



REPUBLIC OF ZAMBIA

ASSESSMENT OF INSTITUTIONAL CAPACITIES AND CAPACITY NEEDS FOR REDD+

Terms of Reference for a national consultancy assignment (Individual)

1. - BACKGROUND

Zambia is among the first pilot countries for the climate-change mechanism **REDD+**, which stands for *reducing emissions from deforestation and forest degradation and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries*. The readiness stage for this mechanism entails the participatory development of a national REDD+ Strategy, which will comprise policy reforms, investments and a related REDD+ implementation framework, with due monitoring and safeguard systems, in line with agreements and negotiations under the United Nations Framework Convention on Climate Change (UNFCCC).

In essence, REDD+ is an international mechanism that intends to enhance the value of standing forests and incentivize sustainable forest management through a multi-stakeholders approach and a green development perspective. Zambia is fully engaged in advancing REDD+ and a partner member of UN-REDD (a United Nations collaborative programme, comprising FAO, UNDP and UNEP).

A **UN-REDD Zambia national programme** for REDD+ is underway, with a financial allocation of US\$ 4.49 million, in order to advance the national REDD+ readiness process. The Programme's goal is to prepare Zambian institutions and stakeholders for effective nationwide implementation of the REDD+ mechanism. The Programme's objectives are:

- (a) to build institutional and stakeholder capacity to implement REDD+;
- (b) to develop an enabling policy environment for REDD+;
- (c) to develop REDD+ benefit-sharing model; and
- (d) to develop Monitoring, Reporting and Verification (MRV) systems for REDD+.

In addition, a total of six outcomes are envisaged: (1) Capacity to manage REDD+ Readiness strengthened; (2) Broad-based stakeholder support for REDD+ established; (3) National governance framework and institutional capacities for the implementation of REDD+ strengthened; (4) National REDD+ strategies identified; (5) MRV capacity to implement REDD+ strengthened; and (6) Assessment of Reference Emission Level (REL) and Reference Level (RL) undertaken.

The REDD+ readiness phase is ongoing with a number of analytical work to be finalized, which will feed into the formulation of the REDD+ strategy and define the future of REDD+ implementation. As such, assessing the human, technical and institutional capacity for developing and implementing a REDD+ mechanism is a key component of REDD+ readiness. This is important as to know the current and potential competencies and capacities of key organizations which include government agencies, NGO`s, community groups, academic institutions, think tanks, legal firms and the media to implement a REDD+ mechanism in Zambia.

It is against this background that, this consultancy seeks to assess institutional capacities, the outcomes of which would be integrated into design of an institutional framework for a REDD+ strategy and will ensure the implementation of a sustainable REDD+ mechanism.

OBJECTIVE OF THE ASSIGNMENT

The main objective of this consultancy is **to assess: i) the existing capacities for institutions to fully engage in REDD+ and their current and potential roles; and (ii) capacity-building needs required for the national and provincial/district institutions** in order to allow their adequate engagement in the design of the REDD+ mechanism (REDD+ Readiness) and in the implementation to reduce deforestation. This latter would require (REDD+ policy reforms, financing, field level implementation, monitoring, reporting and investments amongst others in reducing deforestation, amongst others. The task comprises an assessment of **organisational, regulatory, technical, and human capacities** alike to address longer term institutional requirements to implement REDD+. Priority measures to address the identified needs for institutional capacity building are also to be proposed.

Scope of work and tasks

Scope

This assignment will include a wide range of consultations with relevant institutions at all levels, use of a methodological approaches for a capacity assessment, analyses of the results of the assessment, and the development of a set of capacity development measures to be integrated into the REDD+ Strategy.

The consultant shall work under the direct supervision of the national REDD+ Coordination Unit particularly the National REDD+ Coordinator and REDD+ Technical Advisor, and overall guidance of the UNDP Deputy Country Director (Programmes) while undertaking the assignment. S/he will examine the key institutions related to the building of the REDD+ mechanism, particularly those that can contribute effectively to building and implementing the Strategy for reducing deforestation and forest degradation and to set up its implementation and monitoring arrangements, such as follows:

- REDD+ coordination and management structures (*i.e.* National REDD+ Unit and national REDD+ committees and consultative structures, existing or planned).
- Ministry of Lands, Natural Resources and Environmental Protection
- Ministry of Agriculture and Livestock
- Ministry of Mines, Energy and Water Development
- Ministry of Finance
- Ministry of Commerce
- Zambian Development Agency
- Ministry of Tourism and Arts
- Carbon finance and/or Designated National Authority (CDM management unit)
- UNFCCC negotiations team
- Interim Secretariat (Climate Change)
- Provincial administration and selected district administration
- Research Institutions such as UNZA, Copperbelt University and Mulungushi University

The consultant will use participatory approaches and employ a methodology that will include, *inter alia*, literature review of institutional and operational reports, institutional visits, key informant interviews, focus-group consultations, field visits and further analysis and narrative description from findings. The consultant will liaise with a team of other consultants working on governance, safeguards, rights, financing and benefit sharing amongst others to ensure synergies between their work and the institutional assessment.

At the outset of the assignment, s/he shall produce a SMART (Specific, Measurable, Achievable, Realistic and Time-bound) inception plan which describes the scope, approach, methodology, agenda, and expected outputs of the assignment. By the end of the assignment, the consultant shall present and discuss the draft report in a multi-stakeholder workshop, with adequate participation of the concerned institutions, and then integrate the comments and recommendations received into a final version of both deliverables.

Specific Tasks

More specifically, the consultant, taking into account the current government approach to addressing Climate Change implementation framework will:

1. , Identify all and map relevant institutions or parts of institutions in REDD+, their respective mandates, and potential roles within the framework of REDD+ activities (these will include the institutions mentioned in the background section above, but also other institutions that stakeholders may consider relevant);ⁱ
2. Collect and analyse information on capacity needs that may be available from previous capacity assessments of the relevant institutions, REDD+ pilot projects and other initiatives in this sector;

3. Assess current roles, responsibilities and capacities of relevant institutions on REDD+ (current and potential REDD+ stakeholders);
4. Identify the capacity gaps at sector levels (agriculture, energy, land and natural resources, tourism, water and trade sectors etc) and in the implementation of REDD+ and considering key thematic areas on REDD+ such as governance, safeguards, rights, REDD+ policies, REDD+ financing, incentives and benefit sharing, and Measurement, Reporting and Verification (MRV);
5. On the basis of gaps, identify opportunities and entry points for strengthening and coordinating the capacity of relevant stakeholders on REDD+, which includes provincial and district level structures supported by government (PDCC, DDCC, ADCC e.t.c);
6. Prepare a report that includes
 - a. the findings of the capacity assessment (existing capacities as well as gaps);
 - b. a set of measures to address capacity development needs on REDD+ identified;
 - c. proposes recommendations for an institutional framework to enhance REDD+ implementation;
7. Present report to stakeholders and institutions included in the capacity assessment at a validation or dialogue workshop;
8. Incorporate stakeholder comments in a final report;
9. Prepare a Policy Brief on the Institutional Capacity Assessment in cooperation with the UN-REDD.

In conducting the above-mentioned tasks, the consultant will liaise with other consultants (e.g. those working on governance, safeguards, financing, benefit sharing, drivers of deforestation, opportunity cost study) to promote ensure synergies and complementarities to inform this assignment

OUTPUTS AND DELIVERABLES

The consultant shall produce the following deliverables:

1. A SMART inception plan for the assignment.
2. A methodological report with the instruments, questionnaires, checklists, list of interviews and other methodological tools used to assess institutions, interview officials and identify capacities and needs.
3. A detailed report (max 40 pages) with the institutional assessment (REDD+ roles, existing capacities and capacity needs) for REDD+, supported by information, data and qualitative analysis. Focus should be on institutions/ organisations as well as existing structures at national, provincial and district levels aimed at coordinating developmental agenda. A suggested outline of the report (with tentative length) may include but not limited to the following:
 - Introduction
 - Methodology
 - Description of key institutions, their roles in REDD+ in the readiness phase and implementation phase outlining their current capacities in terms of knowledge and skills as

well as tools and equipment needed to address deforestation and supporting investments in reducing deforestation

- Description of capacity needs for REDD+ among the concerned institutions to contribute in reducing deforestation and forest degradation as well as potential investments
- Synthesis assessment matrix, with the following likely columns: institutions, roles in REDD+, existing involvement and capacities, priority capacity needs, mid-term capacity needs
- An institutional capacity development plan (based on the priorities), with key activities, lead actors
- Annexes with complementary information

All reports shall be submitted in draft in both electronic and printed versions before they could be finalised. Final reports shall be provided also in both electronic and printed versions. Key aspects should also be provided on PowerPoint slides.

PROPOSED TIME FRAME

The assignment will have the duration of 35 working days. A proposed time frame follows.

| Deliverables | Timeline | Remarks |
|--|-----------------|--|
| Inception Report, following a SMART approach, and including assignment's work plan and methodological tools to be employed (e.g. questionnaires, checklists, list of interviews), together with a summary power-point presentation | 3 | To be submitted to the FD and UNDP-Zambia. Clearance triggers 1 st payment. |
| Work in Lusaka with national-level institutions | 5 | |
| Field visit to 1-2 provinces | 5 | Provinces to be selected with National REDD+ Team and UNDP, based on methodological needs and timing |
| Draft assessment report & institutional capacity development plan (with priorities) available | 15 | Submission to FD and UNDP; Clearance releases 2 nd payment |
| Validation workshop (duration: 1day) | 2 | |
| Submission of finalised deliverables | 5 | Clearances by FD and UNDP release final payment |

(*) These are working days, counted after signature of contract

SUPERVISION AND REPORTING

The consultant will receive direct technical supervision by the National REDD+ Coordinator and UN-REDD Technical Advisor, and overall guidance by the UNDP-Zambia Deputy Country Director (programmes).

The consultant shall work cooperatively with the national REDD+ team and a team leader that will provide technical backstopping to the process.

The consultant will have the following profile:

1. Institutional Expert:

- An effective manager with demonstrated experience in institutional analysis;
- Hold a Master degree, public or business administration or a development-related subject
- At least 10 years of experience in strategic planning and/or institutional assessment
- Demonstrated experience and strong knowledge in REDD+ and related areas in Zambia,;
- Experience in the review of development assistance programmes and projects, preferably in the climate change area;
- Broad knowledge of climate change mitigation and/or adaptation in Zambia;
- Broad knowledge of Zambia's institutions and how REDD+ fits in with that;
- Excellent organizational skills;
- Fluent written and spoken English.

EXPECTED STARTING DATE

As soon as possible, and no later than 1 weeks after contract proposal.

Annex 1: Documentation and Helpful Resources

1. [UNDP's Capacity Assessment Methodology](#)
2. Institutional and Context Analysis Tool

Studies on

3. Legal Preparedness for REDD+
4. Stakeholder Assessment and Engagement Plan
5. Preliminary Study on Drivers of Deforestation
6. Assessment of previous, ongoing and planned forest management activities with potential for REDD+
7. Drivers of Deforestation and threatened forest
8. Economic Context of REDD+
9. Past and current practices related to REDD+
10. Green House Gases Inventory and Reporting methodology
11. Development of Reference Emission Levels
12. Soil Survey Design and Methodology Development
 - a. Support for estimation soil organic carbon- linked to ILUA II

ⁱ Consultant should draw on the draft stakeholder engagement plan.