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Country programmes and related matters


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I. Situation analysis

1. Zambia is a least developed landlocked country where 46 per cent of the population lives in extreme poverty. It achieved independence in 1964. Post-colonial policy responses were driven by concerns for social justice but falling commodity prices and regional conflicts resulted in a long period of economic decline. Market-oriented reforms in the 1990s partly contributed to rates of economic growth of about 4.5 per cent per annum. Nevertheless, growth with equity remains a major need if Zambia is to make sustainable progress in reducing human poverty.

2. The Government includes an executive branch with the president as chief of State and head of government. The legislative branch comprises a national assembly of a unicameral parliamentary model. Presidents and parliamentarians are elected for a five-year term. The judicial branch consists of a supreme court and high courts. Civil society and the media are relatively active; radio is the main medium of communication, although it is expected that mobile phones will broaden public and private participation across the country. Church organizations are important in public life and have the potential to contribute to inclusive national development solutions, as do traditional chiefs with their outreach and influence.

3. Recent public-sector reforms inspired by considerations for efficiency yielded some unintended long-term consequences. These include the rolling back of extant state capacity to plan and coordinate a nationally owned development agenda. The treatment of fiscal deficits as a constraint rather than as a policy variable meant that Zambia was denied policy choices that might have enabled speedier progress towards international development targets. The effects cut across society, with especially negative consequences for women, children, and other vulnerable groups.

4. Capacity erosion resulting from externally limited public policy has been compounded by HIV/AIDS. The prevalence rate is currently about 16 per cent and poses unprecedented threats. Burdens increasingly fall on women and children (the official prevalence rate among women was between 18 and 20 per cent in 2005). The epidemic has produced more than 1 million orphans in a country of 11.3 million people. This makes HIV/AIDS a generational challenge ravaging social, economic, civil, and political life, and the natural environment.

5. Zambia possesses vast wealth in natural and mineral resources that have contributed immensely to its overall economy. Yet today the country faces loss of biodiversity, soil erosion, water pollution, and poor disposal of solid waste, including hazardous waste and industrial discharge. This is due in part to past policies and practices that paid insufficient attention to environmental considerations. It also stems from limited capacity to coordinate subsector policies, and weak management and enforcement.

6. Domestic markets are small, and consumption is low. Supply chains are underexplored but their development offers potential for domestic wealth creation. At the macrolevel, prospects for sustained economic growth exist in regional economic integration and in diversifying growth vectors (include agriculture, mining, and tourism). Mobilization of domestic resources is essential for nationally owned development; diversification of the sources of development finance can expand fiscal space and therefore policy options, enabling Zambia to pursue its development goals more effectively. This will require domestic savings and employment, which in turn might help reduce aid dependency.

7. Zambia ranks 166 out of 177 countries on the human development index. Factoring in inequality of achievement between women and men provides a gender-adjusted human development index where Zambia ranks 130 in the 140 countries for which data are available. The national Millennium Development Goals (MDG) report for 2005 reveals that Zambia has the potential to achieve some but not all of the targets. Two targets—a reduction in maternal mortality and reversing the loss of environmental resources—are considered unlikely to be achieved, based on current trends.

8. Zambia reached heavily indebted poor country status in 2005 and is eligible for the multilateral debt relief initiative. The fifth national development plan, for 2006-2010, reaffirms the role of planning in the development process. During 2006, cooperating partners, including the United Nations country team, are establishing their respective roles and response through the joint assistance strategy for Zambia. The present document outlines UNDP-specific support to this harmonized response and, in so doing, draws
heavily on the “integrated package of services to support MDG-based national strategies.”

II. Past cooperation and lessons learned

9. The following paragraphs summarize findings from the midterm review conducted in 2004, annual results reports between 2002 and 2005, individual evaluations, national execution audits, and internal audits.

A. Addressing overall strategic considerations

10. Experiences during 2002–2006 further confirmed that development initiatives work better with the ownership, understanding, and leadership of national stakeholders. This was evident in the cases of support to the constitutional reform commission, development of the national environment policy, and in the positive way the elections trust fund has performed to date with UNDP support. This insight will inform the modus operandi of UNDP support during the new programme.

11. Support under the second cooperation framework in general showed good substantive alignment to national priorities, although more attention is required to ensure better institutional or procedural alignment to national processes. This was evident in the operationalization of a decentralized institutional framework for the multisectoral response to HIV/AIDS. In response, a United Nations joint programme on HIV/AIDS will adopt practices, where practical, that are in line with relevant indicators under the Paris Declaration for Aid Effectiveness.

B. Improving national capacities as priorities evolve

12. Constraints on national capacity, rather than national commitment, inhibit the quality of development results. The compartmentalization of aid-driven responses into sectors, subsectors, or by theme has also, in the past, aggravated the problem. In response, UNDP will promote capacity development as the unifying theme of United Nations country team and country programme support, and invest in supporting enhanced coordination of the development effort.

13. Related to the difficulties described above, UNDP support was at times constrained by inadequate scenario analysis, substantive and financial risk assessments, and contingency planning. Results-orientation had only partly influenced the practices and processes of the country office and by extension the initiatives supported by UNDP. In response, UNDP will collaborate with the Government and implementing partners to invest in more substantial preparation for its programme of support, involving improved analytical capabilities for the country office, and more explicit results-orientation.

14. Institutional and individual capacity constraints of a technical variety were observed during 2002–2006. These include capacities for programme cycle management, including often limited capacities for financial management on the part of implementing partners. In response, the Government and UNDP will invest in the professionalization of programme cycle management as well as conducting financial management capacity assessments to manage financial risk and enhance accountability for results and resources.

15. An effective response to these lessons will require flexibility and adroit positioning from the country office, with support from units based at headquarters, the regional service centre, and other elements of the UNDP group. The rapid changes in the way aid is being managed in Zambia poses challenges to the current effectiveness of all cooperating partners, but promises tremendous opportunity for the United Nations country team, including UNDP, to add value if repositioning is successfully undertaken.

C. Deepening relationships with all stakeholders

16. The review indicated that the Government and UNDP enjoy a strong relationship. In some areas more attention could be given to deepening partnerships with civil society—a recognized driver of development effectiveness under the multi-year funding framework (MYFF) for 2004–2007. While both government and cooperating partners appear to respect the country office for its impartiality, levels of efficiency could be improved. Some cooperating partners believe also that more strategic engagement from UNDP would enable it to better fulfil its role of ‘honest broker’. In response, UNDP in Zambia will realign its structure and processes so as to engage effectively with

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1 http://www.undp.org/ips/IPS-final-dec05.pdf The integrated package was developed as the UNDP response to the Millennium Summit in September 2005.

2 http://www1.worldbank.org/harmonization/Paris/FINALPARISDECLARATION.pdf

cooperating partners, civil society organizations, and the private sector.

III. Proposed programme

17. The specific content of the country programme will depend on the role of the United Nations country team as part of the joint assistance strategy for Zambia (see section IV below), although certain principles and elements concerning UNDP support are already clear.

18. Programming within a single conceptual framework and as part of a coherent United Nations system. Human and natural environments are mutually dependent. The country programme for 2007-2010 will contribute to the United Nations development assistance framework (UNDAF) for the same period as part of the development, environment and humanitarian support to Zambia provided by the United Nations system. UNDP support will promote human development principles within a rights-based approach that explicitly addresses the promotion of gender equality.

19. Developing capacities as the unifying theme of support. Societal, institutional, and individual capacities make the exercise of national ownership possible. Based on the “integrated packages of services,” UNDP will respond to national capacity development needs that enable national counterparts to: (a) diagnose needs to help in the achievement of national development priorities, including the MDGs; (b) identify the content of these development priorities; (c) deliver on national development commitments at supranational, national, and subnational levels; and (d) strengthen mutual accountability for results. This focus on capacity development takes into view the gradual movement towards direct budget support. The role of UNDP–as a technical rather than a funding agency–is to support the development of national capacities to advocate, coordinate, and manage development processes rather than to make direct financial contributions to them.

20. Recognizing that globalized challenges require globalization. Development effectiveness in Zambia requires national counterparts to function not only at subnational and national levels but also at supranational levels. At the supranational level, the programme will interface with the work of the African Union/New Partnership for African Development, including the African Peer Review Mechanism (APRM), and other platforms that bring Zambia into a web of rights and obligations in subregional and regional domains. Beyond the Africa region, UNDP will mobilize its network of country offices, the Special Unit for South-South Cooperation, the United Nations Conference on Trade and Development, and cooperating partners in Zambia to build on the rapidly growing potential of South-South cooperation in the areas of HIV/AIDS, governance, and environmental management.

A. Responding to HIV/AIDS

21. UNDAF outcome 1. By 2010, the multisectoral response to HIV/AIDS at national, provincial, and district levels scaled up.

22. Responding as part of a United Nations joint programme. UNDP support will be based on the Global Task Team division of labour for multilateral responses to HIV/AIDS and is articulated through a joint programme of support on AIDS for 2007-2010. This joint programme will support the ‘three ones’: one national AIDS council, one strategic framework and one budget. It is also a practical response to the December 2005 request of the United Nations Secretary-General to deliver ‘one United Nations team’ in the fight against HIV/AIDS.4

23. UNDP will support capacities to bring direction, coherence and sound costing to multisectoral responses, involving improved strategic planning, partnering and coordination, and monitoring and evaluation. Efforts will be characterized by a rights-based orientation and include the protection and promotion of gender equality. The viability of these efforts will depend on integration of the work of the National AIDS Council with the plan for public service management reform, and the medium-term expenditure framework, thus bringing AIDS-related considerations into future public-sector reviews, reform, and outlay.

24. Providing cross-support to the United Nations system in capacity development. As the United Nations country team assists to help increase people’s access to treatment, care, and support–an area of the joint programme to be convened by the World Health Organization–UNDP will contribute to strengthening the capacities for procurement and logistics.

management, roll-out of treatment and care services, and reform of trade-related intellectual property rights. And in strengthening institutional capacity to mitigate the socio-economic impact of HIV/AIDS (with responses to be convened by the World Bank), UNDP will develop capacity within central institutions to address impacts, involving people living with HIV/AIDS; capacity development for the realization of international commitments to promote and protect human rights; the promotion of macro-economic frameworks that factor in HIV/AIDS; capacity development for the socio-economic empowerment of local communities, and for the empowerment of people living with HIV/AIDS.

B. Fostering strategic governance

25. UNDAF outcome 2. By 2010, institutions, systems, and processes in support of national development priorities strengthened.

26. Facilitating national coordination. UNDP support will develop national capacities to coordinate national efforts and international support in the area of governance, while other partners might seek to play a prominent role supporting particular aspects of the national governance agenda. Steps towards clarifying this potential role are under way and will continue to evolve based on national demand. The establishment of a development assistance database, which UNDP now supports in 18 countries, is instrumental in facilitating national oversight of the aid discourse and in empowering a broad base of national stakeholders with information on the quantity and content of development assistance entering the country.

27. Scenario-building and comparative policy analysis. UNDP support will help develop capacity for strategic forecasting, empowering policy makers and other national stakeholders with tools to anticipate the future implications of current policy choices and contemporary trends at the local, national, regional, and global levels. The role of applied policy diagnostics and comparative analysis will be enhanced, either by drawing on the combined resources of the United Nations system, or by sourcing relevant expertise, including from the global South, on a rotating basis. UNDP support will further augment the actual production of national human development reports per se with practical strategies that ensure that findings are used to stimulate human development-based policy outcomes. UNDP will continue to support the Government in monitoring progress towards the MDGs throughout the implementation of the fifth national development plan and seek to use this role to both advocate and analyse policy options to optimize progress towards the Goals.

28. Responding to specific instances of country demand. UNDP stands ready to provide support to Zambia at important moments in national life where it is uniquely positioned to assist. This is likely to involve support to the Election Commission of Zambia to strengthen electoral processes, support to the constituent assembly, and support to the institutionalization of human rights in Zambia, and giving prominence to the rights of women.

C. Environmentally sustainable development

29. UNDAF priority. Environmentally sustainable development is a cross-cutting priority under UNDAF 2007-2010.

30. The social, economic, cultural, civil, and political costs of environmental decay are apparent in urban and rural Zambia. The country programme recognizes that the quality of human development is tied to the state of the natural environment, and environmental considerations will be factored into all work supported by UNDP during 2007-2010. To this end, UNDP will encourage environmental considerations in all public dialogue and policies with which its support is associated.

31. Supporting policy and demonstration. At the request of the Government, UNDP will play a major role in environmental support, including capacity development for the localization of international commitments. UNDP will work with the Global Environment Facility and the United Nations Industrial Development Organization to draw on comparative experiences, especially those in the global South that have progressed in work on biodiversity conservation, land management, and renewable energy. UNDP will promote policy alternatives for creating fiscal space and fiscal incentives for growth with conservation and adaptation to climate change. These are cross-cutting imperatives for sustainable development in general, and UNDAF outcomes in particular.

D. Catalytic initiatives

32. Incubating scalable innovations. UNDP support will seek to innovate in areas where it has a global mandate, such as to explore practical solutions for inclusive wealth generation through the growing sustainable business initiative. This particular initiative, which is now winning positive feedback for its practical value, will be applied across the country
programme to ensure that both market-based and public-sector solutions to development challenges are explored. UNDP will concurrently seek to advocate for the incorporation of such catalytic initiatives into broader harmonized efforts if and when they demonstrate scalable potential.

33. **Turnkey initiatives.** Within the context of MYFF 2004-2007 and taking into account emerging priorities as determined by country demand, the country programme will support turnkey initiatives that offer strategic value to Zambia. Such initiatives will be assessed on a case-by-case basis and will subscribe to the role identified for UNDP, as part of the United Nations country team, under the terms of the joint assistance strategy for Zambia.

**IV. Cooperation strategy**

34. Since the Rome Declaration on Harmonization in 2003 and the Paris Declaration on Aid Effectiveness in 2005, Zambia has embarked on a process of harmonizing and aligning aid modalities to national development priorities. The commitment and support of several cooperating partners in advancing harmonization and alignment have been essential to progress thus far. At the same time, a ‘wider harmonization in practice’, as it is called, has brought to the fore the importance of capacity development to enable more effective national ownership over the development encounter.⁵ These experiences make Zambia an important site of innovation in the discourse on international development cooperation.

35. The Government is finalizing the fifth national development plan for 2006-2010 and aid policy, which will be the basis for the joint assistance strategy for Zambia. This strategy will stipulate the role that cooperating partners will play in supporting implementation of the plan. The content and direction of the country programme will be based on the role established for the United Nations country team following the finalization of the joint assistance strategy. The United Nations country team, under the Resident Coordinator, will play a lead role in response to the HIV/AIDS crisis. This will entail a particular role for UNDP as part of the United Nations joint programme on HIV and AIDS as described in section III above.

36. UNDP is to play a prominent role in governance. In close collaboration with other partners, it will seek to focus on developing national capacities that can bring increased coherence in governance reform where needed. For environmental issues, the Government has indicated a key role for UNDP.

**V. Programme management, monitoring and evaluation**

37. Management, monitoring and evaluation arrangements will be: (a) driven by country needs and processes; (b) consistent with the Paris indicators for aid effectiveness and evolving aid management practices in Zambia; (c) guided by the MDG-based and capacity development approaches framed in the integrated package of services; and (d) oriented towards mutual accountability, including emphasizing the accountability over resources and results attributable to UNDP.

38. This programme will be nationally executed. Execution will be distinct from the function of implementation, through which the provision of support will occur directly between the UNDP country office and implementing partners. The Government and UNDP will coordinate the financial and procurement capacity assessments of all prospective implementing partners. Management arrangements fall within the standard basic assistance agreement and are in the spirit of the 2004 triennial comprehensive policy review for reform of United Nations operational activities at the country level.⁶

39. The Government and UNDP acknowledge that the country office will have to adjust the staff profile, management structure, and substantive content of its work to provide the quality support that Zambia needs in the ‘new aid architecture’. Such changes will enable UNDP to: (a) deepen investments in national capacity development; (b) play a more prominent role in aid coordination and in policy analytical work; (c) make an effective contribution to the joint programme on HIV/AIDS; (d) provide cross-support on the capacity development requirements under all areas of UNDAF and cross-cutting issues; and (e) strengthen internal controls, accountability, and ways to evaluate UNDP.

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⁵ At the time of writing, signatories with Zambia are: Canada, Denmark, the European Union, Finland, France, Germany, Ireland, Italy, Norway, the Netherlands, Sweden, the United Kingdom, the United Nations, and the World Bank.

support, which would include professional certification of core functions.

40. Monitoring of the programme will take place at various levels consistent with nationally led processes for monitoring development cooperation. Evaluation of the contribution of UNDP to *national development effectiveness* will be based on parts of the fifth national development plan, as well as on relevant national strategic frameworks that derive from the plan. Evaluation of *aid effectiveness* will be firmly anchored in the Paris indicators. The main instrument for assessment of the UNDP contribution to aid effectiveness in Zambia will be the joint assistance strategy. Evaluation of the *agency effectiveness* of UNDP will be ascertained independently, based on its performance in reaching country programme outcomes.

National priority: Prevent, halt, and begin to reverse the spread and impact of the HIV/AIDS epidemic by 2010.

**UNDAF outcome 1:** By 2010, the multisectoral response to HIV/AIDS at national, provincial, and district levels scaled up.

<table>
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<tr>
<th>Programme component</th>
<th>Programme outcomes</th>
<th>Programme outputs</th>
<th>Output baselines and indicators</th>
<th>Roles of partners</th>
<th>Indicative resources ($'000s)</th>
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<tr>
<td><strong>Responding to HIV/AIDS</strong></td>
<td>Mainstreaming and implementation of multisectoral and community responses to HIV/AIDS at subnational, provincial, and national levels strengthened.</td>
<td>Rights-based gender-sensitive HIV/AIDS interventions mainstreamed in all sectors at all levels.</td>
<td><strong>Baseline.</strong> National AIDS Council (NAC) exists at the central level but with limited linkages and weak mainstreaming capacities at national, provincial, and district levels and in all sectors. <strong>Indicators.</strong> Annual action plans for the 2006-2010 national AIDS strategic framework developed; national and subnational monitoring and evaluation system for HIV/AIDS developed; workplace policies and programmes; number of community responses and programmes; HIV/AIDS budget lines in all sectors.</td>
<td><strong>National AIDS Council.</strong> To lead processes to develop and monitor implementation of the national AIDS strategic framework 2006-2010. <strong>Government.</strong> To develop policy, and coordinate and oversee responses involving Gender in Development Division/Cabinet Office, line ministries, provincial, district, and community development coordinating committees. <strong>Civil society.</strong> Various national and subnational organizations to participate in policy dialogue, implementation, monitoring, and review of performance. <strong>Cooperating partners.</strong> Joint financing arrangement group and others for financial/technical support.</td>
<td>Regular: 5,011 Other: 3,248</td>
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<td><strong>Decentralized HIV/AIDS response strengthened.</strong></td>
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<td><strong>Baseline.</strong> Weak NAC, provincial administration and district/local government response. <strong>Indicators.</strong> Decentralized capacity frameworks in place; policies and guidelines on coordination in place; HIV/AIDS-related service directories operational; provincial and district AIDS task forces institutionalized within decentralized governance institutional framework; resource tracking system by response themes and by level in place.</td>
<td></td>
<td><strong>Government.</strong> To provide institutions and institutional framework for reporting. <strong>Civil society.</strong> To be part of data collection and production of parallel state reports, advocacy and trainers in human rights. <strong>Cooperating partners.</strong> To possibly provide financial and technical support for capacity building programmes, as per division of labour under the joint assistance strategy for Zambia (JASZ).</td>
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National priority: To promote the observance of good governance principles at all levels.

**UNDAF outcome 2:** By 2010, institutions, systems, and processes in support of implementation of national development priorities strengthened.

| Fostering democratic governance | Institutions strengthened to execute, coordinate, and implement national development priorities based on democratic governance. | Participation of Zambia in State Party reporting obligations for international conventions enhanced. | **Baseline.** Limited capacity for State Party reporting. **Indicators.** Timely production of State Party reports; first APRM report prepared for 2008; number of government/civil society organization officials trained; framework for joint reporting by Government and civil society developed and in place by end of 2008; rate of implementation of governance priorities in the FNDP. | **Government.** To provide institutions and institutional framework for reporting. **Civil society.** To be part of data collection and production of parallel state reports, advocacy and trainers in human rights. **Cooperating partners—To possibly provide financial and technical support for capacity building programmes, as per division of labour under the joint assistance strategy for Zambia (JASZ). | Regular: 3,341 Other: 11,136 |

Coordination, and monitoring and evaluation capacities developed for effective implementation of national development plans (NDP) and

<p>| <strong>Baseline.</strong> Fragmented implementation of plans and limited national capacity to coordinate and monitor implementation. <strong>Indicators.</strong> Comprehensive strategy document and implementation plan in place; Zambia development assistance database institutionalized and operational. | Government. To provide national policy guidance and institutional framework. <strong>Civil society.</strong> Will support community participation. <strong>Cooperating partners.</strong> To provide technical and financial support to government and civil society. |  |  |  |</p>
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<th>Policies</th>
<th>National and subnational capacities enhanced for planning, implementing, and coordinating decentralized governance.</th>
<th>Subdistrict structures established; action plans for the implementation of NDP prepared; gender and HIV/AIDS budgeting introduced in budget; intergovernmental fiscal architecture implemented.</th>
<th>Capacity-building, as per division of labour in governance-related issues under JASZ.</th>
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<tr>
<td>Capacity developed for strategic forecasting and scenario-building to protect and promote freedoms and rights.</td>
<td>Capacity for strategic forecasting and scenario-building established. Capacities enhanced to protect and promote fundamental freedoms, and civil, political, social, economic, and cultural rights.</td>
<td><strong>Baseline.</strong> No institutional capacity for forecasting or scenario-building. <strong>Indicators.</strong> Number of policy processes informed by scenario-mapping; number of decision-making processes reengineered to internalize scenario-mapping; number of government, civil society, and judiciary representatives trained.</td>
<td><strong>Government.</strong> To develop policy and institutional framework. <strong>Civil society.</strong> To offer civic education and community participation and mobilization. <strong>Cooperating partners.</strong> To provide financial support and technical assistance, where feasible and as per division of labour under JASZ.</td>
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**National priority:** To integrate environment protection and promote effective management of natural resources for the poverty reduction

**Coverage in UNDAF:** Environmentally sustainable development is a crosscutting priority of the UNDAF

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<tr>
<th><strong>Energy and environment for sustainable development</strong></th>
<th>Sustainable management of environment and natural resources incorporated into national development frameworks and sector strategies.</th>
<th>Capacity developed for domestication of global environment conventions that position environment protection biodiversity and land management as central target of attaining MDGs.</th>
<th><strong>Baseline.</strong> No global convention has been fully domesticated. <strong>Indicator.</strong> Timely state party reports; No. of conventions domesticated.</th>
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<tr>
<td><strong>Government.</strong> To provide overall ministerial leadership and coordination of cooperating response to environment sector; development of an enabling policy environment. <strong>Cooperating partners.</strong> World Bank and Norway to support effective management of national parks and wildlife; World Bank to support institutionalization of clean of clean development mechanism; Denmark to support community capacity development for natural resources management.</td>
<td><strong>International NGOs.</strong> WWF, the World Conservation Union (IUCN), Frankfurt Zoological society, financial cooperatives, Africa Wildlife Foundation to advocate and support community empowerment; Kasanka Trust and Lower Zambezi for investment in the communities.</td>
<td><strong>Private sector.</strong> To invest in parks development, sustainable use and clean industry.</td>
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| Systems, processes and scenario planning for climate change adaptation and mitigation strengthened. | Baseline. No comprehensive system for mitigation and adaptation to climate change exist; process for preparation of the National Adaptation Plan of Action has commenced. **Indicator.** Strategy for climate change adaptation, mitigation and renewable energy developed and implemented. | **Government.** To provide overall ministerial leadership and coordination of cooperating response to environment sector; development of an enabling policy environment. **Private sector.** Local entrepreneurs to popularize renewable energy are likely to be partners. **Cooperating partners.** Partnership arrangements will be elaborated through the JASZ process. | **Regular: 2,506** **Other : 8,816** |