust land.

In 1975, President Kaunda announced far-reaching changes in landownership and land tenure in Zambia. These changes were largely brought about against a background of land speculation and manipulation of property rights. All freehold titles to land were abolished and existing interests were abridged to statutory leaseholds of 100 years' duration, un-utilized tracts of farmland were taken over

⁴ Manyatsi AM & Singwane SS. 2019. Land governance in eSwatini. "2019 Land governance in Southern Africa symposium" The NUST-NELGA Hub — Windhoek, Namibia, 3–4 September 2019.

⁵ Johnson S, Bennekomp-Minnema & Simelane S. 2020. Creating a neo-customary land administration system for sustainable land management. FIG Working Week 2020. Smart surveyors for land and water management. Amsterdam, the Netherlands. Available at: https://www.fig.net/resources/proceedings/fig_proceedings/fig2020/papers/ts04h/TS04H_johnson_van_bennekom-minnema_et_al_10611.pdf

⁶ <http://www.fao.org/docrep/x1372T/x1372t07.htm> accessed 17/11/17

by the State, Presidential consent was subsequently required for dealing in land, and real estate agencies were ordered to close down.

Zambia has had the experience of both freehold and leasehold tenure. Customary tenure has by and large been more successful than leasehold tenure in meeting the needs of the people. The administrative procedures are simple and easily implemented. Land issues are dealt with efficiently and decisively. The problem, however, is that the land rights are never registered, although their recognition is guaranteed. No attempt has been made to reform customary tenure².

In general, the least productive land in Zambia is held under customary tenure by small farmers while the most productive land is leased for commercial farms, mining operations, and urban and tourism developments.⁷

Zimbabwe

In Zimbabwe, the State retains power and control over all land through the 1992 Land Acquisition Act (chapter 20:10) and therefore it can promulgate such legislation to regulate all tenure systems as it deems fit.

Generally, there are four types of land tenure in Zimbabwe:

- freehold tenure, encompassing private land ownership,
- leasehold tenure, including the 99-year lease to use state owned land
- customary land tenure system in which land is traditionally owned by communities through traditional leaders.
- state land - applies to all state lands held under law or in terms of specific statutory provisions, such as national parks and game reserves.

Land tenure arrangements, access to, and ownership of, land has traditionally been and remains the preserve of men, which manifests in the observed gender-differentiated disparities in land ownership in Zimbabwe.⁸

Following independence in 1980, the Zimbabwean government embarked on a comprehensive land reform program aimed at addressing historical injustices and redistributing land to landless black Zimbabweans. Communal lands remained under state control, but legal reforms were introduced to recognize and protect the customary rights of local communities. Despite these reforms, communal land tenure in Zimbabwe continues to face significant challenges and controversies.

One of the main legal challenges is the lack of formal title deeds for communal lands. This absence of legal documentation leaves communities vulnerable to land disputes, encroachments, and insecure tenure.

The freehold tenure system is prevalent in the commercial farming sector which consists of large scale and small-scale commercial farmers and occupy about 32% of the country's land area of 39 million ha. This sector is characterized by individual land ownership. The registered landowner has exclusive property rights and full control and responsibility over the land, and everything attached to it except to the extent that ownership and exclusive control over the land and some natural resources may be limited by statutory provisions. Such limitations relate to changes in land use, controls over public water courses, felling of indigenous timber resources and controls on wildlife.

The communal land tenure system is governed by the *Communal Lands Act* and is applicable to 42% of Zimbabwe's land area, where approximately 66% of the country's population resides. According to the Communal Lands Act, all communal land is vested in the State President who has powers to permit its occupation and utilization in accordance with the Act. Communal Area inhabitants thus have

⁷ <https://land-links.org/country-profile/zambia/>

⁸ Munemo, P., Manzvera, J. and Agbelie, I. (2022) Women and Land Ownership in Zimbabwe Feminist Africa , Vol. 3, No. 2 , pp. 35-60 Institute of African Studies

usufructuary rights over communal land. Rural District Councils, on the other hand, have a dispensation to allocate land to qualified persons on behalf of the State.

Resettlement areas cover 10% of the country. They have no title and are a product of the post-independence period which aimed to relieve population pressure in communal areas.

Zimbabwe's agricultural land is predominantly under communal ownership, while resettled farmers under the A1 and A2 models own land through permits and 99-year leases respectively. The Zimbabwe Land Commission is reviewing all land tenure systems in the country to ensure they promote investment and security of tenure as reported in the 2016 Zimbabwe Land Commission annual report.¹⁰

Under the *Traditional Leaders Act 1998*, Chiefs, Headmen and Village Heads are appointed as officers. These local officers have a wide range of powers in local administration regarding, among other things, grazing, allocation of communal land and communal land use, irrigation and use of natural resources (24). In 2000, traditional leaders were put on the central government payroll; this has led to them playing an increasingly active role in land administration. However, power and authority for land administration remains vested with the central State, as the owner of all communal and most resettlement land

2.2.3 Indigenous Peoples

Eswatini

The population is composed primarily of ethnic Swazis. The Swazi people, descended from the Southern Bantu who migrated from Central Africa in the 15th and 16th centuries together with the Xhosas and the Zulus⁹. The Swazi nation is an amalgamation of more than 70 clans. Their chiefs form the traditional hierarchy under the *ngwenyama* and *ndlovukazi*, who are of the largest clan, the Dlamini. The amalgamation brought together clans already living in the area that is now Eswatini. The Swazis constitute more than four-fifths of the population, the remainder being immigrants from Mozambique, South Africa, and the rest of the world¹⁰.

Zambia

The Government of Zambia does not recognize any specific groups as indigenous. Although shifting and amalgamating throughout the twentieth century, at least 73 linguistically similar, yet culturally specific, indigenous African ethno-linguistic groups have been identified in Zambia. The Zambian census grouped these many small groups into seven major ethnic categories: Bemba 3.3 million (33.6%), Nyanja 1.8 million (18.2%), Tonga 1.7 million (16.8%), North-Western peoples 1 million (10.3%), Lozi (Barotse) 770,000 (7.8%), Mambwe 580,000 (5.9%), Tumbuka 500,000 (5.1%), Lamba 165,000 (2%), Asians 11,900 and Europeans 6,200. (data: 2000 census)¹¹.

Zimbabwe

The Government of Zimbabwe does not recognise any specific groups as indigenous to the country, however two peoples self-identify as indigenous in Zimbabwe. These are the Tshwa (Tjwa, Tsoa, Cuaa) San, found in western Zimbabwe, and the Doma (Vadema, Tebomvura) of the Mbire district in north-central Zimbabwe. Population estimates indicate that there are 3,129 Tshwa and 1,540 Doma in Zimbabwe, representing approximately 0.031% of the country's population of 15,121,004 in 2022. The government uses the term "marginalised communities" when referring to such groups.¹²

⁹ <https://www.un.int/eswatini/swaziland/country-facts>

¹⁰ <https://www.britannica.com/place/Eswatini>

¹¹ <https://minorityrights.org/country/zambia/>

¹²

<https://www.iwgia.org/en/zimbabwe.html#:~:text=Indigenous%20Peoples%20in%20Zimbabwe,district%20in%20north%2Dcentral%20Zimbabwe.>

Many of the Tshwa and Doma live below the poverty line in Zimbabwe and together they comprise some of the poorest people in the country. Socio-economic data is limited for both groups, although a survey was done of the Doma in 2021. Both the Tshwa and Doma have histories of hunting and gathering, and their households now have diversified economies, including informal agricultural work for other groups, pastoralism, mining, small-scale business enterprises, and working in the tourism industry.

3 APPLICABLE POLICY AND LEGAL FRAMEWORK

This section provides a preliminary review of the applicable policy, legal and institutional framework related to the potential risks and benefits of the implementation of the proposed activities. It includes a brief review of applicable national legislation, policies and regulations, and the UNDP SES.

3.1 UNDP SOCIAL AND ENVIRONMENTAL STANDARDS

The programme covered by this ESMF will comply with UNDP's updated [Social and Environmental Standards \(SES\)](#), which came into effect on 1 January 2021. UNDP Safeguards are measures to protect or to avoid risks (do no harm), while promoting benefits (do good). This ESMF, which forms part of the UNDP safeguards requirements, provides guidance to assess and manage the risks linked to potential harm induced by project activities, while providing guidance to ensure that these activities will promote benefits to the beneficiaries with respect to its objectives.

The UNDP SES underpin UNDP's commitment to mainstream social and environmental sustainability in its programmes and projects to support sustainable development and are an integral component of UNDP's quality assurance and risk-management approach to programming. Further details on the UNDP SES are available on the UNDP website.

The UNDP SES have been applied during the development of the programme. The SES objectives are to:

- strengthen the social and environmental outcomes of programmes and projects
- avoid adverse impacts to people and the environment
- minimize, mitigate, and manage adverse impacts where avoidance is not possible
- strengthen UNDP and partner capacities for managing social and environmental risks
- ensure full and effective stakeholder engagement, including through a mechanism to respond to complaints from project-affected people.

UNDP uses its Social and Environmental Screening Procedure (SESP) to identify potential social and environmental risks and opportunities associated with all proposed projects. Each project is scrutinized as to its type, location, scale, sensitivity, and the magnitude of its potential social and environmental impacts. All project components are screened, including planning support, policy advice and capacity-building, as well as site-specific, physical interventions. Activities that will be completed under project co-financing are also included in the scope of the assessment.

UNDP's standards are underpinned by an Accountability Mechanism with two key functions:

- A [Stakeholder Response Mechanism](#) (SRM) that ensures individuals, peoples, and communities affected by UNDP projects have access to appropriate procedures for hearing and addressing project-related grievances; and
- A [Compliance Review](#) process that can investigate claims that UNDP is not in compliance with UNDP's social and environmental policies.

Through the AF Accreditation Process, the SES are acknowledged to be consistent with the Adaptation Fund's Environment and Social Policy (see section 3.2 below). The UNDP SES also require UNDP not to support activities that do not comply with national law and obligations under international law, whichever is the higher standard (hereinafter "Applicable Law"). UNDP programmes and projects, therefore, must always comply with the beneficiary countries' national law (see section 0 below). The supported actions will therefore have to meet not only UNDP SES and Adaptation Funds Environment and Social Policy but also any additional requirements stipulated in the national law.

3.2 ADAPTATION FUND ENVIRONMENTAL AND SOCIAL POLICY

The Adaptation Fund established in March 2016 its own Environmental and Social Policy to ensure that the Fund does not support projects/programmes that unnecessarily harm the environment, public health or vulnerable communities. The Policy is built on 15 principles and provides adequate opportunities for the informed participation of all stakeholders in the formulation and implementation of projects/programmes supported by the Fund.

As part of the implementing entities' responsibilities for the project/programme, the Fund requires the implementing entities to (i) have an environmental and social management system that ensures environmental and social risks are identified and assessed at the earliest possible stage of project/programme design, (ii) adopt measures to avoid or where avoidance is impossible to minimize or mitigate those risks during implementation, and (iii) monitor and report on the status of those measures during and at the end of implementation. These requirements are fully consistent with the UNDP Social and Environmental Standards. Table 1 outlines the consistency of the Adaptation Fund Environmental and Social Principles with the specific requirements stipulated by the UNDP's Social and Environmental Standards.

Table 1: Analysis of the consistency of the Adaptation Fund’s environmental and social principles and UNDP’s Social and Environmental Standards and applicability to the Programme

Adaptation Fund Environmental and Social Principles	UNDP Social and Environmental Standards (relevant provisions only)	Applicability to the Programme
<p>Compliance with the Law: Projects/programmes supported by the Fund shall be in compliance with all applicable domestic and international law.</p>	<p>See the UNDP SES Accountability Principle 4, item 30 states that 'UNDP does not support activities that do not comply with national law and obligations under international law, whichever is the higher standard (hereinafter "Applicable Law").</p>	<p>There is a risk that the grant-funded initiatives do not comply with applicable domestic and international laws, including, but not limited to, labour conditions, planning permission, environmental permits, permits for water extraction.</p> <p>Identification of applicable laws and treaties will be undertaken as part of country-level screening, assessment and management.</p>
<p>Access and Equity: Projects/programmes supported by the Fund shall provide fair and equitable access to benefits in a manner that is inclusive and does not impede access to basic health services, clean water and sanitation, energy, education, housing, safe and decent working conditions, and land rights. Projects/programmes should not exacerbate existing inequities, particularly with respect to marginalized or vulnerable groups.</p>	<p>See the UNDP SES Human Rights Principle, paragraph 14 and the Social and Environmental Screening questions related to:</p> <ul style="list-style-type: none"> • P1.6 Risk of restricting access to resources or basic services. 	<p>There is a risk that the Programme does not provide fair and equitable access to benefits, particularly with respect to vulnerable groups and local communities in the three catchments.</p> <p>Programme will be community-led and developed in a participatory framework. Knowledge platforms will provide access to information for stakeholders. Financial instruments will be developed to enable access to funds for stakeholders who might otherwise not have access.</p>
<p>Marginalized and Vulnerable Groups: Projects/programmes supported by the Fund shall avoid imposing any disproportionate adverse impacts on marginalized and vulnerable groups, including children, women and girls, the elderly, indigenous people, tribal groups, displaced people, refugees, people living with disabilities, and people living with HIV/AIDS. In screening any proposed project/programme, the implementing entities shall assess and consider particular impacts on marginalized and vulnerable groups.</p>	<p>See the UNDP SES Human Rights Principle, paragraph 16 and the Social and Environmental Screening questions related to:</p> <ul style="list-style-type: none"> • P1.5 Risk of inequitable or discriminatory impacts on affected populations. 	<p>The participation of marginalized groups may not adequately be considered or supported during the design and implementation of CIPs or grant initiatives.</p>
<p>Human Rights: Projects/programmes supported by the Fund shall respect and, where applicable, promote international human rights.</p>	<p>See the UNDP SES Human Rights Principle, paragraph 13 and the Social and Environmental Screening questions related to:</p> <ul style="list-style-type: none"> • P1.4 Risk of adverse impacts on civil, political, economic, social or cultural rights. 	<p>As per the UNDP SES and AF ESP, this principle always applies.</p>
<p>Gender Equality and Women’s Empowerment: Projects/programmes supported by the Fund shall be designed and implemented in such a way that both women</p>	<p>See the UNDP SES Gender Equality and Women’s Empowerment Principle, paragraphs 18-20 and the Social and Environmental Screening questions related to:</p>	<p>The programme approach, design and activities might not fully reflect views, priorities and constraints of women and girls and might not ensure equitable opportunities for their</p>

Adaptation Fund Environmental and Social Principles	UNDP Social and Environmental Standards (relevant provisions only)	Applicability to the Programme
<p>and men (a) have equal opportunities to participate as per the Fund gender policy (refer to Annex 4 for details); (b) receive comparable social and economic benefits; and (c) do not suffer disproportionate adverse effects during the development process.</p>	<ul style="list-style-type: none"> • P2.9 Risk of adverse impacts on gender equality, • P2.10 Risk of discrimination against women, • and • P2.11 risks of limiting the women’s access to natural resources. 	<p>involvement in implementation and accessing the programme benefits.</p> <p>Country-specific Gender Analysis and Action Plans will be prepared for each country/catchment.</p>
<p>Core Labour Rights: Projects/programmes supported by the Fund shall meet the core labour standards as identified by the International Labor Organization.</p>	<p>SES Standard 7, paragraphs 5-12, 20-24 and the Social and Environmental Screening questions related to:</p> <ul style="list-style-type: none"> • S7.1 Risks of substandard labour & working conditions, • S7.2 Risks to freedom of workers association and collective bargaining, • S7.3 Child labour risks, • S7.4 Forced labour risks (incl. in supply chains), • S7.5 Risks of discriminatory working conditions, • S7.6 Occupational health and safety risks. 	<p>The programme may support activities where working conditions might not meet national labour laws and international commitments.</p> <p>Where required, Labour Management Procedures will be developed.</p>
<p>Indigenous Peoples: The Fund shall not support projects/programmes that are inconsistent with the rights and responsibilities set forth in the UN Declaration on the Rights of Indigenous Peoples and other applicable international instruments relating to indigenous peoples.</p>	<p>Entire See the UNDP SES Standard 6 and the Social and Environmental Screening questions related to:</p> <ul style="list-style-type: none"> • S6.1 Risks associated with activities taking place where indigenous peoples are present • S6.2 Risks associated with activities taking place on lands, territories claimed by indigenous peoples • S6.3 Risks to rights, lands, territories natural resources and traditional livelihoods of indigenous peoples 	<p>Indigenous Peoples might be excluded from fully participating in decisions that may affect them; and there may be grievances or objections arising from potentially affected stakeholders.</p> <p>Screening and further stakeholder analysis for each country will confirm whether Indigenous Peoples are present in the catchment. Where required, Indigenous Peoples Planning Frameworks/Plans (or locally equivalent) will be developed.</p>

Adaptation Fund Environmental and Social Principles	UNDP Social and Environmental Standards (relevant provisions only)	Applicability to the Programme
	<ul style="list-style-type: none"> • S6.4 Risk that activities will take place without meaningful, effective informed participation of indigenous peoples • S.6.5 Risk of utilizing/developing indigenous peoples’ resources without agreement and/or agreed benefit sharing • S6.6 Risk of forced eviction or physical/economic displacement of indigenous peoples • S6.7 Impacts on development priorities of indigenous peoples • S6.8 Risks to physical and cultural survival of indigenous peoples • S6.9 Risks of impacts on cultural heritage of indigenous peoples 	
<p>Involuntary Resettlement: Projects/programmes supported by the Fund shall be designed and implemented in a way that avoids or minimizes the need for involuntary resettlement. When limited involuntary resettlement is unavoidable, due process should be observed so that displaced persons shall be informed of their rights, consulted on their options, and offered technically, economically, and socially feasible resettlement alternatives or fair and adequate compensation.</p>	<p>See the UNDP SES Standard 5 objective and its paragraphs 1,3,4 and the Social and Environmental Screening questions related to:</p> <ul style="list-style-type: none"> • S5.1 Physical displacement risks • S5.2 Economic displacement risks • S5.3 Risk of forced evictions • S5.4 Risks of impacts on community-based rights to land, territories or resources 	<p>The development of CIPs might lead to restrictions on the access and use of natural resources.</p>
<p>Protection of Natural Habitats: The Fund shall not support projects/programmes that would involve unjustified conversion or degradation of critical natural habitats, including those that are (a) legally protected; (b) officially proposed for protection; (c) recognized by authoritative sources for their high conservation value, including as critical habitat; or (d) recognized as protected by traditional or indigenous local communities.</p>	<p>See the UNDP SES Standard 1, paragraph 13 and the Social and Environmental Screening questions related to:</p> <ul style="list-style-type: none"> • S1.2 Risks to critical habitats 	<p>Poorly designed or executed activities supported by the programme may affect natural habitats; may include harvesting of natural forests, plantation development, or reforestation; may be related to animal husbandry or harvesting of fish populations or other aquatic species.</p>
<p>Conservation of Biological Diversity: Projects/programmes supported by the Fund shall be designed and implemented in a way that avoids any significant or unjustified reduction or</p>	<p>SES Standard 1, paragraph 13 and the Social and Environmental Screening questions related to:</p> <ul style="list-style-type: none"> • S1.4 Risks to endangered species 	<p>Poorly designed or executed activities supported by the programme may affect biodiversity sensitive areas.</p>

Adaptation Fund Environmental and Social Principles	UNDP Social and Environmental Standards (relevant provisions only)	Applicability to the Programme
loss of biological diversity or the introduction of known invasive species.		
Climate Change: Projects/programmes supported by the Fund shall not result in any significant or unjustified increase in greenhouse gas emissions or other drivers of climate change.	SES Standard 2, paragraph 9 and the Social and Environmental Screening questions related to: <ul style="list-style-type: none"> • S2.4 risks of increased GHG emissions 	The programme is not expected to result in any significant or unjustified increase in greenhouse gas emissions or other drivers of climate change, due to nature and characteristics of expected grant-funded activities that do not generate any direct emission of carbon dioxide gas, methane and nitrous oxide, halocarbons, aerosols or ozone.
Pollution Prevention and Resource Efficiency: Projects/programmes supported by the Fund shall be designed and implemented in a way that meets applicable international standards for maximizing energy efficiency and minimizing material resource use, the production of wastes, and the release of pollutants.	SES Standard 8, paragraph 4 and paragraphs 7-9 and the Social and Environmental Screening questions related to: <ul style="list-style-type: none"> • S8.1 risks of pollutants release • S8.2 risks of inadequate waste management 	Some interventions might involve agrochemicals which may result in the release of pollutants to the environment. Screening of activities at country-level will identify activities that could have pollution risks. ESMPs will be prepared for each country to manage environmental and social risks.
Public Health: Projects/programmes supported by the Fund shall be designed and implemented in a way that avoids potentially significant negative impacts on public health.	See the UNDP SES Standard 3, paragraphs 2,3,6, and 7 and the Social and Environmental Screening questions related to: <ul style="list-style-type: none"> • S3.1 construction-related risks • S3.2 Emissions, noise, traffic, hazards and effluent risks • S3.3 safety risks due to failure of project structural elements • S3.4 risks of water/vector-borne diseases 	Some interventions might involve the use of agrochemicals, which may result in the release of pollutants to the environment, negatively impacting workers' health. Capacity building and promotion of best practice will minimise risk. Labour laws will be adhered to. Stakeholder engagement and community-led catchment management plans will raise awareness of potential risks. ESMPs will outline safety requirements.
Physical and Cultural Heritage: Projects/programmes supported by the Fund shall be designed and implemented in a way that avoids the alteration, damage, or removal of any physical cultural resources, cultural sites, and sites with unique natural values recognized as such at the community, national or international level. Projects/programmes should also not permanently interfere with existing access and use of such physical and cultural resources.	See the UNDP SES Standard 4, paragraphs 1, 2, and 14 and the Social and Environmental Screening questions related to: <ul style="list-style-type: none"> • S4.1 risks to cultural heritage sites • S4.2. risks of unknown archaeological heritage damage • S4.3 risks to tangible and intangible forms of cultural heritage 	Stakeholder engagement in developing the community led catchment management plans and catchment activities will enable unacceptable cultural heritage impacts to be avoided.
Lands and Soil Conservation: Projects/programmes supported by the Fund shall be designed and implemented in	See the UNDP SES Standard 1, paragraph 21 and the Social and Environmental Screening questions related to:	Mitigation measures to avoid soil loss and land degradation as needed to be included in the catchment-specific ESMPs.

Adaptation Fund Environmental and Social Principles	UNDP Social and Environmental Standards (relevant provisions only)	Applicability to the Programme
a way that promotes soil conservation and avoids degradation or conversion of productive lands or land that provides valuable ecosystem services.	<ul style="list-style-type: none"> • S1.7 risks of soil degradation 	

As required by the Adaptation Fund Environmental and Social Policy, the above requirements will be fully respected within the project and will guide project design, implementation, and monitoring of any identified environmental and social risks.

3.3 APPLICABLE COUNTRY LAW

3.3.1 Relevant International Treaties and Conventions

All three countries are signatory to several international treaties and conventions as shown in Table 2.

Table 2: International treaties and conventions

Agreement/Treaty/Convention	Eswatini	Zambia	Zimbabwe
1945 Constitution Of The Food And Agriculture Organization Of The United Nations			✓
1949 Convention on Road Traffic			✓
1949 International Convention For The Permanent Control Of Outbreak Areas Of The Red Locust			✓
1951 International Plant Protection Convention		✓	✓
1954 Phytosanitary Convention For Africa South Of The Sahara			✓
1961 International Agreement For The Creation Of An International Office For Dealing With Contagious Diseases Of Animals			✓
1968 African Convention On The Conservation Of Nature And Natural Resources	✓	✓	
1971 Convention on Wetlands of International Importance especially as Waterfowl Habitat	✓	✓	✓
1972 Convention Concerning the Protection of the World Cultural and Natural Heritage	✓	✓	✓
1973 Convention On International Trade In Endangered Species Of Wild Fauna And Flora	✓	✓	✓
1977 Convention concerning the Protection of Workers against Occupational Hazards in the Working Environment due to Air Pollution, Noise and Vibration		✓	
1979 Convention On The Conservation Of Migratory Species Of Wild Animals	✓		✓
1984 Third ACP-CEE Convention			✓
1985 Vienna Convention for the Protection of the Ozone Layer		✓	✓
1986 Agreement relative to the establishment of the Limpopo Basin Permanent Technical Committee			✓
1987 The Montreal Protocol on Substances that deplete the Ozone Layer		✓	✓
1987 Agreement On The Action Plan For The Environmentally Sound Management Of The Common Zambezi River System		✓	✓
1989 Convention On The Control Of Transboundary Movements Of Hazardous Wastes And Their Disposal		✓	✓
1989 Fourth ACP-EEC Convention			✓
1990 Convention concerning Safety in the use of Chemicals at Work			✓
1991 Convention On The Ban Of The Import Into Africa And The Control Of Transboundary Movement And Management Of Hazardous Wastes Within Africa		✓	✓
1991 Agreement For The Establishment Of Southern African Centre For Ivory Marketing			✓
1992 United Nations Framework Convention on Climate Change		✓	✓

SA LLA Programme Environmental and Social Management Framework
Adaptation Fund

1992 Convention on Biological Diversity	✓	✓	✓
1992 Treaty Of The Southern African Development Community	✓		
1993 Convention Concerning The Prevention Of Major Industrial Accidents			✓
1994 World Trade Organization Agreement on the Application of Sanitary and Phytosanitary Measures			✓
1994 United Nations Convention to Combat Desertification in those Countries Experiencing Serious Drought and/or Desertification particularly in Africa	✓	✓	✓
1994 Lusaka Agreement on Cooperative Enforcement Operations Directed at Illegal Trade In Wild Fauna And Flora	✓	✓	
1995 Agreement on the Conservation of African-Eurasian Migratory Waterbirds	✓		✓
1995 Protocol on Shared Watercourse Systems to The Treaty of the Southern African Development Community	✓	✓	✓
1996 Protocol on Energy to the Treaty of the Southern African Development Community		✓	✓
1997 International Plant Protection Convention	✓		✓
1997 United Nations Framework Convention on Climate Change (UNFCCC)	✓	✓	
1998 Convention On The Prior Informed Consent Procedure For Certain Hazardous Chemicals And Pesticides In International Trade		✓	✓
1999 Protocol On Wildlife Conservation And Law Enforcement To The Treaty Of The Southern African Development Community		✓	✓
2000 Cartagena Protocol on Biosafety on the Convention on Biological Diversity	✓	✓	✓
2001 Convention of the African Energy Commission			✓
2001 International Treaty on Plant Genetic Resources for Food and Agriculture	✓	✓	✓
2001 Stockholm Convention on Persistent Organic Pollutants		✓	✓
2002 Protocol On Forestry To The Treaty Of The Southern African Development Community	✓	✓	✓
2002 Treaty on the establishment of the Great Limpopo Transfrontier Park			✓
2002 Tripartite Interim Agreement Between The Republic Of Mozambique And The Republic Of South Africa And The Kingdom Of Swaziland For Cooperation On The Protection And Sustainable Utilization Of The Water Resources Of The Incomati And Maputo Watercourses	✓		
2003 World Health Organization Framework Convention On Tobacco Control		✓	✓
2003 African Convention On The Conservation Of Nature And Natural Resources	✓	✓	✓
2003 Agreement on the Establishment of the Limpopo Watercourse Commission			✓
2003 Convention on the Sustainable Management of Lake Tanganyika		✓	
2004 Agreement on the Establishment of the Zambezi Watercourse Commission			✓
2009 Statute of the International Renewable Energy Agency (IRENA)			✓
2010 Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization to the Convention on Biological Diversity	✓	✓	

2010 Agreement between the Government of the Republic of South Africa and the Government of the Kingdom of Swaziland on water supply across the border between South Africa and Swaziland	✓		
2012 Agreement For The Establishment Of The African Risk Capacity (ARC) Agency			✓
2013 Minamata Convention on Mercury		✓	✓
2015 Paris Agreement under the United Nations Framework Convention on Climate Change	✓	✓	✓
2015 Sendai Framework for Disaster Risk Reduction	✓		

Zambia is a signatory to several international and regional agreements and conventions, which are related to the environment. They include: the CBD, , and the, are associated regulatory frameworks that have domesticated application through the Lusaka Agreement on Cooperative Enforcement Operations Directed at Illegal Trade in Wild Fauna and Flora, the Food and Agriculture Organization (FAO) Code of Conduct for Responsible Fisheries and Aquaculture, the SADC Protocol on Fisheries, the SADC Protocol on Shared Water Bodies, the SADC Treaty on Management of Watercourse Systems, and the Ramsar Convention (IAPRI 2015).

3.3.2 National Legislation

Each country has different environmental and social laws and regulations that are relevant to the programme. This section highlights some of the key legislative instruments relevant to each country.

In terms of specific technical standards, all interventions under this programme are expected to comply with policies, strategic plans, sector norms laws and sector strategies that provide the technical and regulatory backbone for climate resilience, agricultural adaptation, and ecosystem restoration. These policies, strategies, etc., will be applied and complied with in the development of the CIPs and the design of their constituent initiatives. Thorough discussions of applicable standards, laws, and strategies will take place during the identification of potential resilience-enhancing solutions in catchment workshops; these will be facilitated by the NC and relevant technical and policy experts, and conclusions will inform the design of the CIPs and grant initiatives.

Eswatini

Acts and Regulations

- Pesticides Management Act 2017
- Environmental Management Act 2002 (Act No. 5 of 2002).
- Environmental Audit, Assessment and Review Regulations, 2000 (L.N. No. 31 of 2000).
- Order by Ngwenyama in Libandla (No. 4 of 1954)
- Seeds and Plant Varieties Act, 2000.
- Game Act 1991
- Citrus Act, 1967 (No. 22 of 1967).
- Flora Protection Act, 2000.
- Game Control Act (No. 37 of 1947).
- Plant Control Act, 1981.
- Forest Preservation Act (No. 14 of 1910).
- Grass Fires Act (No. 44 of 1955).
- Fresh Water Fish Regulations.
- Protection of Freshwater Fish Act, 1937.
- Water Act 2003 (No. 7 of 2003).
- Ozone Depleting Substances Regulations, 2003 (L.N. No.14 of 2003).
- Water Pollution Control Regulations, 1999
- Waste Regulations, 2000 (L.N. No. 31 of 2000).

- Wild Birds Protection Act. 1914
- Land Survey Act 1961 (No. 46 of 1961).
- Land Survey Regulations 1961.
- Concessions Partitions Act 1907 (No. 28 of 1907).
- Purification of industrial water and effluent Regulation 1967
- Definition of Swazi Areas Act 1916 (No. 41 of 1916).
- Concessions Act 1904 (No. 3 of 1904).
- Safeguarding of Swazi areas Act 1910 (No. 39 of 1910).
- Town Planning Act 1961.
- Constitution of Swaziland. 2005
- Fencing Act 1904 (No. 7 of 1904).
- Crown Lands Act 1949 (No. 9 of 1949).
- Rating Act 1995 (No. 4 of 1995).
- Natural Resources Act 1951 (No. 71 of 1951).
- Private Forests Act 1951 (No. 3 of 1951).
- Urban Government Act 1969 (No. 8 of 1969).
- National Trust Commission Act, 1972.
- Mines and Minerals Act (No. 4 of 2011).
- Ozone Depleting Substances Regulations, 2003 (L.N. No.14 of 2003).
- Water Pollution Control Regulations, 1999
- Public Enterprises (Control and Monitoring) Act, 1989 (No. 8/1989).
- Biosafety Act, 2012 (No. 7 of 2012).
- Disaster Management Act, 2006 (No. 1 of 2006).

Plans and Policies

- Eswatini National Drought Plan 2020
- National Water Policy, 2018
- National Youth Policy, 2020
- National Development Plan, 2023/24 – 2027/2028
- Swaziland National Climate Change Policy 2016.
- Swaziland Poverty Reduction Strategy and Action Plan (PRSAP) 2007.
- Swaziland National Biodiversity Strategy and Action Plan.
- Swaziland's Second National Biodiversity Strategy and Action Plan. 2016
- Swaziland National Irrigation Policy. 2005
- National Food Security Policy for Swaziland. 2005
- National Energy Policy 2003.
- Livestock Development Policy
- National Youth Policy 2020.
- Swaziland's Intended Nationally Determined Contribution (INDC). 2015
- National Social Development Policy 2010.

Comprehensive Agricultural Sector Policy 2005.Zambia

- Zambian Constitution 1996
- Environmental Management Act 2011:
- Environmental Protection and Pollution Control, (Environmental Impact Assessment) Regulations 1997
- Lands Acquisition Act 1994
- Bio Safety Act 2007
- Fisheries Act 2011
- Forests Act 1999

- Occupational Health and Safety Act 2010
- The National Heritage Conservation Commission Act 1986
- Public Health Act 1930
- Water Resources Management Act 2011
- Zambia Wildlife Act 1998
- Agricultural Credits Act 2010
- Agriculture (Fertilisers and Feed) Act 1970
- Agricultural Lands Act 1960
- The Local Government Act 1991
- Dairy Industry Development Act 2010
- Noxious Weeds Act
- Plant Pests and Diseases Act 1959
- Plant Variety and Seeds Act 1968
- Prevention of Cruelty to Animals Act 1921.
- The National Policy on Environment

Zimbabwe

- Agricultural Finance Act 1971
- Communal Land Act 2002
- Co-operative Societies Act 1990
- Constitution of Zimbabwe 2013.
- Environmental Management Act 2002 -
- Farmers Licensing and Levy Act 1971 -
- Fencing Act 1976 -.
- Fertilizers, Farm Feeds and Remedies Act 1952 -
- Food and Food Standards Act 1971 -
- Hazardous Substances and Articles (Protective Clothing; Pesticides) Regulations, 1985 -
- Labour Relations Act 1984 -.
- Meteorological Services Act 2003 -.
- Noxious Weeds Act 1996.
- Pesticides Regulations 2012 -
- Plant Breeders Rights Act 2002 -
- Plant Pests and Diseases Act 1989 -
- Prevention of Discrimination Act 1998.
- Public Health Act 2002.
- Rural District Councils Act 1988
- Rural Land Act 2002
- Rural Land (Farm Sizes) Regulations, 1999
- Rural Land Occupiers (Protection from Eviction) Act, 2001
- Seeds Act 1965
- Traditional Leaders Act 1998
- Urban Councils Act 1995
- Water Act 1998
- Water (Combined Irrigation Schemes) Regulations 1962
- Zimbabwe National Water Authority Act 1998

3.3.3 Comparison and Gaps in Policy Framework

A high-level assessment of the legal and policy frameworks that apply to the project has been undertaken. Table 3 provides a summary of the UNDP standards that are triggered and identifies the

relevant legal/policy instruments in each of the three countries. Gaps between UNDP's standards and the countries legal frameworks will be further defined and confirmed in the country-specific ESMPs.

Table 3 UNDP SES triggered and national legislation

	Triggered	UNDP SES Requirements relevant to programme	Policies, Legislation, Regulations that are relevant to meeting UNDP SES requirements		
			Eswatini	Zambia	Zimbabwe
Programming Principles					
Overarching Principle: Leave No One Behind	Yes	<ul style="list-style-type: none"> Follow the rights-based approach to development, including the application of a gender perspective. Identify and include poor, vulnerable, excluded, and marginalised groups 		<p>Zambian Constitution 1996</p> <p>Persons with Disabilities Act 2012: promote the participation of persons with disabilities with equal opportunities in the civil, political, economic, social and cultural spheres; provide for mainstreaming of disability issues as an integral part of national policies and strategies of sustainable development; incorporate a gender perspective in the promotion of the full enjoyment of human rights and fundamental freedoms by persons with disabilities; ensure accessibility by persons with disabilities to the physical, social, economic and cultural environment, and to health, education, information, communication and technology.</p>	
Human Rights	Yes	<ul style="list-style-type: none"> Further the realization of human rights as laid down in the Universal Declaration of 	<p>Constitution of the Kingdom of Swaziland 2005: Section 14 – Fundamental right and freedoms of the individual; Section 15 –</p>	<p>Zambian Constitution 1996: “...ensure that the State shall respect the rights and dignity of the human</p>	<p>Constitution of Zimbabwe Amendment Act 2013 - Chapter 4 Declaration of rights. The State must take all practical measures to protect</p>

		<p>Human Rights and other human rights instruments.</p> <ul style="list-style-type: none"> Uphold the principles of accountability and the rule of law, participation and inclusion, and equality and non-discrimination Refrain from providing support for activities that may contribute to violations of a State’s human rights obligations and the core international human rights treaties 	<p>Protection of right to life; Section 16 – Protection of right to personal liberty; Section 18 Protection from inhuman or degrading treatment; Section 20 Equality before the law; Section 23 Protection of freedom of conscience or religion; Section 30 Rights of persons with disabilities; Race Relations Act 1962 – protects against racial discrimination.</p> <p>Refugees Act 2017: provides for recognition, protection, assistance and control of refugees</p>	<p>family, uphold the laws of the State...”</p> <p>Anti-Human Trafficking Act 2008: for the prohibition, prevention and prosecution of human trafficking; provide for the filing of and dealing with matters related to human trafficking.</p> <p>Human Rights Commission Act 1996</p> <p>Refugees Act 2017: to establish the office of the Commissioner for Refugees and provide for its functions; provide for the recognition, protection and control of refugees; provide for the rights and responsibilities of refugees; establish the Refugees Fund; domesticate the United Nations Convention relating to the Status of Refugees, 1951 and its Protocol of 1967, and the Organisation of African Unity Convention Governing the Specific Aspects of Refugees Problems in Africa, 1969.</p> <p>Zambian legislation aligns with SES</p>	<p>the fundamental rights and freedoms and to promote their full realisation and fulfilment.</p> <p><i>Disabled Persons Act 1992</i> - provision for the welfare and rehabilitation of disabled persons.</p> <p><i>Prevention of Discrimination Act 1999</i> - to prohibit discrimination on the ground of race, tribe, place of origin, national or ethnic origin, political opinions, colour, creed or gender and to provide a remedy for persons injured by such discrimination; to prohibit the promotion of such discrimination</p> <p><i>Refugees Act 1983</i> - to make provision for refugees</p> <p><i>Zimbabwe Human Rights Commission Act 2012</i> - for the procedure of the Zimbabwe Human Rights Commission.</p>
Gender Equality and Women’s Empowerment	Yes	<ul style="list-style-type: none"> Promotion of gender equality and the empowerment of women Reduce gender inequalities in access to and control over 	<p><i>Constitution of the Kingdom of Swaziland 2005:</i> Section 27 Rights and protection of the family; Section 28 Rights and freedoms of women.</p>	<p>Zambian Constitution: Constitution guarantees equality between men and women as it recognizes that every person in Zambia is entitled to all fundamental rights and freedoms as contained in Part III of the</p>	<p><i>Constitution of Zimbabwe Amendment Act 2013</i> – Section 17 Gender Balance</p> <p><i>Customary Marriages Act 1951</i> – an Act to provide for the solemnization</p>

		<p>resources and the benefits of development</p> <ul style="list-style-type: none"> • Ensure that both women and men are able to participate meaningfully and equitably • Ensure that projects do not discriminate against women and girls • Promote design and implementation of gender responsive projects • Prevention and elimination of sexual exploitation, abuse and harassment (SEAH) 	<p><i>Children’s Protection and Welfare Act 2012</i></p> <p><i>Girl’s and Women’s Protection Act 1920</i></p> <p><i>People Trafficking and People Smuggling (Prohibition) Act 2009</i></p> <p><i>National Gender Policy 2010</i></p>	<p>Constitution. Article 8 of the Constitution provides for national values and principles which include non-discrimination.</p> <p>Anti-Gender Based Violence Act 2011: to provide for the protection of victims of gender- based violence; constitute the Anti-Gender based Violence Committee; establish the Anti-Gender based Violence Fund; and provide for matters connected with, or incidental to, the foregoing.</p> <p>Gender Equity and Equality Act 2016: to establish the Gender Equity and Equality Commission and provide for its functions and powers; provide for the taking of measures and making of strategic decisions in all spheres of life in order to ensure gender equity, equality and integration of both sexes in society; promote gender equity and equality as a cross cutting issue in all spheres of life and stimulate productive resources and development opportunities for both sexes; prohibit harassment, victimisation and harmful social, cultural and religious practices; provide for public awareness and training on issues of gender equity and equality.</p>	<p>of customary marriages; to regulate certain other incidents in connection with such marriages and to prevent the pledging of children. Pledging of girls and women in marriage prohibited</p> <p><i>Customary Law Act</i> – subject to the provisions of Customary Marriages Act, Polygamous marriages are recognized under the Customary Law Act</p> <p><i>Domestic Violence Act 2007</i> – for the protection and relieve of victims of domestic violence.</p> <p><i>Trafficking in Persons Act 2017</i> - To provide for the prohibition, prevention and prosecution of the crime of trafficking in persons and the protection of victims of trafficking; to establish an Anti-Trafficking Inter-Ministerial Committee and provide for its composition and functions; to establish centres for victims of trafficking in persons.</p> <p><i>Zimbabwe Gender Commission Act 2016</i> - provides for the establishment of the Zimbabwe Gender Commission to perform specified functions, including the investigation of and making of</p>
--	--	---	--	---	---

				<p>Zambia's Climate Change Gender Action Plan (CCGAP) 2018: The CCGAP is an intersectional document aiming at advancing women empowerment and enabling gender equality while setting climate change response plans. It focuses in priority on sustainable agriculture and food security; Health; Forests, biodiversity and wildlife; Water security, Disaster risk reduction, preparedness and resilience; Infrastructure; Energy; and Tourism. It promotes policy reform and synergy; education and awareness-raising; academic research, sex-disaggregated data, and information dissemination— both for public awareness and to inform policy; and capacity building and training.</p> <p>National Lands Policy 2021 – provides for affirmative action</p>	<p>recommendations on the removal of barriers to the attainment of full gender equality.</p>
Sustainability and Resilience	Yes	<ul style="list-style-type: none"> Identify opportunities to advance sustainability and resiliency dimensions of development initiatives and to strengthen environmental management and protection Use and promote precautionary approach 	<p>Constitution of the Kingdom of Swaziland 2005</p> <p>Environmental Management Act 2002</p>	<p>Zambian Constitution 1996 – “...ensure that the State shall ...conduct the affairs of the State in such a manner as to preserve, develop, and utilize its resources for this and future generations.”</p> <p>Environmental Management Act 2011: The EMA provides for the sustainable management of natural resources and protection of the</p>	<p><i>Environmental Management Act 2002 –</i> provides for the sustainable management of natural resources.</p> <p><i>Regional Town and Country Planning Act 1976 - AN ACT</i> to provide for the planning of regions, districts and local areas with the object of conserving and improving the physical environment and in particular promoting health, safety, order, amenity, convenience and</p>

				<p>environment, and the prevention and control of pollution.</p> <p>The National Policy on Environment: The National Policy on Environment is designed to create a comprehensive framework for effective natural resource utilization and environmental conservation. The Policy is also sensitive to the demands of sustainable development</p> <p>Forest Act 2015: delineating the establishment and declaration of various forest categories, emphasising the involvement of local communities, authorities, traditional institutions, NGOs, and other stakeholders in sustainable forest management. This act also underscores the importance of conserving forests and trees for the sustainable management of forest ecosystems and biodiversity.</p> <p>The Environmental Protection and Pollution Control (Environmental Impact Assessment) Regulations SI No 28 1997: procedures and requirements for compulsory project briefs and environmental impact assessments. These regulations underscore the importance of evaluating and mitigating the</p>	<p>general welfare, as well as efficiency and economy in the process of development and the improvement of communications; to authorize the making of regional plans, master plans and local plans, whether urban or rural; to provide for the protection of urban and rural amenities and the preservation of buildings and trees and generally to regulate the appearance of the townscape and landscape; to provide for the acquisition of land; to provide for the control over development, including use, of land and buildings; to regulate the subdivision and the consolidation of pieces of land.</p>
--	--	--	--	--	---

				<p>environmental impact of projects, aligning with the broader goals of environmental sustainability and responsible corporate conduct.</p> <p>Banking and Financial Services (Green Loans) Guidelines: Government Gazette Notice No. 1349 of 2023, these guidelines outline the framework for financial institutions engaging in the issuance of Green Loans in Zambia. The primary objective of these guidelines is to promote sustainable development by facilitating the financing of projects that address and alleviate the adverse impacts of climate change, biodiversity loss, and land degradation.</p>	
--	--	--	--	--	--

Accountability	Yes	<ul style="list-style-type: none"> • Compliance with national law and obligations under international law, whichever is the higher standard • Enable active local community engagement and participation in decision-making, particularly those at risk of being left behind • Transparency through provision of timely, accessible and functional information regarding supported activities, including on potential environmental and social risks and impacts and management measures • Ensure stakeholders can communicate their concerns and have access to rights-compatible complaints redress processes and mechanisms • Effective monitoring 	<p>Constitution of the Kingdom of Swaziland 2005: Section 20 Equality before the law; Section 24 Protection of freedom of expression</p> <p>Environmental Management Act 2002: Part VIII Public Participation</p> <p>Prevention of Corruption Act 2006</p>	<p><i>Anti-Corruption Act:</i> to continue the existence of the Anti-Corruption Commission and provide for its powers and functions; provide for the prevention, detection, investigation, prosecution and punishment of corrupt practices and related offences based on the rule of law, integrity, transparency, accountability and management of public affairs and property; provide for the development, implementation and maintenance of coordinated anticorruption strategies through the promotion of public participation; provide for the protection of witnesses, experts, victims and other persons assisting the Commission; provide for nullification of corrupt transactions; provide for payment of compensation for damage arising out of corrupt activities; provide for the domestication of the United Nations Convention Against Corruption, the African Union Convention on Preventing and Combating Corruption, the Southern African Development Community Protocol Against Corruption and other regional and international instruments on corruption to which Zambia is a party.</p>	<p><i>Environmental Management Act 2002 ?</i></p> <p><i>Alienated Land (Information) Act</i> - to provide for the obtaining of information regarding the nature and extent of occupation or use of alienated land, being any land other than State land.</p> <p><i>Anti-Corruption Commission Act 2005</i> - for the establishment of the Anti-Corruption Commission in order to combat corruption.</p> <p><i>Freedom of Information Act 2020</i> - To additionally provide for the constitutional rights of expression, and freedom of the media; to provide further for the right of access to information held by entities in the interest of public accountability or for the exercise or protection of a right.</p> <p><i>Prevention of Corruption Act 1986</i> – for the prevention of corruption and the investigation of claims arising from dishonesty or corruption.</p>
----------------	-----	--	--	---	--

				<p><i>Money-Lenders Act 1938:</i> to make provision with respect to persons carrying on business as money-lenders.</p> <p><i>Public Interest Disclosure (Protection of Whistleblowers) Act 2010:</i> provides for the disclosure of conduct adverse to the public interest in the public and private sectors; provide for a framework within which public interest disclosures shall be independently and rigorously dealt with; provide for procedures in terms of which employees in both the private and the public sectors may disclose information regarding unlawful or irregular conduct by their employers or other employees in the employ of their employers; safeguard the rights, including employment rights, of persons who make public interest disclosures; provide a framework within which persons who make a public interest disclosure shall be protected;</p> <p><i>Securities Act 2016:</i> imposes disclosure obligations on publicly listed companies</p>	
Project Level Standards					

<p>Standard 1. Biodiversity Conservation and Sustainable Natural Resource Management</p>	<p>Yes</p>	<ul style="list-style-type: none"> • Precautionary approach to be applied • Risk identification and assessment: Identify and address direct and indirect impacts on natural resources, biodiversity, ecosystems and ecosystem services • Risk reduction measures follow a mitigation hierarchy that favours avoidance of potential adverse impacts over minimization, mitigation where adverse residual impacts remain, and, as a last resort, application of offset and compensation measures. • no adverse impacts on critical habitats • under no circumstances will species known to be invasive be introduced into new environments • Forests: project activities: <ul style="list-style-type: none"> ○ are consistent with the conservation of natural forests and biological diversity, ensuring that they are not used for the 	<p><i>Constitution of the Kingdom of Swaziland 2005: Chapter VII Land, Minerals, Water and Environment</i></p> <p><i>Environmental Management Act 2002: Part IV Integrated environmental management</i></p> <p><i>Forest Preservation Act 1910: 3. Protection of indigenous timber; 4. Cultivation of land – restricts clearing and use of land on or near indigenous or government timber; 6. Malicious or negligent burning</i></p> <p><i>Wild Birds Protection Act 1914: prohibits, with certain exceptions, the sale and exportation of the plumage and skins of wild birds and to provide for the protection of birds</i></p> <p><i>Wattle Bark Control Act 1960: controls the production, sale, grading and processing of wattle bark.</i></p> <p><i>Seeds and Plant Varieties Act 2000: provides for control, sale, importation and export of seeds and associated matters.</i></p>	<p><i>Environmental Management Act 2011:</i></p> <p><i>Fisheries Act 2011: promotes the sustainable development of fisheries and a precautionary approach in fisheries management, conservation, utilization and development; establish fisheries management areas and fisheries management committees; provide for the regulation of commercial fishing and aquaculture.</i></p> <p><i>Forests Act 1999: It provides for the participation of local communities, traditional institutions, non-governmental organisations and other stakeholders in sustainable forest management, the conservation and use of forests and trees for the sustainable management of forest ecosystems and biological diversity.</i></p> <p>If rare trees and other flora species specified in the Act are identified within the project area, they will be conserved and protected without being impacted in anyway.</p> <p><i>Water Resources Management Act 2011: provide for the management, development, conservation, protection and preservation of water</i></p>	<p><i>Constitution of Zimbabwe Amendment Act 2013 -</i></p> <p><i>Environmental Management Act 2002</i></p> <p><i>Plant Pests and Diseases Act 1989 - An Act to provide for the eradication and prevention of the spread of plant pests and diseases in Zimbabwe for the prevention of the introduction into Zimbabwe of plant pests and diseases.</i></p> <p><i>Bees Act 1974 – to provide for the control of disease in bees and the conservation of bees found in the wild and to regulate bee-keeping.</i></p> <p><i>Forest Act 1949 - to establish a commission for the administration, control and management of State forests, to provide for the transfer of certain assets belonging to the Government to the said Commission; to provide for the setting aside of State forests and for the protection of private forests, trees and forest produce; to establish a Mining Timber Permit Board and to control the cutting and taking of timber for mining purposes; to provide for the conservation of timber resources and the compulsory afforestation of private land; to regulate and control</i></p>
--	------------	--	--	---	---

		<p>conversion of natural forests;</p> <ul style="list-style-type: none"> ○ incentivize the protection and conservation of natural forests and their ecosystem services, and enhance other social and environmental benefits; ○ enhance the sustainable management of forests, including the application of independent, credible certification for commercial, industrial-scale timber harvesting; ○ maintain or enhance biodiversity and ecosystem functionality in areas where forest restoration is undertaken. ○ ensure that plantations are environmentally appropriate, socially beneficial and economically viable, and utilize native species wherever feasible. <ul style="list-style-type: none"> ● Use integrated water resources management approach to water resources 	<p><i>Safeguarding of Swazi Areas Act 1910</i></p> <p><i>Game Act 1991:</i> allows for declaration of game reserves</p> <p><i>Flora Protection Act 2000:</i> allows for establishment of flora reserves and protection of special habitats, species or groups of plants</p> <p><i>Game Control Act 1947</i></p> <p><i>Plant Control Act 1981:</i> makes provision for a wide range of measures for the protection of plants, plant reproduction material and timber against diseases and pests including noxious weeds, insects (including honeybees), alien animals and mushrooms.</p> <p><i>Grass Fires Act 1955</i></p> <p><i>Protection of Freshwater Fish Act 1937</i></p> <p><i>Water Act 2003:</i> for management and conservation of water resources, including groundwater</p> <p><i>Natural Resources Act 1951:</i> provides for the conservation and</p>	<p>resource and its ecosystems; provide for the equitable, reasonable and sustainable utilization of the water resource; ensure the right to draw or take water for domestic and non-commercial purposes, and that the poor and vulnerable members of the society have an adequate and sustainable source of water free from any charges.</p> <p><i>Zambia Wildlife Act 2015:</i> to provide for the winding up of the affairs of the Zambia Wildlife Authority; establish the Department of National Parks and Wildlife in the Ministry responsible for tourism; provide for the appointment of a Director and other officers responsible for National Parks and Wildlife; provide for the transfer of the functions of the Authority to the Ministry responsible for tourism, Department of National Parks and Wildlife and Director of National Parks and Wildlife; establish the Wildlife Management Licensing Committee; provide for the establishment, control and management of National Parks, bird and wildlife sanctuaries and for the conservation and enhancement of wildlife ecosystems, biological diversity and objects of aesthetic, prehistoric, historical,</p>	<p>trade in forest produce including the use of trade names and marks in connection with forest produce; to regulate and control the burning of vegetation.</p> <p><i>Parks and Wild Life Act 1975</i> - to establish a Parks and Wild Life Board; to confer functions and impose duties on the Board; to provide for the establishment of national parks, botanical reserves, botanical gardens, sanctuaries, safari areas and recreational parks; to make provision for the preservation, conservation, propagation or control of the wild life, fish and plants of Zimbabwe and the protection of her natural landscape and scenery; to confer privileges on owners or occupiers of alienated land as custodians of wild life, fish and plants; to give certain powers to intensive conservation area committees.</p> <p><i>Seeds Act 1971</i> - to provide for the registration of sellers of seed and seed testing laboratories; to regulate the importation, exportation and sale of seed; to provide for the testing, certification and inspection of seed.</p>
--	--	--	---	---	--

	<ul style="list-style-type: none"> • Avoid, and where avoidance is not possible, minimize adverse impacts on soils, their biodiversity, organic content, productivity, structure, water-retention capacity. • Sustainable management of living natural resources • When purchasing natural resource commodities, where possible, use primary suppliers that can demonstrate that they are not contributing to significant conversion or degradation of natural or critical habitats 	<p>improvement of natural resources</p> <p><i>National Trust Commission Act 1972</i>: includes proclamation and management of national parks</p> <p><i>Control of Tree Planting Act 1972</i>: provides for the control of the planting of certain trees grown for commercial purposes in specified areas</p>	<p>geological, archaeological and scientific interest in National Parks; provide for the promotion of opportunities for the equitable and sustainable use of the special qualities of public wildlife estates; provide for the establishment, control and co-management of Community Partnership Parks for the conservation and restoration of ecological structures for non-consumptive forms of recreation and environmental education; provide for the sustainable use of wildlife and the effective management of the wildlife habitat in Game Management Areas; enhance the benefits of Game Management Areas to local communities and wildlife; involve local communities in the management of Game Management Areas; provide for the development and implementation of management plans; provide for the regulation of game ranching; provide for the licensing of hunting and control of the processing, sale, import and export of wild animals and trophies; provide for the implementation of the Convention on International Trade in Endangered Species of Wild Fauna and Flora, the Convention on Wetlands of International Importance especially as Waterfowl</p>	<p><i>Water Act 2000</i> - to provide for the development and utilisation of the water resources of Zimbabwe; to provide for the establishment, powers and procedures of catchment councils and sub-catchment councils; to provide for the grant of permits for the use of water; to provide for the control of the use of water when water is in short supply; to provide for the acquisition of servitudes in respect of water; to provide for the protection of the environment and the prevention and control of water pollution; to provide for the approval of combined water schemes; to provide for matters relating to dam works.</p>
--	--	--	--	--

				<p>Habitat, the Convention on Biological Diversity, the Lusaka Agreement on Cooperative Enforcement Operations Directed at Illegal Trade in Wild Fauna and Flora and other international instruments to which Zambia is party; repeal the Zambia Wildlife Act, 1998;</p> <p><i>Noxious Weeds Act</i>: provides for the eradication of noxious weeds, the restriction of importation, distribution, conveyance or sale of any noxious weed or any part thereof or of any seed with which the seed of any particular noxious weeds has become mixed and such regulations may prescribe the powers and duties of officers in relation to the enforcement of such regulations.</p> <p>This Act is relevant as the project includes supply of seed.</p> <p><i>Plant Pests and Diseases Act 1959</i>: to provide for the eradication and prevention of the spread of plant pests and diseases, and for the prevention of the introduction of plant pests and diseases.</p> <p><i>Plant Variety and Seeds Act 1968</i>: regulates and controls production, sale and importation of seed for</p>	
--	--	--	--	--	--

				sowing and the export of seed. Provides for the testing and for minimum standards of germination and purity thereof, and further to provide for the certification of seed.	
Standard 2. Climate Change and Disaster Risks	Yes	<ul style="list-style-type: none"> Climate change and disaster risk analysis, planning and implementation – assess for climate change and disaster risks and their impacts to project activities and outputs as well as the possibility that project activities could increase exposure to such risks Minimize and avoid unwarranted increases in greenhouse gas emissions or other drivers of climate change from supported activities. 	<p>Ozone Depleting Substances Regulations 2003</p> <p>Environmental Management Act 2002: although greenhouse gases and climate change are not specifically mentioned</p> <p>Nationally Determined Contributions 2015</p>	<p><i>Disaster Management Act 2010</i>: to establish and provide for the maintenance and operation of a system for the anticipation, preparedness, prevention, coordination, mitigation and management of disaster situations and the organisation of relief and recovery from disasters; establish the National Disaster Management and Mitigation Unit and provide for its powers and functions; provide for the declaration of disasters; establish the National Disaster Relief Trust Fund; provide for the responsibilities and involvement of the members of the public in disaster management; and provide for matters connected with, or incidental to, the foregoing.</p> <p><i>Zambia National Policy on Climate Change 2016</i>: cross-sectoral policy enacted in 2016, whose overall objective is to provide a framework for coordinating climate change programmes in order to ensure climate resilient and low carbon development pathways for</p>	<p><i>Civil Protection Act 1989</i> – to provide for the operation of civil protection services in times of disaster</p>

				<p>sustainable development towards the attainment of Zambia's Vision 2030. The adaptation and disaster risk reduction efforts will include measures to: Strengthen the mechanism for identifying risks and hazards in order to facilitate planning and early warning; Strengthen surveillance and control of climate change related pests and diseases; Strengthen the resilience of infrastructure, ecosystems and promote innovation, knowledge and education; Promote use of financial instruments such as weather-indexed insurance, carbon instruments and catastrophic bonds to enhance resilience and cover climate related risks; Promote the adoption of appropriate Climate Smart Agricultural (CSA) technologies for different agro-ecological zones; Promote landscape based livelihood diversification; Promote monitoring and management of wildlife habitats; Establish and/or strengthen mechanisms for monitoring networks and information systems for improved utilization of climatic data and information; Promote climate change related public health plans and National Policy on Climate Change interventions; Promote the communities' ability to develop</p>	
--	--	--	--	--	--

				<p>physical and social infrastructure that are resilient to the adverse effects of climate change; and Promote the protection of water catchment areas, including the development of environmentally friendly infrastructure for bulk water transfer (waterways), storage, management and utilization of water resources.</p> <p><i>Zambia's National Health Policy 2012:</i> The seventh objective of this document is to strengthen capacity to respond to effects of climate change.</p>	
Standard 3. Community Health, Safety and Security	Yes	<ul style="list-style-type: none"> Protect communities from hazards caused and/or exacerbated by project activities (including flooding, landslides, contamination or other natural or human-made hazards), disease, and the accidental collapse or failure of project structural elements. Assess the risks to, and potential impacts on, the safety of affected communities during the design, construction, operation, and decommissioning of projects and establish preventive measures and plans to address 	<p>Occupational Safety and Health Act 2001</p> <p>Public Health Act 1969</p> <p>Road Traffic Act 2007</p> <p>Occupational Safety and Health Act 2001</p> <p>Factories, Machinery and Construction Works Act 1972</p>	<p><i>Public Health Act 1930:</i> an Act to provide for the prevention and suppression of diseases and generally to regulate all matters connected with public health</p> <p><i>Occupational Health and Safety Act 2010</i></p> <p>Factories Act 1967: Chapter 441 is aimed at protecting workers, factories, the communities and the environment from occupational hazards</p>	<p><i>Food and Food Standards Act 1971</i> - to provide for the sale, importation and manufacture for sale of food in a pure state; to prohibit the sale, importation and manufacture for sale of food which is falsely described; and to provide for the fixing of standards relating to food.</p> <p><i>Unlawful Organizations Act 1971</i> - to make provision, in the interests of defence, public safety or public order, for certain organizations to be unlawful organizations and for the circumstances in which organizations may be declared to be unlawful organizations.</p>

		<p>them in a manner commensurate with the identified risks and impacts.</p> <ul style="list-style-type: none"> • Avoid or minimize the potential for community exposure to health risks and diseases that could result from or be exacerbated by project activities. • Infrastructure design and safety to be in accordance with national legal requirements, good international practices, and any international obligations and standards. • For construction activities, ensure appropriate control of site access, use of appropriate personal protective equipment, safely designed work platforms, appropriate engineering and administrative controls, and safety barriers. Construction personnel will have appropriate qualifications and training. • Apply concept of universal access in the design and construction of facilities and services 			
--	--	--	--	--	--

		<ul style="list-style-type: none"> • Avoid, or where avoidance is not possible, minimize potential community exposure to hazardous materials and substances that may be utilized in or released by project activities • Be prepared for emergencies eg plans, training, equipment and resources. • Avoid, mitigate and manage the risks and potential adverse impacts on health and safety of communities arising from the influx of project-related workers • Avoid, or where avoidance is not possible, minimize such adverse impacts and implement appropriate mitigation measures that aim to maintain the value and functionality of ecosystem services of relevance to local communities. 			
Standard 4. Cultural Heritage	Yes	<ul style="list-style-type: none"> • Avoid adverse impacts, comply with national laws and international obligations. If avoidance not possible, mitigate impacts. 		<i>National Heritage Conservation Commission Act 1989: provides for the conservation of ancient, cultural and natural heritage, relics and other objects of aesthetic, historical, pre-historical, archaeological or scientific interest; to provide for the</i>	

		<ul style="list-style-type: none"> • Develop CH Management Plan to mitigate significant adverse impacts • Use independent experts to assess adverse impacts and stakeholder consultations • Protection of Cultural Heritage from damage, inappropriate alteration, disruption, removal or misuse • Consultation with stakeholders regarding Cultural Heritage • Chance Finds procedures • If utilize cultural heritage, (i) inform communities of rights, (ii) conduct good faith negotiations with documented outcome, (iii) provide for fair and equitable benefit sharing 		<p>regulation of archaeological excavations and export of relics;</p>	
<p>Standard 5. Displacement and Resettlement</p>		<ul style="list-style-type: none"> • To anticipate and avoid, or, when avoidance is not possible, minimize adverse social and economic impacts from land or resource acquisition or restrictions on land or resource use 	<p><i>Constitution of the Kingdom of Swaziland 2005: Section 19</i> Protection from deprivation of property</p> <p><i>Acquisition of Property Act 1961:</i> includes ability to compulsorily acquire.</p>		<p><i>Land Acquisition Act 1992</i> - to empower the President and other authorities to acquire land and other immovable property compulsorily in certain circumstances; to make special provision for the compensation payable for agricultural land required for resettlement purposes; to provide for the establishment of the Derelict Land Board; to provide for the</p>

		<ul style="list-style-type: none"> Where displacement is unavoidable, management plan required 			<p>declaration and acquisition of derelict land. Includes clauses for the payment of compensation</p>
Standard 6. Indigenous Peoples		<ul style="list-style-type: none"> Avoid adverse impacts, comply with national laws and international obligations. If avoidance not possible, mitigate impacts. Develop CH Management Plan to mitigate significant adverse impacts Use independent experts to assess adverse impacts and stakeholder consultations Incorporate chance find procedures Do not remove cultural heritage unless conditions met If utilize cultural heritage, (i) inform communities of rights, (ii) conduct good faith negotiations with documented outcome, (iii) provide for fair and equitable benefit sharing 	<p><i>Constitution of the Kingdom of Swaziland 2005</i></p> <p><i>Safeguarding of Swazi Areas Act 1910</i></p> <p><i>Acquisition of Property Act 1961:</i> includes ability to compulsorily acquire land but requires compensation and provides for legal recourse.</p>	<p><i>Protection of Traditional Knowledge, Genetic Resources and Expressions of Folklore Act 2017:</i> provides for a transparent legal framework for the protection of, access to, and use of, traditional knowledge, genetic resources and expressions of folklore, which also guarantees equitable sharing of benefits and effective participation of holders; recognises the spiritual, cultural, social, political and economic value of traditional knowledge, genetic resources and expressions of folklore of holders; promotes the preservation, wider application and development of traditional knowledge, genetic resources and expressions of folklore; recognises, protects and supports the inalienable rights of traditional communities, individuals and groups over their traditional knowledge, genetic resources and expressions of folklore; confers rights on traditional communities, individuals and groups and promotes the conservation and sustainable utilisation of the</p>	<p><i>Communal Land Act 2002</i> - to provide for the classification of land in Zimbabwe as Communal Land and for the alteration of such classification; to alter and regulate the occupation and use of Communal Land.</p> <p><i>Communal Land Forest Produce Act 1988</i> – to regulate the exploitation of and to protect forest produce within Communal Land, to regulate and encourage the establishment of plantations within Communal Land. forest produce" means,(a)all vegetation, whether alive or dead, in a plantation, forest or woodland; and(b)any part, whether alive or dead, of any such vegetation, including wood, bark, seeds, fruit, gum, resin or sap;</p> <p><i>Customary Law and Local Courts Act 2017</i> - provide for the application of customary law in the determination of civil cases; to provide for the constitution and jurisdiction of local courts; to provide for appeals from the decisions of such courts</p>

				<p>country's biodiversity resources; promotes fair and equitable distribution of the benefits derived from the exploitation of traditional knowledge, genetic resources and expressions of folklore; promotes the use of traditional knowledge, genetic resources and expressions of folklore for the benefit of traditional communities, the country and mankind in general; to ensure that exploitation of traditional knowledge, genetic resources and expressions of folklore takes place with the prior informed consent of a traditional community, individual or group; to prevent the granting of patents based on traditional knowledge, genetic resources and expressions of folklore without the prior informed consent of a traditional community, individual or group; give effect to the African Regional Intellectual Property Organisation (ARIPO) Swakopmund Protocol on the Protection of Traditional Knowledge and Expressions of Folklore, 2010, the World Trade Organisation Trade-Related Intellectual Property Rights Agreement (TRIPS), 1994 and any other relevant international treaty or</p>	<p><i>Indigenisation and Economic Empowerment Act 2008</i> - to provide for support measures for the further indigenisation of the economy; to provide for support measures for the economic empowerment of indigenous Zimbabweans</p>
--	--	--	--	---	--

				convention to which Zambia is a State Party	
Standard 7. Labour and Working Conditions		<ul style="list-style-type: none"> • Terms and conditions of employment – written labour management procedures. Workers to be advised of conditions of their employment. • Non-discrimination and equal opportunity • Workers organizations – freedom of association and recognition of the right to collective bargaining • No forced or child labour • Occupational health and safety - protect and promote the safety and health of workers 	<p><i>Constitution of the Kingdom of Swaziland 2005</i>: Section 17 Protection from slavery and forced labour; Section 25 Protection of freedom of assembly and association; Section 29 Rights of the child; Section 32 Rights of workers.</p> <p><i>Industrial Relations Act 2000</i></p> <p><i>Employment Act 1980</i></p> <p><i>Factories, Machinery and Construction Works Act 1972</i>: provides for the registration of factories and the regulation of working conditions and the use of machinery at factories, construction work and other premises.</p> <p><i>Occupational Safety and Health Act 2001</i></p> <p><i>Workmen’s Compensation Act 1983</i>: provides for compensation and medical treatment of workmen who suffer injury or sickness in course of employment</p>	<p><i>Apprenticeship Act 1965</i>:</p> <p><i>Employment Code Act 2019</i>: to regulate the employment of persons; prohibit discrimination at an undertaking; constitute the Skills and Labour Advisory Committees and provide for their functions; provide for the engagement of persons on contracts of employment and provide for the form and enforcement of the contracts of employment; provide for employment entitlements and other benefits; provide for the protection of wages of employees; provide for the registration of employment agencies; regulate the employment of children and young persons; provide for the welfare of employees at an undertaking; provide for employment policies, procedures and codes in an undertaking; repeal and replace the Employment Act, 1965, the Employment (Special Provisions) Act, 1966, the Employment of Young Persons and Children Act, 1933 and the Minimum Wages and Conditions of Employment Act, 1982.</p>	<p><i>Constitution of Zimbabwe Amendment Act 2013</i> – Section 24 Work and labour relations</p> <p><i>Labour Act 1985</i> - to declare and define the fundamental rights of employees; to give effect to the international obligations of the Republic of Zimbabwe as a member state of the International Labour Organisation and as a member of or party to any other international organisation or agreement governing conditions of employment which Zimbabwe would have ratified; to define unfair labour practices; to regulate conditions of employment and other related matters; to provide for the control of wages and salaries; to provide for the appointment and functions of workers committees; to provide for the formation registration and functions of trade unions, employers organizations and employment councils; to regulate the negotiation, scope and enforcement of collective bargaining agreements; to provide for the establishment and functions of the Labour Court; to provide for the prevention of trade disputes, and</p>

			<p><i>Wages Act 1964:</i> includes regulation of minimum wages and conditions of employment</p>	<p><i>Occupational Health and Safety Act 2010:</i> Section 16 provides the duties of employers at workplaces in respect of health and safety at workplaces. These duties include:</p> <p style="padding-left: 40px;">(a) <i>ensure, so far as is reasonably practicable, the health, safety and welfare of the employees of the employer at a workplace; and</i></p> <p style="padding-left: 40px;">(b) <i>place and maintain an employee in an occupational environment adapted to the employee’s physical, physiological and psychological ability.</i></p> <p><i>Employment of Young persons and Children Act 1933</i></p> <p><i>Employment (Special Provisions) Act 1966</i></p> <p><i>Factories Act 1967:</i> to make further and better provision for the regulation of the conditions of employment in factories and other places as regards the safety, health and welfare of persons employed therein; to provide for the safety, examination and inspection of certain plant and machinery; and to</p>	<p>unfair labour practices; to regulate and control collective job action; to regulate and control employment agencies</p> <p><i>Co-operative Societies Act 1990</i> - makes provision in general for the development and organization of the cooperative movement in Zimbabwe.</p> <p><i>Labour Relations Act 1984</i> -The Act outlawed discrimination against any employee on grounds of race, tribe, place of origin, political opinion, colour, creed, or sex, in respect of wages, promotion, recruitment, training and retrenchment</p>
--	--	--	---	--	--

				<p>provide for purposes incidental to or connected with the matters aforesaid.</p> <p><i>Industrial and Labour Relations Act 1993:</i> relating to the formation of trade unions and employer's representative organisations, including the formation of federations of trade unions and federations of employers organisations, recognition and collective agreements, settlement of disputes, strikes, lockouts, essential services and the Tripartite Labour Consultative Council; the Industrial Relations Court;</p> <p><i>Minimum Wages and Conditions of Employment Act 2008:</i></p> <p><i>Workers' Compensation Act 2000:</i> to revise the law relating to the compensation of workers for disabilities suffered or diseases contracted during the course of employment; to provide for the merger of the functions of the Workers' Compensation Fund Control Board and the Pneumoconiosis Compensation Board; to provide for the establishment and administration of a Fund for the compensation of workers disabled by accidents</p>	
--	--	--	--	--	--

				<p>occurring, or diseases contracted in the course of employment; to provide for the payment of compensation to dependents of workers who die as a result of accidents or diseases; to provide for the payment of contributions to the Fund by employers; to provide for the appointment and powers of a Workers' Compensation Commissioner, the establishment and functions of a Workers' Compensation Fund Board and a Workers Compensation Tribunal.</p> <p><i>Children's Code Act 2023:</i> to reform and consolidate the law relating to children; provide for parental responsibility, custody, maintenance, guardianship, foster care, adoption, care and protection of children; provide for the grant of legal aid to, and establish procedures for the treatment of, children in conflict with the law; provide for the making of social welfare reports in respect of a child in conflict with the law; establish diversion and alternative correctional programmes and promote the rehabilitation of a child in conflict with the law through programmes to facilitate restorative justice and compliance with laws; provide for the protection of a child</p>	
--	--	--	--	--	--

				<p>victim and child witness in investigative and judicial processes; provide for the probation of a child in conflict with the law and provision of probation services; provide for the development of treatment programmes, early intervention services and programmes to combat crime and prevent further offending; limit the negative effects of confinement by minimising the impact of a finding of guilty on the family of a child in conflict with the law and facilitate the reintegration of the child in conflict with the law into society; provide for the establishment of child approved centres and child reformatory centres; provide for the regulation of child care facilities; provide for child safeguarding; domesticate the Convention on the Rights of the Child, the African Charter on the Rights and Welfare of the Child, the Convention on Protection of Children and Cooperation in Respect of Inter-Country Adoption and the Convention on the Civil Aspects of International Child Abduction; repeal the Legitimacy Act, 1929, the Adoption Act, 1956, the Juveniles Act, 1956 and the Affiliation and Maintenance of Children Act, 1995</p>	
--	--	--	--	---	--

<p>Standard 8. Pollution Prevention and Resource Efficiency</p>		<ul style="list-style-type: none"> • Pollution prevention: avoid release of pollutants, where not avoidable, minimise and/or control intensity and mass flow of their release. • Ambient considerations: adverse impacts on existing ambient conditions requires consideration of finite assimilative capacity of the environment, existing and planned land use, existing ambient conditions, the project’s proximity to ecologically sensitive or protected areas, the potential for cumulative impacts with uncertain and irreversible consequences, and strategies for avoiding and minimizing the release of pollutants. • Wastes: seek to avoid generation of waste, where not possible adopt waste management hierarchy (reduce, reuse, recycle) • Hazardous materials: avoid or minimise and control release and exposure to hazardous materials. 	<p><i>Pesticides Management Act 2017:</i> applies to any type of pesticide intended for import into, use in, or export from Eswatini.</p> <p><i>Environmental Management Act 2002:</i> Part II (5) Environmental Principles; Part IV (32) Environmental assessment; Part V Pollution Control; and Part VI Waste Management.</p> <p><i>Ozone Depleting Substances Regulations 2003</i></p> <p><i>Water Pollution Control Regulations 1999</i></p> <p><i>Purification of Industrial Water and Effluent Regulation 1967</i></p> <p><i>Biosafety Act 2012</i></p>	<p><i>Environmental Management Act 2011:</i></p> <p><i>Solic Waste Regulation and Management Act 2019:</i> to provide for the sustainable regulation and management of solid waste; general and self-service solid waste services; the incorporation of solid waste management companies and define their statutory functions; the licensing and functions of solid waste service providers, operators and self-service solid waste providers and provide for their functions; the regulation, operation, maintenance and construction of landfills and other disposal facilities; the setting and approval of tariffs for management of solid waste and provision of solid waste services.</p>	<p><i>Environmental Management Act 2002 – prevention of pollution and environmental degradation</i></p>
---	--	---	---	---	---

		<ul style="list-style-type: none">• Resource efficiency: design and implement project in manner that promotes efficient use and consumption of resources.			
--	--	---	--	--	--

4 POTENTIAL SOCIAL AND ENVIRONMENTAL IMPACTS

During programme development, the programme was screened using UNDP's Social and Environmental Screening Procedure (SESP). The significance of each risk, based on its probability of occurrence and the extent of its impact, has been estimated as being either low, moderate, substantial, or high. The SESP identified eight Moderate risks and five Low risks related to this programme, therefore the overall risk categorisation for the programme is Moderate.

Moderate risks identified in the SESP:

- Risk 1: Limited capacities of the relevant stakeholders/ duty bearers and lack of awareness of human rights obligations amongst the stakeholders might affect project implementation and possible occurrence of human rights violations
- Risk 2: The Programme could lead to reproducing discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits.
- Risk 3: Exclusion of certain stakeholder groups, especially vulnerable/marginalized stakeholders, leads to unequal access to the programme benefits
- Risk 4: The implementation of interventions under the CIPs might lead to various environmental and social impacts that cannot be fully analysed at this stage.
- Risk 5: Interventions under the programme, mainly through Outputs 2.1 and 2.3, lead to adverse effects on natural habitats, environmentally sensitive areas and biodiversity values in the target catchments
- Risk 6: Risks derived from the exposure of the catchments to natural hazards and to the effects of climate change
- Risk 8: Risk of restrictions placed on community access to natural resources (potentially adverse impacts on, or changes to land tenure arrangements and/or community-based property rights/customary rights)
- Risk 9: As the Programme is regional, it includes areas where indigenous peoples/ethnic minority groups may be present. Risk includes unintended impacts from catchment scale plans or CIPs could have impacts to IPs.
- Risk 10: Programme seeks to engage private sector entrepreneurs for investment in production, value addition and commercialisation of smallholder and pastoralist products. Risk that laws/bilateral agreements associated with labour and working conditions are not complied with.

Low risks identified in the SESP:

- Risk 7: The implementation of interventions under the CIPs might lead to nuisance and security risks to nearby communities
- Risk 11: Risk of pollution and waste generation as part of the implementation of interventions under the CIPs

Error! Reference source not found. lists the proposed activities, identifies key risks associated with them and management actions required to meet UNDP SES requirements.

Table 4: Potential impacts associated with components and required management actions

Programme Component	Potential Social and Environmental Impacts	Management Actions
Component 1: Catchment Investment Programmes		
<p>Output 1.1: Multi-stakeholder National Catchment Adaptation Committees established (NCACs) Activities under Output 1.1 include:</p> <ul style="list-style-type: none"> • UNDP and governments discuss and agree NCAC composition with stakeholder organizations at national and local levels • UNDP and participating governments and catchment stakeholders formally establish NCACs • Each NCAC discusses and agrees grant project eligibility criteria . 	<p>If the National Catchment Adaptation Committees are not representative, then there is the potential that some stakeholders may be excluded.</p>	<p>Implement Stakeholder Engagement Plan</p> <p>Operationalise GRM</p> <p>Implement Gender Action Plan</p> <p>Ensure that decision-making processes are inclusive, and representative of all groups impacted by the project, including women, youth and other vulnerable groups.</p>
<p>Output 1.2: Multi-stakeholder catchment management and governance platforms established Activities under Output 1.2 include:</p> <ul style="list-style-type: none"> • Conduct tour of all catchment communities, as well as government, NGO, academic, religious institutions, to discuss and confirm interest expressed in pre-submission consultations • Organize catchment level multi-stakeholder platforms and first meetings • Formally establish multi-stakeholder platforms. 		<p>Implement Stakeholder Engagement Plan</p> <p>Operationalise GRM</p> <p>Implement Gender Action Plan</p>
<p>Output 1.3: Catchment Investment Programme confirmed in each participating country Activities under Output 1.3 include:</p> <ul style="list-style-type: none"> • Catchment Investment Programme analysis and operationalization workshop in each catchment • Local actors discuss and confirm catchment socio-ecological Outcomes • Local actors discuss and confirm potential outputs to achieve Outcomes • CIP workshop confirms Outcomes and outputs and formalizes CIP 	<p>Information about purpose of catchment investment programme and healthy ecosystems may not be well communicated resulting in poor acceptance of CIPs</p> <p>Representation at meetings and workshops may not be equitable. Also, such gatherings can increase risk of SEAH.</p>	<p>Implement Stakeholder Engagement Plan</p> <p>Operationalise GRM</p> <p>Implement Gender Action Plan</p>
<p>Output 1.4: Priority community and catchment level initiatives in the CIPs identified</p>		<p>Implement Stakeholder Engagement Plan</p>

<p>Activities under Output 1.4 include</p> <ul style="list-style-type: none"> • Local actors in their organizations discuss and agree solutions to achieve CIP outputs • Local organizations discuss and agree joint or complementary efforts to achieve CIP outputs. 		<p>Operationalise GRM</p> <p>Implement Gender Action Plan</p> <p>Ensure that decision-making processes are inclusive, and representative of all groups impacted by the project, including women, youth and other vulnerable groups.</p>
<p>Component 2: Demand-driven financing for LLA grants and establishment of complementary non-grant financing mechanisms to sustain locally-led climate adaptation solutions</p>		
<p>Output 2.1: Locally-Led Adaptation initiatives designed and implemented, according to CIP objectives</p> <p>Activities under Output 2.1 include:</p> <ul style="list-style-type: none"> • Local catchment organizations work with Programme staff to design their grant proposals • Grant proposals are socialized for comments and inputs by members of the catchment platforms • Finalized grant proposals are submitted to the NCAC for review and approval • Funding is transferred to local organizations on an agreed schedule of milestone-based disbursements • Monitoring, reporting and verification (MRV) of hydrological/ecosystem and livelihood outcomes featuring adaptive learning 	<p>Community representation needs to be equitable</p> <p>Community could raise grievances</p> <p>Potential for conflict between land users groups e.g., community forests vs and woodlot operators</p>	<p>Implement Stakeholder Engagement Plan (all phases)</p> <p>Implement Gender Action Plan (all phases)</p> <p>Ensure equitable representation - representation is to be broad-based and in particular includes women and vulnerable people.</p> <p>Roadmap to include Emergency Response Plan that considers climate and natural disaster risks.</p> <p>Operationalise GRM</p>
<p>Output 2.2 Capacities of local organizations strengthened for grant project design, implementation and MRV</p> <p>Activities under Output 2.2 include:</p> <ul style="list-style-type: none"> • Local stakeholders, including community organizations, cooperatives and local authorities, identify capacity gaps and potential solutions, including training needs 		<p>Gender/SEAH Plan – ensure training equitable and safe</p>

<ul style="list-style-type: none"> • Targeted training for stakeholders on implementation of relevant NbS activities, including capacity building on social and environmental safeguards, gender and inclusion, financial management and operations and maintenance • Training on community-level MRV protocols and data management, with facilitated knowledge exchange and learning across catchments. 		
<p>Output 2.3 Establishment of non-grant financing mechanisms for sustained implementation of LLA initiatives</p> <p>Activities under Output 2.3 include:</p> <ul style="list-style-type: none"> • Map and engage prospective payers/beneficiaries and financial partners for PES/Trusts and CRA lending. • Define eligible performance-based services and payment rules, aligning verification with CIP M&E system. • Establish PES/Trust governance and fiduciary arrangements (custodian selection, operating rules, community representation) and pilot disbursements. • Co-design CRA loan facilities with participating banks and build lender capacity • Facilitate market linkages between producers and off-takers to support lending 	<p>Financial institution systems and policies may not be consistent with UNDP SES</p>	<p>Stakeholders may raise grievances</p> <p>Operationalise GRM</p> <p>Confirm financial institution systems consistent with UNDP SES</p>
<p>Component 3: Global Learning and Knowledge Management System</p>		
<p>Output 3.1: Development and implementation of a peer-to-peer learning and exchange Programme at national and local levels for upscaling and adaptive management</p> <p>Activities under Output 3.1 include:</p> <ul style="list-style-type: none"> • Catchment platforms discuss and agree context-specific learning and knowledge generation goals, outcomes and outputs and define relevant grant proposal formats and requirements for M&E and knowledge generation and dissemination; • Local organizations identify learning objectives into grant proposals consistent with catchment level learning and knowledge generation goals; • Local organizations budget learning costs in grant proposal budgets; • Catchment platforms agree on and organize a system of peer-to-peer exchanges among groups and communities across the catchment, as well as with interested communities nationally; • Local organizations reflect on project design and implementation experience and produce locally accessible reports and other material for distribution to peer organizations and others. 	<p>Stakeholder engagement needs to be inclusive and gender responsive</p>	<p>Operationalise Stakeholder Engagement Plan</p> <p>Implement Gender/SEAH Plan to ensure safe / equitable workshop/training environments</p>

<p>Output 3.2: Establishment of a regional mechanism – incorporating learning and sharing elements from a variety of sources, including The Nature Conservancy’s Conservation Training, FAO’s Global Farmer Field School Platform and Watercourse Commission - for analysis and discussions of lessons learned, their relevance and potential application to policy, programming, and partnership development</p> <p>Activities under Output 3.2 include:</p> <ul style="list-style-type: none"> • Establish mechanism governance and operational structure incorporating learning and sharing elements from a variety of sources, including The Nature Conservancy’s Conservation Training and Water Funds, FAO’s Global Farmer Field School Platform and the Watercourse Commissions • Analyses of multivariate method of assessment of catchment factors for upscaling, together with ongoing assessments of CIP experiences • Development of a regional M&E regime and strategy to identify and fill gaps in knowledge related to socio-ecological processes and factors to enable adaptive management of catchments. • Systematization and dissemination of the country-level, multi-variate analytical methods applied during Funding Proposal development and used in guiding national authorities in catchment selection and prioritization • Execution of independent expert evaluations and assessments of key CIP processes and their performance in enhancing socio-ecological resilience 		
<p>Output 3.3: Development of a nationwide Adaptation Learning Programme from catchment planning and implementation experience for national, regional and global engagement</p> <p>Activities under Output 3.3 include:</p> <ul style="list-style-type: none"> • Establishment of Learning Leaders (LLs) in each CIP platform and NCAC to lead development and execution of an Adaptation Learning Programme • Training and coaching of LLs in credible knowledge generation methods as part of CIP and grant project design • Identification by Regional Programme staff in concert with NCACs and CIP platform LLs of recurrent or common themes and key topics (e.g. customary land tenure regulation; catchment or resource governance structures; market access issues; community CC indicators and early warning, etc.); • Compilation of information and knowledge regarding key topics, production of knowledge products, and development of a learning and dissemination 	<p>Knowledge platforms may not be accessible to all</p> <p>Lessons learned may not be shared</p>	<p>Stakeholder Engagement Plan</p> <p>Knowledge products to be tested with representative user groups to ensure that they are fit for purpose.</p> <p>Knowledge platform will be developed to share lessons learned</p>

<p>plan; Knowledge products disseminated nationally, regionally and globally and stored on Learning and Knowledge Management system accessible publicly</p> <ul style="list-style-type: none"> • Lessons learned and knowledge from CIP and grant project implementation is reviewed and assessed by NCAC and CIP LLs and Regional Programme staff for relevant policy contributions • UNDP, NCACs and Regional Programme staff together produce a series of products for specific presentations to governments and regional bodies 		
---	--	--

5 PROCEDURES FOR SCREENING, ASSESSMENT AND MANAGEMENT

This section describes the screening, assessment and management procedures required for addressing the risks identified in the SESP. For all outputs that require further safeguards screening, assessment and management, no implementation activities can start until after the required screening has been prepared, and—if necessary for compliance for compliance with the UNDP SES policy — assessments conducted, and management plans are put in place.

5.1 SCREENING

5.1.1 Screening of interventions

Grants under **Output 2.1** will finance demand-driven, locally led initiatives aligned with each CIP. Typologies include: (i) ecosystem restoration (e.g., removal/control of invasive species; riparian/wetland/grassland revegetation with native species); (ii) sustainable rangeland management (rotational grazing, fodder and water-point management, restoration/re-seeding); and (iii) climate-resilient agriculture (CRA) and agri-NbS (soil and water conservation, mulching/cover crops, contouring/terracing, intercropping, IPM, water-efficient irrigation). Additionally, **Output 2.3** will establish non-grant financing pathways that sustain locally led adaptation beyond the grant cycle.

The selection process of these supported activities will involve targeted screening which will combine the relevant UNDP Social and Environmental Screening criteria and the Adaptation Fund Environmental and Social Principles.

A proposed generic screening checklist, to be refined based on the findings of the targeted E&S assessment and adapted to each country/catchment, is shown in Table 5.

Where the screening of the fully defined projects activities identifies potential social and environmental risks that could be categorized as Substantial or High Risk, these activities will be either redesigned to eliminate and/or minimize such risks or excluded from further consideration.

Table 5: Social and Environmental Risks Screening template for the selection of the supported activities

Social and Environmental Risks Screening	Y/N	Measures to be taken to avoid, minimize or offset these risks
Compliance with the Law:		
Is there a risk that the project would not comply with all applicable domestic and international law?		
Access and Equity:		
Is there a risk that the project would not provide fair and equitable access to benefits in a manner that is inclusive and does not impede access to basic health services, clean water and sanitation, energy, education, housing, safe and decent working conditions, and land rights?		
Is there a risk that the project would exacerbate existing inequities, particularly concerning marginalized or vulnerable groups?		
Marginalized and Vulnerable Groups:		
Is there a risk that the project would impose any disproportionate adverse impacts on marginalized and vulnerable groups, including children, women and girls, the elderly, indigenous people, tribal groups, displaced people, refugees, people living with disabilities, and people living with HIV/AIDS.		

Social and Environmental Risks Screening	Y/N	Measures to be taken to avoid, minimize or offset these risks
Human Rights:		
Is there a risk that the project would not respect and, where applicable, promote international human rights?		
Gender Equality and Women's Empowerment:		
Is there a risk that the project would not be designed and implemented in such a way that both women and men (a) have equal opportunities to participate; (b) receive comparable social and economic benefits; and (c) do not suffer disproportionate adverse effects during the development process.		
Core Labour Rights:		
Is there is risk that the project would not meet the core labour standards as identified by the International Labor Organization?		
Indigenous Peoples:		
Is there a risk that the project would be inconsistent with the rights and responsibilities set forth in the UN Declaration on the Rights of Indigenous Peoples and other applicable international instruments relating to indigenous peoples?		
Involuntary Resettlement:		
Is there a risk that the project would not be designed and implemented in a way that avoids or minimizes the need for involuntary resettlement.		
When limited involuntary resettlement would be unavoidable, is there a risk that due process should be observed so that displaced persons shall be informed of their rights, consulted on their options, and offered technically, economically, and socially feasible resettlement alternatives or fair and adequate compensation?		
Protection of Natural Habitats:		
Is there a risk that the project would involve unjustified conversion or degradation of critical natural habitats, including those that are (a) legally protected; (b) officially proposed for protection; (c) recognized by authoritative sources for their high conservation value, including as critical habitat; or (d) recognized as protected by traditional or indigenous local communities?		
Conservation of Biological Diversity:		
Is there a risk that the project would cause any significant or unjustified reduction or loss of biological diversity or the introduction of known invasive species?		
Climate Change:		
Is there a risk that the project would result in any significant or unjustified increase in greenhouse gas emissions or other drivers of climate change?		
Pollution Prevention and Resource Efficiency:		
Is there a risk that the project would not be designed and implemented in a way that meets applicable international standards for maximizing energy efficiency and minimizing material resource use, the production of wastes, and the release of pollutants?		
Public Health:		
Is there a risk that the project would not be designed and implemented in a way that avoids potentially significant negative impacts on public health?		
Physical and Cultural Heritage:		

Social and Environmental Risks Screening	Y/N	Measures to be taken to avoid, minimize or offset these risks
Is there a risk that the project would not be designed and implemented in a way that avoids the alteration, damage, or removal of any physical cultural resources, cultural sites, and sites with unique natural values recognized as such at the community, national, or international level?		
Is there a risk that the project would permanently interfere with existing access and use of such physical and cultural resources?		
Lands and Soil Conservation:		
Is there a risk that the project would not promote soil conservation and avoid degradation or conversion of productive lands or land that provides valuable ecosystem services?		

Eligibility criteria

The programme implementation will ensure that no supported action:

- is detrimental to the conservation status of habitats and species, has measurable adverse impacts to critical habitats, or leads to a reduction in endangered species.
- is significantly harmful to the status or the ecological potential of surface water bodies and groundwater bodies.
- creates significant risks to communities and workers during construction and implementation.
- leads to significant damage, or removal of cultural heritage.
- Requires or involves:
 - Production or trade in any product or activity deemed illegal under host country laws or regulations or international conventions and agreements.
 - Purchase, application or storage of harmful pesticides or hazardous materials.
 - Production or activities involving forced labour / harmful child labour.
 - Production or trade in wood or other forestry products from unmanaged forests.
 - forced evictions.
- leads to any significant increase in the emissions of pollutants as compared with the situation before the activity started.

5.1.2 Programme screening

During implementation, the programme will be re-screened in accordance with the UNDP SES Policy:

- When determined necessary by the Programme Manager (after consideration of the advice from PMU staff with responsibility for safeguards), the Programme Board, or UNDP; and/or
- When programme circumstances change in a substantive or relevant way.

Private sector assessment/screening: With support from the Programme's partners, all private sector actors that will be engaged in the programme will be subject to the UNDP private sector risk assessment (supplemented by a SESP) to ensure their environmental and social compliance prior to engagement in any project activity. Private enterprises that will provide services within the programme, such as financial institutions providing lending services or contractors hired for construction or implementation of the demonstration projects, shall also sign a safeguards commitment letter to implement all measures stipulated in the ESMF.

5.2 ASSESSMENT

5.2.1 Targeted E&S Assessment

The implementation of interventions under the CIPs might lead to various environmental and social impacts that cannot be fully analysed at the development stage of the programme. A country(catchment)-specific **targeted E&S assessment** of potential impacts and risks associated with the adaptation initiatives as defined in **Outputs 1.3** (Catchment Investment Programme confirmed in each country) and **1.4** (priority community and catchment level initiatives in the CIPs identified).

This assessment will focus on the risks that could materialize as a result of the implementation of the locally-led adaptation initiatives (Output 2.1 and 2.3)

5.2.2 Country/Site-Specific Assessment and Management Requirements

Based on the outcomes of the screening of investments, site-specific assessments and/or management plans may be required, including EIAs under national legislation. The assessment(s) will be conducted in a manner consistent with national regulations and the UNDP SES, and lead to the development of appropriately scaled management measures and plans to address the identified risks and impacts.

The UNDP SES and SESP require that in all cases relevant social and environmental assessments and adoption of appropriate mitigation and management measures be completed, disclosed, and discussed with stakeholders prior to implementation of any activities that may cause adverse social and environmental impacts. For projects with easily identified risk management measures, a simplified ESMP can be developed. An indicative template for ESMPs can be found in the UNDP (2020) Guidance Note Social and Environmental Standards Social and Environmental Assessment and Management.¹³

5.3 ENVIRONMENTAL AND SOCIAL MANAGEMENT

5.3.1 Overarching Plans and Requirements

There are some safeguard measures that are to be applied to the whole programme. These include:

- National and local laws
- Country-specific Stakeholder Engagement Plan (SEP) for each of the three catchments, including a gender-sensitive Grievance Redress Mechanism (GRM)
- Country-specific Gender Action Plan (GAP) for each of the three catchments
- WHO guidelines¹⁴ to limit the spread of COVID19 will be applied during project implementation

5.3.2 Catchment-specific Environmental and Social Management Plan (ESMP)

The above screening shall be supplemented with guidelines that will recap the core obligations for sound management of the social and risks enshrined in the UNDP's Social and Environmental Standards for the project applicants and reviewers of the applications. Based on the results of the targeted E&S assessment, an Environmental and Social Management Plan (ESMP) will be developed outlining the mitigation measures required for the types of activities/interventions to be implemented

¹³

https://info.undp.org/sites/bpps/SES_Toolkit/SES%20Document%20Library/Uploaded%20October%202016/UNDP%20SES%20Assessment%20and%20Management%20GN%20-%20Final%20Nov2020.pdf

¹⁴ WHO (2020). Considerations for public health and social measures in the workplace in the context of COVID-19 (accessed at <https://apps.who.int/iris/rest/bitstreams/1277575/retrieve>)

under the CIPs and the E&S procedures that should be followed from the design to the implementation of these activities.

These ESMPs, along with the site-specific E&S screening of interventions (see section 3.1.1) will form the core of the environmental and social risk management for the programme.

6 INSTITUTIONAL ARRANGEMENTS FOR ESMF IMPLEMENTATION

6.1 GENERAL MANAGEMENT STRUCTURE AND RESPONSIBILITIES

A high-level organization structure is shown in Figure 4. The key roles are discussed below.

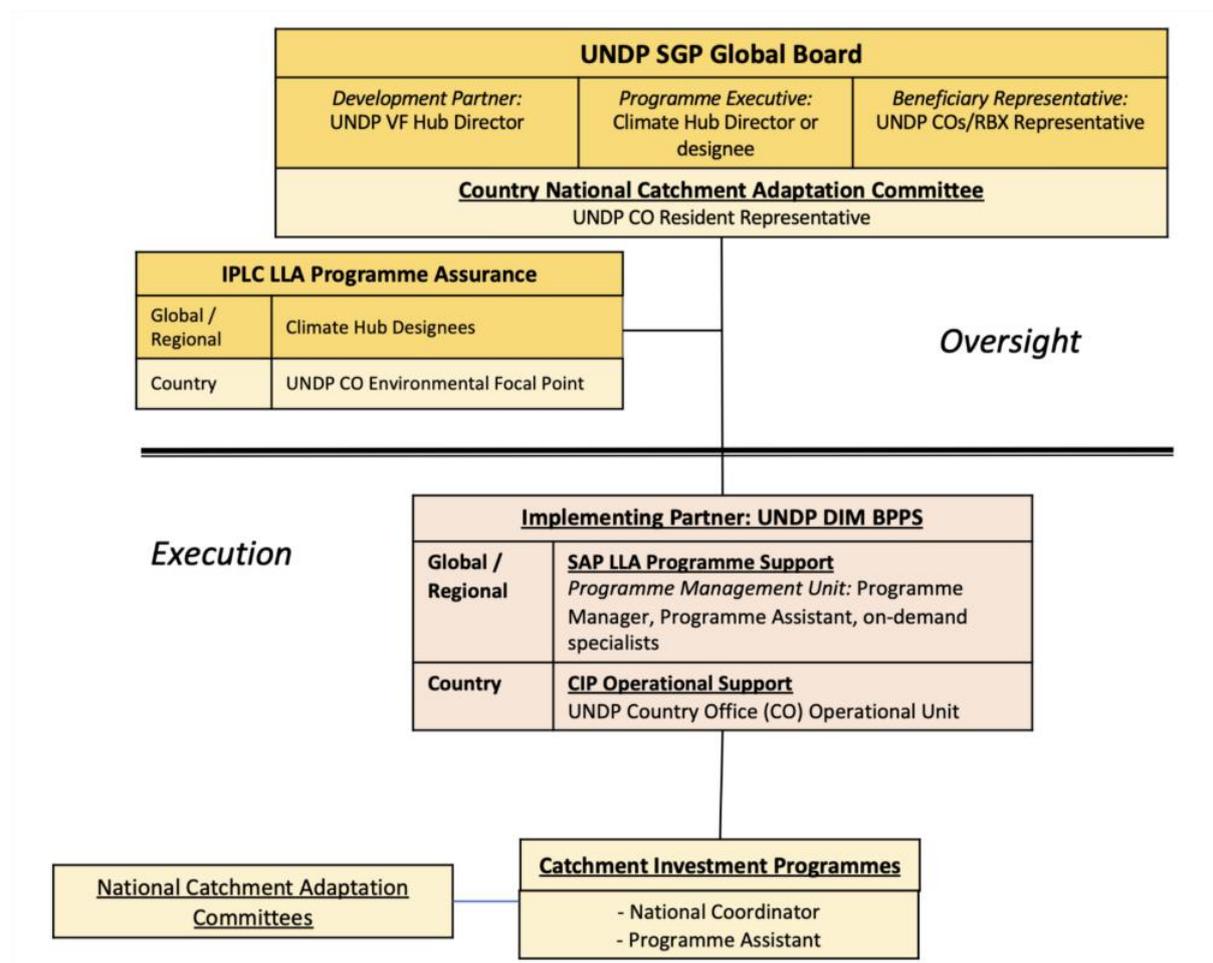


Figure 4 Programme Governance and Management Structure

6.2 ROLES AND RESPONSIBILITIES FOR IMPLEMENTING ESMF

The roles and responsibilities of programme staff and associated agencies in the implementation of this ESMF are as follows:

6.2.1 Programme Institutional Framework

The functions of the Board include assessments of major risks to the Programme, and decisions on management actions or remedial measures to address them effectively. The Board reviews evidence of Programme performance based on monitoring, evaluation and reporting, including progress reports, risk logs and the combined delivery report. The two main (mandatory) roles of the UNDP Global Programme Board are as follows:

- High-level oversight of the execution of the Programme. This is the primary function of the board and includes annual (and as-needed) assessments of any major risks to the Programme, and decisions/agreements on any management actions or remedial measures to address them effectively. The Programme Board reviews evidence of Programme performance based on monitoring, evaluation and reporting, including progress reports, evaluations, risk logs and the combined delivery report. The Programme Board is responsible for taking corrective action as needed to ensure the Programme achieves the desired results.
- Approval of strategic programme execution decisions of the Implementing Partner with a view to assess and manage risks, monitor and ensure the overall achievement of programme results and impacts and ensure long term sustainability of Programme execution decisions of the Implementing Partner.

Composition of the UNDP Programme Global Board: The Board will comprise of 5-7 individuals invited by UNDP. It will include individuals assigned to the following three roles:

- Programme Executive: an UNDP individual who represents ownership of the Programme and chairs (or co-chairs) the Board. In exceptional cases, two individuals from different entities can co-share this role and/or co-chair the Board. If the Programme executive co-chairs the board with representatives of another category, it typically does so with a development partner representative. The Programme Executives consists of the Nature and Climate Hub Directors or designees.
- Beneficiary Representatives: Individuals or groups representing the interests of those groups of stakeholders who will ultimately benefit from the Programme. Their primary function within the board is to ensure the realization of Programme results from the perspective of Programme beneficiaries. The Beneficiary representative(s) are from the UNDP COs or Regional Bureaux for Africa (on a rotating basis).
- Development Partners: Individuals or groups representing the interests of the parties concerned who provide funding, strategic guidance and/or technical expertise to the Programme. The Development Partner(s) is the UNDP Vertical Fund Director.

6.2.2 Programme Assurance:

Programme assurance is the responsibility of each programme board member; however, UNDP has a distinct assurance role for all UNDP projects in carrying out objective and independent project oversight and monitoring functions. UNDP performs quality assurance and supports the Programme Board (and Programme Management Unit) by carrying out objective and independent programme oversight and monitoring functions, including compliance with the risk management and social and environmental standards of UNDP. The Programme Board cannot delegate any of its quality assurance responsibilities to the Programme assurance unit. Programme assurance is totally independent of programme execution.

6.2.3 At country level

UNDP Country Offices will play a key role in providing the necessary support at the country level. In particular, with UNDP's nearly universal presence in countries, its Country Offices have supported the

start-up of UNDP Local Action Country Programmes, recruitment of national coordinators, local supervision, and resource mobilization. The UNDP Country Offices will provide operational support to the country-level Catchment Investment Programmes. It will be responsible, together with the Programme Manager (PMU), for supervising the Country teams through a matrixed reporting.

UNDP Country Office Resident Representative/Coordinator or delegated staff will be a permanent member of the National Catchment Adaptation Committee. There will be a clear separation between the roles of oversight/assurance and execution at the UNDP Country Office level. Oversight will primarily be delivered through representation of the UNDP CO RR on the National Catchment Adaptation Committees (or his/her designate). In terms of execution support, the national Programme staff in most cases will be embedded in the respective UNDP Country Offices, and grant administration services (calls for proposals, signing grants, making payments to grantees, etc.) will be directly provided by or managed by the Country Offices.

National Catchment Adaptation Committee (NCAC): The National Catchment Adaptation Committee (NCAC) in each country will provide overall Programme and CIP guidance and provide direct linkages to national policymaking, development planning, knowledge dissemination, and leveraging of this Programme's catalytic role. It will be composed of government and non-governmental representatives, with majority membership by non-governmental stakeholders; this aims at ensuring that AF resources reach local actors directly and efficiently. At country level, the NCAC will be responsible for selecting and approving grant-funded initiatives and for ensuring their technical and substantive quality with support in some countries from a **Technical Advisory Group (TAG)**. The TAG consists of a pool of voluntary experts who help review proposals and provide advice in relation to specific areas of programming and partnership development. The respective UNDP CO RR or designated representative also serves on the NCAC.

Country Programme Team: For each participating country, there will be a Programme Team typically consisting of a National Programme Coordinator, for operation of the AF supported CIP development on a day-to-day basis, and by a Program Assistant (PA), whenever possible. The NPC will be responsible for all aspects of Programme operations and management, including implementation, management, partnership development, knowledge management and M&E of the CIP participatory development and implementation process. When fulfilling his/her functions, and in adherence to the country-driven nature of this Programme, the NPC seeks guidance and support from, and serves as secretary to the National Catchment Adaptation Committee (NCAC) regarding progress in CIP development and implementation. Country Programme Teams will be hosted by the UNDP Country Office, providing required local supervision and oversight of the program. There will be a Country Safeguards Officer at each Country Program Team. The Safeguards Officer will oversee the implementation of all safeguards plans and instruments, including the ESMF, the Stakeholder Engagement Plan and the Gender Action Plan, and support beneficiaries in conducting the investments screenings and monitoring the implementation of adaptation initiatives for their environmental and social performance.

Country Programme Teams will have a matrixed reporting line to both the UNDP CO operational units, and to the overall Regional Programme Manager (PMU), as reflected in the revised chart above.

Programme Stakeholders and Target Groups: The Programme's primary stakeholders include local communities as grantee partners in the catchments where the grants are to be executed. Secondary stakeholders will vary by country and catchment and may potentially include government agencies, civil society organizations, private sector and others whose role will be advisory or as members of the National Catchment Adaptation Committees.

6.2.4 Safeguards implementation monitoring and reporting

The implementing partner (i.e., UNDP DIM BPPS) will be responsible for the assessments described in this ESMF and will - where these SES tasks are contracted out to third parties - provide adequate

support for their implementation and will perform the quality assurance function during their implementation.

It will also update UNDP on the progress made in the application of these arrangements during the programme implementation (through annual PIR, MTR and TE, and programme M&E system as well as on an ad hoc basis depending on project developments).

To support the full application of UNDP SES and addressing the associated identified risks, the relevant SES tasks will involve the following steps (**Error! Reference source not found.**) taken during programme implementation by the PMU and the programme partners.

Table 6: Actions to support application of UNDP SES

Actions	Timeframe
Programme team awareness and training on compliance with UNDP SES and gender guidelines, the monitoring process, the grievance mechanism, and related issues	During the Programme initiation phase
Re-assessment of impacts and risks for the programme as a whole, reflecting current circumstances	In case the programme activities change and these changes trigger additional SES risks
Updated reporting on compliance with UNDP SES guidelines and update of the monitoring system	Annually (in the PIR/APR) and as required per any site's SES management plan
Validation of the monitoring and evaluation approach, and reporting with clear and verifiable indicators and means of verification	In the programme inception report and at programme completion
Periodic progress reporting as prescribed in the programme M&E plan	Concurrent with scheduled M&E activities
Programme M&E activities as prescribed in the programme M&E plan	Throughout the programme implementation
Programme Board assessment of compliance	Concurrent with Programme Board meetings and additionally as required
Awareness and establishment of grievance mechanism (in addition to the initial training module at programme inception--see first item).	At programme inception

The integration of safeguards management plans will need to consider institutional needs within the implementation framework for application of the ESMF, including the required budget allocations for each measure, as well as the authority and capability of institutions at different administrative levels (e.g., local, regional, and national), and their capacity to manage and monitor safeguards implementation.

7 STAKEHOLDER ENGAGEMENT AND INFORMATION DISCLOSURE

7.1 STAKEHOLDER CONSULTATION /ENGAGEMENT PLANS

Discussions with programme stakeholders were conducted during the programme design phase. These consultations spanned a wide range of stakeholders including relevant government departments, industry groups, NGOs, and individual community members and are available in Annex 4 (Gender Assessment & Action Plan) and Annex 5 (Stakeholder Engagement Report).

At the beginning of the implementation phase, each country will develop a Stakeholder Engagement Plan Framework (SEP) and Gender Action Plan (GAP). These plans will be followed to ensure that stakeholders are engaged in project implementation and particularly in the further assessment of social and environmental impacts and the development of appropriate management measures. The SEPs and GAPs will be updated during project implementation based on the assessments and management plans conducted in line with this ESMF, as needed. Potentially affected stakeholders will be engaged during the implementation of this ESMF.

The country-specific Stakeholder Engagement Plans (SEP), to be developed at inception following [UNDP's comprehensive SEP outline](#), will identify all stakeholder groups in each catchment, especially vulnerable/marginalized groups, and appropriate engagement/consultation mechanisms will be developed. The country-specific SEPs will consider the capacities of the various stakeholder groups to effectively participate in the stakeholder engagement activities and include measures to support them where capacity is limited.

The SEPs will identify programme-affected marginalized and disadvantaged stakeholders, including persons with disabilities. Consultations and outreach to these groups would involve explanations of specific eligibility and prioritization criteria to encourage their participation in CIP formulation workshops. At the same time, the project's NCs will provide specific technical assistance and facilitation to these groups to ensure development of eligible grant proposals. Vulnerable groups will also be represented on the catchment's multi-stakeholder platform, and a specific focal point for vulnerable groups will sit on the NCAC to practice due diligence in regard to their participation and inclusion in discussions and decision making.

As part of the stakeholder engagement process, UNDP's SES require that project stakeholders have access to relevant information. Specifically, the SES (SES, Policy Delivery Process, para. 21) stipulates that, among other disclosures specified by UNDP's policies and procedures, UNDP will ensure that the following information be made available:

- Stakeholder engagement plans and summary reports of stakeholder consultations.
- Social and environmental screening reports with project documentation.
- Draft social and environmental assessments, including any draft management plans.
- Final social and environmental assessments and associated management plans; and
- Any required social and environmental monitoring reports.

As outlined in the SES and UNDP's Social and Environmental Screening Procedure (SESP), the type and timing of assessments and management plans vary depending on the level of social and environmental risk associated with a project, as well as on the timing of the social and environmental assessment.

This ESMF (and the programme SESP) will be disclosed via the UNDP CO website in accordance with UNDP SES policy. The subsequent programme's ESMPs or stand-alone management plans will also be publicly disclosed via the UNDP CO website, once prepared. Additionally, a summary will be made available in the relevant local languages, and the content should be discussed in local languages with the communities. The Project Management Unit will be responsible for ensuring that the information

is channeled all the way to the project stakeholders to allow them to understand, comment on, and finally approve the SES documents.

The ESMF, ESIA, ESMPs, GAPS, SEPs, and any stand-alone safeguard management plans will be finalized and adopted only after the required period for disclosure has elapsed. These requirements for stakeholder engagement and disclosure will be adhered to during the implementation of this ESMF, and the subsequent implementation of the resulting ESMPs and any stand-alone management plans.

7.2 STAKEHOLDER CONSULTATION

The programme will be working with the following stakeholders:

- Governmental stakeholders. These will include the agencies in charge of project execution as well as other ministries/administrations whose role will be crucial for the implementation of specific project components and establishment of regulation and norms relevant to
- Local communities and community-based organizations (CBOs)
- Research institutes
- Private sector
- NGOs operating in the multiple dimensions of environment, communication, people mobilization, gender mainstreaming.
- National/local press and media, who will assist in public awareness.

The programme engages the relevant stakeholders in different ways:

- The stakeholders who are eligible to take active part in the project (like local communities, enterprises and CBOs/NGOs) will be kept informed through direct contacts in workshops, awareness raising events, emails and publication of information in the project website.
- The stakeholders who may have interest in project activity and which need to be informed because of potential positive or negative impact that the project will exert on them, will be mainly kept informed through communication tools aimed at reaching large audience, including TV broadcasting, radio, websites and newspapers.
- The stakeholders who have direct interest in understanding the project achievement and results, including regulatory, technological, scientific and methodological aspects, will be kept informed through regular publication of technical documents and project reports, which will be disclosed as per UNDP disclosure requirements.

7.3 MONITORING AND REPORTING OF ENGAGEMENT ACTIVITIES

The PMU will monitor the impacts of stakeholder engagement activities. Stakeholder engagement will form a regular agenda item at PMU meetings. Issues and risks identified will be recorded in project Risk Registers for ongoing monitoring and/or actioning as appropriate.

A summary of all stakeholder engagement activities in each country will be collated and made available to the public. The summary will contain the following information as a minimum:

- Stakeholder engagement activities implemented
- Dates and venues of engagement activities
- Information shared with stakeholders
- Outputs including issues addressed.

Outcomes of sharing sessions, consultations or responses to issues raised will be reported back to communities as per the SEP e.g., via the project website, newsletters, radio program, visits, meetings,

etc. The Stakeholder Engagement Plans will be monitored, reviewed at least annually and updated as required.

7.4 DISCLOSURE

The UNDP SES requires that a public record of stakeholder engagement throughout the project cycle be maintained and disclosed. In cases where it may be necessary to safeguard the identities of stakeholders due to potential harm, statistical information should be recorded and disclosed (SES, Part C, para. 28).

As part of the stakeholder engagement process, UNDP's SES require that project stakeholders have access to relevant information. Specifically, the SES (SES, Part C, para. 28) stipulates that, among other disclosures specified by UNDP's policies and procedures, UNDP will ensure that the following information be made available:

- Information on a project's purpose, nature and scale, duration, and potential risks and impacts
- Stakeholder engagement plans and summary reports of stakeholder consultations
- Social and environmental screening reports with project documentation
- Draft social and environmental assessments, including any draft management plans
- Final social and environmental assessments and associated management plans
- Any required social and environmental monitoring reports.

For Moderate and Substantial risk projects, drafts of any prepared assessments and related management plans (eg SESP, ESIA, ESMF/ESMPs, SEP) need to be disclosed and consulted on at least 30 days prior to project approval or initiation of relevant activities. When no separate assessment/management plan is needed, a summary of the analysis contained in the SESP together with the proposed management measures needs to be similarly shared with project-affected stakeholders. In addition, final assessments and management plans must also be disclosed.

To ensure the widest dissemination and disclosure of project information, including any details related to applicable environmental and social safeguards, local and accessible disclosure tools including audio-visual materials such as flyers, brochures, videos, and community radio broadcasts will be utilized in addition to other tools. Furthermore, particular attention will be paid to women, indigenous peoples, marginalized minority groups, illiterate or technologically illiterate people, and people with hearing or visual disabilities, people with limited or no access to internet and other groups with special needs. The dissemination of information among these groups will be carried out with the project counterparts and local actors such as municipalities, producers' associations, indigenous federations, organizations representing marginalized minority groups, women's organizations, government, and other regional actors.

8 CAPACITY BUILDING AND TRAINING

To implement this Environmental and Social Management Framework (ESMF) and the required instruments and tools prescribed in the framework effectively, a range of capacities are required across institutions, communities, and technical teams to ensure that environmental and social safeguards are not only designed but also applied consistently and sustainably to improve the project outcome.

As part of the country(catchment)-specific targeted E&S assessment, as described in Section 5.2, a capacity assessment will be conducted to determine SES training and support required by all project stakeholders in the three target watersheds, including communities. Based on the outcomes of this assessment, a SES training program will be developed as part of the catchment-specific Environmental and Social Management Plans (ESMP) that will be developed for the three targeted watersheds (see

Section 5.3). The ESMPs will outline capacity building and trainings required for their implementation based on the specific needs and gaps in the respective catchment areas.

The scope of the SES training program will be finalized during the SES capacity assessments and in consultation with the programme stakeholders. A preliminary scope of this program that covers capacity building to enable local actors at each watershed to contribute to the development, implementation and monitoring of environmental and social risk management measures is provided below:

SES capacity area	Topics	Types of capacity-building activities	Timing
Safeguards compliance framework	<ul style="list-style-type: none"> • AF ES Policy • UNDP's SES • Programme risks • ESMF and other instruments 	<ul style="list-style-type: none"> • Informative sessions as part of stakeholder engagement and consultations • Adapted materials and documentation translated to local languages 	At inception (Outputs 1.1 and 1.2)
Stakeholder engagement and participation	<ul style="list-style-type: none"> • Grievance redress mechanisms (GRM) • Stakeholder engagement • Gender and inclusion 	<ul style="list-style-type: none"> • Workshops • Focus Group Discussions 	Aligned with country-specific SEPs
Community Capacities	<ul style="list-style-type: none"> • Awareness of project impacts • Safeguards requirements • Participatory monitoring • Roles in decision making • Advocacy oversight 	Consultations/discussions with: Community members Project beneficiaries Project affected persons Vulnerable groups NGOs/CBOs	Quarterly updates and as-needed-basis
Mainstreaming of E&S into CIPs	<ul style="list-style-type: none"> • Integrating E&S considerations into grant proposals (Output 2.1) • E&S screening of interventions (section 5.1 of the ESMF) • Implementation of catchment-specific 	Workshops Site visits On-demand technical support	Quarterly updates and as-needed-basis

	ESMPs (section 5.3.2 of the ESMF)		
Policy & Regulatory Capacities	<ul style="list-style-type: none"> • Knowledge of national laws and regulations governing environment, labor, land acquisition, and human rights • Alignment with UNDP and AF safeguard policies • Capacity to enforce compliance through inspections, penalties, and corrective action, 	Workshops/discussions with: Community members Project beneficiaries Project affected persons Vulnerable groups NGOs/CBOs	At inception and annually

These capacity building and training activities will be led by the Country Safeguards and Gender Officers in the three countries and will be adequately financed within the budget allocation for the implementation of this ESMF.

Additionally, capacity building and technical assistance activities will be provided as needed by the three UNDP's Country Offices and UNDP's SES Specialists from the regional team to enable proper implementation of the ESMF.

9 GRIEVANCE MECHANISMS

9.1 INTRODUCTION

During implementation, and particularly construction phases of any project, a person or group of people can be adversely affected, directly or indirectly due to the project activities. The grievances that may arise can be related to social issues such as eligibility criteria and entitlements, disruption of services, temporary or permanent loss of livelihoods and other social and cultural issues. Grievances may also be related to environmental issues such as excessive dust generation, damages to infrastructure due to construction related vibrations or transportation of raw material, noise, traffic congestions, decrease in quality or quantity of private/ public surface/ ground water resources during irrigation rehabilitation, damage to home gardens and agricultural lands, etc.

9.2 COUNTRY-LEVEL GRM

The Grievance Redress Mechanism (GRM) is for people seeking satisfactory resolution of their complaints on the environmental and social performance of the Project.

Special attention will be placed on ensuring that grievances related to gender issues, such as harassment, will be catered for, and that the grievance process will be designed in such a way that it facilitates access for women.

The project GRM for each country will form an Annex to the Stakeholder Engagement Plans. An outline of the proposed GRMs is provided below.

Each country project will have its own grievance redress mechanisms in addition to formal official channels for grievance redress. The projects will establish the following structure at the county level for the various project sites. Communities and individuals will be able to access this structure directly through their representatives or via letter or phone. This structure is based on the UNDP guidance on grievance redress mechanisms.

All project related grievances will be received by a focal point. The contact details of the grievance focal point will be provided to all stakeholders and community members and their organisations. Complaints can also be routed through any staff associated with the project who will forward it to the relevant focal point. The focal point will acknowledge the receipt of the grievance and formally register the same on a designated log and centralised database at the national PMU in a prescribed format which includes a note on how the grievance will be processed and who will be responsible for proposing a response. If deemed necessary, the focal point will forward the grievance to the PMU. All grievances received will be duly acknowledged in writing and the acknowledgement will necessarily include a reference number, a point of contact in the PMU and a brief description of the process that will be followed. This acknowledgement will be provided within five working days from the receipt of the complaint. If the complainant cannot submit a grievance in writing, the focal person will write the complaint on the aggrieved person's behalf.

Each grievance received will be assessed for eligibility based on UNDP SES Stakeholder Engagement Guidance. This includes an assessment of whether the issue needs further clarification from the complainant or should be referred to other redress mechanisms or offices. Four of the broad criteria used to assess eligibility are:

- Information about negative economic, social or environmental impact by the project on the complainant or has the potential to cause such an impact.
- Specific information about the impact or probable impact is provided and how the project has or may cause it.
- Indication that the complainant is or represents those impacted or those who are at risk of being impacted by the project on their request.
- Information for the grievance redress mechanism staff to make a determination of the first three questions.

Once found eligible, the response may be any of three options: i) direct organisational action; ii) further engagement with the stakeholder and assessment of the grievance; iii) referral to a different mechanism using specific criteria that are transparent to the complainant. The relevant proposed response and why it is being proposed, or decision to not consider the complaint as eligible, will be conveyed to the complainant within three weeks in an appropriate manner (written or orally) and in the local language. The complainant will be provided an option to either proceed with the response, request a review of eligibility if needed, further dialogue on a proposed action or participation in a proposed assessment and engagement process to further pursue the complaint.

If the complainant agrees with the proposed response, the project will proceed with the relevant action or further assessment or referral. If the complainant challenges the finding of ineligibility, rejects the proposed action or refuses to participate in a more comprehensive engagement and assessment, the project staff will try and meet the complainants to provide additional information and if possible, will revise the proposed approach. If disagreement persists, the complainant will be informed about other recourse for the complaint and the outcome of the discussion will be documented. In sensitive and challenging cases the grievance redress mechanism may use independent assessments, mediation or adjudication to seek resolution of the case.

The grievance will be closed once the response is implemented and deemed satisfactory by the complainant. Written documentation of this may be required if the complaint involved a major risk, impact or negative publicity.

9.3 UNDP'S ACCOUNTABILITY MECHANISM

For more information: <https://www.undp.org/content/undp/en/home/accountability/audit/secu-srm/social-and-environmental-compliance-unit.html>

In addition to the project-level GRM, UNDP's SECU and SRM remain available, and stakeholders will be informed of this option to file a complaint or submit a request.

UNDP recognizes that even with strong planning and stakeholder engagement, unanticipated issues can still arise. Therefore, its social and environmental compliance reviews and stakeholder response mechanisms are underpinned by an Accountability Mechanism with two key components:

A Social and Environmental Compliance Review Unit (SECU) to respond to claims that UNDP is not in compliance with applicable environmental and social policies; and

A Stakeholder Response Mechanism (SRM) that ensures individuals, peoples, and communities affected by projects have access to appropriate grievance resolution procedures for hearing and addressing project-related complaints and disputes.

SECU and SRM Requests can be submitted via:

- An online webform: <https://secure.ethicspoint.eu/domain/media/en/gui/104895/index.html>
- WhatsApp, Viber and Signal using 001 (917) 207 4285, or through our WeChat Account @SECUSR
- Call (costs are incurred by caller) using 001 (917) 207 4285.
- By post: Attn: SECU/SRM, OAI, UNDP
1 U.N. Plaza, 4th Floor
New York, NY USA 10017
- By email to: project.concerns@undp.org

Complaints should be as specific as possible, describing current or potential adverse impacts that have a plausible causal link to a UNDP-supported project/programme and, if possible, the UNDP social and environmental standards/commitments that are believed to have been violated.

While there are no strict format or language requirements, it is helpful if the complaint includes the following information:

- Name, address, telephone number, and other contact information.
- Whether the Complainant(s) wish to keep their identity confidential, and if so, why.
- Name, location, and nature of the UNDP project or programme (if known).
- How the Complainants believe they have been, or are likely to be, adversely affected by the UNDP-supported project or programme.
- If a third party, such as a civil society organization, is filing a complaint on behalf of an affected individual or community, the complaint should include evidence the third party is working on behalf of the individual or community.
- Although helpful, it is not necessary to cite specific UNDP standards or policies (such as the UNDP's Social and Environmental Standards).

Existing national and sector forums may also provide important opportunities for stakeholders to provide feedback on project implementation. Utilization of existing structures and processes to engage stakeholders is encouraged, as this may provide opportunities for issues to be raised before

they develop into more significant grievances. However, such fora would not substitute for specific project grievance redress mechanisms (GRM) that will be required.

9.4 ADAPTATION FUND RESPONSE MECHANISM

At the Adaptation Fund level, the grievance redress mechanism is the “Ad hoc Complaint Handling Mechanism (ACHM)”, a formal process for individuals and communities to raise concerns about potential negative impacts from projects it funds. To file a complaint, submit a document with the complainant's and representative's information, project details, and information on the alleged harm. Complaints must be filed before the final evaluation report of the project is submitted.

Complainants can access the AF Ad Hoc at: <https://www.adaptation-fund.org/projects-programmes/accountability-complaints/ad-hoc-complaint-handling-mechanism-achm/>

Complaints regarding projects/programmes supported by the Fund can also be filed with the secretariat at the following address:

Adaptation Fund Board Secretariat
Mail stop: MSN P-4-400
1818 H Street NW
Washington DC 20433 USA
Tel: 001-202-478-7347
afbsec@adaptation-fund.org

10 MONITORING AND EVALUATION ARRANGEMENTS

10.1 PARAMETERS TO BE MEASURED

Reporting on progress and issues in the implementation of this ESMF will be documented in the project's implementation reports (PIRs) and annual project implementation reports (APRs). The PMU, with support from UNDP CO, will be responsible for compiling reports on the implementation of this ESMF, for reporting to the Project Board. Key issues will be presented to the Project Board during each meeting.

The project results, corresponding indicators, and mid-term and end-of-project targets in the project results framework will be monitored annually and evaluated periodically during project implementation. Project-level monitoring and evaluation will be undertaken in compliance with UNDP requirements. The UNDP Country Office is responsible for ensuring full compliance with all UNDP project monitoring, quality assurance, risk management, and evaluation requirements.

The ESMF monitoring and evaluation plan is outlined below in Table 7. Stakeholder participation will be encouraged throughout monitoring and evaluation of the ESMF.

Table 7 ESMF Monitoring and Evaluation Plan

Monitoring Activity & Relevant Projects	Description	Frequency / Timeframe	Expected Action	Roles and Responsibilities
Track progress of ESMF implementation	Implementation of this ESMF with results reported to Project Board at each meeting	Quarterly	Required ESMF steps are completed in a timely manner.	Safeguards Officer / PMU
Development of targeted assessment/ESMP (for each CIP)	Carried out in a participatory manner, in-depth analysis of potential social and environmental impacts, as well as identification / validation of mitigation measures	To be completed prior to construction activities commencing	Risks and potential impacts are assessed with support of external consultants and participation of project team and stakeholders; management actions identified and incorporated into project implementation strategies.	Safeguards Officer
Compliance with Consent Authority approval conditions	Consent conditions from approval authorities will detail the environmental and social controls required for construction activities	Continuous		Construction Contractors Audits by Safeguards Officer
Implementation of mitigation measures and monitoring of potential impacts identified in targeted assessment(s)	Permanent and participatory implementation and monitoring of impacts and mitigation measures	Continuous	Monitoring of environmental and social risks, and corresponding management plans as relevant	Safeguards Officer PMU
Learning	Knowledge, good practices, and lessons learned regarding social and environmental risk management to be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project.	At least annually	Relevant lessons are captured by the project teams and used to inform management decisions.	PMU
Annual project quality assurance	The project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project	Annually	Areas of strength and weakness will be reviewed and used to inform decisions to improve project performance	UNDP CO
Review and make course corrections	Internal review of data and evidence from all monitoring actions to inform decision making	At least annually	Performance data, risks, lessons and quality will be discussed by the project steering committee and used to make course corrections	PMU

Monitoring Activity & Relevant Projects	Description	Frequency / Timeframe	Expected Action	Roles and Responsibilities
Annual project implementation reports	As part of progress report to be presented to the Project Board and key stakeholders, analysis, updating and recommendations for risk management will be included	Annually	Updates on progress of ESMF/ESMP will be reported in the project's annual PIRs. A summary of the avoidance and mitigation of potential social and environmental impacts will be included in the program annual report, sharing best practices and lessons learned across the program.	PMU
Project review	The Project Board will consider updated analysis of risks and recommended risk mitigation measures at all meetings	At least annually	Any risks and/ or impacts that are not adequately addressed by national mechanisms or project team will be discussed in project steering committee. Recommendations will be made, discussed and agreed upon.	Project Board

11 BUDGET FOR ESMF IMPLEMENTATION

Funding for implementation of the ESMF is included in the project budgets. The estimated costs are indicated in

Table 8 Budget estimate for implementation of ESMF

Item	Budget Cost (USD)
Programme Level Roles	
Safeguards Specialist	\$ 110,000
Gender Specialist	\$ 110,000
Country-Level Roles	
Country Safeguards and Gender Officers (all three countries)	\$ 680,000
Development of country-specific E&S targeted assessment/ ESMPs	\$ 150,000
Travel	\$ 100,000
Country-specific Gender Action Plan (GAP) implementation, including consultancy	\$ 500,000
Auditing	\$ 80,000
Total:	\$ 1,730,000

12 APPENDICES

Templates for SESP, SEP, ESIA and ESMP available at:

https://info.undp.org/sites/bpps/SES_Toolkit/Pages/Guidance-and-Templates.aspx

Appendix 1: SESP Screening

Insert the program level screening

Annex 3 – Climate Rationale Summary

Financing Locally Led Adaptation and Nature-based Solutions for Catchment Resilience in Southern Africa

Zimbabwe

Observed Climate Changes

Temperature Trends

- Mean annual temperatures have increased by 1.6°C–1.8°C between 1961 and 2010, which is twice the global land-based rate (~1°C per century).
- Average temperatures across Southern Africa have risen by 0.1–0.25°C per decade since 1980, with Zimbabwe among the hotspots.

Rainfall Patterns

- Significant reductions in summer precipitation (Nov–Mar) since the 1960s.
- Recent dry spells (2024) marked the lowest January–February rainfall in 40 years.
- Rainfall patterns show strong interannual variability linked to ENSO and Indian Ocean Dipole events, contributing to alternating floods and droughts.

Extreme Events

- Cyclone Idai (2019) displaced 51,000 people, damaged 634 km of roads, and affected 140 schools and 18 water supply centers.
- In 1992, drought caused a 45% decline in agricultural production, 9.3% drop in manufacturing output, and 11% GDP reduction.
- In 2019, drought left ~8.5 million people food insecure (5.5M rural, 3M urban).

Impacts

- Heat stress affecting crop yields (maize, rice, wheat), livestock productivity, and human health.
- Severe droughts have repeatedly reduced crop production, increased livestock mortality and reduced water resource availability.
- Zimbabwe is highly prone to riverine floods; nine major floods between 1900–2017 affected over 300,000 people, caused 270+ deaths, and led to US\$270 million in losses.

Projected Climate Changes

Temperature

- Annual average temperature is projected to rise by 1.5°C–2.1°C under RCP4.5 and 3°C–6°C under RCP8.5 by 2065.
- By the end of the century, increases of 3°C–5°C are expected under RCP4.5 and RCP8.5 scenarios.
- Heatwave frequency could increase by up to 80% (RCP4.5) and 87% (RCP8.5), with inland areas experiencing longer and more intense heatwaves.

Rainfall

- Annual precipitation is projected to decline by 0–5% under RCP4.5 and up to 20% under RCP8.5.
- Increased consecutive dry days and shorter rainy seasons are expected, alongside more intense rainfall events.

- Heavy rainfall events will likely increase flood risks and soil erosion, while drought frequency and duration will rise (up to 4 months under RCP8.5).

Extreme Events

- Floods: More frequent and intense floods driven by heavy rainfall and tropical cyclones, causing infrastructure damage and health risks.
- Droughts: Longer and more severe droughts projected,

Impacts

- Water resources: Reduced streamflow by ~20% in Zambezi and ~35% in Limpopo basins by 2050.
- Agriculture: Crop yields (maize, sorghum, sugarcane) expected to decline significantly under hotter and drier conditions, especially in low-input systems.
- Livestock: Increased heat stress will reduce fertility and productivity, with cattle most affected.

Eswatini

Observed Climate Changes

Temperature Trends

- Average temperatures have increased by more than 3°C since 1950.
- Upward trends in both minimum and maximum temperatures observed.

Rainfall Patterns

- Downward trend in Mean Annual Rainfall (MAR).
- Shorter rainy season and fewer rainy days.

Extreme Events

- More frequent and prolonged droughts.
- Increased frequency and intensity of extreme rainfall events.
- Increased intensity of floods causing crop and infrastructure damage.

Projected Climate Changes

Temperature

- Mid-century (2040–2059): SSP2-4.5: +1.28°C; SSP5-8.5: +1.65°C above historical median.
- End-century (2080–2099): SSP2-4.5: +2.04°C; SSP5-8.5: +4.53°C.
- Heatwave frequency could increase by up to 80% (SSP2-4.5) and 87% (SSP5-8.5).

Rainfall

- Annual precipitation: SSP2-4.5: slight increase (+10 to +19 mm); SSP5-8.5: mostly negative anomalies (–7 mm to 0 mm).
- Seasonal shifts: Early season declines up to –7 mm; peak summer increases up to +11 mm.
- Implications: Higher runoff, flash floods, soil erosion, and reduced infiltration.

Extreme Events

- Heatwaves: Longer and more frequent under both scenarios.
- Droughts: Intensify with reduced early-season rainfall and higher evapotranspiration.
- Flooding: Increased risk due to concentrated heavy rains in summer months.

Zambia

Observed Climate Changes

Temperature Trends

- Average temperatures increased 0.18°C decade⁻¹
- Increased 0.15°C decade⁻¹ in Central Province since 1951.

Rainfall Patterns

- Long-term rainfall trends show a slight decline nationally, with geographic variation:
- Northern Zambia: decreasing rainfall.
- Southern Zambia: slight increase.
- Central Province minor increase of ~6.4 mm/decade, but high variability.
- Rainy season onset is increasingly delayed, and the season is shorter.

Extreme Events

Historical drought years include:

- 1987/88, 1991/92, 1994/95, 1997/98, 2001–03, 2004/05, 2011/12, 2015/16, 2018/19.

- Recent severe droughts:

- 2015–16: Major El Niño event caused crop failures and water shortages.
- 2019–20 & 2021–22: Intensified dry spells.
- 2024: Declared national emergency, affecting 84 of 116 districts, damaging >1 million hectares of cropland, and putting 6.6 million people at risk.

Impacts

- Agriculture: Reduced maize yields, crop failures, shortened growing periods.
- Livestock: Heat stress, reduced pasture, increased disease outbreaks.
- Water Resources: Lower river flows and reservoir levels, threatening irrigation and hydropower.
- Hydropower: Hydropower shortages caused load-shedding (up to 8 hours/day in 2024).
- Ecosystems: Increased deforestation and land degradation as coping mechanisms.

Projected Climate Changes

Temperature

- SSP2-4.5: +0.35°C by 2040; +2°C by 2100.
- SSP5-8.5: +1°C by 2040; +5°C by 2100.
- Hot Days (>35°C): Increase by ~88 days/year by 2080; up to 140 days/year in southern Zambia.

Rainfall

- Annual precipitation: SSP1-RCP2.6: slight increase in north (+6% by 2080); SSP3-RCP7.0: decrease in south/central (~12% by 2050).
- Heavy Rainfall Events: Intensify in north/east; decrease in west/south.
- Extreme Rain Days (>50 mm): Slight increase in Lunsemfwa & Mkushi catchments.

Extreme Events

- SPEI Index: Increasing drought severity under SSP2-4.5 and SSP5-8.5.
- Extreme Drought (SPI < -2): Incidence projected to triple, strongest in Central Province under SSP3-7.0.

Impacts

- Agriculture: Maize yields could decline 20–40% without adaptation; sorghum losses up to 28% by 2090.
- Water Resources: National water availability projected to drop 13% by 2100; per capita availability falls to ~4,800 m³/year.
- Hydropower: Generation could decline by up to 28% by 2080; increased siltation risks.
- Livestock: Heat stress and reduced pasture quality will lower productivity.

Annex 4 – Gender Assessment and Action Plan

Financing Locally Led Adaptation and Nature-based Solutions for Catchment Resilience in Southern Africa

This Annex operationalizes the Adaptation Fund Gender Policy (2021) and UNDP’s Gender Equality Strategy (2022–2025) for the *Financing Locally Led Adaptation and Nature-based Solutions for Catchment Resilience in Southern Africa* programme across Eswatini, Zambia, and Zimbabwe. It applies an intersectional, rights-based lens to identify gendered vulnerabilities, capacities, and opportunities in delivering nature-based solutions, catchment governance, climate-resilient agriculture, and access to finance, and translates findings into a Programme-level Gender Action Plan (GAP) with measurable targets, roles, and budgets.

During programme design gender assessments were carried out determining the different needs, capabilities, roles and knowledge resources of women and men in each country and identifying how changing gender dynamics might drive lasting change. The assessment draws on national policy frameworks, government gender commitments, community consultations, and recent sector studies. It examines gender roles, division of labor, access to resources and finance, participation in governance processes, and gendered vulnerabilities to climate change. The programme-level Gender Action Plan integrates findings from each country and provides a harmonized set of interventions, approaches, and indicators designed to strengthen gender equality and ensure that women, men, and marginalized groups benefit equitably from programme activities.

1. Eswatini: Gender Assessment

Country context and gender equality landscape

In Eswatini, traditional gender norms and inequalities persist, with distinct roles assigned to men and women. Women typically handle domestic tasks, caregiving responsibilities, and subsistence farming, while men occupy leadership positions, make household and community decisions, and participate in income-generating jobs. According to Action for Southern Africa (ACTSA), women in Eswatini continue to encounter serious challenges in terms of rights recognition and face discrimination and marginalization rooted in political, economic, and socio-cultural norms. These structural inequalities permeate public, private, and community life, affecting women’s access to resources, decision-making, and economic empowerment.

government has demonstrated commitment to gender equality through participation in global, regional, and sub-regional conventions, accords, and treaties. Eswatini ratified the Convention on the Elimination of All Forms of Discrimination Against Women (CEDAW) in 2004 and the Convention on the Political Rights of Women in 1970. At the regional level, the country ratified the Protocol to the African Charter on Human and People’s Rights on the Rights of Women in Africa (Maputo Protocol) in 2004 and aligns with the African Union Gender Equality and Women’s Empowerment Strategy (2018–2028). At the sub-regional level, Eswatini is a signatory to the SADC Protocol on Gender and Development, aimed at empowering women, eliminating discrimination, and achieving gender equality through legislation, institutional reform, and policy development.

This participation has influenced national gender machinery and informed key frameworks, including the National Gender Policy (2010) and the National Strategic Development Plan. These frameworks aim to challenge traditional gender roles, increase women's participation in decision-making processes, strengthen institutional capacity for gender equality, and improve access to education and economic opportunities for women.

Gender roles, division of labor, and time use

Women's roles in Eswatini are heavily shaped by cultural norms that assign responsibility for domestic tasks and unpaid care work almost exclusively to women. Survey data indicates that 91% of farmers responsible for domestic work are women, reflecting a deep gendered division of labor. Approximately 55% of respondents spend more than four hours daily on domestic activities, including food preparation, cleaning, and water collection. Among the 30% of households who walk long distances to fetch water, 88% are women, further underscoring women's time poverty and physical burden.

Care work similarly falls disproportionately on women: 45% of respondents spend more than four hours per day on caregiving duties, including childcare, elder care, and support for sick or disabled family members. These responsibilities significantly limit women's availability to participate in environmental management, decision-making, climate adaptation initiatives, and income-generating activities. Men, by contrast, have substantially more time to participate in community activities, environmental management, and wage employment.

Access to assets, land, finance, and resources

Gender inequality in property ownership is a major barrier in Eswatini. Women face discrimination in accessing land, owning property, and securing inheritance rights. Under customary law, women have restricted access to Swazi National Land, which is held in trust by chiefs. This limits women's land security, autonomy, and ability to engage in climate-resilient livelihood activities. Despite constitutional requirements permitting women to register private property in their names, customary law has not been fully harmonized with statutory provisions, leading to ongoing discrimination and constrained access to land.

Access to finance presents similar barriers. Due to lower levels of education, limited exposure to formal financial systems, and heavy care burdens, many women lack the documentation, financial literacy, and confidence required to apply for loans or manage formal credit. Community consultations confirm that most women in the project area have not attained secondary education, limiting their ability to complete financial forms and fully engage in capacity-building initiatives. These constraints restrict women's ability to invest in improved agricultural practices, climate-resilient technologies, or small-scale enterprises.

Participation, leadership, and decision-making

Women's participation in environmental management and natural resource governance is limited by both structural and cultural constraints. While both men and women face general barriers - such as limited knowledge about environmental management strategies, prioritization of immediate needs over sustainability, and inadequate institutional support - gender-specific barriers further restrict women's involvement. Cultural norms position environmental management and community leadership as male responsibilities, reinforcing women's exclusion.

Time poverty, restricted mobility, and limited access to training and information prevent women from engaging meaningfully in environmental decision-making or community governance bodies.

As a result, women's perspectives and knowledge, despite being central to household natural resource management, remain underrepresented in climate adaptation processes.

Gendered vulnerabilities to climate change

Women in Eswatini experience climate change impacts more severely due to the intersection of gendered labor roles, restricted land rights, limited access to assets, and greater dependency on natural resources for household survival. Women's responsibilities for water, fuel, and food production expose them to climate-induced resource scarcity, while their constrained access to information and financial services reduces their ability to respond to or prepare for climate-related risks.

High unemployment (32% for women compared with 24–28% for men) combined with concentration in informal and low-income sectors (where women earn 67% less than men) further increases women's vulnerability. Climate variability exacerbates these inequalities by intensifying workload burdens, disrupting agricultural livelihoods, and undermining household resilience.

Key barriers Faced by women, youth, and marginalized groups

Multiple and intersecting barriers limit women's full participation in climate-resilient development:

- **Customary law restrictions** on land access and ownership.
- **Limited access to finance**, including collateral requirements and exclusion from formal financial systems.
- **Lower levels of education and literacy**, restricting engagement in training and financial processes.
- **Gender-based violence**, including high rates of sexual violence, which restrict women's mobility, safety, and agency.
- **Entrenched social norms** that designate leadership, environmental management, and public decision-making as male domains.
- **Time poverty and unpaid care burdens**, limiting participation in training, planning, and livelihood activities.

These barriers jointly reduce adaptive capacity and reinforce existing vulnerabilities in the face of climate shocks.

Enabling factors and Government initiatives

Despite persistent gender inequalities, Eswatini has made measurable progress in creating an enabling policy environment. Government and civil society organizations are working to address gender-based violence, promote male engagement in reproductive health, and strengthen policy responses through legislative reforms such as the Sexual Offences & Domestic Violence Bill (2015) and the National Strategy for Prevention & Response to Violence.

Community consultations conducted during programme design also reveal a strong desire among rural communities for equal participation of all community members, including women, in climate adaptation and natural resource initiatives. This provides a promising basis for inclusive programme implementation.

Implications for the programme

Building on national commitments and community perspectives, the programme mandates at least 50% women's participation and representation across all activities. The only exception is livestock herding, due to deeply rooted cultural restrictions, the isolated nature of herding work, and associated safety concerns for women. In all other components, the programme will address gender-specific vulnerabilities, expand women's access to training, land-related decision processes, financial services, and climate-resilient livelihood opportunities, and ensure gender-responsive planning, budgeting, and monitoring across implementation.

2. Zambia: Gender Assessment

Country context and gender equality landscape

Zambia's population was estimated in 2022 at over 19.6 million (10 million females and 9.6 million males), with 60.2 percent living in rural areas and 39.8 percent in urban areas. Poverty remains widespread, with 60 percent of the population living below the poverty line and women and children constituting the majority of those affected. Female-headed households experience higher poverty rates (63.4 percent) than male-headed households (58.8 percent).

Many Zambians, particularly those in rural areas, rely on customary law governed by their tribal groups to determine rights and responsibilities related to land, inheritance, property, marriage, and conflict resolution. Although statutory law promotes gender equality, deeply rooted patriarchal norms remain dominant across Zambia's diverse tribal systems. These norms restrict women's agency, mobility, and independence. Men are generally recognized as heads of household, control most productive resources, and dominate decision making within families and communities. Social norms and cultural beliefs often override statutory protections, particularly in rural settings where customary institutions are strong. Zambia ranks very low on gender gap reduction, positioned at 146 out of 178 countries on the Gender Inequality Index (GII). Women tend to be concentrated in peripheral, insecure, and undervalued forms of employment, including agriculture, domestic work, casual labor, and part-time work.

Gender roles, division of labor, and time Use

Agriculture is central to Zambia's economy and dominated by smallholders primarily engaged in subsistence farming. Maize is the dominant staple, with other key crops including wheat, sorghum, millet, cassava, soybeans, fruits, and vegetables. Women play an essential role in smallholder agriculture, but under highly unequal conditions. They face significant disadvantages in land ownership, access to agricultural inputs, and decision-making authority, contributing to persistent productivity gaps between male-headed and female-headed households. During the 2022–2023 agricultural season, 72.7 percent of farming households were male-headed. While on-farm diversification has been shown to improve food security and empowerment among female-headed households, these benefits remain constrained by unequal access to productive resources and limited market opportunities.

The gendered division of labor is deeply entrenched. Women and female youth carry the majority of reproductive and domestic responsibilities, including sweeping, cooking, washing clothes, washing dishes, ironing, bathing and preparing children for school, and collecting water. Men's involvement in these tasks is minimal. As a result, men and male youth have substantially more time available for productive agricultural work and community engagement. Women's

participation in productive activities is increasing, including in farming and produce marketing, but time poverty remains a major barrier. In community settings, women are often responsible for communal labor such as preparing food and cleaning during funerals, church gatherings, and other social events, while men participate more in public decision-making and leadership activities.

Access to assets, land, finance, and resources

Men dominate decision-making roles at all levels, from traditional leadership structures to local government bodies. Women's participation in Ward Development Committees (WDCs) remains low, resulting in limited representation in local planning, resource allocation, and development decision making. Farmer cooperatives generally have balanced membership, but leadership positions remain male dominated. At household level, men make most significant decisions, with only widowed or single women reporting a greater degree of autonomy. Women tend to control smaller, daily household decisions while men decide on major issues such as the sale of family assets.

Access to finance remains a major challenge for women, men, and youth, driven by limited availability of financial service providers and stringent requirements for collateral. Men tend to have a slightly higher chance of obtaining credit due to their greater control over productive assets. In the project area, two financial services were identified: a loan service provided by Agora, available to men, women, and youth; and a microfinance service catering exclusively to women. Both require collateral, including household items and traditional land. While many women accessed microfinance loans, collateral requirements still excluded youth and marginalized groups due to their limited assets, lack of financial literacy, and absence of credit histories.

Cultural norms also shape financial access. Financial institutions often perceive women as less bankable due to limited asset ownership, gender biases within lending practices, and women's time constraints related to domestic responsibilities. Even when women secure loans, married women often lack control over decisions regarding how the funds are used, reinforcing unequal power dynamics within households.

Furthermore, most financial institutions primarily serve established farmers and do not adequately reach remote or marginalized areas. Women and youth in Upper Lusemfwa face additional constraints due to low education levels and limited awareness of existing credit programs. Complex loan application procedures further exacerbate exclusion and reduce opportunities for accessing climate-resilient investments.

Participation, leadership, and decision making

Traditional patriarchal norms significantly limit women's participation in leadership roles, environmental governance, and community decision-making structures. Men dominate decision-making bodies at household, community, and institutional levels. Women's limited mobility, time poverty, and restricted access to information and education further reduce their ability to influence community decisions or participate in processes that shape land use, natural resource management, and climate adaptation planning. Even when women participate in community structures, their influence is often constrained by entrenched gender hierarchies and expectations around deference to male authority.

Gendered vulnerabilities to climate change

Climate change intensifies existing inequalities in Zambia. Women in rural communities rely heavily on natural resources for subsistence and bear responsibility for agricultural production, household energy supply, and childcare. These responsibilities amplify their exposure to climate-related shocks such as drought, erratic rainfall, and declining soil fertility. Women's ability to adapt is further undermined by limited access to financial resources, training, climate information, and decision-making processes. Their restricted land tenure security and limited agency hinder long-term investments in soil fertility, irrigation, and other climate-resilient measures. As a result, rural households and communities become more vulnerable, and gender disparities in resilience continue to widen.

Key barriers faced by women, youth, and marginalized groups

Women, youth, and marginalized groups face multiple intersecting barriers that compound their vulnerability: discriminatory customary laws; limited ownership and control of land and assets; lower education and literacy; restricted access to finance; exclusion from decision-making structures; time poverty linked to unpaid care work; and persistent institutional gender biases within lending and extension services. These structural and cultural constraints not only limit economic opportunities but also hinder participation in climate adaptation and resilience-building initiatives.

Enabling factors and implications for the programme

Addressing these inequalities is essential for the programme's success. Women's active participation in catchment investment planning and governance structures, including catchment platforms and community institutions, is critical. Meaningful participation requires intentional and inclusive approaches, ensuring that women help define mandates, structures, and operational modalities for new governance bodies. Strengthening gender responsiveness among programme partners (particularly ZANACO) is essential. This includes gender training, development of gender-responsive loan products such as flexible repayment schedules, smaller loan sizes, and group lending mechanisms targeting women and youth.

UNDP should support ZANACO in establishing inclusive eligibility criteria that recognize alternative forms of collateral, such as group guarantees, asset financing, and social collateral. Implementing partners should deploy targeted outreach campaigns in local languages through radio, extension services, and farmer cooperatives, while partnering with women's and youth organizations for community awareness and mobilization. To reduce access barriers, loan application procedures should be simplified and supplemented with pre-application training on financial literacy and business planning. Inclusion targets for women, youth, and vulnerable groups should be embedded in programme delivery to ensure equitable participation and benefits.

3. Zimbabwe: Gender Assessment

Country context and gender equality landscape

Women and children are the primary natural resource users in Zimbabwe, including land, water, forests, and the environment, and they are also the primary caregivers for animals and livestock across Africa and within Zimbabwe (FAO 2025). While women carry the bulk of agricultural and environmental responsibilities, most men engage in migrant work in towns and other countries. Outmigration rates are notably high in the study provinces, 17.7 percent in Manicaland, 24.2 percent in Masvingo, and 20.5 percent in Matabeleland South, exceeding the national average

of 14.9 percent (ZIMLAC 2025:49). As a result, women are often left to manage households, care for children, and take responsibility for land and livestock in rural areas. Their daily work includes fetching water and firewood, cooking, cleaning, and caring for children, the elderly, and the sick (Chipenda 2025). These factors create a disproportionate burden of domestic labor on women and shape their participation in agriculture and broader economic life.

Gender roles, division of labor, and time use

Rural women spend most of their time performing domestic tasks, including collecting water, gathering firewood, cooking, and caring for dependents (Chipenda 2025; Mugari et al. 2024). Men, on the other hand, are traditionally expected to earn income outside the home, although opportunities in the formal sector have sharply declined due to Zimbabwe's ongoing economic challenges and rising unemployment. This has expanded the informal sector, where many women now work as vendors or small business owners, taking on productive responsibilities while continuing to shoulder their unpaid care work. This results in a double burden of both productive and reproductive labor. Women in polygamous marriages are often especially disadvantaged, as the demands of supporting several households often exceed men's capacity, leaving women responsible for most expenses and caregiving.

Access to assets, land, finance, and resources

Socio-cultural and institutional barriers to women's participation in agriculture are rooted in deeply entrenched patriarchal and discriminatory norms that position women as secondary to men. These norms discourage women from taking leadership roles or making independent decisions within households. Evidence from rural Binga, Manda, and Mvumi (Manda and Mvumi 2010) shows that agricultural and livelihood decisions must typically be made by men. In extended households, daughters-in-law are sometimes required to seek permission from mothers-in-law before selling agricultural produce, demonstrating the layered gender and generational hierarchies that shape women's agency.

Access to land and resources is similarly shaped by patriarchy. Men typically access and control land, while women rely on relationships with male relatives (fathers, husbands, brothers, or sons) to use land (Chadambuka and Helliker 2024). The 2023 Zimbabwe Vulnerability Assessment Committee (ZIMVAC) report shows that age, marital status, education level, religion, household size, geographical location, disability, and chronic illness further influence asset ownership and access (Kembo et al. 2023). Educated and employed women may be able to purchase land for farming, but women from ethnic minority groups living in semi-arid areas face deepened marginalization due to intersectional disadvantages linked to patriarchy, land scarcity, and limited access to safe water. Men also control large livestock such as cattle, sheep, and goats, making decisions regarding their sale or slaughter, while women often manage small livestock such as poultry. Uneducated women, women from minority groups, and politically marginalized women face the greatest barriers, while powerful men maintain preferential access to land, water, and financial resources (Chadambuka and Helliker 2022; Chipenda 2019).

Water access is essential for rural communities, particularly in communal lands reliant on rainfed agriculture. Climate change has made water availability more unpredictable, reducing household and agricultural resilience. The 2023 ZIMVAC report calls for scaling up the Accelerated Irrigation Rehabilitation and Development programme, which focuses on rehabilitating and expanding irrigation schemes to improve crop and livestock production (Kembo et al. 2023). Women, who are primarily responsible for water collection and domestic water management, are heavily

affected by declining water availability and must walk longer distances to secure water during droughts, exacerbating time poverty and physical strain.

Participation, leadership, and decision making

Gender roles in Zimbabwe position men as breadwinners and public actors, while women are associated with domestic labor and support roles. Exclusionary cultural practices and social norms reinforce women's subordination through inheritance patterns and leadership structures that favor male authority (Chipenda 2019). Traditional, political, and administrative leadership positions remain predominantly occupied by men, despite improvements in women's education and efforts to mainstream gender equality in governance. Women's limited representation in leadership roles often translates into restricted participation in community decision-making processes. Social norms require many women to seek permission from male relatives to participate in community projects, attend meetings, or assume local leadership roles.

Gendered vulnerabilities to climate change

Global, regional, and national evidence underscores that climate change impacts are highly gendered in Zimbabwe. Women disproportionately experience the effects of climate variability because of their reliance on climate-sensitive resources, particularly as primary managers of household water, energy, and food systems. Studies on climate smart agriculture in Zimbabwe highlight the specific constraints women face and the importance of a gender-responsive adaptation approach (Sibanda 2025). Climate risks, including droughts, cyclones, erratic rainfall, and rising temperatures (Chadambuka et al. 2022), are not experienced equally across society. Women constitute 52 percent of the population and are heavily concentrated in rural communal areas in Natural Farming Regions 3–5, which are semi-arid, have poor soils, and are highly susceptible to climate shocks. Poverty in these areas is widespread, with women disproportionately affected due to limited access to assets, information, and formal support systems.

Policy frameworks at global and national levels increasingly recognize the link between gender equality, climate resilience, and food security. FAO's Policy on Gender Equality (2020–2030) emphasizes the centrality of gender-responsive strategies for building sustainable and resilient food systems. Zimbabwe's National Agricultural Policy Framework (NAPF) 2021–2030 includes gender mainstreaming as a guiding principle. These policies support the need for climate adaptation technologies such as dam construction, irrigation schemes, and agro-processing to strengthen livelihoods, reduce losses, add value to agricultural products, and promote women's economic empowerment.

Key barriers faced by women, youth, and marginalized groups

Gender is a critical factor shaping adaptation capacity in rural households and communities. Men have better access to land, water, and financial services, while women struggle to access and control resources, even though they are the main resource users. Barriers such as discriminatory social norms, institutionalized patriarchy, limited financial autonomy, and restricted decision-making authority constrain women's resilience. Although some policies and programmes now provide opportunities for women to access loans and credit, uptake remains limited due to collateral requirements, financial illiteracy, and male-dominated household decision-making structures. While male outmigration has given some women increased decision-making responsibilities, they are still expected to defer to male relatives or family patriarchs for major decisions. Culture and religion continue to influence norms, beliefs, and practices that sustain patriarchy and restrict women's opportunities in agriculture, irrigation, finance, and leadership.

Enabling factors and implications for the programme

Recognizing women's central roles in natural resource management, agriculture, and household resilience, the gender assessment concludes with a set of practical recommendations to strengthen women's participation in agriculture and leadership roles; improve access to loans, credit, and irrigation technologies; and enhance decision-making power in water management and other climate-relevant domains. These recommendations are integrated into the programme's Gender Action Plan, which outlines activities, targets, and implementation measures aligned with the Adaptation Fund Gender Policy and UNDP's social and environmental standards.

Cross-country gender assessment synthesis

Across Eswatini, Zambia, and Zimbabwe, the assessments reveal a consistent pattern of gendered constraints that limit women's participation in climate-resilient livelihoods, decision-making structures, and natural resource governance. In all three countries, women shoulder the majority of unpaid domestic and care responsibilities, face restricted access to land and productive assets due to customary laws and patriarchal norms, and have limited control over financial resources and agricultural outputs. Women experience heightened vulnerability to climate-related shocks because of their dependence on climate-sensitive resources and their limited ability to adopt adaptive technologies, practices, or financial instruments. Despite these shared constraints, each country has demonstrated strong commitment to gender equality through national policies, legal reforms, and sectoral strategies. These commonalities provide a strong foundation for the regional programme to implement harmonized, gender-responsive adaptation measures while tailoring specific interventions to local social norms and institutional contexts.

4. Proposed Gender Action Plan

This Gender Action Plan ensures that the programme complies with the Adaptation Fund Gender Policy through (i) preventing gender harm (“do no harm”), (ii) addressing structural gender inequalities (“do good”), and (iii) enabling gender-transformative opportunities where feasible. This GAP is fully informed by the programme’s Gender Assessments, which identified differentiated climate vulnerabilities, socio-economic barriers, and institutional gaps affecting women, men, youth, and marginalized sub-groups in the three participating countries.

Gender actions under the programme apply an intersectional approach, recognizing that women’s and men’s climate vulnerabilities differ by age, disability, ethnicity, poverty status, land tenure, and caregiving burdens. Special emphasis will be placed on young women, women with disabilities, female-headed households, and marginalized ethnic groups.

Objective	Actions	Indicator and Targets	Responsible Institutions	Allocated Budget (\$US)
Outcome 1: Catchment Investment Programmes, consisting of multiple complementary resilience-enhancing initiatives, prepared by local communities and organizations and relevant stakeholders.				
Output 1.1: Multi-stakeholder National Catchment Adaptation Committees established (NCACs)	Ensure minimum 50% women/youth representation in NCAC composition.	50% NCAC are women, with youth representation targets set per country context	Country PMUs, Country-level executing entities, NGOs.	140,000
	Mandatory gender & gender-based violence (GBV)/Sexual Exploitation, Abuse & Harassment (SEAH) orientation for NCAC members	100% NCAC members oriented on gender & GBV/SEAH		
Output 1.2: Multi-stakeholder catchment management and governance platforms established	Incorporate gender-responsive eligibility screening in NCAC procedures.	Gender criteria applied in all eligibility decisions		
	Ensure representation of marginalized women (female-headed households, ethnic minorities).			
	Conduct targeted outreach to women, girls, youth, elderly, persons with disabilities	At least 50% women involved in catchment consultations		
	Provide safe spaces, appropriate timing, childcare support where applicable	100% consultations include SEAH safeguards.		
	Apply GBV/SEAH-safe consultation protocols	Safe-space protocols operational in all 3 countries		
	Use women-only focus groups where needed			

<p>Output 1.3: Catchment Investment Programme confirmed in each participating country</p>	<p>Integrate gender assessment into CIP design (vulnerabilities, workloads, access to water/resources)</p> <p>Ensure women's priorities explicitly influence outcomes and outputs</p> <p>Conduct validation workshops accessible to women, including women-only validation sessions</p>	<p>100% CIPs include gender-specific actions & indicators.</p> <p>100% CIPs validated with women's participation of at least 50%</p> <p>All CIPs integrate gender-responsive MRV - sex- and age-disaggregated as standard, disability-disaggregated where feasible</p>		
<p>Output 1.4: Priority community and catchment level initiatives in the CIPs identified</p>	<p>Provide coaching for women-led CIP initiatives</p> <p>Embed gender-responsive screening criteria in prioritization</p> <p>Target outreach to female-headed households and women's organizations</p> <p>Ensure proposals include measures to avoid over-burdening women's unpaid work</p>	<p>At least 50% of CIP initiatives are women-led or place women in leadership roles.</p> <p>100% prioritization processes apply gender criteria</p> <p>100% selected initiatives include gender-responsive measures</p>		
<p>Output 1.5: Programme-wide GBV/SEAH safeguards and gender-responsive grievance system established</p>	<p>Adopt a unified Code of Conduct for all programme staff, trainers, grantees, lenders and implementing partners, and deliver mandatory SEAH/GBV training and refreshers</p> <p>Establish a confidential, gender-responsive grievance redress mechanism (GRM) with multiple channels (SMS/WhatsApp, hotline, anonymous boxes, trained local focal points), accessible to women, young women, persons with disabilities and marginalized ethnic groups</p> <p>Apply survivor-centered protocols for GBV/SEAH cases</p> <p>Set programme-wide gender-safe event/facility standards</p> <p>Log, track and store all grievances in secure access-controlled system; acknowledge within 7 days and resolve within 30 days. Include aggregated, non-identifying, sex-disaggregated statistics in annual reports</p>	<p>100% staff/partners/grantees/lenders trained and bound by the Code of Conduct</p> <p>GRM operational in all 3 countries with at least 3 reporting channels per country</p> <p>100% GBV/SEAH cases handled per survivor-centered protocol, zero retaliation verified, at least 90% closed within 30 days</p> <p>100% events meet gender-safe standards</p> <p>Annual grievance summary published with sex- (and where feasible disability-) disaggregated data.</p>		80,000
Objective	Action	Indicator and Targets	Responsible	Allocated

			Institution	Budget (\$US)
Outcome 2: LLA initiatives financed and implemented to meet CIP objectives for enhanced socio-ecological resilience to climate change, with complementary non-grant mechanisms established to sustain and scale results				
Output 2.1: Locally-Led Adaptation initiatives designed and implemented, according to CIP objectives	<p>Ensure women participate equally in co-design, decision-making, and MRV</p> <p>All proposals screened using gender-responsive assessment tool</p> <p>Ensure project benefits are equitably accessible to women and female-headed households</p> <p>Apply GBV/SEAH-safe implementation protocols</p> <p>Promote women's leadership in CIP sub-committees</p>	<p>At least 50% women engaged in initiative design, MRV, and implementation</p> <p>100% proposals screened using gender criteria</p> <p>100% beneficiary lists sex-disaggregated</p> <p>100% field activities SEAH-compliant</p>	UNDP PMU	180,000
Output 2.2: Capacities of local organizations strengthened for grant project design, implementation and MRV	<p>Deliver gender-responsive capacity building, including climate finance literacy, digital tools, and market access</p> <p>Tailored coaching for women farmers, entrepreneurs, cooperatives</p> <p>Ensure training times accommodate caregiving constraints</p> <p>Ensure every training includes SEAH & gender modules.</p> <p>Youth-specific inclusive training (especially young women)</p>	<p>100% training packages are gender-responsive</p> <p>At least 40% women and 20% youth participation</p> <p>100% trainees receive gender & SEAH training</p>	<p>UNDP PMU</p> <p>UNDP PMU</p>	
Output 2.3: Establishment of non-grant financing mechanisms for sustained implementation of LLA initiatives	<p>Introduce collateral-light/asset-based lending, group guarantees, social collateral</p> <p>Align repayment schedules with agricultural seasons to reduce risk for women</p> <p>Pre-loan financial literacy and SEAH + GBV prevention orientation mandatory</p> <p>Household decision-making support to mitigate male capture of women's loans</p> <p>Provide gender-responsive grievance redress</p>	<p>At least 50% of PES/CRA mechanism beneficiaries are women</p> <p>100% women & youth receive pre-loan gender/SEAH training</p> <p>100% agreements include gender clauses</p> <p>100% lenders trained on gender & SEAH</p> <p>100% SEAH allegations are recorded</p>		

	mechanisms. Train lenders on SEAH, GBV, and gender-sensitive client interaction	confidentially and addressed per survivor-centered protocol, at least 90% closed within 30 days		
Objective	Action	Indicator and Targets	Responsible / Institution	Allocated Budget (\$US)
Outcome 3: Evidence generated from CIPs and their catchment management initiatives is used to strengthen climate adaptation policies and strategies, and to improved adaptive management and stakeholder learning across catchments				
Output 3.1: Development and implementation of a peer-to-peer learning and exchange Programme at national and local levels for upscaling and adaptive management	Ensure at least 50% women/young women in all exchanges and set quotas for women presenters Run women-only or women-led sessions to surface barriers (e.g. time poverty, safety, market access) Apply SEAH-safe event protocols, provide childcare/accessible timing & venues Produce and circulate gender-responsive learning packs capturing women's roles, innovations, and lessons from CIPs	At least 50% women participants per event with at least 40% women presenters 100% events apply SEAH protocols and collect sex-disaggregated data At least 3 gender-responsive case studies/year documented across countries	National Coordinators, NCAC, Knowledge & Comms Team, Gender specialist	100,000
Output 3.2: Establishment of a regional mechanism for analysis of lessons learned and policy influence	Ensure at least 40% women in the mechanism's governance and technical working groups Integrate gender variables into assessments (labour burden, land access, market access, decision-making power) Embed gender-responsive indicators and sex-disaggregated data in the regional M&E regime Ensure SEAH-safe standards for all regional convenings Ensure knowledge products use inclusive language and imagery, and highlight gender-differentiated climate impacts, governance and gender-responsive finance (PES/CRA)	At least 40% women in governance/technical groups 100% analyses include gender variables 100% regional M&E systems incorporate gender indicators and sex-disaggregated data All knowledge products include gender findings	National Coordinators, NCAC, Knowledge & Comms Team, Gender specialist	
Output 3.3: Development of a region-wide Adaptation Learning Programme	Ensure at least 50% of Learning Leaders (LLs) are women, including young women and marginalized groups Provide gender-responsive training to LLs on inclusive knowledge generation and SEAH-safe	At least 50% LLs are women, and 20% young women 100% LL trainings integrate gender and SEAH modules	UNDP PMU, NCACs, Regional Programme Staff, Gender Specialist	

	<p>facilitation</p> <p>Ensure learning themes address gender-specific barriers (land tenure, care burden, market access, early warning access)</p> <p>Require co-authorship or review of learning products by women LLs</p> <p>Disseminate learning products in formats accessible to women, youth and persons with disabilities</p>	<p>All learning themes include gender considerations</p> <p>At least 40% authors/co-authors of learning products are women</p> <p>All learning products include sex-disaggregated data</p>		
--	--	--	--	--

5. Gender-Responsive CIP Design, Review and Implementation Processes

The programme will ensure that all Catchment Investment Programmes (CIPs) and CIP constituent initiatives are designed, reviewed and implemented through a gender-responsive and inclusive process. This section outlines the mandatory standards and procedures that will be applied consistently across Eswatini, Zambia and Zimbabwe.

To operationalize the GAP, the programme adopts the following implementation standards for NCAC setup and CIP formulation:

- Inclusive, gender-responsive participatory processes
- Gender-sensitive financial instruments
- A survivor-centered grievance/SEAH system
- MEL requirements that track participation, decision-making, access to resources, and equitable benefits

These operating standards apply across Outputs 1.1–3.2 and align with AF and UNDP Gender Policies. They directly address barriers identified in the country Gender Assessments, especially collateral requirements, time poverty, lender bias, and leadership gaps, and will be enforced through NCAC procedures, grant and credit agreements, and annual performance reporting.

Gender-Responsive Guidance for NCACs and National Coordinators

During implementation, each National Catchment Adaptation Committee (NCAC) will receive structured guidance on:

- Developing gender-sensitive CIP eligibility and screening criteria
- Reviewing grant proposals using gender-responsive checklists and decision-making rules
- Ensuring meaningful participation of women, youth and marginalized groups in CIP formulation
- Incorporating gender equality objectives into CIP outcomes, outputs and MRV systems

National Coordinators will support Local Communities (LCs) through:

- Stakeholder mapping that explicitly identifies women's groups, youth associations, ethnic minorities and vulnerable sub-groups
- Catchment-level gender analyses informing programme logic, activities and benefit pathways
- Social, environmental and economic assessments that highlight gender-differentiated risks and opportunities

Compliance with the Adaptation Fund Gender Policy will be tracked through Project Performance Reports (PPRs), ensuring all CIPs meet programme-wide requirements

Gender-Responsive Design of Financial Instruments (CRA Facility, PES Mechanism)

Building on the Zambia and cross-country gender analyses, all financial mechanisms under the programme, including CRA loan facilities, credit lines, guarantees and payment for ecosystem services (PES) schemes, will be designed using a strong gender lens. Evidence shows rural women and youth face systemic financial exclusion due to:

- Land-based collateral requirements
- Complex, costly and time-consuming application procedures
- Loan products not aligned with agricultural calendars
- Increased risks of over-indebtedness, elite capture and intra-household tensions
- Incidents of GBV linked to control over loan funds

To mitigate these risks, all programme-supported financial instruments will:

1. Expand collateral-light or collateral-free options, including:
 - Asset-based finance
 - Group guarantees
 - Social collateral mechanisms
2. Align repayment schedules with seasonal production/marketing cycles and allow restructuring in event of climate shocks.
3. Integrate safeguards, including:
 - Mandatory pre-loan financial literacy, SEAH/GBV awareness and borrower rights
 - Household decision-making support to avoid male capture of women's loans
 - Clear gender-responsive grievance and redress mechanisms

These design requirements are mirrored in the GAP and monitored through program-level indicators on women's and youth access to concessional finance.

Gender Standards for CIP Development

All CIPs will be designed to ensure equitable participation and benefit-sharing for women, men, girls and boys. This includes:

- Applying **gender-sensitive targeting** as a condition for CIP approval
- Ensuring **representation of women** in CIP leadership teams
- Supporting proponents with explicit instructions on integrating gender considerations
- Ensuring that all CIPs respond to structural inequalities where they exist
-

National Coordinators and NCACs will assess each CIP and initiative using four mandatory criteria:

CIP Gender Assessment Criteria

1. Gender Analysis
 - Does the initiative reflect gender-differentiated needs, capacities, workloads, vulnerabilities, and access to resources?
2. Participation & Decision-Making
 - Are women, youth and vulnerable groups meaningfully participating in information-sharing, decision-making and feedback processes?
3. Gender-Responsive M&E
 - Are sex- and age-disaggregated indicators used?
 - Are gender outcomes monitored and reflected in CIPs?
4. Gender-Responsive Activity Design
 - Do proposed activities reduce gender inequalities, avoid unintended harm and respond to women's priorities?

Gender-Responsive Approaches for CIP Design Workshops

During workshops and consultation processes, the programme will require:

- Use of UN gender-inclusive language guidelines
- Non-discriminatory communication ensuring visibility of gendered roles when appropriate
- Tailored communication campaigns using inclusive language, images and colours to encourage participation of women and young women
- Zero tolerance for discrimination, harassment or SEAH across all activities
- Accessible venues and schedules aligned with women's care responsibilities

Workshops will ensure that gender considerations are embedded from the earliest stage of design.

Gender Standards in CIP Initiative Definition

All CIP initiatives will be reviewed using a standardized Gender and Inclusion Matrix determining whether a proposal is:

- Gender blind
- Gender aware
- Gender sensitive
- Gender responsive
- Gender transformative

To support this:

- Each NCAC will include a Gender Expert as a primary reviewer
- Technical Advisory Groups with additional gender specialists may be commissioned
- NCAC membership lists will report the gender composition to meet representational benchmarks

Gender Requirements for NCAC Review of CIP Initiatives

During final review and approval of CIP initiatives, NCACs will ensure that proposals:

- Reflect women's and girls' needs alongside those of men and boys
- Collect and use sex- and age-disaggregated data
- Ensure transparent and inclusive information-sharing
- Promote equitable access to and control over benefits
- Integrate gender-responsive feedback mechanisms enabling women and men to influence implementation and improvement

6. Programme-Wide Gender-Responsive Risk Prevention, Safeguards, Grievance and SEAH System

The programme will apply comprehensive GBV/SEAH safeguards to ensure safe, inclusive, and rights-based implementation across all countries, in full alignment with the Adaptation Fund Gender Policy (2021) and UNDP's SEAH and protection protocols. During inception and throughout implementation, the programme will conduct GBV/SEAH risk screening to identify contextual and operational vulnerabilities. All implementing partners, executing entities, contractors, trainers, and grantees will adopt a Code of Conduct that explicitly prohibits GBV/SEAH, outlines behavioral expectations, and specifies enforcement measures. To reduce risks during field activities, gender-safe operational standards will be applied, including ensuring well-lit and private venues, secure and separate sanitation facilities, safe transport arrangements, and training schedules that consider women's mobility and caregiving responsibilities. All staff and partners will receive mandatory training on GBV/SEAH prevention, gender equality, ethical conduct, and safe engagement with communities, and compliance will be monitored through partner reporting and periodic oversight.

To complement these safeguards, the programme will establish a safe, confidential, and gender-responsive grievance redress mechanism accessible to all stakeholders, including women, youth, persons with disabilities, and marginalized ethnic groups. The mechanism will provide multiple confidential channels for receiving grievances, such as SMS or WhatsApp lines, anonymous submission boxes, a hotline, and trained local focal points, with information disseminated in local

languages to ensure broad accessibility, including for low-literacy users. All grievances will be logged, tracked, and addressed within defined timelines.

Complaints involving GBV/SEAH will follow a survivor-centered protocol that ensures confidentiality, informed consent, non-retaliation guarantees, and immediate referral to appropriate medical, psychosocial, legal, and protection services. Survivors will retain full autonomy regarding next steps, and no identifying details will be disclosed. All cases will be managed in accordance with UNDP's SEAH standards, ensuring that sensitive matters are handled exclusively through secure and confidential procedures.

All grievances, both SEAH and non-SEAH, will be acknowledged, tracked, and resolved in a timely manner, generally within 30 days unless otherwise justified. Aggregate, sex-disaggregated, but non-identifying data on grievances will be included in annual progress reports to monitor trends and strengthen safeguards over time. Together, these integrated measures ensure that the programme not only prevents and mitigates GBV/SEAH risks but also provides accessible, survivor-centered pathways for reporting and resolution, contributing to a safe and equitable implementation environment for all participants.

Gender in Monitoring, Evaluation, Learning (MEL)

All programme indicators will be sex-disaggregated and, where feasible, further disaggregated by age, disability, ethnicity, and other intersecting vulnerabilities. Participatory monitoring approaches will be used, ensuring women, youth, and marginalized groups review progress and flag emerging risks.

The GAP will be updated during implementation and revisited at mid-term and final evaluation. Annual Project Performance Reports (PPRs), the Mid-Term Review (MTR), and the Terminal Evaluation (TE) will assess progress against the GAP, including gender-responsive financing, participation levels, benefit-sharing, access to financial mechanisms, safeguards, and GRM usage trends.

Annex 5 – Stakeholder Engagement Report

Financing Locally Led Adaptation and Nature-based Solutions for Catchment Resilience in Southern Africa

1. Introduction

This consolidated stakeholder engagement report synthesizes findings across Eswatini, Zambia, and Zimbabwe to inform the design of the Regional AF Locally Led Adaptation (LLA) program *‘Financing Locally Led Adaptation and Nature-based Solutions for Catchment Resilience in Southern Africa’*. The proposed program aims to strengthen climate resilience in vulnerable agropastoral landscapes and water-stressed catchments across Eswatini, Zambia and Zimbabwe. Building on earlier analytical work and complementary initiatives in the Greater Zambezi and Maputo basins, the program is designed to address interlinked challenges of climate impacts related to water stress, land degradation, declining water security, and constrained access to climate-resilient agriculture (CRA) finance for smallholders and their value-chain partners. Through a combination of nature-based solutions for catchment restoration, improved water resources management, and targeted financial mechanisms such as CRA loan facilities and payment for ecosystem services (PES), the program seeks to reduce climate risks to livelihoods and key economic sectors, while crowding in private and public co-financing over time and strengthening the potential and capacity for locally led adaptation. The regional framing allows lessons, tools and financial structures piloted in one country to inform and de-risk implementation in the others, particularly around CRA lending and PES models and catchment investment planning. It further allows for integrating and scaling insights into regional policy and support for watercourse commissions.

To inform the design of this program and ensure alignment with national priorities, an extensive stakeholder engagement process was undertaken between 2022 and 2025 in all three countries. This included in-person scoping missions, bilateral and small-group meetings, community consultations in target sites, technical and validation workshops, and virtual follow-up consultations with a wide range of actors. Government stakeholders comprised ministries responsible for environment, water, agriculture, finance, planning, and gender, as well as specialized agencies such as water authorities, regulators and environmental management bodies. Financial sector actors included commercial banks, development finance institutions, microfinance institutions and climate-finance units. Private-sector stakeholders covered agribusinesses, off-takers, processors, input suppliers, commercial farmers and catchment-specific water-dependent industries (primarily focusing on their interest and willingness to participate in a PES financing mechanism). Development partners, UN agencies, research institutions, civil society organizations, and community-level representatives (including traditional authorities, cooperatives and farmer groups) were also extensively consulted. Across these engagements, stakeholders were invited to validate climate and livelihood vulnerabilities, identify barriers and opportunities for CRA finance, feasibility of PES and catchment restoration, and provide guidance on institutional roles and implementation arrangements.

Stakeholder consultation documentation and participation

Stakeholder engagement for programme design was conducted across Eswatini, Zambia and Zimbabwe through a combination of (i) national-level scoping and technical meetings with government, regulators, financial institutions and private sector actors; (ii) catchment-level consultations and validation discussions with technical agencies and local authorities; and (iii) community consultations in selected sub-catchments, including focus group discussions and key informant interviews with community representatives and traditional leadership structures. For each engagement, UNDP compiled meeting records including the date and location (or virtual platform), participating institutions, and participant lists (where permitted). Where participant-level details were available, attendance was recorded with sex-disaggregation and summarized below. Evidence of engagement (e.g., signed attendance sheets, participant lists, agendas/minutes, and selected photographs) is provided in the Annex (Stakeholder Consultation Log & Details).

Community consultations: scope and method

Between 2023–2025, community consultations were conducted in priority sub-catchments across Eswatini, Zambia and Zimbabwe using small-group meetings, focus groups with women and youth, and key-informant interviews with traditional authorities and water-user committees. Sessions used participatory mapping (degradation hotspots, water points, grazing areas), livelihood calendars, and simple willingness-to-participate/benefit-sharing prompts. Meetings were held in local languages, with women-only breakouts to surface time-poverty, mobility and safety constraints. Attendance, sex/age disaggregation, and issues raised were recorded for each session. These inputs shaped catchment priorities, the design of LLA grants, and gender-safe engagement protocols.

PES consultations: scope and regional view

Targeted PES consultations were held with upstream communities/landholders and downstream water users (utilities, agro-processors, sugar/estate irrigation, hydropower where relevant). Discussions covered: (i) ecosystem services at risk (baseflows, sediment reduction), (ii) proposed conditional activities (riparian buffers, Invasive Alien Plant Species (IAPS) removal, gully control, fire management, agroforestry), (iii) benefit-sharing options (cash, in-kind inputs, community works, tariff-linked contributions), (iv) verification/MRV (simple hydrological and land-use indicators), and (v) governance (local committees linked to national authorities). Across all program countries, there was broad willingness to participate where benefits are predictable, transaction costs low, and rules transparent. Legal and tariff considerations differ by country and will be addressed through country-specific analyses before pilots launch.

This consolidated stakeholder engagement report brings together the findings from Eswatini, Zambia and Zimbabwe into a single regional narrative to support the funding proposal. Following this introduction, the report first presents a regional synthesis of cross-cutting insights that emerge consistently across the three countries. It then provides separate country summaries for Eswatini, Zambia and Zimbabwe, highlighting the specific institutional landscapes, stakeholder priorities and design implications in each context.

2. Regional Cross-Cutting Insights

Catchment degradation and water governance

Across all three countries, stakeholders described rapidly worsening catchment degradation and growing stress on water resources, but with different dominant drivers and institutional starting

points. In Eswatini, the Eswatini Environment Authority (EEA), MNRE/DWA and the Forestry Department emphasized a combination of deforestation, IAPS, cultivation along riverbanks and inadequate enforcement of riparian buffer zones as key pressures on upper catchments. They pointed to declining baseflows, more frequent dry spells and localized water conflicts, and underlined that existing environmental and water legislation is not being backed by sufficient monitoring and compliance capacity. In Zambia, WARMA, NWASCO and utilities highlighted degradation in key basins such as the Kafue and Luangwa, driven by a mix of unsustainable agriculture, mining, encroachment in wetlands and weak control of abstraction. Stakeholders linked this directly to rising treatment costs, reduced reliability for hydropower and water supply, and increasing drought risk. In Zimbabwe, ZINWA, EMA and development partners drew attention to high sediment loads in dams, rapid siltation linked to tobacco-driven deforestation and alluvial gold mining, and widespread encroachment on riverbeds and wetlands, particularly in Mazowe and southern catchments. They stressed that the current rate of degradation is undermining existing and planned irrigation investments and reducing the effective lifespan of water infrastructure.

Taken together, the three country processes point to a shared regional challenge: climate change is exacerbating already fragile catchment systems that have been historically under-managed. Stakeholders in all three countries highlighted that project support must go beyond plot-level CRA to systematically restore and protect critical upper catchments and recharge zones, and that this requires a combination of regulatory enforcement, community incentives and long-term financing for nature based solutions (NbS). For the regional program design, this implies structuring a coherent “catchment investment” pillar with common principles such as prioritization of high-impact sub-catchments, clear ecological and hydrological baselines, and pathways for water users (utilities, agribusiness, hydropower) to co-finance restoration, while allowing each country to tailor interventions to its specific degradation drivers and institutional mandates.

CRA finance and private sector engagement

On CRA finance, all three countries expressed strong interest from financial institutions in expanding lending to climate-resilient agriculture, but underlined that current risk–return dynamics are not favorable without concessional support and better market structures. In Eswatini, Eswatini Bank, FINCORP and other financial stakeholders noted that smallholder lending is constrained by high perceived risk, limited collateral, information gaps and weak digital systems for farmer profiling. They recognized the potential for CRA lending linked to sugarcane outgrower schemes, horticulture and livestock, but stressed the need for risk-sharing instruments, technical assistance and clear integration with value chains. In Zambia, ZANACO and other financial institutions went further, engaging directly on the parameters of a CRA loan facility (loan terms aligned to crop cycles, risk-tiered pricing, aggregation and off-taker models, digital platforms, and training for extension officers and bank staff). Private agribusinesses and off-takers underscored that climate shocks are already disrupting supply and that they have strong incentives to participate in blended finance arrangements that stabilize production. In Zimbabwe, IDBZ, AFC and FBC described an evolving climate-finance ecosystem, with the Climate Finance Facility (CFF), and sectoral credit schemes providing platforms that could channel concessional capital into CRA and water-related investments. However, they stressed that macroeconomic volatility, high interest rates and side-selling remain major constraints, and that de-risking instruments and strong off-taker arrangements are essential.

Stakeholders across all three countries agreed that the private sector, both financial and non-financial actors, must be positioned as core partners, not simply beneficiaries, of program investments. The regional design therefore centers on a finance spine that is conceptually similar across countries (structuring PES mechanism for sustained NbS financing, designing CRA loan products, alignment with value chains, use of digital tools, and technical assistance), and implemented through relevant institutional vehicles. Stakeholder messages also make clear that CRA finance must be sequenced with catchment restoration and market-access interventions - loans will only be viable where water reliability is improving and off-take arrangements are in place.

Institutional coordination and data systems

In all three countries, stakeholders pointed to fragmented institutional mandates and weak data systems as cross-cutting bottlenecks that limit the effectiveness of both catchment management and CRA finance. Eswatini stakeholders highlighted overlaps and gaps between EEA, MNRE/DWA, Forestry, MoA and local government, noting that coordination around catchment planning and enforcement is ad hoc and under-resourced. The collapse or under-performance of key technical institutions and nurseries (such as the Malkerns Research Centre) was repeatedly mentioned as a constraint to scaling nature-based solutions. In Zambia, WARMA, NWASCO, sector ministries and development partners underlined that while the policy framework for integrated water resource management is relatively advanced, horizontal coordination between water, environment and agriculture remains weak in practice, and data systems are siloed. Many hydrological stations are not fully functional, historical data series are incomplete, and there are limited mechanisms to translate data into catchment-level investment decisions. In Zimbabwe, ZINWA, EMA and the World Bank highlighted similar issues: outdated gauging infrastructure, incomplete bathymetric surveys, fragmented datasets across agencies, and unclear division of responsibilities for enforcing buffer zones and regulating pollution and land use.

For the regional program design, these messages translate into a clear requirement to invest in governance structures and protocols that define how data is collected, shared and used for decision-making. Stakeholders across the three countries expressed support for multi-stakeholder catchment platforms that can bring together regulators, sector ministries, financial institutions, utilities, off-takers and communities around shared evidence and joint planning. The regional nature of the program also creates an opportunity to promote a common approach to catchment diagnostics, investment planning and monitoring, allowing each country to adopt a shared set of tools (e.g. catchment scorecards, risk-tiering, monitoring frameworks) while aligning them with national institutions and information systems.

Gender and social inclusion

Gender and inclusion institutions in Eswatini, Zambia and Zimbabwe consistently emphasized that women, youth and other vulnerable groups are both disproportionately affected by climate impacts and structurally disadvantaged in accessing the benefits of adaptation investments. In Eswatini, gender focal points and community representatives highlighted that women are heavily responsible for water collection and household food security, yet often lack secure land tenure, access to credit and representation in local decision-making bodies. They stressed that catchment restoration and CRA interventions must deliberately target women's groups, provide flexible training and meeting formats, and support women's entry into higher-value nodes of value chains. In Zambia, stakeholders from government and development partners noted that while women participate extensively in smallholder production, they are under-represented among formal

borrowers, cooperative leaders and out-grower schemes. Women face additional barriers related to time poverty, gender norms and information asymmetries, which limit their ability to adopt new technologies or engage with financial institutions. In Zimbabwe, the Ministry of Women described a dense but under-resourced landscape of women’s funds, microfinance schemes and community-based groups. They stressed that many women-led initiatives in small grains, fodder production, baobab processing and dairy have strong potential but remain constrained by access to capital, markets and technical support. They also underlined links between climate stress, food insecurity and gender-based violence.

Across the region, stakeholders were clear that “gender mainstreaming” in name only is not sufficient. For the program, this implies designing concrete, resourced measures that expand women’s and vulnerable groups’ access to: (i) CRA finance (through dedicated quotas, tailored loan products, group-based lending or guarantee mechanisms); (ii) decision-making roles in catchment and community governance structures; (iii) targeted technical assistance and extension services; and (iv) climate-resilient livelihood opportunities linked to restoration and value chains. The regional design will therefore incorporate a common gender and social inclusion framework informed by country-specific gender analyses that defines minimum standards for participation, benefit-sharing and monitoring, while allowing each country to reflect its own institutional arrangements, existing women’s funds, and community structures.

3. Country Summary – Eswatini

Stakeholders consulted and process

The stakeholder engagement process in Eswatini was carried out between 2023 and 2025 through a combination of in-country missions, technical workshops, bilateral meetings and follow-up virtual consultations. The process was led by UNDP in close collaboration with the Country Office and key government counterparts, and sought to ensure that perspectives from central government, regulators, utilities, financial institutions, private sector actors, civil society and communities were captured in a structured way.

Government stakeholders included the Eswatini Environment Authority (EEA), the Ministry of Natural Resources and Energy (MNRE) and its Department of Water Affairs (DWA), the Ministry of Agriculture (MoA), the Forestry Department, the Ministry of Finance, and relevant planning and local government entities. These institutions were consulted both through multi-stakeholder workshops and targeted technical discussions on catchment degradation, regulatory frameworks, enforcement capacity and institutional roles in a future catchment investment program.

Regulators and technical agencies such as the water authority, environment and forestry services, and relevant research centers were engaged to assess the status of hydrological monitoring networks, environmental compliance systems, and the capacity to plan and implement nature-based solutions at scale.

The financial sector was represented by Eswatini Bank, FINCORP and other development finance and microfinance institutions, which participated in focused consultations on CRA lending, risk perceptions, product design, digital systems and potential use of blended finance instruments.

Private-sector actors included representatives from the sugar industry, commercial farmers, agro-processors and other water-dependent industries. Their input was sought primarily through bilateral meetings and smaller group sessions focused on the feasibility of Payment for Ecosystem Services (PES) and catchment co-financing models, as well as the role of out-grower schemes and value chains in enabling CRA finance.

During overall PES consultations, stakeholders endorsed piloting a PES mechanism in sub-catchments feeding estate irrigation and municipal intakes. Upstream communities favored in-kind packages (tools, seedlings, cash-for-work for buffers/gully works) over purely cash transfers. Downstream actors indicated readiness to co-finance if MRV evidences sediment and baseflow gains; the report therefore proposes a light MRV bundle (turbidity proxies, photo-points, plot-level compliance checks) and a catchment-based governance committee nested within broader government oversight.

Civil society organizations, community-based organizations and community representatives from selected catchments contributed perspectives on livelihood vulnerabilities, land-use practices, traditional governance structures, and barriers to participation in restoration and CRA programs. Gender focal points and organizations working on women's economic empowerment were also consulted to better understand how climate risks and access to finance intersect with gender norms.

Community sessions in priority chiefdoms confirmed: (a) reduced dry-season flows and longer collection times for water and fuelwood; (b) IAPS (especially wattle) as a visible driver of spring decline; (c) erosion on cropped slopes and along cattle tracks; and (d) time-poverty for women due to water/fuel collection and caregiving. Communities prioritized IAPS clearing with native replanting, fenced riparian buffers, gully stabilization, and communal woodlots to reduce fuel pressure. Women requested training times aligned with caregiving schedules and safe meeting venues. These priorities are embedded in Eswatini's CIP menu and in gender-safe consultation protocols.

The overall process combined presentation of analytical findings (e.g. degradation hotspots, climate risks, existing initiatives) with facilitated discussions and semi-structured interviews, enabling stakeholders to validate problem statements, refine priority areas, and identify realistic institutional and financial arrangements for the proposed program interventions.

Key vulnerabilities and catchment issues

Stakeholders in Eswatini consistently underscored that catchment degradation and water stress are among the most critical climate-related vulnerabilities affecting rural livelihoods, commercial agriculture and urban water supply. Upper catchments are increasingly characterized by deforestation, overgrazing, cultivation on steep slopes, and expansion of agriculture into riparian zones. IAPS, particularly wattle and other fast-growing species, were repeatedly cited as a major driver of reduced baseflows and altered hydrological regimes, as they outcompete indigenous vegetation and increase evapotranspiration.

MNRE/DWA and Forestry stakeholders reported that many rivers and streams exhibit reduced dry-season flows and more variable peak flows, while springs that previously provided perennial water are now seasonal or have dried up completely. Communities in affected areas described

walking longer distances to access water, increased conflict over limited resources, and greater reliance on shallow, unprotected sources that are vulnerable to contamination.

Soil erosion and gully formation are widespread in degraded sub-catchments, particularly where cultivation extends onto steep slopes without adequate conservation measures. The resulting sediment loads increase turbidity and siltation in downstream reservoirs and irrigation schemes, raising treatment costs and reducing effective storage capacity. Stakeholders from the water utility and irrigation sectors reported that these trends are already undermining existing investments and raising operating costs.

Climate change is exacerbating these pressures. Stakeholders noted an increase in intra-seasonal variability, with more frequent dry spells within the rainy season, as well as episodes of intense rainfall that accelerate erosion and flooding. The combination of climate variability and land-use change is perceived as a key threat to both rain-fed agriculture and irrigated production, with cascading impacts on food security and rural incomes.

The stakeholder consultations also highlighted social vulnerability dimensions. Poor households in upland and marginal areas, many of them headed by women, are particularly exposed as they rely heavily on rain-fed agriculture and natural resources for fuelwood, fodder and non-timber products. Degradation of communal lands and woodlots increases labor burdens (especially for women and girls collecting water and firewood) and can drive unsustainable coping strategies, such as encroachment into protected areas.

In summary, Eswatini stakeholders framed catchment degradation and water governance not as environmental issues in isolation, but as central determinants of agricultural resilience, rural livelihoods and the viability of downstream water-dependent industries.

Institutional landscape (EEA, MNRE/DWA, Forestry, MoA and others)

The institutional landscape in Eswatini is relatively dense, with clear mandates on paper but overlapping roles and coordination gaps in practice. Stakeholders acknowledged that this complexity both creates opportunities for specialized technical functions and challenges, particularly around implementation and enforcement.

The Eswatini Environment Authority (EEA) is responsible for environmental regulation, including environmental impact assessments, compliance monitoring and management of the Eswatini Environmental Fund (EEF). During consultations, EEA emphasized that while the legal framework is largely adequate, enforcement capacity is constrained by limited staffing, budget and logistical resources. EEA also noted that the EEF has a narrow revenue base and is not currently structured to serve as a robust climate-finance vehicle for large-scale restoration, given limited experience with complex financial instruments and private-sector co-financing.

The Ministry of Natural Resources and Energy (MNRE), through the Department of Water Affairs (DWA), is responsible for water resources management, including hydrological monitoring, allocation and regulation of abstractions. DWA officials highlighted significant gaps in the hydrometric network: many gauging stations are non-functional, telemetry coverage is limited, and long-term data series are incomplete. They also noted that water allocation and permitting systems are under pressure from increasing informal abstractions and insufficient inspection capacity.

The Forestry Department, under the Ministry of Agriculture and related structures, is tasked with forest management, IAPS removal and support to woodlot and agroforestry development. Forestry stakeholders described chronic under-resourcing, with insufficient field staff, vehicles, equipment and nursery infrastructure. The closure or downsizing of key facilities such as the Malkerns Research Centre was highlighted as a major impediment to indigenous seed collection and propagation.

The Ministry of Agriculture (MoA) plays a central role in extension services, farmer training and promotion of conservation agriculture. Extension officers are increasingly expected to support climate-smart practices and landscape restoration, but stakeholders reported that staff are stretched thin, training on climate-resilient practices is uneven, and coordination with water and environment agencies is ad hoc.

Local government structures and traditional authorities also play important roles in land allocation and community-level decision-making. Stakeholders noted that while some chiefdoms and community councils actively support conservation measures, others lack awareness of the long-term impacts of land-use decisions or face strong short-term pressures to allocate land for cultivation and settlement.

Overall, stakeholders agreed that Eswatini has the core institutional building blocks for effective catchment management and CRA support, but that these are currently fragmented, under-resourced and insufficiently coordinated. They emphasized the need for the program to support practical mechanisms for joint planning, data sharing and implementation across EEA, MNRE/DWA, Forestry, MoA and local government.

Finance and private sector (Eswatini Bank, FINCORP, sugar estates and others)

Financial institutions in Eswatini expressed genuine interest in expanding lending for CRA and related investments, but underlined that existing market conditions and risk profiles make it difficult to do so at scale without concessional support. Eswatini Bank, FINCORP and other stakeholders described a credit landscape where smallholders and many medium-scale farmers lack formal collateral, reliable credit histories and robust business records. Climate variability, land degradation and price volatility compound risks, making standard loan products ill-suited to the needs of farmers and agribusiness SMEs.

Banks noted that CRA lending, whether for improved soil and water management, climate-resilient crop varieties, small-scale irrigation or on-farm storage, requires products with longer tenors, grace periods and repayment schedules aligned to agricultural cycles. They also emphasized the need for complementary investments in financial literacy, farm management skills and digital systems to profile and monitor borrowers. Without such measures, default risks and transaction costs remain high.

From the perspective of the non-financial economy, private-sector actors in the sugar industry, commercial farming and agro-processing sectors made clear that their operations are directly exposed to catchment degradation and climate risks. Sugar estates and associated out-grower schemes depend on reliable water supplies and functioning irrigation schemes; declining flows, siltation and erosion were described as critical threats to their long-term viability. These actors indicated interest in participating in PES-type schemes and co-financing catchment restoration,

provided that governance arrangements are transparent, benefits are traceable (e.g. through reduced sediment loads or more stable flows), and transaction costs are manageable.

Input suppliers and off-takers also highlighted the potential for integrated models that combine CRA finance, technical assistance and guaranteed market access. However, they noted that side-selling, weak contract enforcement and limited aggregation infrastructure currently reduce the attractiveness of such models.

Overall, stakeholders in Eswatini see a strong rationale for linking CRA finance with catchment restoration and market structuring, and for using program resources to de-risk private sector participation through blended finance, guarantees, technical assistance and shared digital platforms.

Implications for program design in Eswatini

Stakeholders in Eswatini were very clear about what they expect a regional program intervention to do in their context. First, they expect the project to support targeted, high-impact catchment restoration in priority sub-catchments, focusing on interventions that address the specific degradation drivers identified: IAPS removal, reforestation with indigenous species, rehabilitation of riparian buffers, erosion control on steep slopes and gully stabilization. They stressed that such interventions must be embedded within existing institutional mandates (EEA, MNRE/DWA, Forestry, MoA) but supported by additional resources, technical assistance and community incentive mechanisms.

Second, they called for strengthening of water-resources monitoring and governance, through rehabilitation and upgrading of gauging stations, expansion of telemetric systems, improved data management and enhanced capacity for inspection and enforcement of abstraction permits. Stakeholders saw this as essential not only for climate risk management, but also for underpinning any catchment investment or PES scheme with credible, shared evidence.

Third, stakeholders expect the project to catalyze CRA finance by working with Eswatini Bank, FINCORP and other financial institutions to design and pilot CRA loan products that are adapted to local farming systems, linked to value chains, and supported by risk-sharing instruments. This includes building digital farmer registries and strengthening financial literacy and business skills among target groups, with a strong focus on women and youth.

Fourth, they emphasized the importance of engaging the private sector as a co-investor rather than a passive beneficiary. Sugar estates, agro-processors and other water-dependent firms should be part of the design of catchment investment and PES mechanisms, with clearly defined roles in governance structures and transparent pathways for them to contribute financially to restoration efforts that safeguard their supply chains.

Finally, gender and social inclusion considerations must be integrated throughout. Stakeholders called for the program to ensure that women's organizations, youth groups and vulnerable households have a meaningful voice in catchment and community decision-making bodies, and that they are explicitly targeted in CRA finance and livelihood support packages.

In combination, these expectations translate into a country package for Eswatini under the regional program that couples institutional and data-system strengthening with concrete

catchment restoration investments and CRA finance pilots, anchored in strong partnerships with national institutions and the private sector.

4. Country Summary – Zambia

Stakeholders consulted and process

Stakeholder engagement in Zambia was carried out through a series of scoping and design missions, virtual consultations, and technical workshops between 2023 and 2025, coordinated by UNDP in collaboration with the Country Office and national counterparts. The process was iterative, with early scoping discussions feeding into more detailed design sessions around the Catchment Investment Program (CIP) concept and the CRA Loan Facility to be anchored in a national bank.

Government and regulatory stakeholders consulted included the Ministry of Water Development and Sanitation, the Ministry of Green Economy and Environment, the Ministry of Agriculture, the Water Resources Management Authority (WARMA), the National Water Supply and Sanitation Council (NWASCO), and selected provincial and district structures in targeted catchments. These institutions contributed to the identification of priority basins, analysis of degradation and water security issues, and the articulation of regulatory and institutional roles in future catchment investments.

On the financial side, ZANACO, and other commercial and development finance institutions participated in focused sessions on CRA lending, risk-sharing mechanisms, and digital platforms. ZANACO, in particular, engaged directly on the design parameters of the CRA loan facility and on what would be required for the bank to assume a leading role in implementation.

Utilities and water service providers were represented through consultations with urban and peri-urban water and sanitation companies (regulated by NWASCO), as well as with smaller schemes and local stakeholders in target catchments. These actors provided insights on the impacts of catchment degradation on water treatment costs and service reliability, and on the constraints they face in contributing financially to catchment management under current tariff structures.

Private-sector actors included agro-processors, commodity off-takers, large commercial farmers, aggregators, and input suppliers working across key value chains (e.g., maize, legumes, horticulture, livestock). Their perspectives were captured through bilateral meetings and group discussions focused on supply-chain vulnerabilities, contract farming arrangements, and opportunities for co-investment in CRA and catchment restoration.

The specific PES scoping with utilities (via NWASCO), WARMA and private sector actors found appetite for a catchment-services contribution where (a) priority sub-catchments are declared water-stressed, (b) utilities can ring-fence small tariff components or Corporate Social Responsibility (CSR) allocations, and (c) MRV is credible but simple (suspended solids at intakes, rapid geomorphic scores, compliance checks on buffer widths). Upstream groups favored a mix of cash-for-works and in-kind inputs. Governance was recommended through a catchment-level mechanism, with WARMA data underpinning verification.

Community-level perspectives were gathered through meetings with local government, traditional leaders, farmer cooperatives, and community-based organizations in selected sub-

catchments. These engagements focused on livelihood vulnerabilities, land-use practices, access to water and extension services, and local priorities for restoration and CRA support. Consultations with traditional leaders, cooperatives and farmer groups in Upper Lunsemfwa and comparable sub-catchments highlighted: (i) encroachment into dambos/wetlands during drought years, (ii) head-cut gullies originating on field access paths, (iii) livestock pressure on streambanks, and (iv) unmet demand for small-scale water harvesting. Women flagged limited say in land decisions and requested group-based grants to avoid household capture.

Taken together, this multi-layered process provided a solid basis for understanding both the systemic constraints and the institutional opportunities for linking catchment management and CRA finance in Zambia.

Catchment and water governance (WARMA, NWASCO, utilities)

Stakeholders across Zambia consistently underlined that catchment degradation and water-governance challenges are central drivers of climate vulnerability. WARMA reported that several major basins and sub-catchments are already under significant stress due to a combination of climate variability, land-use change, and rising demand for water from agriculture, mining, urban centers, and industry. Unsustainable cultivation on steep slopes, encroachment into wetlands and floodplains, and deforestation in upper catchments have led to increased runoff, gully erosion, and sediment loads in rivers and reservoirs.

WARMA emphasized that while the legal and policy framework for Integrated Water Resources Management (IWRM) is in place, implementation is constrained by gaps in the hydrological monitoring network and limited enforcement capacity. Many gauging stations are not fully functional or lack recent calibration; telemetry is incomplete; and data-processing and analytical capacity at catchment and national levels is limited. As a result, decisions on water allocation, declaration of water-stressed catchments, and drought preparedness are often made with incomplete information. WARMA's sub-catchment councils and local structures have a mandate to support data collection and stakeholder engagement, but they are under-resourced and not fully integrated into broader planning and enforcement processes.

NWASCO, as the regulator of water utilities, and the utilities themselves emphasized the direct operational impacts of catchment degradation. Increased sediment loads and pollution in raw-water sources have raised treatment costs and complicated operations. Utilities expressed concern that current tariff levels and regulatory frameworks leave little room for financing upstream catchment management, even where there is a clear long-term business case. NWASCO confirmed that there is conceptual openness to linking tariffs and performance indicators to catchment protection, but stressed that utilities will need external support and clear methodologies to operationalize such approaches without undermining affordability for low-income households.

These inputs make clear that in Zambia, the program cannot treat catchment restoration as an "environmental add-on" to CRA. Rather, it must support WARMA, NWASCO, utilities, and local stakeholders to build the data and governance foundations needed to manage water risk in a changing climate. WARMA's emphasis on declaring water-stressed catchments and improving abstraction monitoring aligns with the proposed CIP approach, while utility concerns underscore the need for blended-financing models that can link restoration investments to long-term service and cost benefits.

CRA finance and banking

Financial-sector consultations in Zambia focused on how to structure CRA finance in a way that is both viable for banks and meaningful for smallholder farmers and agribusiness SMEs. ZANACO, identified as the anchor institution for the CRA loan facility, was clear that while there is strong interest in growing the bank's agricultural and green portfolios, the current risk environment and transaction costs make conventional lending models insufficient.

ZANACO and other financial stakeholders highlighted several key constraints: limited collateral among smallholders; weak or informal credit histories; high exposure to climate risk (droughts, floods, pest outbreaks); and limited availability of reliable yield and price data. Banks also emphasized that small, fragmented loans to individual farmers are expensive to originate and supervise, especially in remote areas with poor infrastructure. At the same time, financial institutions recognized a significant opportunity to expand CRA lending if risks can be mitigated and costs reduced. They pointed to the potential for:

- **Risk-tiered loan products**, where terms and pricing vary according to the level of risk reduction achieved (for example, through irrigation, diversified cropping, or contractual arrangements with off-takers)
- **Repayment schedules aligned with agricultural cycles**, including grace periods and bullet payments at harvest;
- **Aggregation models**, where farmer cooperatives, producer groups, or off-takers play a role in screening borrowers, bundling demand, and facilitating repayments; and
- **Digital platforms**, which can be used to register farmers, track production history, integrate climate and market data, and support remote monitoring.

ZANACO indicated strong interest in leveraging concessional resources to de-risk commercial lending, including through guarantees, co-lending, and technical assistance for product development and pipeline building. They emphasized that concessional windows should be used strategically to crowd in private capital and avoid distorting markets.

Stakeholders were clear that any CRA facility must be integrated with broader value-chain and catchment interventions: lending into highly degraded, water-insecure landscapes without accompanying restoration and market structuring will tend to increase risk rather than reduce it. The CRA facility therefore needs to be coupled with improvements in water security, extension, and market access to be effective.

Private sector and value chains

Private-sector consultations highlighted that climate risks and catchment degradation are already showing up as volatility and losses in key value chains, and that businesses have a direct interest in stabilizing production and protecting natural capital, provided this can be done in a commercially sensible way.

Agribusiness off-takers in crops such as maize, legumes, horticulture and oilseeds reported increasing variability in both volumes and quality of supply. Droughts and dry spells, concentrated rainfall events, and soil degradation have led to more frequent shortfalls against contractual commitments. In response, some off-takers have shortened contract durations, tightened quality

specifications, or shifted to sourcing from larger, better-resourced producers, which undermines inclusion of smallholders.

Off-takers and processors also pointed to side-selling as a persistent challenge - farmers who receive inputs or technical assistance under contract-farming schemes sometimes sell to alternative buyers offering slightly higher prices at harvest, undermining the viability of structured arrangements and creating reluctance to invest in smallholder support.

Input suppliers and equipment providers noted that demand for climate-resilient technologies, such as improved seeds, conservation-agriculture equipment, small-scale irrigation, and on-farm storage, is present but constrained by limited access to finance and information. Businesses expressed interest in models where they can partner with financial institutions and the project to bundle finance, inputs, and technical assistance, particularly where there is a clear off-take arrangement.

Stakeholders from water-dependent sectors (for example, agro-processing, beverage companies, irrigation schemes) were receptive to the idea of participating in catchment investment and PES-type models, but stressed that governance and accountability will be critical. They will require confidence that their contributions are linked to well-prioritized interventions in relevant sub-catchments, that progress is monitored, and that there are credible indicators of improved water security and reduced sedimentation over time.

These consultations confirmed that the private sector in Zambia is not a homogeneous “beneficiary group,” but a diverse set of actors with different risk exposures and capacities to engage. For the program, this implies differentiated strategies: partnering with strong anchor off-takers and processors to structure CRA lending in specific value chains; engaging utilities and water-intensive industries in catchment-investment planning; and working with input suppliers and service providers to develop bundled CRA technology-and-finance offers.

How stakeholder input shaped the CIP design

The combined inputs from Zambian stakeholders directly shaped the design of the Catchment Investment Program model under the regional program.

First, stakeholder emphasis on hydrological stress and governance gaps led to the decision to treat catchment restoration and water governance as a core pillar of the project. Utility and NWASCO feedback also supported the idea of linking a portion of water tariffs and utility performance frameworks to catchment protection, with the program playing a catalytic role in demonstrating the value of such investments.

Second, the detailed engagement with ZANACO and other financial actors informed the architecture of the CRA Loan Facility. The facility is now framed around a dedicated CRA product line within ZANACO, with risk-tiered loan structures and flexible repayment schedules aligned with specific crops and production systems. It will also involve integration with digital platforms that register farmers, capture production and repayment histories, and integrate climate and market data. Catalyzing blended-finance components (for example, guarantees, first-loss coverage, or concessional co-lending) will reduce risk.

Third, feedback from private-sector off-takers and value-chain actors led to a stronger focus on value-chain-anchored CRA lending. Rather than offering generic credit, the facility will prioritize arrangements where: (i) an off-taker or aggregator is willing to enter into structured purchasing agreements; (ii) farmers are organized (cooperatives, producer groups) to reduce transaction costs; and (iii) catchment restoration activities in the production area are supported under the CIP. This responds directly to stakeholder concerns about side-selling, weak aggregation, and market uncertainty.

Finally, the perspectives of community representatives and gender stakeholders informed provisions to ensure that restoration benefits and CRA are inclusive and socially equitable. This includes: targeting women-headed households and youth groups within eligible farmer segments; incorporating gender-responsive design in financial-literacy and extension modules; and ensuring that community structures and traditional authorities are engaged in the planning and monitoring of catchment interventions.

5. Country Summary – Zimbabwe

Institutions and finance (IDBZ/CFF, AFC, FBC, Ministry of Finance)

Stakeholder engagement in Zimbabwe revealed a rapidly evolving climate- and agriculture-finance landscape with several key institutional anchors. The Infrastructure Development Bank of Zimbabwe (IDBZ) mentioned an emerging Climate Finance Facility (CFF) which would be run as an independent trust structure, incubated by the bank, intended to become the main vehicle for channeling climate finance (particularly for water, irrigation, energy, and other climate-sensitive infrastructure). Although the legal framework and trustees are already in place, the priority was securing seed capital from the Ministry of Finance, followed by replenishments from private-sector investors and development partners.

IDBZ highlighted irrigation, small-scale renewable energy, climate-proofed infrastructure, and market-linked smallholder support as core investment priorities, with a strong emphasis on “access to markets” as a condition for sustainable loan repayment.

AFC Holdings (formerly Agribank) operates as a four-arm group (commercial banking, land and development bank, leasing, and insurance), covering the full agricultural value chain. AFC representatives reported relatively low non-performing loan rates, but noted that high interest rates (often 12–15 percent), short tenors, and climate risk are major barriers for smallholders and irrigators. AFC is exploring longer-term funding (2–5 years), horticulture and capex facilities, and models that combine input finance with guaranteed off-take. They expressed strong interest in concessional long-term capital that would allow them to offer more affordable CRA loans (in the 4–7 percent range) while maintaining a sustainable margin.

FBC Bank, which has both a commercial banking arm and an insurance arm, has created a dedicated sustainability and climate finance unit and recruited a climate scientist to lead this work. The bank shared experience with agriculture portfolios (e.g., agrobills, rural finance programs under FAO, school water and agriculture programs) and signaled readiness to engage

in future blended-finance operations. FBC is particularly interested in green bonds and dedicated climate-finance credit lines to support agriculture, renewable energy, and forestry.

The Ministry of Finance (MoF) confirmed that climate and environmental priorities are integrated into the national development strategy and budget processes but emphasized tight fiscal space and the need for strategic use of external finance. MoF works closely with IDBZ on infrastructure finance and recognized the CFF as a key instrument, while also pointing to existing environmental revenue streams (e.g., tobacco levies, carbon taxes) that support the Environmental Management Agency (EMA) and forestry but are insufficient to address the scale of land and water degradation.

Taken together, these engagements show that Zimbabwe has a relatively advanced institutional platform for climate and agricultural finance, but one that remains capital-constrained and risk-averse. Program support can add value by injecting targeted grant resources and technical assistance into this architecture to lower the cost of capital and de-risk CRA and catchment investments.

Water and catchment management (ZINWA, EMA, WB/CSAIP, PES in Mazowe and beyond)

Water and catchment issues featured prominently across consultations. The Zimbabwe National Water Authority (ZINWA) described a complex and fragile water-resources situation characterized by high siltation rates, declining dam storage, and widespread catchment degradation. Deforestation driven by tobacco curing, cultivation on riverbeds, and unregulated alluvial gold mining are major drivers of sedimentation and water quality decline. ZINWA staff shared examples of dams that have lost a large share of their storage capacity within two decades, and noted that while they monitor silt loads and carry out cross-sectional surveys in selected dams, coverage is limited by resource constraints.

ZINWA also highlighted institutional challenges: multiple agencies (including EMA and local authorities) issue permits related to land and resource use, but no single institution has clear authority to enforce restrictions on damaging activities such as alluvial mining in riverbeds. Buffer zones around rivers and reservoirs are often not respected, especially in communal areas where rural district councils lack the resources and leverage to enforce rules. ZINWA has water-allocation and abstraction data, including tariffs differentiated by user category (e.g., mining, commercial agriculture, local authorities), but noted that revenue is insufficient to fund large-scale catchment restoration or systematic dam desiltation.

The Environmental Management Agency (EMA) brings strong analytical and mapping capabilities, with detailed data on land-use change and ecosystem-service hotspots. The World Bank's climate-smart agriculture work built on EMA and national geospatial analysis to conduct an in-depth ecosystem-services assessment in the Mazowe catchment. This work identified critical areas where agriculture, mining, deforestation, and other pressures are undermining water, carbon, and biodiversity values, and proposed an integrated landscape management model that could anchor future climate-finance projects.

The World Bank team stressed that while this analytical foundation is strong, implementation is constrained by limited trust-fund resources and the country's arrears status with IDA. They highlighted the opportunity for other partners to leverage the Mazowe methodology and extend similar analyses to southern catchments where irrigation, hydropower, and commercial agriculture are being affected by water degradation.

These discussions also opened space for PES concepts. ZINWA, EMA, and the World Bank agreed that there is potential for PES-like arrangements where downstream users such as commercial farms, processors, and hydropower producers contribute to upstream restoration when linkages between degradation and their operations are clear and measurable. However, they also emphasized that this requires strong data, credible institutions, and a clear legal and policy framework.

In sum, stakeholders framed water and catchment management as a critical entry point for the program in Zimbabwe, with clear opportunities to build on existing analyses and institutional mandates while filling key financing and implementation gaps.

Resilience programs and field experience (ZRBF, WFP)

The Zimbabwe Resilience Building Fund (ZRBF) and the World Food Program (WFP) provided rich lessons from nearly a decade of resilience programming in vulnerable districts. ZRBF has worked in 18 districts since 2015, combining evidence generation, transformative and adaptive capacity building, and a "crisis modifier" mechanism for rapid response. Activities have focused on climate-smart agriculture, water security, and renewable energy, including climate-smart technology trials, early planting using borehole water, drought-tolerant seed banks, solar-powered irrigation systems, and biogas solutions.

ZRBF shared evidence of significant resilience gains, with an estimated 850,000 people of 1.2 million beneficiaries showing improved resilience according to their monitoring framework. They highlighted pro-poor technologies with high uptake (e.g., simple water-harvesting techniques, legumes for mulching and nitrogen fixation, affordable biogas systems) and demonstrated models for community-managed boreholes, irrigation schemes, and market-linked production. Importantly, ZRBF has also built extensive 3W (who does what, where) datasets and multi-hazard mapping that can help the project target priority geographies and avoid duplication.

WFP described its Food for Assets (FFA) and watershed-based approaches, where communities receive support while establishing assets that improve agricultural production and protect livestock. FFA has increasingly moved toward watershed logic, selecting districts that experience recurrent shocks and high ecosystem degradation, and supporting community projects such as small dams, soil- and water-conservation structures, and climate-smart livelihoods. WFP is transitioning toward a broader food systems approach, which aligns well with the project's emphasis on resilience across value chains and landscapes.

These experiences show that Zimbabwe has a substantial base of tested field approaches, local partnerships, and data that the project can build on, especially for designing catchment-level packages that combine CRA practices, water security, and climate-resilient livelihoods.

Gender and inclusion (Ministry of Women, women’s funds, microfinance)

The Ministry of Women and related agencies underscored that gender inequality is both a driver and a consequence of climate vulnerability in Zimbabwe. Approximately 72 percent of women live in rural areas and are heavily engaged in small-scale agriculture and livestock management, often under rain-fed conditions that are highly exposed to climate shocks. Women’s farming practices can contribute to environmental degradation when they lack alternatives, but they have limited access to land titles, credit, mechanization, and extension services that would enable adoption of more sustainable approaches.

The Ministry outlined a complex but under-capitalized ecosystem of women-focused funds and financial institutions, including:

- The Women’s Development Fund (WDF) – a revolving fund administered by the ministry that provides relatively low-interest loans to disadvantaged women’s groups for community-based income-generating projects;
- The Zimbabwe Community Development Fund (ZCDF) – another group-based facility
- The Zimbabwe Women’s Microfinance Bank, which offers products for women in the agriculture sector, including a farm mechanization support program.

While these mechanisms have supported numerous small groups, officials stressed that capital constraints, limited technical capacity, and high operating costs limit their reach and impact. Interest rates can be high, repayment periods short, and loan sizes too small to support transformative investments. The Ministry also pointed to a new SME-focused program under SMEDCO and collaborations with the Standards Association of Zimbabwe to build women’s capacity to meet quality standards, but again noted limited scale.

Importantly, the Ministry and partners linked climate stress and environmental degradation to gender-based violence and social vulnerability. As agriculture becomes less reliable, some women turn to artisanal mining or other risky activities, increasing exposure to exploitation and conflict. Women are also heavily affected by siltation and water scarcity because of their roles in water collection and household management.

For this project, these messages imply that gender and inclusion cannot be handled through generic mainstreaming. The program will need to: (i) integrate existing women’s funds and microfinance institutions into CRA finance and restoration models; (ii) provide technical assistance to improve product design and risk management for women-focused lending; (iii) explicitly target women’s groups and women-headed households in CRA and catchment interventions; and (iv) ensure that women and youth are represented in catchment and community governance structures.

Community level consultations and gender analysis

Building on the national-level institutional consultations undertaken in early 2023, the programme design was further informed by district- and community-level consultations conducted in October 2025 in the Sanyati Catchment, covering Sanyati, Hurungwe, Gokwe North and Kariba districts. These consultations engaged district coordination and sector institutions (including RDCs, Agritex, EMA, Forestry Commission, ZINWA and relevant line ministries), traditional leadership, and rural communities in selected wards and villages. Community discussions focused on validating priority climate risks, catchment degradation drivers, and locally appropriate adaptation and restoration options, including soil erosion control, riparian protection, invasive species management, livestock water access and small-scale irrigation rehabilitation. Stakeholders consistently emphasized that catchment degradation is already constraining agricultural productivity, water availability and the viability of downstream users, reinforcing the need to pair CRA finance with upstream restoration and improved catchment governance.

A dedicated gender analysis was undertaken alongside the October 2025 consultations, using mixed methods including household questionnaires (n=41), sex- and age-segregated focus group discussions (adult women, adult men, female youth and male youth; one set per district), and key informant interviews with district authorities and sector duty-bearers (including DDC/RDC structures, Agritex, EMA, social development officers and line ministries). While gender-disaggregated headcounts were not systematically recorded for all consultation events, the analysis generated robust qualitative and quantitative evidence on gender-differentiated vulnerabilities and capacities. Findings highlighted women's disproportionate workloads related to water and fuel collection, limited access to land, finance and mechanization, and heightened exposure to climate-induced livelihood stress, alongside youth constraints linked to land access, employment and market participation. These insights directly informed the project's design features on gender-responsive CRA finance, inclusive catchment governance, targeted livelihood support, and interventions aimed at reducing unpaid care and resource-collection burdens.

Key messages for program design in Zimbabwe

Across institutions, finance actors, technical agencies, and communities, several clear messages emerged about where and how this regional program should plug into the Zimbabwe context:

1. **Work through and strengthen existing climate-finance institutions.** Stakeholders see IDBZ's CFF, and FBC as key partners for scaling CRA and water-related investments. The program should provide targeted grants and technical assistance that de-risk and leverage these vehicles rather than creating parallel structures.
2. **Focus on catchments where degradation is already constraining productive investments** Building on ZINWA, EMA, and World Bank analyses (e.g., Mazowe) and extending similar diagnostics to southern catchments would allow the program to concentrate restoration, PES pilots, and CRA finance in areas where impacts on irrigation, hydropower, and commercial agriculture are clearest.
3. **Link catchment restoration to CRA finance and markets** Stakeholders were clear that lending into degraded, water-insecure landscapes is

counterproductive. The program should pair CRA loans with catchment restoration packages and structured market linkages (via off-takers, processors, and exporters), using PES or co-financing agreements where possible.

4. **Leverage resilience programs rather than starting from scratch**
ZRBF and WFP have demonstrated models, local partnerships, and data systems that the program can build on, especially in watershed-based planning, pro-poor technologies, and multi-hazard monitoring. Coordination with these programs can reduce duplication and accelerate implementation.
5. **Make gender-responsive finance and governance a design feature**
The program should explicitly integrate women's funds, women's microfinance, and women's groups into CRA finance and livelihood activities, while ensuring representation of women and youth in catchment and community decision-making structures.

Annex: Stakeholder Consultation Log & Details

This Annex provides participant-level and meeting-level detail for stakeholder consultations undertaken in program countries during design. It draws explicitly from a full Stakeholder Engagement Reports for each country (available upon request) and disaggregates engagements by individual meeting, including exact dates, locations/modalities, stakeholder categories, and participant numbers where available. **For illustrative purposes, excerpts from country-level stakeholder engagement reports pertaining to one of the listed meetings has also been included¹.** Where precise sex-disaggregated participation data were not systematically recorded for institutional meetings, this is noted. Detailed gender-disaggregated data are provided where such information was formally captured. The information and tables should be read as complementary to the narrative synthesis presented earlier and does not replace the detailed qualitative findings already presented.

Eswatini

Between February 2023 and December 2024, UNDP and partners conducted a structured and iterative stakeholder engagement process in Eswatini to inform the design of the program. Engagements were organized across three in-country missions (February, May, July 2023), an inception workshop (October 2023), site-selection and validation meetings (January 2024), and targeted follow-up consultations with government institutions, financial institutions, civil society, private sector actors, and communities. Several bilateral virtual consultations that were conducted in 2025 to finalize design have not been captured.

The consultation process was intentionally sequenced to:

- Validate climate, land degradation, and water-security challenges at catchment level;
- Assess institutional readiness and governance arrangements for a Catchment Investment Programme (CIP);
- Test the feasibility of CRA finance and PES-style mechanisms with financial institutions and private sector actors; and
- Ground project design in community-identified priorities, constraints, and gender-differentiated impacts.

Institutional consultations were predominantly conducted in person in Mbabane and Manzini, with selected hybrid or online meetings for Technical Steering Committee (TSC) engagements. Community consultations were conducted on site across seven chiefdoms in the Upper Usuthu Basin using surveys, focus group discussions, and key informant interviews.

Illustrative Meeting Note: Joint engagement with representatives of the Technical Steering Committee

Meeting Date

¹ Contents of the full report have not been included due to page limit constraints

- 22 November 2023

Stakeholders engaged

1. Thapelo Hlatswako (MOA – Department of Livestock and Veterinary Services)
2. Sindy Mthimkhulu (JRBA)
3. Sandile Gumedze (ENTC)
4. Sydney Dladla (NAMBoard)
5. Mazibuse Khumalo (Eswatini Bank)
6. Bonginkosi M. Shabangu (Eswatini Bank)
7. Dumisani J. Msibi (FINCORP)
8. Spencer Green-Thompson (Department of Water Affairs)
9. Mfundo Langwenya (EEA)

Overview

The stakeholder meeting focused on sustainable rangeland management for Eswatini's livestock sector. Discussions centred on the applicability of grazing management, previous experiences with grazing schemes, and key enabling interventions. The challenges of overstocking, land degradation, and limited institutional capacity were highlighted, along with considerations for integrating water resource planning and financial mechanisms to support grazing interventions. The meeting also explored potential market opportunities, including sustainability certification schemes to enhance the red meat value chain.

Challenges

Communal Rangeland Ownership: A lack of individual ownership results in limited responsibility for rangeland management, contributing to overgrazing and degradation.

Limited Capacity for Implementation: Existing group ranch schemes have demonstrated positive results but suffer from insufficient extension services and technical support.

Water Resources Constraints: Sustainable grazing practices require adequate water access, but livestock watering regulations and infrastructure limitations pose a challenge.

Distance to Dip Tanks: Widely spaced dip tanks contribute to land erosion as cattle travel long distances, complicating effective grazing management.

Overstocking and Degradation: Unregulated stocking rates lead to a 'Tragedy of the Commons' scenario, where excessive livestock numbers exceed the land's carrying capacity, causing grassland degradation.

Market and Financial Barriers: Previous initiatives to integrate Eswatini livestock into the Swazi beef export market failed due to economic downturns, fluctuating feed costs, and poor compliance with international standards. Additionally, financial institutions remain cautious due to high risks of loan defaults and livestock theft.

Policy Gaps: While water regulations address livestock ownership thresholds, there is a lack of clear policies governing sustainable stocking rates and grazing practices.

Recommendations

Community-led Grazing Management

- Implement a bottom-up approach with strong community engagement to ensure local buy-in and long-term sustainability.
- Strengthen awareness-raising and capacity building for both pastoralists and traditional authorities to enhance participation.

Sustainability Certification and Market Development

- Shift focus from large-scale feedlot beef production to strengthening smaller-scale collaborations with butcheries.
- Explore sustainability certification, such as Ecological Outcomes Verification (EOV), to market grass-fed beef and minimize ecosystem degradation.
- Investigate alternative livestock trading models as a means of income diversification.

Integrated Water and Grazing Planning

- Assess water sources at selected project sites to ensure livestock watering needs are met within the grazing management framework.
- Consider policies to regulate livestock numbers, particularly as improved grazing management may incentivise herd expansion.

Enabling Financial Mechanisms

- Address previous financial barriers by developing risk-mitigating instruments, such as lien-based lending, to encourage responsible borrowing.
- Engage financial institutions to explore alternative loan structures that align with the economic realities of smallholder livestock farmers

Cross-Sectoral Collaboration

- Strengthen coordination between key stakeholders, including the Department of Water Affairs, agricultural institutions, and traditional leadership, to ensure integrated policy support.
- Consider policy recommendations to introduce stocking rate regulations and improve enforcement of sustainable rangeland management practices

The stakeholders acknowledged the urgent need for improved grazing management in Eswatini and emphasised that interventions must be community-driven. While past attempts at integrating Eswatini's livestock sector into large-scale export markets faced significant challenges, there is potential to enhance the domestic red meat value chain through targeted interventions. Certification schemes, improved water resource planning, and financial risk mitigation strategies were highlighted as key enablers for sustainable rangeland management.

Table 1: Detailed Record of Stakeholder Consultations in Eswatini

Date	Location / Modality	Stakeholder Group	Institutions / Participants	Participants	Gender Balance	Purpose of Consultation
20-Feb-23	Mbabane – In person	Government (Environment)	Eswatini Environment Authority (EEA)	10	Not systematically recorded	Discuss EEF role, CIP feasibility, private sector engagement
21-Feb-23	Mbabane – In person	Government (Water)	MNRE – Dept. of Water Affairs, JRBA	4	Not recorded	Water governance, tariffs, hydrological data gaps
21-Feb-23	Mbabane – In person	Private sector	Sugarcane Growers Association	1	Not recorded	Irrigation, energy costs, CRA finance
21-Feb-23	Mbabane – In person	Agriculture / UN	MOA, FAO	5	Not recorded	Coordination of landscape and finance interventions
22-Feb-23	Mbabane – In person	Finance	Eswatini Bank	2	Not recorded	CRA lending
22-Feb-23	Mbabane – In person	Finance	FINCORP	2	Not recorded	MSME finance, renewable energy, irrigation
23-Feb-23	Mbabane – In person	Government (Heritage)	Eswatini National Trust Commission (ENTC)	1	Not recorded	Landscape associations, data, water fund concept
23-Feb-23	Mbabane – In person	Agriculture	NMC	3	Not recorded	Input subsidies, farmer contracts, CRA barriers
23-Feb-23	Mbabane – In person	Agriculture	NAMBoard	1	Not recorded	Market access, irrigation, CRA adoption
23-Feb-23	Mbabane – In person	Finance	Inhlanyelo Fund	1	Not recorded	Microfinance constraints, drought risk
22-May-23	Mbabane – In person	Government (Environment)	EEA	10	Not recorded	Follow-up on EEF, IAPS, private sector
22-May-23	Mbabane – In person	Civil society	Indalo, Tenvelo, RMI	4	Not recorded	NGO roles, community engagement
23-May-23	Mbabane – In person	Government (Water)	MNRE – DWA, JRBA	4	Not recorded	Tariffs, telemetry, co-financing
24-May-23	Matsapha – In person	Private sector	CONCO Ltd (Coca-Cola)	4	Not recorded	Water stewardship, CSR co-finance
25-May-23	Site visit – In person	Agriculture	EWADE (LUSIP II)	4	Not recorded	Irrigation, solar transition
25-May-23	Site visit – In person	Private sector	Crookes Plantation	1	Not recorded	Water tariffs, basin governance
26-May-23	Mbabane – In person	Government (Planning)	MEPD	4	Not recorded	Alignment with NDP, finance oversight

4-Jul-23	Mbabane – In person	Government (Environment/Water)	EEA; MNRE	8	Not recorded	Final mission validation
6-Jul-23	Mbabane – In person	Government (Forestry)	Forestry Dept (MTEA)	2	Not recorded	IAPS control, nurseries
12-Jul-23	Site visit – In person	Private sector	Ubombo Sugar / Illovo	2	Not recorded	Irrigation, NbS integration
31-Oct-23	Hybrid	TSC – Inception Workshop	Multi-institutional	11	Not recorded	Site selection, ToC validation
22-Nov-23	In person	TSC – Livestock	Multi-institutional	9	Not recorded	Grazing, rangeland finance
23-Nov-23	Online	TSC – IAPS	Multi-institutional	6	Not recorded	Labour models, IAPS strategy
26-Jan-24	Hybrid	TSC – Site validation	Multi-institutional	11	Not recorded	Final site selection
Jul–Aug 2024	7 chiefdoms (field-based)	Communities	Farmers, leaders, FGDs	143	Sex-disaggregated (see below)	Needs assessment, CRA, NbS priorities
19-Nov-24	Mbabane – In person	Finance	Eswatini Bank	2	Not recorded	Final CRA loan design
3-Dec-24	Mbabane – In person	TSC / Steering	Multi-institutional	11	Not recorded	

Community Consultation Gender Breakdown (July–August 2024)

- Key Informant Interviews: 20 participants (95% male, 5% female)
- Farmer Survey: 27 participants (26% male, 74% female)
- Focus Group Discussions: 96 participants (27% male, 73% female)

Zambia

Stakeholder consultations for the Zambia NbS-ARC project were conducted across multiple phases between October 2022 and January 2025, combining early national scoping, structured multi-stakeholder technical consultations, in-depth community and traditional leadership engagements in the Upper Lunsemfwa catchment, and targeted follow-up consultations with financial institutions, regulators, and government entities to refine the technical and financing design of the proposed interventions including the PES and CRA financing mechanisms.

Early consultations (October 2022) focused on national climate priorities, institutional roles, regulatory considerations, and private-sector perspectives. These were followed by a series of structured multi-stakeholder consultations in August–September 2023, bringing together line ministries, regulators, research institutions, and development partners to validate priorities related to catchment management, climate-resilient agriculture, and environmental safeguards. **The full list of stakeholders consulted during this period are listed below for illustrative purposes, with other stakeholder lists available upon request.**

A comprehensive field consultation mission was undertaken from 11–19 December 2023 in the Upper Lunsemfwa catchment, including courtesy calls with provincial and district authorities, traditional leadership engagements, community group consultations, and individual interviews with commercial farmers. These consultations generated both qualitative and quantitative inputs, including structured household surveys administered using KoboCollect. Gender and youth disaggregation was captured only for community survey respondents, in line with the scope of the field survey.

Subsequent consultations in January and May 2024 focused on technical design refinement and financial structuring, including workshops with national technical experts and meetings with commercial banks, development partners, and private-sector actors. Targeted follow-up consultations in January 2025 were held exclusively with ZANACO and selected government and regulatory institutions to refine the CRA lending and digital systems components. Virtual bilateral consultations with ZANACO and select government agencies continued throughout 2025 but have not been included. Detailed records of consultation dates, locations, institutions engaged, participant numbers, and available evidence are summarized below.

Community Consultation Gender Breakdown (Upper Lunsemfwa, December 2023)

- Community group consultations and household surveys (26 Men, 10 Women, 14 Youths)
- Gender-disaggregated participation data were explicitly recorded only for community-level consultations involving small-scale farmers and household surveys. Gender information for traditional leaders, commercial farmers, and institutional stakeholders was not systematically captured in the consultation documentation

Illustrative Meeting Note: Meeting with Water Resource Management Authority (WARMA)

Date & Time	30/08/23 10.00hrs
Persons	Chewe Chishala,-WARMA Kenneth Nyundu-WARMA Frank Nyoni-WARMA Radhika Dave-UNDP Robert Raw-Envireo Tasila Banda-UNDP Carol Mwape Zulu-UNDP Hartley Walimwipi-Snow Systems Zambia Theresa Mukinga- Snow Systems Zambia Scolastica Sichembe- Snow Systems Zambia

Ms Carol Zulu introduced the team to the WARMA officials. This was followed by individual introductions from all the participants. In his opening remarks, Mr. Nyundu explained the mandate of WARMA being water resource management and utilization. Which involves conservation, protection and management of catchment areas. Radhika gave a brief explanation on the projects background, the objectives and purpose of the mission. This was followed by a presentation by Robert on the Catchment Investment Plan, site selection and business model.

Discussion Points

- WARMA as a statutory body established with the Water Resources Management Act No. 21 of 2011 is in charge of issuance of permits for abstraction of surface and ground water for commercial, agriculture, municipal, hydropower, recreation, mining and industrial use. In addition WARMA is in charge of regulating, impoundment of water through hydraulic infrastructure.
- WARMA was of the view that the selection of the Lunsemfwa catchment area around Mkushi and Luano was ideal because the water is highly stressed by existing activities such as; Mining commercial and small scale agriculture as well as municipal use.
- The identified site could be a good area for upscaling climate change mitigation and co-financing adaptation initiatives because of the presence of interested and affected stakeholders such as; the commercial farmers, Lusemfwa Hydro Power Company.
- There is a high amount of water conflict among the water users
- Lunsemfwa hydro power company as well as other commercial farmers have been looking for support to manage the catchment
- Zambia National Farmers Union (ZNFU) was identified as a strong and influential organisation operating in the identified area. The site was said to have a combination of well knowledgeable stakeholders on climate change who could be interested in the investment plan and catchment protection measures.

Challenges

- Increased sand mining on river beds
- Rampant construction developments on riverbeds
- Uncoordinated presence of authorities in the same jurisdiction
- Less funding for water resource management as compared to water supply projects
- Inadequate enforcement of existing legislation due to the limited structure
- Low water user fees because user fees are only collected from commercial users

Recommendations

- There is need to establish some incentives for climate smart agriculture
- There is need for climate change sensitisation and awareness
- There is need for an economic analysis to show the value of water as an input to commercial activities.

List of Attendees for August-September 2023 Stakeholder Meetings

WATER RESOURCES MANAGEMENT AUTHORITY					
	NAME	INSTITUTION	DESIGNATION	PHONE No.	EMAIL ADDRESS
1	Kenneth Nynndu	WARMA	Director- WRM	0971806820	
2	Chishala Chewe	WARMA	Director-General	0966780120	
3	Frank Nyoni	WARMA	Water Resource Operation Manager	0977595948	
4	Hartley Walimwipi	Snow Systems Zambia	CEO	0977797906	hartleykabunda@yahoo.co.uk
5	Scolastica Sichembe	Snow Systems Zambia	Manager Env. & Energy	0966700907	scolasticasm@gmail.com
6	Theresa Mukinga	Snow Systems Zambia	Climate Change Mitigation Officer	0975829989	Theresamukinga20@gmail.com
7	Carol Mwape Zulu	UNDP	Prog. Specialist Energy & Environment	0977603672	Carol.zulu@upnd.org
8	Radhika Dave	UNDP	Regional Tech Advisor	-	Radhika.dave@upnd.org
9	Robert Raw	Envireo	International Consultant	-	Robert@envireo.co.za
ZAMBIA ENVIRONMENTAL MANAGEMENT AGENCY					
	NAME	INSTITUTION	DESIGNATION	PHONE No.	EMAIL ADDRESS
1	Rodwell Chandipo	ZEMA	Principal Inspector	0966878593	

2	Lumwaya Clayton	ZEMA	Natural Resources Senior GIS/RS	0961984108	
3	Charity Malweya	ZEMA	Manager Climate Change	-	
4	Hartley Walimwipi	Snow Systems Zambia	CEO	0977797906	hartleykabunda@yahoo.co.uk
5	Scolastica Sicheembe	Snow Systems Zambia	Manager Env. & Energy	0966700907	scolasticasm@gmail.com
6	Theresa Mukinga	Snow Systems Zambia	Climate Change Mitigation Officer	0975829989	Theresamukinga20@gmail.com
7	Carol Mwape Zulu	UNDP	Prog. Specialist Energy & Environment		Carol.zulu@upnd.org
8	Radhika Dave	UNDP	Regional Tech Advisor	-	Radhika.dave@upnd.org
9	Robert Raw	ENVIREO	International Consultant	-	robert@envireo.co.za

FISHERIES AND LIVESTOCK

	NAME	INSTITUTION	DESIGNATION	PHONE No	EMAIL ADDRESS
1	Trolyb Hamyimbo	Fisheries and Livestock	Senior Livestock Production Officer	0979980218	
2	Bwalya Nkole	MFL-ESLIP	Forase Development and Rangel and Specialist	0966219566	
3	Mwape W. Mweni	MFL-ESLIP	Stocking and restocking specialist	0979314135	
4	Dikoka Chingambu	MFL-ESLIP	Forage Seed Specialist	0979679640	
5	Hartley Walimwipi	Snow Systems Zambia	CEO	0977797906	hartleykabunda@yahoo.co.uk
6	Scolastica Sicheembe	Snow Systems Zambia	Manager Env. & Energy	0966700907	scolasticasm@gmail.com
7	Theresa Mukinga	Snow Systems Zambia	Climate Change Mitigation Officer	0975829989	Theresamukinga20@gmail.com
8	Carol Mwape Zulu	UNDP	Prog. Specialist Energy & Environment		Carol.zulu@upnd.org
9	Radhika Dave	UNDP	Regional Tech Advisor	-	Radhika.dave@upnd.org
10	Robert Raw	ENVIREO	International Consultant	-	robert@envireo.co.za

FOOD AND AGRICULTURAL ORGANIZATION					
	NAME	INSTITUTION	DESIGNATION	PHONE No.	EMAIL ADDRESS
1	Geoffrey Chomba	FAO	Assistant FAO Rep	0977174389	Geoffrey_chomba@fao.org
2	Reynolds K. Shula	FAO	Mech. Specialist	0977770825	Reynolds.shula@fao.org
3	Brian Ross	FAO	Tech. Advisor UNREDD		Brian.ross@fao.org
4	Vincent Ziba	FAO	Env. Sust. Coordination		Vincent.ziba@fao.org
5	Esther Chingoma	FAO	Project Coordinator		Esther.chingoma@fao.org
6	Katwenge Nanguzgambo	FAO	Forest Technical Network		Katwenge.nanguzgambo@fao.org
7	William Munyandi	FAO	Social Production Specialist		William.muyandi@fao.org
8	Hartley Walimwipi	Snow Systems Zambia	CEO	0977797906	hartleykabunda@yahoo.co.uk
9	Scolastica Sichembe	Snow Systems Zambia	Manager Env. & Energy	0966700907	scolasticasm@gmail.com
10	Theresa Mukinga	Snow Systems Zambia	Climate Change Mitigation Officer	0975829989	Theresamukinga20@gmail.com
11	Carol Mwape Zulu	UNDP	Prog. Specialist Energy & Environment		Carol.zulu@upnd.org
12	Radhika Dave	UNDP	Regional Tech Advisor	-	Radhika.dave@upnd.org
13	Robert Raw	ENVIREO	International Consultant	-	robert@envireo.co.za
NATIONAL DESIGNATED AUTHORITY					
	NAME	INSTITUTION	DESIGNATION	PHONE No	EMAIL ADDRESS
1	Francis Mpampi	NDA-MGEE	Natural Coordinator		Francis.mpampi@ndazambia.gov.zm
2	Hartley Walimwipi	Snow Systems Zambia	CEO	0977797906	hartleykabunda@yahoo.co.uk
3	Scolastica Sichembe	Snow Systems Zambia	Manager Env. & Energy	0966700907	scolasticasm@gmail.com
4	Theresa Mukinga	Snow Systems Zambia	Climate Change Mitigation Officer	0975829989	Theresamukinga20@gmail.com

5	Carol Mwape Zulu	UNDP	Prog. Specialist Energy & Environment		Carol.zulu@upnd.org
6	Radhika Dave	UNDP	Regional Tech Advisor	-	Radhika.dave@upnd.org
7	Robert Raw	ENVIREO	International Consultant	-	robert@envireo.co.za

MINISTRY OF LANDS AND NATURAL RESOURCES

	NAME	INSTITUTION	DESIGNATION	PHONE No	EMAIL ADDRESS
1	Wesu Lukhula	MLWR	Director		Wezi.lukhula@mlwr.gov.zm
2	Brenda Daura	MLWR	Principal Planner	0977435248	brenda.daura@mlwr.gov.zm
3	Milton Malata	MLWR	CHRNO	0972970773	Miltonmalaya2016@gmail.com
4	Hartley Walimwipi	Snow Systems Zambia	CEO	0977797906	hartleykabunda@yahoo.co.uk
5	Scolastica Sichembe	Snow Systems Zambia	Manager Env. & Energy	0966700907	scolasticasm@gmail.com
6	Theresa Mukinga	Snow Systems Zambia	Climate Change Mitigation Officer	0975829989	Theresamukinga20@gmail.com
7	Harriet Malaya	MLWR	NRMO		Harriet.malaya@mlwr.gov.zm
8	Carol Mwape Zulu	UNDP	Prog. Specialist Energy & Environment		Carol.zulu@upnd.org
9	Radhika Dave	UNDP	Regional Tech Advisor	-	Radhika.dave@upnd.org
10	Robert Raw	ENVIREO	International Consultant	-	robert@envireo.co.za

MINISTRY OF GREEN ECONOMY AND ENVIRONMENT

	NAME	INSTITUTION	DESIGNATION	PHONE No	EMAIL ADDRESS
1	Ingutu Kazinga	FDHQ	Senior Forestry Technician	0979752825	isimasiku@gmail.com
2	Miriam Mbewe	EMD	Env. Mgt. Officer		Mmirriam.mm@gmail.com
3	Absalom Sakala	EMD	PEMO		absalomsakala@gmail.com
4	Hartley Walimwipi	Snow Systems Zambia	CEO	0977797906	hartleykabunda@yahoo.co.uk
5	Scolastica Sichembe	Snow Systems Zambia	Manager Env. & Energy	0966700907	scolasticasm@gmail.com
6	Theresa Mukinga	Snow Systems Zambia	Climate Change Mitigation Officer	0975829989	Theresamukinga20@gmail.com

7	Harriet Malaya	MLWR	NRMO		Harriet.malaya@mlwr.gov.zm
8	Oscar Silembo	WARMA		0977863059	osilembo@warma.org.zm
9	Carol Mwape Zulu	UNDP	Prog. Specialist Energy & Environment	0977603672	Carol.zulu@upnd.org
10	Radhika Dave	UNDP	Regional Tech Advisor	-	Radhika.dave@upnd.org
11	Robert Raw	ENVIREO	International Consultant	-	robert@envireo.co.za

INDABA AGRICULTURAL POLICY RESEARCH INSTITUTE

	NAME	INSTITUTION	DESIGNATION	PHONE No	EMAIL ADDRESS
1	Fwasa Singongo	IAPRI	Research associate	0764331453	fwasasingogo@iapri.org.zm
2	Antony Chapoto	IAPRI	Research and innovation Director		
3	Scolastica Sichembe	Snow Systems Zambia	Manager Env. & Energy	0966700907	scolasticasm@gmail.com
4	Theresa Mukinga	Snow Systems Zambia	Climate Change Mitigation Officer	0975829989	Theresamukinga20@gmail.com
5	Carol Mwape Zulu	UNDP	Prog. Specialist Energy & Environment	0977603672	Carol.zulu@upnd.org
6	Radhika Dave	UNDP	Regional Tech Advisor	-	Radhika.dave@upnd.org
7	Robert Raw	ENVIREO	International Consultant	-	robert@envireo.co.za

CGIAR

	NAME	INSTITUTION	DESIGNATION	PHONE No	EMAIL ADDRESS
1	Chikoye David	CGIAR			d.chikoye@cgiar.org
2	Antony Chapoto	IAPRI	Research and innovation Director		
3	Scolastica Sichembe	Snow Systems Zambia	Manager Env. & Energy	0966700907	scolasticasm@gmail.com
4	Theresa Mukinga	Snow Systems Zambia	Climate Change Mitigation Officer	0975829989	Theresamukinga20@gmail.com
5	Carol Mwape Zulu	UNDP	Prog. Specialist Energy & Environment	0977603672	Carol.zulu@upnd.org
6	Radhika Dave	UNDP	Regional Tech Advisor	-	Radhika.dave@upnd.org

7	Robert Raw	ENVIREO	International Consultant	-	robert@envireo.co.za
MINISTRY OF WATER DEVELOPMENT AND SANITATION					
	NAME	INSTIUTION	DESIGNATION	PHONE No	EMAIL ADDRESS
1	Eng. Flora S. Simundi	MWDS-DWRD	Director	097861663	flosika@yahoo.com
2	Benard Tembo	MWDS	AD-HRA	0977325260	Tembo.benard@mwds.gov.zm
3	Dr Ngosa Howard Mpamba	MWDS-DWRD	Assistant Director	0977829150	mpambahoward@gmail.com
4	Pasla Mwila	MWDS-DWRD	Ag. Ass Director		Pmwila69@gmail.com
5	Albert Chomba	MWDS-DWRD	Ag. Ass. Director		Chomba08027.ac@gmail.com
6	Emma Ndhlovu	MWDS-DWRD	Senior Water Officer		Emmandhlovu4@gmail.com
7	Scolastica Sichembe	Snow Systems Zambia	Manager Env. & Energy	0966700907	scolasticism@gmail.com
8	Theresa Mukinga	Snow Systems Zambia	Climate Change Mitigation Officer	0975829989	Theresamukinga20@gmail.com
9	Carol Mwape Zulu	UNDP	Prog. Specialist Energy & Environment	0977603672	Carol.zulu@upnd.org
10	Radhika Dave	UNDP	Regional Tech Advisor	-	Radhika.dave@upnd.org
11	Robert Raw	ENVIREO	International Consultant	-	robert@envireo.co.za
PROVINCIAL ADMINISTRATION OFFICE					
	NAME	INSTITUTION	DESIGNATION	PHONE NO	EMAIL ADDRESS
1	Hartley Walimwipi	Snow Systems Zambia	CEO	0977797906	hartleykabunda@yahoo.com
2	Scolastica Sichembe	Snow Systems Zambia	Manager Env. & Energy	0966700907	scolasticism@gmail.com
3	Theresa Mukinga	Snow Systems Zambia	Climate Change Mitigation Officer	0973453391	Theresamukinga20@gmail.com
4	Alex D. Chilala	Ministry of Agriculture	PACO	0977328283	chilalaalla@gmail.com
5	Samuel K. Mwaya	MFL	Ag/PFLC	0977961193	sheklagwa@gmail.com
6	Odilia Chilekwa	MGEE-FD	PFO	0977792005	ochilekwa@gmail.com
7	Carol Mwape Zulu	UNDP	Prog. Specialist Energy & Environment	0977603672	Carol.zulu@upnd.org

8	Ingutu Kazinga	FOHQ	Senior Forestry Technician	0979752825	isimasiku@gmail.com
9	Radhika Dave	UNDP	Regional Tech Advisor	-	Radhika.dave@upnd.org
10	Robert Raw	ENVIREO	International Consultant	-	robert@envireo.co.za

WATER RESOURCES AND MANAGEMENT AUTHORITY

	NAME	INSTITUTION	DESIGNATION	PHONE NO	EMAIL ADDRESS
1	Hartley Walimwipi	Snow Systems Zambia	CEO	0977797906	hartleykabunda@yahoo.co.uk
2	Scolastica Sichembe	Snow Systems Zambia	Manager Env. & Energy	0966700907	scolasticism@gmail.com
3	Theresa Mukinga	Snow Systems Zambia	Climate Change Mitigation Officer	0973453391	Theresamukinga20@gmail.com
4	Oscar Silembo	WARMA		0977863059	osilembo@warma.org.zm
5	Carol Mwape Zulu	UNDP	Prog. Specialist Energy & Environment	0977603672	Carol.zulu@upnd.org
6	Ingutu Kazinga	FOHQ	Senior Forestry Technician	0979752825	isimasiku@gmail.com
7	Radhika Dave	UNDP	Regional Tech Advisor	-	Radhika.dave@upnd.org
8	Robert Raw	ENVIREO	International Consultant	-	robert@envireo.co.za

MKUSHI DISTRICT OFFICE

	NAME	INSTITUTION	DESIGNATION	PHONE No	EMAIL ADDRESS
1	Jonathan Kapingwe	Mkushi District Commission	District Commissioner	0977768503	Jkapungwe63@gmail.com
2	Susan Kwesa	Forestry	Acting District Forest Officer	0978721856	susankwesacozy@gmail.com
3	Victoria Namusokwe	Forestry	Senior Technologist	0977542945	vickynems@gmail.com
4	Hartley Walimwipi	Snow Systems Zambia	CEO	0977797906	hartleykabunda@yahoo.co.uk
5	Scolastica Sichembe	Snow Systems Zambia	Manager Env. & Energy	0966700907	scolasticism@gmail.com
6	Theresa Mukinga	Snow Systems Zambia	Climate Change Mitigation Officer	0973453391	Theresamukinga20@gmail.com
7	John Mwaba	North Swaka	Forest scout supervisor	0968377039	Johnny.mwaba@gmail.com
8	Oscar Silembo	WARMA		0977863059	osilembo@warma.org.zm
9	Carol Mwape Zulu	UNDP	Prog. Specialist Energy & Environment	0977603672	Carol.zulu@upnd.org

10	Ingutu Kazinga	FOHQ	Senior Forestry Technician	0979752825	isimasiku@gmail.com
11	Radhika Dave	UNDP	Regional Tech Advisor	-	Radhika.dave@upnd.org
12	Robert Raw	ENVIREO	International Consultant	-	robert@envireo.co.za
NORTH SWAKA TRUST					
	NAME	INSTITUTION	DESINATION	PHONE No	EMAIL ADDRESS
1	Peter Sinkala	Foundation Zambia		0963966242	peter@foundationzambia.org
2	Susan Kwesa	Forestry	Acting District Forest Officer	0978721856	susankwesacozy@gmail.com
3	Victoria Namusokwe	Forestry	Senior Technologist	0977542945	vickynems@gmail.com
4	Hartley Walimwipi	Snow Systems Zambia	CEO	0977797906	hartleykabunda@yahoo.co.uk
5	Scolastica Sichembe	Snow Systems Zambia	Manager Env. & Energy	0966700907	scolasticasm@gmail.com
6	Theresa Mukinga	Snow Systems Zambia	Climate Change Mitigation Officer	0973453391	Theresamukinga20@gmail.com
7	John Mwaba	North Swaka	Forest scout supervisor	0968377039	Johnny.mwaba@gmail.com
8	Oscar Silembo	WARMA		0977863059	osilembo@warma.org.zm
9	Carol Mwape Zulu	UNDP	Prog. Specialist Energy & Environment		Carol.zulu@upnd.org
10	Ingutu Kazinga	FOHQ	Senior Forestry Technician	0979752825	isimasiku@gmail.com
11	Radhika Dave	UNDP	Regional Tech Advisor	-	Radhika.dave@upnd.org
12	Robert Raw	ENVIREO	International Consultant	-	robert@envireo.co.za

Table 2: Detailed Record of Stakeholder Consultations in Zambia

Date	Location	Key Stakeholders / Institutions	Consultation Type	Participants	Notes / Evidence
25-Oct-22	Lusaka	National Focal Point / NDA-linked officials	Early scoping on climate adaptation priorities and institutional roles	2	Named participant list
25-Oct-22	Lusaka	MEPD-linked consultation	National planning and coordination considerations	2	Named participant list
25-Oct-22	Lusaka	Zambia Environmental Management Agency (ZEMA)	Environmental regulation, catchment degradation, institutional readiness	4	Named participant list
26-Oct-22	Lusaka	Good Nature Agro	Private-sector perspectives on climate risks and agriculture	1	CEO listed
26-Oct-22	Lusaka	SNV	Development partner coordination & alignment	1	Country Director listed
26-Oct-22	Lusaka	NWASCO	Water regulation, utility impacts, catchment protection	2	Named participant list
27-Oct-22	Lusaka	Stewards Globe Afriseed	Seed systems and resilience	1	CEO listed
27-Oct-22	Lusaka	Development Bank of Zambia (DBZ)	Finance landscape and SME lending constraints	1	Head of SME listed
27-Oct-22	Lusaka	WWF Zambia	Conservation and catchment management	1	Project lead listed
27-Oct-22	Lusaka	WARMA	Catchment stress, hydrology, regulatory challenges	2	COO and senior hydrologist listed
27-Oct-22	Lusaka	COMACO	Market-linked agriculture and resilience	1	Director listed
30-Aug-23	Lusaka	Multi-stakeholder consultation	Agriculture, environment and development coordination	13	Named participant list
30-Aug-23	Lusaka	WARMA-led consultation	Water governance and catchment prioritization	10	Named participant list
30-Aug-23	Lusaka	ZEMA-led consultation	Environmental regulation and safeguards	9	Named participant list
30-Aug-23	Lusaka	Ministry of Fisheries & Livestock	Livestock systems and rangeland pressures	10	Named participant list
30-Aug-23	Lusaka	NDA-linked consultation	Climate finance coordination	6	Named participant list
30-Aug-23	Lusaka	Ministry of Lands & Natural Resources	Land use, forestry and planning	10	Named participant list
1-Sep-23	Lusaka	Ministry of Water Development & Sanitation	Water security, infrastructure and catchments	13	Named participant list
1-Sep-23	Lusaka	IAPRI	Agricultural research and productivity	9	Named participant list
1-Sep-23	Lusaka	IITA	Climate-resilient agriculture research	8	Named participant list

4-Sep-23	Lusaka	Provincial forestry & agriculture officials	Sub-national implementation considerations	10	Named participant list
6-Sep-23	Lusaka	UNDP & partners	Programme design consolidation	4	Named participant list
6-Sep-23	Lusaka	WFP	Resilience programming and watershed approaches	5	Named participant list
11-Dec-23	Kabwe	Provincial Administration	Courtesy call / institutional meeting	7	Meeting Notes
11-Dec-23	Kabwe	Lunsemfwa Hydro Power; Lukanga Water & Sewerage	Institutional consultations	10	Meeting Notes
12-Dec-23	Mkushi	District Commissioner	Courtesy call	6	Meeting Notes
12-Dec-23	Mkushi	Traditional leadership group	Traditional authority consultation	8	Meeting Notes
12-Dec-23	Mkushi	Community groups	Community group consultations	50	KoboCollect surveys
13-Dec-23	Mkushi	Community leaders	Follow-up leadership discussion	8	Meeting Notes
14-Dec-23	Mkushi	Community members	Community group consultation	50	Meetings Notes
11–19 Dec-2023	Upper Lunsemfwa	Commercial farmers (6 farms)	One-on-one farm visits	6	Meeting Notes
29-Jan-24	Lusaka	National technical experts	Technical design workshop	10	Workshop output
31-May-24	Lusaka	AB Bank	Financial sector consultation	4–5	Participant list
31-May-24	Lusaka	ZICB	Financial sector consultation	5–6	Participant list
31-May-24	Lusaka	GIZ (AWARE-2)	Donor / project coordination	2–3	Meeting Notes
31-May-24	Lusaka	ZANACO	Financial sector consultation	3–4	Meeting notes
14-Jan-25	Lusaka	ZANACO	CRA digital systems and lending design	1–3	Meeting Notes
14-Jan-25	Lusaka	Ministry of Agriculture	CRA policy and financing alignment	1–2	Meeting Notes
15-Jan-25	Lusaka	NWASCO	Regulator consultation (PES, water funds)	4–5	Meeting Notes
15-Jan-25	Lusaka	MGEE	Government consultation (trust funds, policy)	3–4	Meeting Notes
16-Jan-25	Lusaka	COMACO	Private-sector consultation	1	CEO listed
16-Jan-25	Lusaka	WARMA	Regulator consultation on water pricing and PES	4–5	Meeting Notes

Zimbabwe

In Zimbabwe, stakeholder consultations were conducted in two main phases. The first phase focused on national-level programme design and financing discussions (February–March 2023), engaging technical ministries, finance institutions, regulators, development partners and private-sector actors to inform the overall structure of the programme, including catchment investment approaches, CRA finance and PES feasibility. The second phase comprised district- and community-level consultations in the Sanyati Catchment (6–10 October 2025), covering Sanyati, Hurungwe, Gokwe North and Kariba districts.

The October 2025 consultations adopted a participatory, multi-tiered approach combining structured district meetings and community-level engagements. District-level meetings brought together coordination and sector institutions including Environmental Management Agency (EMA), Forestry Commission, Zimbabwe National Water Authority (ZINWA), Agritex, Rural District Councils (RDCs), and relevant line ministries. Community-level engagements were held in selected wards and villages (including Nyimo Village/Ward 16; Gadza Village/Ward 3; Copper Queen/Ward 16; and Kabuyini community), involving farmers, agro-pastoralists, women’s groups, youth and traditional leadership. Attendance registers and photographic evidence were maintained for district and community meetings and are referenced in the consultation report.

Community consultations focused on validating priority climate risks, identifying locally appropriate catchment restoration and adaptation interventions, and clarifying institutional roles at district and community levels, with explicit attention to gender-differentiated vulnerabilities and capacities. Engagement methods included community group discussions, traditional leadership meetings, focus group discussions (FGDs), household surveys and key informant interviews (KIIs).

Gender considerations were integrated primarily through consultation design rather than comprehensive numerical disaggregation at every event. A dedicated gender analysis was undertaken alongside project preparation, applying mixed methods across the four districts: (i) household questionnaires (n=41); (ii) sex- and age-segregated FGDs (adult women, adult men, female youth and male youth, one set per district); and (iii) KIIs with district-level duty bearers and sector institutions (including DDC/RDC structures, Agritex, EMA, Department of Social Development, ZimParks and relevant line ministries). While exact male/female participation totals are not consistently reported across all consultations, the gender analysis provides robust qualitative and quantitative evidence on gender roles, workloads, decision-making power, access to land, water and finance, and structural barriers affecting women and youth. These findings directly informed project design features related to gender-responsive finance, governance arrangements, livelihood support and workload reduction.

Illustrative Consultation Note: Kariba District Stakeholder Consultations

Kariba District is located in the northwestern corner of the administrative province of Mashonaland West and lies within the Zambezi basin. The district is one of the seven districts of

Mashonaland West province. Kariba District shares boundaries with Hurungwe District to the northeast, Binga District to the southwest, Gokwe North District to the south, and the Republic of Zambia to the north. The district covers a total area of 7,943 square kilometres and was established in August 1956. The district has 21 wards, which are shared between the Municipality of Kariba with 9 wards and the Nyaminyami Rural District Council with 12 wards. Dominant languages are Tonga and Shona. The predominant religions are Christianity and African tradition. The district lies in the Zambezi Valley and is generally rugged, hilly, with mountain ranges dissected by major and minor drainage systems. The area's surface drainage consists primarily of the Sanyati and Ume river systems. The seasonal westerly flowing Sanyati River and its major tributaries, Ume and Sengwa, drain the southern part of the district, whilst the north-easterly flowing Zambezi River and its westward-draining tributaries (Charara, Sunde, and Nyaodza) dominate the drainage system of the northern region. Besides Lake Kariba, there are no major dams. The district consists of three communal land areas of Gatshe-Gatshe, Kanyati, and Omay; a Protected Conservation Area, namely Matusadonha National Park, Charara Safari Area, and the Kariba Urban town area. In Kariba Urban, most of the people depend on the lake either directly or indirectly. Tourism, fishing, and electricity generation employ the majority, and all are linked to the lake. NGOs operating in the district include Wildlife Conservation Action, Utariri Trust, Nutrition Action Zimbabwe, Carbon Green, and Matusadonha Conservation Trust.

During the consultative meetings conducted to support proposal development for the Adaptation Fund Locally Led Adaptation regional program, the following institutions were engaged:

- District Development Coordination Office;
- Nyaminyami Rural District Council;
- District Agricultural Extension Office;
- EMA
- Department of Social Development
- Ministry of Women Affairs
- Zimparks

Table 3: Results of stakeholder discussions during Kariba district consultations

Item	Key Issues	Recommendations
Agriculture	<p>Irrigation and Village Business Units</p> <p>Climate Smart Agriculture</p>	<ul style="list-style-type: none"> - Establishment of some village business units to support agriculture and provide food security, especially in the Chalala area. - There is a need for Climate Smart Agriculture focusing on resilient crop varieties (e.g, small grains) to strengthen the livelihoods of vulnerable communities. - The need to incorporate agroforestry, reforestation, and afforestation interventions (with both indigenous and exotic tree species). - There is a need for regenerative agriculture targeting communal areas - Establish sustainable and innovative fisheries systems. - VBUs in all wards
Water	Access to water	<ul style="list-style-type: none"> - Establish piped water schemes, especially in dry areas with water challenges. - There is a need for water harvesting techniques

		- Siltation is extensive, and there is a need for dam scooping and raising of a dam wall and de-siltation as there are now few perennial rivers.
Market linkages	Value Addition and cold chain facilities	- Value addition and grading sheds to develop products as well as cold chain facilities, especially in the fishing camps, for access to markets outside of Kariba. - There is a need for concrete granaries to manage human and wildlife conflict and prevent losses.
Environmental issues	Human and Wildlife Conflict Destruction of crops/livestock Veld fire mgmt	- There is a need for human and wildlife conflict interventions, such as a fund to address the post-recovery from human and wildlife conflict. - Due to the high amount of biomass, the district is prone to veld fires. - There are no community conservancies, and interventions should be around ensuring communities benefit from wildlife.
Cross-cutting issues	Capacity building	- It is critical to provide vocational skills to empower women and youth to diversify livelihoods and prevent GBV. - Capacity building of communities and even government stakeholders such as Agritex officers in CRA.

Figure 1: Illustrative Attendance Register for Kariba District Consultations

Name	Organisation	Designation	Phone Number
Chirajwa Gladys	Z.R.P	Police Officer	0996 036 970
Wilson Banda	Women Affairs	District Officer	0773 990197
Nozisa Sibandi	D.S.D	District social officer	0785682825
Artwell Sibanda	Zimparcs	Area Manager	0773 365 690
Desmond Gumbochuma	Min of Local Gov	D.B.C	0773661160
H. Yherandeni	Nyaminyami RDC	Environment Officer	0779315719
Bete Chikwauya	D. Yaminyami RDC Mukwa project	CEO	0776 449 205
Beatrice Mankwiza	EMA	project officer	0774 012 154
A. Zulu	EMA	DEO	0779 470 006
Jonas Mupfema	Agritex	D.V.CO	077243 334
Bridget Kaundwa	Tony White	officer	0772 225 648

Table 4: Detailed Record of Stakeholder Consultations in Zimbabwe

Date	Location	Consultation type	Key stakeholders / institutions	Consultation focus	Participants	Evidence / notes
27-Feb-23	Harare	Internal coordination meeting	UNDP CO GCF project staff (Finance; M&E/Acting PM)	Narrowing scope; building on existing GCF work; co-financing pathways; stakeholder mapping	2	Meeting notes
27-Feb-23	Harare	Technical/finance institution meeting	IDBZ (Climate Finance & Sustainability + team)	IDBZ priorities; climate finance facility (CFF) concept; accreditation modality (loans); appetite for TA de-risking; PES/REDD+ interest; parallel project idea	Not stated	Meeting notes
28-Feb-23	Harare	Government consultation	Ministry of Agriculture / strategic planning & SOEs/donor engagement	De-risking needs; resilient value chains & off-takers; matching grants models; guarantees; CSAIP/AIPs status; catchment restoration gaps	Not stated	Meeting notes
28-Feb-23	Harare	Development partner / IFI technical consultation	World Bank (Ag + Environment)	CSAIP pillars; livestock/One Health support; commodity value chain deep dives; Mazowe PES/landscape diagnostics; data sources (EMA); irrigation/dams analytics	Not stated	Meeting notes
28-Feb-23	Harare	Financial sector meeting	FBC Bank (MD + executive team)	Ag portfolio; financing barriers; concessional lines; accreditation intent (loans/guarantees/grants); possible LOI	Not stated	Meeting notes
28-Feb-23	Harare	Private sector meeting	Easi Seeds (CEO)	Agripreneur model; input distribution & offtake; side-selling mitigation; geography/site selection considerations	Not stated	Meeting notes
1-Mar-23	Harare	Financial sector meeting	AFC Holdings / Agribank (commercial, land bank, leasing, insurance arms)	Irrigation schemes financing; market/offtake barriers; warehouse receipts/bridging finance; concessional funding needs	Not stated	Meeting notes
1-Mar-23	Harare	Government consultation	Ministry of Women Affairs (Principal Director + Director)	Gender mainstreaming priorities; GBV in emergencies; women's funds/bank products; barriers (culture/literacy/assets); inclusion mechanisms	Not stated	Meeting notes
1-Mar-23	Harare	Technical consultation	Agritex (horticulture & livestock specialists)	Extension system; constraints (credit, inputs, markets, CC); Pfumvudza scaling/mechanisation; dairy hub models; auction system	Not stated	Meeting notes

1-Mar-23	Harare	Development partner consultation	WFP (resilience + climate risk/GCF focal points)	Watershed approach; FFA evolution; target watershed mapping; recommendation to engage ZINWA	Not stated	Meeting notes
1-Mar-23	Harare	Government/finance consultation	Ministry of Finance (Director + team)	Budgeting pathway for CFF seed capital; institutional roles; environmental action funding sources (tobacco levies/carbon tax)	8	Meeting notes
2-Mar-23	Harare	Technical consultation	ZINWA (hydrology specialists)	Water allocation/tariffs data; dam silt monitoring; catchment threats (alluvial mining); buffer zone enforcement constraints; role of RDCs	Not stated	Meeting notes
6-10 Oct 2025	Sanyati, Hurungwe, Gokwe North, Kariba	District stakeholder consultations (two-meeting structure + group discussions; plus selected expert interviews)	District Development Coordination Office; RDCs; EMA; Forestry Commission; ZINWA; Agritex; relevant line ministries (incl. Women Affairs; Youth); Zimparks (Kariba); other district actors; plus rural communities in selected wards	District priorities and site-specific intervention recommendations across CSA/VBUs/irrigation, rangelands, riparian buffers, fire management, land degradation, markets/value addition, human-wildlife conflict, women/youth economic empowerment	Not stated	Oct 2025 report
6-10 Oct 2025	Sanyati, Hurungwe, Gokwe North, Kariba	Gender analysis – household questionnaire	Community respondents across Kariba, Hurungwe, Sanyati, Gokwe North	Gendered roles, time use, access/control of resources, participation, decision-making in CC context	41	Gender analysis
6-10 Oct 2025	Sanyati, Hurungwe, Gokwe North, Kariba	Gender analysis – FGDs	Separate groups by sex and age (youth F/M separate; adult F/M separate) in each district	Qualitative insights on gendered constraints, norms, participation, priorities	Not stated	Gender analysis

List of Acronyms

- **AF** – Adaptation Fund
- **AFC** – AFC Holdings (Zimbabwe)
- **CFF** – Climate Finance Facility (IDBZ)
- **CIP** – Catchment Investment Programme
- **CRA** – Climate-Resilient Agriculture
- **DWA** – Department of Water Affairs (Eswatini)
- **EEA** – Eswatini Environment Authority
- **EMA** – Environmental Management Agency (Zimbabwe)
- **FBC** – FBC Bank (Zimbabwe)
- **FINCORP** – Eswatini Development Finance Corporation
- **IDBZ** – Infrastructure Development Bank of Zimbabwe
- **IAPS** – Invasive Alien Plant Species
- **IWRM** – Integrated Water Resources Management
- **LLA** – Locally Led Adaptation
- **MNRE** – Ministry of Natural Resources and Energy (Eswatini)
- **MoA** – Ministry of Agriculture
- **MoF** – Ministry of Finance
- **MRV** – Measurement, Reporting and Verification
- **NWASCO** – National Water Supply and Sanitation Council (Zambia)
- **PES** – Payment for Ecosystem Services
- **UNDP** – United Nations Development Programme
- **WARMA** – Water Resources Management Authority (Zambia)
- **WFP** – World Food Programme
- **ZANACO** – Zambia National Commercial Bank
- **ZINWA** – Zimbabwe National Water Authority
- **ZRBF** – Zimbabwe Resilience Building Fund

United Nations Development Programme



10 December 2025

Subject: Implementation and Management Arrangements for the Locally Led Adaptation Programme “*UNDP-Financing Locally Led Adaptation and Nature-based Solutions for Catchment Resilience in Southern Africa*” (UNDP 6639).

Dear Mr. Ollikainen,

Reference is made to the submission of the proposal for the consideration of the Adaptation Fund Board for “Financing Locally Led Adaptation and Nature-based Solutions for Catchment Resilience in Southern Africa”, a regional Locally Led Adaptation (LLA) programme to be implemented by UNDP.

The project will be implemented by UNDP primarily through its **National Implementation Modality (NIM) with the IE carrying out certain execution services**, a standard modality used for global and regional initiatives involving multiple countries, where robust coordination, operational consistency, and institutional oversight are essential.

A Regional Programme Management Unit (PMU) at UNDP Zimbabwe will coordinate day-to-day execution for DIM budget lines and ensure policy/safeguard consistency across countries. It will be supported by national management units in participating countries (Zambia, Eswatini and Zimbabwe). Core roles (Project Manager, Procurement & Finance Officer, Project Associate, Gender & Safeguards Officers) will be complemented by more short-term specialists (technical specialists, grants coordination, monitoring and evaluation, data analysis, knowledge management, communications, investment facilitation) as needed.

Justification for Project Execution Cost at 11.5% and UNDP Operational Cost 3% (DIM-executed portion)

UNDP is requesting operational support services cost at three percent (3%) for the DIM-executed budget lines, bringing the Project Execution Cost to 11.5%, an exceptional request above the 10% cap, due to the distinctive operational demands of a small-grants, locally led, multi-country programme:

1. **High-touch accompaniment of local actors:** The programme devolves design and implementation to communities/indigenous groups through a large number of small grants across three Southern African countries. This requires continuous operational backstopping, troubleshooting, and real-time support that cannot be absorbed within single-output budgets.
2. **Transaction-intensive grant administration:** Managing many small disbursements to community entities entails frequent procurement, agreements, payments, and localized due diligence, plus enhanced fiduciary controls and documentation, at both regional and country levels.
3. **Dual management layers for transparency and accountability:** The establishment and maintenance of both regional and national PMUs, with only a minimal share of their operational costs charged to PMC, are essential to ensure coordination, compliance, and timely problem-solving in underserved rural catchments.

4. **Mandatory evaluations and audits:** The additional 1.5% above the cap is also driven by unavoidable execution-side costs such as support, financial auditing, and a small percentage of administrative and programme-management support personnel necessary to meet AF requirements.

Separation from the Implementing Entity (IE) fee

UNDP's IE fee covers oversight services (quality assurance; fiduciary, safeguards and gender oversight; supervision of reporting/evaluations; compliance with AF policies). PEC, including UNDP operational support services cost, at 11.5% relates strictly to execution-side management of DIM budget lines and does not duplicate IE-funded oversight. This level of PEC is necessary to ensure programme effectiveness, transparency and sustainability under an LLA model in contexts with limited institutional capacity and higher implementation risk.

We remain attentive should you have further information requests in this regard.

Mr. Mikko Ollikainen
Head, Adaptation Fund
Washington, D.C.

DocuSigned by:
Nancy Bennet
4EEADA5A5FE9433...

Nancy Bennet
Executive Coordinator

Vertical Fund Programme Support, Oversight and Compliance Hub
Bureau for Policy and Programme Support
United Nations Development Programme

Disbursement Schedule with Time-Bound Milestones

	Upon Agreement signature	One Year after Project Start	Year 2	Year 3	Year 4	Total
Scheduled Date	8/1/2026	1/1/2027	1/1/2028	1/1/2029	1/1/2030	
Project Funds	2,909,394	8,311,899	8,532,401	5,783,051	1,735,983	27,272,728
Implementing Entity Fees	1,265,472.44	498,713.94	511,944.06	346,983.06	104,158.50	2,727,272
Total	4,174,866	8,810,613	9,044,345	6,130,034	1,840,142	30,000,000

Quantum Outcome (AF Component)	Quantum Output (AF Outcome)	Quantum Fund ID	Quantum Donor ID	Quantum Responsibility Party	Quantum Activity (AF Output)	Quantum Budgetary Account Code	Quantum Budget Account Description	Amount Year 2024	Amount Year 2027	Amount Year 2028	Amount Year 2029	Amount Year 2030	Total (USD)	Budget Note No.
Component 1: Catchment Investment Programmes	Outcome 1: CIPs, consisting of strategic complementary resilience-enhancing initiatives, reviewed and prepared by local stakeholder communities	62040	19502	UNDP	Activity 1.1 (Output 1.1)	71400	Contractual Services-Individuals	30,000	60,000	60,000	60,000	60,000	310,000	1
						71600	Travel	4,000	10,000	10,000	4,000	4,000	36,000	4
						75700	Training, Workshops and Conferences	25,000	50,000	25,000	25,000	25,000	150,000	3
						71800	Travel	11,500	8,100	8,100	2,100	2,100	31,900	4
				UNDP	Activity 1.2 (Output 1.2)	71200	International Consultants	25,000	70,000				95,000	5
						71400	Contractual Services-Individuals	60,000	60,000	60,000	60,000	60,000	300,000	6
						71600	Travel	4,000	12,000	4,000	4,000	4,000	30,000	7
						75700	Training, Workshops and Conferences	45,000	70,000	40,000	30,000	25,000	210,000	8
				IP	Activity 1.3 (Output 1.3)	71600	Travel	2,000	10,000	4,000	3,000	2,000	30,000	7
						71800	Contractual Services-Hip Parts	80,000	311,500	191,500	75,000	64,000	604,500	8
						72100	Contractual services-companies	60,000	90,000	80,000			230,000	9
						71400	Contractual services-individuals	80,000	100,000	120,000	120,000	100,000	520,000	10
				UNDP	Activity 1.3 (Output 1.3)	71600	Travel	10,000	16,000				26,000	11
						72400	Commune & Audio Visual Equip	20,000	60,000				80,000	13
						71600	Travel	5,000	15,000				20,000	11
						72200	Supplies	30,000	50,000				80,000	12
				IP	Activity 1.3 (Output 1.3)	75700	Training, Workshops and Conferences	40,000	100,000				140,000	14
71400	Travel	6,000	14,000						20,000	15				
75700	Training, Workshops and Conferences	35,000	105,000						140,000	16				
71800	Travel	6,000	14,000						20,000	15				
UNDP	Activity 1.4 (Output 1.4)	71400	Contractual Services-Individuals	45,000	90,000	45,000			180,000	17				
Component 2 Total								743,000	1,376,150	830,100	433,000	497,500	3,780,150	
Component 2: LRAM-driven	Outcome 2: LRAM activities	62040	19502	IP	Activity 2.1 (Output 2.1)	71600	Travel	8,000	4,500	4,500	3,000	3,000	23,000	18
						72300	Materials & Goods	85,000	225,400	155,400	159,400	159,400	787,000	19
						71600	Travel	4,000	4,500	3,500	3,000		15,000	18
						71600	Travel		2,540,000	3,600,000	3,000,000		9,140,000	20
				UNDP	Activity 2.1 (Output 2.1)	72100	Contractual Services-Companies	120,000	400,000	280,000			800,000	21
						72200	Equipment and Furniture	4,700	14,700	6,700			26,100	22
						72800	Information Technology Equipment	30,000	30,000				60,000	23
						71000	Contractual Services-Companies	700,000	1,360,000	1,360,000	700,000		4,120,000	24
				UNDP	Activity 2.2 (Output 2.2)	71200	International Consultants	60,000	180,000	160,000	80,000		480,000	25
						71400	Contractual services-individuals	20,000	100,000	20,000	20,000		160,000	26
						72200	Supplies	135,000	145,000	115,000	20,000		415,000	27
						75700	Training, Workshops and Conferences	150,000	300,000	500,000	150,000	150,000	1,250,000	28
				UNDP	Activity 2.3 (Output 2.3)	72100	Contractual Services-Companies	130,000	300,000				430,000	29
						72500	International Consultants	60,000	60,000	80,000			180,000	30
						71600	Travel	15,000					15,000	31
						71400	Contractual Services-Individuals	70,000	155,000	155,000	500,000	50,000	930,000	32
				IP	Activity 2.3 (Output 2.3)	71600	Travel	2,000	2,000				2,000	31
74200	Audio Visual&Print Prod Costs		2,000						2,000	33				
75700	Training, Workshops and Conferences		12,000						12,000	33				
Component 3 Total								1,937,488	3,876,488	6,440,390	4,238,400	399,400	18,426,166	
Component 3: Global Learning and Knowledge Management System	Outcome 3: Evidence generated from CIPs and their catchment management initiatives is used to strengthen climate adaptation policies and strategies, and to improve adaptive management and stakeholder learning across catchments	62040	19502	UNDP	Activity 3.1 (Output 3.1)	71400	Contractual services-individuals		100,000	100,000	100,000	100,000	400,000	34
						71600	Travel		20,000	20,000	20,000	20,000	80,000	35
						75700	Training, Workshops and Conferences			65,000	55,000	50,000	170,000	36
						71600	Travel			25,000	25,000	20,000	70,000	37
				UNDP	Activity 3.2 (Output 3.2)	71400	Contractual Services-Individuals	25,000	50,000	50,000	50,000	25,000	200,000	38
						72100	Contractual services-companies	50,000	100,000	50,000	25,000		225,000	39
						71200	International Consultants	50,000	50,000	50,000	50,000		200,000	40
						71600	Travel	6,000	18,500	18,500	18,500	18,500	80,000	41
				IP	Activity 3.2 (Output 3.2)	75700	Training, Workshops and Conferences	3,700	5,450	5,450	5,450	5,450	20,000	42
						71600	Travel	3,700	11,171	11,171	11,171	11,171	46,600	43
						75700	Training, Workshops and Conferences	4,700	10,070	10,070	10,070	10,070	45,000	44
						71600	Travel	10,000	10,000	12,000	13,000		45,000	45
				UNDP	Activity 3.2 (Output 3.2)	75700	Training, Workshops and Conferences	5,000	5,000	10,000	10,000		30,000	43
						72100	Contractual Services-Companies	20,000					20,000	44
						71200	International Consultants		50,000	50,000	50,000	50,000	200,000	45
						71600	Travel	10,000	20,000	23,000	27,000		80,000	46
				UNDP	Activity 3.2 (Output 3.2)	72100	Contractual Services-Companies	50,000	100,000	50,000			200,000	47
71400	Contractual Services-Individuals	30,000	60,000			60,000	60,000	60,000	270,000	48				
Component 3 Total								84,700	423,171	730,171	628,171	669,171	3,238,469	
Project/Programme Activities Cost								2,846,478	7,679,611	7,982,311	5,275,150	1,267,000	24,546,469	
Project/Programme Recurrent Cost								529,711	844,881	549,881	501,881	408,000	2,227,272	
Total Project/Programme Cost								2,509,394	8,311,899	8,532,462	5,781,051	1,735,081	27,272,729	
Implementation Entry Fee								422,174	628,113	628,613	628,613	628,264	2,535,777	
Total Amount of Funding Requested								3,332,564	8,978,212	9,161,075	6,409,664	2,363,345	30,000,000	

Budget Note No.	Project Output (Description)
1	Southern Africa Regional Programme Coordinator: Overall coordination of the Regional Programme team and Technical Assistance (TA) to support the NCACs, catchment platforms and CIP grantees (and guidance to the COs while delivering the project). Brings all the lessons learned from UNDP-supported LLA activities and projects, as well as from other catchment or landscape management programmes and projects elsewhere. Maintains relationships and partnerships with governments, regional bodies, collaborative NGOs, donors and private sector entities. Assists and supports COs to establish NCACs and engage NCs. Coordinates the design and implementation of the regional knowledge management programme. Troubleshoots country level supervision of CIP development and implementation.
2	National Coordinators for each Program Country: manages the implementation of Components 1 and 2. Provides or engages technical assistance for development of the CIP at country level, establishment of the NCAC and multi-stakeholder catchment platforms. Facilitates CIP development workshops, consultations and partnerships. Coordinates with local stakeholders to identify, promote, and support innovative climate adaptation solutions, ensuring integration of gender equality and women's empowerment and addressing priority climate risks identified during CIP development workshops. Assists community stakeholders in the design of grant proposals for the identified solutions consistent with the CIP. Presents grant proposals to the catchment platform and the NCAC for the latter's approval for funding. Oversees in-country delivery of activities, monitors progress, and ensures timely reporting to the Regional Programme Coordinator. Contributes to the regional knowledge management system, and supports grant recipients in meeting project goals and compliance requirements.
3	Training and workshops: with government institutional staff, consultants, NGOs, national smallholder and herder federations, donors and others to familiarize them with the CIP approach and overall governance mechanism (NCAC)
4	Local Travel: in country and to project sites to engage key institutions and organizations in establishing the NCAC in each country
5	International consultants: one expert in participatory research and planning processes and methods, particularly in regard to land use planning and rural development and adaptation. One Catchment restoration expert for engagement process and co-development intervention plans for each target catchment
6	Gender & Safeguards experts (regional): one gender and one safeguards expert to provide technical backstopping support to each country expert (details in budget note 8) and part time program associate
7	Travel of IC (participatory planning), local consultant (community engagement - see budget note 15), safeguards experts and gender experts to catchments and within catchments for establishment of CIP multistakeholder platforms
8	Safeguards experts (national): one national safeguard expert for each country to provide technical support and quality assurance regarding safeguards commitments throughout the project lifecycle, including monitoring of the ESMP Gender experts (national): One national gender expert for each country for provision of technical expertise to ensure gender-responsive and transformative implementation of CIP and grantee initiatives, including integrating gender into activities, monitoring gender-specific indicators, and advising on stakeholder engagement and capacity building. Including Monitoring the implementation of the GAAP - three country level experts, one regional.
9	Contractual Services - Companies: baseline assessments of biophysical, ecological and socioeconomic trends, patterns, factors and systems in each CIP
10	Contractual services - Individuals: Experts in agro-ecology, ecosystem ecology and hydrology, smallholder economics and enterprise development, agrarian organization; to accompany CIP confirmation, development, operationalization; particularly grant proposal design; and part time procurement and finance analyst
11	Travel of consultants to countries and to and around catchments; travel of NCs, NCACs to catchments for CIP formulation
12	Supplies: for workshop presentations, participatory mapping, vulnerability analysis, agro-ecosystem analyses
13	Info tech equipment - data storage, audiovisual, communications
14	Training, workshops: CIP development workshops featuring extensive community engagement, including participatory vulnerability analyses, catchment management objective identification and plan development, adaptation solution identification and prioritization, design of CIP constituent initiatives, and initial preparation of LVG proposals.
15	Travel: of local experts (budget note 17) to and around catchments
16	Training, workshops: with all catchment organizations together to identify viable solutions to their vulnerability to climate change impacts; review and discuss project design, finalize designs for grant financing
17	Contractual services - Individuals: local experts in traditional knowledge, communication, leadership to support community consultations, CIP design, identification and implementation in each country
18	Travel: IC, consultants to countries and to and around catchments; travel of NCs to catchments to support design of CIP constituent initiatives
19	Materials and goods: project inputs related to CIP initiatives including ecosystem restoration reforestation, IAS removal, CRA, etc.
20	Low Value Grants (LVG) to NGOs/CSOs for CIP solutions on an agreed schedule of milestone-based disbursements, following the UNDP policy on Low Value Grants.
21	Contractual services - Companies: Services to engage communities and support the development of CFM systems, including community consultation and co-development of CFM areas with local communities, as well as technical assistance to government institutions for setting up and formalising CFMGs. Contractual services - Companies - Companies: services to develop community-based restoration and agroforestry processes Contractual services - Companies: establish demonstration sites, each supporting lead farmers; and develop training material, including pictorial references and translation to local languages. Contractual services - Companies: agricultural training institute to provide training services to extension officers Contractual services - Companies: expert institutions and/or organizations with experience in design of PES and CRA facility development and implementation Contractual services - Companies: to develop the monitoring and evaluation framework for CIPs, including key performance indicators (KPIs)
22	Equipment and furniture for small CIP office in each catchment
23	Info tech equipment: data storage, audiovisual presentations, communications, digital monitoring
24	Contractual services - Companies: establishment of wood lots, rangeland water points; complement NBS actions by LVGs, establish and implement Farmer Field Schools for stakeholders on implementation of relevant NBS activities, including capacity building on social and environmental safeguards, gender and inclusion, financial management and operations and maintenance; training on community-level MRV protocols and data management, with facilitated knowledge exchange and learning across catchments
25	International consultants: training and technical assistance to government institutions for design and implementation of extension, employment and training programs for CIPs, CFM, agroforestry, rangeland management
26	Contract services - Individuals: Training delivered through training of trainers/lead farmer and field school models, cascading down to individual producers with simple MRV of attendance and practice adoption. Focus on practical skills for field execution (plans, workflows, O&M), institutional competencies (safeguards, gender and inclusion, fiduciary basics), and community-level MRV (data collection, quality control, reporting, and learning). Delivery will combine targeted trainings, on-site coaching, and peer exchange through catchment platforms, with materials adapted to local contexts and languages.
27	Supplies: seeds, tools, equipment, learning materials
28	Training and workshops: grant project organization and management skill building; monitoring of project performance, record keeping, reporting; organizational dynamics, effectiveness, planning, digital tools, presentations, etc.; training and capacity building of local stakeholder organizations regarding safeguards, gender and inclusion, financial management, operations, maintenance, etc., including MRV protocols and data management
29	Contractual services - companies: Services to perform financial modelling in program countries to quantify the economic benefits and costs (ROI), and the financial risks of the prioritised NBS options, helping to assess their viability from a financial perspective; sensitise potential investors and donors on the outcomes of the business case; and co-develop the MoU documents with the CIP governance team and the potential buyers of ecosystem services Contractual services - companies: Services to support CRA loan facility preparation in Eswatini and Zimbabwe through: (i) market demand assessment and yield analysis to validate the CRA lending business case, (ii) co-design of bankable, risk-tiered loan products with partner banks, and (iii) scoping of digital platform requirements and integration pathways. In Zambia where this groundwork is already completed, the consultancy will focus on developing the digital lending platform, producing training materials for banks and beneficiaries, delivering capacity-building, supporting MoUs with anchor off-takers, and pitching the facility model to additional investors to crowd in finance.
30	International consultants: experts in economic instruments and financial mechanisms regarding Payment for Ecosystem Services (PES) and CRA lending (50 days each); performance-based services, payment rules, etc. CRA finance expert will support development of CRA loan product in 3 countries, role will include input into product design including tailoring the loan product to CRA-specific needs, such as aligning loan terms with agricultural cycles; developing pitches to crowd in additional funds from co-financiers; supporting in the development of operational guidelines, risk mitigation strategies, and monitoring frameworks; and technical backstopping of national CRA loan facility coordinator.
31	Travel - Travel for ICs under budget note 30 (CRA finance and PES/NBS finance experts), for Zambia agricultural/climate expert to support CRA training manual development (budget note 32)
32	Contractual services - Individuals: one Legal Expert in Zambia to compile the legal documents required for the establishment of the CRA loan product, and one Local agricultural/climate expert to provide input for the training manual on CRA practices tailored to Zambia's context. Legal experts in Eswatini and Zimbabwe to support design of PES / Environmental Trust Fund mechanism Contractual services-individuals - National Coordinators for CRA Loan Facility & Environmental Trust Fund in each country. CRA Coordinator responsible for overseeing and supporting relevant consultancies and engaging in required stakeholder consultations with current and potential financing partners, government entities and other project personnel. Environmental Trust Fund Coordinator responsible for overseeing and supporting relevant consultancies, help establish fiduciary and governance arrangements, build consensus, and engage in required stakeholder consultations with current and potential financing partners, private sector entities, government entities and other project personnel. Both roles part-time.
33	AV and printing production - printing and distribution of PES and CRA facility guidelines, learning material, case studies, training manuals
34	Training and workshops - Meetings, consultations and workshops to map and engage prospective payers/beneficiaries and financial partners in PES development and implementation and CRA lending Workshop; CRA finance expert to train extension officers in both crop and livestock sectors on business skills and financial literacy, including application for new CRA loan products

35	Contractual services-individuals - development of Farmer to Farmer system of knowledge exchange; local experts in traditional knowledge, communication
36	Training, Workshops and Conferences - national and catchment Knowledge Fairs to exchange lessons and best practices, methods for creating and testing innovations, use of traditional knowledge
37	Travel: Farmer to Farmer participants travel within catchments as well as nationally and regionally to share knowledge and lessons learned
38	Performance and Data analysts: Responsible for streamlining the data collection process from all grantees and supporting institutions and NGOs. Supports the design of impact indicators (to be included in LVGAs) with training and materials. Tracks results progress in line with the Results Framework. Includes capture of lessons learned and development of KM publications and other materials.
39	Contractual services for MRV system
40	International consultant - Expert in design of regional mechanism for data and information collection, organization, presentation and sharing across countries and regional bodies
41	Travel - consultations with regional bodies (SADC, WCs) as well as key knowledge brokers (FAO, TNC, UNU, CGIAR, etc)
42	Workshops/trainings with national and regional authorities and experts for design and implementation of regional LKM system; two per catchment/country per year; regional meetings with Watercourse Commissions, TNC/experts/ includes DSA / per diem for participants, etc.
43	Training and workshops - workshops re learning strategies, methods, outcomes, outputs for design of learning programme
44	Info tech equipment - data storage, information retrieval, communications
45	International consultants - expert in participatory methods for locally led knowledge generation; development of Regional Programme KM strategy, including generation, publication and dissemination, using multiple media targeted to specific audiences (government, donors, communities, private sector, etc.); integration of knowledge generated by CIPs, grant proposals and systematization of methods and experience is integrated into Learning and Knowledge Management system
46	Travel for regional exchange, learning and scaling activities
47	Contractual services - companies to produce digital decision support and knowledge management tool for scaling CIPs
48	Contractual services - individual: One national KM officer per country participates in KM strategy development and works closely with NCACs, NCs and community stakeholders in its implementation; one regional KM officer in charge of liaising with national KM focal points, managing ICs, and delivering Component 3 and part-time regional programme associate.

Project Execution Costs									
Quantum Budgetary Account Code	Quantum Budget Account Description	Responsible	Amount Year 2026	Amount Year 2027	Amount Year 2028	Amount Year 2029	Amount Year 2030	Total (USD)	Budget Note
71400	Contractual Services-Individuals	UNDP	170,000	270,000	270,000	230,000	190,000	1,130,000	Contractual services - individuals : Project manager, Driver and Programme Associate for each country
72500	Supplies	UNDP	5,000	1,000	1,000	1,000	1,000	9,000	Project office supplies: three offices (one per CIP)
71200	International Consultants	UNDP		30,000	45,000	45,000	45,000	165,000	International Consultants - expert advice to NCACs and CIP platforms re learning strategies, objectives, outputs; methods; programme structure, functions
72400	Communic & Audio Visual Equip	UNDP	10,000	15,000				25,000	Info tech equipment - computers, printer and accessories
71600	Travel	UNDP	21,976	32,266	32,266	32,266	32,265	151,039	Travel: costs for IE staff for site visits, supervision missions or coordination meetings
72200	Equipment and furniture	UNDP	184,000	92,000				276,000	Equipment and furniture for offices and 2 vehicles per country used for field monitoring, consultations and implementation support.
74500	Miscellaneous Expenses	UNDP	11,600	11,600	11,600	11,600	11,600	58,000	Comprehensive insurance for project vehicles over the period of the project
73400	Rental & Maint of Other Equip	UNDP		13,250	13,250	13,250	13,250	53,000	Routine maintenance of project vehicles
64397	Services to Projects - GOE	UNDP	81,818	81,818	81,818	81,818	81,818	409,090	UNDP operational support services, including procurement, recruitment/contract management, travel, financial payment/transaction services, and grants management.
71600	Travel	IP	8,324	13,454	13,454	13,454	13,457	62,143	Travel: costs for IE staff for site visits, supervision missions or coordination meetings
72200	Equipment and furniture	IP	6,000	6,000				12,000	Equipment and furniture for offices and 2 vehicles per country used for field monitoring, consultations and implementation support.
73100	Rental & Maintenance-Premises	IP	5,000	5,500	5,500	5,500	5,500	27,000	Rental and maintenance: costs of three project office premises
71800	Contractual Services-Imp Partn	IP	60,000	70,000	75,000	70,000	75,000	350,000	Contractual services - individual IP costs for delivering on 2.2
		Total	563,718	641,888	548,888	503,888	468,890	2,727,272	

Implementing Entity Management fee breakdown

Category	Services Provided by UNDP	IE Fee (USD)
Identification, Sourcing and Screening of Ideas	<p>Provide information on substantive issues in adaptation and innovation associated with the purpose of the Adaptation Fund (AF).</p> <p>Engage in upstream policy dialogue related to a potential application to the AF.</p> <p>Verify soundness & potential eligibility of identified ideas for AF.</p>	136,364
Feasibility Assessment / Due Diligence Review	<p>Provide up-front guidance on converting general idea into a feasible project/programme.</p> <p>Source technical expertise in line with the scope of the project/programme.</p> <p>Verify technical reports and project conceptualization.</p> <p>Provide detailed screening against technical, financial, social and risk criteria and provide statement of likely eligibility against AF requirements.</p> <p>Determination of execution modality and local capacity assessment of the executing entity.</p> <p>Assist in identifying technical partners. Validate partner technical abilities. Obtain clearances from AF.</p>	409,091
Development & Preparation	<p>Provide technical support, backstopping and troubleshooting to convert the idea into a technically feasible and operationally viable project/programme.</p> <p>Source technical expertise in line with the scope of the project/programme needs.</p> <p>Verify technical reports and project conceptualization.</p> <p>Verify technical soundness, quality of preparation, and match with AF expectations.</p> <p>Negotiate and obtain clearances by AF. Respond to information requests, arrange revisions etc.</p>	545,454
Implementation	<p>Technical support in preparing TORs and verifying expertise for technical positions.</p> <p>Provide technical and operational guidance project teams.</p> <p>Verification of technical validity / match with AF expectations of inception report.</p> <p>Provide technical information as needed to facilitate implementation of the project activities.</p> <p>Provide advisory services as required.</p> <p>Provide technical support, participation as necessary during project activities.</p> <p>Provide troubleshooting support if needed. Provide support and oversight missions as necessary.</p> <p>Provide technical monitoring, progress monitoring, validation and quality assurance throughout.</p> <p>Allocate and monitor Annual Spending Limits based on agreed work plans.</p> <p>Receipt, allocation and reporting to the AFB of financial resources.</p>	1,227,272

	Oversight and monitoring of AF funds, including audit.	
	Return unspent funds to AF.	
Evaluation and Reporting	<p>Provide technical support in preparing TOR and verify expertise for technical positions involving evaluation and reporting (including for the Mid-Term- and Terminal Evaluations).</p> <p>Participate in briefing / debriefing (including for the Mid-Term and Terminal Evaluations).</p> <p>Verify technical validity / match with AF expectations of all evaluation and other reports (including supervision/development of the Baseline Data Report, Project Performance Report, and Project Completion Report, the Mid-Term and Terminal Evaluations).</p> <p>Undertake technical analysis, validate results, and compile lessons</p> <p>Disseminate technical findings</p>	409,091
Total IE Fee		2,727,272

Quantum Outcome (AF Component)	Quantum Output (AF Outcome)	Quantum Fund ID	Quantum Donor ID	Quantum Responsible Party	Quantum Activity (AF Output)	Quantum Budgetary Account Code	Quantum Budget Account Description	Amount Year 2026	Amount Year 2027	Amount Year 2028	Amount Year 2029	Amount Year 2030	Total (USD)	Budget Note No.					
Component 1: Catchment Investment Programmes	Outcome 1: CIPs, consisting of multiple complementary resilience-enhancing initiatives, reviewed and prepared by local stakeholder communities	62040	011602	UNDP	Activity 1.1 (Output 1.1)	71600	Travel	1,500	1,500	1,500	1,500	1,500	7,500	4					
				Eswatini Ministry of Tourism and Environmental Affairs		71800	Contractual Services-Imp Parts	30,000		60,000	30,000	30,000	210,000	2					
				Eswatini Ministry of Tourism and Environmental Affairs		75700	Training, Workshops and Conferences	9,200	18,200	9,200	9,200	9,200	55,000	3					
				Eswatini Ministry of Tourism and Environmental Affairs		71600	Travel	3,730	2,700	2,700	700	700	10,530	4					
				UNDP	Activity 1.2 (Output 1.2)	71600	Travel	1,000	2,800	1,400	900	900	7,000	7					
				Eswatini Ministry of Tourism and Environmental Affairs		75700	Training, Workshops & Conferences	16,000	25,000	14,000	11,000	9,000	75,000	3					
				Eswatini Ministry of Tourism and Environmental Affairs		71600	Travel	700	3,500	1,400	700	700	7,000	7					
				Eswatini Ministry of Tourism and Environmental Affairs		71800	Contractual Services-Imp Parts	31,000	67,850	67,850	29,330	25,640	221,670	8					
				UNDP	Activity 1.3 (Output 1.3)	71400	Contractual services-Individuals	24,000	27,000	32,000	30,000	27,000	140,000	10					
				UNDP		71600	Travel	2,600	4,900				7,500	11					
				UNDP		72400	Communic & Audio Visual Equip	8,000	22,000				30,000	13					
				Eswatini Ministry of Tourism and Environmental Affairs		71600	Travel	1,875	5,625				7,500	11					
				Eswatini Ministry of Tourism and Environmental Affairs	72500	Supplies	11,750	18,250				30,000	12						
				Eswatini Ministry of Tourism and Environmental Affairs	75700	Training, Workshops & Conferences	23,750	36,250				60,000	14						
				Eswatini Ministry of Tourism and Environmental Affairs	Activity 1.4 (Output 1.4)	71600	Travel	2,500	5,000				7,500	15					
				Eswatini Ministry of Tourism and Environmental Affairs		75700	Training, Workshops & Conferences	13,750	36,250				50,000	16					
				UNDP	71600	Travel	2,500	5,000				7,500	16						
UNDP	71400	Contractual Services-Individuals	17,500	35,000	17,500			70,000	17										
Component 1 Total								291,355	376,825	297,950	113,330	194,640	1,093,700						
Component 2: Demand-driven financing for LLA grants and establishment of complementary non-grant financing mechanisms to sustain locally-led climate adaptation solutions	Outcome 2: LLA initiatives designed, financed and implemented to meet CIP objectives for enhanced socio-ecological resilience to climate change, with complementary non-grant mechanisms established to sustain and scale results	62040	011602	Eswatini Ministry of Tourism and Environmental Affairs	Activity 2.1 (Output 2.1)	71600	Travel	1,600	1,800	1,400	1,200		6,000	18					
				Eswatini Ministry of Tourism and Environmental Affairs		72300	Materials & Goods	34,700	83,700	62,700	62,700	62,710	306,510	19					
				UNDP		71600	Travel	1,800	1,800	1,400	1,200		6,000	18					
				UNDP		72600	Grants		973,000	1,378,200	1,148,800		3,500,000	20					
				UNDP	72100	Contractual Services-Companies	45,000	150,000	105,000			300,000	21						
				UNDP	72200	Equipment and furniture	1,685	3,757	2,385			7,767	22						
				UNDP	72800	Information Technology Equipment	10,000					20,000	23						
				UNDP	Activity 2.2 (Output 2.2)	72100	Contractual Services-Companies	280,000	530,000	530,000	280,000		1,620,000	24					
				UNDP		71200	International Consultants	25,000	65,000	60,000	30,000		180,000	25					
				UNDP	71400	Contractual services-Individuals	8,750	37,500	6,250	7,500		60,000	26						
				Eswatini Ministry of Tourism and Environmental Affairs	72900	Supplies	52,650	55,500	45,000	7,450		160,000	27						
				Eswatini Ministry of Tourism and Environmental Affairs	75700	Training, Workshops & Conferences	60,000	117,500	192,500	65,000	65,000	500,000	28						
				UNDP	Activity 2.3 (Output 2.3)	71400	Contractual Services-Individuals	24,000	57,650	57,650	34,000	6,700	180,000	32					
				Component 2 Total								544,365	2,087,207	2,442,465	1,637,850	134,410	6,846,297		
Component 3: Global Learning and Knowledge Management System	Outcome 3: Evidence generated from CIPs and their catchment management initiatives is used to strengthen climate adaptation policies and strategies, and to improve adaptive management and stakeholder learning across catchments	62040	011602	UNDP	Activity 3.1 (Output 3.1)	71400	Contractual services-Individuals		37,500	37,500	37,500	37,500	150,000	35					
				UNDP		71600	Travel		8,900	8,900	7,200	25,000	37						
				Eswatini Ministry of Tourism and Environmental Affairs		75700	Training, Workshops & Conferences		22,650	19,300	18,050	60,000	36						
				Eswatini Ministry of Tourism and Environmental Affairs	UNDP	71600	Travel		8,900	8,900	7,200	25,000	37						
				UNDP	71600	Travel	1,500	4,625	4,625	4,625	4,625	20,000	41						
				Eswatini Ministry of Tourism and Environmental Affairs	Activity 3.2 (Output 3.2)	71600	Travel	1,500	4,500	4,500	4,500	4,500	19,500	41					
				Eswatini Ministry of Tourism and Environmental Affairs		75700	Training, Workshops and Conferences		1,220	6,260	6,260	6,260	20,000	42					
				Eswatini Ministry of Tourism and Environmental Affairs	71600	Travel		3,350	3,350	4,000	4,300	15,000	46						
				UNDP	Activity 3.3 (Output 3.3)	71600	Travel		1,875	3,750	4,315	5,080	15,000	46					
				UNDP		71400	Contractual Services-Individuals	5,000	11,250	11,250	11,250	11,250	50,000	48					
Component 3 Total								8,000	64,320	111,885	109,550	105,945	399,600						
Project Execution Costs	Project Execution Cost (PEC)	62040	011602	UNDP	Activity PEC	71400	Contractual Services-Individuals	52,100	83,200	83,200	66,600	54,900	340,000	49					
				Eswatini Ministry of Tourism and Environmental Affairs		72500	Supplies	1,700	300	300	350	350	3,000	51					
				UNDP		71200	International Consultants		10,000	15,000	15,000	15,000	55,000	52					
				Eswatini Ministry of Tourism and Environmental Affairs		72400	Communic & Audio Visual Equip	2,800	4,200				7,000	53					
				UNDP		71600	Travel	6,025	8,860	8,860	8,860	8,860	41,465	54					
				UNDP		72200	Equipment and furniture	60,000	30,000				90,000	55					
				Eswatini Ministry of Tourism and Environmental Affairs		74500	Miscellaneous Expenses	4,000	4,000	4,000	4,000	4,000	20,000	56					
				Eswatini Ministry of Tourism and Environmental Affairs		73400	Rental & Maint of Other Equip	5,000	5,000	5,000	5,000	5,000	20,000	57					
				UNDP		64397	Services to Projects - OOE	24,536	24,550	24,550	24,562	24,529	122,727	58					
				Eswatini Ministry of Tourism and Environmental Affairs		71600	Travel	3,576	4,284	4,284	4,284	4,287	20,715	54					
				Eswatini Ministry of Tourism and Environmental Affairs		72200	Equipment and furniture	2,000	2,000				4,000	55					
				Eswatini Ministry of Tourism and Environmental Affairs		73100	Rental & Maintenance Premises	1,700	1,800	1,800	1,850	1,850	9,000	59					
				Eswatini Ministry of Tourism and Environmental Affairs		71800	Contractual Services-Imp Parts	22,000	25,000	27,000	25,000	26,000	125,000	60					
				Project/Programme Activities Cost									793,720	2,628,352	2,761,700	1,860,730	344,896	8,249,487	
				Total Project Execution Cost									180,437	203,194	173,994	155,506	144,776	857,907	
				Total Amount of Funding Requested									934,157	2,731,546	2,935,694	2,016,236	489,771	9,107,404	

Quantum Outcome (AF Component)	Quantum Output (AF Outcome)	Quantum Fund ID	Quantum Donor ID	Quantum Responsible Party	Quantum Activity (AF Output)	Quantum Budgetary Account Code	Quantum Budget Account Description	Amount Year 2026	Amount Year 2027	Amount Year 2028	Amount Year 2029	Amount Year 2030	Total (USD)	Budget Note No.
Component 1: Catchment Investment Programmes	Outcome 1: CIPs, consisting of multiple complementary resilience-enhancing initiatives, reviewed and prepared by local stakeholder communities	62040	011602	UNDP	Activity 1.1 (Output 1.1)	71600	Travel	1,500	1,500	1,500	1,500	1,500	7,500	4
				Zambia Ministry of Green Economy and Environment		71800	Contractual Services-Imp Parts	30,000	60,000	60,000	30,000	30,000	210,000	2
				Zambia Ministry of Green Economy and Environment		75700	Training, Workshops and Conferences	9,200	18,200	9,200	9,200	9,200	55,000	3
				Zambia Ministry of Green Economy and Environment		71600	Travel	3,730	2,700	2,700	700	700	10,530	4
				UNDP	Activity 1.2 (Output 1.2)	71600	Travel	1,000	2,800	1,400	900	900	7,000	7
				Zambia Ministry of Green Economy and Environment		75700	Training, Workshops & Conferences	16,000	25,000	14,000	11,000	9,000	75,000	3
				Zambia Ministry of Green Economy and Environment		71600	Travel	700	3,500	1,400	700	700	7,000	7
				Zambia Ministry of Green Economy and Environment		71800	Contractual Services-Imp Parts	31,000	67,850	67,850	29,330	25,840	221,870	8
				UNDP	Activity 1.3 (Output 1.3)	71400	Contractual services-individuals	24,000	27,000	32,000	30,000	27,000	140,000	10
				UNDP		71600	Travel	2,600	4,900				7,500	11
				UNDP		72400	Communic & Audio Visual Equip	8,000	22,000				30,000	13
				Zambia Ministry of Green Economy and Environment		71600	Travel	1,875	5,625				7,500	11
				Zambia Ministry of Green Economy and Environment	72500	Supplies	11,750	18,250				30,000	12	
				Zambia Ministry of Green Economy and Environment	75700	Training, Workshops & Conferences	23,750	36,250				60,000	14	
				Zambia Ministry of Green Economy and Environment	Activity 1.4 (Output 1.4)	71600	Travel	2,500	5,000				7,500	15
				Zambia Ministry of Green Economy and Environment		75700	Training, Workshops & Conferences	13,750	36,250				50,000	16
				UNDP		71600	Travel	2,500	5,000				7,500	16
UNDP	71400	Contractual Services-Individuals	17,500	35,000	17,500			70,000	17					
Component 1 Total								281,355	376,825	207,550	113,330	184,640	1,063,700	
Component 2: Demand-driven financing for LA grants and establishment of complementary non-grant financing mechanisms to sustain locally-led climate adaptation solutions	Outcome 2: LLA initiatives designed, financed and implemented to meet CIP objectives for enhanced socio-ecological resilience to climate change, with complementary non-grant mechanisms established to sustain and scale results	62040	011602	Zambia Ministry of Green Economy and Environment	Activity 2.1 (Output 2.1)	71600	Travel	1,400	1,550	1,300	1,000		5,250	18
				Zambia Ministry of Green Economy and Environment		72300	Materials & Goods	34,700	83,700	62,705	62,705	62,700	306,510	19
				UNDP		71600	Travel	1,400	1,550	1,300	1,000		5,250	18
				UNDP		72600	Grants	973,000	1,378,200	1,378,200	1,148,800		3,500,000	20
				UNDP	72100	Contractual Services-Companies	45,000	150,000	105,000			300,000	21	
				Zambia Ministry of Green Economy and Environment	72200	Equipment and furniture	1,665	3,757	2,365			7,787	22	
				UNDP	Activity 2.2 (Output 2.2)	72800	Information Technology Equipment	10,000	10,000				20,000	23
				UNDP		72100	Contractual Services-Companies	275,500	524,000	524,000	276,500		1,600,000	24
				UNDP		71200	International Consultants	25,000	65,000	60,000	30,000		180,000	25
				UNDP		71400	Contractual services-individuals	8,750	37,500	6,250	7,500		60,000	26
				Zambia Ministry of Green Economy and Environment	72500	Supplies	50,800	53,600	45,000	5,600		155,000	27	
				Zambia Ministry of Green Economy and Environment	75700	Training, Workshops & Conferences	60,000	117,500	192,500	65,000	65,000	500,000	28	
				UNDP	Activity 2.3 (Output 2.3)	72100	Contractual Services-Companies	21,165	48,835				70,000	29
				UNDP		71400	Contractual Services-Individuals	30,000	57,675	57,675	39,000	20,650	205,000	32
				Zambia Ministry of Green Economy and Environment		71600	Travel		2,500				2,500	31
				Zambia Ministry of Green Economy and Environment		74200	Audio Visual&Print Prod Costs		2,000				2,000	33
				Zambia Ministry of Green Economy and Environment	75700	Training, Workshops & Conferences		12,000				12,000	34	
Component 2 Total								565,380	2,144,167	2,436,295	1,637,105	148,350	6,931,297	
Component 3: Global Learning and Knowledge Management System	Outcome 3: Evidence generated from CIPs and their catchment management initiatives to use to strengthen climate adaptation policies and strategies, and to improve adaptive management and stakeholder learning across catchments	62040	011602	UNDP	Activity 3.1 (Output 3.1)	71400	Contractual services-individuals		37,500	37,500	37,500	37,500	150,000	35
				UNDP		71600	Travel		8,900	8,900	7,200	25,000	37	
				Zambia Ministry of Green Economy and Environment		75700	Training, Workshops & Conferences		22,650	19,300	18,050	60,000	36	
				Zambia Ministry of Green Economy and Environment	71600	Travel		8,900	8,900	7,200	25,000	37		
				UNDP	Activity 3.2 (Output 3.2)	71600	Travel	1,500	4,625	4,625	4,625	4,625	20,000	41
				Zambia Ministry of Green Economy and Environment		71600	Travel	1,500	4,500	4,500	4,500	4,500	19,500	41
				Zambia Ministry of Green Economy and Environment		75700	Training, Workshops and Conferences	1,220	6,260	6,260	6,260	6,260	20,000	42
				Zambia Ministry of Green Economy and Environment	Activity 3.3 (Output 3.3)	71600	Travel		3,350	3,350	4,000	4,300	15,000	46
				UNDP		71600	Travel		1,875	3,750	4,315	5,060	15,000	46
				UNDP		71400	Contractual Services-Individuals	5,000	11,250	11,250	11,250	11,250	50,000	48
Component 3 Total							8,000	64,329	111,685	199,550	185,845	399,590		
Project Execution Costs	Project Execution Cost (PEC)	62040	011602	UNDP	Activity PEC	71400	Contractual Services-Individuals	52,100	83,200	83,200	86,600	54,900	340,000	49
				Zambia Ministry of Green Economy and Environment		72500	Supplies	1,700	350	350	300	300	3,000	51
				UNDP		71200	International Consultants		10,000	15,000	15,000	15,000	55,000	52
				Zambia Ministry of Green Economy and Environment		72400	Communic & Audio Visual Equip	2,800	4,200				7,000	53
				UNDP		71600	Travel	8,025	8,860	8,860	8,860	8,860	41,465	54
				UNDP		72200	Equipment and furniture	60,000	30,000				90,000	55
				Zambia Ministry of Green Economy and Environment		74500	Miscellaneous Expenses	4,000	4,000	4,000	4,000	4,000	20,000	56
				Zambia Ministry of Green Economy and Environment		73400	Rental & Maint of Other Equip		5,000	5,000	5,000	5,000	20,000	57
				UNDP		64397	Services to Projects - GOE	24,550	24,535	24,550	24,550	24,542	122,727	58
				Zambia Ministry of Green Economy and Environment		71600	Travel	2,375	4,585	4,585	4,585	4,585	20,715	54
				Zambia Ministry of Green Economy and Environment		72200	Equipment and furniture	2,000	2,000				4,000	55
				Zambia Ministry of Green Economy and Environment		73100	Rental & Maintenance-Premises	1,700	1,850	1,850	1,800	1,800	8,000	59
				Zambia Ministry of Green Economy and Environment		71800	Contractual Services-Imp Parts	21,570	25,000	26,645	25,000	26,785	125,000	60
				Project/Programme Activities Cost									618,380	2,358,487
Total Project Execution Cost								178,820	203,580	174,840	155,695	145,772	857,907	
Total Amount of Funding Requested								797,200	2,562,067	2,827,020	2,015,680	504,707	9,192,404	

Quantum Outcome (AF Component)	Quantum Output (AF Outcome)	Quantum Fund ID	Quantum Donor ID	Quantum Responsible Party	Quantum Activity (AF Output)	Quantum Budgetary Account Code	Quantum Budget Account Description	Amount Year 2026	Amount Year 2027	Amount Year 2028	Amount Year 2029	Amount Year 2030	Total (USD)	Budget Note No.
Component 1: Catchment Investment Programmes	Outcome 1: CIPs, consisting of multiple complementary resilience-enhancing initiatives, reviewed and prepared by local stakeholder communities	62040	011002	UNDP	Activity 1.1 (Output 1.1)	71600	Travel	1,500	1,500	1,500	1,500	1,500	7,500	4
				Zimbabwe Ministry of Lands, Agriculture, Fisheries, Water and Rural Development		71800	Contractual Services-Imp Part	30,000	60,000	60,000	30,000	210,000	2	
				Zimbabwe Ministry of Lands, Agriculture, Fisheries, Water and Rural Development		75700	Training, Workshops and Conferences	6,600	13,600	6,600	6,600	40,000	3	
				Zimbabwe Ministry of Lands, Agriculture, Fisheries, Water and Rural Development	71600	Travel	3,730	2,700	2,700	700	700	10,530	4	
				UNDP	Activity 1.2 (Output 1.2)	71600	Travel	800	2,600	1,200	700	700	6,000	7
				Zimbabwe Ministry of Lands, Agriculture, Fisheries, Water and Rural Development		75700	Training, Workshops & Conferences	13,000	20,000	12,000	8,000	7,000	60,000	3
				Zimbabwe Ministry of Lands, Agriculture, Fisheries, Water and Rural Development		71600	Travel	600	3,000	1,200	600	600	6,000	7
				Zimbabwe Ministry of Lands, Agriculture, Fisheries, Water and Rural Development	71800	Contractual Services-Imp Part	18,000	55,850	55,850	17,330	13,640	180,670	8	
				UNDP	Activity 1.3 (Output 1.3)	71400	Contractual services-individuals	18,000	18,000	24,000	21,000	19,000	100,000	10
				UNDP		71600	Travel	1,400	3,600				5,000	11
				UNDP		72400	Communic & Audio Visual Equip	4,000	18,000				20,000	13
				Zimbabwe Ministry of Lands, Agriculture, Fisheries, Water and Rural Development		71600	Travel	1,250	3,750				5,000	11
				Zimbabwe Ministry of Lands, Agriculture, Fisheries, Water and Rural Development		72500	Supplies	6,500	13,500				20,000	12
				Zimbabwe Ministry of Lands, Agriculture, Fisheries, Water and Rural Development		75700	Training, Workshops & Conferences	12,500	27,500				40,000	14
				Zimbabwe Ministry of Lands, Agriculture, Fisheries, Water and Rural Development		71600	Travel	1,000	4,000				5,000	15
				Zimbabwe Ministry of Lands, Agriculture, Fisheries, Water and Rural Development	75700	Training, Workshops & Conferences	7,500	32,500				40,000	16	
				UNDP	71600	Travel	1,000	4,000				5,000	16	
UNDP	71400	Contractual Services-Individuals	10,000	20,000	10,000			40,000	17					
Component 1 Total								137,880	302,100	178,050	86,420	79,740	780,700	
Component 2: Demand-driven financing for LLA grants and establishment of complementary non grant financing mechanisms to sustain locally-led climate adaptation solutions	Outcome 2: LLA initiatives designed, financed and implemented to meet CIP objectives for enhanced socio-ecological resilience to climate change, with complementary non-grant mechanisms established to sustain and scale results	62040	011002	Zimbabwe Ministry of Lands, Agriculture, Fisheries, Water and Rural Development	Activity 2.1 (Output 2.1)	71600	Travel	1,000	1,150	800	800		3,750	18
				Zimbabwe Ministry of Lands, Agriculture, Fisheries, Water and Rural Development		72300	Materials & Goods	20,000	62,000	33,995	33,995	33,990	183,980	19
				UNDP	71600	Travel	1,000	1,150	800	800		3,750	18	
				UNDP	72600	Grants		594,000	843,600	702,400		2,140,000	20	
				UNDP	72100	Contractual Services-Companies	30,000	100,000	70,000			200,000	21	
				UNDP	72200	Equipment and furniture	1,458	3,274	2,060			6,792	22	
				UNDP	Activity 2.2 (Output 2.2)	72800	Information Technology Equipm	10,000	10,000				20,000	23
				UNDP		72100	Contractual Services-Companies	144,500	306,000	306,000	143,500		900,000	24
				UNDP		71200	International Consultants	10,000	50,000	40,000	20,000		120,000	25
				Zimbabwe Ministry of Lands, Agriculture, Fisheries, Water and Rural Development	71400	Contractual services-individuals	2,500	25,000	7,500	5,000		40,000	26	
				Zimbabwe Ministry of Lands, Agriculture, Fisheries, Water and Rural Development	72500	Supplies	32,150	35,900	25,000	6,950		100,000	27	
				Zimbabwe Ministry of Lands, Agriculture, Fisheries, Water and Rural Development	75700	Training, Workshops & Conferences	30,000	65,000	115,000	20,000	20,000	250,000	28	
				UNDP	71400	Contractual Services-Individuals	16,000	39,675	99,675	27,000	22,650	145,000	32	
Component 2 Total								298,668	1,283,149	1,484,430	960,443	76,640	4,113,272	
Component 3: Global Learning and Knowledge Management System	Outcome 3: Evidence generated from CIPs and their catchment management initiatives is used to strengthen climate adaptation policies and strategies, and to improve adaptive management and stakeholder learning across catchments	62040	011002	UNDP	Activity 3.1 (Output 3.1)	71400	Contractual services-individuals	25,000		7,200	7,200	5,600	20,000	35
				Zimbabwe Ministry of Lands, Agriculture, Fisheries, Water and Rural Development		75700	Training, Workshops & Conferences			19,700	18,400	13,900	50,000	36
				Zimbabwe Ministry of Lands, Agriculture, Fisheries, Water and Rural Development	71600	Travel			7,200	7,200	5,600	20,000	37	
				UNDP	Activity 3.2 (Output 3.2)	71600	Travel	1,500	2,125	2,125	2,125	2,125	10,000	41
				Zimbabwe Ministry of Lands, Agriculture, Fisheries, Water and Rural Development		71600	Travel	790	2,175	2,175	2,175	2,175	9,480	41
				Zimbabwe Ministry of Lands, Agriculture, Fisheries, Water and Rural Development		75700	Training, Workshops and Conferences	2,350	2,550	2,550	2,550		10,000	42
				Zimbabwe Ministry of Lands, Agriculture, Fisheries, Water and Rural Development	71600	Travel		3,300	3,300	4,000		10,600	46	
				Zimbabwe Ministry of Lands, Agriculture, Fisheries, Water and Rural Development	71600	Travel		1,875	3,750	4,313		10,000	46	
				UNDP	71400	Contractual Services-Individuals	5,000	11,250	11,250			37,500	48	
				Component 3 Total							7,290	48,075	84,250	82,215
Project Execution Costs	Project Execution Cost (PEC)	62040	011002	UNDP	Activity PEC	71400	Contractual Services-Individuals	65,800	103,600	103,600	96,800	89,200	450,000	49
				Zimbabwe Ministry of Lands, Agriculture, Fisheries, Water and Rural Development		72500	Supplies	1,600	350	350	350	350	3,000	51
				UNDP		71200	International Consultants	10,000	10,000	15,000	15,000	15,000	55,000	52
				Zimbabwe Ministry of Lands, Agriculture, Fisheries, Water and Rural Development		72400	Communic & Audio Visual Equip	2,800	4,200				7,000	53
				UNDP		71600	Travel	6,025	8,860	8,860	8,860	8,860	41,465	54
				UNDP		72200	Equipment and furniture	61,000	31,000				92,000	55
				Zimbabwe Ministry of Lands, Agriculture, Fisheries, Water and Rural Development		74500	Miscellaneous Expenses	3,600	3,600	3,600	3,600	3,600	18,000	56
				Zimbabwe Ministry of Lands, Agriculture, Fisheries, Water and Rural Development		73400	Rentel & Maint of Other Equip		3,250	3,250	3,250	3,250	13,000	57
				UNDP		64397	Services to Projects - GDE	20,460	20,460	20,445	20,423	20,475	102,273	58
				Zimbabwe Ministry of Lands, Agriculture, Fisheries, Water and Rural Development		71600	Travel	2,373	4,585	4,585	4,585	4,585	20,713	54
				Zimbabwe Ministry of Lands, Agriculture, Fisheries, Water and Rural Development		72200	Equipment and furniture	2,000	2,000				4,000	55
				Zimbabwe Ministry of Lands, Agriculture, Fisheries, Water and Rural Development		73100	Rentel & Maintenance-Premises	1,600	1,850	1,850	1,850	1,850	9,000	59
				Zimbabwe Ministry of Lands, Agriculture, Fisheries, Water and Rural Development		71800	Contractual Services-Imp Part	16,430	20,000	21,355	20,000	22,215	100,000	60
				Project/Programme Activities Cost									443,278	1,643,324
Total Project Execution Cost								183,688	213,755	182,895	174,728	160,385	915,451	
Total Amount of Funding Requested								626,966	1,857,079	1,926,625	1,303,818	394,425	6,108,913	

Quantum Outcome (AF Component)	Quantum Output (AF Outcome)	Quantum Fund ID	Quantum Donor ID	Quantum Responsible Party	Quantum Activity (AF Output)	Quantum Budgetary Account Code	Quantum Budget Account Description	Amount Year 2026	Amount Year 2027	Amount Year 2028	Amount Year 2029	Amount Year 2030	Total (USD)	Budget Note No.
Component 1: Catchment Investment Programmes	Outcome 1: CIPs, consisting of multiple complementary resilience-enhancing initiatives, reviewed and prepared by local stakeholder communities	62040	011602	UNDP	Activity 1.1 (Output 1.1)	71400	Contractual Services-Individuals	30,000	60,000	60,000	30,000	30,000	210,000	1
						71600	Travel	6,000	6,000			12,000	4	
				UNDP	Activity 1.2 (Output 1.2)	71200	International Consultants	25,000	70,000			95,000	5	
						71400	Contractual Services-Individuals	60,000	60,000	60,000	60,000	60,000	300,000	6
				UNDP	Activity 1.3 (Output 1.3)	71600	Travel	1,200	3,800	2,000	1,500	1,500	10,000	7
						72100	Contractual services-companies	60,000	80,000	80,000			230,000	9
				UNDP	Activity 1.3 (Output 1.3)	71400	Contractual services-Individuals	24,000	28,000	32,000	29,000	27,000	140,000	10
						71600	Travel	3,400	2,600				6,000	11
				Component 1 Total								203,600	320,400	240,000
Component 2: Demand-driven financing for LLA grants and establishment of complementary non-grant financing mechanisms to sustain locally-led climate adaptation solutions	Outcome 2: LLA initiatives designed, financed and implemented to meet CIP objectives for enhanced socio-ecological resilience to climate change, with complementary non-grant mechanisms established to sustain and scale results	62040	011602	UNDP	Activity 2.3 (Output 2.3)	72100	Contractual Services-Companies	108,835	251,165				360,000	29
						71200	International Consultants		80,000	80,000			160,000	30
						71600	Travel		15,000				15,000	31
Component 2 Total								108,835	346,165	80,000	-	-	535,000	
Component 3: Global Learning and Knowledge Management System	Outcome 3: Evidence generated from CIPs and their catchment management initiatives is used to strengthen climate adaptation policies and strategies, and to improve adaptive management and stakeholder learning across catchments	62040	011602	UNDP	Activity 3.2 (Output 3.2)	71400	Contractual Services-Individuals	25,000	50,000	50,000	50,000	25,000	200,000	38
						72100	Contractual services-companies		50,000	100,000	50,000	25,000	225,000	39
				71200		International Consultants			50,000	50,000	50,000	150,000	40	
				71600		Travel	1,500	7,125	7,125	7,125	30,000	41		
				75700		Training, Workshops and Conferences		3,710	5,430	5,430	5,430	20,000	42	
				75700		Training, Workshops & Conferences		5,000	5,000	10,000	10,000	30,000	43	
				UNDP	Activity 3.3 (Output 3.3)	72400	Communic & Audio Visual Equip	20,000					20,000	44
						71200	International Consultants		50,000	50,000	50,000	200,000	45	
						71600	Travel		4,375	8,750	10,025	11,820	35,000	46
						72100	Contractual Services-Companies		50,000	100,000	50,000	200,000	47	
						71400	Contractual Services-Individuals	15,000	26,250	26,250	26,250	120,000	48	
						Component 3 Total								61,500
Project Execution Costs	Project Execution Costs (PEC)	62040	011602	UNDP	Activity PEC	72400	Communic & Audio Visual Equip	1,600	2,400				4,000	53
						71600	Travel	3,901	5,686	5,686	5,686	26,644	54	
						72200	Equipment and furniture	3,000	1,000			4,000	55	
						64397	Services to Projects - GOE	12,272	12,273	12,273	12,273	12,272	61,363	58
Project/Programme Activities Cost								373,835	913,025	722,555	429,360	329,125	2,768,000	
Total Project Execution Cost								20,773	21,359	17,959	17,959	17,957	96,007	
Total Amount of Funding Requested								394,708	934,384	740,514	447,319	347,082	2,864,007	