Local Adaptation Investment Planning in Zanzibar

A Baseline Review of Policy and Institutional Framework

Mwita M. Mangora
Mwanahija S. Shalli
Nanki Kaur
Soud M. Jumah
Fauzia Mwita
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List of Acronyms

ADB	African Development Bank
ASDP-L	Agricultural Sector Development Programme - Livestock
ASSP	Agricultural Services Support Programme
CFP	Community Forests Pemba
COFMA	Community Forestry Management Agreement
DDC	District Development Committee
DoE	Department of Environment
FCS	Foundation for Civil Society
FVPO	First Vice President's Office
HoR	House of Representatives
ICZM	Integrated Coastal Zone Management
IMTC	Inter-Ministerial Technical Committee
IPCC	Intergovernmental Panel on Climate Change
JECA	Jozani Environmental Conservation Association
JUMIJAZA	Jumuiya ya Uhifadhi wa Misitu ya Asili Zanzibar (Zanzibar Community Forestry Network)
LAPA	Local Adaptation Plan of Action
LGA	Local Government Authority
M&E	Monitoring and Evaluation
MDAs	Ministries, Departments and Agencies
MDGs	Millennium Development Goals
MKUZA	Mkakati wa Kukuza Uchumi na Kupunguza Umasikini Zanzibar (Strategy for Growth and Reduction of Poverty)
MoF	Ministry of Finance
MTEF	Medium-Term Expenditure Framework
MTSP	Medium Term Strategic Plan
NGO	Non-Governmental Organization
NIE	National Implementing Entity
NSA	Non State Actor
OCGS	Office of Chief Government Statistician
PADEP	Participatory Agricultural Development Project
PC	Planning Commission
PER	Public Expenditures Reviews
REDD+	Reduced Emissions from Deforestation and forest Degradation and foster conservation and sustainable management of forests
RGoZ	Revolutionary Government of Zanzibar
RS	Regional Secretariat
SACCOS	Savings and Credit Co-operative Society
SDC	Shehia Development Committee
SDGs	Sustainable Development Goals
SELF	Small Entrepreneurs Loan Facility
TAMD	Tracking Adaptation and Measuring Development
TASAF	Tanzania Social Action Fund
VCC	Village Conservation Committee
ZCCAP	Zanzibar Climate Change Action Plan
ZCCS	Zanzibar Climate Change Strategy

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Summary

Background

Zanzibar is comprised of the islands of Unguja and Pemba surrounded by numerous other islets along the East African coast. Due to their geographical position and limited land area, Zanzibar is highly vulnerable to the impacts of climate change. Sea level change, extreme events and sea water intrusion into underground aquifers are important threats. Sea level rise for instance, is anticipated to lead to coastal inundation in some places, reducing the already limited land area, accelerating beach erosion, and degrading coastal resources like mangroves and coral reefs which support and sustain fisheries and the tourism industry. Low adaptive capacity that emanate from the government's low economic capacity to respond to the impacts is not only a threat to the projected achievement of sustainable development and poverty reduction but also has the potential to reverse the modest social and economic development gains that Zanzibar has achieved so far.

This scooping report presents a baseline analysis of the policy, organizational and institutional framework of Zanzibar in support of adaptation and resilience to climate change with a particular focus on planning, decision-making, budgeting and M&E procedures and processes for local level interventions where the impacts are most felt.

Zanzibar Climate Change Strategy

Zanzibar has taken a policy directive to designate and mainstream climate change as a multifaceted policy issue across multiple sectors and embarked on developing policy and institutional mechanisms to support adaptation and enhancing resilience. The Zanzibar Climate Change Strategy (ZCCS) was thus launched in June, 2014 with a vision of building a climate resilient and sustainable Zanzibar. Efforts are underway to prepare a Zanzibar Climate Change Action Plan (ZCCAP) that will guide implementation of the ZCCS. The ZCCAP is expected to broadly outline: (i) Climate change investment plans for priority sectors; (ii) Approaches to local adaptation planning; and, (ii) Approaches to assessing the effectiveness of investments in adaptation. To facilitate development of an effective ZCCAP, incorporation of Local Adaptation Plans of Action (LAPAs) as practical means to mainstream climate change adaptation into development planning in a bottom-up manner is a prerequisite. This scooping study is a first step to support designing and development of approaches to local adaptation planning and a framework for the assessment of effectiveness of investments in local adaptation.

Objectives

The main objective of this study was to develop a baseline of development planning systems that support local adaptation planning in Zanzibar.

Specific objectives that this scoping study addressed were two-fold:

- To identify entry points for local adaptation planning in Zanzibar;
- To develop planning systems that support monitoring, evaluation and learning in the development planning process – with an emphasis on identifying entry points for measuring adaptation by tracking development.

Methodology

Based on the scope of the study, this survey adopted two main methodological approaches:

(i) Documentary search, collection and review of relevant macro and micro sectoral policies, legislations, strategies, plans and related articles and reports from various government sector departments and agencies, NGOs and documentation centres.

(ii) Consultative discussions with key sector departments, agencies, programmes and NGOs.

Processing and analysis of collected documents and information was descriptive and exploratory guided by expert opinion and perception on key policy-practice directives at different levels of governance.

Entry points for local adaptation planning

While there could be a number of options for supporting local adaptation planning in Zanzibar, four cases were identified as possible entry points that will facilitate a bottom-up, local approach in mainstreaming development planning, financial flow and implementation, monitoring and evaluation with a focus on local vulnerability and adaptation and multi-actor participation.

Depending on the context of intervention, the four identified options were:

(i) Government Channel that may be through the Central government, Local (district) government or the grassroots Shehia level.

(ii) Cooperatives Channel that may be through primary, secondary or their apex organization/federation of cooperatives.

(iii) NGOs Channel, both local and international, given their characteristic direct engagement with communities, has potential to provide means of supporting integration of local adaptation plans.

(iv) Financial and Private Institutions Channel based on the understanding that most rural livelihoods are climatic based activities such as agriculture, livestock keeping and fishing, thus credit is a major component for rural development and considered as an important instrument in helping micro-entrepreneurs increase their income.

Conclusion

Inadequate policy and institutional adaptive capacity in low income states like Zanzibar compound their low economic power to adapt to the impacts of climate change particularly at local scales where it is most felt. This scooping study shades light to decision makers, practitioners, donors, and communities that will be involved during piloting and development of the local adaptation framework for Zanzibar. It reveals that the efficiency and effectiveness of any of the four proposed entry pathways for local adaptation planning will be embedded on the capacity of the institutional set-up which at the moment is largely not clearly defined in terms of the jurisdictional boundaries and sharing of decision making procedures. For most policy and legislative frameworks relevant to climate change issues in Zanzibar are under revision, it is advantageously and coincidentally recommended that this is a high opportunity for harmonization.

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1. Introduction

1.1 Background

Zanzibar is made up of two islands of Unguja and Pemba surrounded by numerous other islets along the east Africa coast. It is one country united with Tanzania mainland in 1964 to form the United Republic of Tanzania with a politically and economically semi-autonomous government, the Revolutionary Government of Zanzibar (RGoZ) which is responsible for all internal socio-economic and natural resource management and development matters for Zanzibar. Due to its geographic position and being islands with limited land area, Zanzibar is highly vulnerable to climate change and its impacts. Sea level change, extreme events and sea water intrusion into underground aquifers[1] are apparent and anticipated major threats. In Zanzibar, water is a key resource that is compromised. Reported salt water intrusion in the natural wells and agricultural lands is resulting into increased water stress and reduced crop productivity. Sea level rise will lead to coastal inundation in some places, further reducing the already limited land area in Zanzibar. Rising sea level is further projected to accelerate beach erosion, causing degradation of coastal resources like mangroves and coral reefs which support and sustain fisheries and the tourism industry.

Apparently, vulnerability to climate change in Zanzibar is further aggravated by its low adaptive capacity; because the cost of adapting to the changing climate is high as compared to the government's economic capacity to respond. Climate change is not only a threat to the achievement of sustainable development and poverty reduction but has the potential to reverse the modest gains that Zanzibar has achieved towards attaining the Millennium Development Goals (MDGs) and Sustainable Development Goals (SDGs) through its Strategy for Growth and Reduction of Poverty famously referred in its Kiswahili version as Mkakati wa Kukuza Uchumi na Kupunguza Umasikini Zanzibar (MKUZA) (RGoZ, 2010).

Along with global climate related drivers, Zanzibar also faces other important local change drivers that compounds to its vulnerability. Such local drivers include population growth and associated expansion of settlements. The 2012 population and housing census (NBS & OCGS, 2013) indicated that there were about 1.3 million people in Zanzibar which represented a population growth of over 30% from the previous census of 2002 (NBS, 2006). This large population increase has resulted in increased environmental pressures and degradation (DoE, 2013). Zanzibar is also observing a booming tourism industry that has increased pressure to the natural environments over the past couple of decades. These local drivers exacerbate the

[1] Water bearing rock – a layer of permeable rock, sand or gravel through which ground water flows to supply wells and springs.

demand on the local natural resource base across key environmental and natural resource sectors like agriculture, forestry, water, energy etc. that compromise the ecological footprint (Fig 1).

A sense of urgency in dealing with the challenges of climate change in Zanzibar is driven by the fact that, such impacts will exacerbate non-climate change stresses on island ecological bases including coastal and marine ecosystems which essentially have direct impact of the socio-economic welfare of the people. One such example is where beach-based tourism and marine diving based ecotourism will both be negatively affected by climate change through beach erosion and coral bleaching respectively.

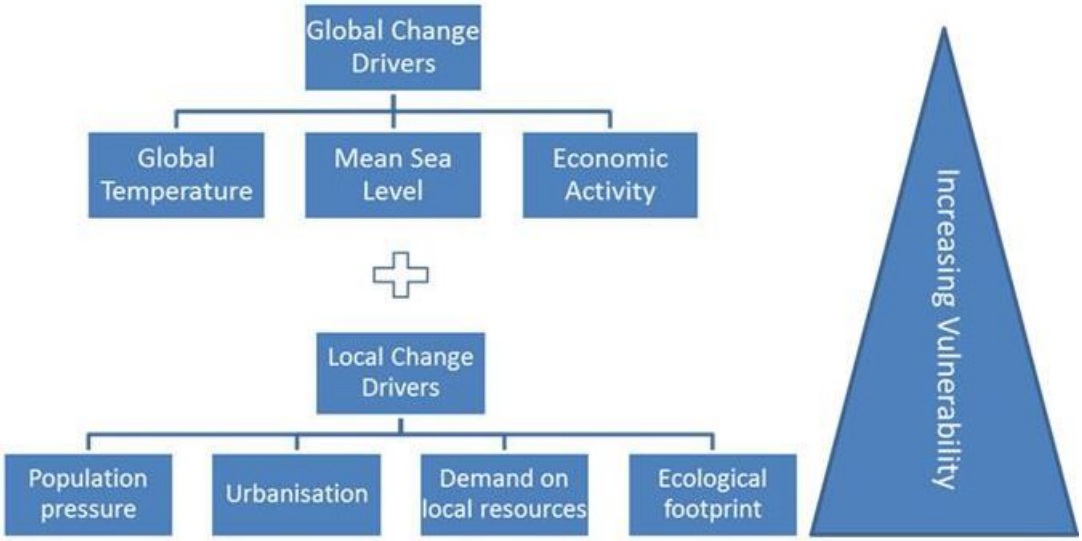


Fig 1. Drivers of change that increases vulnerability to climate change in Zanzibar

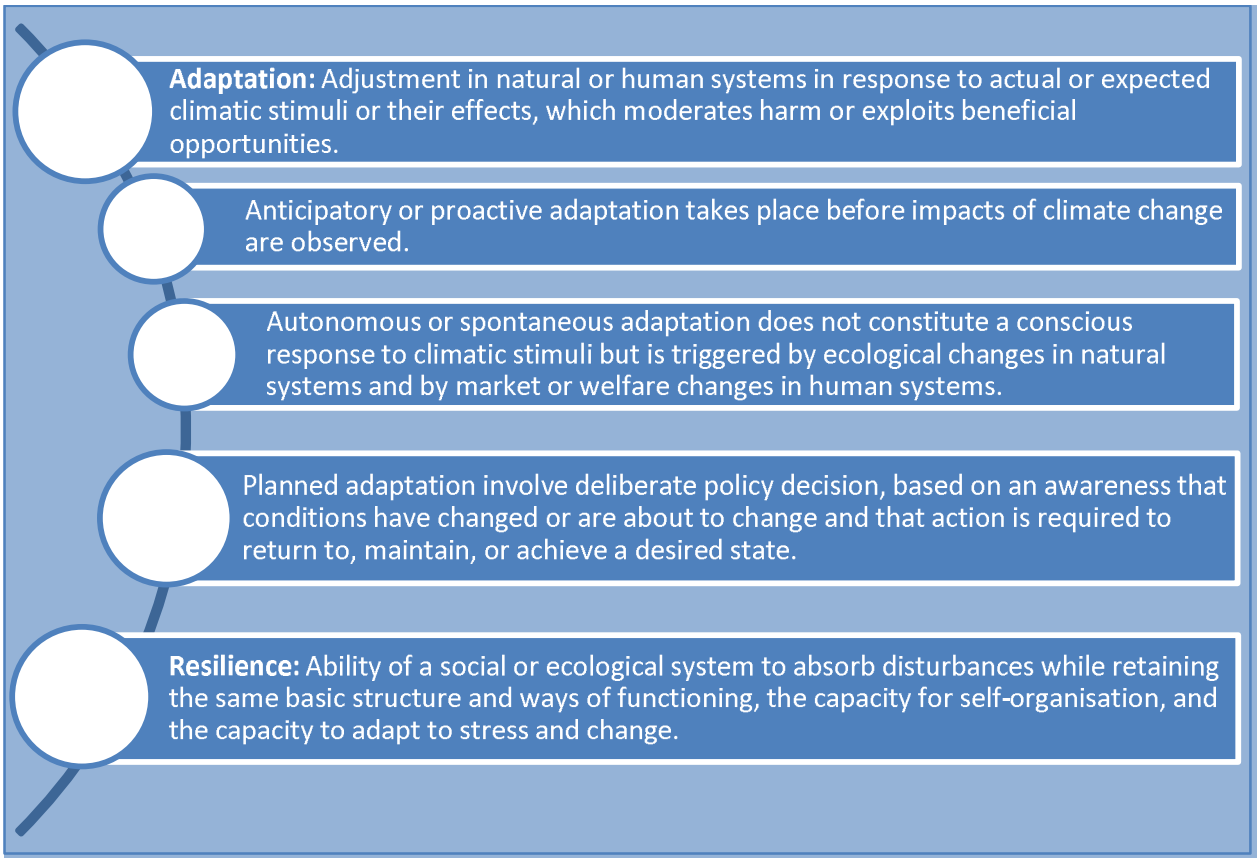
1.2 Defining Adaptation and Resilience

Adaptation and resilience to climate change and associated environmental and socio-economic shocks and risks is manifest in the readiness of a country both in terms of technical and policy instruments in anticipating and preparing for change. Designing and implementing right combination of technical and policy instruments is critical in building greater adaptation capacities and resilience.

Adaptation and resilience are key concepts in climate change debates on assessments of its impacts and responses. These are defined and conceptualized (Box 1) here according to (IPCC, 2007). In this scooping report, the policy, organizational and institutional functioning of Zanzibar's systems and institutional qualities in support of adaptation and resilience are explored under section 3, with a particular focus on planning, decision-making, budgeting and M&E procedures and processes. General evaluation is done on how existing situation would

ideally support adaptation and enhance resilience in the bottom-up approach rather than the traditional top-down approach.

Box 1. Definitions of adaptation and resilience (IPCC, 2007)



Adaptation assessment: Identifying options to adapt to climate change and evaluating them in terms of criteria such as availability, benefits, costs, effectiveness, efficiency and feasibility.
Adaptation benefits: Avoided damage costs or accrued benefits from adoption and implementation of adaptation measures.
Adaptation costs: Costs of planning, facilitating, and implementing adaptation measures, including transition costs.
Adaptive capacity: Ability of a system to adjust to climate change, moderate potential damages, take advantage of opportunities, or cope with the consequences.

1.3 Objectives

1.3.1 Main objective

To develop a baseline of development planning systems that support local adaptation planning in Zanzibar

1.3.2 Specific objectives

Specific objectives that this scoping study addresses are two folds:

(i) To identify entry points for local adaptation planning in Zanzibar;
(ii) To develop planning systems that support monitoring, evaluation and learning in the development planning process – with an emphasis on identifying entry points for measuring adaptation by tracking development.

1.4 Methodology

1.4.1 Methods and tools

Two main approaches were used to collect relevant information and data for this study: (i) search, collection and review of documents, and (ii) consultative discussions with key sector departments, agencies, programmes and NGOs.

1.4.1.1 Documentary Review

The study team collected and reviewed climate change related macro and micro sectoral policies, legislations, strategies, plans and related articles and reports from various government sector departments and NGOs and documentation centres. Online search was also used to source existing literature from other places to gauge experiences and lessons that can be applicable to Zanzibar. Analysis of these documents focused on identifying opportunities (strengths) and challenges (weaknesses) for supporting local adaptation investment planning processes and implementation. A list of key documents analysed is included in Appendix 1.

1.4.1.2 Consultative Discussions

The study team visited and conducted consultations and panel discussions with selected sector departments, agencies and NGOs. A list of institutions involved in consultative discussions is included in Appendix 2.

1.4.1.3 Analysis and management of collected information

The two approaches that were used for data collection in this exercise were mainly qualitative. Processing and analysis of collected documents and information was largely descriptive and exploratory. Expert opinion and perception on key policy directives was employed and cross checked with the prevailing practices at different levels of governance (planning, budgeting and monitoring). Analytical review of the collected documents and information from consultative discussions was done in two major categories:

I. Identifying entry points for local adaptation planning process and practices from existing and proposed policy frameworks, institutional arrangements and planning and budgeting systems in Zanzibar.
II. Identifying existing and proposed policy and institutional frameworks and capacity to support assessment (M&E) of effectiveness of investments in adaption processes and practices in Zanzibar.

1.4.2 Scope of the report

This study was restricted to the review of existing policies and institutional frameworks relevant to support initiatives for climate change adaptation and enhancing resilience in Zanzibar for both natural and managed systems including livelihoods.

2. Policy and Institutional Framework

2.1 Zanzibar Climate Change Strategy

In responding to the revealing challenges of climate change, the RGoZ has taken a policy directive to designate and mainstream climate change as a multifaceted policy issue across multiple sectors and embarked on developing policy and institutional mechanisms to support adaptation and enhancing resilience. The first key policy action step has been to develop the Zanzibar Climate Change Strategy (ZCCS) that was launched in June, 2014 (RGoZ, 2014a). The vision of the ZCCS is to build a climate resilient and sustainable Zanzibar by 2020 and beyond.

With the ZCCS in place, RGoZ is now set to prepare a Zanzibar Climate Change Action Plan (ZCCAP) that will take forward the implementation of the ZCCS to enhance resilience and enable various systems and communities to cope with the impacts of climate change.

The proposed ZCCAP is expected to broadly outline:

(i) Climate change investment plans for priority sectors;
(ii) Approaches to local adaptation planning; and,
(iii) Approaches to assessing the effectiveness of investments in adaptation.

These three elements of ZCCAP will be moulded to support recognition and the need to effectively mainstream adaptation at all levels and entries (local, sector and national) of development planning processes with the aim of enhancing social-economic protection and disaster risk reduction. To facilitate and contribute to the ZCCAP, development of LAPAs as practical means to mainstream climate change adaptation into development planning in a bottom-up manner is a prerequisite. This report presents in the next sections an analytical scoping of the policy and institutional framework to support designing and development of approaches to local adaptation planning and a framework for assessment of effectiveness of investments in local adaptation using four cases as possible entry points described under section 3.4.

2.2 Institutional Framework for Climate Change

Climate change has been designated as a cross cutting multi-sectoral and multi-dimensional policy issue in Zanzibar. However, the coordination role of the initiatives related to

the impacts of climate change, adaptation and resilience has been placed with one unit as a National Implement Entity, the FVPO. The FVPO is designated as a focal point institution that centrally assumes the coordination, communication, information delivery and advisory role on all climate change matters for Zanzibar. The proposed climate change institutional framework that stem from the FVPO as stipulated in the ZCCS (Fig 2) is composed of hierarchical committees, sub-committees and technical working groups that are coordinated by the DoE. Because the DoE is mandated with the overall responsibilities for coordination of environmental management issues, it has virtually been designated as a secretariat in the climate change institutional framework within the Ministry of State in the FVPO.

The detailed composition and specific roles and functions of the framework sub-components are presented in Appendix 3. There is currently an ongoing review process of the environment legislation in which it is proposed to provide a statutory recognition of the framework. There is a further proposal for establishing a climate change finance mechanism to facilitate donor alignment and coordination of funds to support climate change adaptation initiatives.

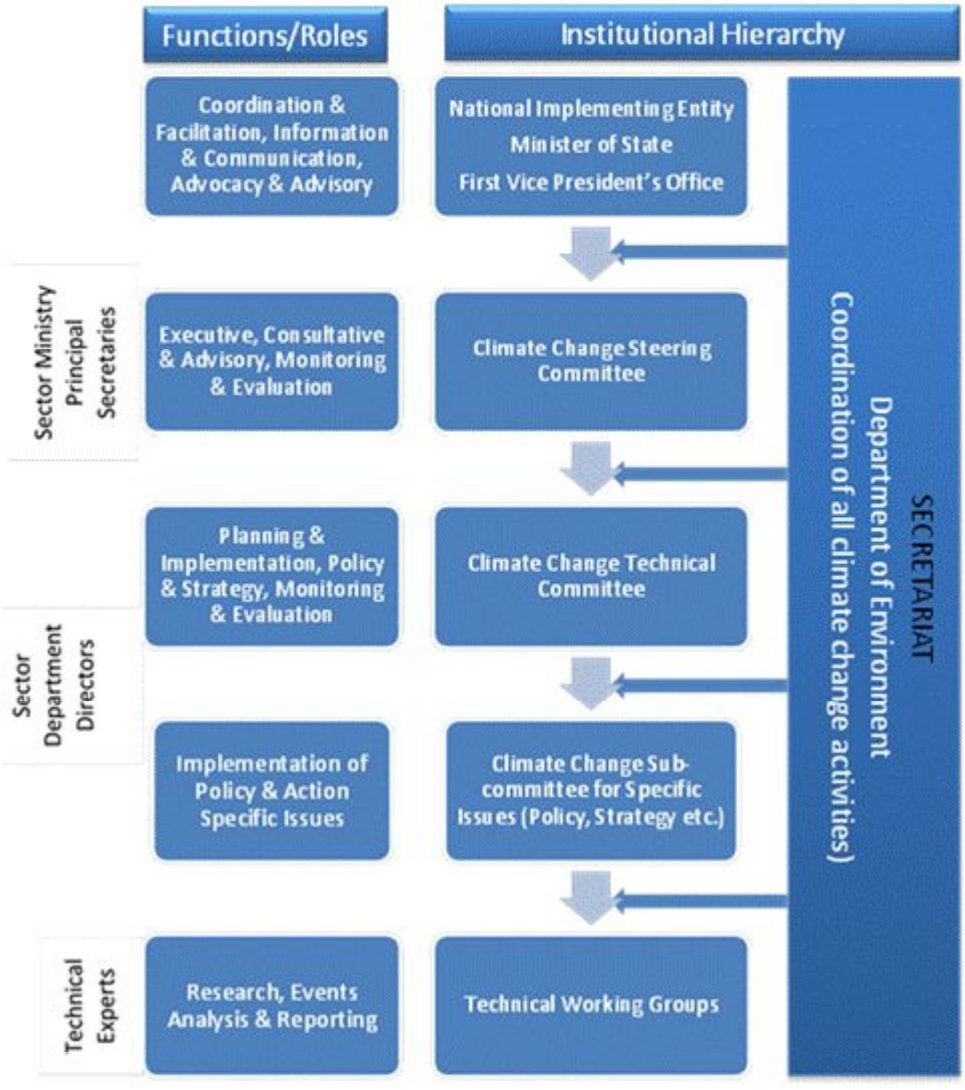


Fig 2. Climate Change Institutional Framework for Zanzibar. Source: **(RGoZ, 2014a).**

This framework is however silent on how local planning process would be amalgamated into the centralized framework. Nonetheless, based on the institutional set-up of Zanzibar and expert and practice propositions from various stakeholders, Fig 3 describe the possible framework for integrating climate change adaptation into local and national development planning processes and implementation protocol. Experience from other countries, particularly Nepal where LAPA Framework is in place (Regmi & Karki, 2010), indicate that the framework facilitates formulation of the LAPA at local bodies such as Shehia and District Development Committees for the case of Zanzibar.

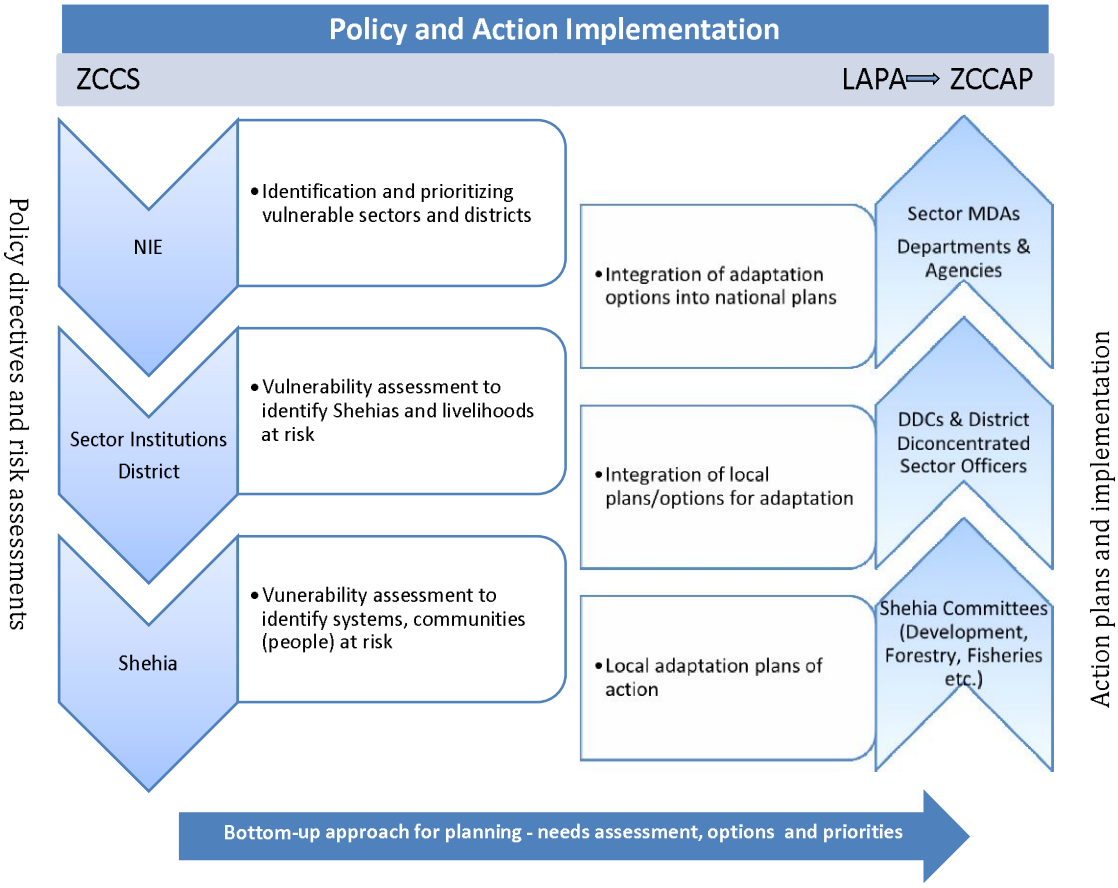


Fig 3. Framework for integrating adaptation and resilience into development planning. Source: Modified from (GoN, 2011)

2.2 Zanzibar Environment Policy

The first National Environmental Policy of 1992 for Zanzibar coincided with the first Earth Summit in Rio de Janeiro and was therefore largely concerned with the establishment of institutional and legal structures for sustainable environmental management, and utilization of natural resources while contributing to the quality of life of both present and future generations. However, environmental challenges have since continued to emerge and affect the strategies laid for sustainable development. For example, in course of the past two decades, Zanzibar has undergone rapid changes in socio-economic patterns, triggering increased demand for natural resources and consequent environmental degradation. For

example, expanding tourism industry has modified the dependence pattern on natural resources like fisheries, forestry, agriculture, energy etc. Climate change is compounding environmental pressures, calling upon rethinking for preparedness to effectively address them and sustain the development agenda for the islands.

To respond to these challenges, the revised Zanzibar Environmental Policy (ZEP) of 2013 (DoE, 2013) presents an integrated national environmental response framework to curb climate change and associated environmental impacts through policy directives that seek to mainstream interventions by key actors in public, private, and community domains to holistically address fundamental environmental issues across sectors. Ideally, ZEP 2013 serves as an umbrella framework for environmental and natural resource use management for social welfare and economic development interventions in Zanzibar. The policy is an integrative framework that has solicited strategic directions from several other key sector policies and strategies namely: Vision 2020 and MKUZA, Agricultural Sector Policy (2000), Water Policy (2004), Education Policy (2006), Zanzibar Investment Policy (2004), Forest Policy (1996, under review), Tourism Policy (2005), National Land Use Plan (1995), Zanzibar Disaster Management Policy (2011), Zanzibar Information Policy (2005), Gender Policy (2012), and National Health Policy (2011). This wide policy interaction calls upon for the development and institutionalization of the Zanzibar ICZM Strategies and Action Plan to holistically address environmental, social and economic development agenda (RGoZ, 2009).

While pilot area specific ICMZ plans have been developed to reflect area-specific opportunities and challenges in addressing social, economic and environmental sustainability, the past nonexistence of collaborative institutional mechanism and low level of community involvement or participation at all levels in the management of the diverse environmental resources within the coastal area appeared to be major constraints for successful coastal resources management. Henceforth, LAPA requirements to engage multiple stakeholders in planning process and implementation at local level, the ICZM Strategy and Action Plan (as described in Chapter 3, section 3.4.1.2) would provide for a strong base for the proposed LAPA entry points in Zanzibar where local participation is a prerequisite for effective planning. Therefore, the ICZM Strategies and Action Plan is prepared to meet the objectives of the above policies and provides a framework that links government sectors across different levels, and creates partnerships among the actors and resources users in developing climate smart and adaptation strategies for sustainable uses of natural resources in the coastal area.

2.3 Zanzibar Forest Policy

Findings from a comprehensive analysis of the first Zanzibar Forest Policy of 1995 (Silima, 2010) indicated that the policy has had some notable achievements albeit surrounded by a number of shortfalls. One pertinent policy gaps identified which is relevant to this scoping study, is the omission of climate change as a factor in forest management, unclear stakeholders' roles and responsibilities in implementing the policy and in management of forest resources. Despite

these setbacks, there have been some notable developments, including the promising initiative of introduction and promotion of community forest management agreements (CoFMAs) as adaptation and mitigation strategies that generate local benefits including home grown technology and practices such as energy saving and carbon credits. Although these initiatives are already on course and have preliminarily indicated enormous opportunities as demonstrated by CARE HIMA REDD+ pilot project (CARE, 2014), they have been with lack of clear policy back-up.

To align with the national development agenda such as Zanzibar Development Vision 2020 and MKUZA accompanied by other socio-economic changes, it has been necessary to review the old Zanzibar National Forest Policy of 1995 so as to accommodate the changing aspirations and interests in the forest resources. The proposed Zanzibar National Forest Resources Policy (RGoZ, 2014b) is based on the critical assessment of the old policy and thus provides new directions in Zanzibar's forest resources management. The new draft policy has included for example, a more clearly policy group of statements on Community Forestry (Policy Statements No. 6 to 9) providing policy support for CoFMAs. This scoping review identify CoFMAs as one of the LAPA entry points proposed in Zanzibar by encouraging active involvement of local people in sustainable planning, management and conservation of forest resources through community forestry programme in Zanzibar. Furthermore, in its monitoring and evaluation framework, the new proposed policy has also specifically included two indicators on co-management for evaluation of success: these include tracking the income collected from carbon credits and the number of hectares under effective CoFMAs.

3. Local Adaptation Planning, Monitoring and Evaluation

3.1 The Concept of Local Adaptation Planning

Local Adaptation Plans of Action (LAPAs) are community-based approaches that take a 'vulnerability first' approach in response to the impacts of climate change. LAPA is a bottom-up, local approach (Fig 3). The concept of LAPA is coined on a number of principles such as:

(i) Mainstreamed and decentralised bottom-up development planning, financial flow and implementation, monitoring and evaluation
(ii) Focus on local vulnerability and adaptation
(iii) Integrated and multi-actor participation with emphasis on local level ownership.

These principles aim at:

(i) Enabling community understanding of the changing and uncertain future climatic conditions and empowering them to engage effectively in the process of identifying and prioritizing adaptation measures.
(ii) Guiding climate resilient and flexible planning mechanisms to respond to changing climate and vulnerability conditions
(iii) Informing and catalysing integrated approaches between sectors and actors.

A key feature for LAPA is to ensure that the process of integrating climate change resilience into local-to-national planning is bottom-up, inclusive, responsive and flexible. As such the institutional grass root unit that may encompass these features in Zanzibar will be the Shehia (Fig 3) which is the lowest level of official governance structures. Similar to experiences from Nepal and Pakistan (Chaudhury, et al., 2014), Shehias for the case of Zanzibar are the most appropriate units for integrating climate change adaptation and resilience into the national development planning process. This ensures that both bottom-up and top-down processes are employed to produce the most appropriate adaptation plans.

Bottom-up processes are important in order to come to a common understanding with the community on what the most significant climate risks and hazards are, which among these are most urgent, and what could be done at the local level to respond to them based on local knowledge and perceptions. As demonstrated in Fig 3, this planning process seeks to establish a vertical link between the national-scale, top-down assessments of current climate risks and future climate risks, with bottom-up assessments from community members themselves, informed by local knowledge and geographical specificity. This is particularly critical because if

communities are unable to distinguish climate change risks from the other risks that they face, then efforts to develop adaptive capacity might become unfocused or ineffective.

3.2 Monitoring and Evaluation of Local Adaptation

Tracking Adaptation and Measuring Development (TAMD) is a new monitoring and evaluation framework that aim to develop a flexible framework that can be used to evaluate the success of adaptation at a variety of scales and in the context of drivers, whether through dedicated adaptation interventions or other development initiatives that may have adaptation components or co-benefits.

Adapting to climate change will entail adjustments and changes at community, district and national levels. To enable workable and effective adaptation measures, local and national government planners and policy makers, as well as stakeholders including non-government organizations, must consider integrating climate change into their planning, budgeting and decision making. To facilitate this, two types of information is required. First, information relating to climate change vulnerability is needed. This means knowledge relating to the factors that make people vulnerable to existing and potential climatic stresses, such as access to resources and services, political access and secure livelihoods. Such information is likely to be gleaned from vulnerable communities themselves. The second type of information required relates to how adaptation planning in vulnerable communities is supported through existing mechanisms such as community forestry or fisheries user groups.

3.3 Development Strategies: the MKUZA

The RGoZ has adopted various development strategies to improve the welfare of its people including two key national macro-economic and social frameworks: the Zanzibar Development Vision 2020 and MKUZA which provides planning, implementation and monitoring directives to sector specific policy and institutional frameworks. These two instruments carry aspirations of the people of Zanzibar to eradicate abject poverty in the society, to attain sustainable human development and economic growth. They consider socio-economic stability and increased peoples' participation in economic activities as a pathway to national development. In line with the Vision 2020, the RGoZ ratified to realize the Millennium Development Goals (MDGs) by the year 2015. The Vision 2020 and the MDGs have been translated into medium-term programmes in order to ease implementation and monitoring. The initial MKUZA which was implemented from 2002 to 2005 was a priority sector-based programme that focused mainly on poverty reduction. A phasing out review of this piloting phase recommended a subsequent three year (2007-2010) MKUZA I to be transformed into an outcome-based programme. The current five year MKUZA II (RGoZ, 2010) which ends in 2015 addresses the challenges and areas of interventions that were found to be inadequately covered in MKUZA I.

Nevertheless, these development efforts are challenged by so many issues, one of them is the climate change. In Zanzibar, the impacts of climate change are already vivid affecting local communities and almost all sectors of the economy. It poses a serious risk to poverty reduction efforts and threatens to undo the development efforts. The importance of natural resources and functional ecosystems to the national economic growth and poverty reduction through sustenance of peoples' livelihoods has thus been recognized in MKUZA II. Therefore, adaptation especially local adaptation plans to climate change is vital for Zanzibar in order to reduce vulnerability and adverse impacts of climate change.

3.4 Entry points for local adaptation planning

Analytical review and consultations on the existing policy frameworks, institutional arrangements, planning and budgeting processes, and monitoring and evaluation systems in relation to developing Local Adaptation Planning in Zanzibar suggested that there are four potential options for entry into local adaptation planning . After several reviews it was found that there could be a number of options for supporting local adaptation planning in Zanzibar. Depending on the context of intervention, the following four entry point options (Fig 4) seemed to be most appropriate for mainstreaming LAPA: (i) Government Channel; (ii) Cooperatives Channel; (iii) NGOs Channel and (iv) Financial and Private Institutions Channel.

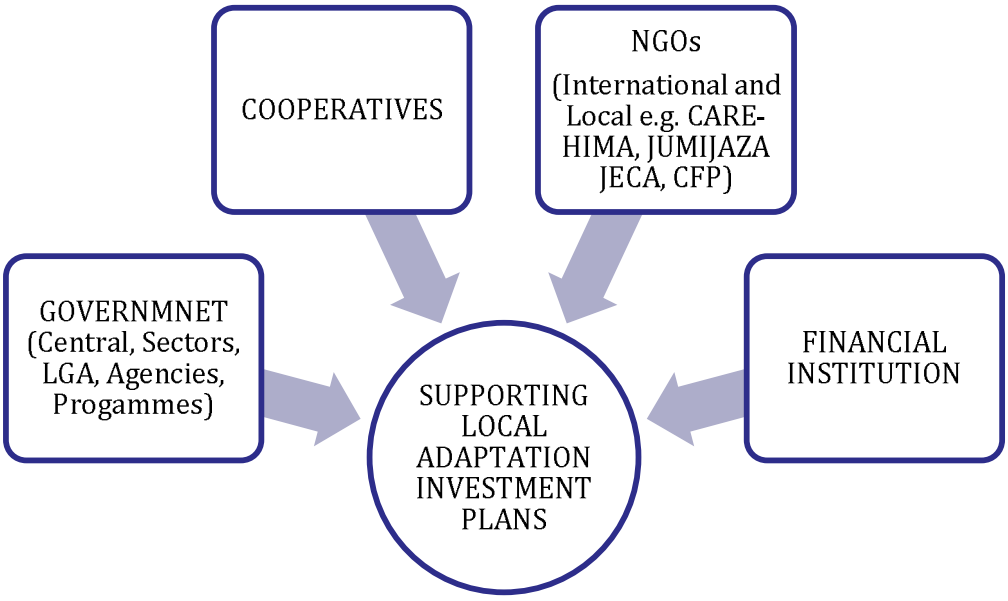


Fig 4. Proposed entry points for local adaptation investment planning for Zanzibar

3.4.1 Entry Point Option 1: The Government Channel

Local adaptations planning following the government channel option may be through the Central government, Local (district) government or the grassroots Shehia level.

3.4.1.1 Central Level Planning and Budgeting

In planning at the central level, the Planning Commission (PC) is the responsible institution that coordinates national plans. According to the Zanzibar Planning Commission Act No. 3 of 2012, the PC is the highest authority for economic development planning and budgeting, coordination and supervision of implementation of economic development plans and related social services in Zanzibar. The commission is responsible for day to day planning of activities including preparation of budgets, strategic plans and implementation plans as well as coordination of projects and programs implementation. Planning and prioritization of interventions and investments is aligned to the Vision 2020 and MKUZA objectives and targets.

The national planning process consists of strategic planning and annual operational plans. In strategic planning, MDAs prepare the Medium Term Strategic Plans (MTSP) describing the objectives, target outcomes, strategic interventions and main activities to be undertaken by respective sectors. In operationalizing the MTSP on an annual basis, the MDAs prepare Annual Action Plans describing the activities, inputs and implementation timeframes. The plans are then submitted to the PC for scrutiny and harmonization to ensure that they are aligned with the Vision 2020 and MKUZA objectives and other national priorities before submitted to higher level bodies: The Inter-Ministerial Technical Committee (IMTC), Cabinet and the House of Representatives (HoR) for scrutiny again and approval.

The planning process outlines the entry points for integrating local adaptation plans into the national planning system. The DoE within the FVPO is the focal point institution for all climate change issues in Zanzibar (see Appendix 3 for detailed roles). In this case, since the MDAs are the ones that prepares the plans and submit to the PC, then for the purpose of integrating local climate change adaptation plans the responsible institution within FVPO is required to prepare the guidelines for MTSP and annual action plans for climate change adaptation and disseminate to the respective MDAs and Districts so that they incorporate climate change adaptations plans into their MTSP and annual action plans.

The budgeting process is governed by the Constitution of Zanzibar of 1984 (as amended in 1990, 1992, 2002, and 2010); the Zanzibar Development Vision 2020; the MKUZA II and; the Annual Circulars. The Ministry of Finance (MoF) is the lead central institution in the budgeting process. It also coordinates all donor funds and activities for development programs. The ministry is responsible for producing the Strategic Budget Allocation system that to guide

allocation of budget funding to the activities in the strategic plan within the medium-term expenditure framework (MTEF).

The process of budget preparation adheres to a specified calendar and guidelines (Fig 5). Generally, the budget cycle starts with the budget formulation phase, in this phase the responsible institutions starts reviewing the previous year reports (such as reports from public expenditures reviews (PER), annual economic survey, expenditure and revenues projections) and prepare the guidelines, budget ceilings and call circulars and submitted to MDAs. The MDAs then prepares their MTEF basing on the guidelines provided which in actual sense links to MTSP. The budget proposals are then submitted to the MoF for review to ensure that they are consistent with the issued budget guidelines. In the second phase it is where the proposed budget undergo several scrutiny by the higher level bodies (The Inter Ministerial Technical Committee (IMTC), National Planning Commission, Cabinet and the House of Representatives (HoR)) before it is approved and enacted. In phase three, the budget is implemented, where MoF releases money to MDAs for the annual implementation. Obviously, the MDAs are allocated with VOTES and sub-vote to access funds (for recurrent or development expenditure) from the MoF. Then follow a phase for monitoring and control of the budget by the respective institutions.

This budget cycle outlines the entry points for integration of local adaptation planning into the national budget system. As the case for planning process, preliminary budget ceilings and guidelines on climate change adaptations for MDAs and Districts should have to be prepared by the DoE submitted to the MoF through the NIE (the FVPO). After endorsement of the budget ceiling and guidelines by the MoF, the MoF would then issue a budget ceiling and guidelines to the DoE for preparing annual budgets for the local adaptation plans for the MDAs and Districts (including Shehia) activities.

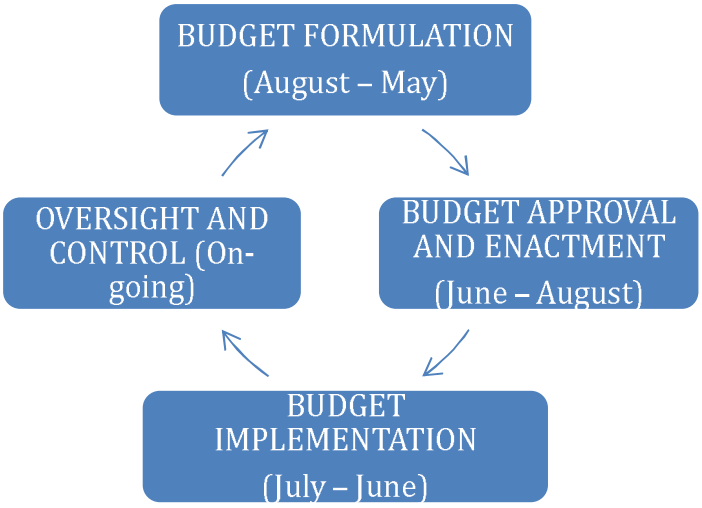


Fig 5. Zanzibar Annual Budgeting Cycle

3.4.1.2 District Level Planning and Budgeting

The district planning in Zanzibar is, at present, still centralized. Sectors at a central level annually draw up plans and budgets from the Districts in coordination with regional governments and submit to the respective sector Ministries and further to the MoF for funding (FAO, 2010). At the Regions and Districts there are Development Committees established by the Regional Administrative Act of 1998. The District Development Committees (DDC) oversees the development issues in the districts. In planning, the DDCs discuss and prioritize project proposals received from the Shehia level. Furthermore, the overall district plans and budgets which include comments from the Regional Secretariats (RSs) are submitted to the District Full Councils for approval and funding. This is because most of the development activities in the district are funded by the revenues collected by the District Councils.

There is also an operational Zanzibar Integrated Coastal Zone Management (ICZM) Strategy and Action Plan since 2009 under the DoE. The overall aim of ICZM is to ensure sustainable development of the coastal zone. The DoE coordinate the ICZM planning activities including undertaking internal M&E of its implementation. The institutional framework (Fig 6) for the functioning of the ICZM has five levels created in order to enable smooth carrying out the ICZM activities, these are; ICZM Secretariat, ICZM Steering Committee, ICZM Technical Committee, District ICZM Committees, and Shehia ICZM committees. These committees are made up of different sector representatives at all level from central to the local level. In that regard, the DoE can use the ICZM network system to channel the local adaptation plan, guidelines and budget ceilings to the district level through the District ICZM Committees so that the District ICZM committee can prioritize adaptation plan recommendations received from Shehia ICZM Committees and submit to the DoE for further processes.

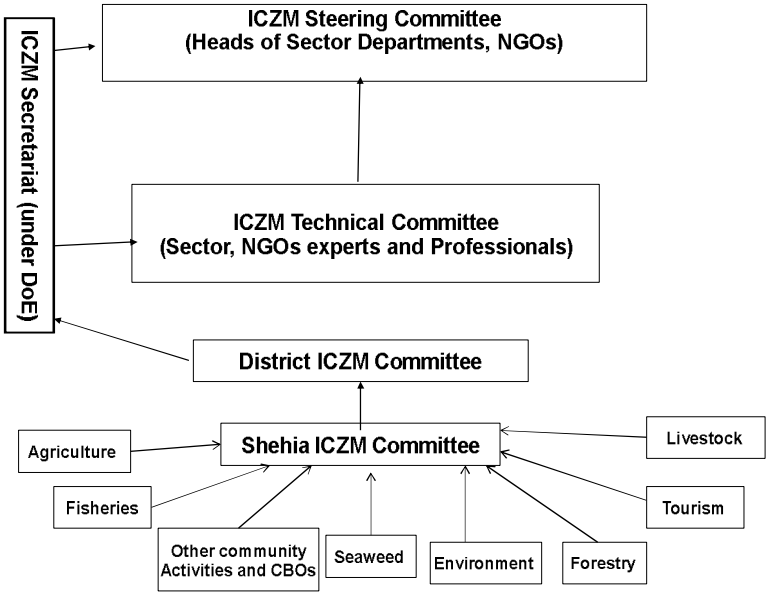


Fig 6. ICZM Institutional structure for Zanzibar

3.4.1.3 Shehia Level Planning and Budgeting

In every Shehia, there is a Shehia administration structure (Fig 7) that is comprised of Sheha, Shehia Advisory Council (Baraza la Sheha) and other Committees including the Shehia Development Committees. The Shehia Advisory Council performs its functions on a voluntary basis. The function of the Advisory Council is to advise the Sheha on matters related to ensuring that law and order are preserved in the Shehia and on other matters of welfare, which are beneficial to the well-being of the Shehia. In the planning process, after receiving the guidelines and budget ceilings from the District level the Shehia Development Committees (SDCs) prepare local development plans and budgets which are channeled through the Shehia Advisory Committees before being tabled for approval and funding through any of the following higher bodies to:

- District Council for approval and funding,
- District or Regional Development Committee for approval and funding or
- MoF, where the Sector Policy and Research Department evaluates applications and approves proposals according to its own criteria.

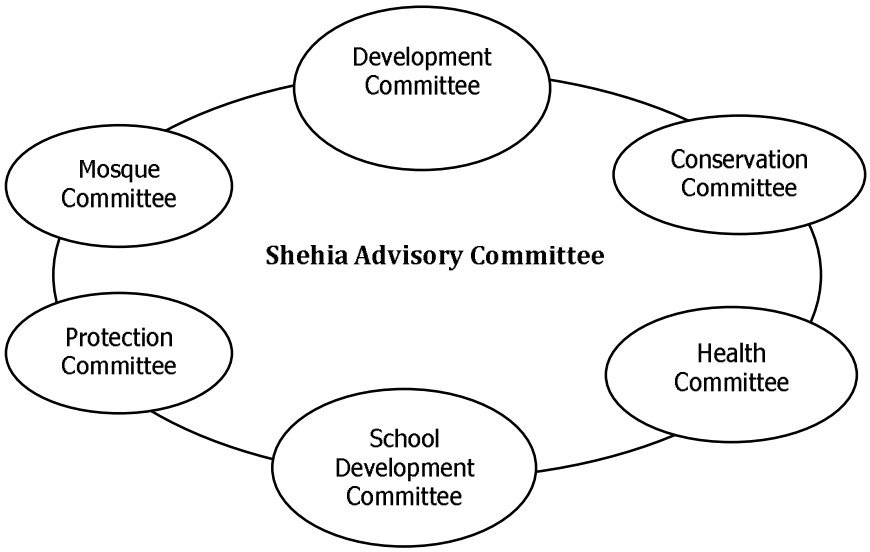


Fig 7. Venn diagram displaying a framework of Shehia Administration

In some cases, some Shehia development plans are developed in collaboration with NGOs. Shehia Development Committees (SDCs) prepare many development plans which are in cases funded by donors, and/or the government directly through the office the Sheha and, in some cases, NGOs. The SDCs can take an active part in the monitoring and evaluation of these projects. Monitoring and Evaluation should be built into projects as they are being prepared. With training and representation on the Shehia, NGOs can have major input into monitoring and evaluation activities.

Recently, through the DoE there has been an establishment of Shehia ICZM Committee in some Shehias but the target is to have them in all Shehias in Zanzibar. The Committees are composed by representatives from different sector groups within the Shehia. All community members dealing with or working on the sector activities are supposed to be members of that particular sector group. The groups among others include environments, fisheries, agriculture, forestry and tourism. In local climate change adaptation planning, Shehia ICZM committees may form the entry point for coordination and implementation of local adaptation plans at the local level because these committees represent all sector groups and needs. In principle, individual sector groups through their representatives should submit their priorities to the Shehia ICZM Committees. Taking the forest sector and referring to CoFMA as an example, the national CoFM guideline (MANR, 2011) guides the CoFMA establishment, its planning process and outputs. The main local actor is the Shehia Conservation Committee (SCC) which gains forest management responsibility including planning process share roles with the DFNR which facilitates the process in the communities. The establishment and subsequent planning process for CoFMAs starts by introducing the CoFM idea and principles of participation and equity to the community. The local area forest management plans are shared with the DFNR which incorporates different area plans into short, medium and long term sector plans. After receiving the MTSP guidelines and budget ceiling from the District ICZM Committee, the Shehia ICZM committee may prepare the plan and budget following the given guidelines and submit to the Shehia Advisory Committee for approval before submitted to the District Council for approval and funding or further channeling to other levels such as the District Commissioner and the DoE for approval and further to the MoF for funding. In this case, monitoring and evaluation should be done by the Shehia ICZM Committees.

3.4.1.4 Monitoring and Evaluation

There is no well-defined central M&E system for Zanzibar, instead, it has adopted the MKUZA II Monitoring Master Plan to monitor and evaluate the implementation of various plans. The PC has been given mandate by the Zanzibar Planning Commission Act No.3 of 2012 to oversee M&E on projects and programmes in the country. The institutional framework proposed for M&E of MKUZA II consists of three levels; implementation level (communities, non-state actors, districts, MDAs and OCGS), the coordination level (MKUZA Secretariat and Planning Commission Secretariat) and the decision making level (Inter-Ministerial Technical Committee, the Planning Commission, the Cabinet and the House of Representative).

The MKUZA II Master Plan proposed that all Ministries and Districts should have M&E units that shall collect data from all projects and programs that are being implemented in their respective Districts and Ministries and their contributions to MKUZA II objectives and targets. At the District level, the M&E system is being coordinated and managed by the District Administrative Officer who in turn reports to M&E unit of the Ministry responsible for Regional Administration, who will then report to the MKUZA II Secretariat M&E Unit. At the project level, it is

recommended that each project/programme should have an M&E sub-unit within their respective projects/programmes coordinating mechanism in the implementing Ministry.

In general, data are collected from all projects and programs in the country that are being implemented in the districts and MDAs. Community/households provide raw data for MDAs, Districts, Non State Actors (NSAs) and the Office of Chief Government Statistician (OCGS) in different ways through routine data collection, Shehia registers; also provide information for censuses and surveys that are useful for planning and evidence based decision-making. In this regard should establish M&E and MIS and allocate resource for M&E functions. The OCGS is the main government institutional body mandated to oversee data collection, compilation, analysis and dissemination activities of all official statistics across government and non- government institutions, including all national surveys and systematic compilation of statistics and indicators from all major sources of data (i.e., censuses, sample surveys and routine data systems). Higher learning institutions are also used to disseminate the information depending on their area of expertise. However, when need arises MKUZA Secretariat disseminate the findings/information in the form of written reports, oral presentations, visual displays such as in Televisions, Poverty Policy Forums and through websites.

Progress reports for MKUZA are supposed to be prepared by the Department of Planning, Policy and Research (M&E units) of each implementing agency and submitted to its higher level. The timing and frequency of reporting of progress depends on level of stakeholders in implementation. Various progress reports flows from the communities (projects) to the Planning Commission Secretariat. Therefore, to integrate progress reports of local adaptation plans into the national M&E framework the same procedure should be followed.

3.4.2 Entry Point Option 2: Cooperatives Channel

A cooperative is defined here as an autonomous association of persons united voluntarily to meet their common economic, social and cultural needs and aspirations through a jointly owned and democratically controlled enterprise (ILO, 2002). Cooperative societies may be classified into different categories based on the objectives and purpose for which they are formed and nature of activities they are performing. Cooperatives in Zanzibar are supported by laws and policies, and they have their own organization structure in performing their duties. Thus, they are another potential option for mainstreaming local climate change adaptation plans in Zanzibar

3.4.2.1 Policy and Legal Framework

Cooperatives in Zanzibar are supported by the cooperatives societies Act No. 4 enacted on 1986. In achieving the Zanzibar development Vision 2020 and the MDGs, MKUZA recognizes

cooperatives as important tools towards promoting job creation, income generation, resource mobilization, and broad-based economic empowerment.

In addition to the act, the Department of Cooperatives produced a first draft of a cooperative policy in 2009. The policy objectives mentioned in the draft policy include the following:

- To reverse the trend of state controlled cooperatives and promote autonomous self-help cooperatives that are member-based, economically viable and strong
- To comply with the International Cooperative Alliance (ICA) standards
- To support the establishment of viable cooperative financial institutions;
- To encourage internal cooperative capital formation;
- To protect cooperative business operations against unfair competition;
- To recognize and support small producer group initiatives so that they can become economically strong cooperatives;
- To support and encourage the provision of cooperative education, training and research services that focus on member empowerment.

Also, the new Local Government Authority Act (LGA) of 2014 article 43 (1) proposes to instil powers to the proposed Shehia Council to supervise and maintain cooperative societies within their Shehias.

3.4.2.2 Planning and Budgeting

The Cooperative Societies Act No. 4 of 1986 provides for three tiers of cooperatives (Fig 8):

- Primary cooperatives (a minimum of five persons may form a primary cooperative)
- Secondary cooperatives/cooperative union (a minimum of five primary cooperatives may form a secondary cooperative)
- Apex organization (cooperative federation/confederation) represented by – Cooperative Union of Zanzibar (CUZA).

The Director of the Department of Cooperatives is the Registrar for cooperatives and he/she is assisted by two assistant registrars (one in Unguja and one in Pemba). Under each assistant registrar is a coordinator and regional cooperative officers, and in each district there is a District Cooperative Officer. One of the functions of the Registrar is to register and control all cooperatives in accordance to the law. According to the law, the Registrar may delegate his duties to the registered apex organization.

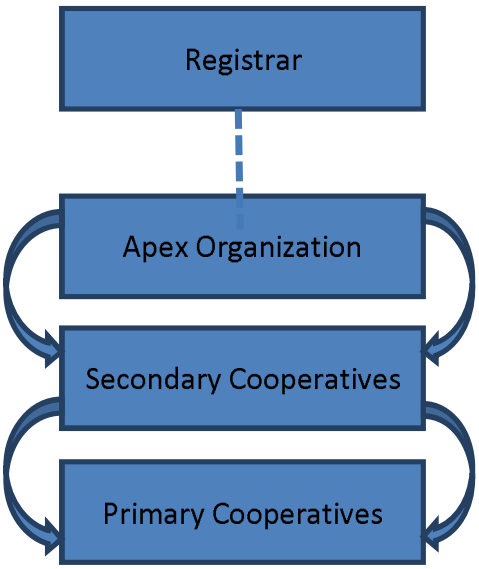


Fig 8. Organisational set-up of cooperatives in Zanzibar

Planning and budgeting procedure is often dictated by the donor, where primary cooperatives prepare plans and budgets following guidelines from the donor or its higher level (Secondary Cooperative or the district office) of authority. When the plans are heading to the government side the primary cooperatives submit the plans to the Secondary Cooperatives body where they then submit to the Apex Organization for approval and forwarding to the responsible Minister for cooperatives for the incorporation in the national plan. Therefore, local adaptation plans may be incorporated in the primary plans and submitted to the responsible funding bodies for funding and implementation.

3.4.2.3 Support to Cooperatives

Cooperatives are supported by a number of funding bodies and programmes (Fig 9). The government support is through the Ministry of Empowerment, Social Welfare, Youth, Women and Children via the Department of Cooperatives. The government funding mostly facilitates government staff (Departmental, Regional and District Cooperative Officers) in achieving their role of coordinating cooperative activities.

Apart from the government, other institutions that support cooperatives include international sector programmes/projects, financial/microfinance institutions, direct donor support and the Presidential Fund. International programmes and projects through sector ministries works with cooperatives on the notion that it is easy to deal with groups than individuals and have encouraged the formation of cooperatives. For instance, the Participatory Agricultural Development Project (PADEP) provided small grants and training to primary cooperatives (Box 2). Tanzania Social Action Fund (TASAF) promotes growth and poverty reduction. The fund supports income generating groups, including cooperatives. Likewise, the Agricultural Services

Support Programme (ASSP) through the Ministry of Agriculture and Natural Resources provides agricultural extension services support to farmers including those in primary cooperatives. The Agricultural Sector Development Programme – Livestock (ASDP-L) is a sister programme to ASSP also supports extension services for livestock farmers. Example of a Microfinance Institution that supports cooperatives in Zanzibar includes Small Entrepreneurs Loan Facility (SELF). This is a joint funding facility by the Government of Tanzania and the African Development Bank (ADB). It gives loans to groups including cooperatives. In Zanzibar, SELF has provided capacity building through short trainings to the Department of Cooperatives staff for efficient supervision and expert service of SACCOs.

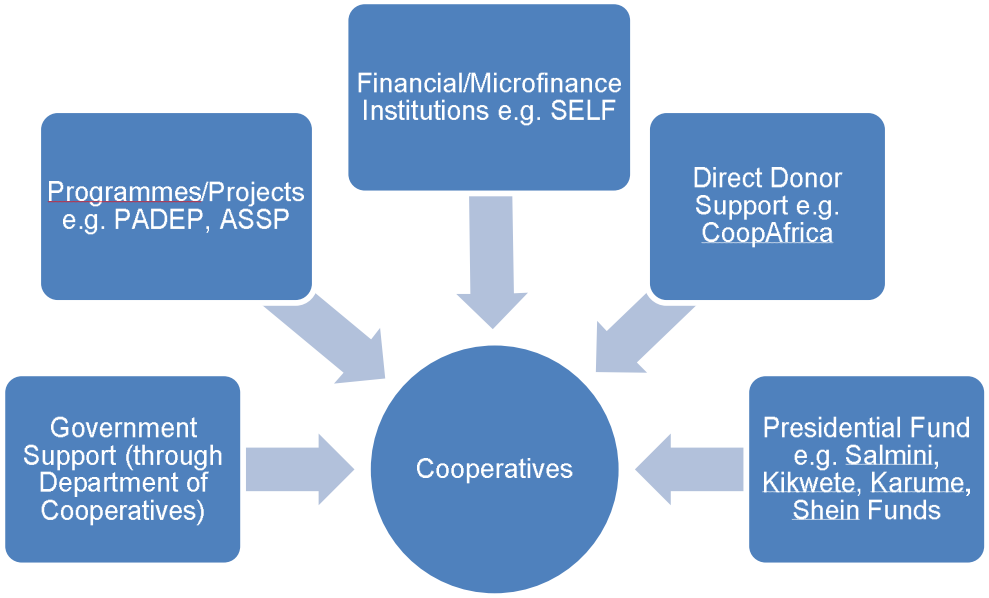


Fig 9. Supporting institutions and programmes to cooperatives in Zanzibar

Presidential Funds (which are famously named after the names of the presidents in office) are the specific subsidies by the government to boost availability of credits to the poor who remain alienated from the formal financial and banking services. Recently, the current Zanzibar President like the previous Presidential Funds [Salmin, Karume (former Presidents of Zanzibar) and Kikwete (current President of Tanzania) Funds] initiated another Presidential Fund (Shein Fund) to boost MKUZA II through youth empowerment and self-employment. These Presidential Funds are a source of loans to groups of people including cooperatives are organized by Ministry of Empowerment, Social Welfare, Youth, Women and Children through the Department of Credits in collaboration with the Department of Cooperatives, the designated commercial banks of PBZ and CRDB. In agreement, the banks are obliged to issue loans to entrepreneurs at level of up to four times as much the amount that the government through the Presidential Funds offers as collateral to the banks. In practice, the Presidential Fund is channeled to the bank account of the Department of Credit (held in CRDB and PBZ). The Bank administers this fund and channels money to cooperatives (productive cooperatives and financial cooperatives like SACCOS) without interest.

Box 2. Case Study: PADEP - Farmer Group Investment Sub-Projects

In 2003 to 2010, the government of Zanzibar with the support from the World Bank implemented a Participatory Agriculture Development and Empowerment Project (PADEP) with the objective of increasing agricultural productivity and production in a sustainable way for improvement of the rural livelihood. The project design was based on direct involvement of rural communities in the identification, preparation, implementation and management of community investment subprojects and farmer group investment subprojects.

In the case of farmer group (usually cooperatives) investment projects, at least 3 farmer groups per selected Shehia were supported by the project. After receiving the guidelines and ceilings from the Ministry responsible for agriculture through the District authority, selected farmer Groups (at the Shehia level) were required to plan and budget for their subprojects and submit to the District level. Based on plan submitted by the Shehia and from its own needs the district would prepare its annual plans and budget for financial approval by the District Management Team. After approving the plans the District Management Team which is chaired by the District Administrative Officer would submit the plans to the national level at the Project Steering Committee under the Ministry of Agriculture and Natural Resources for further approval and funding, this is after ensuring that the proposed activities are in line with the government priorities, policies and regulations.

Once subproject has been approved for funding, the group would sign a financial agreement with the district that would specify fund flow mechanisms and commitment of their contribution. The funds for the farmer group would then be released by the Project Coordination Unit (an office at the Ministry of Agriculture and Natural Resources responsible for administering PADEP) direct to their account in tranches on a matching grant basis.

The Farmer group would account to the district for the tranches on completion of activities proposed against each tranche. There was a simple book-keeping and accounting with hand written record of receipts and payments. Statement of expenditures and monitoring reports were generated from these reports.

The known direct donor support comes from ILO's Cooperative Facility for Africa (CoopAfrica). It is a regional technical cooperation programme of the ILO contributing to the achievement of the MDGs and the promotion of decent work in Africa by promoting self-help initiatives, mutual assistance in communities and cross border exchanges through the cooperative approach. This facility has been working with cooperatives and the Department of Cooperatives in Zanzibar for years. It may provide assistance to primary cooperatives through a competitive bidding process on project proposals.

Therefore, through cooperatives, local adaptation plans can be supported by the same institutions provided that they are included in cooperative plans. This is exemplified by a primary cooperative in the Shehia of Fuoni-Kibondeni which have received some grants to support mangrove planting and restoration.

3.4.2.4 Monitoring and Evaluation

The cooperatives legislation provides for the Department of Cooperatives to coordinate auditing, monitoring and evaluation and making follow-up to cooperative societies. The registrar monitors primary cooperative plans and activities through the Apex Organization. Secondary cooperatives monitor and evaluate primary cooperatives and report to apex organization which further report to the Department of Cooperatives for further actions. However, in some cases monitoring and evaluation process is donor specific. For instance, for those cooperative activities supported by programs through sector Ministry like the PADEP programme, the District authority monitors community groups and report to the responsible programme unit at the line ministry for further action. In that regard, when opting for cooperative societies channel to plan for local adaptations, the monitoring and evaluation processes should follow the existing procedures depending on the requirements of the donor.

3.4.3 Entry Point Option 3: Non-Governmental Organization Channel

Given their characteristics direct engagement with communities, both local and international NGOs have potential to provide means of supporting integration of local adaptation plans.

3.4.3.1 Policy and Legal Framework

Non-Governmental Organizations in Zanzibar are guided by Societies Act No. 6 of 1995 and the NGO Policy (2009). According to NGO Policy (2009), an NGO is defined as a voluntary group or a voluntary private group or voluntary organizations that are free and do not base on a particular political side, which are not of benefit sharing, which are established at social level, nationally or internationally with the objective of benefiting the community especially with the purpose of bringing economic and cultural development or to persuade or to stand for issues that are of benefit to the people or to a group of people or organizations. This meaning of Non-Governmental Organizations does not concern trade unions, cooperative societies, political parties or religious/faith groups, companies, schools or groups/institutions similar to those and even private organizations which provide services such as social clubs and entertainment and sports clubs.

NGOs are important partners in the development of a nation and contribute to the growth of national income and poverty reduction (MKUZA). Many sector policies including the Zanzibar's Forest Policy and the Zanzibar Environment Policy have also emphasized to collaborate with NGOs in order to achieve their goals, consequently, achieving the Zanzibar Development Vision (Vision 2020) and the Zanzibar Strategy for Growth and Reduction of Poverty (MKUZA) objectives. The community activities of NGOs are mostly supported also by sector policies. For example, a forest policy supports the establishment of community forestry management

(COFMA) in Zanzibar. These COFMAs have been established by the Cooperative for Assistance and Relief Everywhere (CARE) through its Hifadhi Misitu ya Asili (HIMA) for piloting of carbon financing for Reduced Emissions from Deforestation and Forest Degradation and sustainable conservation (REDD+)

3.4.3.2 Planning and Budgeting

Non-governmental organizations (NGOs) perform activities supported by government agencies but work outside the official structure of these agencies. As a result, NGOs typically have freedoms to operate like private businesses in the countries in which they operate. Their activities can range from advocacy to nonprofit community assistance and organizational fund-raising. An NGO structure typically centers on a particular goal, and its activities then correspond with meeting the interests of that goal.

The planning and budgeting for NGOs depends on the goal and organizational structure of that particular NGO and also on the requirements of the donor. An example of a planning and budgeting for an NGO on a REDD+ project in Zanzibar is shown in Box 3.

3.4.3.3 Financing NGOs

Foreign funds (Donor Agencies, International NGOs and Private Institutions and individuals) are the main source of financing to local NGOs and Community Based Organizations (CBOs). Government also has been providing limited funds to local NGOs to accomplish activity of their interest. An example of the Private Institutions includes the Foundation for Civil Society (FCS). This is a Tanzanian private foundation supported by several donor agencies. Among its activities, the FCS offers small grants with a simplified application and management procedure, to support civil society initiatives for development and democracy. Some of the International NGOs in Zanzibar include Action Aid, Aga Khan Foundation, CARE International and Save the Children. These INGOs are largely funded by foreign donor agencies, including the EU and the EU Member States, with some contribution from private citizens in the donor countries (Khalfan, Kibao, Mohammed, & Noval, 2012). For instance, an International NGO (CARE) received Donor support from Royal Norwegian Embassy to pilot REDD+ project in Zanzibar. And it used part of the fund to assist the establishment new SCCs and strengthen existing SCCs, local NGOs, and government institutions that works with SCCs in implementing REDD+ project. Recently, CARE assisted an umbrella Zanzibar Community Forestry Network (JUMIJAZA) in capacity development to manage REDD+.

3.4.3.4 Monitoring and evaluation

Like in planning and budgeting, the monitoring and evaluation procedures are project specific and depend on the requirements of the donor. For instance, for the REDD+ project by

CARE, JUMIJAZA monitors and evaluates all activities of the SCCs. It monitors forest attributes and social economic data. The intermediary institution (The Terra Global) monitors and evaluates the long term carbon development for voluntary market. However, all financial and or audited reports are also required to be presented annually to the Registrar.

Box 3. Case Study: CARE-HIMA Project on Piloting REDD+ in Zanzibar

The project aimed at promoting a pro-poor approach to community forest management in Zanzibar. This includes piloting of carbon financing for Reduced Emissions from Deforestation and Forest Degradation (REDD+), which provides forest-dependent communities with secure property rights, equitable rewards for providing ecosystem services and other livelihood benefits, and which informs the priorities of Zanzibar within the national REDD+ strategy. The CARE-HIMA Zanzibar project's central approach is the promotion of decentralized forest management, working at community level on Community Forest Management (CoFM).

On REDD+ project in Zanzibar, CARE is working in partnership with the Shehia Conservation Committees (SCC); local NGOs (Jozani Environmental Conservation Association - JECA, South Environmental and Development Conservation Association - SEDCA, and Ngezi-Vumawimbi Natural Resources Conservation Organization – NGENARECO); Government institutions (including Department for Forestry and Non-Renewable Natural Resources, and the Department of Environment); and other collaborating agencies/partners including the Terra Global Capital. Recently, CARE also assisted the establishment of JUMIJAZA which will take over the activities of CARE after the phase out of a project.

After receiving guideline and budget ceiling from CARE, the SCCs with the assistance of other stakeholders (e.g. Forest Officers and local NGOs staff) prepare annual activity plans. The plans are submitted to the respective local NGOs for approval depending on the location of the SCC, after approval the plan is submitted to CARE office in Zanzibar for further approval and funding. From this case study, it is seen that plans preparation begin at the Shehia level then even local adaptation plans can be incorporated on the same way and be funded through the same approach.

3.4.4 Entry Point Option 4: Financial and Private Institutions Channel

Most livelihoods in rural community especially in developing countries are climatic based activities such as agriculture, livestock keeping and fishing, thus credit is a major component for rural development and considered as an important instrument in helping micro-entrepreneurs increase their income. The Development Vision 2020 and MKUZA II emphasizes the need to provide tangible credits to small scale producers and micro-commercial sector so as to enhance efficiency in the productive and services sector, and improve the standard of living of the people and economy of the country in general. Financial institutions especially microfinance facilities can be a critical element of an effective poverty reduction strategy. Improved access and efficient provision of savings, credit, and insurance facilities in particular can enable the poor to smooth their consumption, manage their risks better, gradually build their asset base, develop their micro enterprises, enhance their income earning capacity, and enjoy an improved quality of life.

Formal and informal financial systems co-exist and operate side by side with one another (Kessler, Marigue, & Ullmo, 1985). Each segment of the financial market provides credit services that differ from each other with respect to target group, loan procedures, loan duration, and amount of loan, its use, interest rates and transaction costs. The principal providers of financial services to the poor and low income households in the rural and urban areas of Tanzania consist of NGOs (such as PRIDE Tanzania), Cooperative based institutions (such as SACCOS), and Banks such as the National Microfinance Bank (NMB). Therefore, financial institutions especially microfinance institutions may be used as another option for incorporating local adaptation plans in Zanzibar.

3.4.4.1 Planning for Receiving a Loan

Financial institutions that give loans to small and medium-sized enterprises use various lending mechanisms. The most used method is the use of solidarity group (individual lending with cross guarantor-ship). However, individual lending and village bank lending may also be used. The definition of small and big loans varies from one microfinance institution (MFI) to another. And, for those clients seeking for big loan, collateral is demanded. The kind of collaterals required includes houses, cars and some expensive durable assets like TV and refrigerators. Normally, a new client has to undergo several processes before being given a loan. A client is required to start with a small loan and after repayment of this loan the client graduates to receiving the next higher loan amount. An example of a loan procedure from a micro-finance credit facility is given in Box 4 below.

3.4.4.2 Monitoring and Evaluation

The Monitoring and evaluation also depends on the nature of the financial institutions. For the case of PRIDE Tanzania, since clients for MEC meets and repay weekly, through this way their business records are tracked and evaluated by the PRIDE officers through EGs and MECs. Although this repayment enforcement mechanism contributes to high repayment rates and low risk of loan losses, its high transaction costs to the lenders and high opportunity costs and possibilities of social exclusion from groups leading to loss of social capital on the side of borrowers are particularly important factors to consider during interventions for local planning.

Box 4. Case Study on procedures that apply in receiving a financial loan from PRIDE Tanzania Ltd.

The Promotion of Rural Initiative and Development Enterprise (PRIDE) Tanzania was chosen because it is considered to be among the MFIs with the best practices for administering microfinance services in Tanzania. Interview was conducted with a PRIDE Officer, Zanzibar, and information obtained was supplemented by secondary information from the literature.

PRIDE Tz's lending methodology is based on the solidarity group lending model adopted from the Grameen Bank model operating in Bangladesh. PRIDE Tanzania has two kinds of products; Market Enterprise Committee (MEC) and Premium Enterprise Group (PEG). MEC operates in a group of 50 people but divided into 10 groups of 5 people each called Enterprise Group (EG). An EG is composed of a chairperson and a secretary who are elected by group members. The MEC on the other hand is led by an Executive Committee comprised of ten members from respective EGs. The primary task of Executive Committee within a MEC is to make follow up whenever repayment problems arise and build solidarity amongst the group. In MEC loan starts from TZS 300,000 to TZS 3,000,000. While in PEG which is operating in a group of 3 to 5 people after the client have already graduated from MEC, the loan starts from TZS 4,000,000 to above depending on the capacity of the client.

The new clients has to undergo several procedures before being registered with a PRIDE and get loan, as follows;

- New loan applicants are required to form a group of 5 people who self- selected but not blood related. This is to guarantee each other from the group
- The new group has to be interviewed by a PRIDE Officer to check if they have on-going businesses.
- If approved, the new group is asked to join in an existing MEC
- The new group is then being scrutinized by the MEC. This includes going to their Shehias and get introductory letters from their Shehas (including signing of PRIDE form), the MEC should also insure that those new clients have running businesses.
- The report of inspection and follow-up should be presented to the whole MEC and discussed to find if they meet the requirements of being members of the MEC.
- If approved, the new clients are then registered and start receiving weekly trainings for the first 4 weeks before being allowed to apply for a loan. They also start to contribute a minimum of 3,000 every week as a guarantee (refundable), and after 4 weeks the new clients can apply for a loan of TZS 300,000 each (this is only given if the contributions have reached TZS 75,000).

4. Conclusion

Climate change is a global phenomenon that extends beyond national boundaries, but its impacts are felt locally especially by populations residing in rural communities. Low income states like Zanzibar are hardest hit by climate change because of their reliance on resources such as agriculture, forestry, tourism and fishing which are significantly sensitive to climate change, compounded by their low economic, policy and institutional adaptive capacity.

This report has reviewed the existing policy and institutional framework to explore its capacity to support bottom-up local adaptation planning process for Zanzibar. Differences in local institutional arrangements are key determinants of the operational and structural designs of LAPA in any country. As such, some organizational pathways may be appropriate in certain circumstances and inappropriate in others. Such variations demands for appropriate understanding of the existing systems to properly inform and improve the design of entry points. The review has shaded light to decision makers, practitioners, donors, communities that will be involved during piloting and development of the local adaptation framework for Zanzibar. It has been revealed that there are a number of possible distinct organization structures leading to different planning and implementation pathways. Four entry points have been proposed for piloting: the government system pathway; the cooperatives pathway; the NGOs pathway and the financial/credit facility institutions pathway. While climate change is a mainstreamed policy issues, the efficiency and effectiveness of either of these pathways for local adaptation planning is largely embedded on the capacity of the institutional set-up which is largely not clearly defined in terms of the jurisdictional boundaries and sharing of decision making procedures.

Most policy and legislative frameworks relevant to climate change issues in Zanzibar are under revision. This may shade a best opportunity for harmonization. For instance, the newly assented LGA framework will potentially address the uncertainties of the decision making hierarchy and therefore the M&E protocol. Local adaptation planning may thus be a promising (not a one off) solution for institutionalized local-level adaptation planning that aims to encompass local needs and thus direct interventions, investments and resources to where, when and by whom these are most needed.

From the present scoping analysis, there is not one off recommendation of an ideal organizational structure that will efficiently support local adaptation planning, implementation and monitoring and evaluation of the interventions and investments, rather the design will have to be tailored to local circumstances upon piloting. Development of the LAPA framework following the field piloting of proposed four entry pathways will thus have to encompass local conditions that influence differences in community perceptions and priorities.

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Appendix 1. List of key policy, institutional and legislative framework documents reviewed

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Cooperative Development Policy. Final Draft. May 2014

Cooperative Societies Act, No. 4 of 1986

Mapitio ya Hali ya Uchumi 2013 na Utekelezaji wa Mpango wa Maendeleo Zanzibar 2013/2014. Kitabu cha Kwanza. Tume ya Mipango Zanzibar. Mei 2014

MKUZA II Monitoring Master Plan 2010-2015. Zanzibar Planning Commission.

Monitoring and Evaluation Framework for Zanzibar Disaster Management Policy. The Second Vice President's Office. June, 2013

Mwelekeo wa Hali ya Uchumi na Mpango wa Maendeleo Zanzibar 2014/2015. Kitabu cha Pili. Tume ya Mipango Zanzibar. Mei, 2014

National Forest Policy for Zanzibar. Commission for Natural Resources. Forest Sector, Zanzibar. 1999

National ICZM Strategies and Action Plan for Zanzibar. July 2009

National Operational Guidelines for Zanzibar Disaster Management Policy. The Second Vice President's Office. June 2013

Non-Governmental Organizations Policy. March, 2009

The Disasters Management Act, 2013

The Forest Resources Conservation and Management Act, No. 10 of 1996

The Proposed Zanzibar National Forest Resources Policy. Ministry of Agriculture and Natural Resources, Department of Forest and Non-Renewable Natural Resources. June 2014

The Societies Act, No. 6 of 1995

The Zanzibar Local Government Authority Act, 2014

The Zanzibar Planning Commission Act, No. 3 of 2012

Zanzibar Climate Change Strategy. First Vice President's Office. May 2014

Zanzibar Disaster Communication Strategy (ZDCS). The Second Vice President's Office. August, 2011

Zanzibar Disaster Management Policy. The Second Vice President's Office. August 2011

Zanzibar Emergency Preparedness and Response Plan (ZEPRP). The Second Vice President's Office. August, 2011

Zanzibar Environment Policy. The First Vice President's Office, Department of Environment. February 2013

Zanzibar Strategy for Growth and Poverty Reduction (ZSGPR II) 2010-2015. MKUZA II. October 2010

Appendix 2. List of consulted officers/individuals and their institutional affiliations

Abdulrahiman Mnoga	Senior Officer, Department of Regional Administration and Local Government
Ali Hamis Thani	Programme Officer, CARE Tanzania, Zanzibar Office
Ali Juma Hamad	Director, Disaster Management Department
Awesu S. Ramadhani	Deputy Secretary, JECA
Aziza Juma Ali	Aid Coordinating Officer, Department of External Finance
Bihindi Nassor Khatib	Commissioner for External Finance, Ministry of Finance
Fatma Ali Hamis	Programme Officer, CARE Tanzania, Zanzibar Office
Fatma Mohamed	Coordinator, TASAF Zanzibar Office
Fatuma Kejo	Manager, PRIDE Tanzania, Zanzibar Branch
Kessy Issa	Legal Officer, Department Cooperatives
Khamis Simba	Director, Department of Cooperatives
Mafunda Sharif	Human Resources Officer, Department of Cooperatives
Mariam Dhahiri	Senior Planning Officer, Planning Commission
Mwita Mgeni	Commissioner for Budget, Ministry of Finance
Omar Adam	Loan Officer, Department of Cooperatives
Seif Shaaban	Planning Commission
Sharif Bakari Kombo	Planning Commission
Sheha Mjaja Juma	Director, Department of Enviroment
Sihaba Haji Vuai	Head of Climate Change Unit, Department of Environment
Søren Haldrup	UNDP Consultant, Planning Commission

Appendix 3. Proposed components, composition, and functions of the climate change institutional framework for Zanzibar (schematic presentation of this framework is presented in Fig 2)

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1. National Implementing Entity (NIE) for Zanzibar:

a) To communicate all Zanzibar climate change developments within the national and international climate change arenas.

b) To deliver the Zanzibar Climate Change Communications to the United Nations Framework Convention on Climate Change (UNFCCC) through the United Republic of Tanzania and through the platform of the Small Island Developing States (SIDS).

c) To establish, under the Revolutionary Government of Zanzibar, bilateral and multilateral cooperation on Climate Change Adaptation, Mitigation and other related issues,

d) To coordinate all Climate Change, and climate change related, activities, projects, and programs in Zanzibar.

e) To provide guidance for, and approve/endorse, Climate Change Policy and Strategy and other climate change related documents for Zanzibar.

f) To facilitate research and other studies on climate change issues for Zanzibar,

2. Climate Change Steering Committee for Zanzibar:

a) To advise the Minister responsible for the National Implementing Entity (NIE) on all Climate Change matters for Zanzibar.

b) To recommend on guidance for Climate Change Policy and Strategy, the National Adaptation Plan of Action and any other climate change related document for Zanzibar.

c) To evaluate the implementation of climate change policy, strategy, NAPA and other climate change programs for Zanzibar.

Composition of the Committee shall involve a total of eleven (11) members who will be at the level of Principal Secretaries:

1. Principal Secretary of the First Vice President Office – Chairman.
2. Principal Secretary of the President Office, Finance Economy and Development Planning – Member
3. Principal Secretary of the Second Vice President Office – Member
4. Principal Secretary of the Ministry of Agriculture and Natural Resources – Member
5. Principal Secretary of the Ministry of Water Settlement Land and Energy – Member
6. Principal Secretary of the Ministry of Health – Member
7. Principal Secretary of the Ministry of Fisheries and Livestock – Member
8. Principal Secretary of the Ministry of Trade Industry and Marketing – Member
9. Principal Secretary of the Ministry of Social Welfare, Women and Children Development – Member
10. Principle Secretary of the Ministry of Information, Culture, Tourism and Sports – Member
11. Executive Secretary, Zanzibar Commission for Planning
12. Deputy Attorney General of the Revolutionary Government of Zanzibar
13. Director of Planning Policy and Research (FVPO) – Secretary
14. Director of Environment, Zanzibar – Secretary.

3. Climate Change Technical Committee for Zanzibar:

a) To carry out the functions of technical advisory to the Steering Committee on all Climate Change matters for Zanzibar.

b) To prepare Climate Change Policy and Strategy for Zanzibar.

c) To prepare the National Adaptation Plan of Action and any other climate change related document for Zanzibar.

d) To regularly monitor, assess and evaluate trends in climate variations, to climate change impacts, vulnerabilities, and effects on the socio-economic arena, and provide a road map towards appropriate adaptation and mitigation measures.

Composition of the Technical Committee will involve a total of twenty-five (25) members who will be at the level of directors but invitations can be extended as necessary:

1. Director of Policy, Planning and Research (FVPO) - **Chairman**
2. Director of Environment – **Secretary**
3. Commissioner of National Planning, Sector Development and Poverty Reduction – Member
4. Director of Disaster Management – Member
5. Director of Fisheries Development – Member
6. Director of Marine Resources – Member
7. Director of Livestock Production – Member
8. Director of Forestry and NRNR – Member
9. Director of Agriculture – Member
10. Director of Trade – Member
11. Director of Industry – Member
12. Director of Health – Member
13. Director of Regional Administration Coordination – Member
14. Director General of Zanzibar Water Authority – Member
15. Director of Urban and Rural Planning – Member
16. Director of Women Development and Children - Member
17. Director of Energy – Member
18. Executive Director – Zanzibar Commission for Tourism – Member
19. Officer, Ministry Responsible for Environment, Pemba – Member
20. Director of Research, the State University of Zanzibar – Member
21. Director of Tanzania Meteorology Agency, Zanzibar – Member
22. Director of Institute of Marine Sciences, Zanzibar – Member
23. Chairman, Umbrella of NGO Zanzibar (ANGOZA) – Member
24. Chairman, Zanzibar Association for Tourism Investment – Member
25. Secretary, environmental NGO – CODECOZ – Member
26. Secretary, social NGO – Pemba Island Relief Organisation – Member
27. Secretary, environmental NGO – Misali Island Conservation Association – Member
28. Special woman seat – Member
29. Special media seat – Member
30. Senior State Attorney (Mr Ali Ali Hassan) from Zanzibar Attorney General Chamber – Member

4. Climate Change Sub-Committees:

These are formed within the Climate Change Technical Committee to pursue a specific national program of action of the National Climate Change Steering Committee. The number of the Sub-Committees at any given time shall depend on the number of Climate Change programs being carried under the Climate Change Technical Committee, for example:

a) Development of Climate Change Policy/Strategy for Zanzibar **(Lead DoE)**

b) Co-ordination of Reduction of Emission from forest Deforestation and Degradation (REDD) Issues for Zanzibar **(Lead DFNRNR)**

c) Development of National Adaptation Plan of Action (NAPA) for Zanzibar **(Lead DoE)**

d) Co-ordination of Clean Development Mechanism (CDM) issues in Zanzibar **(Lead DoI)**

e) Co-ordination of Small Island Developing States (SIDS) Relations **(Lead DPPR-FVPO)**

f) The Co-ordination of Economics of Climate Change for Zanzibar **(Lead SUZA)**

5. Technical Working Groups (TWGs):

These are composed of a multi-disciplinary team of experts (from Government institutions, NGOs, CSO, Research and Academic institutions, etc.) in the relevant field of climate change and are led by the Director of the major stakeholder institution, who is also a member of the Zanzibar Climate Change Technical Committee. The composition of the TWGs corresponds to the major components of Climate Change issues, for example:

i) TWG on Climate Trends and Variations:

Members of this group will have a multisectoral task which will involve monitoring and evaluation of temporal and spatial atmospheric and sea water temperatures, precipitation, sea level rise, extreme weather events, etc. The group is formed by the technical from:-

a) Department of Environment
b) Disaster Management Department
c) Tanzania Meteorological Agency (Zanzibar Zone) **(Lead)**
d) Institute of Marine Sciences
e) State University of Zanzibar
f) Any other invited member.

ii) TWG on Impacts and Vulnerabilities:

The group will have a multisectoral task which will involve monitoring and evaluation of temporal and spatial coastal ecosystems, water resources, food security, human health, settlements and livelihood activities. The group is formed by the technical from:-

a) Department of Environment
b) Department of Fisheries
c) Department of Livestock Development
d) Department of Agriculture
e) Department of Preventive Services and Health Education
f) Department of Forestry and Non Renewable Natural Resources
g) Disaster Management Department
h) Institute of Marine Sciences
i) State University of Zanzibar
j) Department of Rural and Urban Planning **(Lead)**
k) Zanzibar Water Authority
l) Any other invited members

iii) TWG on Assessment of Drivers of Climate Change:

This TWG will have a multisectoral task that will involve temporal and spatial monitoring, evaluation, inventory and assessment of forest and non-forest related CO_2 emissions such as deforestation and degradation, greenhouse gases from vehicular, industrial and cropland emissions, ozone depleting substances, etc. The group will involve technical staff from:-

a) Department of Environment
b) Department of Fisheries
c) Department of Trade
d) Department of Industry
e) Department of Forestry and Non Renewable Natural Resources
f) Disaster Management Department
g) State University of Zanzibar **(Lead)**
h) Office of the Chief Government's Statistician
i) Institute of Marine Sciences
j) Vocational Training Centre at Mkokotoni
k) Any other invited members

iv) TWG on Low Carbon Energy:

This group will have a multisectoral task that will involve studies on current fuel consumption patterns, types of fuels, research on alternative sources of energy, woody biomass, technologies in LPG stove and other sustainable green charcoal technologies, biogas energy, etc. The TWG will involve technical staff from:-

a) Department of Environment
b) Department of Trade
c) Department of Industry
d) Department of Forestry and Non Renewable Natural Resources
e) Department of Livestock Development
f) Department of Energy **(Lead)**
g) Zanzibar Electricity Supply Company
h) Any other invited members

v) TWG on Adaptation and Mitigation Processes:

This TWG will be responsible for compilation and preparation of relevant data required for the development of NAPA, REDD, CDM, Climate Change Strategy, Policy or any other related document. The group will receive data from other TWGs and report to the respective Sub-Committee. Members of this group are technical staff from:-

a) Department of Environment **(Co-Lead),** and
b) Department of Forestry and Non Renewable Natural Resources **(Co-Lead).**
c) Any other invited member.

6. Zanzibar Climate Change Secretariat:

The Climate Change Secretariat for Zanzibar is established under or within the Department responsible for Environment whereby seven members of staff will be involved as director may appoint. The Director responsible for Environment shall lead the Secretariat. The Director will also be the Secretary of the Climate Change Technical and Steering Committees. Basic responsibilities of the Secretariat will be to coordinate and monitor the implementation of climate change related issues in Zanzibar, and to serve or facilitate the Steering and Technical Climate Change Committees meetings.

First Vice President's Office, Revolutionary Government of Zanzibar

The First Vice President's Office (FVPO) under the Revolutionary Government of Zanzibar is established under the set-up of the Government of National Unity (GNU). FVPO is mandated to among others, supervise and coordinate policy and governance issues related to sustainable environmental management and climate change. In particular, FVPO provide support to policy implementation that promotes climate resilient resources management and mainstreaming climate change into sector specific and related stakeholders plans, programmes and projects.

International Institute for Environment and Development

IIED is a policy and action research organisation. It promotes sustainable development to improve livelihoods and protect the environments on which these livelihoods are built. It specialises in linking local priorities to global challenges. IIED is based in London and works in Africa, Asia, Latin America, the Middle East and the Pacific, with some of the world's most vulnerable people. It works with them to strengthen their voice in the decision-making arenas that affect them – from village councils to international conventions.

Institute of Marine Sciences, University of Dar es Salaam

The Institute of Marine Sciences (IMS) of the University of Dar es Salaam and operates to undertake research, provide advanced training in marine sciences and provide advisory and consultancy services in all aspects of marine sciences. IMS aims at achieving a number of national, regional and international interests including: (i) Contribution through research, advice, and direct intervention to Tanzania's food security programmes. (ii) Providing Tanzania with capability and awareness to address problems and issues arising out of the new ocean regime. (iii) Contributing significantly to Tanzania's goal of attaining self-reliance in high-level manpower as marine scientists, engineers and technicians and (iv) Creating conditions that will enable Tanzania to play its rightful role in ocean affairs, particularly, to make a meaningful contribution to national, regional and international programmes devoted to studies of the ocean and their resources.

First Vice President's Office
Revolutionary Government of Zanzibar
PO Box 2808, Migombani,
Zanzibar, Tanzania
Tel: +255 (0)24 2234617
Fax: +255 (0)24 2234606
Email: info@fvpozanzibar.go.tz
www.fvpozanzibar.go.tz

International Institute for Environment and Development
80-86 Gray's Inn Road, London WC 1X 8NH, UK
Tel: +44 (0)20 3463 7399
Fax: +44 (0)20 3514 9055
Email: info@iied.org
www.iied.org

Institute of Marine Sciences
University of Dar es Salaam
PO Box 668, Mizingani Road,
Zanzibar, Tanzania
Tel: +255 (0)24 2230741
Fax: +255 (0)24 2233050
Email: director@ims.udsm.ac.tz
www.ims.udsm.ac.tz