



TRANSFORMATIONAL CHANGE CASE STUDY

ZAMBIA: BUILDING A RESILIENT FUTURE

JUNE 2020



The findings, interpretations, and conclusions expressed in this work do not necessarily reflect the views of the Climate Investment Funds, its governing bodies, or the governments they represent.

All photos in the report were taken by CIF staff, or consultants hired by the CIF, during official missions and field visits.

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The Climate Investment Funds and the Transformational Change Learning Partnership

The [Climate Investment Funds](#) (CIF) were created in 2008 to scale up finance for climate change, filling urgent financing gaps and demonstrating the viability of emerging solutions. With more than US\$8 billion contributed from 14 donor countries, CIF supports over 300 projects across 72 countries in the areas of clean energy transition and technologies, energy access,

climate resilience, and sustainable forests. CIF's [Evaluation and Learning Initiative](#) established the [Transformational Change Learning Partnership](#) in 2017 to facilitate a collaborative, evidence-based learning process on transformational change and CIF's role in supporting transformational change since 2008.

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List of Acronyms

AfDB	African Development Bank
CIF	Climate Investment Funds
CRAFs	Climate Risk Adaptation Facilitators
CRZ	Government of the Republic of Zambia
DIP	Decentralization Implementation Plan
ICCS	Interim Climate Change Secretariat
IDPs	Integrated Development Plans
IFC	International Finance Corporation
LDCF	Least Developed Countries Fund
MNDP	Ministry of National Development Planning
MDB	Multilateral Development Bank
NAPA	National Adaptation Programme of Action
NDP	National Development Plan
PPCR	Pilot Program for Climate Resilience
SCRiKA	Strengthening Climate Resilience in the Kafue Sub-basin
SCReBS	Strengthening Climate Resilience in the Barotse Sub-basin
SPCR	Strategic Program for Climate Resilience
TRALARD	Transforming Landscapes for Resilience and Development
UNDP	United Nations Development Program
UNFCCC	United Nations Framework Convention on Climate Change
ZMK	Zambian Kwacha



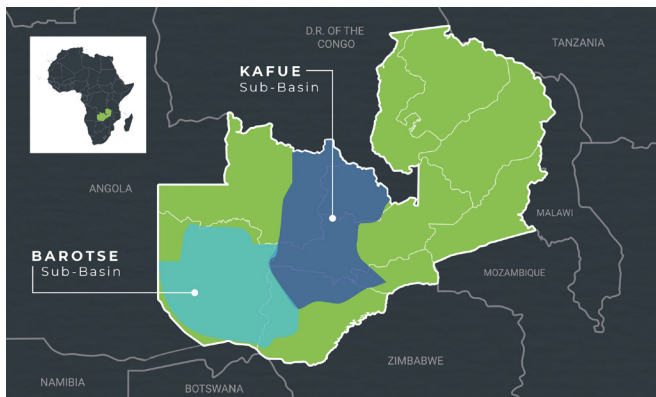
Summary

This case study explores the Climate Investment Funds' (CIF) role in Zambia's journey toward transformational change in climate resilience. The impacts of climate change can be devastating for a country like Zambia, which depends on climate-sensitive sectors such as agriculture and natural resources. The agricultural sector employs 70 percent of the population—primarily through rainfed, subsistence farming—and is critically important for poor rural households, national food security, and providing raw materials for the manufacturing industry. Over the past decade, Zambia has experienced extreme weather events with increasing severity and frequency, including seasonal floods, extreme temperatures, and droughts. Droughts in the 2018-2019 farming season left 2.3 million people in need of emergency food assistance. The southern area of the country used to be considered the breadbasket of the nation, but in recent years, with low and unpredictable rainfall, it has become the driest zone of the country with limited potential for crop production. During the summer of 2019 alone, severe power outages from drought and related dependence on hydro-power resulted in significant impacts on businesses, health, food security, and overall welfare. Currently in 2020, as this case study is being finalized, the COVID-19 pandemic is further exacerbating food security challenges and underscoring the need for more resilient local agricultural production.

The Government of the Republic of Zambia (GRZ) has long recognized the deep connection between socio-economic development issues and the challenges posed by climate change, which disproportionately impact the poorest and the most vulnerable. For example, a 2011 government study warned that without strengthened resilience, climate change could further jeopardize food security and livelihoods and reduce Zambia's GDP growth by US\$5 billion. In the last two decades, the GRZ has also undertaken decentralization reforms linked to broader governance and rural development agendas.

In 2010, the GRZ partnered with the Climate Investment Funds (CIF) to support a more climate-resilient future. With funding of over US\$90 million, CIF's Pilot Program for Climate Resilience (PPCR) has supported Zambia's climate resilience through three strategic projects implemented by the World Bank, the African Development Bank (AfDB), and the International Finance Corporation (IFC). A program cornerstone is collaboration between the national government and local governments, non-governmental organizations (NGOs), and communities—reflecting a change from a traditional top-down approach. Local projects focus on the poorest and most vulnerable communities in the Kafue and Barotse sub-basins located in the climate-sensitive southwest agro-ecological region of the country.

MAP OF ZAMBIA



CIF’s overarching goal is to support countries such as Zambia in advancing transformational change toward low-carbon, climate-resilient development. Advancement along four dimensions of transformational change—*relevance, systemic change, scale, and sustainability*—demonstrates progress toward climate resilience goals. To realize lasting transformational change, all four dimensions must materialize over time, though typically they do not progress in a linear, sequential, or predictable manner.

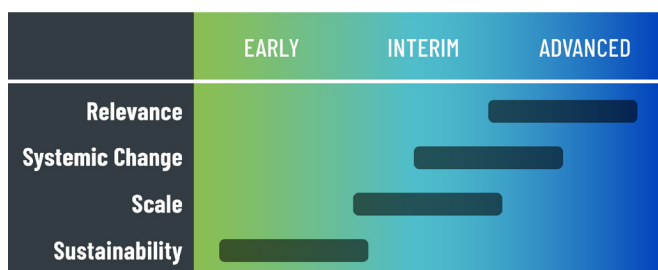
On the whole, Zambia’s efforts, with support from CIF/PPCR and others, have made substantial progress in advancing Zambia toward a climate-resilient future. The PPCR approach, including the country-led design, well-targeted interventions, and mid-course adjustments, has been **highly relevant to transformational change**. This has been evident in a programmatic approach intended to mainstream climate resilience in development planning, support strategic yet vulnerable sectors

and regions, and integrate with the GRZ’s wider goals and initiatives related to rural development, social protection, and decentralization.

CIF/PPCR investments have supported **substantial progress on systemic change**. This is evidenced by increases in integration of climate resilience in development plans at the national, provincial, district, and local/ward levels; a successfully-piloted community adaptation model that is leading to improvements in capacity and livelihood options for vulnerable groups; and completion of key climate-resilient infrastructure such as roads and canals. **Progress on the dimension of scale** has also advanced, as shown by increased budget allocations for climate resilience. For example, in 2018, the GRZ allocated US\$35.6 million (ZMK471.9 million) towards climate change interventions across many sectors, compared to just over US\$407,000 (ZMK5.399 million) in 2015, reflecting a leap in domestic funding commitments. Over 2,000 community sub-grant projects have been approved and initiated, and the approach is being replicated in other climate-affected regions. **Sustainability is the least advanced dimension thus far**, as is the case in many contexts, due to limited availability of domestic funding and the inherently long-term nature of sustainability.

Challenges remain, including ongoing needs to build local capacity, effectively engaging the private sector, and securing sustained domestic funding. Still, on the whole, Zambia’s progress toward building a resilient future since 2010, in partnership with CIF, is both substantial and exceptional, reflecting leadership, commitment, and effective actions to build lasting resilience at all levels, from local to national. Zambia continues to serve as an example from which many others can learn. As the urgency and scale of the climate crisis progresses, the well-being of vulnerable populations across the globe depends on scaling-up similarly effective resilience efforts that advance systems-level, transformative change. Doing so is key to avoid the worst impacts of climate change and build toward a more prosperous and climate-resilient future.

DIMENSIONS OF TRANSFORMATIONAL CHANGE: STAGE OF ADVANCEMENT





Introduction

This case study shares Zambia's story of transformational change towards a climate-resilient future, focusing on the role of the Climate Investment Funds (CIF) in supporting this transformation between 2010 and 2019. During this time, CIF, the Government of the Republic of Zambia (GRZ), the World Bank (WB), the African Development Bank (AfDB), and the International Finance Corporation (IFC) partnered to invest in Zambia's resilience to climate change. The case study is based on the work of the CIF Transformational Change Learning Partnership, building on two independent studies published in early 2019.¹ It is part of a series of case studies that explore specific stories of transformational change.

The case study first describes the country context and then summarizes CIF's approach to building climate resilience through a strategic investment plan and series of projects implemented over the course of a decade. The following section describes advancements over that time toward transformational change, including more details about the work undertaken and progress made. The case study then closes with brief reflections and a look ahead.



Country Context

Zambia is a country of 17 million people in sub-Saharan Africa, and its population is expected to grow to 22 million by 2030.² Despite recent good economic growth fueled by the mining sector, poverty rates remain high, with over half the population living below the poverty line.³ Poverty rates are particularly high in rural areas, where two-thirds of the population live.⁴ Food insecurity is also rampant, as about half of the population is undernourished or food deprived.⁵ Agriculture is the backbone of rural livelihoods in Zambia, engaging 70 percent of the country's population.⁶ Agriculture is also important for food security and providing raw materials for the manufacturing industry, which represents 36 percent of Gross Domestic Product (GDP)^{7,8}.

Over the past decade, Zambia has experienced extreme weather events with increasing severity and frequency, including seasonal floods, extreme temperatures, and droughts, and these are projected to increase further.⁹ The substantial dependence of Zambia's economy on climate-sensitive sectors such as agriculture and natural resources contributes significantly to its vulnerability to climate change. Agriculture in Zambia predominantly consists of rainfed, subsistence farming and is thus highly sensitive to changes in climate.¹⁰ A 2011 government study noted that climate change is expected to weaken poverty reduction efforts in Zambia and reduce GDP growth by approximately US\$5 billion over the following 10-20 years if no action is taken.¹¹ Droughts in the 2018-2019 farming season

left 2.3 million people in need of emergency food assistance.¹² A recent rapid assessment by the Indaba Agricultural Policy Research Institute highlights that the COVID-19 pandemic that broke out in late 2019 is likely to induce and exacerbate further hardship, especially on poor and vulnerable households due to interruption of food systems and prices through border closures, movement restrictions, and increased demand for food through potential speculative hoarding by some traders.¹³

Within Zambia, the agro-ecological region of the Luangwa-Zambezi Rift Valley, located in the southwestern part of the country, is the most vulnerable to climate change.¹⁴ This is due to El Niño effects causing the southern part of Africa to experience more frequent droughts.¹⁵ This area used to be considered the breadbasket of the nation, but in recent years, with low and unpredictable rainfall, it has become the driest zone of the country and has limited potential for crop production.¹⁶ Communities living along the major river basins of the Zambezi and the Congo Rivers have observed declining rainfall and higher frequency of extreme climate events, such as droughts and flashfloods.¹⁷ Droughts cause crop failures and shortages in hydro-electricity generation; insufficient infrastructure for water and sanitation causes disease outbreak during flooding episodes.

The rural communities along the Zambezi river basin are among the most vulnerable in Zambia because of their exposure to extreme droughts and floods and

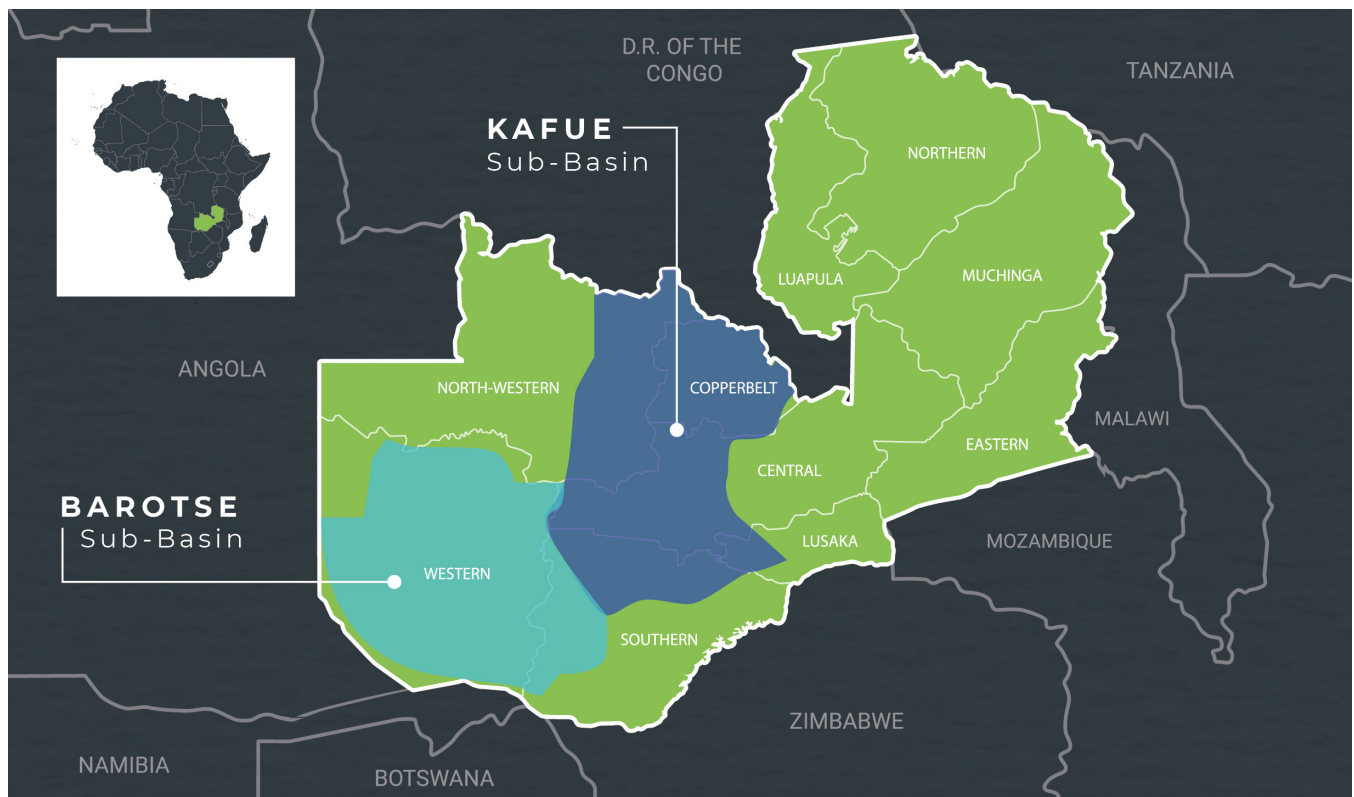
social isolation due to poverty.¹⁸ Specifically, the two sub-basins of Barotse and Kafue have been identified as the most exposed to climate extremes. These areas have the warmest and driest climatic conditions (with less than 800 mm/year rainfall), high soil erosion, and intensifying floods and seasonal droughts, impacting food and water security, water quality, infrastructure, and livelihoods.¹⁹ Together, these two sub-basins cover 28 districts and a population of around 4.9 million.²⁰

Prior to its engagement with CIF in 2010, Zambia had received limited adaptation finance from dedicated multilateral climate funds. Only one US\$3.8 million project on drought effects had been funded through the Least Developed Countries Fund (LDCF).²¹ At this time, the GRZ had ambitions for long-term transformation in its response to climate change and recognized the need to improve institutional coordination and utilize participatory approaches to mainstream climate change considerations in development efforts.²² Unless transformative action was taken to create a climate-resilient society, the poorest and most vulnerable communities would continue to be disproportionately impacted. However,

institutional structures for addressing climate change lacked convening power, coordination, and integration across sectors and levels of government, resulting in fragmented efforts with limited overall success.

In addition, by 2010 GRZ had committed to principles of decentralized governance to increase the involvement of the Zambian population in decision-making over local affairs.²³ A National Decentralization Policy (NDP) was approved in 2002, and in 2004, an initial Decentralization Implementation Plan (DIP) was formulated.²⁴ In December 2009, the DIP was approved for full implementation.²⁵ This required certain authority and functions to be decentralized from the central government to the provincial, district, sub-district, and local/ward levels.²⁶ The GRZ underscored the importance of adopting its decentralization and social protection agenda to facilitate impactful local development approaches and allow for replication and scaling-up.²⁷ Linking the GRZ's strong climate resilience and rural development ambitions to this new context of decentralized governance would be key to achieving both climate and development goals.

Figure 1
MAP OF ZAMBIA





CIF's Strategy to Support a Climate Resilient Zambia

The GRZ began its engagement with the CIF's dedicated resilience program, the Pilot Program for Climate Resilience (PPCR), in 2010. This engagement started with a US\$1.5 million Phase I grant that focused on the formulation of Zambia's Strategic Program for Climate Resilience (SPCR), a strategic investment plan for climate resilience.

The PPCR's participatory process to develop the SPCR—engaging over 40 government, development partners, civil society, and private sector organizations—enabled the GRZ to design a program that addressed core strengths and weaknesses of Zambia's existing climate change framework and link it to a transformative vision. Prior to engagement with PPCR, a strength of this existing climate change framework was the GRZ's resolve to mainstream climate change in development plans; weaknesses included limited institutional coordination, inadequate capacity, low awareness of climate change, and need for better access to information.

Zambia's SPCR²⁸ was approved in 2011, reflecting a holistic, transformative vision for climate resilience linked to the GRZ's broader rural development, poverty reduction, social protection, and decentralization agendas.²⁹ The SPCR adopted a programmatic approach,³⁰ demonstrating

Zambia's strategic choice to support both national institutional strengthening and local interventions in the two priority sub-basins (Barotse and Kafue) in a coordinated and synergistic manner. In the words of the GRZ, "[t]he intention of the SPCR Zambia is not to simply pilot adaptation principles, but to strengthen the backbone for long-term transformation."³¹

In 2013, two PPCR Phase II projects—the World Bank-supported Strengthening Climate Resilience in the Barotse Sub-basin³² (SCReBS) and the African Development Bank-supported Strengthening Climate Resilience in the Kafue Sub basin (SCRiKA)—were approved with combined PPCR funding of US\$74 million.³³

Both projects support mainstreaming of climate-resilient development planning and actions to build the resilience of vulnerable rural populations in the southwest region of the country. These include investments in climate-resilient infrastructure, community-driven participatory adaptation activities,³⁴ and efforts to promote sustainable mobility, which SCRiKA supports through the construction and rehabilitation of over 240 km of strategic farm-to-market access roads, and SCReBS supports through rehabilitation of 350 km priority canals.

Table 1
SUMMARY OF CIF PPCR INVESTMENTS IN ZAMBIA (CURRENCY IN US\$ MILLION)

PROJECT NAME	CIF PPCR FUNDING	IMPLEMENTING MDB	ADDITIONAL MDB FINANCING	APPROVAL / CLOSING DATE
Zambia Strengthening Climate Resilience (PPCR Phase I)	\$1.50	World Bank	n/a	2010/2013
Zambia Strengthening Climate Resilience in the Barotse Sub-Basin (SCReBS)	\$36	World Bank	n/a	2013 / 2022**
	\$14.60*	World Bank	n/a	
Strengthening Climate Resilience in the Kafue Sub-Basin (SCRiKA)	\$38	African Development Bank	\$0.72	2013 / 2021***
Total	\$90.10		\$0.72	

* The IP initially included a private sector project to be implemented by the International Finance Corporation (IFC). Following several scoping studies, a decision was made to re-allocated to the World Bank as part of the SCReBS project.

** Extended from 2019 through the provision of additional finance.

*** Extended from 2019 to close in 2021.

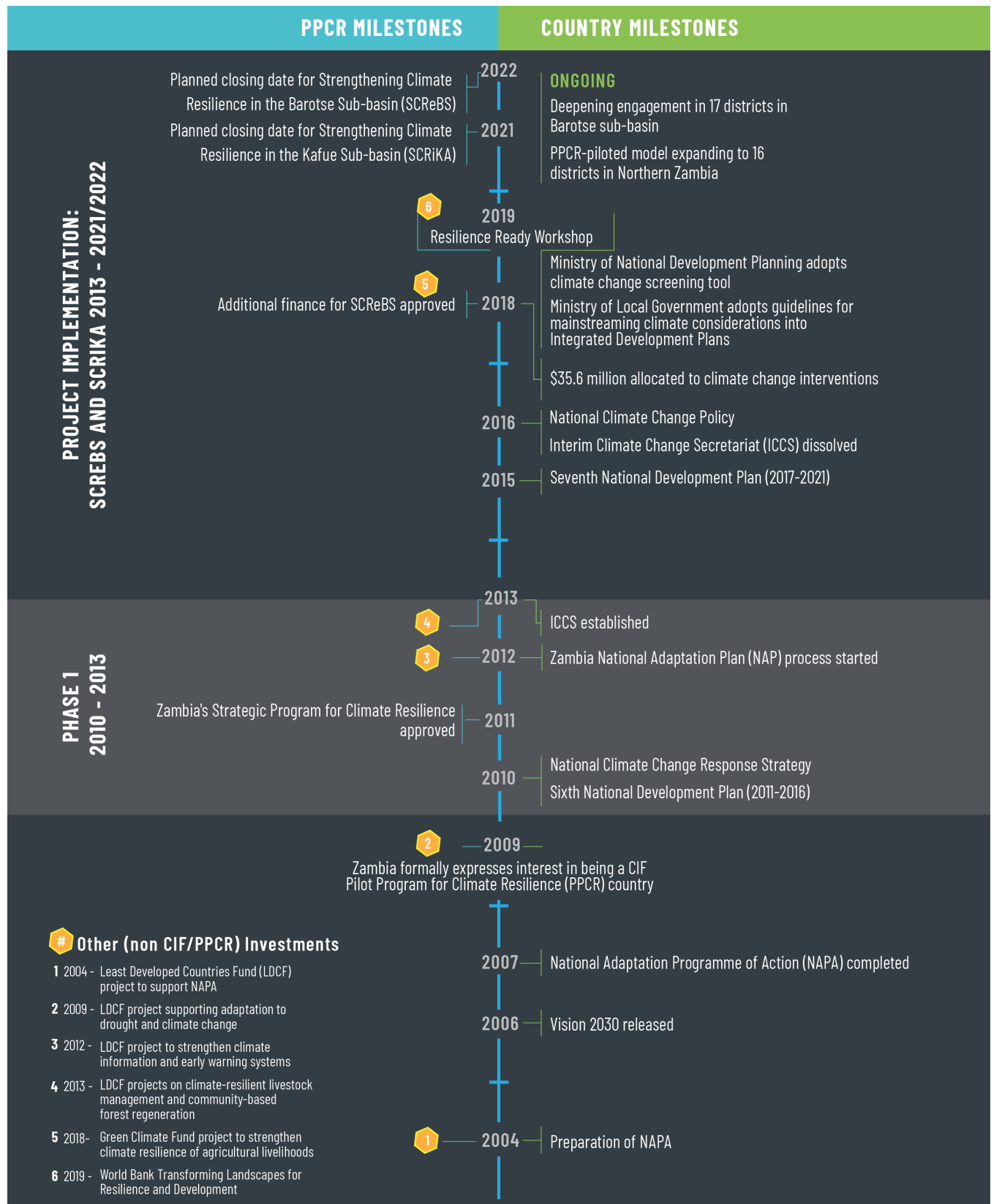
MILESTONES OF CHANGE

Since its engagement with PPCR began, Zambia has achieved several major policy milestones and commitments, including delivery of relevant resilience initiatives at all levels, particularly in the country’s most vulnerable areas and sectors. These are described in greater detail in the following section. Figure 2 provides a timeline demonstrating these milestones, as well as progress on scaling and resource commitments. A list of these events can also be found in Annex 1.



Photo: Livestock production provides opportunities for communities to adopt alternative livelihoods that reduce their vulnerability to climate shocks.

Figure 2
ZAMBIA RESILIENCE BUILDING: TIMELINE OF MAJOR PPCR MILESTONES





Progress Toward Transformational Change

The CIF Transformational Change Learning Partnership defines transformational change in climate action as: *strategic changes in targeted markets and other systems, with large-scale, sustainable impacts that shift and/or accelerate the trajectory toward low-carbon and climate-resilient development. To realize lasting transformational change, four dimensions—relevance, systemic change, scale, and sustainability—must be achieved* (see Box 1), though they often do not progress in a linear or sequential manner.³⁵

For each dimension, transformational change at a moment in time can be considered on a continuum of progress from early to advanced stages (see Box 2).

OVERALL PROGRESS

On the whole, Zambia’s commitment to building a climate-resilient future, with support from CIF/PPCR and others, has resulted in significant progress toward transformational change.

Box 1

FOUR DIMENSIONS OF TRANSFORMATIONAL CHANGE

Relevance: The strategic focus of CIF investments—impacting low-carbon and climate-resilient development, with sustainable development co-benefits.

Systemic change: Fundamental shifts in system structures and functions.

Scale: Contextually large-scale transformational processes and impacts.

Sustainability: The robustness and resilience of changes.

Box 2

EARLY, INTERIM, AND ADVANCED STAGES OF PROGRESS

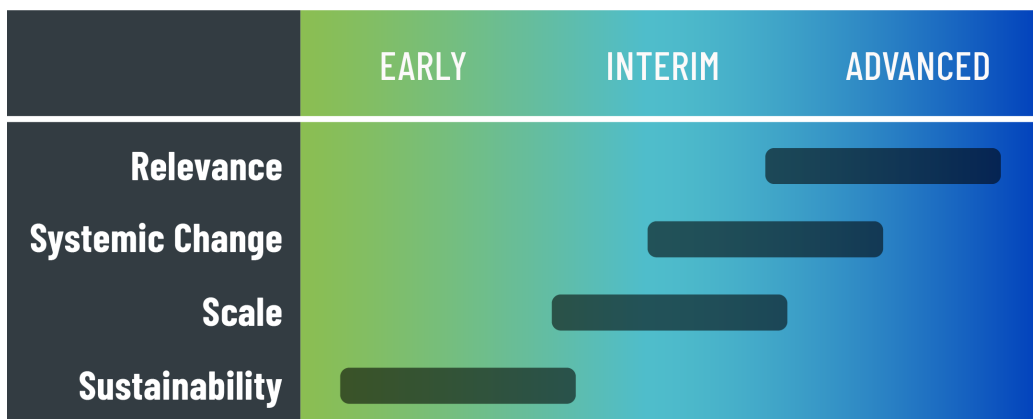
Early: Relevant program design and implementation are enabling preconditions for transformation.

Interim: Interim outcomes external to the program boundaries are evident. Includes process advancements such as policy development and budget allocation that support and advance progress toward transformational outcomes over time.

Advanced: Long-term, self-sustaining outcomes are materializing.

At a given time, progress may be at or in between these stages.

Figure 3
DIMENSIONS OF TRANSFORMATIONAL CHANGE: STAGE OF ADVANCEMENT



The PPCR approach, including the country-led design, well-targeted interventions, and mid-course adjustments, has been highly **relevant** to transformational change. Projects have supported substantial progress on **systemic change**, as evidenced by increased integration of climate resilience in development plans at the national, provincial, district, and local/ward levels. The **scale** dimension has also progressed, with increased budget allocations, initiation of over 2,000 community sub-grant projects targeting vulnerable groups, and replication of approaches in other regions. **Sustainability** is the least advanced dimension thus far, as is the case in many contexts, because of both the limited availability of domestic funding and the inherently long-term nature of sustainability.

Figure 3 shows a summary of the stage of progress across these dimensions, and the following sections further explore progress in relation to each dimension.

RELEVANCE

The PPCR approach is highly relevant to transformational change. This is primarily due to the country-driven programmatic approach focused on mainstreaming climate resilience in development planning, supporting vulnerable sectors and communities, and integrating with the GRZ’s wider goals and initiatives related to rural development,

social protection, and decentralization. The approach includes synergistic and coordinated efforts at all levels, from national to local, with broad engagement of stakeholders.

Figure 4
RELEVANCE DIMENSION OF TRANSFORMATIONAL CHANGE: STAGE OF ADVANCEMENT



Relevance is not only reflected in design, however. It is also reflected in the mid-course project adjustments based on experience and in response to changing circumstances. An overarching strength of the PPCR work in Zambia has been recognizing challenges and adapting accordingly, even when this entails acknowledging limitations and weaknesses and making sometimes difficult course corrections.

An example of this includes a **change from the original SPCR plan for private sector support**. The initial SPCR included a US\$15 million project from the IFC for private sector support. A series of scoping and bankability assessments were undertaken over a three-year period to try to identify potential private sector engagements, particularly for mobile phone platforms and weather index insurance. Ultimately, IFC felt that there were no suitable investments. In

response, IFC, together with the GRZ and the World Bank, proposed and received an approval from the PPCR governing body³⁶ to reallocate the PPCR funds to support the World Bank-implemented SCReBS project. A lesson from this experience is the need to consider more proactive and creative ways to engage the private sector in resilience work across relevant sectors and themes (such as agricultural value chains), and at various stages of program and project development.

SYSTEMIC CHANGE

There have been significant advancements in systemic change by raising wider awareness and increasing skills for mainstreaming climate change in institutions and actions at national and subnational levels, laying the groundwork for national and local governments and communities to respond to climate change-related challenges in an integrated way. These advancements are explained first at the national level and then at the subnational level.

Figure 5
SYSTEMIC CHANGE DIMENSION OF TRANSFORMATIONAL CHANGE:
STAGE OF ADVANCEMENT



NATIONAL LEVEL MAINSTREAMING

At the national level, support from PPCR helped the GRZ strengthen its institutional capacity to coordinate and mainstream climate resilience across government, increasing climate resilience integration, funding and actions across sectors. When PPCR began to engage in Zambia in 2010, there was a growing national consensus that addressing climate change would require stronger coordination among different government ministries, agencies, and departments responsible for climate change adaptation and disaster risk management.³⁷ However, the existing climate change facilitation unit was located in the Ministry of Tourism, Environment, and

Natural Resources (MTENR) and lacked convening powers for inter-ministerial coordination.

PPCR helped to address this weakness by working with GRZ counterparts to set up an Interim Climate Change Secretariat (ICCS) in the Ministry of National Development Planning (MNDP), a ministry with more convening power.³⁸ The ICCS was formally established by the Secretary to the Cabinet in October 2013.³⁹ PPCR provided financial support (e.g., for personnel, equipment) to the ICCS, as well as capacity building.

Establishing the ICCS in the MNDP created the opportunity to integrate the national development and climate change agendas, which were previously separated.⁴⁰ Indeed, **with PPCR support and ICCS leadership, the GRZ mainstreamed climate resilience at the national level into its Sixth National Development Plan (NDP) (2011-2016) and Seventh NDP (2017-2021).**⁴¹ Technical and facilitation support from the PPCR helped the ICCS identify and integrate climate principles into the most vulnerable sectors in the Sixth NDP; the Seventh NDP mainstreams climate change across all relevant sectors and strategies.⁴² This integration provided a critical mandate for GRZ ministries to allocate staff and budgetary resources to climate resilient programs.⁴³ The ICCS also created thematic platforms on climate information, climate resilient agriculture, and climate resilient infrastructure, which are still continuing as of 2020.⁴⁴ After the adoption of the 2016 National Climate Change Policy, ICCS responsibilities were partitioned and transferred to three different Ministries based on each Ministry's respective mandate;⁴⁵ however, the 2016 policy retains the MNDP's role in mainstreaming climate change into development—as was vitalized through PPCR support.

Mainstreaming climate change into the NDPs contributed to the fact that most sectors and ministries now have budget allocations to help address climate-related issues (see next section on Scale), as evidenced by a climate budget tracking tool developed with PPCR support. Climate budget tracking is recognized as a key step to help countries mainstream climate change in public financial management and meet reporting obligations under the United Nations Framework Convention on Climate Change (UNFCCC).⁴⁶

A climate change screening tool—recently developed with PPCR support—also intends to enhance the sectoral policy response to climate risks. The tool assesses sectoral policies for alignment with both the development and climate change policy frameworks, as well as for identification of climate change risk and vulnerabilities. It was adopted by MNDP in 2019, and the Government’s new Urban Development Policy is being screened using this tool to ensure climate compatibility. To build further capacity for use of the screening tool, a Trainer of Trainers session was also held for the different sectors.

Activities to improve **climate information services** also aimed at instigating systemic changes relating to Zambia’s ability to plan and target resilience activities based on the latest data. However, these activities experienced delay because the provision of climate information services was a relatively new intervention, requiring substantial time and capacity for staff to adjust.⁴⁷ Recent progress has been made, however, in further developing this important component, including increased engagement of the country’s hydro-met department in the planning and design of investments.

SUBNATIONAL LEVEL MAINSTREAMING

At the subnational level, climate considerations were mainstreamed into local development planning and actions, supporting the country’s wider decentralization, rural development, and social protection efforts. As of 2019, 28 district-level Integrated Development Plans (IDPs) were mainstreamed with PPCR support—representing nearly a quarter of the 118 districts in Zambia.⁴⁸ Both of the PPCR projects provided facilitation and technical support to mainstream climate change into District IDPs. This included capacity building of District planners and other sector officers to conduct climate risk assessments and to plan and implement local adaptation interventions, which included climate-resilient infrastructure such as roads and canals as well as community sub-grants for smaller projects.

The PPCR-supported model of participatory, community-level sub-grants for adaptation has been particularly successful for addressing local needs. PPCR projects engaged Community Risk Adaptation

Facilitators (CRAFs) to reach out to local communities to facilitate Gender and Climate Risk Assessments. CRAFs also helped community members identify, propose, and implement sub-grants to increase local resilience based on the completed risk assessments. The sub-grants include support for improved rural livelihood options such as vegetable gardens and other types of climate-smart agriculture (see example in Box 3), solar boreholes for increased water access, gardens and livestock, and basket weaving.

Box 3

EXAMPLE SUB-GRANT: THE NAKONGA MUSHROOM PROJECT

The Nakonga Mushroom Project in Sefula, Mongu District, approved in 2017, contributed US\$7,000 (ZMK83,000) for the purchase of mushroom spores (seeds), a refrigerator, a solar panel, and a production building. The mushrooms are grown in a medium of sterilized (cooked) rice straw and/or elephant grass, both locally available.

Members of the community group, working closely with the NGO Mumwa (hired as a CRAF), are learning how to grow mushrooms, a crop specifically chosen because it does not rely on rainfall. Sales of the mushrooms following the 21-day cycle have been good, and the local school has purchased a considerable portion for their student-feeding program.

The community group is exploring how to add value to the mushrooms through preservation and packaging, and how to support sustainability with reliable year-round markets and improved infrastructure. It will take time for the project to provide a reliable alternative source of income to the 120 community beneficiaries, including 67 women and 53 men, but expectations are high. Understanding climate change impacts has increased the community’s determination to develop a sustainable alternative livelihood based in farming.

Source: Global Delivery Initiative (GDI) 2018

Many beneficiaries are poor rural farmers, who often suffer climate-related losses, and other vulnerable groups depending on natural resources for their livelihoods. Field survey work suggests that the sub-grants have been successful in increasing the capacity and resilience of these beneficiaries in the face of climate shocks. For example, **PPCR has supported increased agricultural value added per worker and helped agricultural farmers mitigate negative impacts of droughts on productivity.**⁴⁹ The large majority of beneficiaries are females. It is mandatory for every beneficiary group to ensure that the project management committee for each sub-grant has 50 percent female representation. This has also facilitated increased involvement of other women in the communities to be actively involved and part of the beneficiary groups.

A key challenge encountered in subnational mainstreaming efforts was the **high turnover and low capacity of District-level staff, and the need to improve local implementation efforts.**⁵⁰ In response, the GRZ engaged Participatory Adaption Trainees, who were placed in each District Council and worked in close collaboration with a revamped set of CRAFs. This helped address the challenge of high District-level staff turnover and ensured knowledge transfer to new District-level staff. The participatory and local needs-driven approach was new and required significant time for sensitization and training of both the beneficiaries and implementation facilitators. Adaptive measures improved implementation, supported by engaging new NGO partners, updating project manuals, and developing more detailed gender-sensitive vulnerability assessment tools. The revamped CRAFs have ensured community contributions and ownership, and supported continuity.

A similar challenge—and response—for the SCRiKA project relates to improving local capacity and **increasing the speed of implementation.** A Mid-Term Review of the project conducted in early 2019 found that, while project implementation and gains were notable, service delivery was slower than expected during the first half of project implementation, owing in part to capacity- and local bureaucracy-related constraints. As a result, the SCRiKA project developed a plan to improve coordination with local actors over

the latter half of the project and expedite financing of sub-projects already in the pipeline.⁵¹

SCALE

With PPCR support, Zambia has increased domestic and foreign funding for climate resilience, and successfully demonstrated and scaled a participatory model for community-based adaptation. A budget tracking tool developed with PPCR funding indicates that there has been a significant annual increase in national budget allocations to and expenditures on climate resilience programs for climate vulnerable sectors. In 2018, the GRZ allocated US\$35.6 million (ZMK471.9 million) towards climate change interventions compared to just over US\$407,000 (ZMK5.399 million) in 2015, reflecting a **leap in domestic funding commitments.** There is also anecdotal information that the private sector may be engaging in more financing and trading in solar lighting, solar-powered boreholes, biogas plants, and other climate-related goods and services.⁵²

Figure 6
SCALE DIMENSION OF TRANSFORMATIONAL CHANGE: STAGE OF ADVANCEMENT



Strengthening Zambia’s institutional coordination has, according to interviews with development partners, also helped **empower the country to access climate change funds from multiple sources.**⁵³

Although supported by PPCR, the ICCS managed not only PPCR funds, but also over US\$200 million in development partner climate finance from United Nations and bilateral agencies. The ICCS also oversaw the development of new project proposals and explored new sources of climate finance to scale up its programs (e.g., with the World Bank and Bio-Carbon Fund, through the Zambia Integrated Forest Landscape Project (\$32.8million);⁵⁴ the Green Climate Fund, including development of a US\$32 million

climate-resilient agriculture project; and through a new \$100 million World Bank-financed project described below).

In a sign of further scaling of mainstreaming efforts, **recent national guidance clarified that all Provincial and District IDPs are required to mainstream climate change and make plans to reduce climate change risks.**⁵⁵ With PPCR funding, guidelines for mainstreaming climate considerations into IDPs⁵⁶ were adopted in January 2019 by the Ministry of Local Government. The main constraint for scaling up the mainstreaming of climate change into all IDPs⁵⁷ nationwide is the limited domestic budget available for these efforts.

The PPCR-piloted model for community adaptation and resilient infrastructure for sustainable livelihoods is reaching scale in targeted regions. **Over 2,000 community sub-grants have now been approved and initiated across 28 districts⁵⁸ in Western and Southern Zambia, along with the completion of key climate-resilient roads and canals.** In the Barotse sub-basin, more than 1,340 participatory adaptation sub-grants have been approved, including 1,204 at the community level, 42 at the ward level, 19 at the district level, and 81 for individual champions (of which 29 are women). In the Kafue sub-basin, 696 community sub-grants and 8 enterprise sub-grants have been financed.⁵⁹ Taken together, more **than 730,000 people⁶⁰ in the Barotse and Kafue sub-basins are directly benefitting from PPCR support.** The GRZ is deepening its engagement in 17 districts in the Barotse sub-basin through additional PPCR finance, using enterprise sub-grants and the CRAF process.

Also at the local level, **non-beneficiaries of PPCR interventions are reportedly beginning to adopt resilient solutions demonstrated by their neighbours,** in areas such as irrigation and fish farming.⁶¹ People familiar with local developments have relayed how PPCR interventions are now being replicated outside of project bounds, such as family members in a non-intervention village replicating what relatives in a PPCR-funded village are doing. These anecdotal stories have yet to be validated, but are promising.

The community adaptation model is now being replicated in additional regions as a proven approach to decentralized finance for locally-driven rural resilience. GRZ is expanding the model to another 16 districts in Northern Zambia through the US\$100 million World Bank project on Transforming Landscapes for Resilience and Development (TRALARD) in the Northern region, approved by the World Bank Board of Directors in May 2019. TRALARD will use the CRAF process piloted through the PPCR to support the scaling up of climate risk planning, prioritization of livelihood adaptation investments, and preparation, implementation, and monitoring of small grants proposals at the community level to support and ensure sustainable use and management of natural resources. TRALARD also plans to undertake 104 small climate resilient infrastructure projects in 16 of the most vulnerable districts—including canal clearing as piloted under the PPCR—benefitting 1.2 million people directly and indirectly.⁶²



Photo: Communities grow climate-resilient crops such as tomatoes and maize in the Kafue Sub-basin.

SUSTAINABILITY

The sustainability of these efforts is not yet secured and is a priority for the GRZ going forward. A major remaining challenge is the limited domestic budget for climate resilient interventions, despite the scale up of domestic funding in response to increased impacts of climate change across the country. Although national policy now requires climate change to be mainstreamed into sub-national development plans, sufficient budgets are not readily available for local governments to support such efforts, nor are local governments sufficiently capacitated. Building sustained capacity with District officers for supporting adaptation has also faced challenges. Ultimately, sustainability will also require long-term success of community projects, private sector uptake, and realizing increased food and livelihood security in light of climate variability. As in many other countries, sustainability of transformational change to support climate resilience is in the early stages and will require continued investment and commitment.

project work is still ongoing, especially on climate information and engagement of private sector in improving access to markets and development of enterprises. Separately, additional finance was approved in 2018 to expand the private-sector-focused programming among producer groups in the Barotse sub-basin to help producers move from subsistence to market-level production.⁶³

Implementation of SCRiKA's work is also continuing to progress, with about half of the community projects (such as solar-run boreholes, livestock management, and resilient farming) completed, many district development plans mainstreamed for climate resilience, and the entire length of the 247-kilometer road constructed. In 2018, the project was extended for an additional three years to facilitate completion of the road contract and support the funding of soft adaptation sub-grants in the areas surrounding the infrastructure projects to further enhance the resilience of the communities. As noted, there are efforts to improve local capacity and increase the speed of implementation. SCRiKA aims to increase the number of micro-projects supported and the total number of communities reached from 696 (approved) to a total projected target of 1,150.⁶⁴

Figure 7
SUSTAINABILITY DIMENSION OF TRANSFORMATIONAL CHANGE:
 STAGE OF ADVANCEMENT



STATUS AS OF EARLY 2020

All three PPCR projects (PPCR Phase I, SCReBS, and SCRiKA) enabled continuous support to the GRZ for nearly a decade. As of 2020, **much of the SCReBS project work has been completed**, including a social marketing campaign and mainstreaming of resilience into development plans. Substantial progress on nearly all the adaptation sub-grants and the civil works on canals has also been completed. Other



Reflections and Looking Ahead

The selection of Zambia as a PPCR pilot country offered an opportunity to support the GRZ's commitment to mainstreaming climate change resilience into development efforts, particularly in vulnerable rural areas and in line with wider decentralization and social protection agendas. Program design was strongly aligned with the broader GRZ agenda of connecting national policies on climate change to the local context, supporting collaboration between national and local governments, NGOs, and community groups—a change from the traditional top-down approach.⁶⁵ Implementation has not always gone as originally envisioned or hoped—as is often the case with new and experimental approaches. However, this has been a “learning by doing” experience, with adjustments made along the way to address challenges and adapt as needed.

Overall, the PPCR approach in Zambia, including both design and the ability to adjust based on experience and learning, is highly relevant to transformational change. This has led to substantial progress in terms of systemic change, followed by scaling—a natural sequential progression. Sustainability has been the hardest dimension to advance thus far. The groundwork is still being laid for this long-term dimension. Constraints, including domestic resources, uptake beyond project boundaries, and capacity, require time to resolve. These same

challenges to sustainability are present around the globe. On the whole, Zambia's progress is substantial and indeed exceptional, reflecting leadership, commitment, action, and progress toward lasting climate resilience at all levels, from local to national.

A high-level workshop held in November 2019 testifies to this progress and ongoing momentum. The workshop, entitled “Resilience Ready – Zambia's Vision 2030”, was a collaborative effort between GRZ, CIF, the AfDB, and the World Bank. It responded to a request by the MNDP to bring together diverse stakeholders to share PPCR results and lessons, with specific focus on transformational change and how to scale up proven approaches and address unmet challenges. Over 200 participants attended the workshop including four Ministers, over 20 Members of Parliament, and many other senior officials.

Participants discussed a draft of this case study and actions needed to further progress toward transformational change for climate resilience, particularly along the dimensions of scale and sustainability. They also underscored the importance of systemic change, particularly resilience mainstreaming, cross-ministerial collaboration and learning, continued stakeholder engagement, and community-driven participatory approaches. Throughout the workshop, the need to scale up shared successes and ensure their

sustainability in the medium and long term were brought up as key challenges. The workshop catalyzed conversations on how the private sector can more effectively engage in climate resilience efforts, which will also help to address the largest barrier to sustainability: financing.

Zambia will continue to work toward a climate-resilient future, while also striving to meet its Nationally Determined Contributions (NDCs) in support of the Paris Agreement of the UNFCCC. Zambia, with support from its partners, has advanced the kind of systems change needed across the world, especially for the most climate-vulnerable populations. This is especially important in light of the COVID-19 crisis and the urgency of food security and resilience in the face of an unprecedented pandemic. Zambia will undoubtedly continue to serve as a leader, champion of change, and example from which many others can learn in striving for a more prosperous, climate-resilient future.



Notes

- 1 The two studies were an [Independent Evaluation](#) of transformational change in the CIF and an [Evidence Synthesis](#) of transformational change in the CIF. There was also a facilitated [Learning Partnership](#) with CIF and other climate finance stakeholders.
- 2 World Bank, 2020b
- 3 WFP, 2019
- 4 World Bank, 2013
- 5 GCF, 2018
- 6 World Bank, 2020a
- 7 World Bank, 2020b
- 8 World Bank, 2020a
- 9 World Bank, 2020b
- 10 GCF, 2018a
- 11 GRZ, 2016
- 12 WFP, 2019
- 13 Mulenga, et al., 2020
- 14 GRZ, 2010
- 15 GRZ, 2010
- 16 World Bank, 2020b
- 17 Phiri et al., 2013
- 18 CIF, 2011
- 19 CIF, 2011
- 20 CIF, 2011
- 21 The LDCF project "Adaptation of the effects of drought in the context of climate change in agro-ecological region I of Zambia" was implemented by the United Nations Development Programme. Zambia does not have any approved projects through the Adaptation Fund.
- 22 CIF, 2011
- 23 GRZ, 2014
- 24 GRZ, 2014
- 25 GRZ, 2014
- 26 GRZ, 2014
- 27 World Bank, 2013
- 28 The SPCR identified three strategic program investment components: (1) participatory adaptation; (2) climate resilient infrastructure; and (3) strategic program support.
- 29 World Bank, 2013
- 30 Kyle et al., 2018
- 31 GRZ, 2011
- 32 The SCReBS project has three main components: (1) Strategic national program support; (2) Support to participatory adaptation in the Barotse sub-basin, including through mainstreaming climate resilience into district and ward-level development plans; and (3) Pilot community-based participatory adaptation.
- 33 The original SPCR also included a US\$15 million project with the International Finance Corporation (IFC) for private sector support to the Kafue and Barotse sub-basins, which was reallocated, as discussed in the case.
- 34 17 rural districts in the Barotse sub-basin (through SCReBS), and 11 rural districts in the Kafue sub-basin (through SCRiKA).
- 35 Savage et al., 2019
- 36 The PPCR Sub Committee of the CIF Strategic Climate Fund Trust Fund Committee.
- 37 GRZ, 2009; 2010
- 38 At the time, the ICCS was set up in the Ministry of Finance and National Planning (MFNP), but a government restructuring split these ministries, and the ICCS moved with the MNDP. Source: World Bank, 2015.
- 39 With the mandate to coordinate "ongoing and future programmes, plans, policies and projects on climate change, including adaptation, low carbon development, and climate-related disaster risk management." Source: World Bank, 2015.
- 40 van Rooji, 2014
- 41 2011-2015 and 2016-2020, respectively.
- 42 Climate change adaptation, mitigation, and disaster risk management principles were mainstreamed into priority programs in Crops, Livestock, Fisheries, Natural Resources,

- Transport, Energy, Information and Communications Technology, Housing, Water Supply and Sanitation, Mining, Tourism, and Local Government and Decentralization. They also appear preeminently on the Environment and Disaster Risk Management cross-cutting themes.
- 43 World Bank, 2015
- 44 Author interviews with GRZ (2017) and development partners (2019)
- 45 The three ministries are: Ministry of National Development Planning (for overall coordination of national climate change response), Ministry of Finance (to provide policy guidance on resource mobilization for climate change programs and projects), and Ministry of Lands and Natural Resources (to oversee the implementation of policy measures).
- 46 Bain et al., 2019
- 47 World Bank, 2015
- 48 14 from SReBS (World Bank, 2019a) and 11 from SCRiKA (GRZ, 2019). A few IDPs were also mainstreamed at the ward-level (7).
- 49 Chonabayashi et al., 2019
- 50 Van Mossel, 2018
- 51 CIF, 2019
- 52 AfDB personal communication, April 2020
- 53 Olatunji, 2019; Author interviews with development partners
- 54 World Bank, 2017
- 55 There is a separate GCF-funded mitigation investment called the Zambia Renewable Energy Financing Framework with US\$52.5 million in GCF funding. Source: GCF, 2018b
- 56 Van Mossel, 2018
- 57 As part of the Local Government Guidelines for Integrated Development Planning.
- 58 14 for the Barotse; 9 for the Kafue, with three wards selected from each district.
- 59 GRZ, 2019
- 60 SCRiKA total = 225,427; SReBS total = 505,075 as of end of 2019. Source: GRZ (personal communication)
- 61 Author interviews with GRZ, 2018, and development partners, 2019
- 62 World Bank, 2019b
- 63 The additional finance has three main activities: (1) Identify challenges, risks, and opportunities for producers to transform livelihoods into market-based enterprises (e.g., through value chain studies); (2) Develop service delivery system for information platform for producer groups and other users; and (3) Support livelihood diversification/enterprises linked to strong markets.
- 64 Climate Funds Update, 2019
- 65 Van Mossel, 2018

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Annex I.

Zambia Resilience Milestones

Since Zambia formally expressed interest in being a CIF Pilot Program for Climate Resilience (PPCR) country, Zambia has made tremendous strides in building resilience. The events listed below represent some of the most significant events related to increasing climate resilience in Zambia. However, this list is not meant to be exhaustive, nor does it demonstrate causality between PPCR milestones and other events. For a visual timeline, see Figure 2.

YEAR	MILESTONE	TYPE OF MILESTONE
2004	Preparation of the National Adaptation Programme of Action (NAPA) begins	Major policy/political event/development
2004	Least Developed Countries Fund (LDCF) project to support NAPA funded	Other (non-CIF/MDB) funder investment/event
2006	Zambia's Vision 2030 released	Major policy/political event/development
2007	NAPA completed	Major policy/political event/development
2009	Zambia formally expresses interest in being a CIF Pilot Program for Climate Resilience (PPCR) pilot country	Country engagement with CIF prior to Investment Plan
2009	LDCF project supporting adaptation to drought and climate change funded	Other (non-CIF/MDB) funder investment/event
2010	PPCR Phase I grant approved	Country engagement with CIF prior to Investment Plan
2010	National Climate Change Response Strategy approved	Major policy/political event/development
2010	Sixth National Development Plan (2011-2016) approved	Major policy/political event/development
2011	Zambia's PPCR Strategic Program for Climate Resilience (SPCR) approved	CIF Investment Plan/SCPR approval
2012	LDCF project to strengthen climate information and early warning systems funded	Other (non-CIF/MDB funder) investment/event
2013	PPCR Strengthening Climate Resilience in the Barotse Sub-Basin (SCReBS) project approved	CIF Project approval

YEAR	MILESTONE	TYPE OF MILESTONE
2013	PPCR Strengthening Climate Resilience in the Kafue Sub-Basin (SCRiKA) project approved	CIF Project approval
2013	PPCR Phase I grant completed (closed)	CIF Project implementation-end
2013	Interim Climate Change Secretariat (ICCS) established	Major policy/political event/development
2013	LDCF project on climate-resilient livestock management funded	Other (non-CIF/MDB) funder investment/event
2013	LDCF project on community-based forest regeneration funded	Other (non-CIF/MDB) funder investment/event
2014	Zambia National Adaptation Plan (NAP) process started	Other (non-CIF/MDB) funder investment/event
2015	Seventh National Development Plan (2017-2021) approved	Major policy/political event/development
2016	National Climate Change Policy approved	Major policy/political event/development
2016	ICCS dissolved	Major policy/political event/development
2018	\$35.6 million allocated to climate change interventions	Major policy/political event/development
2018	Green Climate Fund project to strengthen climate resilience of agricultural livelihoods funded	Other (non-CIF/MDB) funder investment/event
2018	Additional finance for PPCR SCReBS project approved	CIF Project approval
2019	Ministry of National Development Planning adopts climate change screening tool	Major policy/political event/development
2019	Ministry of Local Government adopts guidelines for mainstreaming climate considerations into Integrated Development Plans	Major policy/political event/development
2019	World Bank Transforming Landscapes for Resilience and Development (TRALARD) approved	MDB (non-CIF) investment/event
2019	Zambia Resilience Workshop held	Country engagement with CIF
2021	Planned closing date for SCRiKA project	CIF Project implementation-end
2022	Planned closing date for SCReBS project	CIF Project implementation-end

