



MINISTRY OF NATURAL RESOURCES AND TOURISM

# REDD+ Capacity Needs Assessment in Tanzania

## Policy Brief

Prepared by Karen Edwards, Kahana Lukumbuzya and George Kajembe  
LTS International for the Ministry of Natural Resources and Tourism (MNRT)  
and UN-REDD Programme in Tanzania

August 2012

## Introduction

The purpose of this capacity assessment was to identify the capacity needs of government institutions at national, regional and local levels to establish and manage a REDD+ scheme, propose capacity development measures to address the identified needs, and, depending on the budget available, initiate appropriate capacity development interventions. The assignment was also required to build on a number of related studies that have been published and learning and capacity building events on REDD+ in Tanzania.

**A number of key principles currently provide the foundation for readiness of REDD+ at an international level** including the assumption that payments will be **performance based, independently verifiable and based on sites that can demonstrate additionality and permanence.** REDD+ without doubt will need to be integrated within the existing policy frameworks in Tanzania that support sustainable land management. This is already captured in the Draft National REDD+ Strategy that recognises other initiatives such as Participatory Forest Management (PFM) and Land Use Planning (LUP) as a basis for REDD+.

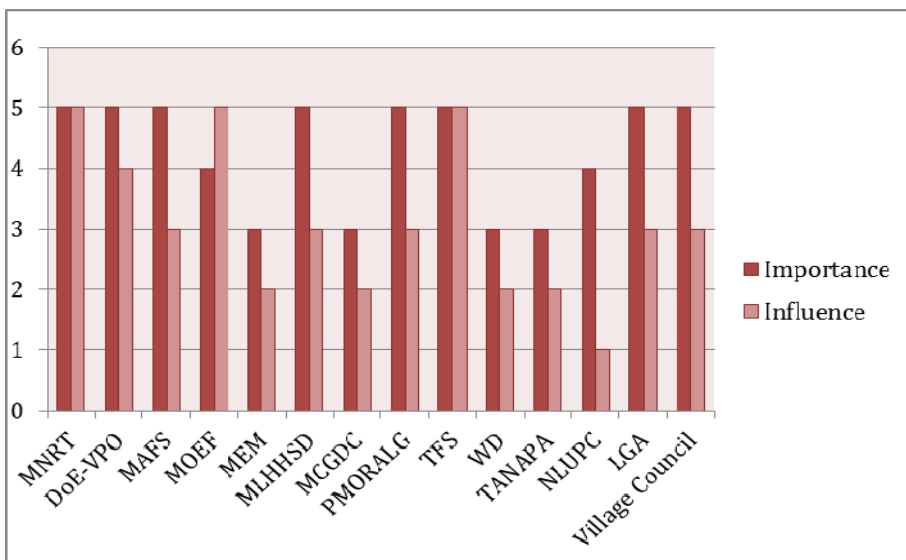
**To some extent there is already diversity in the national discourse of Tanzania about REDD+ and its scope.** For some groups and

### What is REDD+?

“Reducing Emissions from Deforestation and Forest Degradation or REDD is an effort to create a financial value for the carbon stored in forests, offering incentives for developing countries to reduce emissions from forested lands and invest in low carbon paths to sustainable development. ‘REDD+’ goes beyond deforestation and forest degradation, and includes the role of conservation, sustainable management of forests, and enhancement of forest carbon stocks.” (UN-REDD, 2011)

institutions REDD+ is perceived as a financial payment system derived and designed from global climate negotiations as an effort to reduce emissions. Others would like to see it understood as a much wider set of practical field interventions that will contribute to reducing deforestation and degradation and improving livelihoods.

For the purposes of this report and defining the desired capacities, the Capacity Needs Assessment (CNA) team assumed the earlier understanding, but have considered REDD+ within the current Tanzania policy context and the current drivers of deforestation in Tanzania. This involves making sure the performance-based verified payment system (REDD+) is set institutionally within existing policies, based on lessons from other programs and mobilises existing capacity



**Figure 1. Comparison of Importance and Influence of Tanzanian Government Institutions in relation to establishing and managing a national REDD+ scheme**



created for other initiatives such as PFM, PLUM and related interventions to improve productivity of agriculture.

**The nature of REDD and the level of uncertainty of how it will evolve in the future calls for a flexible dynamic approach to learning and building capacity including institutional arrangements.**

#### What is “Capacity for REDD+?”

The ability of individuals, institutions and societies in Tanzania to establish and manage a vision for REDD+, key policy objectives and field implementation whilst meeting challenges of REDD+ in a sustainable manner.

Who requires capacity to establish and implement REDD+?

**REDD+ will require a behavioural change at different levels and needs institutional cooperation and collaboration across sectors and between stakeholders.** The institutional landscape for REDD+ is still evolving. When examining the key mandates of government institutions and REDD+ the existing levels of importance and relative power can be assessed and related to their ability to influence others (see Figure 1).

Already REDD+ is prompting the emergence of new institutions such as National Carbon Monitoring Centre (NCCM) and later a National REDD Fund. **Institutions that have key mandates for REDD+ implementation need clear roles and responsibilities with mutual accountabilities to achieve the REDD+ goals.** This is still evolving and some capacities that currently lie outside the key institutions are filled through the mandate of the temporary structures of the National REDD+ Task Force and its secretariat. The assessment identifies how these capacities could be institutionalised within existing government institutions.

What should be the focus of a capacity assessment?

Classically capacity assessments prioritise skills and knowledge gaps. Key interventions identified often solely focus on training or education. This is usually not sustainable as if training of individuals is not linked to the leadership and systems that the individual concerned is accountable within then the investment is unlikely to be fruitful.

**This assessment adapted the UNDP and National Tanzania Framework for capacity assessment that uses a multi-dimensional approach and provides the scope to assess institutional incentives, leadership issues, accountability and dialogue processes.** Knowledge was only one element of the comprehensive assessment. Core focal issues were based on a participatory analysis of the current bottlenecks for REDD+ in Tanzania as identified by the stakeholders. It was these core issues that became the foci for the assessment.

Functional capacities can be explained as those capacities that are required to make something happen and will be required across any theme, project or programme. UNDP has defined five different **functional capacities; capacity to engage stakeholders, capacity to assess a situation and define a vision and mandate, capacity to formulate policies and strategies, capacity to manage, budget and implement, capacity to evaluate (UNDP 2008).** All of these five functional capacities are relevant to government institutions with a functional role in making REDD+ happen in Tanzania.

**Technical skills, while important, are rarely enough alone.** Individual and organisational learning through effective communication and joint reflection processes is much more likely to lead to sustainable capacity in the long term. It is therefore necessary to **ensure a balanced approach that works with different types of capacity simultaneously.**



## What have previous assessments identified as priority needs?

There have been several different kinds of assessment already undertaken in relation to REDD+ some institutionally specific and some with a focused theme. Overall in the literature there has been agreement that there are needs for more emphasis and capacity in the following areas but no indication of priorities or sequence has been agreed:

- Building HR capacity with technical knowledge and skills on REDD+
- Monitoring and verification of carbon reference levels
- Public awareness and engagement
- Institutional arrangements and incentives
- Management and reporting functions supportive of REDD+ modalities

**Table 1. Summary of Perceived Existing Capacities at Different Levels based on Functional Tasks for REDD+ (text Ref Page 5)**

Central Level	District Level	Village Level
1. Capacity to establish and manage a national carbon fund (I/F)	7. Capacity to interpret and adjust regulations and frameworks for local level improvements to manage drivers of deforestation and degradation (F/T/I)	16. Capacity to reach out and seek information on rights and new ideas (PE/F)
2. Capacity to identify clear roles & responsibilities within the REDD + strategy action plan and determine mechanisms for mutual accountability (A/F)	8. Capacity to engage in functional partnerships for improved service delivery (F/I)	17. Capacity to track, record and report use and/or distribution of REDD+ payments (K/T)
3. Capacity to negotiate at international level based on national position (L/T)**	9. Capacity to plan and scale out PFM (legal agreement level) as basis for REDD+ (F/I)	18. Capacity to collect and record data for carbon reference levels according to standards/protocol (K/T)
4. Capacity to establish and manage an information system for REDD+ (K/T/F)	10. Capacity to endorse timely approval of forestry and land use by laws (F/I)	19. Capacity to develop and update forest management plans (K/T)
5. Capacity to set protocols, guide and implement public consultation processes on REDD+ policies and issues (PE/F)	11. Capacity to self-monitor and meet obligations of collaborative partnerships (F/A)	20. Capacity to create a shared vision for sustainable land use management (L/F)
6. Capacity to develop relevant gender sensitive communication products and processes on REDD+ (PE/T)	12. Capacity to create a shared vision for sustainable land use management at district level (F/L)	21. Capacity to transparently approve land use plans (I/F)
	13. Capacity to identify and prioritise areas suitable for REDD+ within the district (F/T/K)	
	14. Capacity to mobilise financial resources for PLUM (F/L)	
	15. Capacity to deliver technical expertise and accurate up to date information in PLUM process (T/K)	



Many previous capacity assessments have identified the numbers of government staff as a limiting constraint during implementation. The approach taken by the CNA team during this assessment was to identify interventions that mobilise and utilise existing capacity optimally. **A priority cannot be to expand numbers of staff in situations where existing capacity is not yet fully functional.**

### What are key capacity strengths and gaps for implementing REDD+ in Tanzania?

Based on a task and institutional analysis of REDD+ a capacity assessment framework was established. Capacities were defined specifically each with indicators and

categorised as technical or functional (T/F). Each capacity was linked with core issues that the CNA was exploring (Institutional (I), Accountability (A), Leadership (L), Dialogue (D), Knowledge (K), Public engagement (PE)). The CNA team based on their informed opinion of REDD+ internationally and the current situation in Tanzania set the desired level of capacity using a scoring system from 1-5. Individuals and core focus groups from the priority institutions of DoE, TFS, PMO-RALG, and 7 selected district executives, councillors and villages were interviewed or asked to assess themselves against the framework.

The process identified existing capacities and capacity gaps at the central, district and village level. The analysis was based on the perceptions and the scores of the focus group

**Table 2. Summary of Perceived Primary Capacity Gaps**

Central Level	District Level	Village Level
<ul style="list-style-type: none"> <li>Capacity to clarify and institutionalize carbon rights in relation to tenure (I/T/F)</li> <li>Capacity to establish clear and practical protocols for social safeguards (I/T)</li> <li>Capacity to create and guide a shared vision for REDD+ at national/and or institutional level (L/F)</li> <li>Capacity to express an institutional position and voice with strategic or powerful stakeholders (D/F)</li> <li>Capacity to monitor land use change to the sub-hectare level for the whole of Tanzania (K/T)</li> <li>Capacity to formulate protocols for carbon data collection and analysis across sectors (K/T)</li> <li>Capacity to provide evidence in an independent verification process (A/F)</li> </ul>	<ul style="list-style-type: none"> <li>Capacity to influence through feedback national and district system linkages for carbon data management (F/I)</li> <li>Capacity to follow protocols to collect data on carbon data for collation at national level (F/A)</li> <li>Capacity to deliver reliable information and data at request of independent verifiers (to protocol and standards) (F/A)</li> <li>Capacity to inform stakeholders on benefits, risks and opportunity costs of REDD+ (F/T/K)</li> <li>Capacity to inform stakeholders on their rights and responsibilities with respect to social safeguards (F/T/PE)</li> </ul>	<ul style="list-style-type: none"> <li>Capacity to institutionalize elements of good governance including gender equity (I/F)</li> <li>Capacity to enforce rights, land use and forest bylaws (I/F)</li> <li>Capacity to comply with land and forest bylaws (PE/T)</li> <li>Capacity to take a position as a village and negotiate with strategic players and/or more powerful stakeholders (D/F)</li> <li>Capacity to make transparent, democratic decisions about distributions and use of REDD+ payments (A/F)</li> </ul>



interviews and is a reflection of the patterns that emerged.

A number of capacities were identified as existing at different levels and there were no clear patterns across core issues (see Table 1). Capacities that related to on-going tasks and experiences in other sectors or programs have generally been identified as existing.

A number of observations were made during district consultations where many capacities were identified existing or as secondary gaps. However, evidence of that existing capacity translating into results is not yet evident or widespread. For example even in districts where staff are fully trained on PFM or PLUM and have the technical knowledge this is not yet rolled out to a majority of villages that require it. This is a strong example of where technical knowledge is perceived to exist yet functional capacity is still weak at the organisational level for delivery of services in the field especially at the district level.

It is unsurprising to note that overall the areas identified as primary gaps are related to the technical and institutional areas of REDD+ that are still technically and institutionally unfamiliar or unclear. As identified in previous reports and recent evaluations ownership and leadership around REDD+ at national level in Tanzania has been influenced by development partner decisions and funding flows and structures. This has led to a slow evolution of institutional arrangements for

REDD+ and is a learning process. Despite this the most awareness and discourse on REDD+ exists at the national level although the primary gaps identified provide an indication of the areas in which less progress has been made. **There is extremely limited knowledge and technical skills at the district and village level which is in fact the core sphere of REDD+ implementation.**

At the district level it is evident that there are functional challenges particularly in planning and data monitoring that already hinder the widespread implementation of other policy frameworks that support sustainable land management such as PFM and PLUM. At village levels there are clear patterns in the primary gaps in relation to governance and power for enforcing their own rights.

### What is the plan for capacity development for REDD+?

The capacity development plan for REDD+ in Tanzania has been designed based on the capacity gap analysis and issues emerging through the consultations with priority institutions. The plan has been developed over a five-year time frame considering both quick win and long-term strategic interventions.

#### Capacity Development Plan (2012-2017) Outcomes

1. By the end of 2013 appropriate high level institutional incentives and accountability mechanisms will be in place to ensure functioning and efficient institutional arrangements for REDD+ at the national level including improved stakeholder consultation protocol and processes;
2. By the end of 2013 REDD+ "practical" up to date training modules are streamlined and available at mainstream training institutes with at least 3 trained trainers, from different sectors available at regional and district level;
3. By the end of 2017 Tanzania as a nation will have established a functioning independently verifiable MRV system for forestry, land use and carbon reference levels including data protocol and incentives for delivery of data from districts;
4. By the end of 2017 at least 35% of forested districts in Tanzania will have developed and implemented a strategic NRM plan that integrates LUP, PFM and REDD+ in priority areas including a partnership strategy and institutional incentives that ensure service delivery to relevant communities;
5. By the end of 2015 selected priority communities in 35% of forested districts in Tanzania are aware of their rights in relation to land, forests and REDD+ and improved village governance monitoring.





A number of packages have been put together to address the issues emerging from the assessment based on key principles. As far as possible the packages try to combine the strengthening of functional and existing technical capacity and the creation of new capacity for maximum effectiveness. There are a number of packages identified at each level; central, district and village.

Packages have been prioritised based on the gap size identified by stakeholders, issues revealed during consultation and logical sequence in relation to establishment and management of a REDD+ scheme. Each package covers a combination of suggested interventions that address mobilising or filling gaps to reach the desired capacity level. Specific indicators are related to each package to ensure that capacity development can be measured in relation to outcomes at a later stage.

A number of recommendations have been made to ensure that the capacity development packages are effective. Emphasis on building technical and functional capacities needs to be placed at the district level with a balance of investment between quick-wins and strategic long-term interventions. As far as possible links between field practice and protocol development and training need to be strengthened and professional service providers engaged for capacity building initiatives recognising that communication and learning services are a specialised field.

As REDD+ evolves capacity development will need to be responsive and flexible. If REDD+ is to be successful in Tanzania it needs to be framed within existing policy frameworks and practically linked to existing initiatives on sustainable land management. Initiatives such as this capacity development plan need to be approved and internalised at the highest levels of government to ensure commitment and follow up on REDD+ not as a recent global initiative but as part of an integrated vision of sustainable natural resource management in Tanzania. For these reasons although this report was commissioned by MNRT through support of UNDP it is strongly recommended that it is presented and considered as a REDD+ Task Force document for discussion with all levels of government and a wider range of development partners.

### Key Principles of Intervention Design Packages

- Mobilising existing capacity where possible
- Increasing diversity of interventions to include some training but also dialogue mechanisms, leadership programs, institutional incentives
- Minimising one –off training interventions and building in coaching and follow up performance tasks
- Offering competitive not incentive driven self-development and training opportunities
- Integrating capacity with clear strategic roll out of REDD+ alongside other Natural Resource and Land Management policies and programs
- Keep learning up to date and real based on lessons from the field in Tanzania and elsewhere.



Table 3. Summary of Intervention Packages, Type and Priority

Package Description/ Priority	Specific Interventions	Intervention Type	Time- Frame
Package 1; <b>Engaging High Level Decision Makers</b> (Central) <b>HIGH</b>	Forest Academy to build social capital across sectors and society	Leadership/ Learning	Quick-Win
	Strategic engagement and policy briefing with Ministry of Finance	Institutional incentive	Quick-Win
	Principal Secretary REDD Forum	Institutional incentive/ accountability mechanism	Quick-Win
Package 2; <b>Preparing for independent verification</b> (Central) <b>HIGH</b>	Independent Forest Monitoring	Accountability mechanism/ learning	Quick-Win
	Establishment and management of REDD+ MIS system	Learning /Institutional incentive	Strategic
	Technical Tailor Made Trainings on REDD+ MIS protocol	Training	Strategic
	Guidelines and criteria for district fund release (data clause)	Institutional incentive	Quick-win
Package 3; <b>Improving carbon and land use data quality</b> (Central) <b>HIGH</b>	Lessons learning documentation of carbon data management	Learning	Quick-win
	Development of protocol for establishing carbon reference levels	Learning /institutional incentive	Strategic
	Technical training/coaching on remote sensing relating to protocol	Training	Strategic
Package 4; <b>Improving consultation and stakeholder voice mechanisms</b> (Central) <b>MEDIUM</b>	Formulation of Best Practice Consultation Protocol	Learning/ Accountability Mechanism	Quick-Win
	Tailor made training and coaching on consultation and facilitation	Training	Quick-Win
	Community of practice on consultation and facilitation for multi-stakeholder processes	Learning	Quick-Win
Package 5; <b>Power relations, negotiation and dialogue</b> (Central) <b>HIGH</b>	GoT Hosted Retreat for REDD+ Development Partners	Dialogue Mechanism	Quick-Win
	Tailor made negotiation skills training and coaching (link with Doha COP)	Training	Quick-Win
	High level training on power relations	Training	Quick-Win
Package 6; <b>Partnership Learning Initiative</b> (Central and District) <b>MEDIUM</b>	Guidelines on partnership opportunities for REDD+ and learning how to collaborate	Learning/ Institutional incentive	Quick-Win
	MDA to MDA; District to District Knowledge exchange on partnership and collaboration	Learning	Quick-Win
	REDD+ partnership award scheme	Institutional incentive	Quick-Win





Package Description/ Priority	Specific Interventions	Intervention Type	Time- Frame
	District to District COP on Partnership (including prospective partners or service providers)	Learning /Institutional incentive	Strategic
Package 7; <b>Social Safeguards Learning and Improved Public Engagement</b> (Central) <b>HIGH</b>	Communication Impact Assessment Training and Coaching	Training/ Learning	Quick-Win
	Targeted Information Guides on Social Safeguards	Learning	Quick-Win
	Development of training modules and materials on social safeguards	Learning	Quick-Win
	Regular multi stakeholder learning forum on social safeguards	Learning	Strategic
Package 8; <b>Basic REDD Awareness and Knowledge Generation Program</b> (District) <b>HIGH</b>	Scaled out Training of Trainers (Multi-discipline district teams)	Training	Quick-Win
	Practitioner case study writing workshops	Learning	Quick-Win
	District to District Learning exchange visits	Learning	Quick-Win
	Basic extension materials package; design and dissemination via training	Learning	Strategic
Package 9; <b>NRM and Land Use District Leadership Programme</b> (District /team based) <b>HIGH</b>	Strategic spatial district NRM planning coaching programme	Learning/ Training	Strategic
	Leadership, Planning and Time Management Training and coaching	Learning/ Training	Strategic
	Lobbying and Advocacy for Land Use Learning Forum	Learning	Quick-Win
	Conflict management and power relations training	Training	Quick-Win
Package 10; <b>Improving carbon and land use data management for independent verification</b> (District) <b>HIGH</b>	Synthesis and documentation of lessons learned on carbon data protocol and management	Learning	Quick-win
	Develop and implement auditing system for data quality at district level	Learning/ Accountability	Strategic
	Share and test carbon data protocol and MIS at district level including refine system	Institutional incentive/ Learning	Strategic
	Refresher technical training and coaching (as determined by protocol requirements)	Training	Strategic
Package 11; <b>Land Use Planning Programme</b> (also village level) <b>HIGH</b>	Revision of Participatory Land Use Management (PLUM) guidelines for inclusion of REDD+ and lessons from pilots	Learning	Quick -Win
	Digital/spatial data ready packages for LUP including support village level PLUM	Learning/ Accountability	Strategic
	PLUM technical training for district teams	Institutional incentive/ Training	Strategic



Package Description/ Priority	Specific Interventions	Intervention Type	Time- Frame
Package 12; <b>Basic REDD+ Awareness</b> (Village) <b>HIGH</b>	Targeted extension tools for village awareness raising	Learning	Quick-Win
	REDD+ community radio initiative	Learning	Quick-Win
	Village to village learning and field days	Learning	Strategic
	VGS training on forest and law enforcement	Training	Strategic
Package 13; <b>Participatory Carbon Monitoring and Data Management</b> (Village) <b>MEDIUM</b>	Establishment of standard village level protocol for carbon data collection and management	Learning/ Accountability	Strategic
	Community data collection training and selection and coaching of data monitors	Training/ Accountability	Strategic
Package 14; <b>Village Leadership and Governance Initiative</b> (Village) <b>HIGH</b>	Governance and NRM leadership Villager Training of Trainers	Training	Strategic
	Basic Financial Management training	Training	Strategic
	Village level awards for Outstanding Land Use Management and REDD+ data reports	Accountability/ Institutional incentive	Strategic